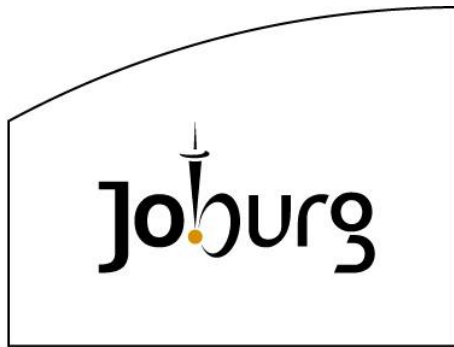


**ANNEXURE 3**  
**THE CITY OF JOHANNESBURG'S**  
**MONITORING AND EVALUATION**  
**FRAMEWORK**



**FINAL**

***May 2012***

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# 1. WHY: The Monitoring and Evaluation Framework – An overview

## 1.1. Introducing the Monitoring and Evaluation (M&E) Framework

This document serves as a 'framework' for improved monitoring and evaluation (M&E) within the City of Johannesburg Group – i.e. within all Municipal Entities (MEs) and internal departments (collectively referred to, hereafter, as 'the City' or 'CoJ'). It provides the foundation for a common understanding of key M&E principles and elements amongst all role-players in the City.

While M&E activities are as applicable to the domain of individual performance management as they are to group-wide, cluster or departmental performance management, the primary focus here is on M&E in the context of the latter areas. Included in this framework is an overview of the City's current context and the rationale for establishing a more rigorous M&E approach, clarity on the key concepts included in the M&E Framework, and input on how other spheres of government and delivery agents external to government address this issue. Also addressed are learnings emerging on the requirements for a successful M&E approach. Following this input on the '*why*' and '*what*' of M&E, emphasis is placed on the 'nuts and bolts' of the framework itself (e.g. activities and timeframes), and roles and responsibilities in relation to the framework. Comment is also included on the next steps deemed necessary for the system to be implemented effectively – e.g. alignment with other systems and processes in place within the City and within other spheres of government.

These latter elements therefore address the '*when*', '*how*' and '*who*' of M&E, laying the groundwork for a practical M&E Handbook, to be finalised following the sign-off of this M&E Framework. The Handbook will provide step-by-step guidelines for implementation of M&E practice – and will include all templates, checklists and toolkits necessary for the full rollout of a revised M&E approach.

## 1.2. Developing the M&E Framework

The M&E Framework included here is based on the review of a range of relevant documents – including those relating to existing planning, performance management, monitoring, evaluation, reporting and governance-related practices and policies in place within the City. It builds on related frameworks developed by the City to date, including the current Group Performance Management Framework. The shift in approach takes into account the increased levels of engagement expected by the City's stakeholders (including citizens and residents) – and the requirements for meaningful M&E within the context of the City's rapidly changing form and environment.

In developing the framework, international and national M&E benchmarks were considered, alongside legislative requirements relating to the field of M&E. The 'National Evaluation Policy Framework' (NEPF), as finalised by the DPME in November 2011 served as a valuable input, alongside a range of preceding guidelines such as the Presidency's 2010 'Guide to the Outcomes Approach', and more specifically, Outcome 9.

In addition to focusing on technical documents relating to M&E, national and City-specific strategies such as the National Planning Commission's (NPC's) recently published National Development Plan (NDP) and the City's 'Joburg 2040' Growth and Development Strategy (GDS) were considered. Efforts focused on ensuring alignment with the key principles included in these strategies. Analysis of the concepts and approaches reflected across all documents was synthesised into a framework for the City, for further engagement and refinement, with this framework also submitted to the DPME for comment and input, prior to finalisation.

### 1.3. Structure of the M&E Framework

The M&E Framework included here is structured as follows:

- **Chapter 1** presents an introduction to the M&E Framework – with comment on the context and rationale for development, applicability and the steps followed in establishing the M&E Framework itself.
- **Chapter 2** provides detail in terms of the key concepts relating to M&E.
- **Chapter 3** outlines the approaches adopted by other role-players in respect of M&E – with focus placed on approaches within the global arena, alongside the direction followed at a national and provincial government level, and those approaches followed to date by the City itself. Also included are learnings relating to the requirements for an effective M&E Framework, drawn from experiences of M&E application within other contexts.
- **Chapter 4** provides input on the City's context in respect of M&E, highlighting the principles and values underpinning the City's M&E Framework. Input is also provided on the GDS (in particular, the vision, outcomes and principles included within it), and the mechanisms through which this is supported via M&E. The GDS' role as the City's primary 'beacon' for future delivery – and therefore its place as the foundation for M&E activities – is addressed. Input is provided on the application of M&E activities to short, medium and long-term planning mechanisms – in the context of the outcomes approach.
- **Chapter 5** outlines the key activities relating to rollout of the M&E Framework itself, drawing on insights included within the preceding chapters. The overview of each of the key steps involved in the M&E process is supported with a more detailed explanation of delivery. Practical examples are included, together with a set of templates – with these to be bolstered in the more practical application-focused M&E Handbook, to follow.
- **Chapter 6** identifies the governance and oversight issues that emerge in the context of the M&E Framework – with input included on details relating to roles and responsibilities, reporting arrangements and other related factors.
- **Chapter 7** provides an overview of the next steps viewed as necessary for sound implementation of the M&E Framework, if the overarching benefits we hope to derive through implementation are to be realised.

This is augmented with a set of annexures – structured as follows:

- **Annexure 1** provides a list of acronyms and abbreviations.

- **Annexure 2** focuses on roles and responsibilities in the context of the City's M&E approach.
- **Annexures 3 to 8** include M&E Framework templates – and a practical example of template use.

#### 1.4. Rationale for an M&E Framework

The City has carried out M&E activities as part of its performance management process for many years. However, new priorities, challenges and changes within the City, across other spheres of government, and within broader society have heightened awareness of the importance of meaningful M&E processes. The City's policies, procedures and systems associated with the inter-related areas of performance management, monitoring, evaluation and reporting have changed significantly since the point of initial implementation. The wider set of policies, procedures and systems associated with performance management – the domain within which M&E activities fall – have shifted over time due to the following needs, amongst others:

- The imperative to deliver to the City's citizens and to meet commitments made to its wider spectrum of stakeholders – adapting methods for delivery where necessary;
- Managerial requirements identified as necessary for successful delivery of duties – e.g. accurate, data-rich information, and ongoing tracking of delivery, to support continuous and improved provision of goods and services;
- The need to account and engage in two-way discussion with various stakeholders;
- Good practice requirements and legislative and regulatory amendments, necessitating improvements – e.g. to governance arrangements and performance audit approaches; and
- Changes resulting from revisions to the City's institutional model, with each amendment leading to shifts in roles and responsibilities, reporting lines and supporting systems such as those associated with M&E.

In the City's efforts to embed performance management practices and with this, practices related to M&E, a number of challenges have emerged – with each holding the potential to undermine the original intentions of these related systems. While many of the challenges are associated with the broader Performance Management Framework itself, a few of the issues specific to M&E include the following:

- The tendency for many to focus primarily on the link between individual performance and reward when establishing plans of action for the year ahead, with the resulting risk that the content of plans is potentially driven by reward as the end-focus, rather than the need to ensure alignment with longer-term outputs and outcomes necessary for delivery on the City-wide strategy. With this comes a challenge for M&E activities: a focus on indicators and targets that do not align with the organisation's long-term direction or objectives.
- Linked to the above, a particular challenge relates to the question of whether all individual scorecards, together, align with the outcomes defined in business plans, the City's medium-term plan, the IDP, and long-term plans such as the GDS. Losing

track of this long-term focus means, ultimately, a misalignment between daily activities and the objectives committed to through public engagement.

- The need for a greater variety of information sources to inform evaluation – e.g. input from ward councillors, or input via a 360-degree appraisal.

While the above requires a more holistic focus on performance management and governance, the City has chosen to hone in on M&E, given the potential short, medium and long-term delivery-related consequences that may result from successful improvement to this element. As noted, amendments reflected within this M&E Framework will be woven through a set of supporting guidelines and systems, to ensure sound application.

Nationally, the benefits to be realised from effective and efficient M&E activities – particularly in supporting governance and delivery-related objectives – have become more apparent. This has led to the establishment of a fully-fledged Department of Performance, Monitoring and Evaluation (DPME) in the Presidency, and a range of policies and guidelines through which to drive M&E and ultimately, the delivery of desired outcomes across all three spheres of government. At a CoJ level, changes to the organisation's institutional model and its long-term Joburg 2040 GDS have necessitated a review of the way in which the planning, decision-making, monitoring and evaluation of delivery takes place. The City has acknowledged the need for improvements to its internal processes, to ensure effective rollout of the GDS through greater alignment between the five-year and one-year IDPs and the GDS' longer-term goals. As a result, the core priorities underpinning the GDS (i.e. establishment of sustainable services and settlements; resource security and environmental sustainability; an inclusive economy; eradication of poverty and enhanced social inclusion) have been used as the foundation for a refined governance arrangement in the City. This has taken the form of a Cluster Mayoral Sub-committee system. Four Mayoral Sub-committees were established in November 2011, addressing the clusters of: 'sustainable services'; 'economic growth'; 'human and social development' and 'good governance'.

Through developing this framework, the City aims to establish:

- A City-wide understanding of M&E;
- A common, standardized language and approach for the application of M&E principles across the City as a whole;
- Enhanced M&E practices – in terms of M&E methodology and tools, and the quality, frequency and application of findings;
- Clarity in relation to the roles and responsibilities of all those who are directly or indirectly involved in M&E activities;
- The means through which to institutionalise M&E – and ensure application of learnings arising from analysis, for improved delivery;
- A mechanism for greater integration of M&E practices within the City's public participation, planning, budgeting, delivery, policy development, oversight, reporting and governance-related processes; and
- Greater transparency and accountability, through the generation of sound information – to be used in reporting, communication and the improvement of delivery.



## 1.5. Principles underpinning M&E

The DPME's policy framework outlines a set of principles – drawn from the Policy Framework for Government-wide Monitoring and Evaluation System (GWMES) – that are viewed as important for the practice of evaluation (although these may be seen as applicable to both M&E). These are depicted in the box below.

### **Box 1.1: Principles guiding M&E (Adapted from GWMES, cited in DPME, 2011, p.3)**

M&E:

1. "...should be development-oriented and should address key development priorities of government and of citizens.
2. ... should be undertaken ethically and with integrity.
3. ... should be utilisation-oriented.
4. ... methods should be sound.
5. ... should advance government's transparency and accountability.
6. ... must be undertaken in a way which is inclusive and participatory.
7. ... must promote learning."

The City has chosen to adopt these principles, ensuring delivery through the design and application of the M&E Framework.

Many of the elements included within these principles relate closely to the concept of '**good governance**' – where this is, according to King III, "...essentially about effective, responsible leadership", with responsible leadership defined further as being "characterised by the ethical values of **responsibility, accountability, fairness and transparency**" (IoD, 2009, p.20). In the interests of ensuring a common understanding amongst all within the City, the terms 'responsible' and 'accountable' are explained further below:

- **Responsible:** The person tasked with carrying out or doing an activity or addressing a deliverable – i.e. the 'doer'; and
- **Accountable:** The person who signs off or approves work carried out by the 'responsible' party – and who is held to account in the event that the task or activity is not completed optimally.

Across all levels of an organisation such as the City, certain role-players are responsible for carrying out delivery, while others are accountable for those they are tasked with managing, and the activities completed or results realised. An M&E system within the public sector seeks to hold individuals and organisations to their commitments, with the ultimate objective of ensuring development priorities are met.

In addition, in line with the principles detailed above and the recognised importance of ensuring delivery on areas of responsibility or accountability, consideration must be given to the needs and interests of all stakeholders (i.e. thereby upholding fairness), while adhering to the principle of open and honest communication (i.e. ensuring transparency).

A well-functioning M&E mechanism has to align strongly to the principles defined above, if it is to enable the City to:

- Effectively gather, analyse, track and use accurate delivery-related information in decision-making, thereby support achievement of Council-approved strategies such as the Joburg 2040 GDS, and the aligned operational plans (in the form of the City's IDP, and its related planning tools);
- Guarantee the quality of information informing decisions and actions taken by Councillors, managers and employees, or the quality of commitments made;
- Hold people responsible, or accountable, for delivery against commitments made;
- Ensure optimal delivery against plans, with the real risk emerging of stakeholder expectations not being met; or
- Ultimately, uphold the requirements for good governance.

Activities relating to M&E therefore serve as a key support for sound governance – and as an enabler of effective, responsible leadership. M&E activities also serve to support the objective of '**oversight**' – a “key function of good governance rather than implementation”. Oversight “ensures that activities are implemented as planned by providing strategic direction ..., ensuring policies and procedures are met, instituting financial controls (including independent audits), and following through on key recommendations”.

#### **1.6. M&E in the context of performance management**

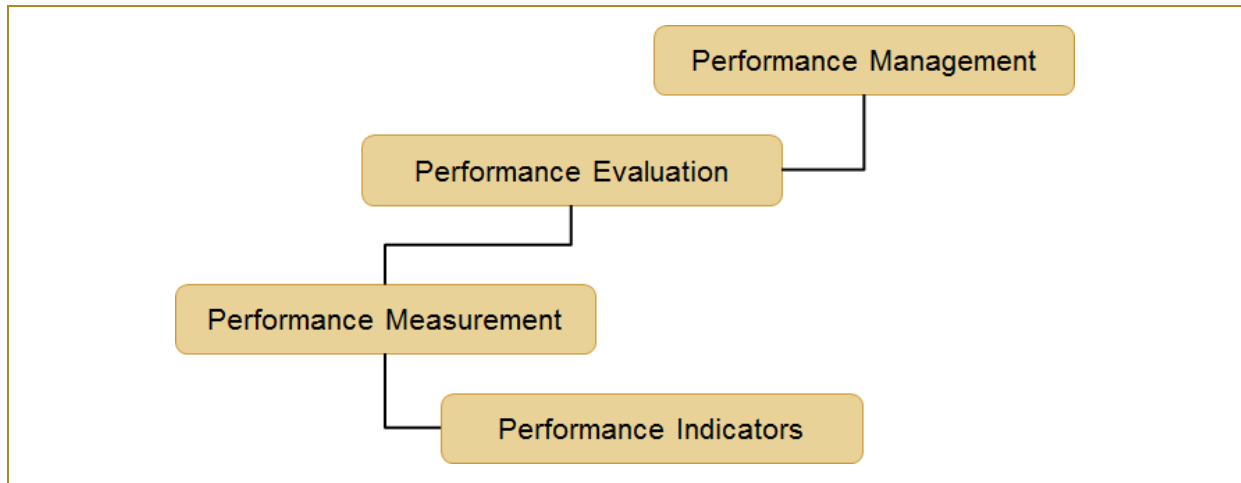
The activities associated with M&E relate strongly to the domain of performance management – forming a key part of the cycle of reflection, and thereby enabling performance improvement. The DPME (2011, p.ii) notes that: “If we are to improve our performance we have to reflect on what we are doing, what we are achieving against what we set out to achieve, and why unexpected results are occurring. We cannot advance without making mistakes along the way, but we must evaluate and learn from our successes and our mistakes.” Improvements in performance depend on the insight that comes from ongoing reflection and regular assessments. This is the purpose of M&E activities.

M&E activities form a critical part of the City's performance management system. Beyond addressing compliance requirements, the City notes that an effective performance management system allows a municipality to “plan for performance management and monitor, review and improve the implementation of the municipality's IDP”. The system should enable “increased accountability” and “learning and improvement”, while also serving as an early warning system, notifying leaders and managers of potential risks that may threaten achievement of the IDP (CoJ, 2009b, p.6).

Performance management itself is viewed as “...a strategic management technique that links various organisational elements of performance to ...strategic outcomes of the city and assists ... monitor[ing] and evaluat[ion of]...performance in relation to...strategies and plans...” (CoJ, 2009a, p.9). Activities associated with M&E are therefore essential for the effective management of organisational performance, and ultimately, the achievement of the City's short, medium and long-term goals, as reflected through its various planning tools.

Monitoring and evaluation forms part of the Performance Management Framework, which encompasses setting performance indicators, measuring them over time, evaluating them periodically and finally, making course corrections as needed (see below):

**Figure 1.1: Performance Management Framework**



This is integrated with the ‘results based’ or ‘theory of change’ model, as detailed further in the sections that follow. This approach allows us to ascertain the role of various inputs in delivering on outputs, outcomes and finally impacts.

The key to the success in M&E lies in the establishment of deep sector and programme understanding, knowledge and experience of setting up successful monitoring systems, and the development, amongst all role-players, of a keen eye to enable identification of lessons and areas of improvements. The City has in the past developed several monitoring tools that have facilitated the identification of bottlenecks in current implementation – and thereby framed feasible course correction recommendations for the future. Such tools include mid-term assessments, satisfaction surveys, and end of term assessment reports.

The M&E Framework builds on work undertaken to date, with focus placed on establishing more rigorous and regular M&E mechanisms, thereby enabling the City to drive its delivery priorities with greater certainty of achievement.

## 2. WHAT: Key concepts included in the M&E Framework

The chapter that follows explores key concepts of relevance to the City's M&E Framework, with focus first placed on the terms 'monitoring' and 'evaluation' themselves, and their relationship to the domain of organisational performance management. Also included here is clarity on the elements included within the Presidency's 'outcomes approach', as these inform the City's approach to M&E. As such, this chapter addresses the '*what*' of M&E in the City.

### 2.1. What is 'monitoring'?

'**Monitoring**' refers to an ongoing process focused on the assessment of projects, programmes and those day-to-day activities and deliverables required for their achievement, with performance tracked through data collection and reviews. Monitoring allows for **real-time analysis of delivery against plans, providing a "continuous flow of information", and thereby enabling positive decision-making** (IFAD, 1999, p.155, emphasis added).

The type, format and frequency of data collection and analysis to be undertaken for the purposes of monitoring is defined during the planning phase. Analysis carried out as part of the monitoring process supports early identification of problems and changed circumstances – and corrective decision-making in respect of resources, activities, timeframes and other related factors.

### 2.2. What is 'evaluation'?

In contrast, '**evaluation**' is **time-bound and periodic in nature**, taking place at particular intervals before (serving as a formative evaluation), during (thereby aiding improvements) or at the end of a project or programme (serving as a summative evaluation). The NEPF defines evaluation as "*[t]he systematic collection and objective analysis of evidence on public policies, programmes, projects, functions and organizations to assess issues such as relevance, performance (effectiveness and efficiency), value for money, impact and sustainability, and to recommend ways forward*" (cited in DPME, 2011, p.vii, emphasis added).

Where monitoring focuses on the ongoing tracking of projects, programmes, activities or deliverables, evaluation may focus on assessing different types of issues – e.g.: efficiency, effectiveness, relevance, impact or sustainability (The Presidency, 2007). These different forms of evaluation are detailed below:

- **"Efficiency** tells you that the input into the work is appropriate in terms of the output. This could be input in terms of money, time, staff, equipment and so on. When you run a project and are concerned about its replicability or about going to scale ..., then it is very important to get the efficiency element right." (Shapiro, 2002, p.3)
- **"Effectiveness** is a measure of the extent to which a development programme or project achieves the specific objectives it set. If, for example, we set out to improve

the qualifications of all the high school teachers in a particular area, did we succeed?” (Shapiro, 2002, p.3)

- **Relevance** provides an indication of the extent to which the objectives are relevant to the needs of recipients, policy specifications, and local, regional and national priorities (Ministry of Foreign Affairs of Denmark, 2006).
- **Impact** tells you whether or not what you did made a difference to the problem situation you were trying to address. In other words, was your strategy useful? Did ensuring that teachers were better qualified improve the pass rate in the final year of school? Before you decide to get bigger, or to replicate the project elsewhere, you need to be sure that what you are doing makes sense in terms of the impact you want to achieve.” (Shapiro, 2002, p.3)
- **Sustainability** serves as a measure of the extent to which the benefits arising from an intervention are “likely to continue after ...support has been completed. While the four preceding criteria concern specific ...interventions, the assessment of sustainability addresses the effects of the development process itself over the long term. For example, in a road construction project, sustainability can be measured in terms of whether the road is likely to be maintained, the extent to which it will be used and provide benefits in the future, etc. ...Far too many development initiatives tend to fail once the implementation phase is over... Sustainability is ... increasingly central ... putting greater emphasis on long term perspectives and on lasting improvements.” (Ministry of Foreign Affairs of Denmark, 2006, pp.54-55).

Determining what issues will be evaluated in respect of a project, programme or activity will depend on the life cycle of the project or programme concerned, and the rationale for the evaluation. For the results of an evaluation exercise to be used optimally, it is critical to understand the purpose of the evaluation before embarking on the process. Reviewed together, evaluations conducted with due consideration of aspects such as those outlined above should provide a clear view to the decision-maker of the appropriate route forward – with the necessary condition being that information is both useful and credible.

### 2.3. Comparing ‘monitoring’, ‘evaluation’ and ‘audit’

Activities relating to monitoring and evaluation are complementary in nature – together aiding in keeping plans on track, and allowing for the identification of risks or challenges, facilitation of improvements, and thereby, enabling ongoing active learning. When combined, M&E activities therefore assist in clearing the path for effective delivery of results (Lahey, 2009).

When differentiating monitoring from evaluation, the DPME notes that “...monitoring asks whether the things we planned are being done right, while evaluation is asking are we doing the right things, are we effective, efficient, and providing value for money, and how can do it better” (2011, p.3). Another function closely related to monitoring and evaluation is that of ‘auditing’. The table below provides a view of some of the key differences between these three complementary activities.

**Table 2.1: Differences between monitoring, evaluation and audit (Adapted from UNDP, n.d.(a), p.12 and GPG, 2012, p.10)**

	<b>Monitoring</b>	<b>Evaluation</b>	<b>Audit</b>
<b>Objective (Why?)</b>	To establish baseline information. To track changes from baseline conditions to desired outcomes. To identify areas requiring corrective action.	To validate what results were achieved, and how and why they were or were not achieved. To refine the 'theory of change', revisit original assumptions and objectives – thereby improving learning and future approaches.	To confirm that what is reported as 'delivered' has been delivered. To provide assurance and demonstrate transparency and accountability to stakeholders.
<b>Focus (What?)</b>	Focuses on the outputs of projects, programmes, partnerships and activities, and their contribution to outcomes. Checks progress against plans – and areas for action and improvement.	Compares planned with intended outcome achievement. Focuses on how and why outputs and strategies contributed to achievement of outcomes and impacts. Addresses questions of relevance, effectiveness, sustainability and change.	Focuses on shortfalls in delivery and learnings. Providing recommendations for improvement of current and future projects.
<b>Responsibility (Who?)</b>	Internal management and programme/ project manager responsibility – at all levels: <ul style="list-style-type: none"> <li>• City-wide</li> <li>• Clusters</li> <li>• Entities/ Departments</li> <li>• Mayoral Committee</li> <li>• Performance Management, Monitoring, Evaluation and Reporting Unit</li> </ul>	External evaluators and partners May also be conducted internally – e.g.: <ul style="list-style-type: none"> <li>• Executive Management Team (EMT)</li> <li>• Mayoral Committee</li> <li>• Council</li> <li>• Performance Management, Monitoring, Evaluation and Reporting Unit</li> </ul>	Independent auditors – with external inputs Johannesburg Risk Assurance Services (JRAS)
<b>Timing (When?)</b>	Continuous and systematic	Time-bound, periodic, in-depth Before (formative), during (aiding improvements) or after a project or programme (summative)	Ex-ante (systems reviews), ongoing, and on completion (e.g. annual)
<b>Focus – in relation to the outcome approach hierarchy?</b>	Inputs, activities and outputs	Impacts, outcomes, purpose, overall objectives Outputs vs. inputs (effectiveness and efficiency); impact; results vs. costs; relevance to priorities	Inputs, activities and outputs
<b>Data sources</b>	Progress reports; Management information systems; performance management data	Evaluation reports; monitoring data; primary and secondary data sources – including case studies, surveys and statistical data	Progress reports, management information systems

### **3. Current M&E practices within South Africa – and beyond**

The field of M&E is not new. Various approaches to M&E have been implemented globally, in the interests of supporting state delivery and more specifically, ensuring sound delivery in the context of projects and programmes. Much work has been undertaken in the area of donor funded and aid-related projects and programmes, with M&E findings often serving as the qualifying criteria for further funding.

The chapter that follows provides input on practices employed in relation to M&E, with focus first placed on international practice in the context of the outcomes approach, and learnings emerging from years of implementation. This is followed by input on national and local government efforts.

#### **3.1. M&E practices outside South Africa**

Many countries have made use of practices focused on M&E. Valuable insights are particularly available in respect of the Canadian experience, with M&E practices instituted at a national level since 1969, resulting in over thirty years of experience. The system in use has been through many permutations. In reflecting on the rationale for introducing an M&E system, the following is noted:

“The broad goal in investing in an M&E system has been to generate and use ‘results’ information that supports the government’s management agenda from the perspective of both ‘learning’ and ‘accountability’ in the design and delivery of government policies, programs and services and the use of public funds. In this way, performance reporting generally aims to tell a ‘performance story’ rather than simply reporting on a limited set of indicators in the context of an accountability ‘scorecard’. Further, it is recognized that evaluation serves to inform decision-making, rather than expecting that decisions will rest solely on the results of an evaluation study.” (Lahey, 2009, p.9)

The above recognises that often, understanding the ‘how’ and ‘why’ of performance is as important as determining what has been achieved, given that the former elements enable future replication of results. Building M&E activities into future decision-making allows for optimal benefits to be gained through any investments made.

While many government role-players have followed the approach employed by the Canadian government, the domain in which M&E practices are most vigorously employed is that of aid organisations. Bodies such as the Australian Agency for International Development (AusAID), the Global Fund, the Danish International Development Agency (DANIDA) and the United Nations (UN) have established clear guideline documents to support and ensure consistent M&E. All of these incorporate a focus on similar principles and different levels of analysis, even though the approaches may be labelled differently – e.g. the UN’s focus on “results based management” (n.d., p.9) aligns with AusAid’s focus on a “results hierarchy” (2005, p.36).

The sections that follow address learnings arising from the above applications – both in terms of those elements deemed to be necessary for inclusion in an M&E system, and those steps viewed as essential for the smooth implementation of such a system.

### **3.2. Learnings from international benchmarks: Requirements for sound M&E**

Over the decades, practitioners have reflected on those M&E systems implemented across other national contexts, and in projects, programmes, community and aid work environments. Certain non-negotiable elements have been identified as necessary for the establishment of an effective and efficient any M&E system. Critical steps have also been detailed in respect of implementation. Both these areas of learning are addressed below, providing a useful platform for the establishment of a CoJ M&E Framework – and aligned systems and tools.

### **3.3. M&E approaches in context: An area for learning and improvement**

In reviewing M&E approaches implemented within the global environment, and within the national, provincial and local context, it is useful to reflect on the experience of M&E itself – and more specifically, the practice of the outcomes approach to M&E. While M&E approaches are used across all of these domains, there is an ongoing focus on improving techniques and methods, to ensure achievement of commitments.

In the South African context, the outcomes approach to M&E is still fairly new – with formal implementation only initiated at the level of national government in 2010. The City's efforts in implementing this approach are in line with intentions across the other spheres of government. While there are many entities from whom we can learn – particularly in the aid and donor-funding domain, establishing a suitable City-specific M&E approach will take time, effort and ongoing reflection, before the full benefits are realised.

#### **3.3.1. Elements deemed critical in establishing an effective, credible M&E system**

In reflecting on the Canadian experience, Lahey (2009) identifies a number of elements and characteristics viewed as critical for inclusion in an M&E framework or system, to drive credibility and effectiveness. These include:

- **Emphasis placed on both 'M' and 'E'** – through, for example, the establishment of a balanced focus on both elements within the M&E Framework, with attention given to ensuring role clarity, capacity building, tools, and the provision of support in respect of both. In terms of roles and responsibilities, it is noted that programme, project and activity managers are often responsible for monitoring, while internal or external evaluation specialists frequently focus on evaluation.
- **Formalisation of M&E requirements** – through, for example, establishing a centrally driven policy and the development of clear procedures for implementation.
- A focus on **capacity building** – through, for example, the establishment of M&E guidelines, and the creation of an M&E 'Centre of Excellence' in respect of M&E approaches and methodology – to support ongoing and proactive capacity building,



to oversee adherence of M&E activities against specified standards, and to assess quality and coverage of evaluations.

- **Building clarity in terms of who conducts evaluations** – through, for example, the identification of an internal M&E role-player or unit/s, to provide internal ‘evaluation’ services, and use being made of additional support via external evaluators.
- The **establishment of quality control mechanisms and activities** – such as, for example: the periodic involvement of the Auditor General (AG) in evaluations of the M&E system’s efficacy; evaluation of departmental heads on how effectively M&E information has been used; Scheduling and conducting reviews of the system.
- **Ensuring evaluator independence** – through, for example: stressing the neutrality of all evaluators and the M&E function, within all policy and guidelines documents; ensuring evaluators have unencumbered access to management and leadership; the establishment of an Evaluation Committee constituted of senior role-players, and focused on evaluation planning, oversight and follow-up.
- **Promoting transparency** – through, for example, driving this principle in the policy; demonstrating the commitment to this principle through publishing evaluation findings on the organisation’s website; and including comment and input on M&E findings within annual reports and other organisational documents.
- Recognising that the **information gathered is not an end, in itself**, with: forms of information and information flows to be linked with decision-making and managerial roles and role-players; planning to include time for and focus on reflection; and focus to be placed on building capacity and interest not only in gathering and analysing information – but in applying insights.

These learnings and those relating to the steps seen as necessary in establishing an M&E system – as outlined below – will be applied in the context of the City’s M&E Framework and its rollout.

