

**An Analysis of a Readiness Assessment for establishing a Monitoring and Evaluation System in Early Childhood Development (ECD) Programmes: A case study of Ikamva Labantu Centre, Khayelitsha.**

By

**Nguika Judith Fonkem**



A Mini-Thesis submitted To the Institute for Social Development,  
Faculty of Arts, University of the Western Cape,  
In Partial Fulfillment of the Requirements For An  
MA. Degree in Social Development.

November 2012

Supervisor:

Prof. Christo de Coning

## DECLARATION

I hereby declare that *An Analysis of a Readiness Assessment for Establishing a Monitoring and Evaluation System in Early Childhood Development (ECD) Programmes: A case study of Ikamva Labantu Centre, Khayelitsha*, is my original work and has not been submitted before for any degree or examination in any university, and all the sources I used or quoted have been indicated and duly acknowledged by a complete list of references.

Signature: .....

Nguika Judith Fonkem



## **DEDICATION**

This research is dedicated to my beloved departed parents Mr. Michael Fonkem and Mrs. Esther Fonkem. May your gentle souls find eternal repose in the sacred place of the Lord, Amen.

## **ACKNOWLEDGEMENTS**

My profound gratitude to my supervisor, Prof. Christo de Coning for his constructive comments, time, patience, guidance and understanding throughout the research period and also for enabling this study to be completed in record time.

My sincere and deepest appreciation to my beloved sister; Dr. Asongna T Folefoc, my dearest brother, Ajab Nelson and my super brother-in-law, Mr. Daniel Folefoc: for their massive financial, moral and material support and for always being there for me.

Special thanks to the Programme Coordinator of Ikamva Labantu ECD Centre in Khayelitsha and all the respondents for sharing their knowledge and taking time out from their very busy schedules to participate in the interviews.

I would also like to acknowledge my friends, classmates and colleagues for their constant motivation and support throughout my studies.

Above all, I am most grateful to the Lord almighty for his ceaseless mercies, abundant blessing, and for giving me life and the strength to pull through this study.

## Table of Contents

<b>CHAPTER ONE: INTRODUCTION.....</b>	<b>1</b>
1.1 INTRODUCTION.....	1
1.2 BACKGROUND TO CASE STUDY AREA.....	2
1.2.1 <i>Overview of South Africa/Khayelitsha</i> .....	2
1.2.2 <i>Ikamva Labantu</i> .....	3
1.2.3 <i>Ikamva Labantu experiential training programme</i> .....	3
1.3 RATIONALE FOR STUDY .....	4
1.4 RESEARCH PROBLEM/AIMS OF STUDY .....	4
1.4.1 <i>Research problem/problem statement</i> .....	4
1.4.2 <i>Research objectives</i> .....	5
1.5 RESEARCH QUESTION .....	5
1.6 RESEARCH DESIGN.....	5
1.6.1 <i>Research methodology</i> .....	6
1.6.2 <i>Literature review</i> .....	6
1.6.3 <i>Secondary data analysis</i> .....	6
1.6.4 <i>The case study</i> .....	6
1.6.5 <i>Data collection</i> .....	7
1.6.6 <i>Data processing, analysis and presentation</i> .....	7
1.7 RESEARCH PROCEDURE .....	7
1.8 LIMITATIONS OF THE STUDY .....	8
1.9 CHAPTER OUTLINE.....	8
<b>CHAPTER TWO: LITERATURE REVIEW, THEORETICAL PERSPECTIVE AND CONCEPTUAL FRAMEWORK.....</b>	<b>9</b>
2.1 INTRODUCTION.....	9
2.2 MONITORING AND EVALUATION.....	9
2.2.1 <i>Principles of monitoring and evaluation</i> .....	10
2.3 PARTICIPATORY MONITORING AND EVALUATION.....	12
2.3.1 <i>Review of PM&amp;E</i> .....	13
2.4 RESULTS-BASED MONITORING AND EVALUATION (RBM&E) .....	15
2.4.1 <i>Building a results-based monitoring and evaluation system</i> .....	16
2.4.1.1 <i>Readiness assessment</i> .....	16
2.4.1.2 <i>Eight Key Questions of readiness assessment</i> .....	18
2.5 KEY CONCEPTS OF PARTICIPATORY MONITORING AND EVALUATION .....	19
2.5.1 <i>Accountability</i> .....	19
2.5.2 <i>Capacity building</i> .....	19
2.5.3 <i>Empowerment</i> .....	20
2.6 CONCEPTUALISING DEVELOPMENT .....	22
2.6.1 <i>Classical theories of development</i> .....	23

2.6.2	<i>Alternative Development Theories</i> .....	24
2.6.2.1	Participatory Development Theory .....	25
2.6.2.2	People-Centred Development .....	26
2.7	BACKGROUND TO EARLY CHILDHOOD DEVELOPMENT (ECD) .....	27
2.8	CONCLUSION .....	28
<b>CHAPTER THREE: RESEARCH DESIGN</b> .....		<b>29</b>
3.1	INTRODUCTION.....	29
3.2	RESEARCH DESIGN.....	29
3.3	RESEARCH METHOD .....	30
3.3.1	<i>Qualitative research methods</i> .....	30
3.3.1.1	Observation .....	31
3.3.1.2	Focus group discussions.....	31
3.3.1.3	Semi-structured interviews.....	32
3.4	RESEARCH PROCEDURE .....	32
3.5	CONCLUSION .....	33
<b>CHAPTER FOUR: PRESENTATION OF FIELDWORK RESULTS OF AN M&amp;E READINESS ASSESSMENT: THE CASE OF THE NGO IKAMVA LABANTU</b> .....		<b>34</b>
4.1	INTRODUCTION.....	34
4.2	DESCRIPTION OF CASE STUDY AREA .....	35
4.2.1	<i>Overview of South Africa</i> .....	35
4.2.2	<i>The Western Cape Province</i> .....	37
4.2.3	<i>Khayelitsha</i> .....	38
4.2.4	<i>Ikamva Labantu</i> .....	38
4.2.4.1	<i>Ikamva Labantu Experiential Training Programme</i> .....	39
4.3	GENERAL CHARACTERISTICS OF THE PARTICIPANTS (RESPONDENTS).....	40
4.3.1	<i>Gender composition of respondents</i> .....	40
4.3.2	<i>Composition of the Respondents</i> .....	41
4.3.3	<i>Educational Level</i> .....	41
4.4	PRESENTATION OF FIELD WORKRESULTS.....	42
4.4.1	<i>Incentives and demands for designing and building a results-based M&amp;E system</i> ...	43
4.4.1.1	Knowledge and understanding of a readiness assessment as part of preparing for the establishment of an M&E system.....	43
4.4.1.2	Motivation of the organisation for developing an M&E system.....	44
4.4.1.3	The champions involved in the process of building an M&E system.....	44
4.4.2	<i>Capacity building requirements for a results-based M&amp;E system</i> .....	45
4.4.2.1	The role of an M&E system in achieving programme goals and objectives.....	45
4.4.2.2	Organisational capacity for supporting a RBM&E system.....	46
4.4.3	<i>Participatory monitoring and evaluation</i> .....	47
4.4.3.1	Participation in decision making .....	47

4.4.3.2	Enhancing accountability and transparency through PM&E .....	48
4.4.3.3	Beneficiaries of the M&E system .....	48
4.5	CONCLUSION .....	49
<b>CHAPTER FIVE: RESEARCH FINDINGS .....</b>		<b>50</b>
5.1	INTRODUCTION.....	50
5.2	KNOWLEDGE OF READINESS ASSESSMENT IN ESTABLISHING A RESULTS- BASED M&E SYSTEM .....	50
5.3	IKAMVA LABANTU MOTIVATION FOR DEVELOPING AN M&E .....	51
5.4	THE CHAMPIONS INVOLVED IN THE PROCESS OF BUILDING AN M&E SYSTEM .....	52
5.5	USERS, BENEFICIARIES AND NON-BENEFICIARIES OF THE M&E SYSTEM .	52
5.6	ACHIEVING PROGRAMME GOALS AND OBJECTIVES THROUGH M&E SYSTEM .....	53
5.7	ORGANISATIONAL CAPACITY FOR SUPPORTING A RBM&E SYSTEM .....	54
5.8	PARTICIPATION IN DECISION-MARKING.....	54
5.9	ACCOUNTABILITY AND TRANSPARENCY THROUGH PM&E .....	56
5.10	CONCLUSION .....	57
<b>CHAPTER SIX: CONCLUSIONS AND RECOMMENDATIONS .....</b>		<b>59</b>
6.1	INTRODUCTION.....	59
6.2	CONCLUSIONS.....	59
6.3	RECOMMENDATIONS .....	62
6.4	LESSONS OF EXPERIENCE .....	64
6.5	AREAS FOR FUTURE RESEARCH .....	64
6.6	FINAL REMARKS .....	65
<b>REFERENCES.....</b>		<b>67</b>

## LIST OF TABLES

Table 4.1: Educational levels of the respondents

## LIST OF FIGURES

Figure 4.1: Respondents composition

## LIST OF ABBREVIATIONS

CB	Capacity Building
CBD	Central Business District
CBWs	Community Based Workers
ECD	Early Childhood Development
ECDPs	Early Childhood Development Practitioners
ETPs	Experiential Training Participants
FGDs	Focus Group Discussions
FWC	First World Countries
GEAR	Growth, Employment and Redistribution
GTZ	The German Agency for Technical Cooperation
GWM&ES	Government Wide Monitoring and Evaluation System
M&E	Monitoring and Evaluation
MES	Monitoring and Evaluation System
NACOSA	Networking HIV, AIDS Community of South Africa
NIP	National Integration Plan
NGO	Non Governmental Organisation
PM&E	Participatory Monitoring and Evaluation
PSP	Provincial Strategic Plan
PWMES	Provincial-Wide Monitoring and Evaluation System
RA	Readiness Assessment
RBM&E	Results-Based Monitoring and Evaluation
RDP	Reconstruction and Development Programme
SADC	Southern African Development Community
TWC	Third World Countries
UN	United Nations
UNDP	United Nations Development Programmes
UNRISD	United Nations Research Institute for Social Development
WB	World Bank

## Abstract

*Over the years major changes have occurred in the focus, approach and application of monitoring and evaluation systems as a result of increased levels of emphasis towards achieving results (outcomes) as opposed to activities and outputs. As the focus of management changes from activities to results, so too has the focal point of M&E shifted from the traditional M&E system of progress monitoring that only deals with assessing inputs and implementation processes, to a results-based M&E system that emphasizes the need to assess the contributions of intervention to development outcomes. Nowadays funders, stakeholders and donor agencies want to see the difference that development initiatives make in the livelihood of project beneficiaries.*

*Results-based M&E systems are essential components of most organisational structures responsible for development services and this is very fundamental as it provides vital information and empowers policy makers to take better informed decisions. The foundation of an M&E system is the very first step which is in essence called a 'readiness assessment'. Such an assessment must be conducted before the actual establishment of an M&E system. Just as a building must begin with a foundation, constructing an M&E system must also begin with the establishment of a readiness assessment. Without this assessment and an understanding of the preparedness and commitment of the organisation, establishing an M&E system may be fraught with difficulties and failure.*

*The Monitoring and Evaluation (M&E) of the Early Childhood Development (ECD) Programme of Ikamva Labantu has always been in the form of a reporting-type check list. The Centre is in a process of establishing an effective M&E system. The problem being investigated in this study is whether Ikamva Labantu has achieved a sufficient level of readiness to establish a results-based monitoring and evaluation system. However, the study shall also highlight crucial aspect of PM&E and RBM&E that will have to be taken into consideration with the establishment of the actual M&E system.*

*With the use of the qualitative research method, the aim of this study is to analyse and assess the readiness assessment phase for establishing a monitoring and evaluation system in the Early Childhood Development (ECD) Programmes of Ikamva Labantu Centre, Khayelitsha.*

**Keywords**

Accountability and transparency

Capacity Building

Development

Early Childhood Development (ECD)

Empowerment

Evaluation

Ikamva Labantu

Monitoring

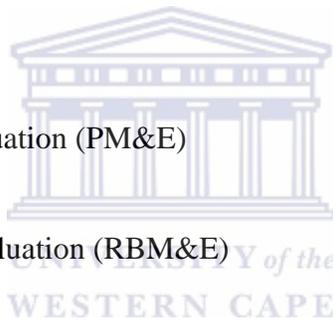
Monitoring and Evaluation (M&E)

Participation

Participatory Monitoring and Evaluation (PM&E)

Readiness Assessment

Results-Based Monitoring and Evaluation (RBM&E)





UNIVERSITY *of the*  
WESTERN CAPE

## CHAPTER ONE: INTRODUCTION

### 1.1 INTRODUCTION

Monitoring and evaluation is not an entirely new concept especially to government institutions. Görgens and Kusek (2009:2) noted that more than 5,000 years ago, the ancient Egyptians regularly monitored grain and livestock production. Nowadays, while governments and organisations may have different types of tracking systems, it is certain that all modern governments carry out some form of monitoring and evaluation.

Over the years there have been some major changes in the focus, approach and application of monitoring and evaluation systems as a result of increased levels of emphasis towards achieving results (outcomes), as oppose to activities and outputs. As the focus of management changes from activities to results, so too has the focal point of M&E shifted from the traditional M&E system of progress monitoring which only deals with assessing inputs and implementation processes to a results-based M&E system which emphasises the need to assess the contributions of intervention to development outcomes. These days, funders, stakeholders and donor agencies want to see the difference that development initiatives make in the livelihood of project beneficiaries (Gebremedhin, Getachew and Amha, 2010:1).

There has been increasing pressure on governments and organisations all over the world to be more responsive to stakeholders on issues of good governance, accountability and transparency, greater development effectiveness and the delivery of tangible results. With the growth and demand for greater accountability and results, there is an accompanying need for a results-based monitoring and evaluation system to support the management of programmes, projects and policies. Results-based M&E provides organisations with the unique opportunity to satisfy their need for good and timely feedback system (Görgens and Kusek, 2009:2).

A results-based M&E (RBM&E) system is an essential component of developmental organizational structures and thus very fundamental as it provides vital information and empowers policy makers to take better and informed decisions. The foundation of an M&E system is the very first step which is in essence called 'readiness assessment'. Such an assessment must be conducted before the actual establishment of an M&E system. "Just as a

building must begin with a foundation, constructing an M&E system must also begin with the foundation of a readiness assessment”. Without this assessment and an understanding of the foundation, establishing an M&E system may be fraught with difficulties and failure (Kusek and Rist, 2004:23).

Given the fact that RBM&E is recommended for most development projects and programmes, it is also important to include RBM&E in Early Childhood Development (ECD) programmes. ECD is an umbrella term or a general classification that refers to the processes by which children from birth to the age of 9 grow and flourish socially, physically, mentally, emotionally, spiritually and morally. Early childhood is the most rapid period of development in a human life. Although individual children develop differently and at their own pace, all children progress through a particular sequence of physical, cognitive, and emotional growth and change (World Wide Vision, 2009).

The main focus of this research is on readiness assessment for the establishment of an M&E system. However, the study shall also highlight crucial aspect of participatory monitoring and evaluation (PM&E) and results-based monitoring and evaluation (RBM&E). The Kusek and Rist (2004) ten step model shall be adopted as a partial basis for the conceptual framework for this study.

## 1.2 BACKGROUND TO CASE STUDY AREA

### 1.2.1 Overview of South Africa/Khayelitsha

South Africa is a middle income emerging market that presents a situation of extreme wealth and extreme poverty, with one of the highest rates of inequality in the world being the legacy of apartheid. Khayelitsha is one of the dormitories settlements created during the apartheid era. It is the largest and most populated township in Cape Town situated about 25 to 30kms from the central business district (CBD). This township is plaque with high levels of poverty, unemployment, limited access to basic services and inadequate standardize ECD Centres (Bray, 2008).

### **1.2.2 Ikamva Labantu**

Ikamva Labantu is a non-profit, non-governmental Trust established in 1963 and actually became known as Ikamva Labantu in 1992. It strives for every human being to have a dignified life and enable community to be self-reliant. Ikamva Labantu's programmes are driven by the needs of the communities they serve. They work with community leaders, teachers, parents, caregivers and families. Ikamva Labantu's programmes focus on three major areas to develop and support vulnerable communities; Community Health, Community Learning and Development and Community Resources. It also caters for orphans, vulnerable children and youth, pre-school children and vulnerable senior citizens. Though the main goal of the ECD Centre is to achieve quality development for children, their programmes are however, not directly focused on the children but rather on those who takes care of the children. Programme M&E in Ikamva Labantu has always been in the form of a check list. With the launch of a new ECD centre in Khayelitsha, Ikamva Labantu is in a process of establishing an effective RBM&E system (Ikamva Labantu, 2011).

### **1.2.3 Ikamva Labantu experiential training programme**

Ikamva Labantu has been running many other educare centres in several townships around the Western Cape Province. From their experience in this field, they realized that children from impoverished communities do not have appropriate school readiness skills to prepare them for the journey of learning. In educare centres in many of these communities, children are cared for but not stimulated. This was mainly due to the fact that the child-care practitioners (teachers) were not trained and had no skills in early childhood development. Thus, the experiential training programme of Ikamva Labantu was born out of the dire need to train ECD practitioners (Ikamva Labantu ECD Programme, unpublished).

The ECD centre in Khayelitsha is used as a model ECD Centre. In the first phase of the programme called 'experiential learning', the ECD practitioners are taught basic practices and theories of ECD. In the second phase, the ECD practitioners observed how theory is translated into practice in the Centre's model classrooms. The practitioners are also given the opportunity to implement lessons in the Centre's model classrooms under the supervision of qualified ECD practitioners. At the end of the training programme, the experiential training participants, now trained ECD practitioners, will return to their various educares with support from the Centre's

Community Based Workers in implementing a stimulating learning programme within their own classrooms.

