IMPLEMENTATION CHALLENGES OF PERFORMANCE MONITORING AND EVALUATION IN THE O R TAMBO DISTRICT MUNICIPALITY

By

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Submitted in partial fulfilment of the requirements of the degree of Master of Public Administration (MPA) at the Nelson Mandela Metropolitan University

2012

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DECLARATION:

In accordance with Rule G4.6.3, I hereby declare that the above-mentioned treatise is my own work and that it has not previously been submitted for assessment to another University or for any other qualification.

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DATE: 14 December 2012

DEDICATION

I dedicate this treatise to my late father, Ndabazendlu Thomas Sotshongaye, and my mother, Nophumzile Mildred Sotshongaye, for having raised me and sent me to school, in order to be the man I am today. May God bless them!

ACKNOWLEDGEMENTS

I would like to take this opportunity to thank the Lord God Almighty for the strength He gave me throughout the years of my studies. I thank my wife, Nozibele Sotshongaye – and my children, Ngqiqo, Nqaba, Zintle and Zukhanye Sotshongaye – for their understanding, and for enduring my absence during the entire period of my studies. I appreciate the work done by my supervisor, Dr Kwame Asmah-Andoh and Professor Obeng for their facilitation and guidance provided throughout the course of my research work.

I also wish to acknowledge the following:

- Mhlontlo Local Municipality – for having afforded me an opportunity to pursue my studies in the MPA degree.
- O R Tambo District Municipality for allowing me to conduct my research.
- My study group, Mr M. Mpofu, Mr M. Dandala, Mr K.V. Nyamela and Ms Z. Xala for all the support and motivation they gave me.
- The respondents, for their active participation in my research work.
- Mr Kwinana for having been a source of inspiration.

ABSTRACT

This treatise investigates the implementation challenges of performance monitoring and evaluation in the O R Tambo District Municipality. The treatise comprises five chapters. The study is based on the assumption that O R Tambo District Municipality, like any other municipality in South Africa, particularly in the Eastern Cape, is confronted with the implementation challenges of performance monitoring and evaluation. ORTDM has a performance-management system that is not fully implemented, and needs to put into context its challenges, in order to appropriately make those interventions relevant to the situation. The fact that the performance-management system has not yet been cascaded to the lower level employees creates difficulties in performance monitoring and evaluation.

There has been a deep concern that municipalities are underperforming, and yet with no visible steps being taken to improve the situation. If the O R Tambo District Municipality is attempting to achieve the objectives of the local government, as stated in the Constitution of the Republic of South Africa, 1996, it is then necessary to properly implement performance monitoring and evaluation, as mechanisms to accelerate service delivery. This has the potential to improve the quality of life of the citizens of O R Tambo District Municipality.

This study provides the general background to the implementation challenges of performance monitoring and evaluation in the O R Tambo District Municipality. The challenges of performance monitoring and evaluation, the determinants of performance monitoring and evaluation, as well as the theories used in performance monitoring and evaluation will be addressed.

The study presents the findings resulting from the analysis of the data provided by the respondents. Amongst the findings of the study there is a view that the O R Tambo District Municipality does not have monitoring and evaluation specialists who could ensure that performance is being periodically evaluated, in order to close policy gaps that might be in existence. Non-involvement or partial involvement of communities has the potential to cause stagnation, as people generally lack monitoring skills.

Some of the recommendations include: the skills development of all the stakeholders, especially those with the mandate to deliver on behalf of government, that is, political office bearers, together with the technical support wing. Performance monitoring and evaluation under the proposed recommendations could be enhanced and positive changes could be realised.

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CHAPTER ONE
INTRODUCTION AND GENERAL BACKGROUND

1.1 Introduction

This study examines the implementation challenges of performance monitoring and evaluation in the O R Tambo District Municipality (ORTDM). Monitoring and evaluation (M&E) of performance provides municipal political office bearers, appointed officials, municipal communities and community organisation with the means for learning from past experiences, improving service delivery, planning and allocating resources, and demonstrating results – as part of the accountability to key stakeholders.

Monitoring and evaluation form key control functions in public administration and management. Monitoring and evaluation, like exercising control, require policy, which must be implemented, in order to achieve the intended objectives within a governmental unit, such as a municipality. In terms of the *Local Government: Municipal Systems Act*, 2000 (Act 32 of 2000), municipalities are required to monitor and evaluate the performance of service delivery programmes, as part of the Service Delivery and Budget Implementation Plan for Integrated Development Plans to ensure continued improvement in the standard of performance.

The processes of the municipal Integrated Development Plan (IDP) provide guidelines on the key elements, governance structures, core components of objectives: measurement, monitoring, review and evaluation processes. Specifically, legislation and other regulations make it indispensable for monitoring and evaluation to be developed and implemented, as integral to the management of a municipality, in order to meet its unique challenges.

The report of the auditor-general for the 2009/10 financial year, however, indicates that the district municipality was not meeting the implementation obligations of monitoring and evaluation as stipulated in the *Local Government: Municipal Systems Act*, 2000 (Act 32 of 2000) and other policy directives.