### 3.3.2. Steps viewed as important in setting up and implementing an M&E system<sup>1</sup>

Experience is witness to the fact that implementation of an M&E system is as important as its design. Practice has led to the identification of the following steps as key, in ensuring a smooth implementation process:

**Table 3.1: Steps to consider in implementing an M&E system or framework**

Step	Activities
1. Establish clarity in terms of the M&E system’s purpose, scope and comprehensiveness	<ul style="list-style-type: none"> <li>• Ask questions regarding the rationale for establishing an M&amp;E system, with due consideration of the needs of various stakeholders, and the type of system required e.g. in terms of level of participation, level of detail, resources required, etc.</li> <li>• Develop a centrally-driven policy to ensure sound implementation of</li> </ul>

<sup>1</sup> Inputs drawn from Lahey (2009), Wageningen UR (2010), the Presidency (2010) and Kusek& Rist (2004)

Step	Activities
	the M&E system.
2. Establish a clear view of roles and responsibilities in relation to the M&E system	<ul style="list-style-type: none"> <li>• Identify roles and responsibilities with regards both monitoring and evaluation-related activities. The key responsibility for monitoring often rests with role-players such as the programme or project head. Parties accountable for oversight and ensuring quality of monitoring may perform an additional support role (e.g. in terms of systems, methodology, rigour, etc.). In contrast, use is frequently made of an independent party to carry out duties in respect of evaluation, with input often gathered from the project or programme head and other related sources.</li> <li>• Assign key activities associated with the M&amp;E system to various role-players – defining factors such as timeframes, frequency of M&amp;E activities, stakeholders, deliverables and application of deliverables.</li> <li>• Develop and communicate a formal policy document, documenting roles and responsibilities – to ensure a shared understanding.</li> </ul>
3. Build capacity for design, implementation and refinement of the M&E system – and optimal use of information	<ul style="list-style-type: none"> <li>• Establish a central driver of M&amp;E expertise within the organisation, to develop and implement policy, aid implementation, build learnings and support capacity development.</li> <li>• Actively build M&amp;E capacity, with focus placed on establishing monitoring capabilities across the organisation, supported by the establishment of a centralised pool of specialist skills to aid in activities such as undertaking evaluations, independent of project or activity owners.</li> <li>• Identify the required competencies for those involved in M&amp;E activities, and ensure capacity building – to strengthen the quality of M&amp;E activities and to reinforce the system’s credibility.</li> <li>• Establish a level of M&amp;E understanding amongst non-technical ‘users’ of M&amp;E information.</li> </ul>
4. Focus on identifying the right questions for M&E, alongside information requirements, indicators and users of information – linking the vision with aligned short, medium and long-term objectives	<ul style="list-style-type: none"> <li>• Identify the long-term vision and build a ‘theory of change’ on how to attain it – translating desired impacts into outcomes, outputs, activities and inputs (in the short, medium and long term).</li> <li>• Align the short, medium and long-term translation of the vision with budget and other resources required for delivery – i.e. inputs (e.g. via the IDP and Service Delivery and Budget Implementation Plan [SDBIP] processes).</li> <li>• Identify the appropriate indicators and measurement mechanisms for M&amp;E activities in the context of defined activities, outputs, outcomes and impacts – with these supported by clear targets and baselines in terms of each indicator.</li> <li>• Establish an approach through which to communicate the vision and its translation into short, medium and long-term plans, so that all are able to focus on and carry out M&amp;E activities against appropriate indicators.</li> <li>• Establish a plan for rolling out M&amp;E activities – with the plan including</li> </ul>

Step	Activities
	<p>identification of timeframes, role-players, activities, deliverables and end-users of information.</p>
<p>5. Plan for gathering and coordination of meaningful, clear, user-friendly, information</p>	<ul style="list-style-type: none"> <li>• Establish how M&amp;E information will be gathered and collated.</li> <li>• Determine who will be involved in the information gathering and collation stage.</li> <li>• Identify if additional systems or tools are required for data collection to result for sound data collection and data credibility – and if so, develop/ establish/ procure.</li> <li>• Establish who the stakeholders and direct beneficiaries of data collection will be, to ensure data collected is user-friendly, meets requirements and will aid reflection and refinement of plans – and achievement of outputs, outcomes and impacts.</li> <li>• Identify how and where data will be stored – focusing on data accessibility, confidentiality and secure storage requirements.</li> </ul>
<p>6. Establish how information will be analysed, and how reflections and learnings will be represented</p>	<ul style="list-style-type: none"> <li>• Identify how information will be analysed.</li> <li>• Identify where additional support, methodology, tools or specialists are required, to support analysis.</li> <li>• Present information and analysis in a palatable form, for engagement, reflection, debate and application by stakeholders within and external to the organisation.</li> <li>• Consider how reflections and analysis will be shared, and mechanisms through which to improve this, to enhance wider reflection and optimal application of findings.</li> </ul>
<p>7. Ensure quality communication, feedback and stakeholder participation – aiding implementation of improvements, while enhancing system and organisational legitimacy</p>	<ul style="list-style-type: none"> <li>• Identify stakeholders and information requirements – in relation to M&amp;E activities and deliverables.</li> <li>• Ensure communication at regular stages throughout the M&amp;E cycle – to build an understanding of activities underway, access to findings, stakeholder engagement and participation, commitment to the system, and application of learnings.</li> <li>• Establish regular opportunities for stakeholder engagement and interface in respect of plans, delivery and M&amp;E – building a sense of joint purpose and focus.</li> <li>• Consider application of findings in respect of plans, budgets, resource requirements – and fundamental assumptions and the theory of change underpinning these, adapting the appropriate lever as needed.</li> </ul>
<p>8. Implement effective change management practices – and clear leadership – to support and embed M&amp;E</p>	<ul style="list-style-type: none"> <li>• Recognise that establishing an M&amp;E system is a process that necessitates ongoing reflection and refinement. Focus is needed on building enthusiasm for, and understanding of the need for M&amp;E information, across various levels in the organisation – thereby matching supply of M&amp;E information with demand.</li> <li>• Ensure the leadership team is focused on driving in M&amp;E implementation, given that capacity development and ongoing M&amp;E requires leadership commitment and consistent application, with</li> </ul>

Step	Activities
	<p>implementation and necessary refinements taking years.</p> <ul style="list-style-type: none"> <li>• Consider implementing incentives (these may be positive or negative) to drive interest in – and use of – M&amp;E information.</li> <li>• Attend to the organisational culture, focusing on building a results-oriented, evaluation-focused organisational culture – a necessary requirement if M&amp;E principles are to remain in place in the long term.</li> </ul>

Learnings gained from M&E practice in other contexts is invaluable in ‘getting it right’. As noted, the above learnings are amongst many that have been taken into consideration in the development of this M&E Framework.

### 3.4. Driving outcomes across South Africa: The national approach to M&E

M&E systems have been implemented for many years in a range of environments, with increasing focus on the importance of an ‘outcomes’ or ‘results based’ approach. Building on the foundation offered by practice implemented within other settings, South Africa recently chose to adopt an outcomes approach to M&E, using this as the mechanism through which to ensure the rollout of delivery objectives on a national scale.

The DPME, in its role as driver of M&E from a national perspective, has focused effort on establishing a common approach to M&E amongst all delivery agents across the three spheres of government. The department has built on the Presidency’s 2010 ‘Guide to the Outcomes Approach’, which sets out government’s approach to M&E and the management of each of the 12 outcomes that, if achieved, would collectively address government’s 10 strategic priorities for 2014. The recently published NEPF provides a clear framework for implementing evaluation activities – and serves as a valuable reference point in ensuring consistency of approach, while also allowing individual departments to customise the system to suit their needs.

### 3.5. The ‘outcomes approach’: A foundation for meaningful M&E

The outcomes approach “is designed to ensure that government is focused on achieving the expected real improvements in the life of all South Africans...[it] clarifies what we expect to achieve, how we expect to achieve it and how we will know whether we are achieving it” (The Presidency, 2010, pp.9-10). In introducing this approach, the Presidency notes that “[o]utcomes refer to a changed state of being...They describe the effects, benefits or consequences that occur due to the outputs or programs, processes or activities.” (2010, p.12).

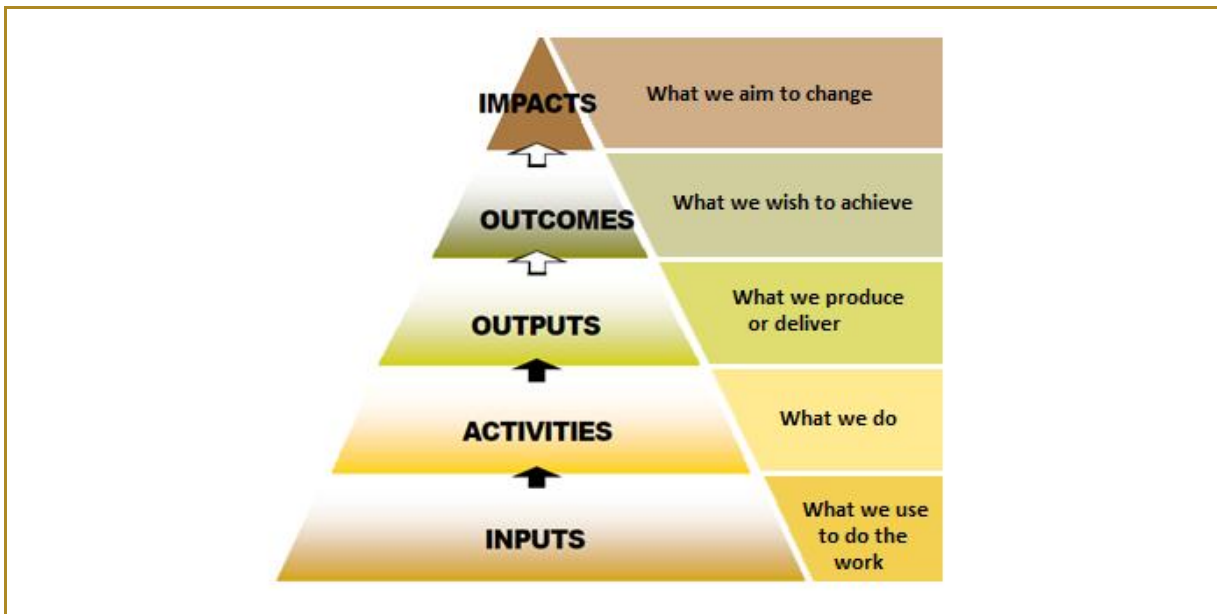
The Presidency (2010, pp.11-12) notes the following as the central elements included in the outcomes approach:

- **Inputs:** “...everything we need to accomplish a task. This could be in terms of finance, human resources, infrastructure etc.”

- **Activities:** "...a collection of functions (actions, jobs, tasks) that consume inputs and deliver benefits or impacts."
- **Outputs:** These "can be immediate and intermediate...direct products and services generated through processes or activities without specific reference to their ultimate purpose."
- **Outcomes:** "...a changed state of being...They describe the effects, benefits or consequences that occur due to the outputs or programs, processes or activities. The realisation of the outcome has a time factor and can be in either the medium or long-term."
- **Impacts:** The long-term "developmental result at a societal level that is the logical consequence of achieving specific outcomes"

The figure below depicts the relationship between these various elements diagrammatically.

**Figure 3.1: Elements within the outcomes approach (Adapted from: The Presidency, 2010, p.11)**



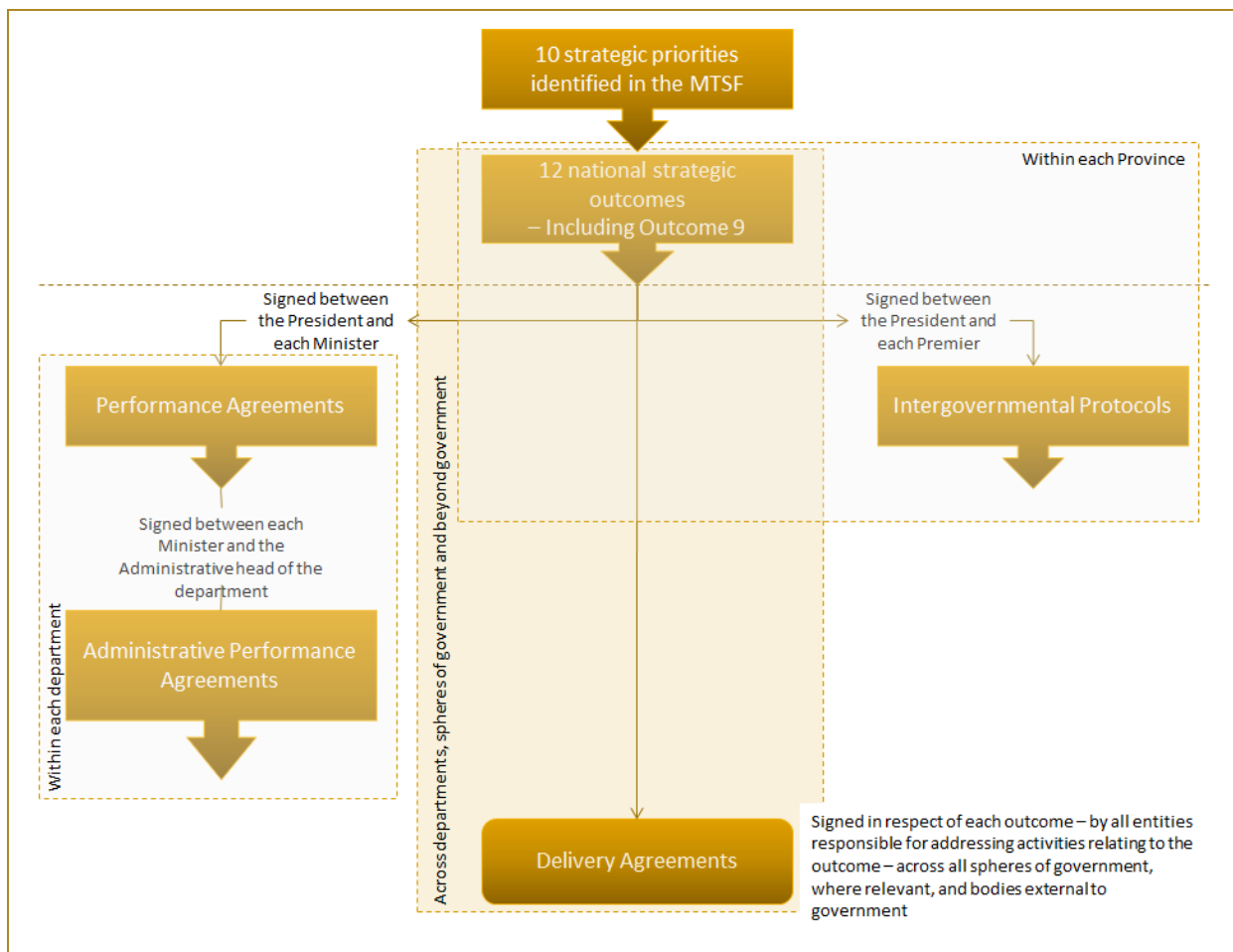
In terms of the outcomes approach, the Presidency has established a number of mechanisms through which to ensure rollout of the system, and achievement of the 12 outcomes. These are as follows:

- At a national level, **Performance Agreements** signed by the President and each Minister form the key vehicle through which accountability for delivery in respect of the 12 defined outcomes is assigned to the various ministries.
- Each Minister is then required to sign an **Administrative Performance Agreement** with his or her Director General (DG) – with focus placed on alignment with the primary Performance Agreements. Through this process, Administrative Performance Agreements serve as a mechanism through which delivery objectives are cascaded.

- Outcomes are also cascaded to provincial heads, through **Intergovernmental Protocols** signed between the President and each Premier.
- In addition to the above mechanisms, commitments to delivery are concretised through the development of a **Delivery Agreement per outcome** – with signatories including all those whose involvement is necessary for outcome achievement. This includes role-players from across the spheres and sectors of government – and may include role-players who are external to government, where appropriate. These agreements are negotiated, specific in nature, and contextualised.

The figure below depicts the various forms of interface between these different elements

**Figure 3.2: Putting the outcomes into practice – different levels of agreements**



At a local government level, the primary outcome of relevance is Outcome 9, articulated through the vision of a “responsive, accountable, effective and efficient local government system”. In practical terms, this outcome has been committed to by means of a Performance Agreement signed between the President and the Minister for Cooperative Governance and Traditional Affairs, reflected further in an Administrative Performance Agreement signed between the Minister and the department’s DG. Outcome 9 is also committed to by means of an Intergovernmental Protocol signed between the President and the Premier of Gauteng. Lastly, it is committed to within a Delivery Agreement, focused on engaging all parties involved in its achievement – including the City of Johannesburg.

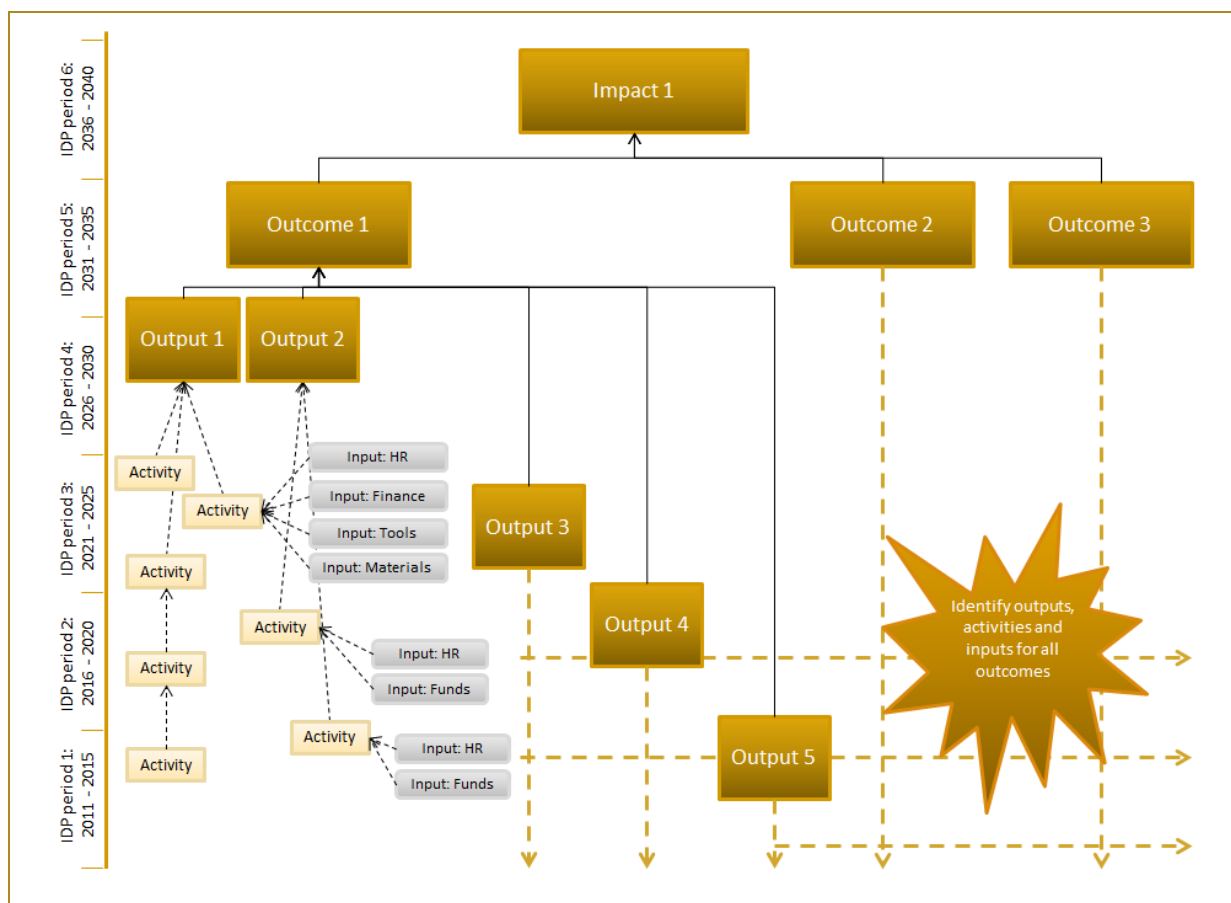
In considering the outcomes approach – as represented in Figure 3.1 – it is the flow of elements from inputs, activities and outputs, through to outcomes and impacts that is critical. This represents the **‘theory of change’** – a ‘logic model’ “...that describes a process of planned change, from the assumptions that guide its design, the planned outputs and outcomes to the long-term impacts it seeks to achieve” (DPME, 2011, p.20). It provides a view of the causal links between the desired long-term impact or goal and each of the outcomes identified as necessary for this impact to be realised. Outcomes are then broken down further into the associated outputs, activities and inputs.

### **3.5.1. The ‘theory of change’: Defining assumptions within the outcomes approach**

A ‘theory of change’ is therefore a reflection of the end goal or impact desired, and the outcomes, outputs, activities and inputs viewed as necessary for this end goal to be achieved. A set of assumptions underpin identification of each of the elements in the chain. Assumptions may arise from experience, facts, insights, formal learnings, research or other sources. Through ongoing M&E activities, these assumptions may be surfaced, challenged and refined, thereby allowing those using the M&E Framework to apply insights from past practice when identifying the most appropriate set of activities, outputs and outcomes through which to drive the desired long-term goals (The Presidency, 2010).

Figure 3.3 below provides a representation of the theory of change – as a chain of influence of possible inputs, linked to activities, outputs, outcomes and impacts, in the context of the City’s GDS. When considering the planning and budgeting mechanisms, it is important to note that ‘outcomes’ articulated in the GDS may not be realised within the short term cycle as defined in the annual IDP or even within the five-year timeframe (i.e. within the five-year IDP) . Instead, the timeframes associated with some of the outputs and outcomes will only be realised in the medium- to long-term IDP (e.g. the IDP for the 2016/21, or 2021/26 period). Therefore, in the planning and budgeting cycles, there is a need for prioritisation – whilst ensuring adequate balance in the delivery agenda.

**Figure 3.3: Cascading impacts into time-related outcomes, outputs, activities and inputs**



To identify each of the elements within the theory of change, a process of ‘working backwards’ is required – identifying the intended impact and outcomes, the deliverables or outputs that will result in these, the necessary activities, and inputs required for these activities to be carried out.

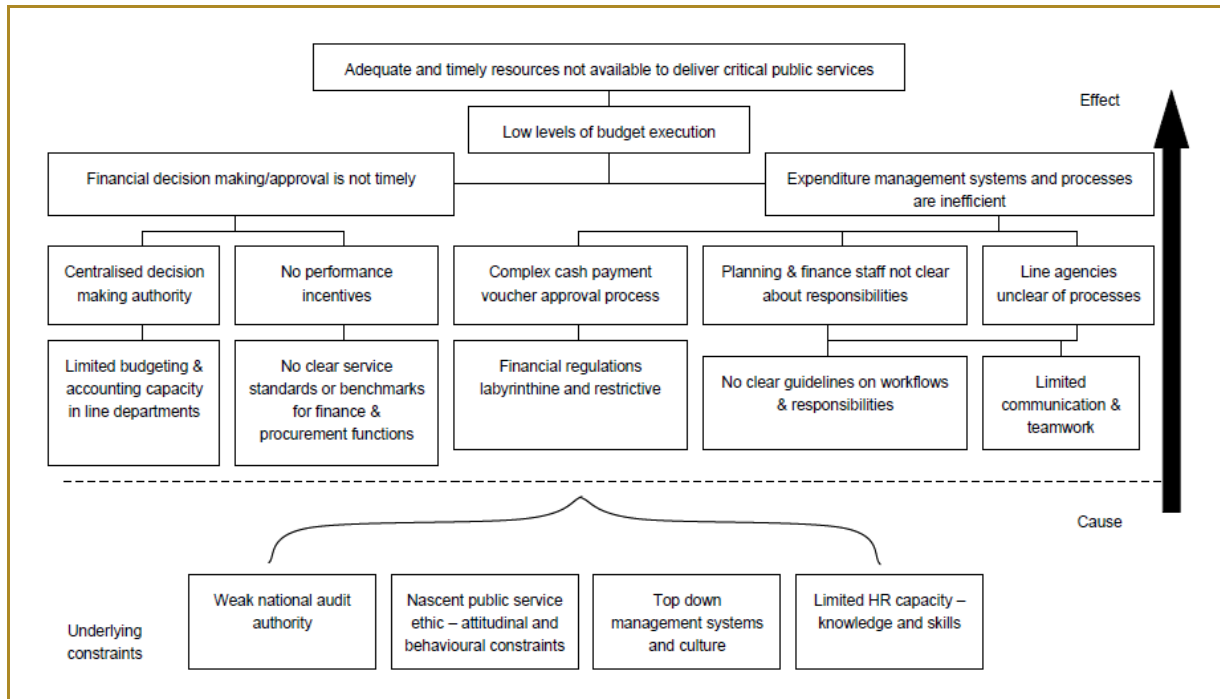
Establishing a sound ‘theory of change’ is heavily dependent on first understanding the status quo – and the ‘problem’ or circumstances that interventions, activities or outputs are intended to address. Identifying the gap between the status quo and the desired future assists in determining which outcomes and supporting outputs and activities are necessary, to bridge the distance between the ‘as is’ and the ‘to be’. AusAID notes the benefit of using the ‘problem tree’ tool in this regard – portraying ideas relating to underlying constraints, cause and effect. This graphic depiction allows for assumptions relating to the current reality, necessary conditions for change and possible solutions for the achievement of the long-term vision to be clarified, challenged and refined. In this way, a more effective theory of change may be established.

An example of a problem tree – developed in the context of national budget execution – is included below. It presents a set of secondary and primary causes (the underlying roots), which collectively contribute to the problem (the trunk of the tree – in this case: “low levels of budget execution”) and the immediate effect (the branches). Using an analysis tool such as the problem tree approach to establish an improved understanding of cause and effect may



assist an organisation such as the City to identify all the factors contributing to a problem or challenge (Evaluation Toolbox, 2010). Through this, it may be possible to enhance solution development – articulated within a refined theory of change, and aligned plans of action.

**Figure 3.4: Example of a problem tree, strengthening analysis (AusAID, 2005, p. 6)**



### 3.5.2. How does the theory of change align with levels of performance management?

Are all the elements included within the outcomes approach (and depicted in a chain of causality, as part of a theory of change) equally applicable to individual performance as they are to group performance? At an organisational level, delivery and the aligned measurement and monitoring thereof is focused primarily on outcomes and outputs. Activities and inputs then serve as a foundation for ensuring and reviewing delivery by those responsible for carrying out individual duties, in support of the defined outputs and outcomes. Further detail in this regard – in the context of the City – is provided in Section 3.6 below.

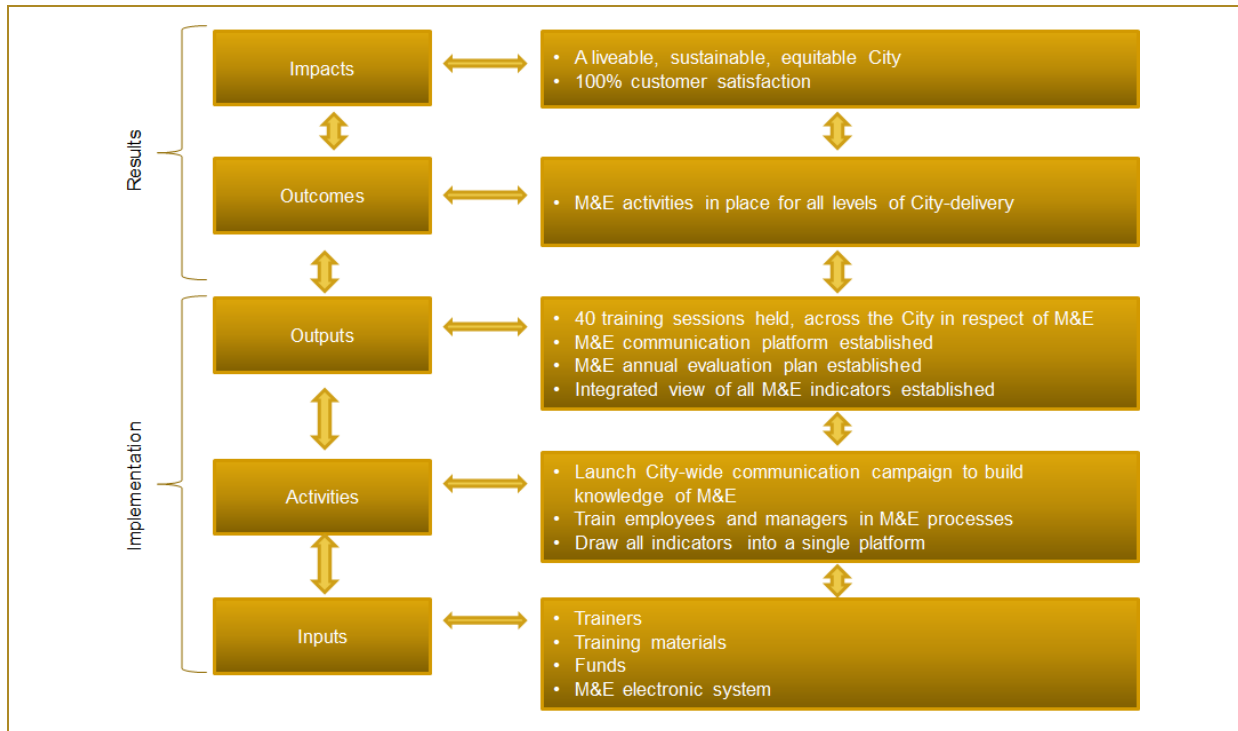
### 3.5.3. The theory of change applied – an example

The figure below demonstrates the process of cascading the concepts relating to the theory of change – in the context of a simple example. The diagrammatical representation serves as a meaningful approach through which to present the espoused ‘theory’ – with its depiction of the outcomes approach and each of the levels of which it is constituted. Through making the assumptions that underpin the identified actions clear, by means of a graphical depiction such as the one below, these assumptions and the overarching logic are open to interrogation, testing, review – and improvement.

As reflected in Figure 3.3 above, it should be noted that there may be numerous outputs contributing to a single outcome, and likewise, there may be numerous activities contributing

to a single output – with the importance of accurate cascading evident. This principle may apply to any level of the model.