### 1.3 RATIONALE FOR STUDY

An M&E system helps to evaluate and monitor projects/programmes, and enables projects/programmes directors, coordinators and implementers to see if they are making progress and achieving success by measuring their outcomes against their indicators and objectives. According to Estrella, Blauert, Campilan, Gaventa, Guijt, Johnson and Ricafort (2000:13), the successful establishment of an M&E system will depend on certain factors such as; "... the willingness and commitment of all stakeholders, the availability of time and resources, and a conducive external (institutional) environment, amongst others". The rationale for this research is to analyse the process and the first step, which is the readiness assessment phase in the establishment of an M&E system in Ikamva Labantu ECD Centre. Analysing the readiness assessment phase in the establishment of an M&E system in Ikamva Labantu and sharing the experience and lessons learned will provide literature, a model and recommendations for others to utilise.

### 1.4 RESEARCH PROBLEM/AIMS OF STUDY

#### 1.4.1 Research problem/problem statement

The importance of a readiness assessment in the establishment of an M&E system cannot be over emphasised. Contemporary project management practices have highlighted monitoring and evaluation as an essential aspect which should be evident throughout the lifecycle of a project and not as the last step in the project cycle as placed by conventional M&E and Project management. It is important to note that M&E done towards the end of the programme/project allow little or no opportunity for improvement during early and mid-term implementation (Vernooy, Qui and Jianchu, 2006). Many international organisations, governments and NGOs are more transparent, accountable and sustainable today as a result of M&E. Most community development programmes and projects are more successful due to the fact that the community participated in the M&E process to better articulate their needs.

RBM&E may be very promising with huge potential as seen in Kusek and Rist (2004) but this potential will hardly materialise as long as there is no M&E system in place. It is very necessary for any organisation, large or small, to have a functional and effective M&E system in place

which the early childhood development and experiential training programme of Ikamva Labantu does not have. The purpose of this research is to analyse and assess the readiness assessment process of establishing a functional and effective M&E system at this NGO.

Thus, the problem being investigated in this study is whether Ikamva Labantu has achieved a sufficient level of readiness to establish a results-based monitoring and evaluation system. The problem is therefore that a readiness assessment needs to be done to establish whether this NGO meets basic requirement to establish an M&E system.

#### **1.4.2 Research objectives**

The principal objective of this study is to assess the readiness assessment phase of a results-based participatory monitoring and evaluation system that will be established by Ikamva Labantu. The more specific objectives of this study are thus to:

- Provide a literature review, a theoretical perspective and a conceptual framework on Early Childhood Development, PM&E, RBM&E and readiness assessment.
- Provide a background to the case study and present the field work results.
- Present and analyse the research findings of the readiness assessment completed by Ikamva Labantu in establishing an M&E system.
- Develop lessons of experience and recommendations, areas of future research and a final conclusion.

#### **1.5 RESEARCH QUESTION**

Is Ikamva Labantu ready and prepared to establish a results-based monitoring and evaluation (RBM&E) system and to utilise a participatory monitoring and evaluation (PME) approach?

#### **1.6 RESEARCH DESIGN**

Research design is a critical part of research as it provides a strategic framework for the collection and analysis of data and subsequently indicates which research methods are appropriate (Walliman, 2006:42). For Mouton (1996), a research design is a set of guidelines to be followed in addressing a research problem. The research design for this study will be discussed in Chapter 3.

### **1.6.1 Research methodology**

Research methodology is very important for any research project and it is the methods adopted to gain knowledge about the social world. It also refers to a systematic way of collecting data for specific subject matter. The subjective ideographic assumption to methodology is closely related to the qualitative research method which was employed in this research (Burrell and Morgan, 1979:6-7). This study used the qualitative research method and followed a case study approach. It should be noted that the research methodology of this study is discussed in Chapter 3.

### **1.6.2 Literature review**

A literature review requires the researcher to review appropriate literature to be able to determine relevant information and debates surrounding the topic and helps avoid duplication (Mouton, 2001). Literature reviews brings clarity and focus to the research problem, improve the research methodology, broaden the researcher's knowledge base in the research area, contextualize the research findings and lends credibility to the research work (Kumar, 2005:30). The theoretical and conceptual framework of this study is drawn from the field of inquiry in conventional development, participatory development, monitoring and evaluation, participatory monitoring and evaluation, results-based monitoring and evaluation, accountability, empowerment and capacity building.

### **1.6.3 Secondary data analysis**

This study entails examining and reviewing related documentation to the subject matter. Secondary data is interpreted published or unpublished primary data required for all research studies in order to gain inside and background to the research topic. Secondary data enlightens the researcher, save time and avoid duplication (see Chapter 3).

### **1.6.4 The case study**

This study adopts a case study approach. A case study is a method of studying in-depth a social phenomenon by systematically analysing a single case in point such as a person, family, group, community, village, society, process, system, an organisation, an institution or any other unit of social life. The case study approach provides an opportunity for the intensive investigation into one or a few cases and of many specific details often overlooked by other methods (Walliman, 2006:45; Kumar, 2005). Case study designs are usually very flexible empirical research that examines a contemporary occurrence within its natural framework (Yin, 1994:23).

The case study of this research is a non-governmental organisation known as Ikamva Labantu. The research specifically deals with one of Ikamva labantu's Early Childhood Development Centre known as Kwakhanya Early Childhood Learning Centre located in Khayelitsha, one of the largest and most populated townships in the Western Cape Province of South Africa (see Chapter 4).

### **1.6.5 Data collection**

Given the fact that a qualitative research approach was followed, data was collected by means of interviews, semi-structured interviews, observation, and focus group discussions. All interviews, observation and focus group discussions were recorded and later interpreted and analysed.

### **1.6.6 Data processing, analysis and presentation**

As noted in the above discussion, a qualitative set of data was collected. Responses from the interviews, notes and records from observation and focus group discussions have been identified and clustered into meaningful groups, related themes, patterns and categories in order to answer the different research questions under investigation. A thematic approach was thus followed to assess the field work results. Data has been presented in the form of narratives analysis, pie chart as well as frequency tables.

## **1.7 RESEARCH PROCEDURE**

The research was conducted by following the steps as indicated below:

- a) Literature review, including both primary and secondary data from various sources.
- b) Situation assessment of the case study (Ikamva Labantu ECD Centre, Khayelitsha).
- c) Identification of participants and selection of key informants (project director, programme manager, community-based workers, and participants of the experiential training programme).
- d) Conducted semi-structured interviews and carried-out three focus group discussions.
- e) Data processing and interpretation.
- f) Data analysis, presentation of findings, recommendation and conclusion.

## 1.8 LIMITATIONS OF THE STUDY

One of the limitations of the study was the language barrier as the case study area and some of the participants were predominantly Xhosa speaking. The researcher made use of a translator during data collection. This led to very limited mutation of information in the process of translating. Despite these limitations however, the researcher found that the research methods employed in this study ensured sufficient reliability, and validity, to ensure good and trustworthy fieldwork results.

## 1.9 CHAPTER OUTLINE

The chapter outline is in line with the research objectives of this study.

**Chapter 1: Introduction.** This chapter provides an introduction and background to study, contextualised basic terminology and also provide the problem statement, the research question, the aims, objectives and rationale for the study.

**Chapter 2: Literature review, theoretical and conceptual framework.** This section provides a theoretical perspective and conceptual framework on Early Childhood Development and RBM&E and, also discusses key concepts and principles of both RBM&E and PM&E.

**Chapter 3: Research methodology.** This chapter provides selected research techniques for data collection as well as the research design for the study.

**Chapter 4: The case study and field work results.** This chapter describes the case study area and provides fieldwork results of the readiness assessment phase of the RBM&E and PM&E system of Ikamva Labantu's ECD programme in Khayelitsha.

**Chapter 5: Research findings.** Chapter Five presents the empirical research findings for the readiness assessment step of Ikamva Labantu RBM&E and PM&E system and an analysis of the findings was also provided. Attention was also given to the principal concept of PM&E as used in this research (participation and decision making, accountability, capacity building and empowerment).

**Chapter 6: Conclusion and recommendation.** This last and final chapter develops lessons of experience and areas of future study and also provides conclusions and recommendations for the study.

## **CHAPTER TWO: LITERATURE REVIEW, THEORETICAL PERSPECTIVE AND CONCEPTUAL FRAMEWORK**

### **2.1 INTRODUCTION**

The growing need for outcomes and strong focus on results within the development community has led to an increasing interest in monitoring and evaluation. M&E of development activities provides government officials, development practitioners, and civil societies with better means of learning from past experience. It improves service delivery and demonstrates results as part of accountability to key stakeholders. This Chapter provides a literature review of participatory monitoring and evaluation, results-based monitoring and evaluation and readiness assessment for establishing a results-based monitoring and evaluation system. The purpose of the Chapter is also to provide a theoretical background to the study and develop a conceptual framework for readiness assessment.

### **2.2 MONITORING AND EVALUATION**

Monitoring as noted by Kusek and Rist (2004:12), is a "... continuous function that uses the systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indicators of the extend of progress and achievement of objectives and progress in the use of allocated fund". According to Hohenheim cited in Sangole (2007), the first attempts at programme monitoring and evaluation can be traced back to the 1920s. It was first propagated in education for testing the achievement of learners in schools. Later on, programme evaluation as an important component in professional practice, emerged as a result of felt needs to assess large-scale developmental programmes and government interventions in the 1960s. This was further used to measure its success and to determine whether to provide further funding or not.

There is neither a specific nor a unique definition for monitoring and evaluation. Monitoring is a continuous function that uses the systematic collection of data on specified indicators, to provide management and main stakeholders of development intervention, with an early indications of the extend of progress. Monitoring tracks the implementation of an initiative and its impact on specific targets. Monitoring can also improve policy design and implementation, promote

accountability and dialogue as well as provide regular feedback on programme performance to managers, policy makers and stakeholders (Cornielje et al., 2008:40; Khandker et al., 2010).

Evaluation on the other hand, provides a complementary but distinctive function from monitoring. Evaluation is defined as a periodic assessment of the relevance, performance, efficiency and impact of a project in the context of its stated objectives. It highlights both intended and unintended results, gives evidence of ‘why’ and ‘how’ targets and objectives are (not) achieved and also provides strategic lessons to guide decision-makers and stakeholders (Cornielje et al., 2008:40 and Casley & Kumar in Oakley & Clayton, 2000:14).

For Kusek and Rist (2004:12), “... evaluation is a systematic and objective assessment of an on-going or complete project, programme, or policy, including its design, implementation, and results”. Evaluation determines development efficiency, effectiveness, impact, and development sustainability. Evaluation must be able to supply useful and credible information and “... enabling the incorporation of lessons learned into the decision-making process of both recipients and donors” (Kusek and Rist, 2004:12).

According to Cornielje, Velema and Finkenflügel (2008:48), monitoring and evaluation generally seeks to provide critical information and enable policy makers and managers to make informed and better decisions. Monitoring and evaluation is also a way to engage people in active learning and reflection about their work. It can be confidence-building and affirming for all involved. An efficient and effective M&E systems would help promote greater transparency and accountability within institutions, organisations and the general public. Kusek and Rist (2004) also stated that a functional M&E system helps in clarifying goals and objectives, and provides a constant flow of information which is crucial for management in achieving results and meeting specific targets.

### **2.2.1 Principles of monitoring and evaluation**

The South Africa policy framework for the Government-Wide Monitoring and Evaluation System (The Presidency, 2007:3) elucidates seven key principles of monitoring and evaluation. The first key principle highlights the fact that M&E should contribute in improving governance by means of transparency and accountability, whereby, findings are made available to the general public unless otherwise and the use of resources are open and subjected to public

scrutiny. Participation and inclusion of historically marginalised and traditionally excluded interested stakeholders are also some of the aspects which if taken into consideration during M&E processes can improve governance.

The second principle underlined by the GWM&ES of the Presidency, concern the fact that M&E should be rights-based. A rights-based culture is endorsed and ingrained by its integration in the value base for all M&E processes (The Presidency, 2007:3).

The third principle underscores the fact that M&E should be development oriented, nationally, institutionally and locally. This principle adopts a pro poor approach by determining the root causes of poverty, its effects, its dynamics and prioritising the needs of the poor. Being development oriented also calls for the need for better service delivery and performance, whereby, variables reflecting institutional performance and service delivered are analysed and reviewed, and responsive strategies are devised accordingly. This principle also lists the importance of impact awareness and human resource management which, is making sure that the skills required for deliberative M&E are available (The Presidency, 2007:3).

According to the fourth principle of the GWM&ES, M&E should be undertaken ethically and with integrity. This point stresses the importance of confidentiality, respect, representation of competence as well as fair reporting in M&E processes (The Presidency, 2007:3).

Principle number five emphasises that M&E should be utilisation oriented. This accentuates the fact that M&E products should be able to meet expectations, recommendations should be recorded and maintained, and implementation should be monitored (The Presidency, 2007:3).

The sixth principle upholds that M&E should be methodologically sound. It implies that indicators should be consistent in order to improve quality and allow trend analysis. Methodology should be appropriate and match the question being investigated. Findings should also be clearly based on systematic evidence and methodological pluralism could be used to enhance credibility of the findings (The Presidency, 2007:3).

The seventh and final principle states that M&E should be operationally effective. This implies that the M&E process should be well-planned; properly managed, the scope should be well defined, and the process should be cost effective and systematic (The Presidency, 2007:3).

Against the above background of the seven principles of M&E as stipulated by the policy framework for the Government-Wide Monitoring and Evaluation System, the development of participatory monitoring and evaluation is discussed in the next section.

### 2.3 PARTICIPATORY MONITORING AND EVALUATION

According to Jacobs, Barnett and Ponsford (2010:39), PM&E is a blanket term which, refers to a wide array of methods, whereby, primary stakeholders are active participants in measuring progress and working towards achieving results. Lately, participatory development has become a catchphrase with a variety of meaning for different people. According to the literature, a host of scholars in this field (Burkey, 2002; Estrella et al 2000; Hickey and Mohan, 2004; McGee, 2002; Oakley, 1991; Sangole, 2007; Vincent, 2004; Von Bertrab and Zambrano, 2010;), are of the opinion that participatory development is a more effective way of managing development interventions. It is basically, a proactive experiential learning and self transformative process, aimed at creating sustainable development.

PM&E is part of a wider historical process that emerged over the last two decades (Estrella and Gaventa, 1998; Sangole, 2007). Some scholars are of the opinion that PM&E materialised as a result of the limitations of conventional M&E. Traditionally, M&E served mostly the needs of donors and project executors, and ignored the needs of project beneficiaries. PM&E is an essential component of a project. It is strongly woven into the whole project cycle. Unlike conventional M&E, PM&E emphasises a broader involvement and participation of all stakeholders in deciding how project progress should be measured (Vernooy et al., 2006).

PM&E approaches are usually, considered under two categories. The first, attempts to present reality in an objective term intended to be comprehensible and comparable for persons who do not share the assumptions and experiences of the intended beneficiaries. This is considered as an outsider's perspective. The second strives to represent reality as understood by persons within their own cultures, communities and societies. This is an insider's perspective. Both perspective are valid and should be drawn on when understanding PM&E (Bhatnagar and Williams, 1992).

Unlike, conventional M&E, PM&E can be used as a mechanism for self-assessment and it is very flexible and adaptive to local context, circumstances and concerns of stakeholders. It is an "... internal learning process that enables people to reflect on past experiences, examine present

realities, revisit objectives and define future strategies, by recognising different needs of stakeholders and negotiating their diverse claims and interests”. PM&E encourages stakeholder’s participation beyond data gathering, thereby, strengthening people’s capabilities to take action and endorse change by promoting self-reliance in decision making and problem solving (Estrella et al, 2000:4).

### **2.3.1 Review of PM&E**

Various studies carried out by Estrella et al (2000), demonstrated the rapid spread and acknowledgment of PM&E practices across the globe. PM&E practices are being used in small, medium and large organisations, with an extensive range of participants and stakeholders and in almost every sector (agriculture, community development, conflict resolution, education, emergencies and disaster management, forestry, health, local governance, natural resource management, organisational development and many more).

A study carried out by Von Bertrab and Zambrano (2010) on participatory monitoring and evaluation of a Mexico City wetland restoration effort, revealed that although participatory processes comes with its own challenges, PM&E actually serves as a basis to aligned activities with stakeholders priorities. It provides a set of tools that allow the integration of various stakeholders’ interests and needs, and also helps to improve communication among stakeholders. The study illustrated that PM&E improved project personnel performance and all project participants were more committed and felt a greater sense of responsibility.

Vernooy, Qiu and Jianchu (2006:406) in their study of “... the power of participatory monitoring and evaluation”, explored the capacity-building experiences of two research teams in two different provinces in South-West China and how PM&E was used to strengthen their development research. Training workshops in line with the field research were carried out. This greatly contributed to a better understanding of the interests and needs of project beneficiaries and also enabled the “... water users, project researchers and local government officials to work together to identify problem as well as opportunities and strategies for improving effectiveness and efficiency of water-management system” (Vernooy et al, 2006:406). The outcome of this study shows that PM&E improves organisation and personal capacity. It also enhances quality, accountability, trust and confidence.

A survey carried out by Gobisaikhan and Menamkart (2000) on participatory monitoring and evaluation of a national poverty alleviation programme (NPAP) in Mongolia, demonstrated that to ensure viability and sustainability of income generating projects, local stakeholders needed to be empowered. This could be accomplished by building on the stakeholders' capacities so as to enable them to monitor and evaluate their own project. It was realised that PM&E was a more effective way to instill a sense of responsibility to the project beneficiaries. The introduction of PM&E system in NPAP, revealed the strength and weaknesses of the programme. In this study, PM&E helped in informing policy makers and policies were modified to improve on the programme implementation.

A community based rehabilitation programme monitoring and evaluation for results measurement carried out by Cornielje, Velema and Finkenflügel (2008), reiterated the importance of monitoring and evaluation systems. They emphasised the need for participatory processes in the development of data and information for monitoring and evaluation of programmes. They further asserted that participation in such processes strengthens the concept of community-based rehabilitation (CBR) programmes, and subsequently, improved the decision-making capacities of people involved in CBR projects.