This study analyses the implementation processes of monitoring and evaluation policy in the O R Tambo District Municipality, and the reasons and causes of the problems being experienced in the implementation. The study gives the background of performance monitoring and evaluation, and gives an emphasis on the implementation benefits.

1.2 Background to the study

Performance monitoring and evaluation in municipalities are premised on the effective management of the programmes of the municipal Integrated Development Plans; the continued improvement in the standard of service delivery performance; and improved accountability to citizens. Monitoring and evaluation thus provide the municipal government and administration with the following:

- Opportunities for learning and improvement in all areas of performance;
- Facilitation of decision-making and management through better clarification of goals and priorities;
- Means to continuously assess the performance of the municipal government and administration;
- Improving the functional capacity of officials and functionaries in the municipality;
- Mechanisms for increased accountability and better utilisation of resources; and
- Early warning signals and highlighting of underperformance for remedies (Craythorne, 2006: 121).

Legislation and policy on monitoring and evaluation in O R Tambo District municipal government and administration, as in all municipalities in the country, include the *Local Government: Municipal Systems Act*, 2000 (Act 32of 2000); the Municipal Planning and Performance Regulations, 2001; the *Local Government: Municipal Finance Management Act*, 2003 (Act 56 of 2003) and *Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers*, 2008.

In terms of the legislation and policy directives, key performance indicators and targets should be formulated for all IDP service-delivery programmes and delegated

to posts within the municipality as part of the Service Delivery and Budget Implementation. Parsons (1995: 462) writes that policy-making does not come to an end once a policy is approved. It is clear that there is a need for implementation of what the organisation or institution has decided to adopt as its policy. Jenkins (in Parsons, 1995: 461-462) also writes that a study of implementation is a study of how organisations act to put policy into practice.

According to the O R Tambo District Municipality (IDP report 2010), the Service Delivery and Budget Implementation Plan (SDBIP) provides a workable management and control mechanism and tool under which to operate, monitor and evaluate the performance-implementation of IDP programmes. In effect, the Service Delivery and Budget Implementation Plan is a mechanism to monitor and evaluate institutional performance management.

A preliminary study of the reports of the O R Tambo District Municipality (IDP report 2010) indicates that a system of quarterly performance monitoring and evaluation reviews, and performance monitoring of each official is being undertaken, as stipulated in the IDP. However, the Auditor-General's report (2010) maintains that the implementation of performance monitoring and evaluation in the O R Tambo District Municipality "continues to be a major challenge".

Public Administration, *inter alia*, studies the work of public officials in public institutions and the carrying out of functions and processes from policy made by political institutions. According to Cloete (1994: 205), administration consists of a wide range of functions, namely: policy-making, organizing, financing, staffing, procedure determination and the exercise of control. This study deals with the processes of control, and the implementation of control policy intended to improve service delivery and accountability in the O R Tambo District Municipality.

Du Toit and Van der Waldt (1997: 15) write that control measures, as administrative functions, are necessary to promote effectiveness and efficiency in the utilisation of resources and to improve accountability. The implementation of monitoring and evaluation as control measures through the SDBIP is thus intended to achieve effective and efficient service delivery.

Cloete (1994: 205) further argued that the control exercise in any institution is done to ensure that authorities give an account of all their actions, in order to make the public aware of progress regarding their needs – either collectively or as individuals. It is against this premise that O R Tambo District Municipality is required to implement performance monitoring and evaluation as tools to control all the activities of the institution.

1.3 Problem statement

The study analyses the processes of monitoring and evaluation implementation in the OR Tambo District Municipality. Monitoring and evaluation are national policies in South Africa, which public institutions, including all municipalities, must implement effectively. Implementation of a monitoring and evaluation policy in municipal government and administration is a process of policy implementation based on an anticipated solution to a problem which could face inherent and unanticipated problems. The problem for the study therefore relates to examination of the implementation challenges for the performance monitoring and evaluation in the O R Tambo District Municipality.

A central issue in the Implementation of the policy of performance monitoring and evaluation in municipal government and administration is how to implement a policy designed as one-size-fits-all from international best practices (Thomas 2005). Many municipal councillors (politicians) and appointed officials complain about the difficulty in measuring (evaluation of output or outcomes) and institutionalisation of the processes of monitoring municipal programmes.

Although performance monitoring and evaluation has been introduced by legislation and policy directives as part of programme implementation in municipalities challenges exist on how to obtain and utilise performance monitoring and evaluation information. It is therefore necessary to examine the organizational and contextual factors that facilitate or impede the implementation of the policy of performance monitoring and evaluation in municipal government and administration.

1.4 Objectives of the study

These objectives have already been set for the study, namely, to:

- Analyse and evaluate the existing implementation processes of performance monitoring and evaluation in the O R Tambo District Municipality to determine the challenges in the implementation of the policy;
- Investigate and evaluate the existing reasons and causes of the problems being experienced in the implementation of performance monitoring and evaluation as part of municipal IDPs; and
- Make recommendations in order for the O R Tambo District Municipality to utilise them to address the implementation of performance monitoring and evaluation challenges.