**Figure 3.5: Representation of the outcomes approach through a project example**



A well-considered theory of change, active learning and the ability to demonstrate organisational agility is essential for success in any setting. When plans are implemented, outputs or outcomes that differ from those first envisaged may emerge. Circumstances may shift. New challenges may arise. Ongoing monitoring and regular evaluation provides an opportunity to identify the approaches that work and those that do not. This process of reflection may result in a change to the medium or long-term strategy, alongside short-term actions.

Given the above, it is acknowledged that while the vision may remain the same, the strategy (and with it, the identified impacts, outcomes and outputs) may shift – based on learnings and insights gained through M&E activities and the observed results. Through reflection, analysis of assumptions versus experiences, and fine-tuning of the strategy and plan, M&E activities will support the achievement of the City’s long-term vision. Without being open to questioning the defined strategy and the associated activities, outputs, outcomes and impacts through periodic evaluation and ongoing reflection, the City runs the risk faced by so many organisations: following the wrong path. The outcomes approach to M&E provides the platform for this process – and the foundation for making assumptions and theories of change explicit and available for review, debate and refinement over time. This allows for deep, ‘double-loop’ learning – a concept explored below.

### **Box 2.3: Embedding real learning – the art of deep reflection**

*Single-loop learning* in an organisational context involves the identification and correction of an error, in the context of unchanged assumptions, goals, plans or values (i.e. a focus on operationalizing these governing elements, rather than questioning them). In contrast, *double-loop learning* involves a process of also questioning underlying assumptions. The latter form of learning may result in a change to the underlying assumptions, goals and principles themselves – shifting the manner in which organisational strategies are defined (Argyris and Schön, 1978, cited in Smith, 2001). This is the foundation of Senge’s approach to the learning organisation – where underlying mental and views are put to the test, to enable ongoing learning and change.

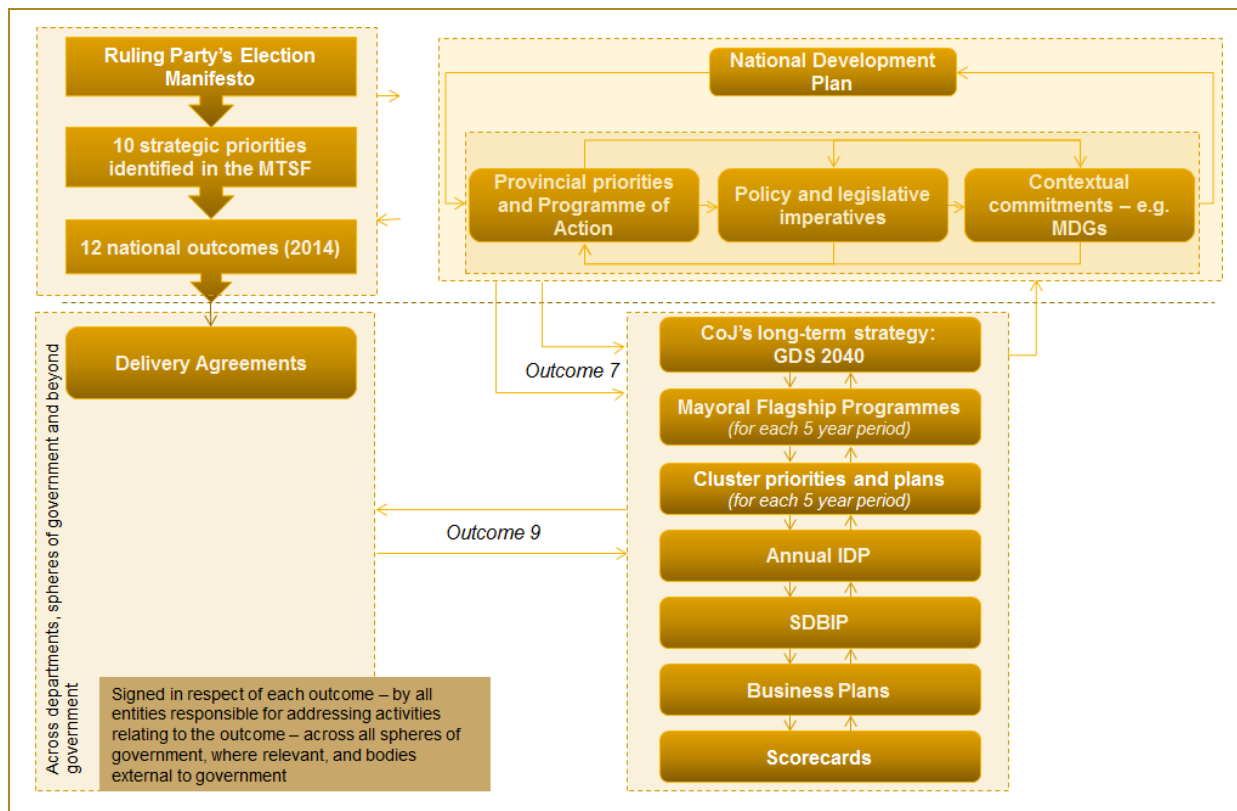
“Single-loop learning seems to be present when goals, values, frameworks and, to a significant extent, strategies are taken for granted. The emphasis is on ‘techniques and making techniques more efficient’ (Usher and Bryant: 1989: 87). Any reflection is directed toward making the strategy more effective. Double-loop learning, in contrast, ‘involves questioning the role of the framing and learning systems which underlie actual goals and strategies (op. cit.)’ (Smith, 2001, p.4)

### **3.6. Ensuring alignment with the national perspective**

As noted in the Joburg 2040 GDS, the City has chosen to align itself with the outcomes approach adopted by national government, in defining its envisaged long-term future. While the long-term vision for the City has been reflected through a set of outcomes, delivery of these outcomes requires systematic focus and the support of a sound and commonly understood M&E approach. Recognising its role as a key link in the delivery chain of government, the City has chosen, through the M&E Framework and the tools that will support it, to establish a rigorous approach to M&E – in support of its commitment to Outcome 9 and the vision reflected in the GDS.

The diagram below depicts the interface between national, provincial and local government commitments – in the context of the outcomes approach. Ideally, a two-way interface should exist between the various strategies and policies, with delivery, experiences, challenges and data collected within each sphere integrated into the collective delivery framework of government. Also reflected is the manner in which the City’s vision aligns with national and provincial planning priorities – and the planning mechanisms used to drive delivery.

**Figure 3.6: Alignment between national/ provincial priorities, and City outcomes**

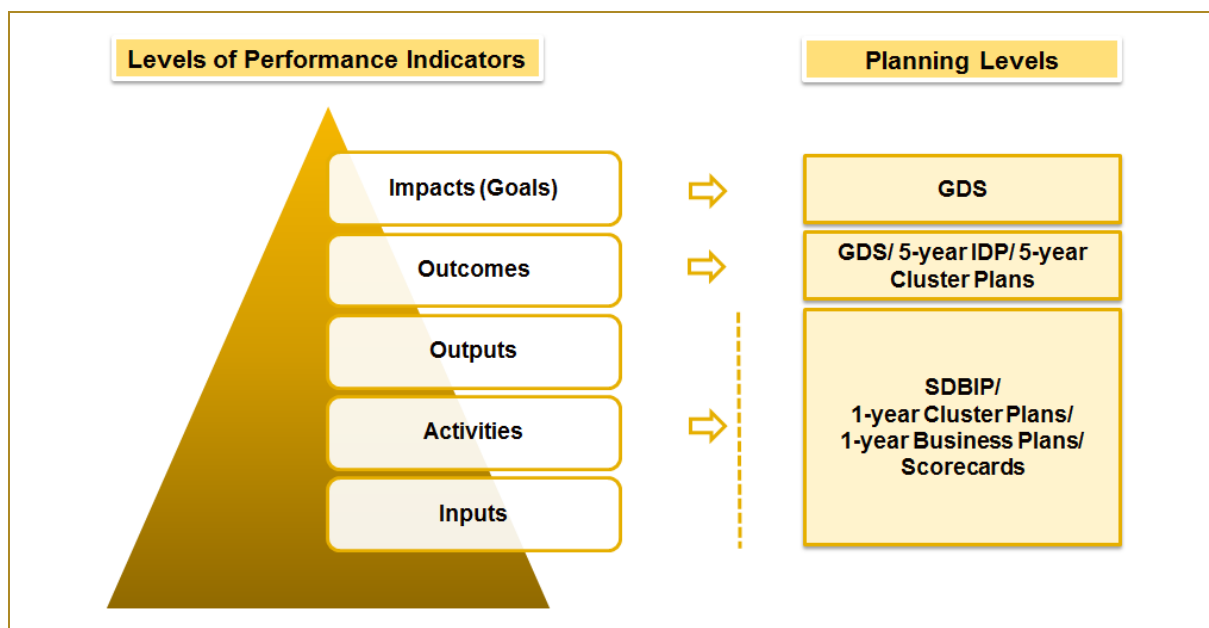


In delivering on the principle of alignment, the City has identified a set of outcomes for 2040 that are aligned to the national outcomes, the provincial priorities and Programmes of Action, the City's vision for 2040 and the principles and paradigms underpinning the Joburg 2040 GDS. Each long-term outcome defined in the GDS has been broken down further into a set of outputs.

Associated activities for delivery in relation to the long-term, medium-term and short-term outcomes and outputs have been identified through a set of five-year IDPs (reflected above as 'cluster priorities and programmes'). The five-year Mayoral Flagship Programmes define key outcome based programmes to be implemented for the Mayoral term (which serve to operationalize the GDS). These are further translated into five-year cluster-specific priorities and plans that address integrated delivery within each of the four clusters. All these plans are then annualised within an annual IDP, the SDBIP, business plans and individual performance plans.

With effective M&E, the mechanisms depicted above and in the figure below are able to interface with each other, forming a system that allows for active learning based on data collection, analysis, reflection, improved 'theories of change' that are used to underpin plans and programmes, and greater delivery-related adaptation.

**Figure 3.7: Alignment between levels of achievement across the outcomes approach – and the City’s planning mechanisms**



Building on the outcomes approach depicted above, the City has adopted a further level of distinction within its M&E Framework, in relation to the concept of ‘outputs’, and those activities that contribute to their achievement.

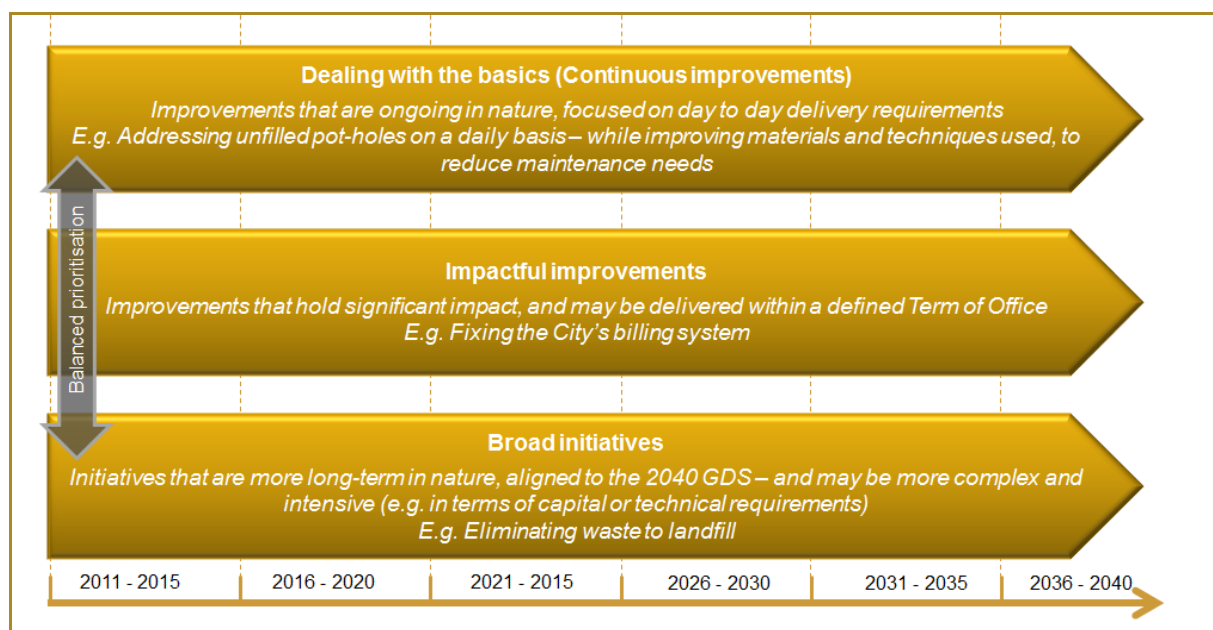
Ongoing delivery on daily priorities is as important as achievement of the big ideas – a truth acknowledged by other organisations<sup>2</sup> that have chosen to adopt a more nuanced approach to the identification of planned outputs. Given the need for a balanced focus on short, medium and long-term responsibilities, the City’s M&E Framework allows for a balance in emphasis across three categories of delivery – namely, ‘continuous improvements’, ‘impactful improvements’, and ‘broad initiatives’.

These concepts emerge as a consequence of the recognition that focusing only on outputs directly associated with those outcomes included in the long-term strategy may lead to the neglect of the City’s day-to-day service delivery obligations. Certain outputs that are necessary for short and medium-term delivery may also not align directly to the ‘big’ ideas reflected in the long-term GDS. Pursuing long-term ideas alone would be to the detriment of those responsibilities that fall squarely within the City’s core mandate – e.g. waste collection and road maintenance. Likewise, if we attended to our day-to-day responsibilities only, the long-term vision reflected in the 2040 GDS will remain a dream. Long-term initiatives such as large capital-intensive infrastructure projects frequently need investments and active development at least ten to fifteen years before project completion. This necessitates a visionary focus – and action in the short and medium-term, for long-term success.

The figure below provides a representation and definition of these concepts, within the context of the City’s long-term planning horizon.

<sup>2</sup> Including, for example, the South African Revenue Service

**Figure 3.8: Categorisation of focus areas – for balanced prioritisation**



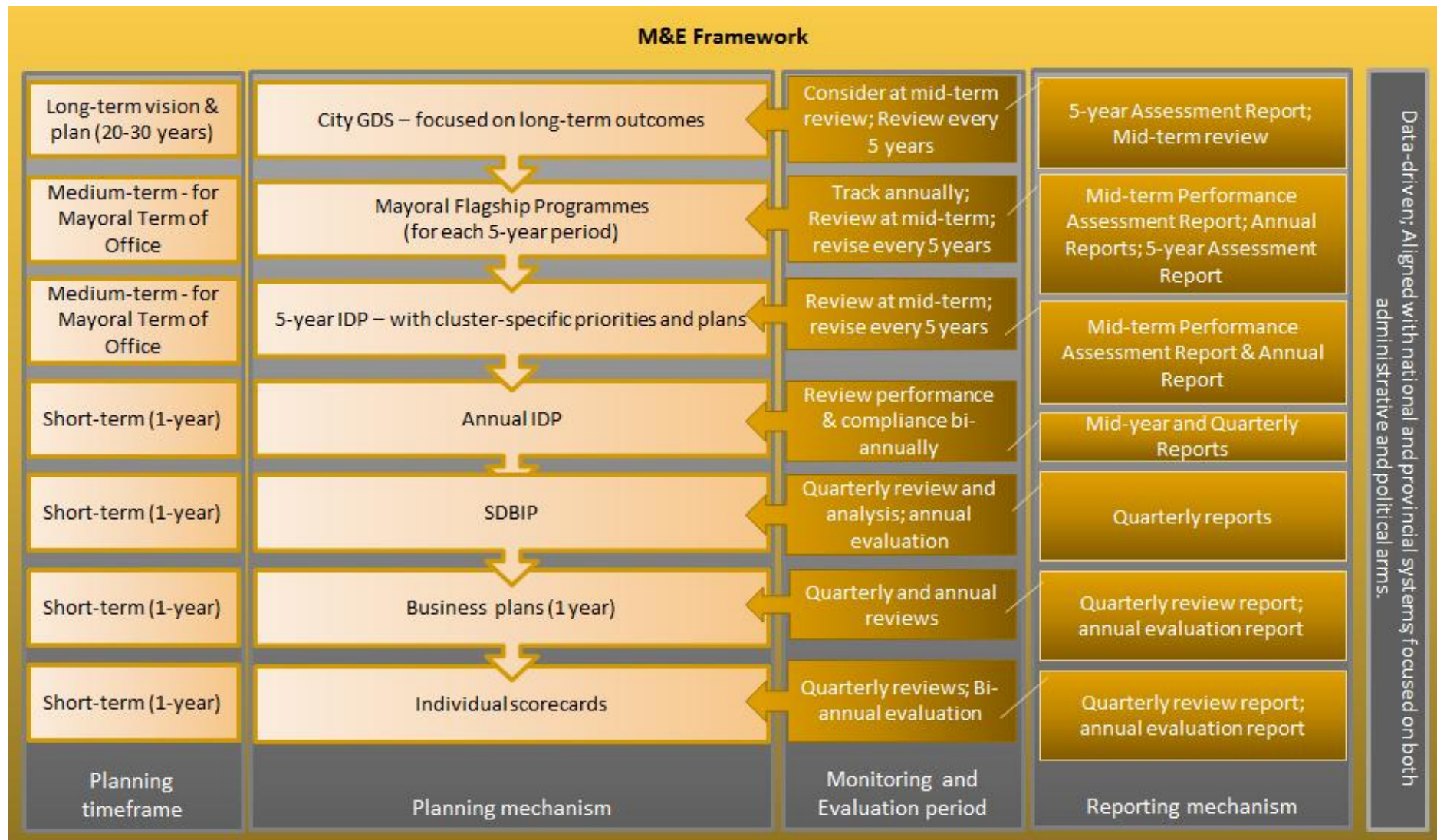
Maintaining a balance between different types of outputs is a significant challenge for all organisations, particularly where resources are limited and where prioritisation is necessary. The City has adopted these categories in acknowledgement of the fact that ongoing delivery is as important as the achievement of big ideas. Balanced focus is required in respect of activities and outputs focused on all three types of outputs.

The above distinctions and the broader application of the M&E Framework within the |City takes place in the context of a tightly regulated and managed annual and five-year planning schedule. The diagram below presents an overarching view of the application of M&E in this context. A view is presented of the various forms of planning, monitoring, evaluation and reporting in place within the City, alongside associated timeframes. Each of the processes and reports linked to planning, delivery and M&E is dependent on the others in the cycle, with the importance of accurate cascading of goals, indicators and measures evident.

Also represented below are the various forms of reporting associated with the different M&E periods. Monitoring reports such as the quarterly review report – as developed in respect of the business plan and individual scorecard implementation – aid in building an understanding of progress and ensuring ongoing strategy-aligned implementation. In contrast, evaluation reports, such as the Mid-Term Performance Assessment Report (undertaken in respect of the five-year IDP and cluster plans) represent time-specific analyses of commitments delivered, and those that remain unmet. As such, the City's annual, five-year and longer-term planning cycle effectively includes elements of a predefined M&E plan. This is depicted alongside the annual performance planning, monitoring, evaluating and reporting cycle.

All activities also take place within a broader national domain, with the objectives, direction and M&E practices (e.g. indicators and targets used) from other spheres of government informing the City's approach.

**Figure 3.9: An overview of planning, monitoring, evaluating and reporting in the City**



## 4. M&E within the context of the City's planning mechanisms

The chapter that follows provides clarity on the principles and values underpinning the City's M&E Framework, before presenting an overview of the delivery context within which the Framework operates – i.e. the Joburg 2040 GDS, with its vision, priorities and defined outcomes, the successive five-year IDPs through which the GDS will be realised, and the annual IDPs. Focus is placed on clarifying how these various planning tools align with the elements included in the outcomes approach. Chapter 5 then builds on these points of clarity, detailing the practical steps through which the various M&E elements are put into action.

### 4.1. Guiding principles for the City's M&E Framework

If we are to realise our long-term strategy as reflected in the GDS, all role-players need to work together. This is the case for both delivery-related actions and those activities more specifically focused on ensuring sound M&E, in support of intended areas of impact, and the associated outcomes, outputs and activities. M&E approaches enable us to track progress against plans and defined objectives, making appropriate adjustments as necessary. To focus all members of the City's 'team' on a common approach to M&E, a set of guiding principles and values have been adopted – with these underpinning all M&E activities. The principles adopted in respect of M&E are as follows:

**Box 4.1: Principles guiding the City's approach to M&E (GWMES, cited in DPME, 2011, p.3)**

M&E:

1. "... should be development-oriented and should address key development priorities of government and of citizens.
2. ... should be undertaken ethically and with integrity.
3. ... should be utilisation-oriented.
4. ... methods should be sound.
5. ... should advance government's transparency and accountability.
6. ... must be undertaken in a way which is inclusive and participatory.
7. ... must promote learning."

Implementation of each of the above principles in the City's context will take place through:

- Ensuring M&E activities focus on measuring progress towards poverty-reduction, economic inclusivity and other indicators of improved development – as per the principles defined within the GDS. The City will carry out regular monitoring on levels of deprivation and inclusivity, using impact assessments to evaluate development-oriented initiatives.
- Data collection, analysis and reporting that is conducted in an honest, respect-driven and unbiased manner, supported by sound M&E systems and capable internal and external role-players.



- A focus on presenting M&E information and findings to the City's internal and external stakeholders in a manner that is accessible, user-friendly, applicable in driving service delivery improvements – and able to contribute to the knowledge-base of the City.
- The use of M&E methodology that is customised to and appropriate for the identified inputs, activities, outputs, outcomes and impacts – with triangulation (i.e. employing multiple sources to improve reliability and validity) and the use of appropriate indicators aiding in building credible findings.
- Continued focus on ensuring optimal stakeholder participation and an environment for transparent engagement, recognising the value this holds for the refinement and revision of the City's strategy and plans – and ultimately, the growth of an active, responsible citizenry. Ongoing M&E activities also serve to support accountability, with this located at two levels: the accountability held by those receiving information through the M&E system, and the accountability held by those providing input and feedback into the M&E system. Those receiving information from the M&E system are obligated to drive reflection and improved performance following the receipt of M&E feedback, while those who are able to provide feedback to the City through its M&E system are also obligated to provide honest, open input – recognising the benefit of this for improved delivery.
- Genuine, focused interactions with all of the City's stakeholders – regardless of who they are or where they are from – across all M&E activities, in the interests of building *“a vibrant, equitable African city, strengthened through its diversity”* (CoJ, 2011, p.3).
- Systems and processes which support reflection, learning and an improved understanding of causality – with regular M&E activities leading to refined plans and activities, and a process of organisational 'renewal'. Opportunities for individual, team and the organisational learning will be maximised through M&E – with regular reflection on the roll-out of plans enabling active learning, greater agility and, with the application of insights emerging, improved outcomes.

#### **4.2. Values framing the City's delivery approach**

The City's Value Code, identified as applicable in the context of the City's performance management system, is also included here, given the applicability of the values to the M&E Framework that in itself serves to support effective performance management. The section that follows provides an overview of the manner in which these values translate to the domain of M&E.

**Box 4.2: Values guiding the City's approach to M&E (CoJ, 2009a, pp.15-16)**

“The values are the heart and soul of the City. They are the fundamental notions of ideal behaviour – the set of beliefs upon which decisions are made and actions taken. The performance management related principles drive the design and implementation of the performance management system itself.

The City of Johannesburg's Value Code:

We:

- Are accountable to the community that we serve and act on behalf of the residents of the City of Johannesburg by focusing our efforts on discovering and meeting our customers' needs;
- Believe in transparency and are open to scrutiny in all that we do;
- Are honest and uncompromising in producing work that meets the service delivery requirements of our City;
- Are committed to the transformation of our society and our workplace and will ensure equity and anti-discrimination in all we do;
- Show concern for people, support and respect our colleagues and customers and encourage the growth and development of everyone we work with;
- Value the fair and consistent treatment of staff and customers;
- Believe in transparent participation promoting fair, yet efficient, decision-making while encouraging individuals to accept responsibility for their work and contribution to the City.”

Implementation of the above values in the City's context will take place through the following M&E associated actions, amongst others:

- Ongoing engagement with citizens, through processes such as the GDS Outreach and other forms of active, two-way communication;
- Honest communication of M&E plans, processes, delivery, findings and impact;
- Rigorous engagement in discussion and analysis through the various M&E platforms – to ensure delivery is aligned across the short, medium and long-term;
- Driving the concept of transformation and open engagement through both processes and deliverables associated with M&E activities;
- Interacting openly and constructively with all across the City, in all M&E interactions – and thereby promoting growth and improvement at the individual, unit and organisational level;
- Ensuring all understand their areas of responsibility, and are equipped to deliver, through clarity provided in respect of M&E roles and responsibilities, and the provision of supporting methodology and tools; and
- Engagement with all internal and external stakeholders in a responsible, fair, transparent and accountable manner – recognising that the vision and outcomes stated in the City's long-term GDS depend on collective and integrated delivery by all.

The Joburg 2040 GDS serves as the foundation on which M&E activities are centred, given its articulation of outcomes and impacts to be realised in the long-term. This therefore serves as the starting point for understanding the emphasis of M&E in the City.

### **4.3. The Joburg 2040 GDS: the ultimate compass for M&E in the City**

The 2011 local government elections saw the City enter a new Mayoral term, ushering in a refinement process in terms of the City's long-term vision and guiding framework at the time, the '2006 GDS'. The City undertook an intensive review of City priorities, building on existing strategies and plans, commitments and areas of delivery – while acknowledging new challenges and priorities emerging at other levels (international, regional, national, provincial and local). An extended research, analysis, reflection and stakeholder engagement process culminated in the launch of the City's Joburg 2040 GDS in October 2011 – a long-term strategy defined as the 'compass' by which the City and all those who work within it will steer themselves, to achieve a commonly held vision:

*“Johannesburg – a World Class African City of the Future – a vibrant, equitable African city, strengthened through its diversity; a city that provides real quality of life; a city that provides sustainability for all its citizens; a resilient and adaptive society.”* (CoJ, 2011, p.3)

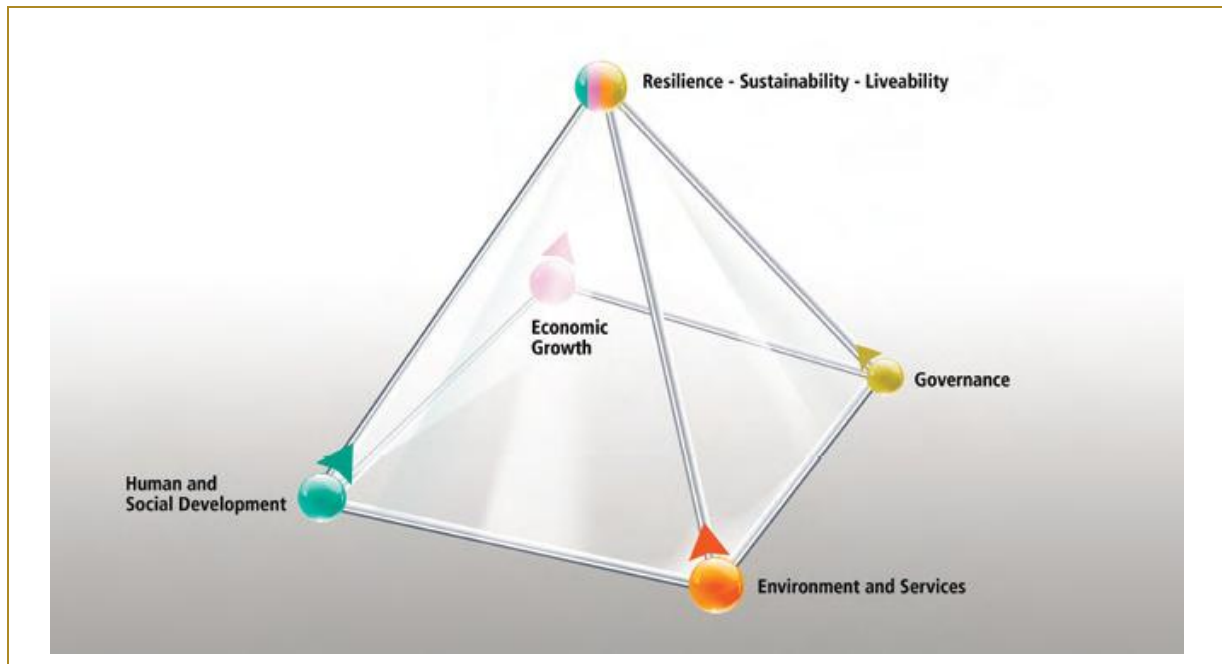
The City aims to deliver. To do so, continuous monitoring and regular evaluations are necessary, to ensure all actions and outputs are on track and aligned with the envisaged outcomes, and, ultimately, the desired impacts reflected within the GDS.

But M&E activities are not only important in ensuring the ongoing delivery on the outcomes reflected within the GDS. The concept of governance is central to the GDS, with its role – and the importance of M&E activities for its achievement – addressed below.

#### **4.3.1. The GDS paradigm, and the location of 'good governance' within it**

To focus attention, the Joburg 2040 GDS incorporates a 'GDS paradigm', which serves as a lens through which to view and understand the City's responsibilities, priorities and the outcomes envisaged for the future. The paradigm sets the City's sights on the concepts of resilience, sustainability and liveability, while acknowledging that the achievement of these concepts will require careful management of the tensions between four primary inter-related drivers: human and social development; inclusive and productive economic growth; environment and services; and governance. These interrelationships are depicted in the figure below:

**Figure 4.1: The Joburg 2040 GDS paradigm (CoJ, 2011, p.23)**



This paradigm acknowledges ‘governance’ as a critical driver. The Joburg 2040 GDS reflects further on the importance of “[s]ustained, regular and non-partisan participation in city-development – by all types of City stakeholders”, communication, trustworthiness, accountability, responsiveness – and a clear, transparent governance framework through which to mediate the City’s tensions between “urban management, enforcement and the protection of rights” (CoJ, 2011, p.32). Ensuring a balanced delivery on commitments, while maintaining an ongoing awareness of possible tensions between different priorities so that these can optimally managed, requires up to date information and the type of insights that can only emerge when a rigorous M&E approach is in use. The concepts relating to M&E are located firmly within the same domain as ‘governance’, with governance requiring careful implementation of appropriate structures, systems, processes, people and the right type of culture to support the principles of fairness, accountability, responsibility and transparency are applied by all.