A study carried out by Alzate (2000) on monitoring and evaluation of local development through community participation in Northern Cauca Colombia, indicated that PM&E has an incredible impact on local communities. They found out that the communities played a greater role in defining their own development processes and reaffirmed their knowledge and culture, when an M&E process was participatory. He also highlighted four major impacts of PM&E process on the community. PM&E strengthened community participation, increased public accountability; enabled participants to become better decision makers and managers and changed power relationships by creating horizontal relationships. The PM&E process encouraged the community to become active participants throughout the development process, from planning and implementation to monitoring and evaluation.

Rai in Arevallo et al (1998: 37) undertook a monitoring and evaluation study in the Nepal-United Kingdom community forestry project. The aim of this project was to improve the living conditions of local people by supporting Forest Users Groups (FUGs) to managed community forests more effectively, sustainably and equitably. PM&E was considered as an important

element for effective communication. It was discovered that by ensuring the FUGs to monitor and evaluate themselves, made the process more relevant and effective. In this project a number of PM&E methods were experimented. Pictures were used to facilitate understanding amongst less literate FUG members. PM&E became a strategy for empowering less literate forest users. In addition, it was also discovered that the involvement of FUGs in designing and adapting their own M&E systems, they developed a strong sense of ownership over the project and were able to better managed and sustained their forest resources (Rai in Arevalo et al, 1998: 43).

Furthermore, Estrella and Gaventa (1998) noted that PM&E is regarded not only as a means of holding project beneficiaries and programme recipients accountable, but also as a way for project participants and local citizens to monitor and evaluate the performance of donors and government institutions. PM&E has an incredible potential to inform policies and projects/programmes as well as promote better accountability, transparency, capacity building and empowerment. However, PM&E has its own constrains and pitfalls, given the lack of a unique universally accepted core principle on how to carry out PM&E. This problem is further compounded by insufficient theoretical foundation and methodology issues.

Apart from PM&E, there exist many other forms of monitoring and evaluation systems, namely; results-based M&E, performance-based M&E and the more traditional implementation focused M&E which is only design to address compliance (Coupa, 2001). For the purpose of this research, results-based monitoring and evaluation would be discussed.

#### 2.4 RESULTS-BASED MONITORING AND EVALUATION (RBM&E)

A results-based monitoring and evaluation is an exercise to assess the performance of an institution, a programme or a project, on the basis of the impacts and the benefits that the institution or programme/project is expected to produce. According to Gebremedhin, Getachew and Amha (2010: 1), results-based monitoring and evaluation deals with the measurement and assessment of performance in order to more effectively produce results (outcomes). It also ensures that efforts are translated into changes in the live of project beneficiaries and their environment. RBM&E can provide vital and sometimes unique information about the performance of projects/programmes/policies.

Results-based M&E is often seen as a dynamic tool for planning and budgeting, improving performance and achieving results. Kusek and Rist (2004:1), elucidated that "... results-based monitoring and evaluation is a powerful public management tool that can be used to help policy-makers and decision-makers, track progress and demonstrate the impact of a given project, program, or policy". Kusek and Rist also noted that results-based M&E is very different from the more traditional implementation-focused M&E. Results-based M&E goes beyond an emphasis on inputs and outputs to a greater focus on outcomes and impacts. The main goal of result-based M&E is to achieve outcomes that are relevant to the organisation and both its internal and external stakeholders (Kusek and Rist, 2004:1).

#### **2.4.1 Building a results-based monitoring and evaluation system**

Building a results-based M&E system is a ten step process. As it is often said "... a journey of ten miles starts with a step". This study will focus only on the very first step of developing a results-based M&E system, namely; 'readiness assessment'. A readiness assessment involves key components that need to be taken into consideration before establishing a results-base M&E system. These will be discussed in the following sub-section.

##### *2.4.1.1 Readiness assessment*

Designing and building a monitoring and evaluation system that can produce relevant information, timely and trustworthy results on the performance, outcome and impact of an organisation's projects/programmes and policies requires skills, experience and new capacities. The majority of existing M&E systems start off by building a results-based M&E system without considering certain crucial factors such as "... organisational roles, responsibilities, and capabilities; incentives and demand for such a system; ability of an organisation to sustain the system" (Kusek and Rist, 2004:40). Building an M&E system require the ability to successfully construct indicators, collect, aggregate, analyse and report on project performance in relation to the indicators and project objectives (Kusek, 2011:3). In order for such a system to be successful and sustainable, the organisation needs a strong foundation which, begins with a thorough readiness assessment.

According to Kusek and Rist (2004:39), the readiness assessment step which, is the first step of their ten step model to a results-based M&E, is a unique addition to the many existing M&E

models. This key step which is often missed or omitted provides an analytical framework to assess an organisation's competence and political willingness to monitor and evaluate its goals and develop a framework for determining project/programme performance.

Bearing in mind that building a monitoring and evaluation system presents political and managerial challenges that are as significant as the many technical issues, readiness assessment helps determine how well positioned a government, an organisation or an institution is in designing, building and sustaining a results-based M&E system. When properly done, a readiness assessment can identify the strengths and gaps of an organisation's capacity to develop, use and sustain M&E tools over time (Kusek, 2011:4).

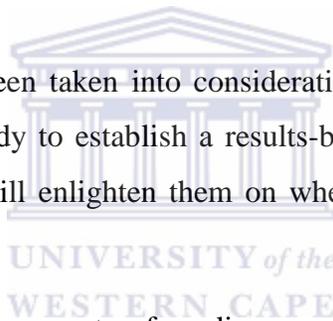
Readiness assessment is a means of verifying the willingness and capacity of an institution, an organisation or a government and its development partners to build a results-based M&E system. Readiness assessment addresses critical concerns such as "... the presence or absence of champions as well as incentives, roles and responsibilities, organisational capacity, and barriers to getting started" (Imas and Rist, 2009:113).

The preparatory work for readiness assessment constitutes three main parts as noted by Kusek and Rist (2004:41) and an additional fourth part as elucidated by Imas and Rist (2009:115).

- **Incentives and demands for designing and building a results-based M&E system.** Before beginning the process of designing and constructing a results-based M&E system, it is essential to understand what motivations exist for moving forward to build an M&E system, whilst also taking into consideration what disincentives may hinder progress. There are certain key questions involved in this phase that determines the presence or absence of incentives. The questions include: what is the driving force for building an M&E system? Who will benefit or not benefit from the system? (Kusek and Rist, 2004:41).
- **Roles and responsibilities and existing structures for assessing performance.** In this step, it is important to identify the roles, responsibilities and structures available for monitoring and evaluating designated development goals. It is also important to determine who produces data in the organisation and who the main users of the data are.

- **Capacity building requirement for a results-based M&E system.** Readiness assessment also involves current capacities within the organisation that can perform monitoring and evaluation. Capacities in this regards will include: technical and managerial skills, available technology, available fiscal resources and institutional experience (Kusek and Rist, 2004:42).
- **Barriers for building a results-based M&E system.** It is also important to ascertain the possible impediments of building and sustaining a results-based M&E system. As with any organisational change, this last step of readiness assessment takes into consideration what could stand in the way of effective implementation. Questions for consideration at this stage involve: is there a lack of fiscal resource, political will, champions, outcomes linked to strategy or experience and if so, how can such barriers be overcome? (Imas and Rist, 2009:115).

After all the above issues have been taken into consideration, the organisation can determine whether they are ready or not ready to establish a results-based M&E system; and if they are ready, the readiness assessment will enlighten them on whether they will be starting with the process 'now', 'sooner' or 'later'.



Haven discussed the four key components of readiness assessment, the study shall however, concentrate only on two of the above components, namely; Incentives and demands for designing and building a results-based M&E system and Capacity building requirement for a results-based M&E system.

#### 2.4.1.2 *Eight Key Questions of readiness assessment*

Apart from the four main components of readiness assessment, it is also imperative to take into consideration the eight key questions of a readiness assessment as stipulated by Kusek and Rist (2004:43). As already highlighted above, the readiness assessment is used to diagnose whether the requirement for building a results-based M&E system are in place. The eight key questions act as a guide for ascertaining a country's or an organisation's ability and willingness to progress with a results-based M&E system. The eight questions guide revolves around: the motivation and driving force for building an M&E system, the advocates for an M&E system, the champions and motivation of the champions to support this system, owners and beneficiaries of the system

and existing capacity to support the system (Kusek and Rist, 2004:43). These guides help the organisation to put things into perspective and pre evaluate themselves whether they are ready for such a system or not.

## 2.5 KEY CONCEPTS OF PARTICIPATORY MONITORING AND EVALUATION

### 2.5.1 Accountability

Accountability, according to Segsworth (2003), has been of particular importance in discussions of responsible government and in public administration. Accountability has been the dominant administrative value over the past fifteen years and is likely to remain so for the foreseeable future. Accountability helps to monitor the extent to which funding beneficiaries have fulfilled their commitments and provides a mechanism to re-adjust goals and performance indicators. However, accountability is no longer solely used by funding and government agencies as a way of holding beneficiaries and other project participants accountable and less as a means of reporting and auditing, but rather as a means for demanding greater social responsiveness and ethical responsibility. With M&E, "... communities assess their own institutions that are held liable in terms of fulfilling their commitments and responsibilities". Given the fact that project coordinators are not only accountable to donors and funders but also to the local stakeholders, it has greatly improved public accountability, promotes a sense of ownership and stimulates action towards improvement (Estrella et al, 2000:107).

### 2.5.2 Capacity building

Capacity building (CB) is increasingly seen as important by official donors and multilateral agencies. The concept is considered as an essential element if development is to be sustainable and people centered. As elucidated by Eade (1997: 3), for capacity building to generate genuinely inclusive forms of development, interventions must therefore take into account the different (and potentially negative) ways in which their impact will be felt by individuals and social groups. It is a long term investment in people and their organisations and a commitment to the various processes through which they can better shape the forces that affect their lives.

As Eade (1997:9) puts it, "... capacity building like most development jargon is now used so indiscriminately that any meaning it once had may soon evaporate". The definition of CB is sometimes vague and inconsistent. The German Agency for Technical Cooperation (GTZ)

defines capacity building as the process of strengthening the abilities of "... individuals, organisations and societies to make effective use of resources, in order to achieve their own goals on a sustainable basis" (World Bank, 2005: 6).

For Eade (1997:24), CB is not a set of discrete or pre-packaged technical interventions intended to bring about a pre-defined outcome but an approach to development that "... involves identifying the constraints that women and men experience in realising their basic rights, and finding appropriate vehicles through which to strengthen their ability to overcome the causes of their exclusion and suffering".

According to United Nation Development Programme (UNDP), capacity is the "... process by which individuals, organisations, and societies, develop abilities to perform functions, solve problems, and set and achieve goals premised on ownership, choice and self-esteem". Capacity building is therefore, "... sustainable creation, retention, and utilisation of capacity in order to reduced poverty, enhance self-reliance and improve people's live" (World Bank, 2005: 6).

Capacity building is the process of strengthening the skills, competencies and abilities of people and communities, to enable them overcome the causes of their exclusion and suffering. According to Simister and Smith (2010), capacity building is not just an internal process but also involve some degree of external intervention or support, with the intention of facilitating and catalysing change. They believe that capacity building is a complex human process that is based on values, emotions and also involves shift in power and identity.

M&E is an important capacity building process not just for a single individual but for the entire project team (Estrella et al, 2000). When monitoring and evaluation processes are done in a way that strengthens the capacities of the project intended beneficiaries, project activities are better managed and project benefits are often sustained (Bhatnagar and Williams, 1992).

### **2.5.3 Empowerment**

Empowerment according to Oxfam's basic principles for development and relief work in Eade (1997:4), is "... gaining the strength, confidence and vision to work for positive changes in their live, individually and together with others". Women and men become empowered by their own

efforts, not by what others do for them. When development programmes are not firmly based on people's own efforts to work for change, their impact may be disempowering.

The World Bank describes empowerment as "... the process of increasing the capacity of individuals or groups to make choices and to transform those choices into desired actions and outcomes. Central to this processes, are actions which both build individual and collective assets and improve the efficiency and fairness of the organisational and institutional context which governs the use of these assets" (Nelson, 2010:5).

According to Page and Czuba (1999:1), empowerment is a multi-dimensional social process that helps people gain control over their own lives and fosters power (that is, the capacity to implement) in people, for use in their own lives, their communities, and in their society, by acting on issues that they define as important. In the same light, Nikkhah and Redzuan (2009:174) noted that this is a process by which individuals, groups, and/or communities become able to take control of their circumstances and achieve their goals, thereby being able to work towards maximising the quality of their lives.

Summarily, as Dive (2004:127) rightly puts it, empowerment is the process of enabling people to "... work at the right level without being crowded from above". According to him, true empowerment guarantees correct accountability by ensuring that individuals are accountable for outcomes which are clear and transparent in an environment which meets their learning needs, fosters participation, team work and a sense of personal worth.

The ultimate goal of any community development programme is to empower the community and improve quality of life. Empowerment is the true end of participation. Child care practitioner's participation in the experiential training programme of Ikamva Labantu will not only be a learning process but also an empowering one. Given the fact that they 'learn' by 'doing', by the end of the programme, they must have acquire skills that will lead to a lifelong career. Sustainability of every development programme depends on the level of people's participation.

## 2.6 CONCEPTUALISING DEVELOPMENT

Development is a complex term with a plethora of meaning. Many attempts have been made by different authors in an effort to describe what it really entails (Dale, 2004; Hickey & Mohan, 2004; Coetzee et al, 2001; Allen & Thomas, 2000; Chambers, 1997; Todaro, 1987). The term development is used in several milieus and in all of these contexts it denotes change in some sense or a “... state that has normally been attained through some noticeable change” (Dale, 2004:1).

According to Allen and Thomas (2000:24), development is an “... all encompassing change, not just an improvement in one aspect.” They describe development as a process where change is continuous and an improvement built on previous improvements. Todaro (1987:85) depict development as a “... multidimensional process involving major changes in social structures, popular attitudes, and national institutions, as well as the acceleration of economic growth, the reduction of inequality, and eradication of absolute poverty”.

Hickey & Mohan (2004:15), noted that development by its very nature is suggestive of change over time “... whether this is articulated in notion of evolution (Cohen & Sheton, 1996), modernity as enlightenment (Pred and Watts,1992), development as class contraction (Warren, 1980) or modernisation as involving a series of stages of growth (Rostow, 1960)”. In the same light, for Coetzee et al (2001:120) development means “... the connotation of favourable change moving from worse to better; evolving from simple to complex; advancing away from the inferior, a form of social change that will lead to progress, the process of enlarging people’s choices acquiring knowledge, and having access to resources for a decent standard of living”.

Moreover, Dale’s (2004:1) normative meaning of development denotes a desirable ongoing or intended process of change which may have a more specific meaning. He gave an example of societal development which in its normative sense has meaning only in relation to human beings. Development thus, is viewed in this light as a process of societal change that generates some perceived benefits for people, or as a state of perceived human well-being attained through such a process.

Development works aim at improving the quality of life of people and to achieve such improvement. Such work must be based on an adequate understanding of the problem that

afflicts the intended beneficiaries (Dale, 2004:1). Thus, development encompasses values such as participation, capacity building, empowerment, sustainability, transparency, accountability, equity. Development also includes access to opportunities which leads to social, economical, political, environmental, cultural and psychological improvement. It should be noted that this research will only focus on the social aspect of development.

### **2.6.1 Classical theories of development**

The past few decades have witnessed the emergence of a number of development paradigms in an effort to explain what must be done in order for underdeveloped countries to progress or become developed (Eisenstadt, 1966; Graaff, 2003; David et al. 2005). Some of these traditional classical theories such as modernisation and dependency as well as the alternative approach or paradigm (participatory development and people- centred development) theory will be discussed in the subsequent section.

Modernisation theory emerged in the early 1950s after the Second World War. It was the most prominent development theory in the 1950s and the early 1960s. Modernisation theory as defined by Coetzee and Graaff (1996:43) "... refers to the total transformation which takes place when a so-called traditional or pre-modern society changes to such an extent that new form of technological, organisational or social characteristics of the so-called advanced society appear". Graaff (2003) noted that in order for developing nations to be developed or become modern, they need to break out of the shackles of tradition and must follow the path taken by the so-called developed countries. Proponents of modernisation theory also advocates that less developed countries must abandon their traditional values and structures and replaced them with a set of modern value (David et al, 2005; Coetzee and Graaff, 1996). In spite of all the 'good intensions' of modernisation theory, this theory failed to addressed the much needed development needs of developing countries, thus, leading to the emergence of dependency theory.

With the failure of modernisation theory, dependency theory emerged to provide suitable solutions for the underdevelopment of developing countries. Dependency theory dominated development thinking in the late 1960 and the 1970s (De Beer and Swanepoel 2000:39). According to dependency theorist, underdevelopment was not a "... case of countries that got left behind in the march of progress" as suggested by modernisation theorist, but rather that underdevelopment was purposefully injected by the West. In the same light, for dependency

theorist, the world is made up of the wealthier core countries which is the developed or First World Countries (FWC) and the poor peripheral countries which is the developing or Third World Countries (TWC).

Dependency theorist claimed that the core countries are actively responsible for the underdevelopment of peripheral countries and that the nature of being held back was purposefully structured and shaped in such a way that the peripheries service the needs of core countries more effectively at their own detriment. Frank in Coetzee and Graaff (1996:85) asserted that "... capitalism had a destructive influence on Third World Countries". Development and underdevelopment in the core and peripheral countries respectively, was considered to be two sides of the same coin and capitalism in wealthier countries actively under developed poorer peripheral countries (Coetzee and Graaff, 1996).

### **2.6.2 Alternative Development Theories**

Modernisation theory and Dependency theory were very popular in the early 1950s – early 1960s and late 1960s – 1970s respectively. However, these theories were too broad and failed to achieve actual development for developing countries. The late 1980s saw a shift from the macro theories of development to a more micro approach that was people oriented (Davids et al, 2005:17). In an effort to overcome the short-coming of the grand orthodox development theories, there was a rethink and a paradigm shift of the whole idea of development and thus the search for alternative development approaches.

According to the World Bank (1989) in Taylor and Mackenzie (1992: 25), "... Like trees, countries cannot be made to grow by being pulled upward from the outside; they must grow from within, from their own roots". Alternative development as noted by Piesterse in Kothari & Minogue (2002:9) "... has been concerned with introducing alternative practices and redefining the goals of development". The existing micro development approaches focus on participatory development; people centred development, sustainable development, empowerment, capacity building and above all community development.