1.5 The research questions

The following are questions to be addressed by the study:

- What implementation challenges are faced by the municipality, and what is the extent to which these negatively impact on the processes of performance monitoring and evaluation?
- Is there any department or section specifically designated to conduct performance monitoring and evaluation?
- How are communities and other stakeholders involved in the implementation of performance monitoring and evaluation?
- What control measures are exercised over the implementation of the policy?

1.6 The literature review

As already stated in the background, the study will be conducted within a theoretical framework consisting of three main sections:

Firstly, an analysis of the nature and place of policy implementation in Public Administration will provide a conceptual framework for the administrative function of monitoring and evaluation in municipal government and administration.

Secondly, scientific research is a systematic, controlled empirical and critical investigation of all the relevant phenomena, guided by theory and hypothesis about

the presumed relations among such phenomena. The new public management (NPM) theory is also based on managing the results that would be appropriate for a study of this nature. The study is also evaluative in nature. It is not only the implementation of performance monitoring and evaluation, but it also investigates the role of the O R Tambo District Municipality in exercising control measures and how this could improve accountability and service delivery.

The implementation challenges, and especially the impact of these on the service delivery and overall municipal government and administration, are also to be investigated. Performance monitoring and evaluation are both normative in nature; and the systems theory will be used as a basis for this study – to evaluate the challenges encountered in the processes. Thirdly, the study will be conducted within the existing legislative framework for performance monitoring and evaluation in local government in South Africa.

1. 7 Permission to conduct the research

The study title states clearly that the study is to be undertaken at the O R Tambo District Municipality. Written permission has been granted from the Municipal Manager of the O R Tambo District Municipality in reply to a letter requesting permission for the study to be conducted. The letter of request and permission granted are attached as appendices.

1.8 Delimitation of the study

Delimitation of the study refers to both theoretical and physical perspectives. The ORTDM is one of the six District Municipalities in the Eastern Cape Province located in the eastern half of the Province, with its eastern border as Indian Ocean coastline of South Africa. To the north, it is bordered by Alfred Nzo District Municipality, to the northwest, by Joe Gqabi District Municipality, to the west, by the Christ Hani District Municipality, and to the southwest, by the Amathole District Municipality. It is comprised of five local municipalities, that is, King Sabata Dalindyebo Local Municipality, Mhlontlo Local Municipality, Nyandeni Local Municipality, Port St. John's Local Municipality and Ingquza Hill Local Municipality. (ORTDM IDP 2012-2017).

This study is confined to the implementation challenges of performance monitoring and evaluation in the O R Tambo District Municipality. The municipality that is under study is one of the municipalities that are characterised with underperformance; and it requires a major improvement in performance-monitoring and evaluation.

1.9 Ethical considerations

Babbie and Mouton (2010:520) write that ethics is typically associated with morality – as issues of right and wrong are both dealt with. This simply means that social research has acceptable and unacceptable conduct, which the researcher is expected to abide by. It is against this backdrop that during the research period, the researcher is always expected to respect the respondents. For example, one cannot divulge any information without the informed consent of the participants.

Denscombe (2003:174) writes that the notion of ethics is closely linked to the idea of morality,as stated by Babbie and Mouton. Brynard and Hanekom (2005: 4) write that honesty and confidentiality are two over-arching ethical requirements with which the researchers should comply. The researcher in this study observed these requirements, as the respondents were told the truth about the objectives. The respondents, throughout the study, were not exposed. They were informed that the information was in no way collected for the invasion of their privacy. An explanation was done before they participated in the study.

Denscombe (2003:183) explicitly states that informed consent is a benchmark for social research ethics, which is regarded as one of the fundamental principles that promote adherence to human rights. A covering letter of each questionnaire and the consent forms were used to explain the voluntary nature of their participation in the study. Participation in this research was completely voluntary. The participants were not obliged to take part in the research, and if one did not feel like participating, one was given the right to withdraw at any given time.

The interests of the respondents always prevailed, as some decided to withdraw without any prejudice. The researcher did not make use of any recording tools to have the information stored, even after conducting the study.

1.10 Outline of the chapters

Chapter One – Introduction and general background

This chapter was used to introduce the study with its background, objectives of the study, problem statement, the research questions, the literature review, permission to conduct study, delimitation of study, the ethical considerations and outline of the chapters.

Chapter Two –Literature review on the nature and place of performance monitoring and evaluation in local government

The chapter was used to review literature on the nature and place of performance monitoring and evaluation in the local government. This is where different views on the conceptual part of performance monitoring and evaluation were done.

A literature search of the available texts consisted of the relevant books, journals, legislative framework, internet sources and other publications. This was done to identify the implementation challenges of performance monitoring and evaluation in the O R Tambo District Municipality. These sources were accessed in an attempt to find possible solutions and recommendations, in order to enable those in authority to employ suitable and applicable strategies for the municipality. It also entailed the benefits, challenges and determinants of performance monitoring and evaluation in municipalities.

Chapter Three –Legislative framework and theories of performance monitoring and evaluation in municipalities

The chapter was used to provide legislative and theoretical framework within which the implementation challenges of monitoring and evaluation in municipal government and administration were analysed and evaluated. The researcher identified legislation governing the implementation of performance monitoring and evaluation in municipalities. Theories of performance monitoring and evaluation were selected and explained.