Applying the M&E Framework requires an understanding not only of the activities and deliverables associated with the framework, but an appreciation of the principles and long-term outcomes the framework ultimately supports. These are detailed below.

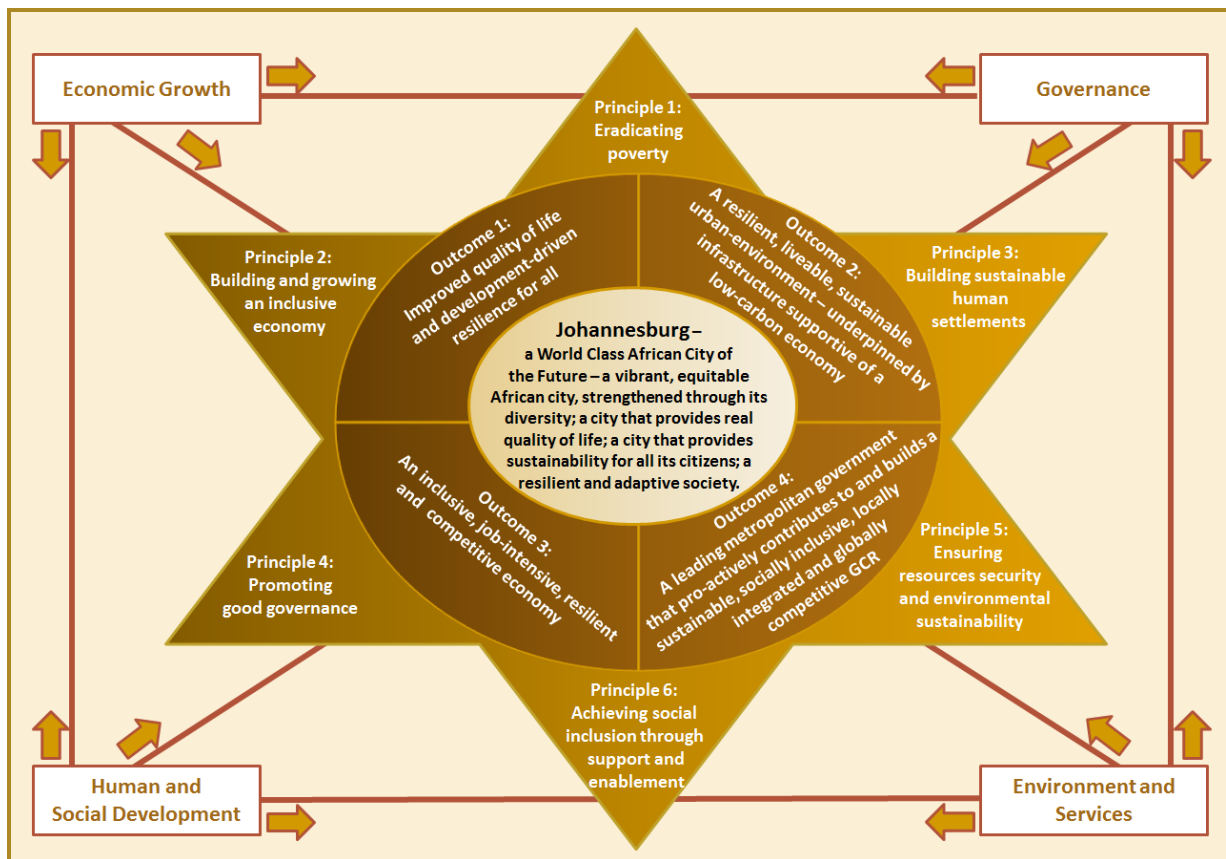
#### **4.3.2. Defining the City’s future focus: The GDS’ principles and long-term outcomes**

Building on the direction provided by the GDS paradigm, the City has defined six guiding principles that provide clarity on its approach to development – aiding decision-making, prioritisation and budgeting. The figure that follows depicts these principles, alongside the vision identified for the Johannesburg of 2040, the key drivers, and four emerging outcomes. The latter serve as the basis for planning and navigation in the short, medium and long-term. Within the GDS, these outcomes are reflected through a set of outputs that are defined in relation to each outcome. Proposed indicators are also detailed, providing an initial view of

the tools through which achievement of the envisaged outputs and outcomes can be assessed.

All plans and deliverables across the City should ultimately focus on steps that enable achievement of these outcomes and thereby, the Joburg 2040 Vision. Aligned outputs assist in driving delivery, as reflected through the identified indicators included in the GDS itself.

**Figure 4.2: The Joburg 2040 GDS vision, paradigm, principles and outcomes**

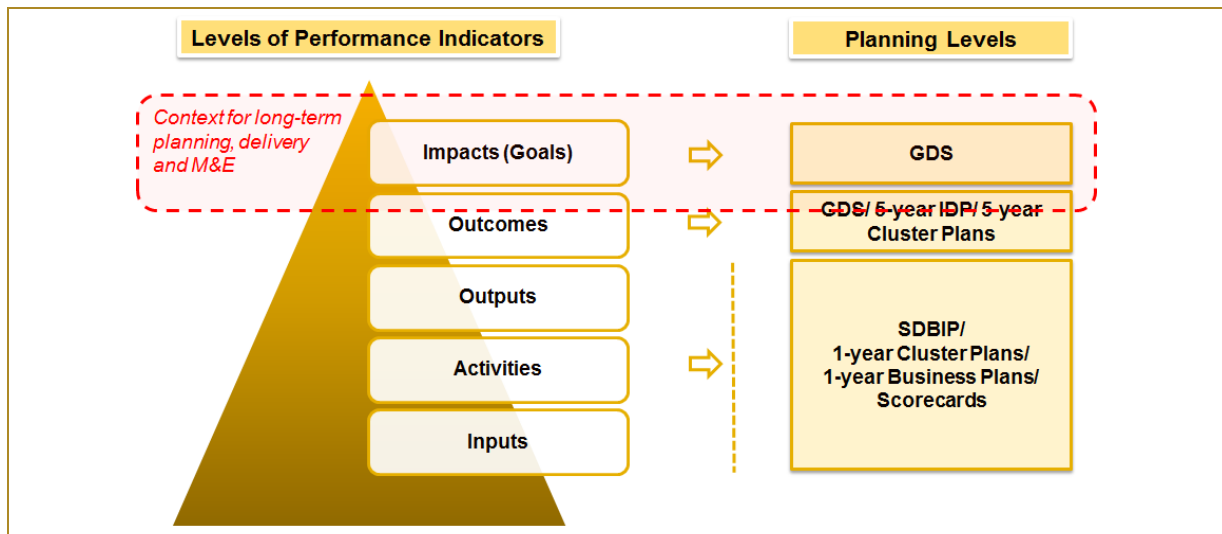


Delivery on the four outcomes is dependent on a concerted effort and focus by all within the City – particularly as long-term outcomes frequently require the achievement of targeted outputs and supporting activities in the short and medium-term.

What does this mean for M&E practice in the City? The figure below provides an indication of the applicable level of emphasis within the outcomes approach, in relation to the GDS-focused goals. As is evident, M&E activities undertaken in the context of the GDS' ultimate goals should emphasise delivery on impacts and to an extent, outcomes. Each mid-term review undertaken in respect of delivery on the GDS will need to reflect on these elements, within the outcomes approach (please see Figure 3.8, should further clarity be required).

This targeted focus is depicted in the figure below.

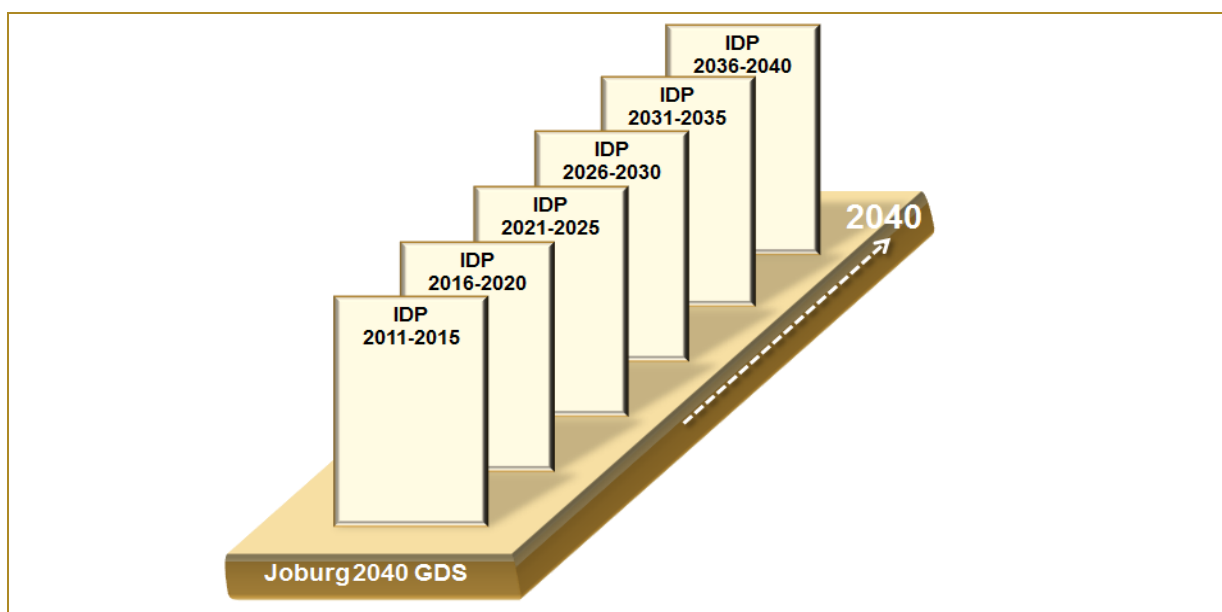
**Figure 4.3: Focus of M&E activities in the context of the City's long-term GDS**



**4.4. Locating M&E activities associated with the five-year IDP and cluster planning process**

As noted in Chapter 3, the legislated five-year IDP process assists in translating the GDS' long-term impacts and outcomes into measurable and achievable targets. In the City's case, these are framed within the context of the Mayoral Flagship Programmes, located within five-year IDPs that contain cluster-specific priorities and plans. It is through only through working 'backwards' from 2040 to our current IDP period that we will be able to successfully cascade the intended impacts and outcomes reflected in the GDS, and ensure progressive delivery through each five-year period. This is reflected in the figure below.

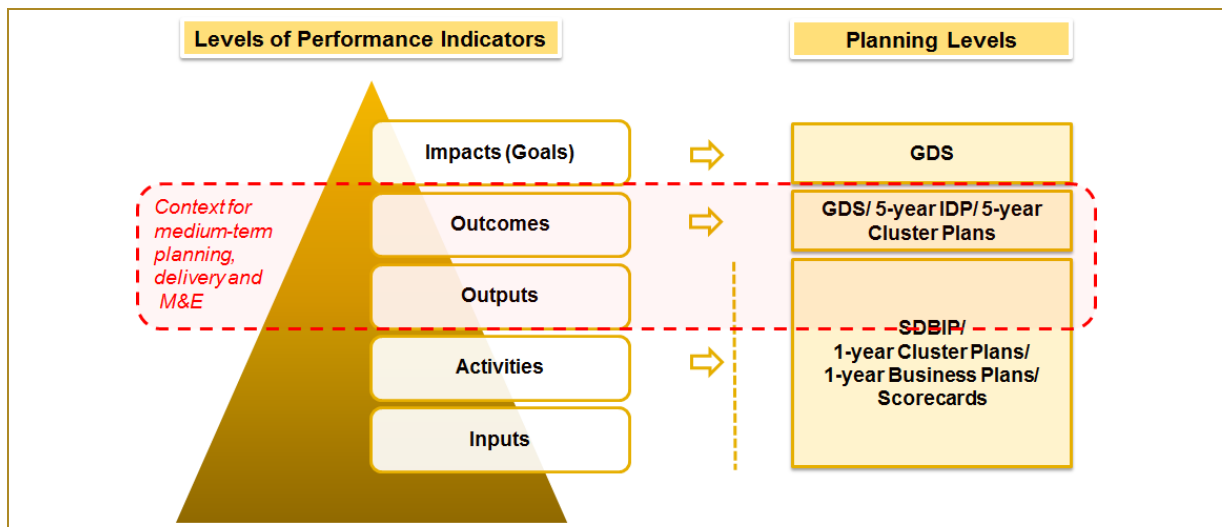
**Figure 4.4: Focus of M&E activities in the context of the City's long-term GDS**



Through this process of cascading, the City’s M&E mechanisms across each successive period serve as a form of glue, aligning the delivery targets of all sections of the City through a metro-wide ‘theory of change’, and thereby the supporting achievement of City-wide outcomes and impacts defined within the GDS. While the City has performed certain M&E functions to date, the GDS lays the foundation for a refined M&E Framework.

The figure below provides a clear view of the focus of the five-year IDP and associated cluster plans, where M&E initiatives are more oriented towards understanding the achievement of medium-term outcomes and in some areas, outputs, aligned to the long-term impacts.

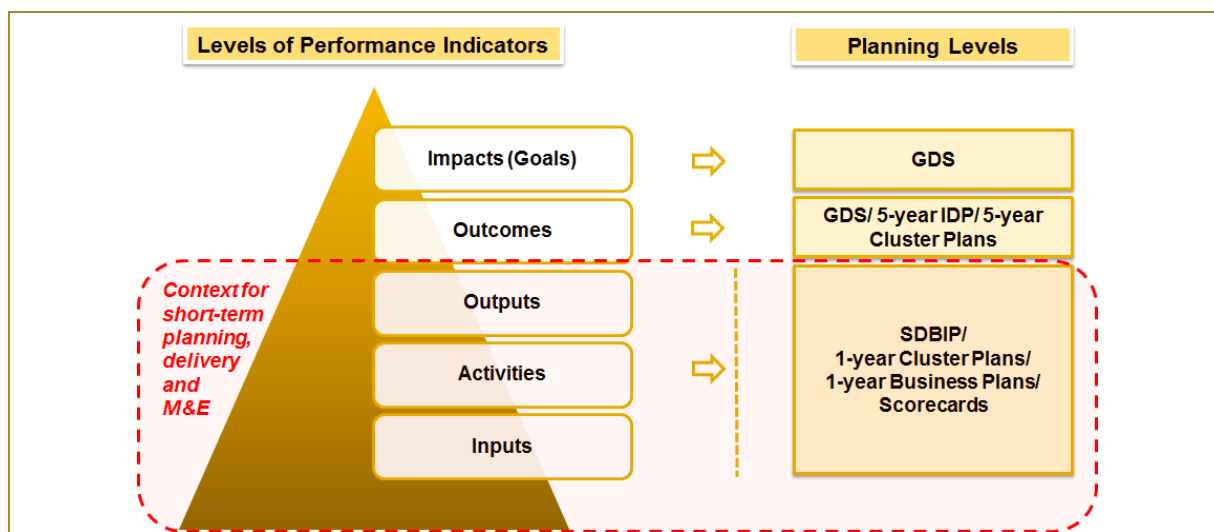
**Figure 4.5: Focus of M&E activities in the context of the City’s long-term GDS**



#### 4.5. Locating M&E activities in relation to the annual IDP, SDBIP, Business Plans and Scorecards

The final level of M&E activity within the City relates to the more short-term elements in the City’s planning cycle – reflected through planning tools such as the SDBIP, the annual IDP, annual Business Plans and individual scorecards. This is depicted in the figure below.

**Figure 4.6: Focus of M&E activities in the context of the City’s annual planning tools**



Through rigorously undertaking each level of planning outlined above, and ensuring that the associated delivery, M&E, reporting, communication and feedback mechanisms are in place, the City will be well-positioned to deliver on its envisaged long-term priorities and ideals – as reflected in the GDS. This clearly requires effort from all parts of the organisation, and each individual who contributes on a daily basis in ensuring delivery to those we aim to serve.

Without following a systematic process of cascading impacts, outcomes, and outputs – such as that detailed above – any achievement of our long-term goals will be a case of ‘hit or miss’. Focused cascading of rather than a carefully orchestrated performance of which all can be proud.

The following chapter addresses the ‘how’ of M&E, providing further clarity in the context of five key levels of focus in respect of delivery – whether related to impacts, outcomes, outputs, activities or inputs:

- Planning for M&E;
- Conducting monitoring;
- Conducting evaluations;
- Reporting on delivery;
- Communication and feedback.



## 5. HOW: Putting the M&E Framework into practice

The chapter that follows addresses the question of how the M&E Framework should be implemented in practice. It therefore seeks to integrate the ideas reflected in the preceding sections, with focus placed on the establishment of a City-specific M&E Framework. As noted, on final adoption of this overarching framework, a practical guideline for step-by-step implementation will be provided, in the form of a supporting M&E Handbook.

Emphasis here is placed on the following five key phases within the M&E rollout process:

- **Phase 1:** Planning for M&E;
- **Phase 2:** Conducting monitoring;
- **Phase 3:** Conducting evaluations;
- **Phase 4:** Reporting on M&E findings – within the context of the City’s reporting mechanisms (e.g. the annual report, external assessments, surveys, etc.) and any alternative reporting tools or mechanisms deemed appropriate; and
- **Phase 5:** Communicating and providing feedback in respect of M&E and delivery.

Details relating to the roles and responsibilities associated with the M&E Framework are included in Annexure 2. Certain areas of responsibility are also commented on within this chapter, in the context of specific activities.

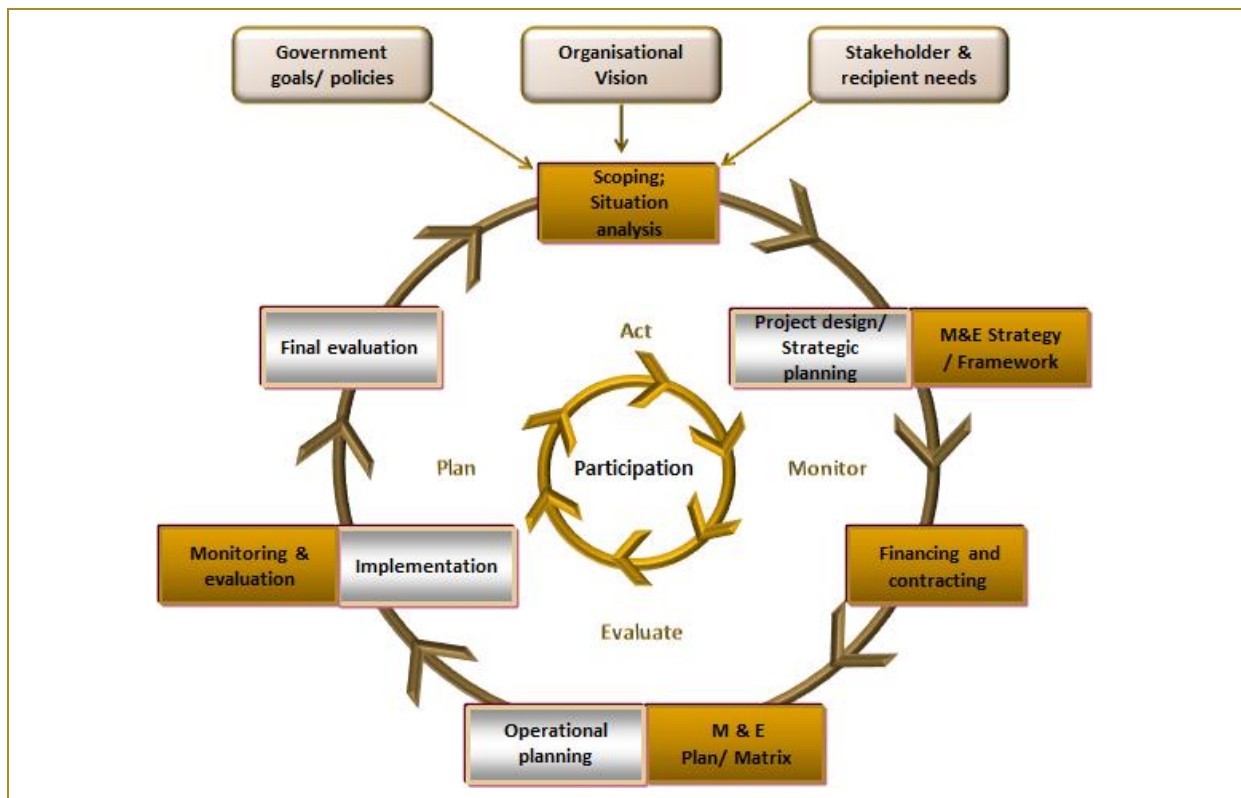
Before addressing each of the phases highlighted above, focus is placed on the place M&E activities occupy in the context of the City’s planning cycle. This is then followed with a description of each of the five phases highlighted above.

### 5.1. Placing M&E activities within the City’s planning cycle

Figure 5.1 below depicts the relationship between M&E planning and the typical processes and steps undertaken in planning for and delivering on a departmental, organisational or project plan. The alignment between project/ departmental plan-specific activities and M&E is reflected in the context of four elements: planning, acting, monitoring and evaluation. While not reflected here, it should be noted that the steps of ‘reporting’ and ‘communicating’ M&E analysis are also critical, if an organisation is trying to truly maximise the benefits that M&E processes and systems could bring.

An organisation-wide M&E system will only succeed if the steps reflected on here are carried out at multiple levels across the organisation – i.e. at a City-wide, cluster, departmental/ entity, and individual level. Planning must include consideration of M&E activities at all levels, for delivery in the context of the ‘whole’.

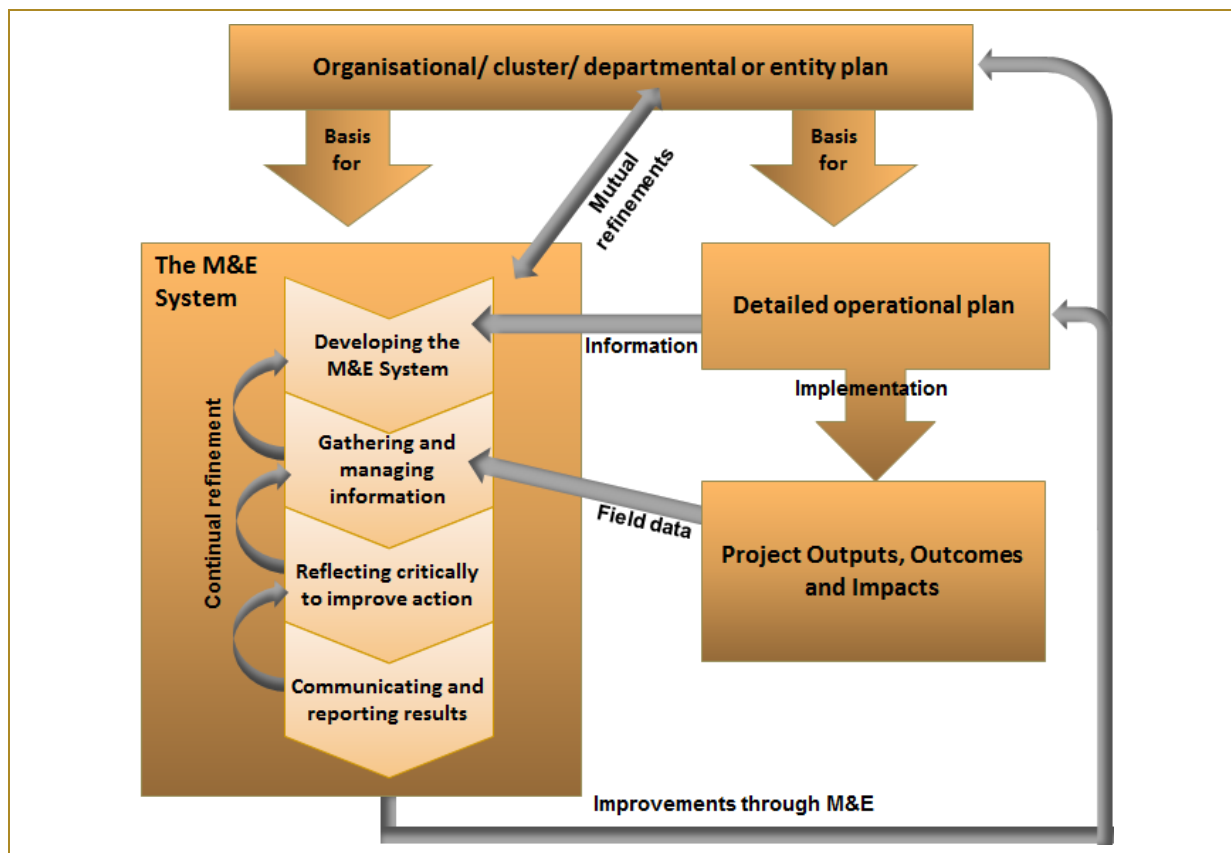
**Figure 5.1: The M&E cycle in the context of an organisational planning/ project cycle (Adapted from Wageningen UR, 2010)**



The process of planning for M&E forms the first step of the cycle, with the need for dual planning in respect of delivery (at various levels – e.g. organisational and cluster-related) *and* the associated M&E activities reflected above. Planning for M&E activities and deliverables should therefore occur at the same time that strategic planning or project planning activities are undertaken – i.e. at the very start of the performance cycle.

M&E activities cannot be considered independently of the overall strategy or project within which they occur. Through identifying the approach to be followed in relation to M&E, questions may be raised about the project or strategy itself. In this way, M&E supports further learning and the refinement of action plans. This is reflected in the figure below, in the context of various ‘loops’ of learning that flow between the M&E system, and plans and processes for operational delivery.

**Figure 5.2: M&E in the context of the project strategy and operational rollout (Adapted from IFAD, 2002a, p.4)**

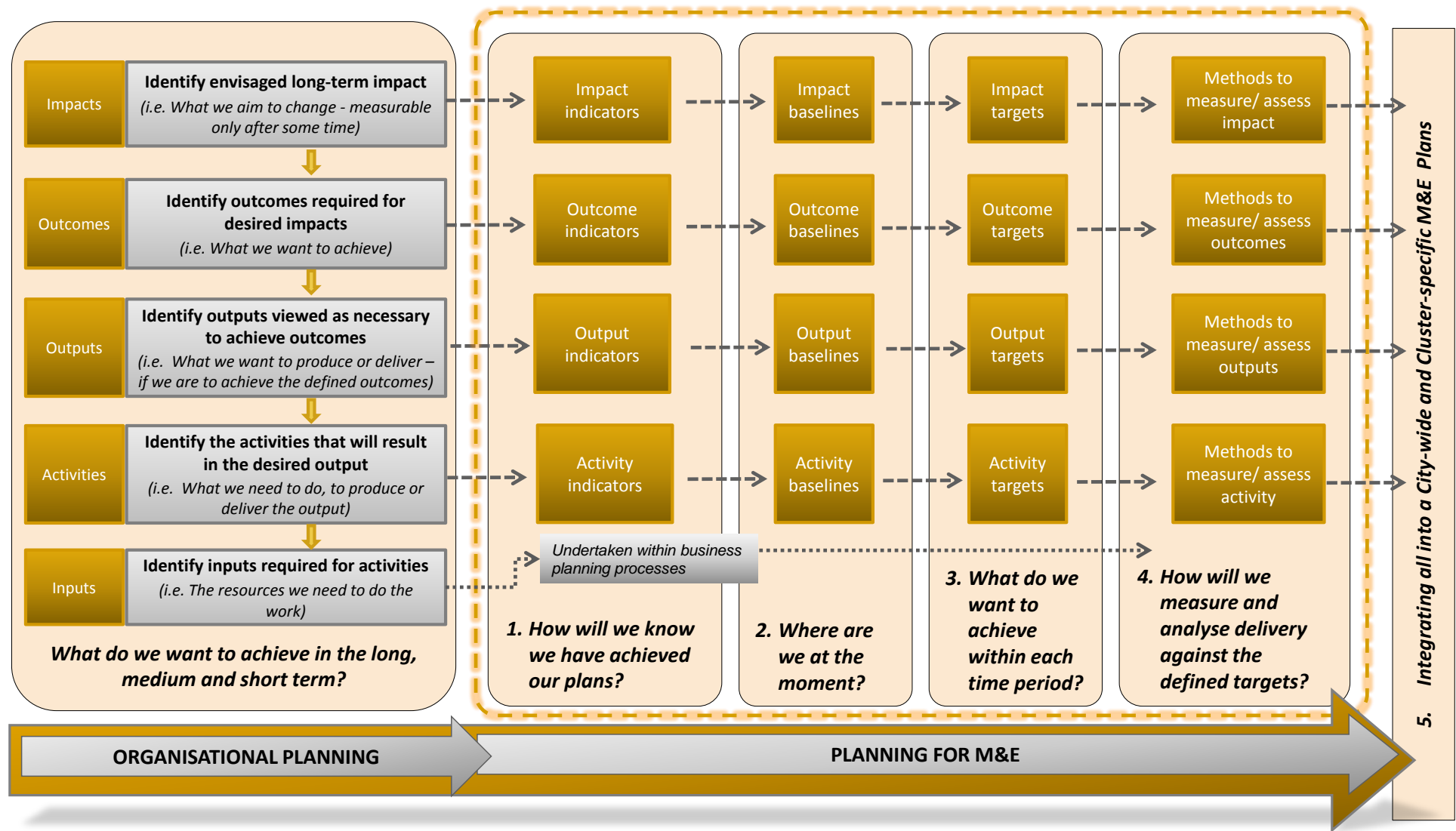


Two levels of planning are therefore necessary in the context of an outcomes approach to M&E. The first relates to the organisational, cluster, departmental or project strategy/ plan, while the second relates to M&E. While the former is critical in ensuring we have our sights set on the right goals, the latter supports delivery, keeping actions on track and allowing for corrective action where necessary. M&E planning therefore serves as a necessary foundation for meaningful tracking, assessment and review of performance and delivery. It is this area of planning that forms the primary focus of this document. Given the fact that M&E activities are of little use when carried out in the context of a poorly devised organisational, cluster, departmental or project plan, an overview of operational planning and the steps involved is provided in Annexure 3. The issues flagged within the annexure will also be included within subsequent revisions to the City’s Performance Management Framework. The steps specifically associated with planning for M&E are outlined below, with these followed by detail relating to the other key elements of the M&E cycle (i.e. monitoring, evaluation, reporting, communication and feedback).