### 2.6.2.1 *Participatory Development Theory*

The participatory development approach and other more micro social development theories such as: sustainable livelihood approach, people centre development, need-based approach amongst others, emerged after the eminent failure of the grand theories of modernisation and dependency to address development issues in developing countries (Hickey & Mohan, 2004).

Given the array of experiences and innovations in participatory development, it would be difficult and even questionable to seek a universally acceptable and unique definition of participation or an exclusive typology to categorise its practice. As McGee (2002: 104) noted, "... the word 'participation', like 'community', generates a warm feeling, a laudable idea". Participation as defined by Pearse and Stiefel (1979) and used by the United Nations Research Institute for Social Development (UNRISD), "... involves organised efforts to increase control over resources and regulative institutions in given social situations, on the part of groups and movements of those hitherto excluded from such control" (Burkey, 2002:59).

According to Dinham (2005), communities' participation is not a very new concept, but it is derived from the theory and practice of community development where participation, empowerment and ownership are seen as necessary conditions for change. Participatory development is generally the involvement of ordinary people or non professionals in a particular field, usually, the intended beneficiaries of the work that is to be done (Dale, 2004). For Datta in Cornwall & Pratt (2003), the active involvement of people in decision-making and the implementation of programmes and projects that affect their life, is very essential in order to attain sustainable development. Participatory development enables people to direct themselves and control the process of action that is initiated by them. This concept entails the possession of a sufficient combination of mental and material resources to be able to resist the dictates of others on one's course of action (Kera & Campbell, 1985).

According to Vincent (2004), participatory development ensures that change is more appropriate to the need of those to whom the intervention is aimed at. It thus entails that people take the time and energy to engage in establishing the basis for planning, implementing and evaluating the activities that will bring about change in their own life. This alternative development approach which is based on the local level and depends on local interest and capacity to engage in action

for change, is assumed to have a transformative and empowering potential (Hickey & Mohan, 2004; Vincent, 2004).

Given the fact that development is basically a humanising process, participatory development is “... consciously based on people, their needs, their analysis of issues, problems and their decisions”. Irrespective of people socio-economic conditions, they can progressively transform their situation with the help of a development practitioner. Participatory development recognises grass-roots people as subjects of empowerment and not simply as a “... working force to lower development cost. In this regards, the chances for achieving long-term sustainable development is greater (Du Mhango, 1998:14).

Participatory development is an end and a means. It is an end because participation builds skills and enhances people’s capacity for action and for enriching and improving their living condition. On the other hand, it is a means because participation contributes to better development policies and projects. People taking responsibility for their development is a better way to achieve improvement in economic and social condition, more likely to be successful, more sustainable and more cost effective. Cost effective in the sense that cost should be optimized so as to maximize the benefits. Participation is desirable in itself because it enlarges human talents and potential, the fulfillment of which is the most basic objective of development (Bhatnagar and Williams, 1992).

#### 2.6.2.2 *People-Centred Development*

Development must bring about an improvement in the living conditions of people. It should therefore, ensure the provision of basic human needs for all: not just food and clothing but also shelter, health care and education (Nayyar & Chang, 2005). People-centred development is an approach to development with a human face that focuses on improving local communities’ self-reliance, social justice, participation in decision-making, and empowers beneficiaries to participate in the running of development project from the very beginning of problem identification to project implementation (Midgley, 1986).

The people centred approach to development is an empowerment strategy whereby developer or development practitioners or bureaucracy are to change their role from giver of good things to that of an enabler or a facilitator. This bureaucracy needs to open itself and become

institutionally vulnerable so that, the people in the community become active participants of their own development and not just passive recipients to whom development is being imposed. In this light, local people are empowered to analyse their own condition and choose their own means and possible solution of improving their situation (de Beer and Swanepoel, 1998:8).

This development approach was also adopted by the post apartheid government of South Africa. It was believed that it provided a starting point in addressing the injustice of past development efforts. As a result, people-centred development that enhances public participation, social learning, empowerment and sustainability "... have become integral parts of policy making in post-apartheid South Africa" (Davids, 2009:17). The approach also recognises the fact that, economic growth does not inherently contribute to human development. Although there is hardly an absolutely people-centred development whereby the whole community fully participates in every single step of the development projects, genuine development practitioners and community facilitators strive as much as possible to incorporate the voices of the majority.

## 2.7 BACKGROUND TO EARLY CHILDHOOD DEVELOPMENT (ECD)

Early childhood development (ECD), in the second decade of democratic South Africa, is characterised by challenges of providing relevant programmes for the poor and vulnerable children. The National Integrated Plan (NIP) for ECD asserts that the South Africa Government has a leading role in providing programmes for poor and vulnerable young children from birth to four years. However, the non-governmental Organisations (NGOs) have historically played a great role in shaping and contributing in ECD programmes in South Africa (Department of Education, 2001). The conceptual framework document on ECD centres highlights ECD centres, as the hubs of care giving and an important institution that plays a supportive role to meet the young child's right to health, nutrition, care, education and protection (Department of Social Development and Department of Education, 2006).

The Early Childhood Development (ECD) approach is based on the proven fact that young children respond best when caregivers use specific techniques designed to encourage and stimulate progress to the next level of development. According to the South African (SA) Children's Amendment Act of 2007, a successful ECD is a joint effort between parents, the contribution of the community and the government and caregivers with the purpose of protecting

the child's rights to develop his or her full cognitive, emotional, social and physical potentials (Education White Paper, 2001; World Wide Vision, 2009).

According to the Department of Social Development (2006: 12), the early years of a child's life are a time when they acquire concepts, skills and attitudes that lay the foundation for lifelong learning. These include the acquisition of language, perceptual motor skills required for learning to read and write, basic numeracy skills and problem solving skills, a love of learning and the establishment and maintenance of relationships. Early intervention and provisioning make it possible for children to grow and develop to their full potential, thus reducing the need for remedial services to address stunting, developmental lag and social problems later in life. Quality provisioning also increases educational efficiency, as it enables children to acquire the basic concepts, skills and attitudes required for successful learning and development, thus, reducing their chances of failure.

Given the indispensable important of ECD, it is imperative for EDC practitioners and care givers to be well trained in order for them to be able to deliver quality services. In the light of the above, it is also important to monitor and evaluate ECD programmes for the purpose of quality assurance. The main thrust of monitoring and evaluation of ECD programmes is to ensure that services rendered to children are of high quality.

## 2.8 CONCLUSION

From the preceding literature on RBM&E, PM&E, and readiness assessment, one can conclude that readiness assessment is vital in the process of establishing an M&E system as it presents the organisation with a unique opportunity to be able to assess its strength as well as its weaknesses as far as M&E is concerned. Irrespective of the complexities and difficulties that accompany the implementation of an M&E system, it is evident that having such a system in place is very rewarding. Against this background, the frameworks that were selected by the researcher includes: readiness assessment for RBM&E and two of the four themes of readiness assessment by Kusek and Rist (2004) and Imas and Rist (2009) namely: incentives and demand for designing and building a RBME system and capacity building requirement for a results-based M&E system. In the field of PME the specific requirements for PME that were selected included participation and decision making, accountability, capacity building and empowerment.

## **CHAPTER THREE: RESEARCH DESIGN**

### **3.1 INTRODUCTION**

This chapter provides the research methodology for the study. The study applied the qualitative research method and follows a case study approach. The qualitative instruments used in collecting both secondary and primary data will be discussed in the following sections. This chapter also presents in detail the research design and research procedure of the study.

### **3.2 RESEARCH DESIGN**

A research design according to Bless, Higson-Smith and Kagee (2006) is directly related to the testing of the hypotheses which specify the most adequate processes to be carried out in order to test a specific hypothesis under certain circumstance. For Blanche et al (2006) it is a plan or protocol for a particular piece of research.

As elucidated by Gebremedhin, Getachew and Amha (2010: 26), Planning is critical to the success of M&E. The process of planning may require negotiation and joint decision-making; create an enabling environment for stakeholders to air their concerns needs and expectation. It is during the planning stage that stakeholders decide on what information to be collected for whom and why.

Identifying the objective and indicators can be very challenging. Gebremedhin et al (2010: 27) noted that, it is important to first determine the objective of the process before proceeding to developing the indicators. In order to be able to determine the objectives of the M&E system, it is important to identify the end-users of the information and how results will be used. End-users can be; direct beneficiary, community members, staff of the organisation implementing the intervention, donors, development agencies, research organisations, policy-makers at different levels or indirect beneficiaries in the community.

The fieldwork results and the research findings were presented and analysed using a thematic approach. Responses from the interviews, notes and records from observation and focus group discussions were clustered into meaningful groups, related themes, patterns and categories in order to answer the different research questions under investigation. A thematic approach was thus followed to assess the field work results. Data was presented in the form of narratives analysis, pie chart as well as frequency tables.

### 3.3 RESEARCH METHOD

Research methodology is very important for any research project and it is the methods adopted to gain knowledge about the social world; it also refers to a systematic way of collecting data for specific subject matter. Methodology is made up of the subjective dimension which is ideographic and the objective dimension which is nomothetic. The ideographic approach to social science based its debate on the grounds that "... one can only understand the social world by obtaining first-hand knowledge of the subject under investigation" (Burrell and Morgan, 1979:7). Some of the information used here is sourced from diaries, biographies and journalistic records. This approach also emphasises the importance of involving in the everyday life of the subject under study. The subjective ideographic assumption to methodology is closely related to the qualitative research method which was employed in this research (Burrell and Morgan, 1979:6-7). This study used the qualitative research method and followed a case study approach.

#### 3.3.1 Qualitative research methods

Qualitative researchers believe that in order to understand any phenomenon, this phenomenon must be viewed in its context. For qualitative researchers, quantification is limited in nature "... looking only at one small portion of a reality that cannot be split or unitized without losing the importance of the whole phenomenon". There are different ontology assumptions about the world with regards to qualitative research. In qualitative research, reality is not single and unitary, this is due to the fact that our experiences are different from that of another person and individuals experience reality from their own point of view which makes it a different reality. Thus there is a phenomenon of multiple realities. Given the fact that each individual is unique in his or her own rights, "... conducting research without taking this into account violates the fundamental views of the individual" (Krauss, 2005:759-760).

Qualitative research design involves studying human action in its natural setting and through the eyes of the actors themselves, together with an emphasis on detailed description and understanding of the phenomena within the appropriate context (Babbie & Mouton, 2001: 278). In this study, both primary and secondary data were used. Primary data were collected by means of participant observation, semi-structured interviews, and focus group discussions. Secondary data for the study were obtained from documents, journal articles, books, and internet sources.

Secondary data also included Ikamva Labantu Plan of Action for 2012, the experiential training outline, and Ikamva Labantu website.

### 3.3.1.1 *Observation*

According to Kumar (2005: 119), "... observation is a purposeful, systematic and selective way of watching and listening to an interaction or phenomenon as it takes place". He further noted that in order to learn about the interaction in a group, behaviour and personality characteristic of an individual, observation will be the most appropriate method of data collection. Given the fact that observation takes place within the natural setting where the action is happening, it is important that this research makes use of observation. Observation helped the researcher to gather data that were neither verbal nor written. The process of observation also helped to obtain information that could not be elicited through questioning. Observing a phenomenon in its natural setting, give an in-depth and a better understanding of the various dynamic within the community and the NGO.

Observations were used by the researcher to determine the level of participation of the various stakeholders especially the project beneficiaries in decision-making processes. The researcher attended some of the experiential training sessions, and also attended programme coordinator and programme participant (ECD practitioner and CBWs) meetings to ascertain the level of participation in decision-making processes.

### 3.3.1.2 *Focus group discussions*

Focus group discussions can be used for monitoring and evaluating both a project's performance and its participation aspects. Focus group discussions are a form of group interviews that is based on communication between the researcher and the research participants for eliciting opinions. Even though group interviews are often used simply as a quick and convenient way to collect data from several people simultaneously, focus group discussions actually uses groups' interaction as part of the method. This implies that instead of the researcher asking each person to respond to a question in turns, people are encouraged to talk to one another, ask questions, and comment on each other's experiences and viewpoints. This method is very useful for exploring people's knowledge and experiences and can be used to examine not only what people think but also how they think and why they think the way they do (Kitzinger, 1995).

A focus group discussion is a form of group interview that is based on communication between research participants in order to generate data. For the purpose of this study, three focus group discussions (FGDs) were carried out. One with the early childhood development practitioners who were part of the experiential training programme to determine whether the monitoring and evaluation system being put in place was inclusive and participatory as it ought to be. The second focus group discussion was conducted with the community based-workers (CBWs) and the third FGDs was with the on-site ECD practitioners. The focus of the FGD with the ECD practitioners and the CBWs was to determine their knowledge on M&E and the extent of their participation on the readiness assessment process.

### 3.3.1.3 *Semi-structured interviews*

According to Blanche et al (2006), interviews are purposeful conversation intended to get specific information from participants, concerning the subject of research. It is usually an open ended question that covers the subject area, which is pre-structured before the actual interview session. The researcher conducted semi-structured interviews with a question guide and a questionnaire in order to gather more in-depth information concerning a readiness assessment for establishing an M&E system. Twelve semi-structured interviews were conducted. The researcher purposefully interviewed the programme director and the project coordinator. The project coordinator had a good understanding of results-based M&E given the fact that she had previously worked for an NGO where an M&E system was established. Ten project participants were also purposefully interviewed in order to ensure an appropriate mix of respondents. Ten interviews were initially conducted between June and August 2012 while four follow-up interviews (including two new participants) were carried out in September 2012.

## 3.4 RESEARCH PROCEDURE

After obtaining permission from the programme coordinator and the director of Kwakhanya Early Childhood Learning (ECL) Centre Khayelitsha to conduct the research, the researcher and the programme coordinator had an introductory meeting that was held at Ikamva labantu's head office in Woodstock Cape Town in March 2012. A follow-up meeting was arranged and was held in Kwakhanya ECL centre in Khayelitsha (March 2012) and was attended by the researcher, the programme coordinator and the director of the centre. The agenda of the meeting was for the researcher to share the objective of the study and the programme coordinator to brief the

researcher about the NGO, as well as discuss the NGO's Plan of Action on the establishment of an M&E system.

The meeting was further used to introduce programme participants who were later selected to partake in the sampling process and were the respondents for the actual data collection phase. The researcher was helped by one of the participants in cases where interpretation was needed. The enumerator (female) translated from English to Xhosa and from Xhosa to English. The actual field data collection was undertaken from June through September 2012. Semi-structured individual interviews were conducted followed by group interviews.

Twelve semi-structured selective interviews were conducted to have an appropriate assortment of responses. Ten interviews were initially conducted between June and August 2012 while four follow-up interviews (including two new participants) were carried out in September 2012. Also, three focus group discussions were done during the first half of the data collection process (June/August 2012). In the first half of the interview sessions, the researcher examined the purpose and nature of the activities of the NGO and assessed the establishment of a monitoring and evaluation system in Ikamva Labantu. After preliminary data collection, presentation and analysis, it was noticed that the NGO was far from establishing an M&E system. It was uncertain as to whether the NGO was ready to establish an M&E system or not. A follow-up study was therefore conducted to analyze the readiness of the NGO to establish an M&E system using Kusek and Rist (2004) readiness assessment model as the conceptual framework.

### 3.5 CONCLUSION

As mentioned earlier in Chapter one, the researcher made use of a translator during data collection as the case study area and some of the participants were predominantly Xhosa speaking. This led to very limited mutation of information in the process of translating. The research methods employed in this study ensured sufficient reliability, and validity, to ensure good and trustworthy fieldwork results.

## **CHAPTER FOUR: PRESENTATION OF FIELDWORK RESULTS OF AN M&E READINESS ASSESSMENT: THE CASE OF THE NGO IKAMVA LABANTU**

### **4.1 INTRODUCTION**

This chapter is divided into two main parts. The first part of this chapter provides a general description of the case study area, namely; South Africa, the Western Cape Province, Khayelitsha and the NGO (Ikamva Labantu). The second part presents the field work results (just the way they were collected in the field with the exact same words of the respondents.) The presentation of fieldwork results is divided into two parts. The first part focuses on M&E and contains two sections, namely section A and B. Section A provides responses to questions related to the readiness assessment of Ikamva Labantu ECD centre in Khayelitsha in establishing a results-based M&E system. Section B probes into aspects of Participatory M&E within the NGO. The second part investigated the purpose and nature of the activities of the NGO with reference to four of the main concepts in alternative development approaches, namely; accountability, empowerment, capacity building and participation.

As noted in Chapter 3.4, twelve semi- structured selective interviews were conducted to get an appropriate assortment of responses. Ten interviews were initially conducted between June and August 2012, while four follow-up interviews (including two new participants) were carried out in September 2012. Also, three focus group discussions were done during the first half of the data collection process (June/August 2012) as indicated in Chapter 3.4. In the first half of the interview sessions, the researcher examined the purpose and nature of the activities of the NGO and assessed the establishment of a monitoring and evaluation system in Ikamva Labantu. After preliminary data collection, presentation and analysis, it was noticed that the NGO was far from establishing an M&E system. It was uncertain as to whether the NGO was ready to establish an M&E system or not. A follow-up study was therefore conducted to analyse the readiness of the NGO to establish an M&E system using Kusek and Rist (2004) readiness assessment model as the conceptual framework.

## 4.2 DESCRIPTION OF CASE STUDY AREA

The discussion below describes and situates the case study area within the context of South Africa. A general overview of South Africa and the Western Cape is discussed as well as the state of monitoring and evaluation at both the national and provincial levels respectively. This section also provides a description of Ikamva Labantu and its various activities as well as a detailed outline of Ikamva Labantu experiential training programme.

### 4.2.1 Overview of South Africa

South Africa is located in the Southern most region of Africa. It covers an area of 1,219,912 km<sup>2</sup> and a coastal line that stretches for over 2,500 km and borders with two oceans (the South Atlantic and the Indian Ocean). South Africa is delimited by Namibia to the North West, Swaziland and Mozambique to the North East, Botswana and Zimbabwe to the North and Lesotho which is a landlocked country within the Republic of South Africa. The country has a total population of approximately 50 million people of diverse origins, cultures, languages, races and religions. The Western Cape, which is one of the country's nine provinces, is the case study area of this research.