Chapter Four –Research design and methodology

The researcher explains the design and methodology followed in conducting the study. This is where the researcher also explained the instruments, sources and methods used to collect data.

Chapter Five – Date analysis and interpretation

This chapter serves to analyse and interpret data which had been collected from the respondents.

Chapter Six–Findings, Recommendations and Conclusion

After having analysed the data, findings were outlined. Based on the findings of the study, some recommendations were made regarding the implementation challenges of performance monitoring and evaluation in the ORTDM.

1.11 Conclusion

The implementation challenges of performance monitoring and evaluation in the O R Tambo District Municipality was introduced as the topic to investigate. Monitoring and evaluation were introduced as policy imperatives that municipalities, throughout South Africa, including O R Tambo, should implement to attain service delivery as envisaged in the municipal strategic document, IDP and SDBIP. However, it was also noted in the problem statement and study objectives that performance monitoring and evaluation are policy directives designed for all municipalities without necessarily considering contextual factors. It therefore means that challenges that might be faced would require a differentiated approach. Delimitation of O R Tambo District Municipality was done in order to understand the confines of the study both theoretically and physically. It is also worth mentioning that the chapter also introduced ethical considerations as one of the important requirements of the social research, with all its elements outlined. In fact, design and methodology as a fundamental requirement in any research was introduced, in order to understand that success of research is based on methodology. There was also an outline of the chapters such that the researcher would know the frame of the research study. It is so vital to understand that research can be effectively conducted only through undergoing literature review, which forms part of the following chapter.

CHAPTER TWO

LITERATURE REVIEW ON THE NATURE AND PLACE OF PERFORMANCE MONITORING AND EVALUATION IN LOCAL GOVERNMENT

2.1 Introduction

This chapter focuses on the overview of performance monitoring and evaluation, in order to acquire a better understanding of the concept, and further have an insight into the determinants, benefits, challenges facing evaluators, legislative framework and theories or models from which the implementation of performance monitoring and evaluation are derived. These theories are commonly used in the field of Public Administration.

Generally, the public sector employees are expected by the community or beneficiaries to produce high quality services. This necessitates the development of a tool to monitor and evaluate performance. It is therefore against this backdrop that performance measurement and management systems have since been adopted across the whole public sector.

Flynn (2007:125) writes that performance monitoring and evaluation help the organisation to be able give an account of the actions of an individual and its overall performance. In this instance, it implies that the municipality, through implementation of performance monitoring and evaluation could be able to enhance accountability in a transparent manner.It is therefore worth stating that the following discussion gives some understanding of performance monitoring and evaluation.

2.2 Conceptual framework of performance monitoring and evaluation

According to *Local Government: Municipal Planning and performance Management Regulations,* 2001*,* a performance-management system entails a framework that describes and represents how the municipality's cycle and processes of performance planning, monitoring, reviewing, reporting and improvement are to be conducted, organised and managed, including determining the roles of different role-players. It is

clear that performance monitoring and evaluation can be effectively implemented where there is an adopted system of performance management. Kusak and Rist (2001:14) acknowledge that developing countries face an enormous challenge to improve the performance of their public sectors, and are thereby embarking on designing and constructing performance-based monitoring and evaluation (M&E) systems. This is done, in order to be able to track work that is either done or not done by governments. In this instance, ORTDM is also obliged to have this system adopted, in order to bolster service delivery attempts to improve the lives of the citizens.

According to Busieka (2012:34), the South African government introduced the Ministry of Performance Monitoring and Evaluation, in order to improve the performance of all organs and departments in all spheres of government – with municipalities included. Service delivery should be "outcomes-oriented", as this innovative intervention of the introduction of the Ministry mentioned above is as a result of the growing concern over a serious deficit in service delivery.

The municipalities are, as the closest sphere of governance to the community, duty-bound to address all the service-delivery related issues, including the human capital. Busieka (2012:35) argues that in the European Union, monitoring and evaluation have become major political and economic issues of the day. This means that politicians have a concern with how budget is spent on service delivery. It also implies that politicians, as representatives of their constituencies, need to be responsible and accountable. Accountability requires proper monitoring and evaluation to be implemented by the officials. Transparency and accountability remain key elements in implementing performance monitoring and evaluation.

The ORTDM, like any other municipality, is expected to have monitoring and evaluation of performance implemented. It is well known that there are challenges associated with every process, especially the administrative systems. The implementation of performance monitoring and evaluation, if properly managed, could bring quality control to the municipality.

Instilling the culture of monitoring and performance means that government is moving away from rhetoric – and endless debates about service delivery – to effective implementation and decisive action. Despite experiencing challenges, performance monitoring and evaluation also attempt to hold public office bearers and public service employees accountable (http://www.info.gov.za).

Kusak and Rist (2001:14) raise the argument that governments across the world have been, for the past two decades, confronted by demands from their citizens to be accountable, transparent and to provide more efficient and effective services. The demand is in line with the objects of local government, as set out in section 152 of the *Constitution of the Republic of South Africa*,1996, where it is stipulated that the "municipality is expected to provide accountable, responsive and democratic government".