## 5.2. Phase 1: Planning for M&E in the City

Figure 5.3 below provides a view of the key steps that are to be addressed when planning for M&E. This is placed in the context of other forms of planning – e.g. organisation-wide planning. The four questions framed in relation to M&E planning form the basis for the step-by-step process that is addressed in the section that follows.

**Figure 5.3: Steps associated with M&E Planning**



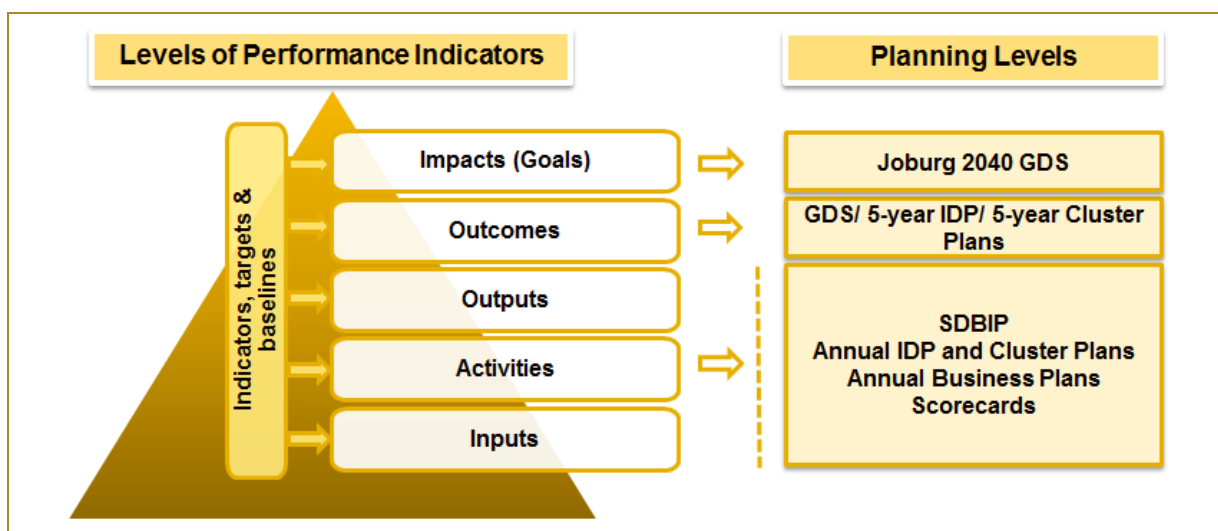
### 5.2.1. ‘How will we know we have achieved our plans?’ Identifying indicators (Step 1)

While the delivery or operational plan itself should address questions relating to what the City aims to deliver (whether in the short, medium or long-term), how will we know we are on track – or that we have achieved our original objective? Regardless of whether we are looking at the achievement of impacts, outcomes or outputs as defined in the operational plan, we need to identify the appropriate indicator that will enable assessment. It is only through measuring the right things, and assessing delivery in the appropriate way, that the City will be able to ensure sound delivery across all plans, adapting when necessary.

The first step in preparing for M&E relates to the identification of indicators. These “...are measurable or tangible signs that something has been done or that something has been achieved” (Shapiro, 2002, p.14). They are “the quantitative or qualitative variables that provide a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of an organisation against the stated outcome” (Kusek & Rist, 2004, p.65).

Adopting the outcomes approach to M&E necessitates the identification of indicators, targets and baselines for each aspect of the model, as depicted in the figure below. For example, an outcomes indicator such as “percentage of households with access to basic water” may be identified alongside a more short-term activity indicator such as “number of inspectors trained”. This allows progress to be monitored and adjustments to be made at the appropriate level (i.e. in respect of inputs, activities, outputs, outcomes and goals or impacts) – within the context of the relevant planning mechanism (e.g. business plans, the annual IDP, the SDBIP, the Cluster Plan, or the GDS).

**Figure 5.4: Identifying indicators in the context of the outcomes approach to M&E**



When selecting indicators, focus should be placed on ensuring alignment with:

- The interests and concerns of various stakeholders;

- The needs of managers and ‘doers’ in respect of knowledge management – and the depth of insight required in respect of the status quo and progress against activities, outputs and outcomes, for performance gaps to be addressed;
- The elements addressed via the ‘CREAM’ criteria (Kusek & Rist, 2004, p.68), which specifies that indicators must be:
  - **C**lear           Precise and unambiguous
  - **R**elevant       Appropriate to the subject at hand
  - **E**conomic       Available at a reasonable cost
  - **A**dequate       Provide a sufficient basis to assess performance
  - **M**onitorable    Amenable to independent validation”
- Time, quality and quantity parameters, where this is possible (AusAID, 2005) – e.g. “percent change in revenue collected by 2015”. Through using high levels of specificity, the City will be better prepared for the task ahead.

In identifying indicators, we should be cognisant of those indicators that are currently in place within the City, given the cost and resource implications associated with the establishment of new indicators, and the collection of aligned data. However, while access to information is a valid concern, indicators should not be identified on this basis alone. The most critical consideration is whether or not indicators are ‘relevant’ when viewed in the context of the planned impact, outcome, output, activity or input.

It is also important to note that the identification of activities and inputs is more likely to take place within a business plan or project chart, instead of falling within the domain of an annual or a five-year IDP. As such, many of the templates included here do not address this level of detail.

The GDS provides a set of indicators that serve as valuable starting points for the identification of indicators, particularly when planning for M&E in relation to long-term impacts and outcomes. These GDS indicators should be reviewed in the context of the criteria identified above, and confirmed if relevant. Following this, indicators can then be cascaded, with identification of suitable indicators for each level of delivery within the outcomes approach. This process allows for confirmation of the relevance of indicators, while also aiding self-reflection on operational plans themselves – and areas in which adjustments may be needed. An example of the type of indicators provided within the GDS are those reflected for the first outcome of “Improved quality of life and development-driven resilience for all”. Indicators include, amongst others: the Human Development Index, the Poverty Rate and the Food Security Index. These may be broken down further into individual index elements, when monitoring delivery at the level of outputs and activities.

Once indicators have been set, baselines and targets for the relevant timeframe must be identified for each indicator, alongside identification of suitable sources of information against which changes will be tracked.

### 5.2.2. 'Where are we at the moment?' Setting baselines (Step 2)

Baselines provide a view of "...the situation before you do anything" (Shapiro, 2002, p.28). Targets for future levels of achievement cannot be set without a clear sense of the status quo. The City's Group Performance Management Guidelines document notes that "baseline information (quantitative or qualitative)...provides data at the beginning of, or just prior to, the monitoring and evaluation period. The baseline is used to:

- Learn about recent levels and patterns of performance on the indicator; and to
- Gauge subsequent programme, or project performance i.e. future performance targets." (2009, p.33)

Baselines must be identified for each indicator across all levels reflected in the outcomes approach (i.e. impacts, outcomes, outputs, activities and inputs). In identifying baselines, focus should be placed on a measure of the status quo, in the context of the defined indicator. In the event that the indicator is new, baseline estimates may be formulated through:

- Reviewing statistical reports that present sector-wide standards or levels of delivery, in the context of other local government environments (e.g. Stats SA reports);
- Conducting a brief survey or data collection process, to establish a sound baseline;
- Identifying a comparable group, for which a baseline does exist.

Accurate evaluation is difficult when baselines are not in place for each of the identified indicators at the initial start of the delivery period (DPME, 2011). While some circumstances provide M&E practitioners with no alternative but to commit to the establishment of baselines only after the first year within which a new indicator is used, this approach is suboptimal. Operating without a baseline jeopardises real analysis of changes in outcomes, as movement is made towards the defined targets. It also places the City at risk of setting inappropriate targets. Those setting indicators should be conscious of the fact that each indicator will need a baseline, and will need to be supported by systems for data collection, analysis, reporting and communication. Should indicators change, the baseline will need to change accordingly. This may lead to challenges in tracking progress, backlogs and effective remedies. Given this fact, it is not advisable for indicators to be changed on a regular basis.

The table below provides a platform for decision-making on, and the management of baseline data in respect of each indicator. Once the approach to baseline data has been determined, this framework can also be used for subsequent collection of further information relating to each indicator – thereby supporting the tracking of delivery against the defined plan. This table is also included in Annexure 5, as a supporting template to the M&E Framework.

**Table 5.1: Integrating indicators with data management (Kusek & Rist, 2004, p.82) – (Annexure 5)**

Indicator	Data source	Data collection method	Who will collect the data?	Frequency of collection	Cost and difficulty to collect	Who will analyse the data?	Who will report data?	Who will use the data?
1								
2								
3								

The columns relating to data source and data collection method are as applicable for M&E activities, as they are for the initial baseline definition. The section below addresses the various approaches to data collection that may be included within an M&E plan.

### 5.2.3. What do we want to achieve for each time period? Identifying targets (Step 3)

Once a baseline has been set for each indicator, a target can be identified for the planning period ahead, where this serves as “...a specified objective that indicates the number, timing and location of that which is to be realised” (IFAD, 2002, cited in Kusek & Rist, 2004, p.90). Targets should be set for each indicator level applicable within the context of the City’s planning timeframes (i.e. for indicators addressing the level of ‘impacts’; ‘outcomes’; ‘outputs’; ‘activities’; and ‘inputs’). As a result, targets will therefore need to be set for indicators framed in the context of the City’s long-term GDS, the five-year IDP and Cluster plans, the aligned Mayoral Flagship Programmes and the one-year IDP, SDBIP, business plans and individual scorecards. In this way, responsibilities for delivery against the various targets are cascaded.

Kusek and Rist (2004) argue that the following should be considered when setting targets:

- The baseline and the level of improvement envisaged – with the target then serving as an expression of the baseline state with the improvement included;
- Past performance in respect of the indicator, or alternatively, related levels of delivery;
- The volume and quality of resources available to support delivery in the period ahead – with due consideration of other priorities that may demand resources;
- Commitments made to stakeholders – including the electorate;
- The extent to which potential targets are ‘realistic’ – i.e. the extent to which they are feasible, when considered in the context of milestones to be reached before the target is realised.

As with individual target setting (CoJ, 2009a), targets at this level should be SMART - :

- S** - Simple, clear and understandable
- M** - Measurable, in terms of quantity and where possible, quality, money and time
- A** - Achievable and agreed
- R** - Realistic – within the control of the responsible parties, but challenging
- T** - Timely – to reflect current priorities; assessable within the defined reporting period



Targets may be stated in the context of: **time** (e.g. in relation to milestones), **quality** (with quality parameters including, for example, a focus on deliverables that are 'relevant', 'practical', 'legislatively compliant', etc.), **quantity** (e.g. total cost, count, an average, etc.) or **any combination thereof**. Quantitative targets may also include "target ranges as opposed to single numeric values" (CoJ, 2009a, p.34).

How firm should targets be? Adhering steadfastly to poorly devised or unrealistic targets is counter-productive. During delivery and during the processes of M&E, stakeholders may realise that targets, or the indicators against which they are set, are poorly suited to the task. In such circumstances, the target and/ or indicator, if necessary, should be revisited, to ensure relevance. When targets are defined in the context of a multi-year model, the starting point should be the long-term project or deliverable. Each year, targets need to be set and potentially revised with this end objective in mind, given learnings from the period that has passed. Focus should remain on the long-term target. Once targets have been defined, the next step in the M&E planning process requires focus. Step 4 addresses the 'how' aspect of M&E in the context of targets, baselines and indicators.

#### **5.2.4. How will we measure and analyse delivery against the defined targets? (Step 4)**

While information collection for M&E purposes only takes place after the completion of the planning period, the planning stage must include the identification of appropriate information sources or 'Means of Verification' (MoV) – i.e. mechanisms through which progress against defined targets is to be assessed, for both evaluation and monitoring. Kusek and Rist (2004, p.82) provide the following questions, to be considered when identifying an information source for baseline data, and for subsequent measurements of progress against indicators, following the initiation of delivery:

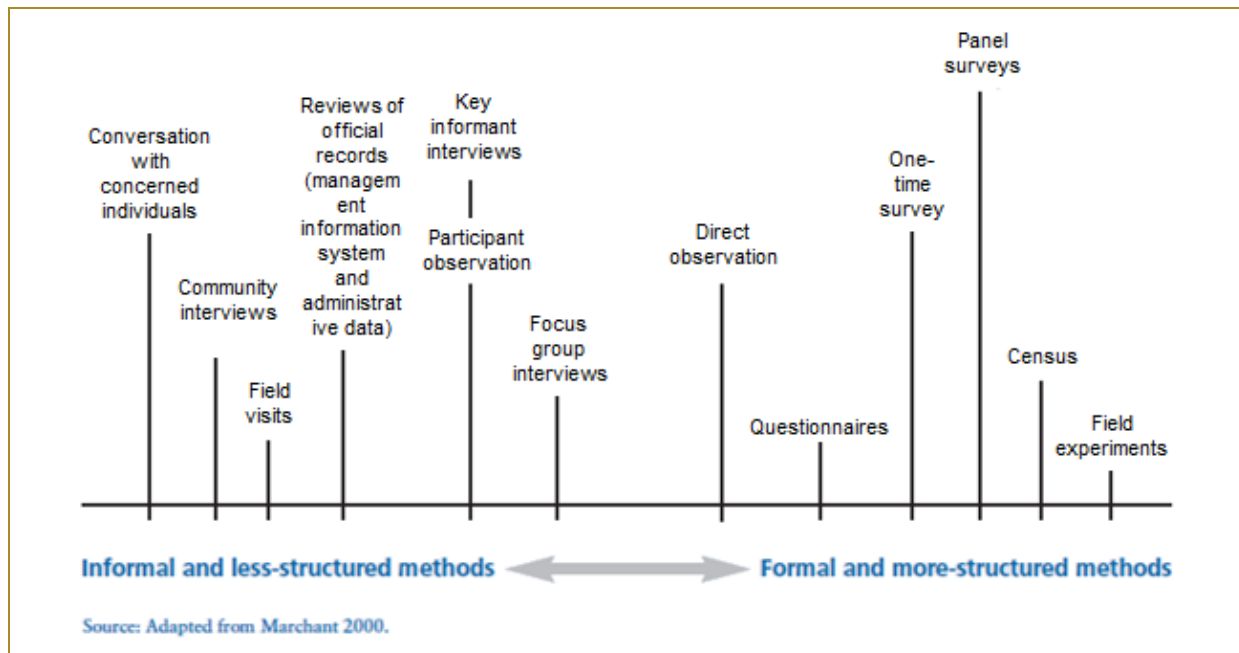
- "What are the sources of data?"
- What are the data collection methods?
- Who will collect the data?
- How often will the data be collected?
- What is the cost and difficulty associated with data collection?
- Who will analyse the data?"
- Who will use the data?"

Most M&E activities come with a cost attached. As a result, it is also valuable to consider other existing sources of information from which data may be accessed (e.g. research bodies or other arms of government). A further consideration relates to the manner in which reporting and communication of data will take place – with this leading to additional questions: 'Who will report the data?' 'In what format should data be recorded?' Maintaining an awareness of what is needed in terms of an appropriate MoV may aid in fine-tuning MoV related decisions. Focusing on practical considerations, such as cost and resource requirements and the amount of data that is actually required (i.e. avoiding the collection of unnecessary data), will also aid the planning process.

For information sources to be used appropriately, MoVs will be established at the start of the M&E cycle. For both monitoring and evaluation-related activities, consideration may be given to formal or less formal methods of data collection, although some aspects of both M&E are

legislated and fall within the City's standard performance management cycles (e.g. in terms of monitoring: coaching and daily record keeping of delivery, as may be needed to support operations; in terms of evaluation: formal quarterly reviews and annual review). The figure below depicts various data collection methodology, reflected on a continuum from less-structured to more structured in nature.

**Figure 5.5: Varying approaches to data collection (cited in Kusek & Rist, 2004, p.85)**



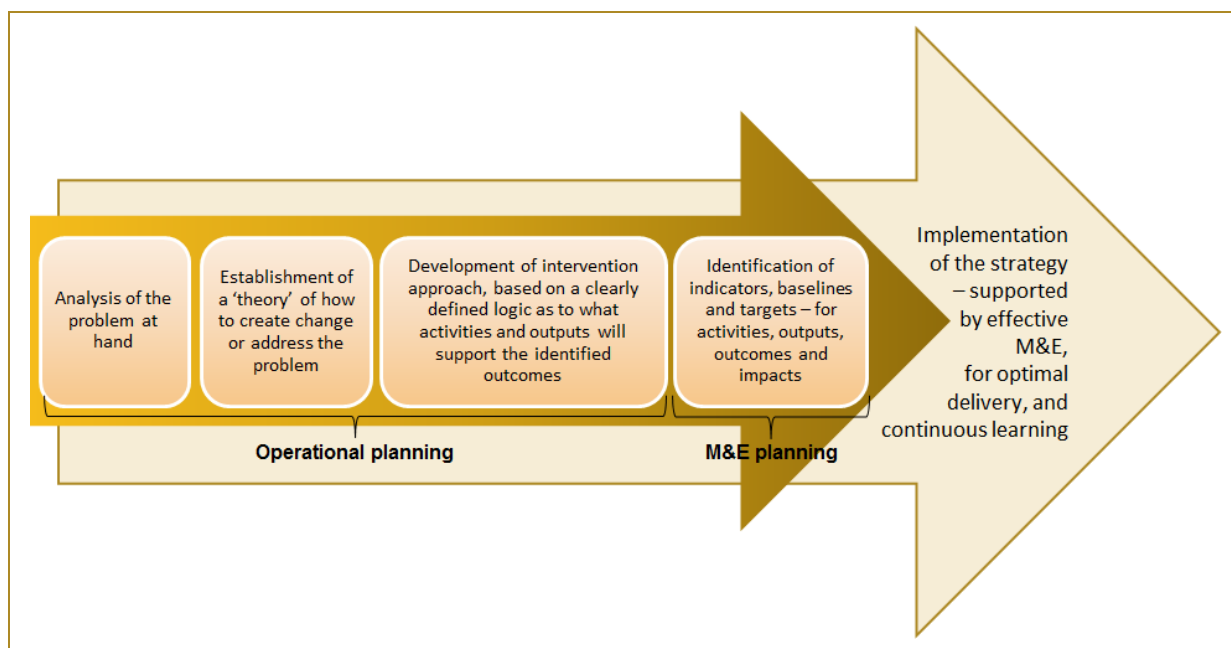
More input on MoV approaches in the context of monitoring or evaluation is provided below.

### 5.2.5. Integrating planning activities into City-wide and Cluster M&E Plans (Step 5)

Following the completion of Steps 1 to 4, the M&E planning process comes to a conclusion through the integration of all elements (indicators, baselines, targets and data collection/analysis methods for M&E – i.e. MoVs) into various levels of integrated M&E plans. These may include, for example, a City-wide M&E Plan, a cluster-specific plan, or an inter-cluster plan.

While addressing each of these steps may appear arduous, this concern is balanced by the potential for improved delivery that may result from sound M&E planning, and the formalisation of this through an integrated plan (with the latter bringing together the results of both operational planning and that related to M&E). The figure below provides an overview of the M&E planning elements addressed within the planning phase, in the context of broader organisational, cluster, departmental/ entity or individual planning process.

**Figure 5.6: Key steps addressed within the planning process**



National and provincial government is obligated to establish three-year and one-year evaluation plans (DPME, 2011). The City chooses to adopt a similar approach, to maintain appropriate focus. To ensure all the steps identified in the planning process are put into place, M&E plans will be developed at a City-wide and cluster level. Proposed templates for City-wide and cluster-level M&E planning are included below, and in Annexures 6, 8, 9 and 10 (for ease of reference).

In reviewing the templates, please note that the first two templates reflect M&E plans in the context of operational plans. Included within these templates is a column relating to assumptions, allowing for the capturing of any “assumptions made about conditions which could affect the progress or success of the activity, but over which activity managers may have no direct control, e.g. price changes, rainfall... [It] is a positive statement of a condition that must be met in order for objectives to be achieved... [in contrast with] a negative statement of what might prevent objectives being achieved” (AusAID, 2005, p.35). This is important, as it allows the theory of change that has been applied as part of the operational planning process to be checked and refined, as implementation and the M&E associated activities of data collection, analysis and reflection continue. This column also allows for risks that may threaten delivery to be identified (regardless of whether these relate to inputs, activities, outputs or outcomes), alongside mitigating actions that are to be implemented. This will serve to support delivery, through enforcing a reflection on the extent to which the envisaged plans are realistic.

More specifically, the first template included below in Table 5.2 relates to a **City-wide M&E Plan**. The following is noted:

- The template is inclusive of outcomes and outputs, and a breakdown between indicator type, baselines and targets. It does not include activities and inputs, as other supporting frameworks will be used to drill down to this level. The proposed

M&E Plan template provides for planning within a five-year cycle, with the ideal approach to the planning process involving the backwards cascading of impacts envisaged within the GDS for 2040, within five-year planning cycles (e.g. 2016-2020; 2021-2025; 2026-2030; 2031-2035; 2036-2040). This planning is to be revisited and refined at each planning period, to ensure relevance – and delivery on the long-term objectives.

- The M&E Plan should also include consideration of the three categories defined in respect of outputs – i.e. ‘continuous improvements’; ‘impactful improvements’; ‘broad initiatives’ – with a balance across these different categories to be included. The table below provides a useful basis for identifying these, in relation to each outcome – for follow-through by the cluster.
- As noted, this template is again reflected in the Annexures (Annexure 6), for ease of reference. An additional example of this template has been provided in Annexure 7, with preliminary inputs included – identified in the context of outcomes defined in the City’s 2040 GDS.

The second template (Table 5.3) depicts a **medium-term (five-year) cluster-specific M&E Plan**. This is also included in Annexure 8, attached hereto. The following is noted:

- In designing the cluster-specific M&E Plan, focus should be placed on the breakdown of outcomes, sub-outcomes (where applicable) and outputs in relation the City’s clusters (i.e. allowing for an indication of ownership and responsibility for delivery, at the level of the City’s four defined clusters). Once again, this should take into consideration the three categories of output: ‘continuous improvements’, ‘impactful improvements’, and ‘broad initiatives’).
- This table is translated into an **annual cluster-specific M&E Plan** – which may be implemented at the level of individual clusters, allowing for the identification of delivery agents (e.g. departments, entities or other components within the City’s structure). This is reflected in Table 5.4 below – and is included in Annexure 9.

The final M&E planning template is included in Table 5.5 below, and in Annexure 10, for ease of reference. This template caters for **inter-cluster M&E planning**. This is seen as important as it is very often in the interface points between various sections of an organisation that plans fail to materialise, or are not fully conceptualised. This template encourages focus on the interface points between the various clusters (reflected in outputs – or outputs and activities, if the latter are deemed necessary at this level of planning). This will:

- Ensure continued awareness of the importance of all within the City operating as a team, in support of our long-term vision; and
- Assist in ensuring identification of those areas where delivery by one party is dependent on another.

**Table 5.2: Proposed M&E Plan for City-wide M&E planning (Annexure 6)**

Impact: [Description of impact/ goal at a City level]		City-wide metric						City-wide annual targets					Assumptions, risks and mitigation	Implementing Cluster	City-wide Budget				
Planning cycle: E.g. 2020 – 2025		Key outputs	Indicator/s <sup>3</sup>	Means of Verification	5-year IDP Target	Baseline			Current year target	Yr 1	Yr 2	Yr 3			Yr 4	Yr 5	Yr 1	Yr 2	Yr 3
Key outcomes						Yr -3	Yr -2	Yr -1											

**Table 5.3: Proposed M&E Plan for cluster-specific M&E planning (Annexure 8)**

Impact: [Description of impact/ goal at a City level]		Cluster-specific metric						Cluster-specific annual targets					Assumptions, risks and mitigation	Implementing department/ entity/ section	Implementing department/ entity/ section budget				
Planning cycle: E.g. 2020 – 2025		Key outputs	Indicator/s	Means of Verification	5-year IDP Target	Baseline			Current year target	Yr 1	Yr 2	Yr 3			Yr 4	Yr 5	Yr 1	Yr 2	Yr 3
Key outcomes						Yr -3	Yr -2	Yr -1											

<sup>3</sup> This could also be structured to include target information – i.e. indicator and exact target.

**Table 5.4: Proposed M&E Plan for annual M&E planning – at the cluster/ departmental/ entity level (Annexure 9)**

Annual plan for: [Year]			Cluster-specific metric				Cluster-specific annual milestones				Implementing department/ entity/ section	Budget	
Key outcomes	Key outputs	Activities	Indicator/s <sup>4</sup>	Means of Verification	Baseline	Annual Target Yr 1	Q1	Q2	Q3	Q4		Estimate	Variance

**Table 5.5: Proposed M&E Plan for inter-cluster M&E planning (Annexure 10)**

Impact: [Description of impact/ goal]				
Planning cycle: E.g. 2020 – 2025				
	Cluster 1	Cluster 2	Cluster 3	Cluster 4
Cluster 1		Include the contribution to be made – at the level of output or activity, in relation to Cluster 2's areas of focus	Include the contribution to be made – at the level of output or activity, in relation to Cluster 3's areas of focus	Include the contribution to be made – at the level of output or activity, in relation to Cluster 4's areas of focus
Cluster 2	Include the contribution to be made – at the level of output or activity, in relation to Cluster 1's areas of focus		Include the contribution to be made – at the level of output or activity, in relation to Cluster 3's areas of focus	Include the contribution to be made – at the level of output or activity, in relation to Cluster 4's areas of focus
Cluster 3	Include the contribution to be made – at the level of output or activity, in relation to Cluster 1's areas of focus	Include the contribution to be made – at the level of output or activity, in relation to Cluster 2's areas of focus		Include the contribution to be made – at the level of output or activity, in relation to Cluster 4's areas of focus
Cluster 4	Include the contribution to be made – at the level of output or activity, in relation to Cluster 1's areas of focus	Include the contribution to be made – at the level of output or activity, in relation to Cluster 2's areas of focus	Include the contribution to be made – at the level of output or activity, in relation to Cluster 3's areas of focus	

Together, the above tables provide a mechanism through which to carry out iterative testing of each of the details within the M&E hierarchy, and the interface of these with the City's structure and role-players. Once the various M&E Plans are finalised, all groundwork

<sup>4</sup> This could also be structured to include target information – i.e. indicator and exact target.

elements are in place for the City to shift to delivery, with M&E planning then put into practice through ongoing monitoring, and time-specific evaluation. These elements are addressed below.

### **5.3. Phase 2: Conducting monitoring**

Monitoring takes place as an ongoing process, across the cycle of project, departmental, entity, cluster or City-wide delivery. The outcomes approach enables the identification of a hierarchy of indicators and targets – defined in the context of impacts, outcomes, outputs, activities and inputs. Monitoring of delivery is required in respect of each of these levels, with identification of the most appropriate monitoring tools and systems being heavily dependent on the nature of the indicators confirmed during the planning stage. The foundation for the monitoring phase is therefore largely in place when the planning process has been concluded.

The primary focus here is on gathering, collating, inspecting and analysing information, in the context of indicators and short, medium and long-term targets. Monitoring activities are mostly carried out by internal role-players within the City – with information emerging often used as a basis to inform managers and employees on how actions should be redirected to support the achievement of defined outputs and outcomes.

The following key steps are included here in respect of monitoring, and are addressed in the sectors that follow:

- **Step 1:** Confirmation of monitoring tools and systems
- **Step 2:** Gathering and collation of information
- **Step 3:** Analysis of information (please note that this step applies to both M&E – and is detailed in the section on evaluation, below)

#### **5.3.1. Confirmation of monitoring tools and systems (Step 1)**

Section 5.2.4 addresses some of the key questions requiring attention when determining the most appropriate tools through which monitoring-related (or evaluation-related) information will be gathered and analysed. The choice of tool needs to be directly related to the level of the outcomes approach being assessed, alongside consideration of other factors, such as the audience that will be receiving feedback, and the level of detail required.

A more elaborate ‘how to’ guide in respect of decision-making relating to monitoring tools and methodology will be included in the M&E Handbook. It is useful here to reflect, however, on the fact that the most monitoring methodology will often include a combination or a balance of different types of tools, across three categories: monitoring tools focused on reporting and analysis; monitoring tools focused on validation (i.e. verification of findings and results); and monitoring tools that emphasise participation. The table below provides an overview of possible tools – clustered within these categories.

**Table 5.6: Establishing the right mix of monitoring tools (UNDP, n.d.(b), p.36)**

Reporting and analysis	Validation	Participation
<ul style="list-style-type: none"> <li>• Annual project report (APR)</li> <li>• Progress and/or quarterly reports</li> <li>• Work plans</li> <li>• Project/programme delivery reports and combined delivery reports</li> <li>• Substantive project documentation</li> </ul>	<ul style="list-style-type: none"> <li>• Field visits</li> <li>• Spot-check visits</li> <li>• External assessments/ monitoring</li> <li>• Client surveys</li> <li>• Evaluations</li> </ul>	<ul style="list-style-type: none"> <li>• Outcome groups</li> <li>• Steering committees/ mechanisms</li> <li>• Stakeholder meetings</li> <li>• Focus group meetings</li> <li>• Annual review</li> </ul>

In applying the above, it is useful to note that monitoring the achievement of outcomes, as opposed to simply monitoring delivery on activities or inputs, may, for example, require a balanced combination of these. The ultimate audience of ‘outcomes’ is often the recipient – necessitating some of the more participatory forms of monitoring, alongside mechanisms for validation. In contrast, when monitoring inputs, focus may instead be placed on reports and work plans – supported by some form of verification (e.g. a spot check).