South Africa is an upper-middle income emerging market with a relatively strong and diversified economy and is considered as the economic power house of both the SADC region and the African continent as a whole. Notably, however, South Africa presents a dichotic situation of extreme wealth and extreme poverty, with one of the highest rates of income inequality in the world being the legacy of apartheid. This legacy of apartheid left the majority (over 70%) of the population, marginalised, poor and without adequate social services such as; health, proper housing, and potable water supplies (Padayachee, 2006).

While South Africa is yet to reach its desired social/income equality and economic stability/growth, poverty reduction, social security and curbing unemployment remain key concerns for South Africans. The South African government, in a bid to counter the structural disempowerment of the apartheid regime, has introduced and implemented a number of policy frameworks such as the Reconstruction and development programme (RDP) and the Growth, Employment and Redistribution (GEAR) programme.

RDP is a socio-economic policy framework aimed at mobilizing the people and resources of the country to address the legacy of apartheid, tackle the many social and economic problems facing the country and build a democratic non-racial and non-sexist society (Knight, 2001:1). The RDP as defined by the then president, Nelson Mandela, encompassed not only socio-economic programmes designed to redress imbalances in living conditions, but also institutional reforms, educational and cultural programmes, employment generation and human resource development. For Mr. Mandela the programme was meant to be an all encompassing process of transforming society in its entirety to ensure a better life for all (Harsch, 2001:3).

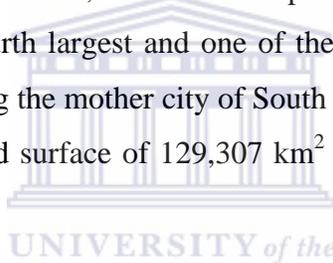
The other policy framework, GEAR, is a macro-economic policy framework adopted by the Department of Finance in June 1996 as a five year plan with the goal of strengthening economic development, broaden employment, and redistribution of income and socio-economic opportunities in favour of the poor. The main focus of GEAR was to develop a competitive, fast-growing economy through tight fiscal and monetary discipline, significantly increase foreign and domestic investment, open the economy to international competition and reprioritise public expenditures. The outcome of GEAR has been disappointing as many believed that the policy directly conflicts with the goals of the RDP. It has been argued that the shift from RDP to GEAR has greatly compromised the long-term goals of RDP. GEAR's stringent limits on expenditure restrict the ability to meet social development goals of the RDP (Knight, 2001:4; Harsch, 2001:5).

However, the South African government is still implementing a number of social policies as part of its strategy to reduce poverty, improve the quality of education and service delivery. The Government-Wide Monitoring and Evaluation System (GWM&E) published in 2007 represents a principal policy framework for M&E in South Africa and it is applicable to all entities in the national, provincial and local spheres of the government. The GWM&E system aims at providing an integrated, encompassing framework of M&E principles, practices and standards to be used throughout government. It also provides a general guideline for programme implementation by various development actors involved in community development (The Presidency, 2007:5). The programme also seeks to improve general public management in the country and would act as the medium for reporting on the implementation of the United Nations (UN) millennium goals targeting reducing poverty by half by 2014 (Cloete, 2009:298).

As such, monitoring and evaluation of public service delivery performance can assist the government in addressing their major challenges so as to become more effective (The Presidency, 2007). The structure of government in and among sectors, and interactions between planning, budgeting and implementation adds to the complex, multi-disciplinary and skill intensive M&E process. It can be argued that the decentralised government structures and diffused powers and functions add further complications; therefore RBME system can promote coordination and prevent fragmentation.

#### **4.2.2 The Western Cape Province**

The Western Cape is one of the nine provinces that make up the republic of South Africa. It is located in the South-Western part of the country and it is the Southern-most part of the African continent. The province is bordered by the Atlantic Ocean to the West and South-West, the Indian Ocean to the South and South-East, the Eastern Cape to the East and the Northern Cape to the North. The province is the fourth largest and one of the most beautiful and greatest tourist destinations in South Africa, having the mother city of South Africa- Cape Town as its provincial capital. The province covers a land surface of 129,307 km<sup>2</sup> and has an estimated population of about 5.3 million (StatsSA, 2007).



The Provincial-Wide Monitoring and Evaluation System (PWMES), was established against the background of a nationally and provincially agreed need for improved systems and processes in the quest for improved service delivery. In the context of the Western Cape, the PWMES provides a general policy framework to ensure the implementation of M&E. PWMES is implemented in conjunction with the Provincial Strategic Plan (PSP) of the Western Cape. The overarching processes of the PWMES include conceptual, strategic and operating M&E frameworks as well as mechanisms for effective M&E systems at departmental level. The key elements for M&E relates to the indicator frameworks and data source systems to measure outcomes of the PSP and provide statistical evidence on key policy areas and themes. The framework is applicable to all those in charge of M&E in all spheres of government and more specifically to those who are responsible for reporting on the overarching objectives of the PSP (Department of the Premier, 2009:6).

### **4.2.3 Khayelitsha**

Khayelitsha is located on the outskirts of Cape Town in the Cape Flats, about 25 to 30kms from the Central Business District (CBD) and stretches for a number of kilometers along the N2. Khayelitsha is one of the informal dormitory settlements created by the South African apartheid government in 1983. The early residents of Khayelitsha came from other informal settlements around Cape Town, mostly from Old Crossroads. The township is regarded as a reflection of all African traditions because of its multicultural demography. Today, Khayelitsha is home to approximately 2 million people. It is one of the fastest growing informal settlements in South Africa and has been recognised as one of the biggest, after Soweto (Bray, 2008). This township is plagued with high levels of poverty, unemployment, limited access to basic services and inadequate standardize ECD centers, making it a focal point for many NGOs, including Ikamva Labantu, which is the case study of this project.

### **4.2.4 Ikamva Labantu**

Ikamva Labantu is a non-profit, non-governmental trust established in 1963 and actually became known as Ikamva Labantu in 1992. It strives for every human being to have a dignified life and enables communities to be self-reliant. Its programmes are driven by the needs of the communities it serves. The organisation works with community leaders, teachers, parents, caregivers and families. Ikamva Labantu's programmes focus on three major areas to develop and support vulnerable community which are; Community Health, Community Learning and Development and Community Resources. It also caters for orphans, vulnerable children and youths, pre-school children and vulnerable senior citizens (Ikamva Labantu, 2011).

Ikamva Labantu is a well managed social development organisation with a solid track record of community building in South Africa's most disadvantaged communities. The NGO is governed by a national and an international board of trustees and funded solely by private organisations and private donors. For some reasons unknown to the researcher, the NGO's funders could not be disclosed. Though the main goal of the ECD centre is to achieve quality development for children, their programmes are however, not directly focused on the children but rather on those who takes care of the children. Programme M&E in Ikamva Labantu has always been in the form of a check list. With the official launch of a new ECD centre in Khayelitsha, the NGO is in a

process of establishing and building a standard monitoring and evaluation system (Ikamva Labantu, 2011).

#### 4.2.4.1 *Ikamva Labantu Experiential Training Programme*

Ikamva Labantu has been running many other educare centres in several townships around the Western Cape Province. From its experience in this field, the organisation realised that children from impoverished communities do not have appropriate school readiness skills to prepare them for the journey of learning. In educare centres in many of these communities, children are cared for, but not stimulated. This was mainly due to the fact that the child-care practitioners (teachers) were not adequately trained and had no skills in early childhood development. Thus, the experiential training programme of Ikamva Labantu was born out of the dire need to train ECD practitioners (Ikamva Labantu ECD Department, 2011).

The ECD centre in Khayelitsha is used as a model. In the first phase of the programme called ‘experiential learning’, the ECD practitioners are taught basic practices and theories of ECD. In the second phase, the ECD practitioners observed how theory is translated into practice in the centre’s model classrooms. The practitioners are also given the opportunity to implement lessons in the centre’s model classrooms under the supervision of qualified ECD practitioners. At the end of the training programme, the experiential training participants, now a trained ECD practitioner returns to their various educares with support from the centre’s community-based workers in implementing a stimulating learning programme within their own classrooms (Ikamva Labantu ECD Department, 2011).

The experiential training programme actually started in February 2012. Basically, the training for the first group was in five sessions. Training for group one was for babies and toddlers, and group two was trained in mentoring and coaching. Group one gets three sites visits; observation site visits, implementation of the basic ECD practices taught during training, and the third site visits is to evaluate the effectiveness of implemented activities and propose suggestions were necessary. Group two also gets three sites visits; observation, support mentoring and coaching. The community based workers (CBW) are supported at the centre so that they are be able to support the ECD practitioners on the field. The NGO also provides the ECD practitioners with language enrichment training on how to talk with the babies, how to play with the babies and

how to communicate with the parents. The CBWs are allocated to a particular educare for the period of one year. They are supervised by the project coordinator and they also have to report back to the coordinator on various challenges faced in the field (interview with project coordinator).

Ikamva Labantu is setting up its own framework for M&E which is very basic. The M&E work they do is a pack per educare of the data to be collected. These data are entered into the ECD analysis document which is in the form of a check-list that the CBWs take to the field during sites visits. It involves the profile of the practitioner, the profile of the educare, the number of children in the centre, the age group, the number of children in a class, the children's social and economic background, the children's culture, the resources of the educare, the parents, the care givers, children with special needs, and also look at the facilities of each educare especially the once that are trained by Ikamva Labantu. There is another document which is use to enter information of each individual child. These check-lists, basically, act as the indicators and it is being used to measure progress (interview with the project coordinator).

After field/site visits, the CBWs, the ECD practitioner discuss their field experiences, challenges and the way forward in a meeting with the project coordinator. Each and every stakeholder participate in the decision making process. The decisions taken during these meetings or during the entire process, is a joined decision of all the stakeholders (CBWs, ECD practitioners, project coordinator).

#### 4.3 GENERAL CHARACTERISTICS OF THE PARTICIPANTS (RESPONDENTS)

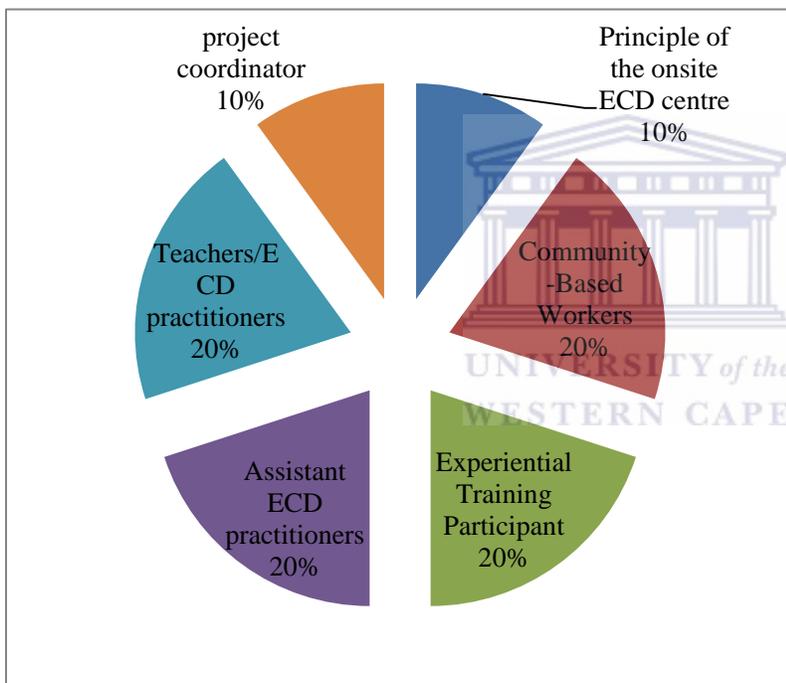
##### 4.3.1 Gender composition of respondents

All twelve of the participants/respondents to both the individual and group interviews were females. This is however not surprising given the fact that child-care is unfortunately still regarded as a woman's domain. As a result, there were no male participants who were directly involved with the early childhood development programme. Thus, any sample taken in this particular programme within Ikamva Labantu ECD centre Khayelitsha was likely to have a high percentage of females if not a 100% female composition.

### 4.3.2 Composition of the Respondents

As noted in Chapter One and as illustrated in Figure 4.1 below, the investigation was made up of twelve individuals. The project coordinator and the Centre's director, the principle of the on-site ECD centre, three teachers/ECD practitioners and two assistant ECD practitioners, two community based workers (CBWs) and two participant of the experiential training programme.

**Figure 4.1: Respondents composition**



### 4.3.3 Educational Level

The respondents were asked to indicate their levels of education. With regards to educational attainment, the study revealed that all the respondents had attained at least a Grade four primary school education. Most of the respondents (90%) had no post metric or tertiary education and only 10% had completed a degree programme.

**Table 4.1: Educational levels of the respondents**

<b>Level of education</b>	<b>Percentage (%)</b>
Primary education	70%
Secondary education	10%
High school education	10%
Tertiary education	10%

#### 4.4 PRESENTATION OF FIELD WORKRESULTS

The fieldwork was carried out for a period of three months, from June 2012 to September 2012. The first part of data collection was done from June 2012 to August 2012, while a follow-up study of a readiness assessment for establishing a monitoring and evaluation system in Ikamva Labantu was done in September 2012. As noted in Chapter 3, Section 3.4, twelve semi-structured selective interviews were conducted to get an appropriate variety of responses. Ten interviews were initially conducted between June and August 2012, while four follow-up interviews (including two new participants) were carried out in September 2012. Three focus group discussions were done during the first half of the data collection process (June - August 2012) as indicated in Section 3.2.1.2.

Using Kusek and Rist (2004) model of readiness assessment, this section will be presented according to two main themes; the first concerns elements of the readiness assessment namely; incentives and demands for designing and building a results-based M&E system and the second concerns capacity building requirements for a results-based Monitoring and Evaluation system. Though the model consist of three main themes, for the purpose of this research as noted in Section 2.4.1.1, the researcher concentrated only on the above two themes.

#### **4.4.1 Incentives and demands for designing and building a results-based M&E system**

##### *4.4.1.1 Knowledge and understanding of a readiness assessment as part of preparing for the establishment of an M&E system*

For an organisation to successfully conduct a readiness assessment and establish an M&E framework, it is important for the champions involved in the process to have adequate knowledge of the subject matter. As discussed in Section 2.4.1.1, building an M&E system require sufficient knowledge of what the process entails including the ability to successfully construct indicators, collect, aggregate, analyse and report on project performance in relation to the indicators and project objectives (Kusek, 2011:3). In order to determine the respondents knowledge of readiness assessment as a preparatory process for establishing an M&E system, respondents were asked to explain what they understood by a readiness assess for establishing an M&E system. The responses indicated that the respondents, especially the programme coordinator, had a good grasps of the concept and referred to Kusek and Rist ten steps to results based monitoring and evaluation. One of the responses with regards to knowledge and understanding of readiness assessment included:

“To put together a questionnaire, arrange consultative meetings with staff, management and board members, interview and observe business processes existing within the current working environment of the organisation”

On the other hand one of the CBWs presented her understanding of a readiness assessment as “... gathering of any information related to monitoring and evaluation within the organisation to assess the preparedness of Ikamva Labantu in putting in place an M&E framework”

It is important to reiterate the fact that a readiness assessment according to Kusek and Rist (2004:43) and as noted in Section 2.4.1.1, is a diagnostic tool used in determining whether the organisation meets the requirements for building a results-based M&E system. It also serves as a guide for ascertaining the ability and willingness of a country or an organisation to move forward with establishing an M&S system and taken into consideration who benefits from the system and whether there exist adequate capacity in the organisation to support such systems.

#### 4.4.1.2 *Motivation of the organisation for developing an M&E system*

There is always a reason or a driven force for an organisation to want to establish a monitoring and evaluation system. This motivation may vary from one organisation to another. With regards to what is motivating the organisation to develop a monitoring and evaluation system, the researcher gathered information on this subject matter by interviewing respondents on the driving force for the organisation to establish an M&E system.

Fieldwork results showed that the main motivation for Ikamva Labantu ECD Centre Khayelitsha to develop an M&E system is generally to help the organisation track its progress, identify successful project/activities, make adjustment to programmes that are not doing so well as well as reporting to the funders (Interview with the Centre's Director on the 21<sup>st</sup> of September 2012). In the same light the motivation for establishing an M&E system according to the programme head (in an interview carried out on the 14<sup>th</sup> of September 2012 in Khayelitsha) is to be able to measure the impact and progress of the pilot project and programmes implemented throughout the various departments in the organisation, and being aligned with the monitoring processes required by funders, government, and other stakeholders.

#### 4.4.1.3 *The champions involved in the process of building an M&E system*

Information gathered during fieldwork indicated that the champions involved in building an M&E system in Ikamva Labantu ECD Centre Khayelitsha is the Programme Head and training managers. The Programme Head and the training managers have been the sole driving force in the process of establishing an M&E system in this NGO. As indicated in Section 4.4.2.1, the decision to establish a results-based M&E system was initiated and taken by the Programme Head and so far this decision has not gone beyond the recommendation of the Programme Head.

In this regard, an interview with the Programme Head on the 21<sup>st</sup> of September 2012 in Khayelitsha indicated that the Programme Head and the training managers were the main champions for establishing and building an M&E system in Ikamva Labantu ECD centre Khayelitsha. In another interview with the Centre's director on the 21<sup>st</sup> of September 2012 in Khayelitsha, it was confirmed that the Programme Head will be the one to champion the M&E system. As of now, there is no independent committee charged with the responsibility of

assisting in the establishment process except for the CBWs whose role at this stage is very minimal.

The researcher also asked questions related to the users, beneficiaries and non beneficiaries of the M&E system. In this regard, the responses indicated that the whole organisation will be using the system but the Programme Head and the training managers will be using it the most, given the fact that they will be the ones to sustain the system and make it user-friendly for the rest of the organisation's staff. As for who will benefit from the system, the general responses were that: "The organisation as a whole, including the stakeholders and beneficiaries of projects and programme" will all benefit from the system (interview with the Programme Head, 14<sup>th</sup> of September 2012).