The scenario necessitates the government institutions, including municipalities, to pay attention to the needs of the citizens by addressing challenges through effective utilisation of the available resources. These challenges begin with the limited resources, which include acute skills shortages, especially those related to the supply of basic services that require artisans. For example, technical engineers responsible for designing roads and buildings for social services are those referred to as scarce skills. The ORTDM cannot be taken as an exception to the prevailing argument, as it exists in the same environment as other institutions.

2.2.1 Performance management-system as a tool to monitor and evaluate performance

Spencer and Spencer (1993:264-265) write that a performance-management system is the process of continuously monitoring the performance of an organisation through enhancing good working relations between the managers and subordinates. Quality of performance is attained by engaging in the following activities:

- Planned Performance: The manager is expected to clearly define job responsibilities, and outline the expectations that embody set goals or objectives for a particular performance period. For example, the municipal

Integrated Development Plan should have clearly aligned objectives and budget. This means that all “what and how” questions are addressed.

- Coach or Manage: Throughout the performance period, the manager should tirelessly give support to the staff, and implement skills-development programmes at all levels of the employees.
- Appraise Performance: This requires the manager to set periodic performance reviews,so that every employee knows the timelines for every programme or project. For example, the municipality management knows that reviews are done on a quarterly basis – with the intention of employing new techniques where gaps have been identified (Spencer and Spencer, 2001: 14).

Adams in Aguinis (2009:29) writes that, in theory, the performance-review process can be thought of as a positive interaction between a “coach” and an employee, working together to achieve best performance. Performance-management systems usually include measures of both behaviours (what an employee does) and results(the outcomes of an employee’s behaviour). Performance is about behaviour, or what employees do; it is not about what employees produce, or the outcomes of their work (Aguinis, 2009:78).

Aguinis (2009: 40) writes that performance management has a performance-execution stage that details the requirements of the managers or supervisors in the attainment of quality performance. These key competencies are identified as follows:

I. Observation and documentation: This means that managers must observe and document daily, and accurately manage the information of both good and poor performance. That includes an objective to continuously assess performance, in order to be able to know areas of development.
II. Updates: This involves reviewing, for example, the service delivery and budget-implementation plan (SDBIP) of the municipality. It normally happens after the mid-term assessment has been finalised, and areas of improvement have been identified.
III. Feedback: This is done to help the *appraisee* to understand where to effect corrections and improve performance. It needs to be regularly provided. For example, the municipal manager should always, after every quarter, issue the

results–in an attempt to stimulate the interest of the employees –and effectively implement the performance-management system.

IV. Resources: This element requires a supply of funding, and all other resources, as enablers of high performance. Encouragement of the employees must be done by the managers, in order to their boost morale.

V. Reinforcement: Poor performance factors must be detected as early as possible, in order to provide a remedy. Effective behaviours must be reinforced by acknowledging any outstanding performance of employees.

Craythorne (2006:120) writes that performance management is most commonly thought of as a technique applied to the performance of staff. While that may be true, performance management is a powerful tool that can be applied to the performance of an organisation, and thereby indirectly to the political figures who are responsible for that organisation. Thus, O R Tambo District Municipality should apply performance management as a tool to enhance performance of its staff and politicians to promote culture of accountability.

2.2.2 Role of performance measurement in monitoring and evaluation

Shaw, Schneier, Beatty and Baird (1995:3) referred to performance measurement and management as a tool for strategy execution. The argument is driven forward by stating that in many organisations performance measurement and management systems are little more than human resource bureaucracies with forms, rules and review layers. There is also a notion that these paper-driven systems are regarded as burdens to the managers, and in consequence, are taken to be done as options, or not at all. For example, if the municipality does not comply with this, it means that it prepares its plan to fail.

Bernardin and Russell (1993:379) define performance as the record of outcomes produced on a specified job function or activity during a specified time period. It is further explained that performance-appraisal information is used for various purposes which, amongst others, include compensation, performance improvement or management, feedback, and documentation. This means that managers or supervisors can use performance-appraisal information to manage other employees' performance, as appraisal data can reveal both strengths and weaknesses.

In performance management, employees are all expected to implement or actually do the work, as it is set out in the institutional goals and objectives. Aguinis (2009:40) argues that once the review cycle begins, the employee strives to produce the results and display the behaviours agreed upon earlier, as well as to work on the developmental needs.

For the process to be credible it must be owned by both the manager and the subordinate; and ownership of the process is regarded as the primary responsibility of the subordinate employee. The performance-execution stage should have built-in factors, such as the following:

- Commitment to goal achievement;
- On-going performance feedback and coaching;
- Communication with supervisors;
- Collecting and sharing performance data;
- Preparing for performance reviews (Aguinis, 2009:40).

Section 40 of the *Local Government: Municipal Systems Act* (Act 32 of 2000) prescribes that a municipality must establish mechanisms to monitor and review its performance-management systems. Cloete and de Coning (2011:263) write that monitoring comprises two complementary activities, namely: monitoring the implementation progress, and monitoring the attainment of results.