Monitoring activities will also need to be supported by a monitoring system, which will, in the case of the City, include an IT database through which indicators, baseline information, data and analysis can be stored, maintained and readily accessed. Kusek and Rist (2004, p.104) suggest that the following questions need to be addressed in setting up this system:

- What data will be collected? (i.e. source)
- How often will data be collected? (i.e. frequency)
- How will data be collected? (i.e. methodology)
- Who will collect the data?
- Who will report on the data?
- For whom is data collected?

In accordance with good practice, the data collection and information management system (i.e. the monitoring system) within the City will need to align with a further set of principles, outlined in the box below.

**Box 5.1: Principles for a sound monitoring system (Adapted from Kusek & Rist, 2004)**

- **Ownership:** This requires that every person, across all levels and areas within the City, feels a sense of ownership and an understanding of the benefit of data emerging – with ownership and input by all aiding data quality, management and usefulness.
- **Management:** All hold a clear view of who will manage information, where, and how. Poor data management may lead to duplications in effort, wastage of scarce resources (including funding), data being received too late for decision-making purposes – or not being used at all (e.g. when there is limited knowledge of data being collected, or where it is located). Data management may cover a wide range of factors – e.g. hard and soft copy storage of content; necessary controls; and supporting technology (e.g. the IT platform).



- **Maintenance:** Any information system and the data within it will need to be maintained. Focus needs to be placed on ensuring ongoing collection of quality data, and the appropriate flow of information across the City, as needed.
- **Credibility:** System credibility is critical, if results and findings are to be used, and efforts and resources therefore optimised. To build and maintain credibility, data needs to adhere to the principles of **reliability** (with indicators measured in the same way, over time), **validity** (with indicators measuring, as closely as possible, the performance or aspect they propose to measure) and **timeliness** (with consideration of frequency of data collection, how recently it has been collected, and the relevance thereof to decisions). Findings and analysis need to be reported in all cases – with both positive and negative findings reported transparently.

The above will require dedicated resources (e.g. financial, people, IT support, research specialists, communication mechanisms, etc.), to ensure sustainability. Given that delivery by the City's long, medium and short-term objectives ultimately depends on this, the importance of establishing appropriate systems and processes for data management and maintenance cannot be over-emphasised. While the SDBIP provides some support in this respect, alongside the more manual forms of data collection undertaken as part of the City's current performance management processes, we recognise the need for further work in this regard. In particular, the integration of credible data sources across the City (at best) requires focus – with an interim measure including the establishment of more standardised processes to facilitate timely access to accurate data, for stakeholders across the City.

### 5.3.2. Gathering and collating data in the context of monitoring (Step 2)

While both M&E activities involve data gathering and analysis, the purpose of data gathering, methods and responsibilities may vary between these activities (and between the different stages of the cycle at which they may occur). In particular, data gathered during monitoring activities may well focus on addressing very different questions to those attended to by an evaluation exercise.

As with an evaluation exercise, in the context of monitoring, the nature of data and information to be gathered will already be defined during the planning stage. This step is therefore about putting these decisions into practice. Data may come in many forms – e.g. CAPEX or OPEX data, statistics from service delivery activities, performance audits, financial audits, project completion reports, analysis carried out as part of the City's knowledge management initiatives, etc. Understanding the sources of information that already exist is important – even if access needs to take place via other platforms and providers such as non-governmental organisations (NGOs), research bodies and technical specialists.

In gathering data, focus is to be placed on data that is **relevant, accessible, timely, understandable and accurate**. Understanding how the data will be used impacts directly on the nature of information collected. For example, information gathered as part of a monitoring process that is focused on project improvement in the case of a fairly minor project may represent a smaller data set than that which would be collected to aid decision-

making in respect of a significant financial investment. In line with the outcomes-based hierarchy, data may be gathered at the level of implementation (inputs, activities and outputs), or at the level of results (outcomes and impacts). The latter is addressed more fully below in relation to evaluation, given that this is usually the level at which evaluation activities are targeted.

Errors in data collection may relate to sampling errors (where the inappropriate or incomplete sample has been used when collecting data), or non-sampling errors (i.e. information excluded). The latter may emerge due to:

- **Interviewer bias** (e.g. an interviewer who does not remain objective, is not motivated or does not have adequate skills);
- **Inadequate methods** (e.g. inappropriate or incomplete questionnaires; poor data collection tools);
- **Processing errors** (e.g. data incompletely or erroneously captured, and inadequate quality assurance); or
- **Non-response bias** (e.g. where questions are not easily understood).

Mechanisms through which these may be avoided are detailed below.

**Table 5.7: Data collection errors and ways to avoid them (IFAD, 2002b, p.19)**

Common errors	Ways to avoid them
Interviewer bias	<ul style="list-style-type: none"> <li>• Make sure everyone understands the purpose of each method.</li> <li>• Make sure everyone knows exactly what data she/he is collecting – clarify units, whom to speak with or where to go for data, and the frequency of collection.</li> <li>• Practise interviewing and facilitation techniques.</li> <li>• Brainstorm about possible problems that might occur and agree on various ways to avoid them or deal with them should they occur.</li> </ul>
Processing errors caused by poor documentation of data	<ul style="list-style-type: none"> <li>• Standardise formats for documentation.</li> <li>• Practise formats with the users and adapt the formats if necessary.</li> <li>• Computerise as soon as possible after data collection and check the data entries.</li> <li>• Have enough material to record all responses and avoid losing data.</li> </ul>
Non-response bias	<ul style="list-style-type: none"> <li>• Pre-test questions and methods.</li> <li>• Present methods and questions (and especially their purpose) clearly and confirm that people have understood.</li> <li>• Use local terms.</li> </ul>

#### 5.4. Phase 3: Conducting evaluations

As noted previously, evaluations are carried out with various objectives in mind, as reflected by the stage during which evaluations are conducted within the lifecycle of a project, programme or plan. It is argued that evaluations are “characterised by events (e.g. surveys, studies, missions) rather than day-to-day data collection. Results-oriented evaluation

focuses on outcomes and impacts and adds to and builds on monitoring information. It assesses overall performance, focusing on positive or negative changes in beneficiary behaviour or status occurring as a result of an operation” (WFP, n.d., p.9). As with monitoring, evaluation can be conceptualised within the context of the following steps:

- **Step 1:** Confirmation of evaluation tools and systems
- **Step 2:** Gathering and collation of information
- **Step 3:** Analysis of information

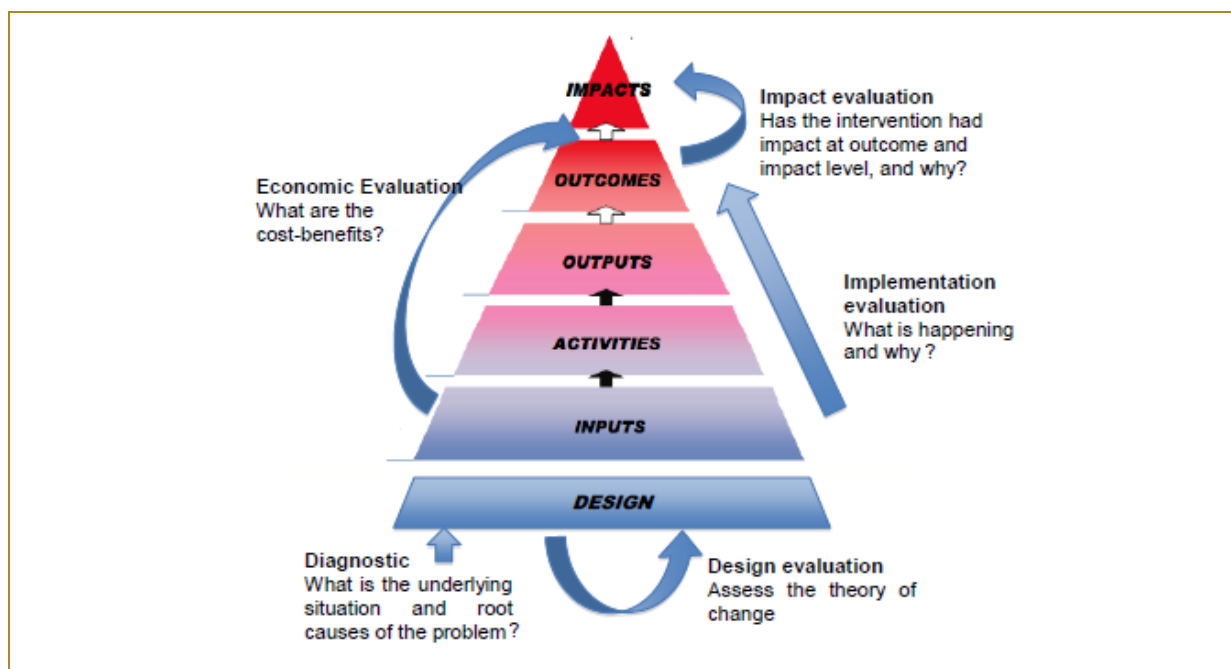
#### **5.4.1. Confirmation of evaluation tools and systems (Step 1)**

In determining the most appropriate tools or methodologies to use when carrying out evaluation exercises, the key consideration relates to the purpose of the evaluation itself. As noted in Chapter 2, an evaluation may focus on questions relating to efficiency, effectiveness, relevance, impact or sustainability. The focus of an evaluation exercise is also dependent on whether the evaluation is formative, summative, or conducted during the life-cycle of the project, programme or policy. In the City’s context, many evaluations occur in the context of particular evaluation periods, as detailed in Figure 3.9. In particular, evaluations may take place within the context of:

- Bi-annual evaluations conducted in respect of delivery on departmental scorecards;
- Quarterly and annual reviews conducted in respect of annual business plans;
- Quarterly reviews and annual evaluation conducted in the context of the annual SDBIP;
- Bi-annual reviews conducted in the context of the annual IDP;
- Mid-term reviews undertaken in respect of the five year cluster plans and the long-term GDS;
- Impacts and outcomes defined in relation to the above – measured through regular evaluations such as the City’s Customer Satisfaction Survey.

The DPME provides a further refinement of the possible types of evaluation, with the intention of establishing a common language and a shared set of standard procedures. Six types of evaluation are identified – explained through the figure and table below.

**Figure 5.7: Varying approaches to data collections (DPME, 2011, p.8)**



These six types of evaluation are explained further in the table below – with examples of verification methods included.

**Table 5.8: Summary of types of evaluation across government (Adapted from: DPME, 2011, pp.10-11)**

Type of eval	Covers	Timing	Examples of evaluation methodology <sup>5</sup>
Diagnostic Evaluation	This is preparatory research (often called ex-ante evaluation) to ascertain the current situation prior to an intervention and to inform intervention design. It identifies what is already known about the issues at hand, the problems and opportunities to be addressed, causes and consequence, including those that the intervention is unlikely to deliver, and so the likely effectiveness of different policy options. This enables you to draw up the theory of change before you design the intervention.	At key stages prior to design or re-planning	<ul style="list-style-type: none"> <li>• Formal surveys</li> <li>• Stakeholder analysis</li> <li>• Secondary data – e.g. statistical analyses; interviews; focus groups; literature reviews</li> </ul>

<sup>5</sup> Please note: examples here are drawn from the World Bank (2004) – with varied approaches dependent on purpose of evaluation and circumstances within which it is conducted.

Type of eval	Covers	Timing	Examples of evaluation methodology <sup>5</sup>
Design evaluation	Used to analyse the theory of change, <b>inner logic and consistency of the programme</b> , either before a programme starts, or during implementation to see whether the theory of change appears to be working. This is quick to do and uses only secondary information and should be used for all new programmes. It should check that the outcomes chain culminates in impacts that address the main situation that gave rise to the intervention, even if the intervention won't be held fully accountable for these ultimate outcomes. It also assesses the quality of the indicators and the assumptions.	After an intervention has been designed, in first year, and possibly later	<ul style="list-style-type: none"> <li>Quantitative statistics (e.g. community survey; household survey)</li> <li>Qualitative methods such as semi-structured and structured interviews, observation records, field notes, and focus groups transcripts</li> </ul>
Implementation evaluation	Aims to evaluate whether an intervention's <b>operational mechanisms support achievement or not</b> and understand why. Looks at activities, outputs, and outcomes, use of resources and the causal links. It builds on existing monitoring systems, and is applied during programme operation to improve the efficiency and efficacy of operational processes. It also assesses the quality of the indicators and assumptions. This can be rapid primarily using secondary data or in-depth with extensive field work.	Once or several times during the intervention	<ul style="list-style-type: none"> <li>Secondary data – e.g. statistical analyses; interviews; focus groups discussions; direct observation; literature reviews</li> <li>Field work – e.g. participant observation; data collection, and survey research</li> </ul>
Impact evaluation	Seeks to measure changes in outcomes and the well-being of the target population that are attributable to a specific intervention. Its purpose is to inform high-level officials on the extent to which an intervention should be continued or not, and if there are any potential modifications needed. This kind of evaluation is implemented on a case-by-case basis.	Designed early on, baseline implemented early, impact checked at key stages e.g. 3/5 years	<ul style="list-style-type: none"> <li>Quasi-experimental design with before and after comparisons of project and control populations</li> <li>Ex-post comparison of project and non-equivalent control group</li> </ul>
Economic evaluation	Economic evaluation considers whether the costs of a policy or programme have been outweighed by the benefits. Types of economic evaluation include: <ul style="list-style-type: none"> <li><b>cost-effectiveness analysis (CEA)</b>, which values the costs of implementing and delivering the policy, and relates this amount to the total quantity of outcome generated, to produce a “cost per unit of outcome” estimate (e.g. cost per additional individual placed in employment); and</li> <li><b>cost-benefit analysis (CBA)</b>, which goes further than CEA in placing a monetary value on the changes in outcomes as well (e.g. the value of placing an additional individual in employment).</li> </ul>	At any stage	<ul style="list-style-type: none"> <li>CEA</li> <li>CBA</li> </ul>

Type of eval	Covers	Timing	Examples of evaluation methodology <sup>5</sup>
Evaluation synthesis	Synthesising the results of a range of evaluations to generalise findings across government e.g. a function such as supply chain, a sector, or a cross-cutting issue such as capacity. DPME will undertake evaluation synthesis based on the evaluations in the national evaluation plan and do an annual report on evaluation.	After a number of evaluations are completed	<ul style="list-style-type: none"> <li>Annual report on evaluation findings across the City – synthesising all evaluations</li> </ul>

It is through careful consideration of the above, and aligned issues such as budget, risk and impact of decisions emerging from an evaluation, that the final decision relating to the evaluation will be taken. Given that evaluations often tend to be more formal than monitoring processes, their rollout processes are frequently more plan-based. The approach to evaluation-related data gathering is addressed below.

#### 5.4.2. Gathering and collating data in the context of evaluation (Step 2)

Many of the principles applicable to data collection for monitoring purposes apply in the case of evaluation. However, given that evaluations are often undertaken by a service provider external to the project or process (even though this may be a service provider internal to the City), it may be appropriate to develop a Terms of Reference (ToR) for data collection and analysis. Shapiro (2002) notes that this should typically address the following:

- **The background to the evaluation** – e.g. the context of the project or the City’s context, the problem or issue identified, actions taken, processes followed and the rationale for carrying out an evaluation (addressing the question of whether it is focused on issues of relevance, efficiency, effectiveness, utility or sustainability)
- **The main objective of the evaluation** – i.e. what the evaluation should achieve
- **Outputs** – e.g. reports to be produced, feedback material, etc.
- **Major issues** Key questions (themes or elements) that the evaluation must focus on answering (e.g.: achievements of a project at a site)
- **Approach**– Methodological considerations, including a focus on the key principles and parameters in respect of the research methodology, and techniques to be used
- **Organisation/ logistics and management considerations** – e.g. composition of the evaluation team, and resource considerations
- **Preliminary work plan** – including a time schedule

In assessing the appropriateness or quality of a proposed or completed evaluation, a number of criteria or principles should be considered – as addressed in the box below.

**Box 5.2: Assessment of an evaluation exercise: key criteria (Adapted from Kusek & Rist, 2004)**

- **Impartiality:** The evaluation should be free from bias or interference.
- **Usefulness:** Information needs to be timely, relevant and documented in a manner that is user-friendly.
- **Technical adequacy:** Information needs to, amongst other things, “meet relevant technical standards – appropriate design, correct sampling procedures, accurate wording of questionnaires and interview guides, appropriate statistical or content analysis, and adequate support for conclusions and recommendations...” (p.127).
- **Stakeholder involvement:** For stakeholders to view evaluation findings as credible, trustworthy and useful for driving action, they should be involved in the evaluation effort or process.
- **Feedback:** Ensuring timeous, appropriate and user-friendly feedback is critical to the credibility of the evaluation itself. Identifying how evaluation information will be communicated to the target audience aids appropriate data collection and analysis.
- **Value for money:** The cost of the evaluation should be appropriate to the size of the intervention itself. Data that will not be used or of value to the City’s stakeholders should not be collected.

In cases of large evaluations, the DMPE recommends the establishment of an advisory group and a steering group to ensure: ownership of the evaluation and roll-out according to the ToR (i.e. via the steering group); sound technical input, expertise and advice (i.e. via the advisory group)

Analysis and recording of information emerging from M&E activities is addressed below.

**5.4.3. Analysis of information (Step 3 – applicable to both monitoring and evaluation)**

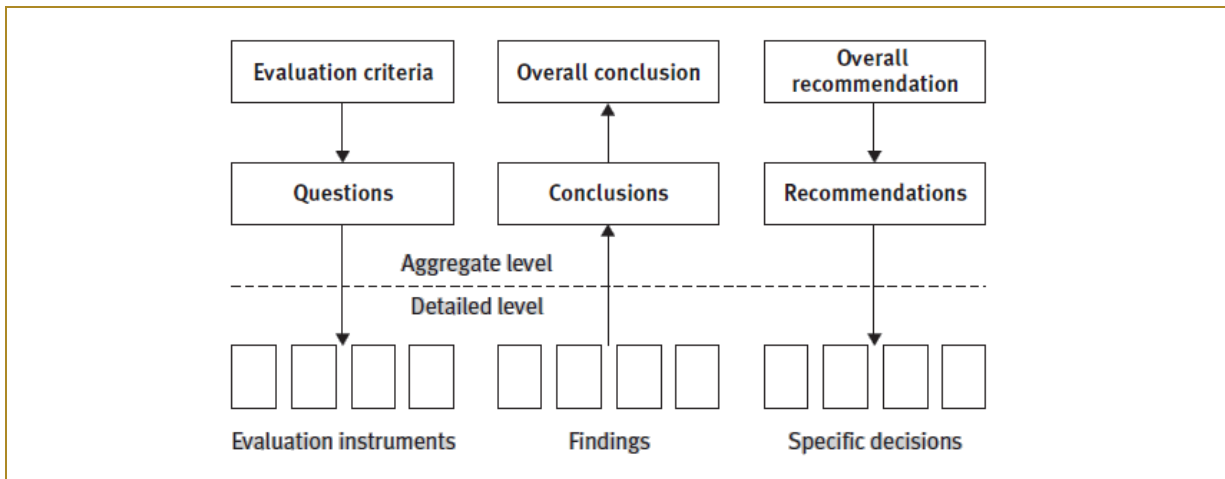
The objective of analysis is to “transform data into credible evidence about the ...intervention and its performance. (Ministry of Foreign Affairs of Denmark, 2006, p.72).The task of data analysis is one that is applicable in respect of all aspects of M&E. Regular analysis of implementation data as part of a monitoring process may assist in improving performance during the delivery of outputs and associated activities. It may allow for the identification of trends, challenges, risks and areas of success. Data analysed as part of the monitoring cycle, however, is often not useful in providing information of why changes are occurring – with this being a function of evaluation. Regardless of whether data is to be collected and analysed in support of a monitoring or evaluation related activity, the following steps may apply:

- **Review the indicators** identified for the monitoring or evaluation process;
- Ensure **data is collected with these indicators in mind** (i.e. data is relevant);
- Establish a **structure for the analysis** – e.g. in terms of concerns, ideas or themes;
- **Organise the data** within the context of this structure, in preparation for analysis;

- **Focus on patterns**, varied forms of interpretation or trends; and
- **Document the findings**, and establish **conclusions and recommendations** (Shapiro, 2002).

The figure below represents the process of analysis in the context of an evaluation:

**Figure 5.8: The analysis process in the context of an evaluation (Ministry of Foreign Affairs of Denmark, 2006, p.74)**



While analysis in the context of a monitoring exercise will take place in respect of the predefined indicators included in the M&E Plan, an evaluation exercise may address different questions, as depicted in the figure above. The evaluation instruments, analyses and findings will ultimately be directly dependent on the nature of questions under review.

The final phases of the M&E Framework relate to **reporting of findings**, and **communication and feedback**. These areas are addressed below, alongside input on the importance of **applying findings and learnings**. Through the latter, the M&E planning cycle and contents can be revisited within a new timeframe, with improvements incorporated as a result of insights gained via M&E undertakings.

### 5.5. Phase 4: Reporting on M&E

The M&E Framework will only be of value if findings are reported on and put into action, where necessary. With the M&E Plans and the Indicator Framework depicting stakeholder needs and interests, reporting formats, frequency of reporting and other key details, the path has already been prepared for reporting on findings, during the first phase of the M&E process.

While unique types and forms of reports may be agreed at the start of a planning cycle, it should also be noted that there are a set of pre-defined reporting mechanisms in place within the City, many of which are legislated – while others represent good practice that has evolved within the City over time. These reporting mechanisms are reflected on in the table below, with input included on reporting frequency, reporting responsibility and review responsibility included.



**Table 5.9: City-wide review and reporting matrix (Adapted from CoJ, 2009b, p.37)**

<b>Plan</b>	<b>Frequency and nature of reviews and reporting</b>	<b>Reporting responsibility</b>	<b>Reviewing responsibility</b>
<b>GDS</b>	5-year Assessment Report; Mid-term (2.5 year) review	City Manager (CM)	Legislature (which includes the Executive Mayor [EM], and is supported by Group Strategy Policy and Relations or GSPR)
<b>Five-year IDP</b>	5-year Assessment Report; Mid-term (2.5 year) Performance Assessment Report; Annual Reports	CM	Johannesburg Performance Audit Committee (JPAC) – which includes the EM, and is supported by GSPR
<b>Five-year Cluster Plans</b>	5-year Assessment Report; Mid-term (2.5 year) Performance Assessment Report; Annual Reports	Cluster leads, supported by cluster members	Members of the Mayoral Committee (MMC), through the MMC's quarterlies
<b>Annual IDP</b>	Mid-year Report; Quarterly Reports	CM	Johannesburg Performance Audit Committee (JPAC) – which includes the EM, and is supported by Group Strategy Policy and Relations (GSPR)
<b>SDBIP</b>	Quarterly reports	CM	JPAC (which includes the EM, and is supported by GSPR)
<b>Departmental Business Plan</b>	Annual evaluation report; Quarterly review report	Executive Directors (EDs)	CM, with inputs from the relevant MMC (with GSPR support)
<b>Municipal Entity Business Plan</b>	Annual evaluation report; Quarterly review report	Managing Directors (MDs)/ Chief Executive Officers (CEOs)	The Board, with inputs from the relevant MMC – with support from the Shareholders Unit (SHU)

Monitoring reports such as the quarterly review report aid in building an understanding of progress and delivery in the context of business plans and the SDBIP, thereby ensuring ongoing strategy-aligned implementation. In contrast, evaluation reports such as the Mid-Term Performance Assessment Report (undertaken in respect of the five-year IDP and cluster plans) represent time-specific analyses of commitments delivered, and those that remain unmet. As such, the City's annual, five-year and longer-term planning cycle effectively includes elements of a predefined M&E plan. A more refined M&E system in the City will allow for nuanced reflection of types of reporting, audience, purpose, format and frequency – thereby aiding more optimal results that are aligned with their intended use.

In addition to the above reporting mechanisms, the City is also obligated to report on progress and delivery, as per the provisions set out in National Treasury's Municipal Finance Management Act (MFMA) Circular No. 11 (in respect of the Annual Report) and its 2007

FMPPI. Reporting mechanisms included here have been designed with these considerations factored in. GPG (2012, p. 26) also notes the duty to report on the following:

- “...National Sector Targets and Indicators
- ...Service Delivery Improvement
- ...Batho Pele Targets
- ...Transversal Issue Targets (Gender, Youth, PWD etc.)
- ...Employment Equity Targets
- ...Financial Performance”.

A City-wide reporting template is included below and reflected in Annexure 11, for completeness. A proposed reporting template for Cluster-related delivery follows, which is replicated in Annexure 12, for ease of reference.

**Table 5.10: City-wide review and reporting matrix (Adapted from GPG, 2012, p.27) – Annexure 11**

Impact: [Description of impact/ goal at a City level]		City-wide metric						Progress Report		Budget Utilisation			Comments	
Planning cycle: E.g. 2020 – 2025	Key outcomes	Key outputs	Indicator/s <sup>6</sup>	MoV	5-year IDP Target	Baseline	Annual target	Quarterly targets	Quarterly Target Achieved (Yes/ No)	If 'Yes', provide evidence If 'No', state intended mitigation	Estimate	Actual		Variance
								Q1						
								Q2						
								Q3						
								Q4						
								Q1						
								Q2						
								Q3						
								Q4						

**Table 5.11: Cluster-related reporting template (Adapted from GPG, 2012, p.28) – Annexure 12**

Impact: [Description of impact/ goal at a City level]		City-wide metric							Progress Report		Budget Utilisation			Comments	
Planning cycle: E.g. 2020 – 2025	Key outcomes	Key outputs	Implementing department/ entity/ section	Indicator/s <sup>7</sup>	MoV	5-year IDP Target	Baseline	Annual target	Quarterly targets	Quarterly Target Achieved (Yes/ No)	If 'Yes', provide evidence If 'No', state intended mitigation	Estimate	Actual		Variance
									Q1						
									Q2						
									Q3						
									Q4						
									Q1						
									Q2						
									Q3						

<sup>6</sup> This could also be structured to include target information – i.e. indicator and exact target.

<sup>7</sup> This could also be structured to include target information – i.e. indicator and exact target.

Impact: [Description of impact/ goal at a City level]		City-wide metric						Progress Report		Budget Utilisation			Comments	
Planning cycle: E.g. 2020 – 2025	Key outputs	Implementing department/ entity/ section	Indicator/s <sup>7</sup>	MoV	5-year IDP Target	Baseline	Annual target	Quarterly targets	Quarterly Target Achieved (Yes/ No)	If 'Yes', provide evidence If 'No', state intended mitigation	Estimate	Actual		Variance
Key outcomes														
								Q4						

## 5.6. Phase 5: Communication and feedback

While the reporting templates included above will allow for standardised and consistent recording of findings across the City, the communication of M&E findings to the City's wider range of stakeholders – and the provision of any forms of feedback committed to – may require the application of a more stakeholder-relevant approach. To ensure maximum value is received when communicating M&E findings, it is useful to consider:

- What the relevant stakeholder's preferred mode of communication is;
- How stakeholders will be using the information;
- What stakeholder expectations may be in respect of reporting;
- Which format of feedback would best meet stakeholder needs; and
- How frequently reporting should take place.

Information presented should be relevant to the audience. For those in the upper levels of the City's structures, focus may be placed on less detailed data, and analysis at the level of outcomes and impacts – in contrast with the information received by those responsible for operations (Kusek & Rist, 2004). A communication strategy aligned to the M&E Plan will assist in ensuring follow-through in this regard. In this way, the credibility of the system and those who manage it will be supported. Stakeholders will also be afforded the opportunity to gain a real understanding and appreciation of the efforts, achievements and challenges faced by the City. Importantly, information emerging will also be accessible in a form that will allow for it to be optimally put to use in driving outcomes achievement.

A variety of communication methods may be considered, to ensure the most effective sharing of outcomes – e.g. verbal feedback, written feedback, written summaries, visual displays, or audio-visual approaches. Kusek and Rist (2004) provide further input on useful ways to communicate analyses and findings, for impact and improved value:

- **Tailor information and presentation formats** to suit the audience and their needs. (e.g. Council may be more interested in outcomes and outputs, than in activities performed);
- Provide **comparisons of data** relating to performance over time;
- **Avoid including large "data dumps"**, where these are not required;
- Present data in a **clear and understandable format**, avoiding jargon and inappropriate detail;
- When presenting findings and recommendations, **include input on the implications of recommendations**, to assist in recommendations being implemented to drive improvements;

- Where analysis findings are negative, ensure these even **negative findings are still communicated**, given that this is essential for the integrity and usefulness of the M&E system (e.g. driving improvements), and for credibility of the system and its deliverables with stakeholders. Including a focus on explanations and possible recommendations would also be important.

Who within the City should receive feedback on the findings of the M&E Framework? This question relates directly to the role each individual within the City plays, in ensuring a successful focus on both the M&E process, and more specifically, on delivery against targets. Some may argue that feedback is only relevant for and applicable to those within the City's management team? This is addressed in Box 5.4 below.