The data from the interview with respect to who will not benefit from the system demonstrated that, no one will be left out as expressed in the words of the Programme Director. In other words, the system will serve everyone either directly or indirectly (interview with the Programme Director, 21<sup>st</sup> of September 2012).

#### **4.4.2 Capacity building requirements for a results-based M&E system**

##### *4.4.2.1 The role of an M&E system in achieving programme goals and objectives*

As noted in the literature (Cornielje et al, 2008:48), it is widely acknowledged that a well designed monitoring and evaluation system provides organisations with consolidated source of information that records project progress and allows the project/programme director to make appropriate, informed decisions in deciding whether project design, approach, implementation and activities should be adjusted to better achieve programme objectives and goals. In the same light, the UNDP (2009:81) handbook on M&E clearly reiterate that, M&E is an essential management tool which enables an organisation to commit to accountability for results, resources entrusted to it and organisational learning. It was also noted that in the absence "... of effective monitoring and evaluation, it would be difficult to know whether the intended results are being achieved as planned, what corrective action may be needed to ensure delivery of the intended results, and whether initiatives are making positive contributions towards human development" (UNDP, 2009:81).

In this regard, the researcher investigated whether the M&E system will in anyway help to achieve programme objectives and goals. From an interview with the Programme Director of Ikamva Labantu, the results indicated that having an M&E system in place, project administrators will be able to identify all new projects by prior agreement to outcomes to be monitored and evaluated based on findings of previous pilot projects. On the basis of the pre-agreed outcomes, key indicators and baseline information on indicators will be selected, results will be monitored and adjustments made were necessary and finally, findings will be used to sustain ongoing M&E in the organisation (interview with the Programme Director on the 21<sup>st</sup> of September 2012 in Khayelitsha).

#### 4.4.2.2 *Organisational capacity for supporting a RBM&E system*

Having adequate relevant capacity within an organisation is of prime importance for a successful, efficient and effective M&E system. The researcher set out to investigate whether Ikamva Labantu has the necessary capacity to support a results-based M&E system by determining the NGO's skills in the following areas: Organisation and management, project and programme management, data analysis, project and programme goal establishment, budget management and performance auditing.

Results gathered from interviews showed that there is capacity to support an M&E system. However, these capacities are not enough at the moment to handle the above mentioned areas. At the moment, the bulk of the work is being handled by the Programme Head. An interview with one of the CBWs on the 13<sup>th</sup> of July 2012 in Khayelitsha indicated that, the CBWs will be in charge of collecting information and data related to the M&E system for Ikamva Labantu ECD Centre Khayelitsha. The CBWs will also be responsible for reporting first hand information to the Programme Head, while the Programme Head will be liable for compiling all reports and together with the CBWs take appropriate decision where necessary at the field work level. It is also important to note that the Programme Head will also have to report to the Centre's Director and the Ikamva Labantu's Cape Town Board of Directors.

The results also expressed the fact that there have been ongoing technical assistance and capacity building training in M&E such as; the support mentoring and coaching programme aim at training the community-based workers (CBWs) on monitoring and evaluation. Training

workshops offered by NACOSA (Networking HIV/AIDS Community of South Africa) were also currently underway. An interview with the CBWs and the ECD practitioners (on the 4<sup>th</sup> and 11<sup>th</sup> of June 2012 in Khayelitsha) confirmed the fact that they were given a couple of training sessions between February 2012 and August 2012.

With regards to responsibility for implementing and sustaining the results-based M&E system within the NGO, with specific reference to Kwakhanya Early Childhood Learning Centre, it was noted that the responsibility will reside mostly with the Programme Head (interview with the Programme Head, 4<sup>th</sup> of June 2012).

#### **4.4.3 Participatory monitoring and evaluation**

This section probes into issues of participation taking into consideration the key concepts of participatory monitoring and evaluation namely: participation in decision making, accountability and transparency.

##### *4.4.3.1 Participation in decision making*

In an interview with the Programme Coordinator of Ikamva Labantu ECD Centre on the 4<sup>th</sup> of June 2012 in Khayelitsha, it was noted that the decision to open the ECD Centre was made by management, but the decision to establish a monitoring and evaluation system in Ikamva Labantu ECD Centre was initiated by the Programme Head. Empirical results revealed that the monitoring framework in this NGO will be participatory of nature, however; discussions beyond the recommendation of an M&E system by the Programme Head have not been extended to the staff at the Centre. The Programme Coordinator reckons that the current monitoring framework is participatory because the reporting and evaluation formats are currently being developed with the input of the staff members who are involved in the projects and programmes of the Centre.

In addition, an interview with one of the community based workers (CBW) of Ikamva Labantu ECD centre on the 5<sup>th</sup> of June 2012 in Khayelitsha indicated that the monitoring framework of the Centre's various activities have so far been very participatory and consultative. She pointed out that in most instances, decisions were reached by means of consensus during feedback meetings and the CBWs inputs have always been taking into consideration.

According to data collected, it is foreseen that members of the organisation will be included in the establishment of the monitoring and evaluation system and participants of the various activities of the NGO (experiential training participants, ECD practitioners and CBWs) have to agree on anticipated outcomes for it to be included in the future monitoring framework. Agreeing on anticipated outcomes is very critical and would be helpful to the success of the M&E system being considered for implementation (interview Programme Head, 4<sup>th</sup> of June 2012 and Group discussion with ECD practitioners, 4<sup>th</sup> of June 2012).

#### 4.4.3.2 *Enhancing accountability and transparency through PM&E*

As noted in the literature review, accountability and transparency are one of the key concepts of PM&E and at the same time a major principle for consideration when establishing an M&E system or operating an already existing M&E system. The literature indicates that accountability is no longer solely used by funding and government agencies as a way of holding beneficiaries and other project participants accountable and less as a means of reporting and auditing but rather as a means for demanding greater social responsiveness and ethical responsibility. PM&E enables communities to assess and hold liable their own institutions in terms of fulfilling their commitments and responsibilities (Estrella et al, 2000:107). PM&E if properly carried out is one sure way of enhancing accountability and transparency which also makes for a good M&E system.

In this regard, the fieldwork results showed that the M&E system once established is expected to be accountable and transparent to both the participants of the NGO's activities and the Board. An interview with the Programme Coordinator on the 11<sup>th</sup> of June 2012 in Khayelitsha indicated that accountability and transparency to programme participants will serve as a basis for individual performance evaluation and monitoring. It is also anticipated that such accountability will enhance the relationship and confidence between project beneficiaries and project implementers.

#### 4.4.3.3 *Beneficiaries of the M&E system*

As elucidated in Kusek and Rist (2004) readiness assessment for building a results-based M&E system, it is very essential to determine how participants will benefit from the M&E system and also how the M&E system will benefit participants of Ikamva Labantu's programmes. Research results indicated that participants will benefit from the system through the monitoring of their

performance according to the objectives set for each project which may result in participant's salary increases, permanent employment or access to other organisational benefits. Giving the fact that the organisation will be carrying out capacity building training, it is anticipated that such training programmes will empower and develop the skills of the participants in M&E related matters. The main objectives of the Ikamva Labantu ECD Centre is to provide and promote good quality early childhood development and to create a model ECD Centre for other grassroots educare to emulate. It is thus anticipated that the M&E system will provide for better delivery of programmes and activities for the ECD centre as a whole.

#### 4.5 CONCLUSION

The fieldwork results showed that the NGO is in an adequate state of readiness to proceed with the establishment of an M&E system. However, the results also expressed the fact that further strengthening and increased participation was needed in other areas, especially with regards to staff participation in the establishment of the monitoring framework. The readiness assessment results showed that the strengths of Ikamva Labantu included the availability of key champions to establish, build and sustain the system and also the various training programmes initiated to build on the capacity of its staff. Some of the weaknesses include serious lack of skills within the NGO especially in the areas of: data analysis, budget management and performance auditing. Generally, it can be concluded that while there is adequate incentives and demands for designing and building a results-based M&E system, the capacity building requirement for building a results-based M&E system in Ikamva Labantu still lacks. The following chapter provides the research findings where the fieldwork results in this chapter will be assessed against the theoretical requirements as discussed in chapters 2.

## **CHAPTER FIVE: RESEARCH FINDINGS**

### **5.1 INTRODUCTION**

This chapter discusses the research findings of this study based on the empirical research results. The empirical data collected through tape recorded individual and group interviews with the Project Coordinator, the Early Childhood Development practitioners, the Community-Based Workers and the Director of Ikamva Labantu ECD Centre was transcribed. The transcribed notes and observation notes during fieldwork constituted the empirical data for this research. The findings discussed and analysed below were derived from the fieldwork results and the theoretical and conceptual framework. As noted in Section 2.8, the research adopted Kusek and Rist (2004)'s readiness assessment approach for building a results-based monitoring and evaluation system. The key concepts of participatory monitoring and evaluation (accountability, capacity building, participation and decision making) were employed in analysing the participatory aspects of M&E in the organisation. Notably, this study only focused on the first step of Kusek and Rist (2004)'s ten step model, namely; the readiness assessment step for establishing an M&E system.

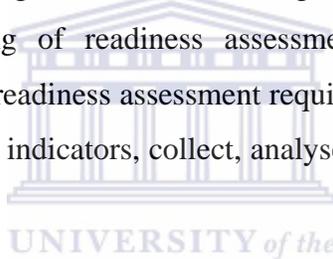
As mentioned earlier in Chapter Three, two different categories of interviews were used in this study. The first category was the individual semi-structured interviews. A total of twelve individuals from different activities of the NGO were interviewed. The second category was the group interviews or focus group discussions. A total of three focus group discussions were conducted; one with the on-site ECD practitioners, the second one with the community based workers and the last one with the experiential training participants. The research findings deduced from the fieldwork results are analysed using the theoretical and conceptual framework as a point of reference.

### **5.2 KNOWLEDGE OF READINESS ASSESSMENT IN ESTABLISHING A RESULTS-BASED M&E SYSTEM**

A readiness assessment as the first step in establishing a result based M&E system is very fundamental for the success of any M&E framework in developmental or public organisations. The research findings showed that the Programme Coordinator and the CBWs had basic understanding of what readiness assessment entails. In the case of the Programme Coordinator, she had previously worked for an NGO where an M&E system was established and where the

nature of the system had been debated and considered. The Programme Coordinator thus had a good understanding of a results-based approach and the importance of an M&E system. However, most of the organisation's staff that was interviewed seemed not to have an understanding of a readiness assessment. The interviews conducted showed that respondents were of the view that readiness assessment includes formulating a questionnaire, gathering of any information related to monitoring and evaluation within the organisation in order to assess the preparedness of Ikamva Labantu, putting in place an M&E framework and observing business processes existing within the current working environment of the organisation.

The literature review indicated that readiness assessment is a vital and a crucial stage in establishing a results-based M&E system. Kusek and Rist (2004:39) elucidated that the readiness assessment step, which is the first step of the ten step model to a results-based M&E process, is a unique addition to the many existing M&E models. Using the case of Ikamva Labantu, though there exist a basic understanding of readiness assessment as part of preparing for the establishment of an M&E system, readiness assessment requires adequate understanding in order to be able to successfully construct indicators, collect, analyse and report on project performance in relation to project objectives.



### 5.3 IKAMVA LABANTU MOTIVATION FOR DEVELOPING AN M&E

There is always a reason or a driving force for an organisation to establish a monitoring and evaluation system. This motivation may vary from one organisation to another. In respect to what is motivating the organisation to develop a monitoring and evaluation system, the literature indicated that constructing a results-based M&E system may be motivated by existing legal requirements of an institution/organisation, beneficiaries demand, donor requirements and public sector reforms. (Kusek and Rist, 2004:45).

The research findings show that the main motivation for Ikamva Labantu ECD centre in Khayelitsha to develop an M&E system is generally to enable the organisation to track its progress, identify successful projects/activities, and make adjustments to programmes that are not doing so well and also reporting to the funders. This is in line with Kusek and Rist (2004)'s concept of motivation in developing a results-based M&E system as indicated in the above paragraph. In the same light, according to the Programme Head, the motivation for establishing an M&E system is to be able to measure the impact and progress of the pilot project and

programmes implemented throughout the various departments in the organisation, as well as being aligned with the monitoring processes required by funders, government, and other stakeholders.

#### 5.4 THE CHAMPIONS INVOLVED IN THE PROCESS OF BUILDING AN M&E SYSTEM

A results-based M&E system enables champions to find rewards and recognition both at institutional and individual levels and these champions may be motivated by a sense of public responsibility. By demonstrating accountability and results, champions may find favour with public and private stakeholders and the international and donor communities. Constructing a results-based M&E system entails various risks and benefits. A results-based M&E if well designed can help strengthened the life cycle of a project, programme or policy and add value to every stage, from design through implementation to impact assessment (Kusek and Rist, 2004:19).

One of the benefits of a results-based M&E system is that it provides a continuous flow of information, which is useful both internally and externally. Keeping this M&E system up and running requires active maintenance and advocacy, which is one of the main reasons why champions are needed. The research findings reflected that in Ikamva Labantu, there exist champions to lead the establishment of a results-based M&E system as well as develop, implement and sustain the M&E framework. However, these champions are not enough to manage the entire project cycle. The main champions involved in this process are the Programme Head and the Training Managers. This is inadequate taking into consideration the load of work involved in putting an M&E system together. Other role players who could be involved include the Centre's director, the Chairperson of the organisation and at least one other member of the Board of Directors.

#### 5.5 USERS, BENEFICIARIES AND NON-BENEFICIARIES OF THE M&E SYSTEM

As noted by Kusek and Rist (2004:45), in order for a results-based M&E system to be effectively used, such a system must be able to provide accessible, understandable, relevant, and timely information and data. These are the driving factors for the need of a careful readiness assessment prior to designing the system, especially with regards to such factors as ownership of the system, benefits and beneficiaries of the system and utility to key stakeholders. An analysis of the

fieldwork results indicate that although the whole organisation will be using the system the Programme Coordinator and the Training Manager of the experiential training programme will be using it the most. This is because they will be the ones to sustain the system and make it user friendly for the rest of the organisation's staff.

As indicated in the literature, in building a results-based M&E and conducting a readiness assessment, it is essential to determine how participants would benefit from the M&E system and also how the M&E system will benefit participants of Ikamva Labantu's Programme. Drawing from the research results, one can conclude that the organisation as a whole, including the stakeholders and beneficiaries of projects and programmes, will benefit from the system. Participants will benefit from the system through the monitoring of their performance according to the objectives set for each project. This may result in improved organisational performance and also impact indirectly on salary increases, permanent employment or access to other organisational benefits. Given the fact that the organisation will be offering capacity building and training programmes, it is anticipated that such a training programme will develop the skills and empower participants in M&E related matters.

#### 5.6 ACHIEVING PROGRAMME GOALS AND OBJECTIVES THROUGH M&E SYSTEM

As noted in the literature, it is widely acknowledged that a well designed monitoring and evaluation system provides organisations with a consolidated source of information. *Inter-alia*, this information records project progress and allows the project/programme director to make timely, appropriate, informed decisions in order to decide whether the project design, approach, implementation and activities should be adjusted to better achieve programme objectives and goals. Imas and Rist (2009:107) notes that an M&E system helps an organisation to establish outcomes, select indicators and set targets and above all try to achieve them.

As indicated in the fieldwork results, it is anticipated that establishing a results-based M&E system will, in the future, enable project administrators to identify new projects by agreement on outcomes to be monitored and evaluated prior to project implementation and based on findings of previous pilot projects. On the basis of the pre-agreed outcomes, key indicators and baseline information on indicators will be selected, results will be monitored and adjustments made where necessary and finally, findings will be used to sustain ongoing M&E in the organisation.

The research findings are in line with the UNDP (2009:81) justification for programme/project monitoring and evaluation. It notes that in the absence of effective monitoring and evaluation, it would be difficult to know whether the intended results are being achieved as planned, and what corrective action may be needed to ensure delivery of the intended results. This is the case with Ikamva Labantu as noted in an interview with the programme director on the 21<sup>th</sup> of September 2012. It can be concluded with certainty that establishing an M&E system will afford Ikamva Labantu an opportunity to implement and achieve its stated goals and objectives.

## 5.7 ORGANISATIONAL CAPACITY FOR SUPPORTING A RBM&E SYSTEM

The importance of organisational capacity for supporting a results-based M&E system cannot be over emphasised. Having adequate and relevant capacity within an organisation is of prime importance for an efficient and effective M&E system. As indicated in Section 2.4.1.1, Imas and Rist (2009:114) notes that a readiness assessment involves an analysis of the current capacities within the organisation that can perform monitoring and evaluation. Capacities in this regard include: technical and managerial skills, available technology and resources, and institutional experience. On a more specific note, in order to build a result-based M&E system, the organisation must have adequate skills in the area of project and programme management, data analysis, project and programme goal establishment, budget management and performance auditing (Kusek and Rist, 2004:45).

Research findings indicate that there is capacity to support an M&E system. However, at the moment, these capacities are not enough to handle all the above mentioned areas. In this regard, and taking into consideration the fieldwork results and the theoretical framework for capacity building requirement for a results-based M&E system, it can be concluded that Ikamva Labantu's capacity for supporting a results-based M&E system is still very lacking. In particular, the areas that need to be strengthened include; data analysis, budget management and performance auditing.

## 5.8 PARTICIPATION IN DECISION-MARKING

It is widely agreed that participation in decision-making processes do not only provide stakeholders with information needed for making informed decisions, but also give the project/programme participants ownership of the project. In order to gather the necessary information concerning participation in decision making processes, the researcher found-out how

decisions were being taken in the NGO as a whole and also in the various activities. According to the respondents and the information gathered from the interviews, decisions are usually made during team meetings.

M&E can generate relevant information that can be used by different stake holders to make informed decisions. One of the key principles of participatory monitoring and evaluation as noted by Coupal (2001) is information sharing and reflection. Participation often generates information which leads to information sharing. Information sharing is fundamental for the growth, sustainability and cohesion of any group/organisation. With regards to Ikamva Labantu, information sharing and reflections takes place during team meetings. Furthermore, information sharing takes place through formal and informal networks among the staff of Ikamva Labantu and other NGOs such as Grass-Roots.