In fact, monitoring begins with planning; and up to the final stage, that includes the evaluation and termination of policy strategies, where possible. Furthermore, there is an assertion that Path analysis and Gantt charts are useful tools for monitoring progress and ensuring adherence to the project plan. For example, the municipal IDP incorporates all the strategic objectives that inform development through the implementation of projects. This means that monitoring really commences with planning, as one of the primary functions of the municipal management.

DBSA (2008:93) state that monitoring is the regular observation and recording of activities that are taking place. It is the process of routinely gathering data on all aspects of the theme: the objective, programme, project or processes involved in ensuring the achievement of the service delivery, as well as the budget-implementation plan (SDBIP) and IDP of the municipality. *The Government*

Municipal Planning and Performance-Management Regulations, 2001 states that a municipality must, after consultation with the local community, develop and implement mechanisms, systems and processes for the monitoring, measurement and review of performance in respect of the key performance indicators and performance targets set by it.

Fox, Schwella and Wissink (2000: 126) write that the process of evaluation means the systematic assessment of a programme for the purpose of improving policy and programme decisions; whereas Craythorne (2011: 201) writes that evaluation is equated to an assessment of the employee's performance in terms of the appraisal. The process is constituted of different stages that include determining decision-makers' needs, design, implementation, reporting, and dissemination.

Howlett, Ramesh and Perl (2009:178) write that the concept of policy evaluation refers to the stage of policy process at which it is determined how a public policy has actually fared in action. It involves an evaluation of the means being employed and the objectives being served. Evaluation may be conducted either by internal or external evaluators; and internal evaluators may be institutionalised in either centralised or decentralised units (Cloete and de Coning, 2011:209).

Lombardi (in Kessler, 2008:47) writes that most managers realise the team of employees would only be more successful when working extremely hard and sacrifice to reach the goal. Therefore, it is required to fully understand the rules of the game – even during the change period. This means that there is a need to be always prepared for developments that would have a remarkable new performance management system which would be characterised by continuous monitoring and evaluation.

Guerra-Lopez (2007:6) writes that evaluation entails the following elements:

- It compares the results with the expectations.
- It finds drivers and barriers to the expected performance.
- It produces action plans for improving the programmes and solutions being evaluated, so that the expected performance is achieved or maintained, and organisational objectives and contributions can be realised.

According to SALGA (2006:99), performance management is not just an organisational tool for measuring the performance and delivery of services of the municipality, but it also has an important individual component. Each municipal employee has an obligation to perform, and as such, must have a performance contract that holds him/her accountable to the employer for delivery against key performance indicators (KPIs) that are contained in the performance-management contract. Each municipality is legally obliged to have a performance-management system (PMS), in order to be able to monitor and evaluate its enhanced, efficient and effective performance. The PMS also acts as an early-warning mechanism, as it reflects any non-performance or underperformance, thus allowing for relevant intervention for improvement.

Van der Waldt (2007:111) writes that if one cannot define performance, one cannot measure or manage it. Performance is reflected as a multi-dimensional construct, the measurement of which varies depending on a variety of factors that comprise it. Van der Waldt (2007:111) defines performance as the outcome of work, as this provides the strongest linkage to the strategic goals of the institution, customer satisfaction and economic contributions.

This argument is taken further by Van der Waldt (2004:34) through indicating that performance is about the efficiency relationship between inputs and outputs; the reduction of inputs or the cost of inputs; the following of due process and equity; and the relationship among the inputs, outputs and outcomes.

In the municipal environment context, performance management can be viewed as encompassing the total institutional performance. The municipality can master its performance-management issues, when consideration of all the contextual factors, systems, procedures and the individual capabilities of the officials are recognised. This means that a need to establish structures, allocate resources and create enabling environment is crucial for the implementation of performance monitoring and evaluation (Van der Waldt, 2007:111).

Stewart and Stoker (1989: 176) write that performance monitoring and evaluation consist of a set of government-performance indicators that are verified by a series of

evaluations of the government's public policies. Steward and Stoker further suggest that performance monitoring is required, in order to ensure that quality services are provided – whether the work has been outsourced, or done in-house. It is, therefore, of high importance for the municipality to have performance monitoring and evaluation as ways to improve and secure the quality of the work performed.

De Bruijn (2007:7-8) writes that the central idea behind performance measurement is that of ensuring that the organisation's envisaged performance indicators are measured, together with the amount spent to carry out the tasks. The municipality, in this instance, is expected to have clear indicators with measurable targets. These must be in line with the strategic goals of the institution. Once the tasks are performed, the municipality should be able to have an indication that the envisaged performance has been achieved, and the costs can be stated.

There are a number of functions that are fulfilled by performance measurement in any organisation. Amongst those functions is the creation of transparency in the municipality, as required by the legislative framework guiding performance management in the local government sphere, the ability of an organisation to learn more from identified gaps, an appraisal of the performance of an individual, and that of an organisation, sanctioning for whatever performance results – in order to be able to sustain the organisation.