***Box 5.3: Understanding the role of all players within the City, in driving delivery***

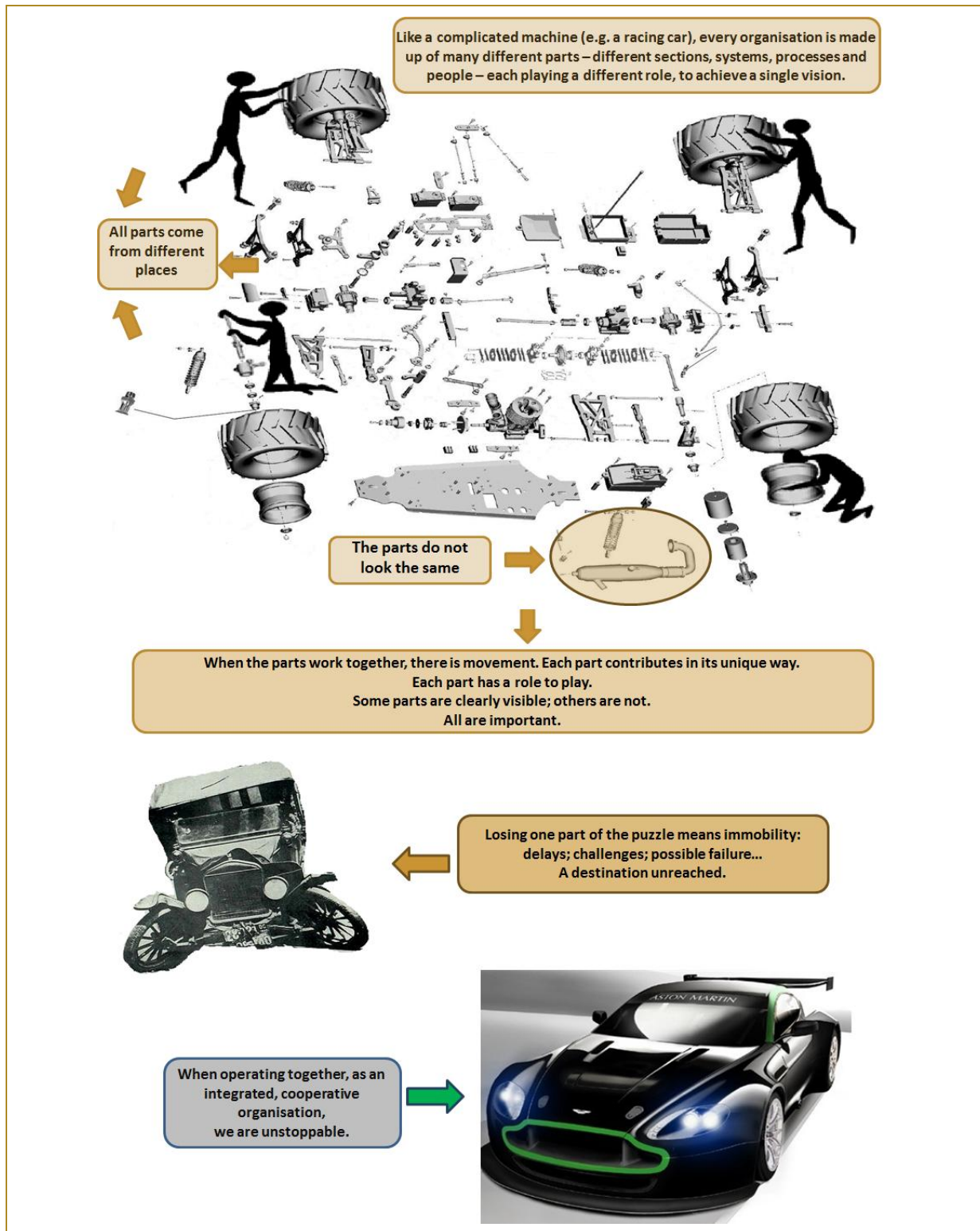
Integrated planning requires a focus on the entire process of delivery – from the simple, short-term actions specific to individual performance, to the creation of the end outcome or the envisaged ‘whole’, and through it, the desired impact. This alignment is represented symbolically through the diagram below – with the precision associated with constructing, testing, aligning, servicing and quality assuring a vehicle viewed as equally applicable in the context of the actions deemed necessary when establishing a smoothly functioning City.

For City-wide delivery to succeed in the context of impacts, outcomes, outputs, activities and inputs, all within the City need to understand how their individual areas of responsibility and the associated deliverables contribute to the achievement of City-wide goals. Maintaining an understanding amongst all players within the City of the organisation's goals, and how each small but aligned action contributes to the outputs and outcomes associated with these goals, is critical for the achievement of City-wide results.

It is evident that the end outcome (a smoothly functioning, sound, fully operational City that is able to achieve its desired long-term vision) depends on all parts working together, with regular refinement, ‘maintenance’, and amendment. When building a car, if even one minor part (e.g. a bolt) is missing, the quality of the end outcome (and the ability to function) will be affected.

Maintaining a focus on delivery at every level is therefore critical. Building this understanding of delivery in the context of the City may lead to an improved team focus, while also deepening the association held between individual roles, scorecards, business and cluster plans and the City-wide IDP. If the City's M&E mechanisms are able to build a greater understanding of how all are part of this bigger ‘whole’ through continual feedback on delivery in respect of all levels within the outcomes approach, a larger number of stakeholders may engage more fully in the collectively-held vision of the future.

**Figure 5.9: Communicating the impact of individual contributions, for organisational success**



**5.7. Applying analysis and findings emerging from the M&E cycle**

The value of an M&E Framework is only fully realised when analysis and findings are applied back to practice, in the context of projects or day-to-day delivery. Findings emerging from M&E activities may support performance improvements, and ultimately, the creation of a learning organisation – through providing regular insights and reflection. Building a learning culture requires all, across the City, to understand and participate actively in action, analysis and reflection – while demonstrating ownership of the M&E concept and system.

In reflecting on the use of M&E findings, it is noted that they may be used:

- “To demonstrate accountability—delivering on political promises made to citizenry and other stakeholders
- To convince—using evidence from findings
- To educate—reporting findings to help organizational learning
- To explore and investigate—seeing what works, what does not, and why
- To document—recording and creating an institutional memory
- To involve—engaging stakeholders through a participatory process
- To gain support—demonstrating results to help gain support among stakeholders
- To promote understanding—reporting results to enhance understanding of projects, programs, and policies.” (Kusek & Rist, 2004, p. 130)

The application of findings will be encouraged through involving a wider range of stakeholders in the M&E and analysis process itself – e.g. via a public participation and engagement process such as the GDS Outreach. In addition, strengthening bodies involved in oversight within the City and those driving the M&E system itself will also provide the platform for improved application of findings.

The chapter that follows addresses the manner in which M&E issues interface with the domain of governance and oversight in the City. The final chapter addresses the requirements for successful roll-out of the M&E Framework in full.

## **6. M&E in the context of governance and oversight**

The chapter set out below addresses M&E issues in the context of governance and oversight – given the closely interrelated nature of these issues. Input is included here M&E in relation to roles and responsibilities within the City, reporting arrangements and other related factors.

### **6.1. The role of M&E in supporting good governance and stakeholder engagement**

M&E systems and activities serve to support effective and meaningful stakeholder engagement, which in turn is critical for good governance. King III notes that: “In reality, the ultimate compliance officer is not the company’s compliance officer or a bureaucrat ensuring compliance with statutory provisions, but the stakeholders (2009, p.7). For the City’s stakeholders (including residents and citizens, amongst others) to hold the City accountable – and for the City to demonstrate transparency in its dealings with stakeholders – accurate information is necessary. Meaningful and constructive stakeholder engagement requires access to current information and facts. M&E approaches provide an iterative platform for information gathering, analysis and distribution (alongside and supported by stakeholder engagement) – thereby aiding organisational success and improved stakeholder engagement.

Stakeholder engagement – and more specifically, public participation – forms a cornerstone of local government practice. Public participation processes assist the City in identifying and focusing on ‘the right things’, through processes of collective engagement. Annual public participation processes undertaken by the City provide input into our five-year and one-year IDPs, while ongoing ward-level engagements support the democratic machinery, allowing for regular two-way communication and the representation of localised needs. All engagements are however meaningless if the needs identified and the subsequent commitments made are not followed through with rigorous M&E activities, to monitor delivery and evaluate outcomes achieved – thereby closing the public participation loop.

Recent events within the City have also increased awareness of the need for further refinements to the City’s M&E systems. While focusing on meaningful M&E is essential if the City is to deliver on the long-term commitments outlined within the Joburg 2040 GDS, the process leading to the finalisation of the Joburg 2040 GDS was, in itself, of great value. The intensive stakeholder engagement process – the GDS Outreach – culminated in the development of the final strategy. The City’s citizens and stakeholders responded favourably to the engagement process, flagging both their interest in collaborating with the City as active citizens, to ensure optimal outcomes for all – and their desire for continued communication, feedback and dialogue in respect of delivery issues. The City acknowledged the importance of the GDS Outreach process itself, and the opportunity it presented for stakeholder interaction with the City, and for different voices to be heard. If the City is to ensure that the momentum from the Outreach process is maintained, continued stakeholder engagement is necessary – with monitoring, evaluation and the related activity of ongoing communication and reporting providing the key ingredients for informed two-way engagement. In addition, a solid understanding of the status quo at each point in time, represented through a set of defined facts, is necessary for the City to account openly with

its stakeholders in terms of successes, achievements, areas of poor performance, challenges and deliverables requiring stakeholder involvement.

## 6.2. Users and uses of information emerging from the M&E Framework

In ensuring that the M&E Framework is able to meet the objectives listed above, it is important to identify how information gathered through the system will be used, by whom, and for what purposes. Clarifying the type and flow of different forms of information, the audience, and the manner in which information will be used maximises the potential value of such a system. Information emerging from M&E activities may be of relevance as follows:

- **At an operational level, within specific departments, units or entities in the City:** With information gathered driving delivery, keeping team members on track, enabling the identification of risks, supporting improvements in both project delivery and management – and facilitating learning.
- **At a City level (specifically, in respect of the Executive):** With M&E tools supporting the respective heads who are accountable for delivery and for sound governance – enabling improved delivery of management, accounting, strategic analysis, oversight, decision-making, policy, planning and budgeting functions.
- **At the level of political representatives (specifically, the Legislature):** With information from M&E activities enabling meaningful debate in the context of stakeholder commitments, targeted interaction with the Executive, informed engagement with constituencies, information sharing, and fact-based planning, decision-making and oversight.
- **At a national and provincial level:** With bodies such as the Department of Cooperative Governance and Traditional Affairs (CoGTA), National Treasury, Statistics South Africa (Stats SA) and the Gauteng Provincial Government (GPG) playing a role in gathering and analysing information, and understanding cross-sphere delivery and risks. Information emerging from the M&E activities will be of value here in supporting the identification of appropriate plans of action and budget allocations, from a national and provincial perspective.
- **At the level of systems support staff, in respect of the M&E Framework itself:** With ongoing improvements in data tracking, analysis and communication assisting these role-players in their duties of supporting the City in ensuring appropriate, well-planned and soundly implemented initiatives – in line with GDS and IDP commitments.
- **From a governance perspective:** With M&E information used to provide feedback to the various oversight structures within the City, to citizens and residents, and to communication platforms, for engagement with other stakeholders such as provincial and national departments – thereby enhancing accountability and transparency.

It is also useful to reflect on the City's current supporting structures, systems, processes, roles, responsibilities and reporting arrangements associated with performance management – for the sake of completeness. It is in this context that M&E occurs, with those responsible and accountable for delivery being key users of M&E information. The table below illustrates the various areas of responsibility and accountability of role-players within the City's context,



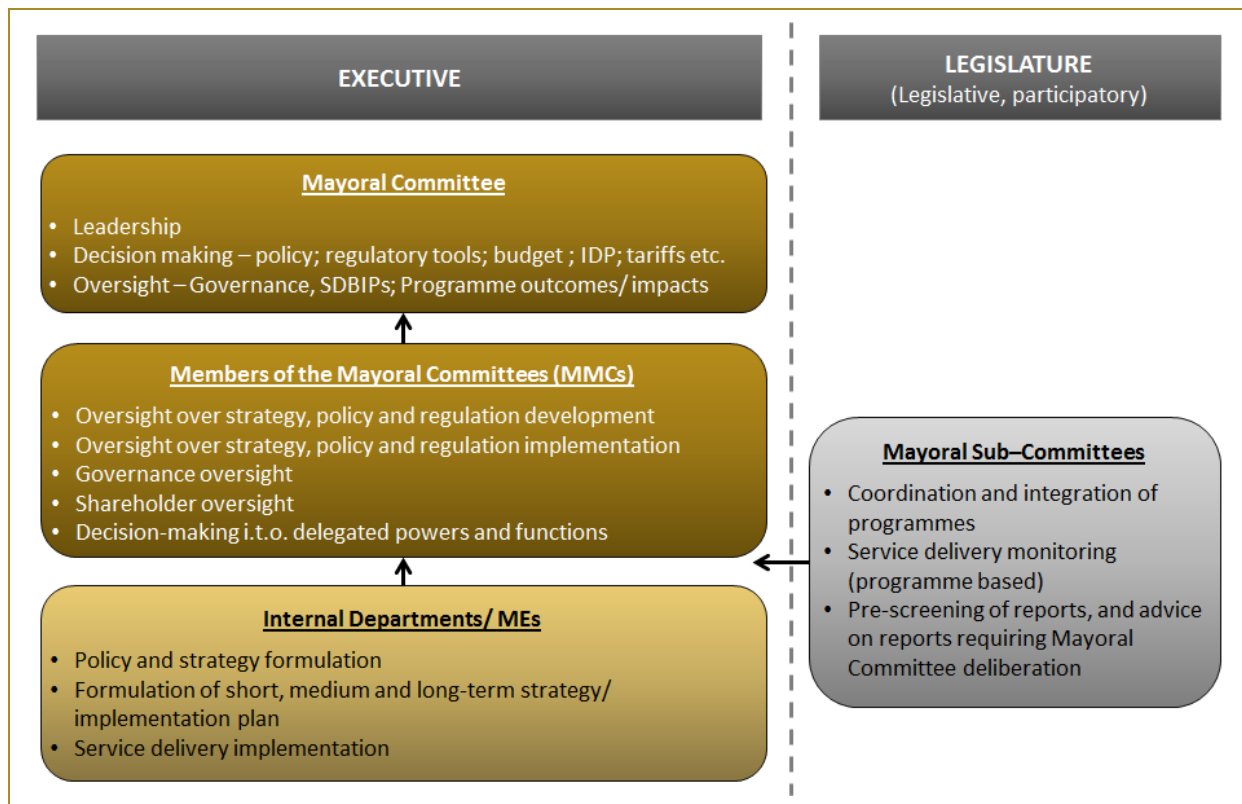
with input adapted to address the unique specificities of the City. It builds on National Treasury’s MFMA Circular (2006, p.1) in respect of oversight (Circular No. 32), which notes that “While, in the first instance it is left to the mayor or the Executive Committee to resolve any performance failures, ultimately the Council is vested with the power and responsibility to oversee both the executive and administration. Oversight occurs at various levels in the municipality...”. Understanding the nature of responsibility, accountability and oversight across the City aids in building a clearer sense of those role-players for whom M&E information holds critical value.

**Table 6.1: Governance framework applicable to local government (Adapted from National Treasury, 2006, p.1)**

<b>Role-player</b>	<b>Responsible for:</b>	<b>Oversight over:</b>	<b>Accountable to:</b>
<b>Speaker</b>	Ensuring smooth functioning of Council	EM	The Community
<b>Council</b>	Approving strategy, policy and budget	EM or Committee	The Community
<b>Cluster Mayoral Sub-Committee (i.t.o. each cluster)</b>	Reviewing and giving input to Cluster delivery and proposals	Cluster and related MMC	Chairperson of Committees
<b>EM or Committee</b>	Strategy, policy, budgets, outcomes, management of/ oversight over municipal manager	CM	Council
<b>MMCs</b>	Strategy, policy, budgets, outcomes, management of/ oversight over Portfolio and related Cluster	Portfolio and related Cluster	EM; The Cluster Mayoral Sub-Committee
<b>CM</b>	CoJ Group outputs and implementation	The Administration - EDs, MDs and CEOs	EM or Committee
<b>Boards of MOEs</b>	Approving strategy, policy and budget in respect of ME	The Administration - EDs, MDs and CEOs	Council
<b>EDs, MDs and CEOs</b>	Directorate/ ME specific outputs and implementation	Operations in respect of Directorate or ME	Portfolio/ Cluster MMC (i.t.o. oversight) and CM (day to day management)

The figure below elaborates further on these arrangements, drilling down in terms of the various roles of the Executive – vis-à-vis oversight, decision-making and delivery – and thereby clarifying the nature of M&E information required.

**Figure 6.1: Role-players in the Executive – Oversight, decision-making and delivery**



It is critical that frameworks such as the M&E Framework outlined here are aligned with the City’s institutional form. This is acknowledged as a requirement for ease of implementation. Further input on the practical ways in which alignment will take place between the steps included in the M&E Framework, and the various role-players across the City’s various governance and delivery structures, will be provided within the M&E Handbook that is to follow.

## 7. Next steps in implementing the M&E Framework

Implementing an M&E Framework is a long-term exercise, with inputs required to ensure the development of an appropriate approach and supporting mechanisms. To drive successful implementation, a range of tools, systems and resources need to be put in place. Success is also heavily dependent on the type of culture the City is able to grow in relation to M&E – with a focus on continual learning necessary. This chapter addresses the next steps for full implementation of the M&E Framework – setting the foundation for the path ahead.

### 7.1. Requirements for implementation

The table below presents an overview of the necessary conditions for the M&E Framework to be rolled out effectively across the City. Included is an overview of the elements needed, and the actions required to ensure their delivery. Ideas have been drawn from various literature sources (e.g. Kusek & Rist, 2004; AudAID, 2005; DPME, 2011; Lahey, 2009), the City’s own experiences and learnings reflected in Chapter 3.

**Table 7.1: Requirements for implementation –and steps necessary for delivery**

Requirement	Focus	Steps required for delivery
<b>Formalise the M&amp;E system</b>	Ensure a common understanding of the M&E system and its requirements	<ul style="list-style-type: none"> <li>Review and refine the M&amp;E Framework, to ensure applicability to the City and its stakeholders.</li> <li>Develop a City-wide policy and procedure (e.g. an M&amp;E Handbook) to ensure sound implementation of the M&amp;E Framework.</li> </ul>
<b>Build and grow a demand for M&amp;E results</b>	Ensure widespread and ongoing demand for data and M&E findings – across all levels of the City (thereby ensuring quality collection by all members of the City – regardless of role or level).	<ul style="list-style-type: none"> <li>Roll-out a communication and education campaign amongst its employees, for all to understand their role in relation to the City’s overarching vision and goals – e.g. translating the City’s long-term GDS into an image of what every City employee and every stakeholder within the city can do to support delivery.</li> <li>Train all employees, for all to understand their role in data collection and application.</li> <li>Drive a consistent leadership message regarding the need for rigorous M&amp;E practice across the CoJ.</li> </ul>
<b>Encourage alignment with principles of accountability and transparency – ensuring credibility</b>	Ensure all within the City are held to account for delivery	<ul style="list-style-type: none"> <li>Commit to and undertake ongoing engagement and communication with stakeholders, in respect of plans, delivery, challenges, M&amp;E findings, and potential solutions.</li> <li>Publish evaluation findings on the organisation’s website; and including comment and input on M&amp;E findings within annual reports and other organisational documents – regardless of the favourability of findings.</li> </ul>
<b>Build an M&amp;E focused culture</b>	Establish an outcomes-oriented culture within the	<ul style="list-style-type: none"> <li>Ensure communication at regular stages throughout the M&amp;E cycle, to build an understanding of activities underway, access to findings, stakeholder engagement</li> </ul>

Requirement	Focus	Steps required for delivery
	City – encouraging a focus on accurate data, analysis, learning, application of insights and ongoing stakeholder engagement regarding delivery	<p>and participation, commitment to the system, and application of learnings.</p> <ul style="list-style-type: none"> <li>• Align rewards with an outcomes approach – focusing beyond activities, where applicable, to other levels (e.g. alignment with City-wide outcomes / impacts).</li> <li>• Implement change management activities that communicate that all are responsible – in line with the perspective reflected in the Joburg 2040 GDS: “We are all players”.</li> <li>• Consider other mechanisms through which to drive in an outcomes-based culture – e.g. a Code of Conduct or Behaviours Charter, with aligned incentives.</li> </ul>
<b>Establish clear roles and responsibilities</b>	Develop clarity on roles and responsibilities relating to the M&E Framework	<ul style="list-style-type: none"> <li>• Confirm roles and responsibilities with regards both monitoring and evaluation-related activities (e.g. in terms of: process establishment; roll-out; quality control; training; data collection, analysis for monitoring versus evaluation, reporting, storage, management and oversight) – and communicate through a clear matrix.</li> <li>• Develop and communicate a formal policy document, documenting roles and responsibilities – to ensure a shared understanding.</li> </ul>
<b>Build adequate M&amp;E capacity</b>	Establish adequate capacity to design, implement, support and institutionalise the M&E Framework	<ul style="list-style-type: none"> <li>• Create suitable partnerships with external stakeholders, technical specialists and M&amp;E partners.</li> <li>• Identify capacity gaps (across managerial, technical, administrative, counsellor, communication and other roles) – and address through capacity building.</li> <li>• House the technical responsibility for oversight of implementation of the M&amp;E Framework with a defined role-player – with this most probably being the GSPR.</li> </ul>
<b>Establish supporting M&amp;E systems</b>	Develop, maintain and improve an M&E system (addressing indicator, data and analysis information)	<ul style="list-style-type: none"> <li>• Design and establish an M&amp;E system, to allow for easy data collection, storage and retrieval – and ongoing knowledge management.</li> <li>• Ensure M&amp;E system can link with other internal systems and knowledge management frameworks.</li> <li>• Support the M&amp;E system with an up to date indicator and data-base framework.</li> </ul>
<b>Ensure the production of credible and trustworthy information</b>	Ensure data is valid, reliable, credible, transparent, understandable and verifiable	<ul style="list-style-type: none"> <li>• Review and assess current data collected – and identify mechanisms to improve quality and quantity, where necessary.</li> <li>• Establish partnerships for M&amp;E data collection, analysis and reporting, and access to existing sources.</li> <li>• Establish an M&amp;E Centre for Excellence - responsible for the data management and maintenance system.</li> <li>• Ensure evaluator independence – e.g. through stressing neutrality of evaluators and M&amp;E function; ensuring evaluators have clear access to management and leadership; establishing an Evaluation Committee</li> </ul>

Requirement	Focus	Steps required for delivery
		<p>comprised of senior role-players.</p> <ul style="list-style-type: none"> <li>Identify if additional systems or tools are required for sound data collection and data credibility – and if so, develop/ establish/ procure.</li> </ul>
<b>Align with other reporting and delivery mechanisms</b>	Build on wider value of M&E Framework – ensuring alignment with internal/ external needs	<ul style="list-style-type: none"> <li>Ensure M&amp;E plans align with the long-term GDS – with operational and M&amp;E planning cascaded from the GDS.</li> <li>Align M&amp;E content with internal management requirements – and the City’s obligations in respect of reporting to National Government.</li> </ul>
<b>Ensure application of M&amp;E findings</b>	Maintain awareness that data is not an end in itself – with value lying in application and learning	<ul style="list-style-type: none"> <li>Establish mechanisms for linking information back to decision-making and managerial roles and role-players.</li> <li>Focus training and management on building capacity and interest in gathering and analysing information – and applying insights.</li> </ul>
<b>Focus on continuous improvement</b>	Ensure the M&E Framework and supporting systems evolve – improving with use	<ul style="list-style-type: none"> <li>Establish quality control mechanisms and activities – e.g. periodic involvement of the AG in evaluations of the M&amp;E system’s efficacy; evaluation of how effectively M&amp;E information has been applied; analysis of areas for improvement.</li> </ul>

While the above is indicative of the many steps necessary before the City has an M&E system in place that is fully aligned to the outcomes approach, there is much work that has already been done. In its effort to constantly improve internal operations and short, medium and long-term delivery to citizens and residents, the City acknowledged the steps necessary, and has committed itself to the challenge.

## 7.2. Concluding comments

This M&E Framework has focused on establishing a shared understanding of the domain within which M&E occurs, clarifying concepts and the mechanisms in use within the other spheres of government, and by those external to government – both within and beyond South Africa’s borders. The City’s planning, delivery, M&E and reporting processes, systems and tools have been explored, with shifts outlined, to enable alignment with the outcomes approach to M&E. Good practice principles in relation to M&E systems have been explored, along with accepted practices in terms of M&E implementation.

The above has been used as a basis for articulating an M&E Framework for the City – founded on the insights established. This represents the first stage of our journey in designing and implementing a more robust approach to M&E. Ultimately, this framework is primarily concerned with ensuring a real focus on the delivery of the City’s long-term outcomes – through short and medium-term planning, delivery, monitoring and evaluation mechanisms, and the associated reporting.

The City has identified a number of benefits it aims to see emerging through implementation of the M&E Framework. Based on research and experiences in other areas, it is anticipated

that, if implemented and used appropriately, the envisaged M&E Framework will provide the City with:

- A sound foundation for planning – and a mechanism to aid decision-making relating to resource usage, activities, projects and programmes;
- A framework through which to gather meaningful information that supports reflection, learning, adaptation and/or improvements;
- An approach through which to identify issues or challenges timeously, where these may otherwise hamper delivery – and to adjust plans accordingly;
- A tool through which to assess delivery against plans, and to build greater understanding of causality and assumptions in project delivery, to support future replications of effective service provision;
- The means to support informed communication and engagement with stakeholders;
- A mechanism to enhance accountability in terms of the manner in which resources and public funds are put to use;
- A system through which to promote the principle of public participation – with input from members of the public aiding identification of challenges, new needs and/ or solutions, thereby supporting improved delivery; and
- Ultimately, a mechanism to improve the achievement of outcomes defined within the City's strategic plans – including those defined within the Joburg 2040 GDS – increasing the achievement of developmental objectives.

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## Annexure 1: Acronyms and abbreviations

AG	Auditor General
AusAID	Australian Agency for International Development
CEO	Chief Executive Officer
The City	The Metropolitan City of Johannesburg
The city	The geographic area that falls within the demarcated boundaries of Johannesburg – and the area for which the City of Johannesburg is responsible in its role as local government.
CM	City Manager
CoJ	The City of Johannesburg
CoJ Group	The City of Johannesburg Group (including all core internal departments and all Municipal Entities)
CoGTA	Department of Cooperative Governance and Traditional Affairs
GSPR	Group Strategy Policy and Relations
DG	Director General
DPME	Department of Performance Monitoring and Evaluation
DPSA	Department of Public Service and Administration
ED	Executive Director
EM	Executive Mayor
EMT	Executive Management Team
FMPPI	Framework for Managing Programme Performance Information
GDS	Growth and Development Strategy
GPG	Gauteng Provincial Government
GWMES	Government-wide Monitoring and Evaluation System
IDP	Integrated Development Plan
Joburg	The City of Johannesburg
JPAC	Johannesburg Performance Audit Committee
JRAS	Johannesburg Risk Assurance Services
M&E	Monitoring and Evaluation
MD	Managing Director
MDG	Millennium Development Goal
ME	Municipal Entity
MFMA	Municipal Finance Management Act

MMC	Member of the Mayoral Committee
MTSF	Medium-Term Strategic Framework
NDP	National Development Plan
NEPF	National Evaluation Policy Framework
NGO	Non-governmental Organisation
NPC	National Planning Commission
SDBIP	Service Delivery and Budget Implementation Plan
SHU	Shareholders Unit
Stats SA	Statistics South Africa
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
WFP	World Food Programme

## Annexure 2: Proposed M&E roles and responsibilities matrix

Role-player	Role
Legislative arm of Council	<ul style="list-style-type: none"> <li>• Signs-off on M&amp;E Policy and Framework</li> <li>• Approves City strategies, plans and budgets in respect of M&amp;E</li> <li>• Carries out oversight duties in terms of delivery across the CoJ Group, supported by M&amp;E data and Framework</li> <li>• Holds the City's Executive and leadership accountable for delivery, with the Council serving as ultimate oversight of the CoJ Group</li> <li>• Drives the M&amp;E system – demonstrating leadership in being accountable and transparent</li> <li>• Oversees implementation of the principle that M&amp;E findings are addressed through prompt action / changes at the appropriate level</li> <li>• Engages with the community and electorate on M&amp;E findings – in support of community oversight</li> </ul>
Mayoral Sub-Committee – Cluster specific	<ul style="list-style-type: none"> <li>• Reviews performance and delivery in respect of cluster as per oversight role, and carries out fiduciary duties and duties of care in this regard – making use of M&amp;E system and analysis</li> <li>• Uses monitoring activities to support delivery, in areas of responsibility</li> <li>• Ensures appropriate independent evaluations are performed, as needed, in support of performance improvement and oversight</li> <li>• Oversees implementation of the principle that M&amp;E findings are addressed through prompt action / changes at the appropriate level – in respect of cluster</li> </ul>
Executive arm of Council	<ul style="list-style-type: none"> <li>• Reviews, recommends improvements to, and confirms M&amp;E Policy and Framework for submission to Council</li> <li>• Reviews, recommends improvements to and confirms City strategies, plans and budgets in respect of M&amp;E – for submission to Council</li> <li>• Drives the M&amp;E system – demonstrating leadership in being accountable and transparent (with M&amp;E used for all stages of the planning, delivery, and performance improvement cycle)</li> <li>• Reviews CoJ Group performance and delivery as per oversight role, alongside the Performance Evaluation Panel, and carries out fiduciary duties and duties of care in this regard, supported by M&amp;E data and Framework</li> <li>• Uses monitoring activities to support delivery, in areas of in areas of responsibility</li> <li>• Ensures appropriate independent evaluations are performed, as needed, in support of performance improvement and oversight</li> <li>• Oversees implementation of the principle that M&amp;E findings are addressed through prompt action / changes at the appropriate level – while taking action in those areas of responsibility</li> <li>• Engages with the community and electorate on M&amp;E findings – in support of the concept of community oversight</li> </ul>