The purpose of these team meetings is for the ECD practitioners to discuss latest developments, crisis situations, challenges and happenings in their various classes with the other teachers and the Administration. Some of these meetings are actually planning meetings, which involve the discussion of the various activities of the on-site model ECD Centre. Any decisions concerning the children came from those working directly with the children, which in this case are the ECD practitioners.

In the same light, after every site visit, the CBWs present their feedback to the Administration. Findings from site visits are discussed with the Project Coordinator in a meeting. Both the CBWs and the ECD practitioners discuss their findings and challenges respectively and brainstorm on a way forward in a meeting with the Project Coordinator. Each and every member of these groups participates in the decision-making process. The decisions taken during these meetings or during the entire process are joined decisions of all the stakeholders (CBWs, ECD practitioners, Project Coordinator).

In as much as the CBWs and the ECD practitioners participate in the decision making processes of their respective activities, it is only foreseen that these CBWs and ECD practitioners would have to agree on anticipated outcomes for it to be included in the future monitoring framework. For the time being, they barely know the readiness assessment process in the NGO nor participate in decisions for readiness assessment. It was also noted that all decisions regarding

the establishment of an M&E system was taken by the Administration, specifically the Project Coordinator.

## 5.9 ACCOUNTABILITY AND TRANSPARENCY THROUGH PM&E

As explained by Gorgens and Kusek (2009:3), an M&E system has the ability to promote accountability and transparency within an organisation or a government institution and provide stakeholders with a lucid status of projects, programmes and policies. Hohenheim (2002) also noted that transparency and accountability within the basic delivery system would be impossible unless citizens or groups are aware of services and commodities legitimately meant for them.

Kaaria (2005) also observed that community driven participatory monitoring and evaluation provides decision support for process-oriented management and builds capacity and skills in assessing the quality of service delivery and enhances downward accountability to communities by service providers.

According to the information collected during field study, accountability is presently exercised in two ways in this Programme. Both parties (the Administration on the one hand and the ETPs, ECDPs and the CBWs on the other hand) are accountable to each other. On the part of the ECPs and CBWs, they have to deliver their services diligently as employees of the NGO. They are supposed to be very honest with their findings which are reflected in their reports. This is very essential given the fact that major decisions are drawn from the findings in these reports.

On the part of the experiential training participants (ETPs), they are expected to sign a memorandum of understanding before participating in the training programme of Ikamva Labantu. According to this memorandum, they have to be committed to attend the training and they also have to try their possible best in implementing and effecting the necessary changes in their various sectors/educares after the training.

In the same light, Ikamva Labantu is accountable to the ETPs by way of fulfilling its commitment to them. This constitutes providing the ECDPs, the CBWs and ETPs with quality training and equipping them with the necessary information. The NGO also provides the ETPs with extended field support even after the training. Putting theory into practice is sometimes difficult and needs support and guidance. The CBWs specifically trained as field facilitators and enablers, and they visit the ETPs in their various educares to guild them in the implementation

process. They also ensure that there is a file and a report explaining what has been done, how it was done and why it was done. The Project Coordinator also reports to external parties, which are the Board of Directors and the funders.

As indicated in the literature, PM&E promotes transparency and accountability among stakeholders. This is due to its emphasis on information sharing inherent in almost all PM&E approaches. More so, it offers communities an opportunity to assess their own institutions that are held liable in terms of fulfilling their commitments and responsibilities to that community (Estrella et al, 2000:107).

It is common knowledge that group/community leaders, programme and project coordinators and even managers of institutions hardly ever share information about financial resources. This usually leads to abuse of resources by whoever is in charge without the knowledge of other members or subordinates. Given the nature of this programme, it is important to note that except for the experiential training participants (ETP), both the ECD practitioners and the CBWs are all employees of the NGO, making it difficult for the Administration to be totally transparent especially when it comes to financial issues. Nonetheless, taking into consideration Estrella et al (2000)'s perspective on accountability, one can conclude that the Programme Coordinator on behalf of the entire Administration, had followed through with their own part of the bargain to the various groups (ETPs, ECDPs and CBWs) in sharing such information. This was also done by fulfilling their commitment and responsibilities to the ETPs by guiding and supporting them throughout the training and implementation process.

Moreover, it is anticipated that the M&E system once established will promote accountability which will in turn enhance the relationship and confidence amongst all stakeholders (funders, project beneficiaries and project implementers).

## 5.10 CONCLUSION

Drawing from the research findings, it can be concluded that conducting a readiness assessment as part of the preparation for the establishment of an M&E system is very essential as it lays a solid foundation on which basis the system can be developed. It also identifies the gaps and possible areas of intervention on the part of the NGO in order to establish an efficient and sustainable M&E system. It is apparent in the research findings that there are adequate incentives

to establish an M&E system. However, there is insufficient human capacity to develop and sustain an M&E system in Ikamva Labantu ECD Centre in Khayelitsha. Based on the research findings, the next Chapter provides conclusions and recommendations for Ikamva Labantu ECD Centre in Khayelitsha. The Chapter also discusses the lessons of experience of the investigation and areas for future research.



## **CHAPTER SIX: CONCLUSIONS AND RECOMMENDATIONS**

### **6.1 INTRODUCTION**

This chapter is divided into five sections. The first deals with the general conclusions to the key concerns of the study which are; RBME, PME, readiness assessment and the research findings. The second offers and discusses recommendations Ikamva Labantu ECD Centre in Khayelitsha should consider. The third section reflects on lessons of experience gathered from conducting this study. The fourth section focuses on possible areas for future research. Finally, the fifth section provides final remarks to the overall study.

### **6.2 CONCLUSIONS**

It is apparent that building and sustaining an RBME system is a daunting task. Building an RBME system comes with many organisational, technical and political challenges. It takes great commitment, champions, effort, resources and time to successfully put such a system in place. Nonetheless, it is very possible and doable and the rewards of having such a system abound. An RBME is a public management tool that enables governments and organisations to determine successful policies, programmes, and projects as well as identify programmes and policies that are unsuccessful. It is anticipated that building an RBME system in Ikamva Labantu will enable the organisation to generally identify what works, what does not work and why. In the same light an RBME will permit the organisation to take timely and informed corrective measures where necessary.

As indicated in the literature, there is a rapid spread and increased acceptance of PME practices across the globe. Just like RBME or any other approach, PME has its own pitfalls. PME is a social and a political process which is susceptible to conflicts and disagreements amongst stakeholders and broader social interests. While the challenges of PME may be immense; so too are the stakes. The concepts of PME are used and applied in many public and private organisations and in a wide array of sectors such as; community development, local governance, health, agriculture amongst others. It can be concluded that PME provides project/programme beneficiaries and all other stakeholders the opportunity to own and control the projects through their participation at various levels.

Establishing an M&E system requires the ability to successfully construct indicators, collect, aggregate, analyse and report on project performance in relation to the indicators and project objectives. In order for such a system to be successful and sustainable, the organisation needs to lay a strong foundation which begins with a thorough readiness assessment. Readiness assessment, which is the first step of the ten step model of building a results-based M&E system, is a unique addition to the many existing M&E models. This key step which is often missed or omitted provides an analytical framework to assess an organisation's competence and political willingness to monitor and evaluate its goals and develop a framework for determining project/programme performance.

A readiness assessment constitutes four main parts. These are; Incentives and demands for designing and building a results-based M&E system, roles and responsibilities and existing structures for assessing performance, capacity building requirement for a results-based M&E system, and barriers for building a results-based M&E system. Apart from the four main parts of readiness assessment, a readiness assessment also comprises eight key questions. The eight key questions act as a guide for ascertaining a country or organisation's ability and willingness to progress with a results-based M&E system. These questions revolve around the following; the motivation and driving force for building an M&E system, the advocates for an M&E system, the champions and motivation of the champions to support this system, owners and beneficiaries of the system and existing capacity to support the system. A readiness assessment therefore, enables an organisation to put things into perspective and pre evaluate themselves whether they are ready for such systems or not.

As such, readiness assessment is a vital and crucial stage in establishing a results-based M&E system that requires sufficient knowledge of the subject matter. With regards to Ikamva Labantu, knowledge and understanding of a readiness assessment as part of establishing a results-based M&E system, the research findings reveal that although a basic understanding of readiness assessment existed, this was insufficient as adequate understanding is required to successfully construct indicators, collect, analyse and report performance in relation to project objectives. In this light, it can be concluded that Ikamva Labantu's knowledge and understanding of readiness assessment as part of establishing a results-based M&E system leave much to be desired.

Motivation for developing an M&E system might range from beneficiaries demand, donor requirements to existing legal requirements of an institution/organisation and public sector reforms. As far as motivation for developing an M&E system is concerned, the research findings established that the driving force for the need of an M&E system for Ikamva Labantu ECD Centre is to enable the NGO to track its progress, identify successful projects/activities, and make adjustments to programmes that are failing, as well as reporting to funders.

Even where there is openness and capacity for change at various levels, there is the need to count on champions within the organisation in order for RBM&E to be effective and sustainable. One of the rationales for a readiness assessment is to identify the champions involved in the process of building an M&E system. The research establishes that in Ikamva Labantu, there are champions to spearhead the establishment of an M&E system. The main champions involved in this process in the organisation are the Programme Head and the Training Managers.

A well designed M&E system provides any organisation with a timely and consolidated source of information that enables project implementers to make appropriate and informed decisions concerning the progress of a project/programme. A well designed M&E system also enables an organisation to establish outcomes, select indicators to achieve established outcomes, set targets and strive to accomplish them. The study indicates that establishing an M&E system permits project administrators to select key indicators, monitor results and make adjustment were necessary. Thus, M&E presents organisations with the opportunity to achieve its programme goals and objectives.

Building an RBME system requires adequate organisational capacity to support and sustain the system. In order for an organisation to successfully establish an RBME system, sufficient skills are needed in the areas of project and programme management, data analysis, project and programme goal establishment, budget management and performance auditing. The research establish that although there is capacity to support an M&E system especially in the areas of project and programme management and goal establishment, these capacities are however, not adequate to sustain other areas such as data analysis, budget management and performance auditing. In this regard, it can be concluded that Ikamva Labantu's capacity for building and sustaining an M&E system is insufficient.

Accountability does not only imply financial transparency. There is also more to accountability than reporting to donors. Accountability and transparency provide stakeholders with a clear picture of the status of projects and programmes. It also enlightens beneficiaries on the services and commodities legitimately meant for them. In this study, accountability was exercised in two ways. The Administration on the one hand and the project beneficiaries on the other hand, are accountable to each other. It is also expected that the M&E system once established, will endorse accountability and transparency that will enhance the relationship and confidence amongst stakeholders. PME promotes greater accountability and transparency within organisations and amongst stakeholders because of its emphasis on information sharing intrinsic in almost all PME approaches.

It is noted in the literature that participation in decision making processes gives project/programme participants ownership of the project. The literature also acknowledged that a sense of ownership can go a long way in project sustainability. The research reveals that the project beneficiaries participated in decision making processes that were related to their various activities. Even though the project beneficiaries participate in the decision making processes of their respective activities, it is only foreseen that the CBWs and the ECD practitioners have to agree on anticipated outcome for it to be included in the future M&E framework. In a nutshell, PME promotes participation in decision making by all stakeholders and also increases the success and sustainability of projects.

### 6.3 RECOMMENDATIONS

With regards to knowledge and understanding of a readiness assessment as part of establishing a results-based M&E system, it was noted in the fieldwork results and research findings that only a couple of the respondents had an idea and understanding of what readiness assessment was all about. Given the fact that the majority of the respondents were in the dark as far as readiness assessment was concerned, one can suggest that Ikamva Labantu could introduce a specific training seminar to this purpose and a workshop to help enlighten its staff as to what readiness assessment and M&E is all about.

Even though the fieldwork results and research findings indicate sufficient motivation for the need of an M&E system in Ikamva Labantu ECD Centre in Khayelitsha, and although the champions involved in the process of building this M&E system might have adequate

motivation, and sufficient champions present to manage the entire process, it is recommended that the ownership of those driving the process be broadened. It was also noticed that the champions motivating this M&E system are the same ones trying to establish the system and would still be the same ones to develop and sustain the system. Considering the amount of work that is involved in this process, it is evident that the champions are overloaded and that this may lead to a substandard M&E system. In this respect, more champions are needed. Ikamva Labantu should consider hiring more experts or generate capacities from within the NGO that can support the technical champions to effectively do their job without the burden of multitasking.

The readiness assessment for the establishment of an M&E system in Ikamva Labantu is for the most part single handedly being established by the Project Coordinator and to a lesser extent, the Training Manger. The research findings also demonstrated shortages of vital M&E related skills in Ikamva Labantu. Ikamva Labantu should consider immediate skills improvement in the following areas of concern; data analysis, budget management, and performance auditing.

It is intended that the monitoring and evaluation framework be participatory in nature, but judging from the research findings, there have not been adequate consultation with regards to the establishment of an M&E system in Ikamva Labantu. Given the nature of the anticipated M&E system that Ikamva Labantu wants to establish, one would have expected the whole process to be more participatory especially in the areas of decision making. Participation in decision making and M&E processes enables project/programme stakeholders to gained ownership of the project, acquire M&E skills through learning by doing as well as by empowering themselves in M&E related capabilities. When an M&E system is being run and handled by a single or few individuals, the whole purpose of participation is defeated. It is therefore, recommended that a PME process be followed.

In the same light, the empirical research findings reveal that there is no M&E committee that will be charged with the responsibility of heading the overall M&E process in Ikamva Labantu. Though the M&E system being implemented is still at its early stages (readiness assessment), this study recommends the creation of a committee that will be charged with the responsibilities of monitoring and evaluating the project and subsequent programmes of the NGO. This committee can include project participants from the various activities of the NGO. This will help

to strengthen their capacity with regards to M&E functioning and make the process more participatory.

#### 6.4 LESSONS OF EXPERIENCE

Establishing an M&E system is a complicated and a complex process. Most of the problems involved in establishing an M&E system can be avoided through a thorough readiness assessment. As indicated in the preceding chapters, there is no ready-made blueprint M&E framework that can be adopted in all projects/programmes. Project/programme implementers would have to readjust certain aspects of their M&E frameworks/systems to complement the unique needs of a particular project/programme.

Another significant lesson of experience the researcher learned from the investigation was that it is also very important to start with the monitoring of a pilot project if an NGO or any other institution is in the process of establishing an M&E framework. Such a monitoring system should be applied to the rest of the organisation's programmes only if the pilot project is successful and yields the desired outcomes. Ideally, project/programme implementers should work together with those involved in project/programme evaluation to integrate a monitoring and evaluation component from the very beginning of programme design. It was noted that one of the fundamental aspects to any M&E system, regardless of the approach taken, is a comprehensive readiness assessment and subsequently a key set of indicators used for the purpose of measuring the achievement of an organisation's objectives.

#### 6.5 AREAS FOR FUTURE RESEARCH

Having already investigated readiness assessment as part of establishing a monitoring and evaluation system, it is the researcher's conviction that there is still a lot to be investigated in Ikamva Labantu. The following areas have been identified:

- Not much research has been done in Ikamva Labantu around M&E and from the readiness assessment results, it was noted that there is serious shortage of skills and capacity for sustaining an M&E system. This presents an opportunity for future researchers in the area of data analysis, budget management and performance auditing.
- Further research needs to be conducted on the improvement of reporting and reliable data.

- Research opportunities also exist on the nature of strategic planning in the organisation and how this may relate to outcomes and indicators.
- Finally, further research should be conducted on the integration of PME in all work activities.

## 6.6 FINAL REMARKS

In as much as the establishment of a monitoring and evaluation system might be very complex, it is very achievable and rewarding, and imperative for establishing a standard, efficient and effective M&E system. Research in M&E also indicates that organisations and institutions with an effective M&E system performs better in terms of meeting stated objectives, impacts and outcomes. This investigation has demonstrated that establishing an M&E system is not an easy task as it is a complicated and demanding process. As complicated as establishing an M&E system may be, the reward, however, surpasses the complexities. However, such rewards can only be achieved if the M&E system is built on a strong foundation which requires a proper readiness assessment. A readiness assessment enables an organisation to determine its strengths and the organisation's capabilities in establishing a results-based M&E system as well as to identify the weaknesses and existing gaps within an organisation as far as building an M&E framework is concerned.

It is apparent for the researcher that the objectives of this study have been adequately addressed. The study attempted to address the research questions that were discussed in Chapter One and it demonstrated that while there are adequate incentives and demands for designing and building a results-based M&E system, the capacity building requirement for building a results-based M&E system in Ikamva Labantu still lacks. The thesis presented a background perspective of the case study area, a theoretical/conceptual framework that was used as the basis for the empirical field work, evaluated the readiness assessment as the first step in building a results-based M&E system at Ikamva Labantu and addressed the key concepts of participatory monitoring and evaluation. The research also highlighted the lessons learned from the entire process and recommendations were also provided on what the researcher perceived as needing necessary amendments.

It is concluded that both a readiness assessment as part of establishing an M&E system, as well as using the PME approach may also hold valuable experiences for other NGOs operating in South Africa and the continent. In addition, building such systems may contribute to bigger goals such as that of achieving the millennium Development Goals (MDG) and the African Union (AU) objectives.