Venter and Landsberg (2006:148) write that performance management, as a system, is intended to maximise the use of resources (inputs), in order to achieve the maximum results (outputs). As a consequence, these could bring about a positive impact on a community, that is, outcomes. The argument raised in this study requires dedicated personnel of the municipality. This argument includes O R Tambo District Municipality as also required by the *Local Government: Municipal Finance management Act,* 2003 (Act 56 of 2003) like all the municipalities, that it uses the available resources efficiently, effectively and economically. By so doing, the municipality must have exercised expediency with the aim of achieving its objectives and the constitutional mandate of promoting the social and economic status of the communities.

The major challenge of government is to become effective. Monitoring involves collecting, analysing, and reporting the data on inputs, activities, and outputs, as well as external factors – in a way that supports effective management. It aims at providing managers, decision-makers and other stakeholders with regular feedback on progress in the implementation and the results as early indicators of any problems that need to be corrected.

Evaluation is a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision-making by staff, managers and policy-makers. Evaluations are mostly intended to assess the relevance, efficiency, effectiveness, impact and sustainability of the implementation processes.

Klingner and Nalbandian (2003:261) argue that performance management is one of the most important activities that each organisation should be busy with, instead of human-resource management. This indicates that performance monitoring and evaluation help to elevate the performance of both the individuals and the entire institution. This is done through having a clear-cut legislation that creates authority for the institution and its employees to conduct performance monitoring and evaluation. Performance monitoring and evaluation in local government are used as measures to fulfil the generic administrative functions of public administration.

It can be deduced that measuring of performance can help the municipality to be always ready with its plans on how performance data will be collected and analysed. This analysis makes it possible for the municipality to measure its performance against the planned goal of achievement. The researcher also discovered that the municipality can effectively work to improve its performance through adding an element of motivating employees with compensation for good performance. It is therefore, important to gather performance-appraisal information that will be utilised during the periodic performance reviews.

2.3 Utilising performance monitoring and evaluation as functions in the discipline of public administration

Performance monitoring and evaluation in the Public Administration discipline are used as tools to control the activities of an organisation. This helps to increase the rate by which service delivery is rendered to the communities. Parsons (1995:548) writes that the development of performance evaluation must be understood in the context of the need to control public finances and the attainment of higher levels of value for money, efficiency and effectiveness. This means that the municipality that implements performance evaluation has a system of financial control and is able to measure value for money.

Hanekom, Roland and Bain (1987: 18) agree that Planning, Organising, Staffing, Directing, Coordinating, Reporting and Budgeting (POSDCORB), plays a vital role in ensuring that generic administrative functions have an influence in the implementation of performance monitoring and evaluation. This means that planning as a function, is an integral part of monitoring and evaluation. In essence, monitoring and evaluation are first planned, and then implemented. It can be deduced that an institution that plans its systems is likely to successfully implement its programmes. The municipality, in this instance, takes into consideration its IDP strategies and Serve Delivery and Budget Implementation Plan (SDBIP) indicators, in order to achieve the predetermined objectives. POSDCORB functions prove that the municipality, in order to effectively implement monitoring and evaluation, is required to adopt proper systems. This means that service delivery can be accelerated and the lives of the citizens be uplifted.

2.4 The performance-management process

Bovaird and Loffler (2004:132) argue that performance management can be broadly defined as acting on performance information. Some of the important performance functions in the public sector management-policy cycle are financial management and accountability.

Aguinis (2009:31) writes that there are two important prerequisites to be taken into consideration, in order to have a performance-management system properly implemented. These considerations are knowledge of the organisation's mission and strategic goals, and knowledge of the job in question. Practically, this means that all the municipal employees should be able to deliver, according to the strategic direction of the institution when they understand its mission and vision.

Despite that, there is a critical interplay between mission and vision and strategic planning. On the other hand, understanding the job in question means that the organisation should ensure that job analysis is done, in order to be able to know what to do to successfully implement the predetermined objectives of the institution. It becomes imperative that there be a carefully designed performance process that has proper planning, execution, monitoring and evaluation.

2.4.1 Performance planning

Performance planning is important in every institution, as it provides knowledge of the performance-management system. This means that the municipality should plan how to achieve its intended objectives, as reflected in its strategic document called IDP. What needs to be done should be agreed on at the beginning of the performance cycle – with consideration of both the results and behaviour of the employees, as well as the particular developmental plan for each individual (Aguinis, 2009:38).

The institution's management should have a thorough planning that considers inputs, activities, outputs, outcomes and impacts, as being of cardinal importance to the challenges of performance monitoring and evaluation. It becomes clear that an institution that neglects the availability of resources to enhance performance would not be able to easily attain the set objectives derived from vision and mission (DBSA, 2008: 70). It can be deduced that the end-results of all the planned municipal activities with clear targets and indictors can help in the process of performance monitoring and evaluation. This means that O R Tambo District Municipality should strengthen planning as an important tool to monitor and evaluate its performance.