Role-player	Role
CM – as Accounting Officer	<ul style="list-style-type: none"> <li>• Reviews, recommends improvements to, and confirms M&amp;E Policy and Framework for submission to Mayoral Committee (as head of EMT)</li> <li>• Reviews, recommends improvements to and confirms City strategies, plans and budgets in respect of M&amp;E – for submission to Mayoral Committee (following review via EMT)</li> <li>• Drives the M&amp;E system – demonstrating leadership in being accountable and transparent (with M&amp;E used for all stages of the planning, delivery, and performance improvement cycle)</li> <li>• As Accounting Officer, ensures rigour of the M&amp;E Framework – in terms of policy, procedure and supporting requirements, and the quality and integrity of M&amp;E information and supporting systems</li> <li>• Reviews CoJ Group performance and delivery as Accounting Officer, alongside the Performance Evaluation Panel – with support of M&amp;E data and Framework</li> <li>• Uses monitoring activities to support delivery, in areas of in areas of responsibility</li> <li>• Ensures appropriate independent evaluations are performed, as needed, in support of performance improvement and oversight</li> <li>• Oversees implementation of the principle that M&amp;E findings are addressed through prompt action / changes at the appropriate level – while taking action in those areas of responsibility</li> </ul>
Head of internal department/ ME	<ul style="list-style-type: none"> <li>• As part of EMT, reviews and recommends improvements to M&amp;E Policy and Framework for submission to Mayoral Committee</li> <li>• Ensures implementation of M&amp;E Framework within area of accountability – demonstrating leadership in driving implementation, and in being accountable and transparent in respect of M&amp;E system set-up and findings</li> <li>• Reviews performance and delivery in area of accountability – with support of M&amp;E data and Framework</li> <li>• Uses monitoring activities to support delivery, in areas of in areas of responsibility</li> <li>• Ensures appropriate independent evaluations are performed, as needed, in support of performance improvement and oversight</li> <li>• Ensures M&amp;E findings are addressed through prompt action / changes at the appropriate level – while taking action in those areas of responsibility</li> <li>• Oversees implementation of the principle that M&amp;E findings are addressed through prompt action / changes at the appropriate level – while taking action in those areas of responsibility</li> </ul>
Director/ Deputy Director/ line manager/ supervisor	<ul style="list-style-type: none"> <li>• Ensures implementation of M&amp;E Framework within area of accountability – demonstrating leadership in driving implementation, and in being accountable and transparent in respect of M&amp;E system set-up and findings</li> <li>• Sets performance indicators and targets as part of annual performance planning</li> <li>• Develops annual M&amp;E Plan for each project or sub-programme</li> </ul>

Role-player	Role
	<ul style="list-style-type: none"> <li>• Reviews performance and delivery in area of accountability – with support of M&amp;E data and Framework</li> <li>• Uses monitoring activities to support delivery, in areas of responsibility</li> <li>• Ensures appropriate independent evaluations are performed, as needed, in support of performance improvement</li> <li>• Ensures M&amp;E findings are addressed through prompt action / changes at the appropriate level – while taking action in those areas of responsibility</li> <li>• Reports M&amp;E findings in quarterly performance reports and annual reports</li> <li>• Shares experiences and knowledge, in support on ongoing learning from M&amp;E</li> </ul>
Employees within the City	<ul style="list-style-type: none"> <li>• Actively provide feedback into the M&amp;E system, to ensure up to date and relevant data</li> <li>• Set performance indicators and targets as part of annual performance planning – for areas of responsibility</li> <li>• Participate in reviews of performance and delivery in area of responsibility – with support of M&amp;E data and Framework</li> <li>• Use monitoring activities to support delivery, in areas of responsibility</li> <li>• Ensure M&amp;E findings are addressed through prompt action / changes within area of responsibility</li> <li>• Share experiences and knowledge with colleagues, in support on ongoing learning from M&amp;E</li> </ul>
M&E Centre of Excellence/ “Strategy Implementation Unit” (may be within the Performance Management, Monitoring and Reporting Unit)	<ul style="list-style-type: none"> <li>• Establishes M&amp;E policy and guidelines</li> <li>• Ensures establishment of a suitable M&amp;E system (including IT capabilities)</li> <li>• Provides M&amp;E capacity building support/ training –and builds M&amp;E capacity within the CoJ Group</li> <li>• Provides technical assistance</li> <li>• Ensures implementation of the framework, and supports with implementation assistance</li> <li>• Provides support for structured learning opportunities and moments of reflection</li> <li>• Establishes mechanisms through which to test how much recommendations and data from M&amp;E are implemented</li> <li>• Reports on M&amp;E Framework implementation and recommends updates as needed</li> </ul>

### **Annexure 3: Organisational, cluster, departmental or project planning, in the context of the outcomes approach**

The success of M&E within the City hinges on the establishment of a shared sense of purpose amongst all players within the City, and a commonly held view of the applicable ‘theory of change’ – that is, “the causal mechanisms between the activities, outputs, outcomes and impacts” (DPME, 2011, p.4). Establishing a shared theory of change requires a clear and consistent view of the following – phrased as steps within the operational planning cycle – in contrast with the M&E cycle addressed in Chapter 5 above:

- The desired long-term **impacts** the City hopes to achieve (**Step 1**)
- Appropriate **outcomes** aligned to the identified impacts – i.e. those outcomes that will support achievement of the impacts (**Step 2**)
- **Outputs** identified as necessary to deliver on the desired outcomes (**Step 3**)
- Those **activities** that will lead to the defined outputs (**Step 4**)
- The various **inputs** required, for delivery on the defined activities (**Step 5**)

Steps 1 and 2 generally relate to strategic planning (as reflected within the GDS, and the various IDPs through which this is operationalized), while steps 3, 4 and 5 tend to align more with the City’s ‘business planning’ and annual planning processes.

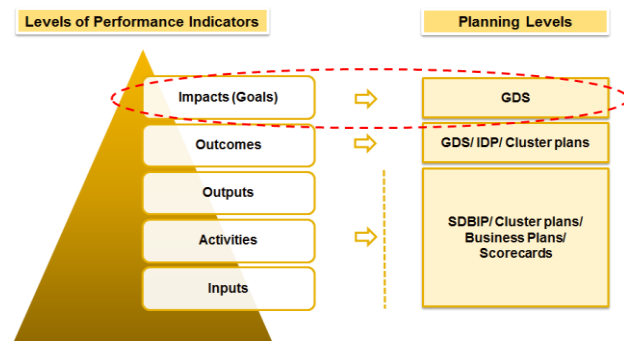
#### **Box 5.3: Establishing the ‘theory of change’ – the foundation for Steps 1 to 5**

Identification of an appropriate and sound theory of change depends on the extent to which a clear understanding exists of the status quo, and the ‘problem’ that interventions must address. To ensure that ideas relating to the theory of change are made explicit – and are therefore opened up for debate and confirmation – the City proposes that use is made of a tool such as the ‘problem tree’ approach, as outlined in Chapter 2. By portraying the understanding held of underlying constraints, causes and effects within each area of analysis, it will be possible to identify suitable solutions more readily. *A set of guidelines further elaborating on development of ‘problem trees’ will be included in the M&E Handbook.*

The emerging problem tree analysis serves as a base for the identification of solutions, during which focus should be placed first on the end goal (i.e. the impact envisaged) – and then an articulation of the outcomes, outputs, activities and inputs needed to achieve this. Each of these elements is covered in more detail below, as part of the step-by-step process of M&E planning. In effect, steps 1 to 5 will result in the formulation of a theory of change.

## Step 1: Identify the envisaged long-term impact [‘what we aim to change’]

Step 1 – identification of the envisaged long-term impact – falls within the domain of **organisational delivery**. This is the starting point of all organisational planning, including – ultimately – the planning for M&E activities. As illustrated alongside, ‘impacts’ link strongly with planning at the level of the Joburg 2040 GDS – with achievement only likely in the long term.



Many factors influenced the goals or impacts included in the City’s long-term GDS. Amongst these are national, provincial and local government priorities, events beyond the national border, legislation, prior City strategies, research, and stakeholder input and insights gained through City’s GDS Outreach process. While the impacts identified in the GDS serve as the critical starting point, M&E requires an up to date reflection on where the City aims to be – taking into account its current circumstances, and the reality of those stakeholders who live or work within its boundaries. Identifying envisaged impacts therefore involves:

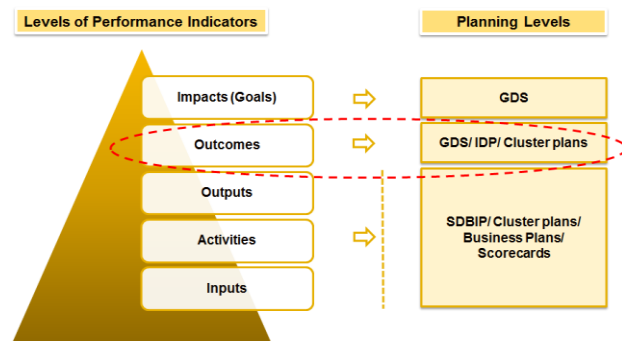
- A **status quo analysis, and research into the future vision** for the City – with due consideration of the following areas, amongst others: the GDS and other aligned long-term plans, challenges and opportunity faced, shaping forces, and dynamics within other spheres of government;
- A **problem analysis** – to identify the gaps between the desired future, the current state and the causal steps to support a movement to this future (as noted above);
- **Testing the future vision and the desired impacts** through participatory processes such as the GDS Outreach;
- **Refining the defined impacts**, on the basis of thorough analysis of information emerging from the research and stakeholder engagement process; and
- Recognising the need to **review ‘impacts’ on a regular basis**, ensuring continued applicability in the context of a rapidly changing environment.

Are impacts set in stone, once finalised? No strategy is static. The benefit of an M&E system is that, through the process of gathering, analysing and considering the application of real-time information, red flags may emerge in respect of any of the levels of the framework – i.e. in terms of impacts, outcomes, outputs, activities, or inputs. Leaders and managers are accountable for listening to, considering and where appropriate, applying new insights to build a revised theory of change.



## Step 2: Identify outcomes for desired impacts [‘what we wish to achieve’]

Step 2 of operational planning process relates to the identification of those outcomes that will contribute to the achievement of the goals or desired impacts identified in Step 1. While goals or ‘impacts’ tend to be long-term in nature, ‘outcomes’ are often focused on the long to medium-term period, aligning with the planning period associated with the City’s GDS, five-year IDP or Cluster plans.



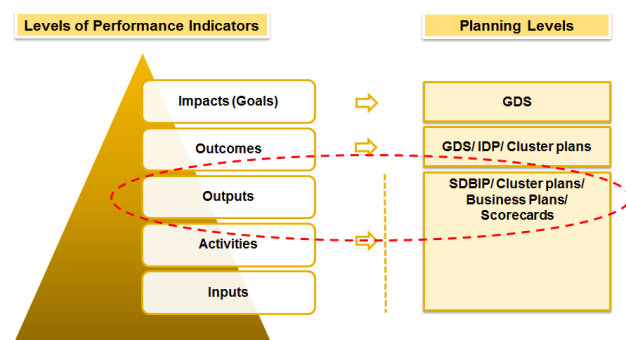
In identifying outcomes:

- The theory of change should be made explicit, and interrogated – with the appropriateness of **outcomes tested, in the context of the envisaged impact**;
- Outcomes should be **identified through an inclusive, participatory process** – with the underlying logic and assumptions reviewed, debated and through this process, jointly-owned by all stakeholders;
- Potential **outcomes emerging through the above should be prioritised**, with due consideration of stakeholder concerns and the realities of limited resources. Focus should also be placed on identifying the best possible approach through which to achieve outcomes – with it noted that “One budgets to outputs and manages to outcomes” (Kusek & Rist, 2004, p.57);
- Outcomes are **positive present-tense statements of the changed state**, following its achievement. They should include **one area of improvement only** – e.g. “All people in South Africa feel and are safe” (The Presidency, 2010, p.13).

Impacts and outcomes are largely applicable to the City as an organisation, or to clusters, departments or entities. The elements that follow (outputs, activities and inputs) are more applicable to performance driven within a shorter timeframe (e.g. a year), by clusters, departments and individuals.

## Step 3: Identify outputs linked to outcomes [‘what we produce or deliver’]

This step involves the identification of those outputs that will contribute to the achievement of the defined outcomes. As reflected alongside, outputs tend to be framed within the context of short to medium-term delivery – reflected in planning mechanisms such as the SDBIP, business plans, one-year cluster plans, or within individual scorecards.

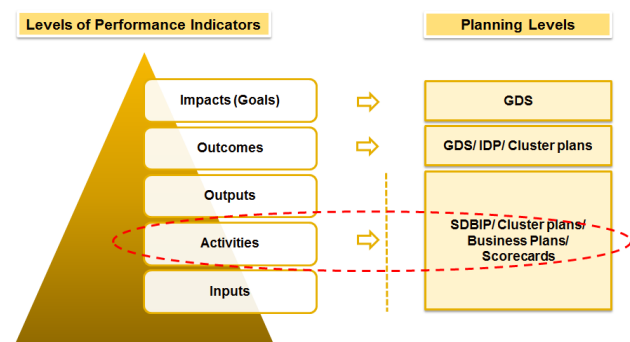


In developing outputs:

- **Prioritisation** is again important, in the context of resource constraints;
- It may be necessary to identify **a number of outputs for the achievement of each outcome**, with these outputs potentially staggered across a range of time-periods;
- Focus should be placed on what is produced or delivered, with each output stated in the **past tense**, reflecting what has been **achieved, provided or produced** (e.g. “Children immunized”);
- Different **types of outputs** should be identified – with a balanced focus on outputs that fall within the three categories identified within Chapter 2 – i.e.: **‘continuous improvements, ‘impactful improvements’, and ‘broad initiatives’**. Some of these may be achievable in the short-term, while others will require a lengthier period of delivery.

#### Step 4: Identify activities linked to outputs [‘what we do’]

Activities are “a collection of functions (actions, jobs, tasks) that consume inputs and deliver benefits and impacts” (The Presidency, 2010, p.11). While some individual scorecards and annual business plans may focus on outputs (and potentially outcomes), many will only cater for activities in the context of a year-long planning period. In these cases, outputs may require more than a year of action, before they can be achieved.

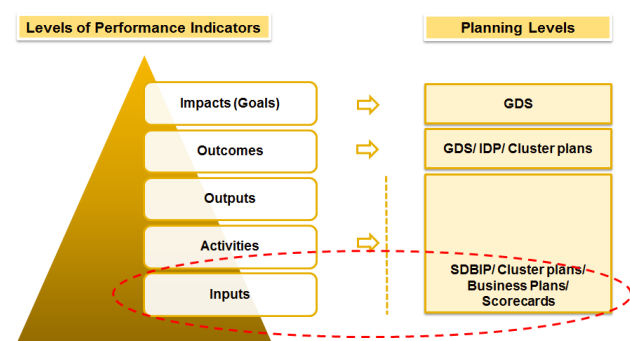


When identifying activities, it is noted that:

- These should be stated in the **present tense, and should contain a verb** – e.g. “Provide advice...” or “Conduct training...”;
- Focus should be placed on reviewing activities in the context of associated inputs, and those outputs and outcomes they are meant to contribute towards – **ensuring alignment**.

#### Step 5: Identify inputs required [‘what we use to do the work’]

Step 5 involves identification of those resources required to carry out a particular activity to the defined level. Inputs are generally considered in the context of a short to medium-term planning period – e.g. within the annual planning cycle. It should however be noted that they may also need to be planned in the context of multi-year



projects, with learnings in one cycle in respect of outcomes, outputs, activities or inputs applied back to forecasts relating to inputs. Inputs may vary significantly from one activity to the next – and may include a wide variety of elements such as funding, people, information technology, materials, infrastructure or tools.

### Bringing it together: Steps 1 to 5 represented through an outcomes ‘chain’

The table below provides a view of how Steps 1 to 5 may be integrated into a table of planned delivery – clearly outlining the applied theory of change (i.e. demonstrating the causal links envisaged between inputs, activities, outputs, outcomes and impacts, across a planning timeframe). This represents a ‘results’ or outcomes chain. Also depicted is the concept of ‘working backwards’ – from the impact envisaged, through to each of the elements needed to realise this, with some outcomes and outputs staggered across the timeframe. A template for the development of an outcomes chain is included in Annexure 4. These issues will be addressed more fully within a revision of the City’s Performance Management Framework.

**Table 1: An outcomes chain, integrating steps 1 to 5 (Template in Annexure 4)**

Impact (What we aim to change)	Outcomes (What we wish to achieve)	Outputs (What we produce or deliver)	Activities (What we do)	Inputs (What we use to do the work)
Joburg is food secure by 2040	By 2030, nutritional intake of most vulnerable groups with no support other than government is maintained at optimal levels	2030: Net food gap of vulnerable people met through state supply (20%) and household food project initiatives (80%) – enabling self-dependency	<ul style="list-style-type: none"> <li>Identify households in need</li> <li>Train households to grow vegetable gardens</li> <li>Provide periodic mentoring and supply of materials</li> <li>Prepare food packs</li> <li>Distribute food to community centres</li> </ul>	<ul style="list-style-type: none"> <li>Training materials</li> <li>Seed and equipment</li> <li>Funding</li> <li>Food</li> <li>Distribution support</li> <li>Staff</li> </ul>
		2020: Net food gap of 15 000 vulnerable people (women, children, people with disabilities, households below the poverty line) met through sustainable state supply	<ul style="list-style-type: none"> <li>Identify vulnerable persons</li> <li>Prepare food packs</li> <li>Distribute food to community centres</li> </ul>	<ul style="list-style-type: none"> <li>Food</li> <li>Funding</li> <li>Distribution support</li> <li>Staff</li> </ul>
	By 2040, urban agriculture provides 35 % of local food needs	2030: 100 small scale community-initiated and driven projects operational for at least 5 years	<ul style="list-style-type: none"> <li>Provide ad hoc mentoring support</li> <li>Establish support network</li> <li>Develop learning platform</li> </ul>	<ul style="list-style-type: none"> <li>Trained mentors</li> <li>Meeting venue</li> <li>Communication material</li> <li>Database of projects</li> </ul>
		2018: Start-up materials and mentoring provided to all trainees for first year of operation	<ul style="list-style-type: none"> <li>Identify materials required</li> <li>Source materials</li> <li>Distribute materials</li> <li>Conduct periodic mentoring</li> </ul>	<ul style="list-style-type: none"> <li>Seed</li> <li>Compost</li> <li>Insecticides</li> <li>Implements</li> <li>Skilled mentors</li> </ul>
		2015: 200 people trained in urban agriculture techniques	<ul style="list-style-type: none"> <li>Prepare for training</li> <li>Conduct training</li> <li>Carry out evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Technical specialists</li> <li>Training materials</li> <li>Training venue</li> <li>Evaluation panel</li> </ul>

## Annexure 4: Templates – An outcomes chain

Impact (What we aim to change)	Outcomes (What we wish to achieve)	Outputs (What we produce or deliver)	Activities (What we do)	Inputs (What we use to do the work)

## Annexure 5: Templates – Indicator planning framework

Indicator	Data source	Data collection method	Who will collect the data?	Frequency of collection	Cost and difficulty to collect	Who will analyse the data?	Who will report data? How often?	Report / feedback format?	Who will use the data? (Audience and interests)
Description of Indicator 1									
Description of Indicator 2									
Description of Indicator 3									
Description of Indicator 4									
Description of Indicator 5									

## Annexure 6: Templates – A City-wide M&E Plan (timeframe specific)

Impact: <i>[Description of impact/ goal at a City]</i>		Institutional metric						Institutional annual targets					Implementing Cluster	Institutional Budget			
Planning cycle: E.g. 2020 – 2025		Indicator/s <sup>8</sup>	Means of Verification	5-year IDP Target	Baseline			Current year target	Yr 1	Yr 2	Yr 3	Yr 4		Yr 5	Yr 1	Yr 2	Yr 3
Key outcomes	Key outputs				Yr -3	Yr -2	Yr -1										

<sup>8</sup> This could also be structured to include target information – i.e. indicator and exact target.

## Annexure 7: An example of the M&E Plan in action

The figure below provides a view of the GDS' Outcome #2: "A resilient, liveable, sustainable urban environment - underpinned by infrastructure supportive of a low carbon economy". Four outputs are detailed in the GDS, including:

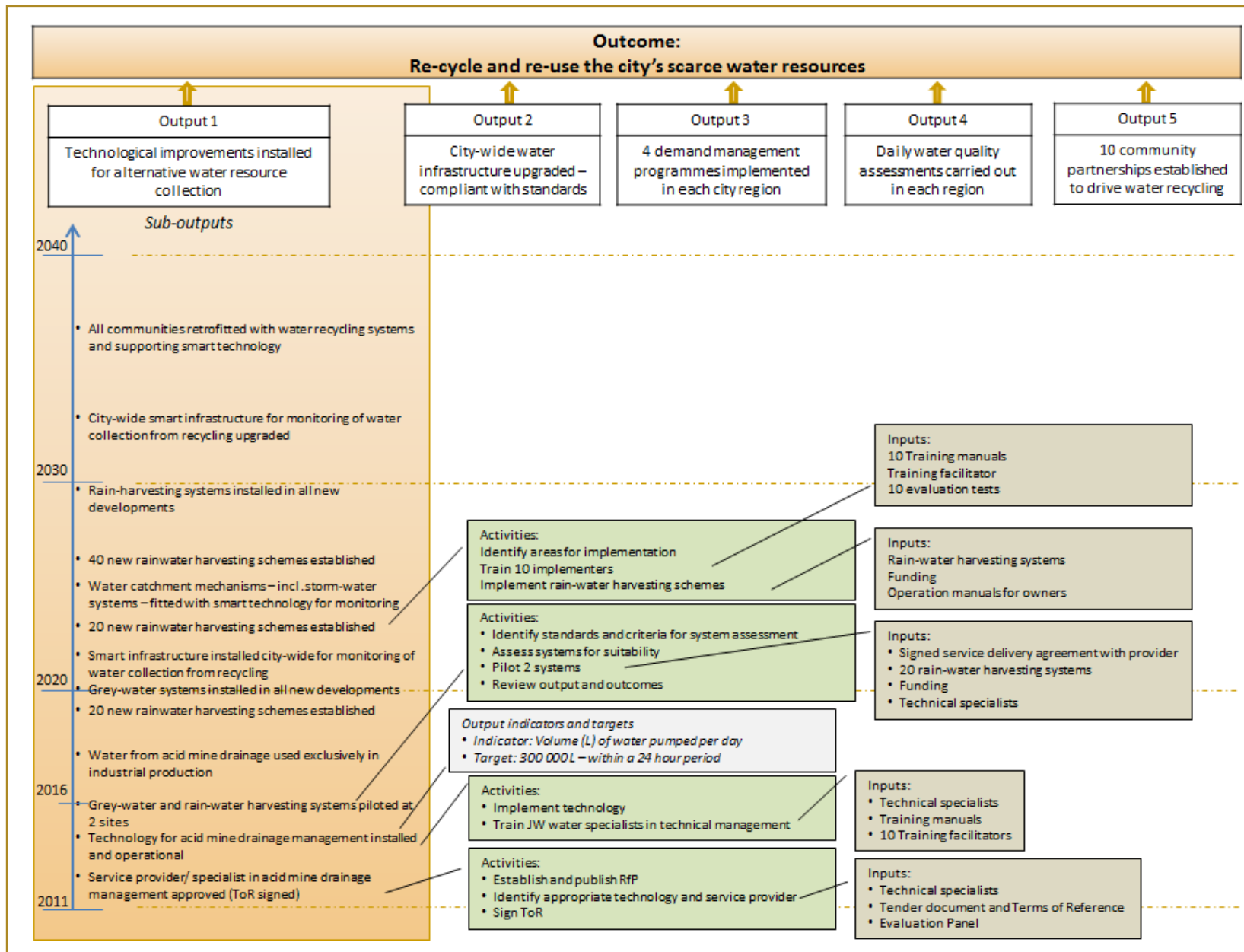
- Sustainable and integrated delivery of water, sanitation, energy and waste
- Eco-mobility
- Sustainable human settlements
- Climate change resilience and environmental protection

This provides a valuable example of M&E in practice. The benefit of a sound M&E system is that it allows for reflection, and revision of defined goals, objectives, outputs and activities where required, on the basis of learning and application. Through making the theory of change and underlying assumptions explicit, refinements can be made.

In this case, where reflecting on the outputs described, it is clear that they are more closely aligned with the concept of an outcome or sub-outcome. The statement for Outcome 1 may also be more closely reflective of the long-term impact – and may be better structured in this way (with appropriate focus on ensuring one idea is included therein, as per good practice). A further level of detail is required in terms of the outcomes, to ascertain outputs – and the associated activities and inputs. With the focus on stating these outcomes in more detail, to ensure clarity, they may be constructed as follows:

- Become more energy efficient and diversify the city's energy mix
- Re-cycle and re-use the city's scarce water resources
- Reduce, re-cycle and re-use the city's waste
- Create a more compact city form with good quality housing and shelter
- Shift mobility to public transport and environmentally friendly fuel sources

Viewing these outcomes from an outcomes-based approach, in the context of a future 2040, the following image (presented as a conceptual representation) of associated outputs, sub-outputs, activities and inputs may emerge – in relation to the outcome of: "Re-cycle and re-use the city's scarce water resources".





The table below provides an example of some of the elements applicable within the M&E Plan – in alignment with the above depiction – with reframed impacts, outcomes and outputs. This lays the foundation for identification of MoV, and the applicable baselines, targets, assumptions and reporting arrangements.

Impact: Joburg is water secure		City-wide metric						City-wide annual targets					Implementing Cluster	City-wide Budget			
Planning cycle: E.g. 2020 – 2025	Key outputs	Indicator/s <sup>9</sup>	Means of Verification	5-year IDP Target	Baseline			Current year target	Yr 1	Yr 2	Yr 3	Yr 4		Yr 5	Yr 1	Yr 2	Yr 3
Key outcomes					Yr -3	Yr -2	Yr -1										
Re-cycle and re-use the city's scarce water resources	Service provider/specialist in acid mine drainage appointed	<ul style="list-style-type: none"> <li>Percent of water reclaimed</li> <li>Percent of community engaged in water recycling</li> <li>Signed Service Level Agreement</li> </ul>															

<sup>9</sup> This could also be structured to include target information – i.e. indicator and exact target.

## Annexure 8: Templates – M&E Plan at the cluster level

Impact: [Description of impact/ goal at a City level]		City-wide metric						Cluster-specific annual targets						Assumptions, risks and mitigation	Implementing department/ entity/ section	Implementing department/ entity/ section budget		
Planning cycle: E.g. 2020 – 2025	Key outputs	Indicator/s <sup>10</sup>	Means of Verification	5-year IDP Target	Baseline			Current year target	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5			Yr 1	Yr 2	Yr 3
Key outcomes					Yr -3	Yr -2	Yr -1											

<sup>10</sup> This could also be structured to include target information – i.e. indicator and exact target.

## Annexure 9: Template – Annual M&E Plan at the inter-cluster level

Annual plan for: [Year]			Cluster-specific metric				Cluster-specific annual milestones				Implementing department/ entity/ section	Budget	
Key outcomes	Key outputs	Activities	Indicator/s <sup>11</sup>	Means of Verification	Baseline	Annual Target Yr 1	Q1	Q2	Q3	Q4		Estimate	Variance

<sup>11</sup> This could also be structured to include target information – i.e. indicator and exact target.

## Annexure 10: Template – M&E Plan at the inter-cluster level

<b>Impact:</b> [Description of impact/ goal]				
<b>Planning cycle:</b> E.g. 2020 – 2025				
	<b>Cluster 1</b>	<b>Cluster 2</b>	<b>Cluster 3</b>	<b>Cluster 4</b>
<b>Cluster 1</b>		Include the contribution to be made – at the level of output or activity, in relation to Cluster 2's areas of focus	Include the contribution to be made – at the level of output or activity, in relation to Cluster 3's areas of focus	Include the contribution to be made – at the level of output or activity, in relation to Cluster 4's areas of focus
<b>Cluster 2</b>	Include the contribution to be made – at the level of output or activity, in relation to Cluster 1's areas of focus		Include the contribution to be made – at the level of output or activity, in relation to Cluster 3's areas of focus	Include the contribution to be made – at the level of output or activity, in relation to Cluster 4's areas of focus
<b>Cluster 3</b>	Include the contribution to be made – at the level of output or activity, in relation to Cluster 1's areas of focus	Include the contribution to be made – at the level of output or activity, in relation to Cluster 2's areas of focus		Include the contribution to be made – at the level of output or activity, in relation to Cluster 4's areas of focus
<b>Cluster 4</b>	Include the contribution to be made – at the level of output or activity, in relation to Cluster 1's areas of focus	Include the contribution to be made – at the level of output or activity, in relation to Cluster 2's areas of focus	Include the contribution to be made – at the level of output or activity, in relation to Cluster 3's areas of focus	

## Annexure 11: Template – City-wide reporting template

Impact: [Description of impact/ goal at a City level]		City-wide metric						Progress Report		Budget Utilisation			Comments
Planning cycle: E.g. 2020 – 2025	Key outputs	Indicator /s <sup>12</sup>	MoV	5-year IDP Target	Baseline	Annual target	Quarterly targets	Quarterly Target Achieved (Yes/ No)	If 'Yes', provide evidence If 'No', state intended mitigation	Estimate	Actual	Variance	
Key outcomes													
							Q1						
							Q2						
							Q3						
							Q4						
							Q1						
							Q2						
							Q3						
							Q4						
							Q1						
							Q2						
							Q3						
							Q4						

<sup>12</sup> This could also be structured to include target information – i.e. indicator and exact target.

## Annexure 12: Template – Cluster-specific reporting template

Impact: <i>[Description of impact/ goal at a City level]</i>		City-wide metric							Progress Report		Budget Utilisation			Comments
<i>Planning cycle: E.g. 2020 – 2025</i>	Key outputs	Implementing department/ entity/ section	Indicator /s <sup>13</sup>	MoV	5-year IDP Target	Baseline	Annual target	Quarterly targets	Quarterly Target Achieved (Yes/ No)	If 'Yes', provide evidence If 'No', state intended mitigation	Estimate	Actual	Variance	
Key outcomes														
								Q1						
								Q2						
								Q3						
								Q4						
								Q1						
								Q2						
								Q3						
								Q4						
								Q1						
								Q2						
								Q3						
								Q4						

<sup>13</sup> This could also be structured to include target information – i.e. indicator and exact target.