## REFERENCES

- Allen, T & Thomas, A. 2000. *Poverty and Development into the 21<sup>st</sup> century*. Oxford University Press: London.
- Alzate, R.D.E. 2000. "Monitoring and Evaluating Local Development through Community Participation: The Experience of the Association of Indigenous Cabildos of Northern Caoca, Colombia" in Estrella et al. *Learning from Change: Issues and experiences in participatory monitoring and evaluation*. Intermediate Technology publications: London.
- Arevalo, M., Guijt, I and Saladores, K. 1998. *PLA Note 31: Participatory Monitoring and Evaluation*. IIED: London.
- Babbie, E and Mouton, J. 2001. *The Practice of Social Research*. Oxford University Press: Oxford.
- Bhatnagar, B and Williams, A.C. 1992. *Participatory Development and the World Bank: Potential Directions for Change*. World Bank Discussion Papers; 183. The World Bank: Washington D.C.
- Blanche, M. T, Durrheim, K and Painter, D. 2006. *Research in Practice: Applied Methods for the Social Sciences*. University of Cape Town Press: Cape Town.
- Bless C., Higson-Smith, C and Kagee, A. 2006. *Fundamentals of Social Research Methods; An African Perspective*. Juta & Co Ltd: Cape Town.
- Bray, R. 2008. *Apartheid Shanty Towns in Cape Town*. <file:///G:/Khayelitsha.htm>. Accessed; 02/03/2012.
- Burkey, S. 2002. *People First: A Guide to Self-Reliant Participatory Rural Development*. ZED Books: London.
- Burrell, G. and Morgan, G. 1979 *Sociological Paradigms and Organizational Analysis: Elements of the Sociology of Corporate life*. Heinemann: London.
- Chambers, R. 1997. *Whose Reality Counts? Putting the First Last*. ITDG Publishing: London.
- Cloete, F. 2009. Evidence-Based Policy Analysis in South Africa: Critical Assessment of the Emerging Government-Wide Monitoring and Evaluation System. *Journal of Public Administration, Vol. 44 (2)*.
- Coetzee, J.K., Graaff, J., Hendericks, F. & Wood, G. 2001. *Development Theory, Policy and Practice*. Oxford University Press: South Africa.
- Coetzee, J.K. and Graaff, J. 1996. *Reconstruction, development and people*. International Thomson Publishing: Johannesburg.
- Cornielje, H., Velema, J. P and Finkenflügel, H. 2008. Community Based Rehabilitation Programmes: Monitoring and Evaluation in Order to Measure Results. *Lepr Rev, 79*.

- Cornwall, A. and Pratt, G. 2003. *Pathways to Participation*. ITDG Publishing: London.
- Coupa, F. 2001. *Results-based Participatory Monitoring & Evaluation 1*. Mosaik. Net International. <http://www.mosaic-net-intl.ca/documents/article-pme.pdf>. Accessed; 16/04/2012.
- Dale, R. 2004. *Development Planning: Concept and Tools for Planners, Managers and Facilitators*. ZED Books: London.
- Davids, I. 2009. "Poverty in South Africa: A Development Management Perspective" in Davids, I., Theron, F., Maphunye, K. J. *Participatory Development in South Africa. A Development Management Perspective* (2<sup>nd</sup> Ed.). Van Schaik Publishers: Pretoria.
- Davids, I., Theron, F. and Maphunye, K.J. 2005. *Participatory Development in South Africa: a development management perspective*, Van Schaik Publishers: Pretoria.
- De Beer, F and Swanepoel, H. 2000. *Introduction to Development Studies*. Oxford University Press: Oxford.
- De Beer, F and Swanepoel, H. 1998. *Community Development and Beyond: Issues, Structure and Procedures*. Van Schaik Publishers: Pretoria.
- Department of Education. 2001. *The National Audit of ECD Provisioning in South Africa*. Government Printers: Pretoria.
- Department of Social Development, South Africa. 2006. *Guidelines for Early Childhood Development Services; Early Child Has the Right to the Best Possible Start in life*. Government Printers: Pretoria.
- Department of Social Development and Department of Education. (2006). *Conceptual Framework: Early Childhood Development Centre as Resources for Care and Support for Poor and Vulnerable Children, Their Families, Including orphans and Vulnerable Children*. UNICEF: New York.
- Department of the Premier. 2009. *Provincial-wide monitoring and evaluation framework*. 2009/2010. Provincial Government of the Western Cape: Cape Town.
- Dinham, A. 2005. Empowered or over-powered? The real experiences of local participation in the UK's New Deal for communities. *Community Development Journal*, Vol. 40 No.3, pp: 301-312.
- Dive, B. 2004. *The Healthy Organization: A Revolutionary Approach to People and Management*. Second Edition. Kogan Page Limited: London.
- Du Mhango, G. L. 1998. *Planning and Managing Socio-Economic Development: the Integrated Participatory Dimension*. Century-Turn Publishers: North West Province SA.
- Eade, D. 1997. *Capacity-Building: An Approach to People-Centred Development*. Oxfam: United Kingdom.
- Eisenstadt, S.N. 1966. *Modernization: Protest and Change*. Prentice Hall Inc: USA.

Education White Paper 5 on Early Childhood Development. 2001. *Meeting the Challenge of Early Childhood Development in South Africa*. National Ministry of Education: Pretoria.

Estrella, M. & Gaventa, J. 1998. *Who Counts Reality? Participatory Monitoring and Evaluation: A literature review*. IDS Working Paper No. 70. Institute of Development Studies: Brighton.

Estrella, M., Blauert, J., Campilan, D., Gaventa, J., Gonslaves, J., Guijt, I., Johnson, D and Ricafort, R. 2000. *Learning from Change: Issues and experiences in participatory monitoring and evaluation*. Intermediate Technology publications: London.

Gebremedhin, B., Getachew, A and Amha, R. 2010. *Results-based Monitoring and Evaluation for Organisations working in Agricultural Development: A Guide for Practitioners*. ILRI: Addis Ababa.

Gobisaikhan, D. and Menamkart, A. 2000. "Participatory Monitoring and Evaluation: Lessons and Experience from the National Poverty Alleviation Programme (NPAP) in Mongolia" in Estrella et al. *Learning from Change: Issues and experiences in participatory monitoring and evaluation*. Intermediate Technology publications: London.

Gorgens, M and Kusek, J.Z. 2009. *Making Monitoring and Evaluation Systems Work: A Capacity Development Toolkit*. The World Bank: Washington DC.

Graaff, J. 2003. *Introductions to Sociology: Poverty and Development*. Oxford University press: Cape Town.

Harsch, E. 2001. *South Africa Tackles Social Inequalities: Some Gains, but Still a Long Way to go in Overcoming Apartheid's Legacy*. <http://www.un.org/en/africarenewal/subjindx/144soafr.htm>. Accessed; 17/07/2012.

Hickey, S. and Mohan, G. 2004. *Participation: From Tyranny to transformation?* Zed Books: New York.

Hohenheim, S. 2002. *Participatory Monitoring and Evaluation: A Promising concept in participatory research?* Lessons from two case studies in Honduras. Unpublished PhD thesis.

Ikamva Labantu. 2011. <http://ikamva.org.za/who-we-are/board-and-management/>. Accessed; 11/03/2012.

Ikamva Labantu Early Childhood Development Department. *Experiential Training Programme for Early Childhood Development Practitioners*. Unpublished.

Imas, L.G.M., and Rist, R.C. 2009. *The Road to Results: Designing and Conducting Effective Development Evaluations*. The World Bank: Washington DC.

Jacobs, A., Barnett, C and Ponsford, R. 2010. Three approaches to Monitoring: Feedback Systems, Participatory Monitoring and Evaluation and Logical Frameworks. *IDS Bulletin, Vol. 41 (6)*. Blackwell Publishing Ltd.

Kaaria, S.K and Njuki, J.M. 2005. *Development and Supporting Community-Driven Participatory Monitoring and Evaluation of Marketing Activities*. CIAT: Kampala.

- Kera, D. and Campbell, M. 1985. Local initiatives and community development: the Iri community in the Solomons. *Community Development Journal*, 20(1) p35.
- Khandker, S. R., Koolwal, G. B and Samad, H. A. 2010. *Handbook on Impact Evaluation: Quantitative Methods and Practice*. World Bank Publication: Washington D. C.
- Kitzinger, J. (1995). Qualitative Research: Introducing Focus Groups. *BMJ Journals*. Vol.311. Issues.7000.
- Knight, R. 2001. *South Africa: economic policy and development*. <http://richardknightly.homestead.com/files/sisaecconomy.htm> Accessed; 17/07/2012.
- Kothari, U and Minogue, M. 2002. *Development Theory and Practice: Critical Perspectives*. PALGRAVE: China.
- Krauss, S.E. 2005. *Research Paradigms and Meaning Making: A Primer*. The Qualitative Report, 10 (4), 758-770. <http://www.nova.edu/ssss/QR10-4/krauss.pdf> Accessed; 19/04/2011 11.
- Kumar, R. 2005. *Research Methodology: A Step-by-Step Guide for Beginners*. Sage Publication: London.
- Kusek, J.Z. 2011. *GET Brief: Assessing Country Readiness for Monitoring and Evaluation*. The World Bank: Washington D. C.
- Kusek, J.Z and Rist, R.C. 2004. *Ten Steps to a Results-Based Monitoring and Evaluation System*. The International Bank for Reconstruction and Development/The World Bank: Washington.
- McGee, R. 2002. Participation and Development in Kothari, U and Minogue, M (Ed.). *Development Theory and Practice: Critical Perspectives*. PALGRAVE China.
- Midgley, J. 1986. *Community Participation, Social Development and the State*. Routledge: London.
- Mouton, J. 2001. *How to Succeed in Your Master's and Doctoral Studies*. Van Schaik Publishers: Pretoria.
- Mouton, J. 1996. *Understanding Social Research*. Van Schaik Publisher: Pretoria.
- Nayyar, D and Chang, H-J. 2005. *Toward a People-Centred Approach to Development, From the Development Imperative*. Social Science Research Council: New York.
- Nelson, M. 2010. *Empowerment: A Key Component of Christian Community Development*. Christian Community Development Association: Bloomington.
- Nikkhah, H. A and Ratzuan, M. 2009. Participation as a Medium of Empowerment in Community Development. *European Journal of Social Sciences*, Vol. 11 (1).
- Oakley, P. 1991. *Projects with People: The Practice of Participation in Rural Development*. International Labour Office: Geneva.

- Oakley, P. and Clayton, A. 2000. *The Monitoring and Evaluation of empowerment: A Resource Document*. Intrac: Oxford.
- Payadachee, V. 2006. *The Development Decade? Economic and Social Change in South Africa, 1994-2004*. HSRC Press: Cape Town, South Africa.
- Page, N and Czuba C. E. 1999. Empowerment: What is it? *Extension Journal*, Vol. 37 (5).
- Pearse, A and Stiefel, M. 1979. *Inquiry into Participation: A Research Approach*. Geneva, United Nations Research Institute for Social Development.
- Sangole, N. 2007. *The Role of Community-Driven Participatory Monitoring and Evaluation in Empowering Communities and Improving Their Decision: A Case Study of The KARI/CIAT Collaborative Project, Coastal Kenya*. Master Mini-Thesis. University of the Western Cape.
- Segsworth, B. 2003. *Accountability, Evaluation and Performance Monitoring: A Comparative Perspective*. Laurentian University. <http://www.law-lib.utoronto.ca/investing/reports/rp15.pdf>. Accessed; 08/06/2012.
- Simister, N and Smith, R. 2010. *Monitoring and Evaluation Capacity Building: Is it Really that Difficult?* Praxis Paper 23. INTRAC: Oxford.
- StatsSA (Statistics South Africa). 2007. *Mid-Year Population Estimates*. Statistical Release P0302. StatsSA: Pretoria.
- Taylor, F and Mackenzie, F. 1992. *Development from Within; Survival in Rural Africa*. Routledge: London.
- The Presidency. 2007. *Policy Framework for the Government-wide monitoring and evaluation system*. The Presidency: Pretoria.
- Todaro, M.P. 1987. *Economic development in the Third World –3<sup>rd</sup> ed*. Longman Publishers: Singapore.
- United Nations Development Programme (UNDP). 2009. *Handbook on Planning, Monitoring and Evaluating For Development Results*. UNDP: New York.
- Vincent, S. 2004. Participation, Resistance and Problems with the ‘Local’ in Peru: Towards a New Political Contract? In Hickey, S and Mohan, G (Ed.). *Participation: From Tyranny to transformation?* Zed Books: New York.
- Vernooy, R., Qui, S., and Jianchu, X. 2006. The Power of Participatory Monitoring and Evaluation: Insights from South-West China. *Development in Practice Vol 16 (5)*. Taylor & Francis Group: London.
- Vernooy, R., Qui, S., and Jianchu, X. 2003. *Voices for change: participatory monitoring and evaluation in China*. Yunnan Science and Technology Press: Yunnan, China.

Von Bertrab, A and Zambrano, L. 2010. Participatory Monitoring and Evaluation of a Mexico City Wetland Restoration Effort. *Ecological Restoration*. University of Wisconsin Press: Wisconsin.

Walliman, N. 2006. *Social Research Methods*. Sage Publication: London.

World Bank. 2005. *Capacity Building in Africa: An OED Evaluation of World Bank Support*. The World Bank: Washington D.C.

World Wide Vision South Africa, 2009. <https://www.worldvision.co.za/core-issues/early-childhood-development>.

Yin, R. K. 1994. *Case Study Research: Design and Methods*. Sage Publications: Thousand Oaks.





My name is Nguika Judith, a final year Master's student at the Institute for social Development, University of the Western Cape. Anonymity will be ensured and it shall be the responsibility of the research to handle all information gathered with sensitivity and confidentiality. If you may have any questions concerning this research, feel free to contact

Research supervisor: Prof Christo de Coning (+27) 824 637 866.

Principal Researcher: Nguika Judith Fonkem (+27) 782 173 695.

Completed questionnaire can be e-mail to [nguika@gmail.com](mailto:nguika@gmail.com)

UNIVERSITY of the  
WESTERN CAPE

**QUESTIONNAIRE / INTERVIEW SCHEDULE**

**An Analysis of a Readiness Assessment for establishing a Monitoring and Evaluation System in Early Childhood Development (ECD) Programmes: A case study of the Ikamva Labantu Centre, Khayelitsha.**

Facilitated by Nguika Judith

SEPTEMBER 2012

**GENERAL:**

This questionnaire has been developed for the purposes of gaining information on Ikamva Labantu’s readiness assessment phase for building a monitoring and evaluation system. Results will reflect detail analysis and lessons of experience for future purposes. The questionnaire covers two sections for the purpose of this study, namely;

- Section A will deal with readiness assessment for results-based M&E
- Section B will constitute participatory M&E and other information related to the study

This questionnaire and interview schedule will be used as a framework for both respondents that complete the questionnaire in their own time as well as for discussion with interviewees in an interview situation. Respondents should note that the identity of interviewees will be protected and individual names or statements will not be used in the report. Responses will be consolidated and research findings will be presented in aggregated fashion. The ethics policy of UWC applies to this study.

NAME OF RESPONDENT .....

POSITION IN THE PROJECT/ AGENCY .....

DATE OF COMPLETION OF QUESTIONNAIRE:

20	1	2
----	---	---

Year

0	9
---	---

Month

--	--

Day

**Section A: Readiness Assessment for Results-based M&E**

1. What is your understanding of a readiness assessment as part of preparing for the establishment of a Monitoring and Evaluation system?

.....  
.....  
.....  
.....

2. What is the motivation of the organisation for developing an M&E system?

.....  
.....  
.....

3. Who are the champions involved in the process of building an M&E system?

.....  
.....

4. Who is going to be using this M&E system?

.....  
.....  
.....

5. Who will benefit from this system?

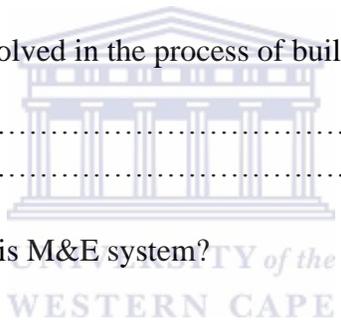
.....  
.....

6. Who will not benefit from the system?

.....  
.....

7. How will the system achieve the programme goals and objectives?

.....  
.....



.....  
.....  
8. Does the organisation have adequate capacity to support a RBM&E system? Please discuss and also share your options for the future in this respect.

.....  
.....  
9. What are the skills of the NGO in the following areas:

a) Project and programme management

.....  
.....  
b) Data analysis

.....  
.....  
c) Project and programme goal establishment

.....  
.....  
d) Budget management

.....  
.....  
e) Performance auditing

.....  
.....  
10. Is there any technical assistance, capacity building or training in M&E currently underway or that was done in the past? May you please elaborate?

.....  
.....  
.....



11. Who will be responsible for implementing and sustaining the RBM&E system within the NGO?

.....  
.....  
.....

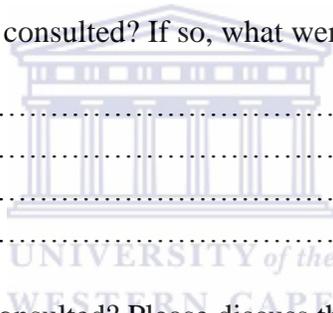
**Section B: Participatory Monitoring and Evaluation**

12. How participatory has the readiness assessment been?

.....  
.....  
.....

13. Was the Board of Directors consulted? If so, what were their responses?

.....  
.....  
.....



14. Were other staff members consulted? Please discuss the extent and indicate responses and agreements.

.....  
.....  
.....

15. Is the monitoring framework going to be of a participatory nature? Please discuss.

.....  
.....  
.....

16. Is it foreseen that participants have to agree on anticipated outcomes for it to be included in the future monitoring framework?

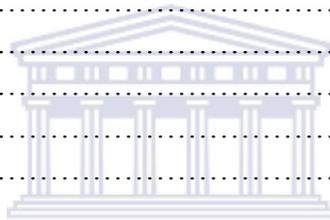
.....  
.....  
.....

17. Will members of the organisation be included in the establishment of the M&E system from the very beginning?

.....  
.....  
.....  
.....  
.....  
.....

18. Do you expect that the M&E system, once established, will be accountable and transparent to the participants? Please explain.

.....  
.....  
.....  
.....  
.....  
.....



19. How will the participants of the programme benefit from the M&E system?

.....  
.....  
.....

20. Will the M&E results, once published, be made available to members of the community and the public?

.....  
.....  
.....  
.....  
.....

21. What lessons have you learnt throughout this process?

.....  
.....  
.....

.....  
.....  
.....

22. Have you had any setbacks so far? (specify)

.....  
.....  
.....

23. Is there anything else that you would like to add or do you have any advice?

.....  
.....  
.....

Thank you for your participation!