2.4.2 Performance execution

Aguinis (2009: 40) writes that performance management has a performance-execution stage that lists the requirements of the managers or supervisors in an effort to attain quality performance. During the execution stage, the managers are expected to seriously consider the following. These key competencies are identified as follows:

- Observation and documentation: This means that managers must observe and document on a daily basis, and accurately manage the information, so that both good and poor performance is noted. That is an objective continuous assessment, in order to be able to know areas of development and draw upon the personal growth development of the employees.
- Updates: This involves reviewing, for example, the service delivery and budget implementation plan (SDBIP) of the municipality. It normally happens after the mid-term assessment has been finalised and areas of improvement have been identified.
- Feedback: This is done to help the appraisee to understand where to effect corrections and how to improve performance; and it should be regularly provided. For example, the municipal manager should always, after every quarter, issue the results – in an attempt to stimulate the interest of the employees – and to implement the development factor of the performance-management system.
- Resources: This element requires a supply of funding and all other resources as enablers for high performance. The encouragement of employees must be done by the managers, in order to boost their morale.
- Reinforcement: Poor performance factors must be detected as early as possible, in order to provide remedial measures. Effective behaviours must be reinforced by acknowledging any outstanding performance of employees.

2.4.3 Performance monitoring

Development Bank of South Africa (2008:93) states that monitoring is the regular observation and recording of activities that are taking place. It is the process of routinely gathering data on all aspects of the theme, objective, programme, project or processes involved in ensuring the achievement of the service delivery and budget-implementation plan (SDBIP) and IDP of the municipality.

Kusak and Rist (2001:16) write that performance monitoring is periodically measuring progress towards explicit short, intermediate, and long-term results. Monitoring provides feedback on the progress made to decision-makers, who can use the information in various ways to improve performance. It is also indicated that monitoring involves measurement, in order to understand the progress towards achieving an objective or goal. It can be deduced that regular recording and periodic measurement of performance in the ensuing programmes and projects of the municipality can be of significant importance in ensuring that performance monitoring and evaluation are implemented. Therefore, service delivery protests can be reduced.

2.4.4 Performance evaluation

Performance evaluation happens at different times, for ensuring how the objectives of the municipality are being executed, or what has been achieved. This means that it happens prior to the actual implementation – both during and after performance.
Kusak and Rist (2001: 21) write that champions in government are critical to the success and stability of the monitoring and evaluation system. It is also important that municipalities – as the closest sphere to the people in need of service delivery – should also have champions to implement monitoring and evaluation.

Babbie and Mouton (2010:340) write four types of evaluation as follows:

- Evaluation of need
- Evaluation of process
- Evaluation of outcome

- Evaluation of efficiency

The above indicates that evaluation is done for various purposes, and should be preceded by a need, which in turn, requires a particular process to be followed. Having followed a process, an outcome should emerge; and the institution would want to find out whether the intended outcome was efficiently achieved.

Fox, Schwella and Wissink (2000: 126) write that the process of evaluation means the systematic assessment of a programme for the purpose of improving policy and programme decisions; whereas Craythorne (2011: 201) write that evaluation is equated to an assessment of the employee's performance in terms of the appraisal. The process is constituted by different stages that include determining decision-makers' needs, design, implementation, reporting, and dissemination.

Bekink (2006:490) writes that monitoring, as a management tool, is the observation or verification of project activities – in an attempt to ensure that implementation is according to the plan. This verification also takes into account the efficient and effective use of resources. Evaluation results from the monitoring processes and procedures.

Guidelines to Principles, Procedures and Working Methods (2003:11) reflect the differences between monitoring and evaluation, as depicted below.

FIGURE 1: DIFFERENCE BETWEEN MONITORING AND EVALUATION

MONITORING	**EVALUATION**
Continuous or periodic	Episodic, ad hoc
Programme objectives taken as given	Programme objectives assessed in relation to higher level goals or to the development problem to be solved
Predefined indicators of progress assumed to be appropriate	Validity and relevance of pre-defined indicators open to question
Tracks of progress against small numbers of predefined indicators	Deals with a wide range of issues

Focus of intended results	Identifies both unintended and intended results
Quantitative methods	Qualitative and quantitative methods
Data routinely collected	Multiple sources of data
Does not answer causal questions	Provides answers to causal questions
Usually an internal management function	Often done by external evaluators and often initiated by external agents

Sourced from: Tsatsire (2008)

The above figure indicates that, despite the identified distinctive features of monitoring and evaluation, there is a complementary element. For example, monitoring focuses on the predetermined goals and predefined indicators as appropriate, while evaluation deals with validity and relevance of predefined indicators open to questions. This infers that the two concepts deal with performance, but monitoring starts with the planning of the output indicators, and evaluation is required at a certain stage when the municipality checks whether the programme is on track, with a consideration to review where necessary. It can be deduced that the municipality cannot properly deliver services without the utilisation of performance monitoring and evaluation.

2.4.4.1 Reasons for performance monitoring and evaluation

The Presidency (2011:6) put in words its vision as that of striving for continuous improvement of service delivery through performance monitoring and evaluation. This vision clearly suggests that the Presidency has identified the challenge of inadequate services rendered to the citizenry, hence the development of such a succinct vision. There is a need to have this vision implemented – both vertically and horizontally – in all the institutions of government, including non-governmental organisations and private sector companies. It is also imperative to understand how this vision needs to be implemented when using the stated mission of the Presidency.

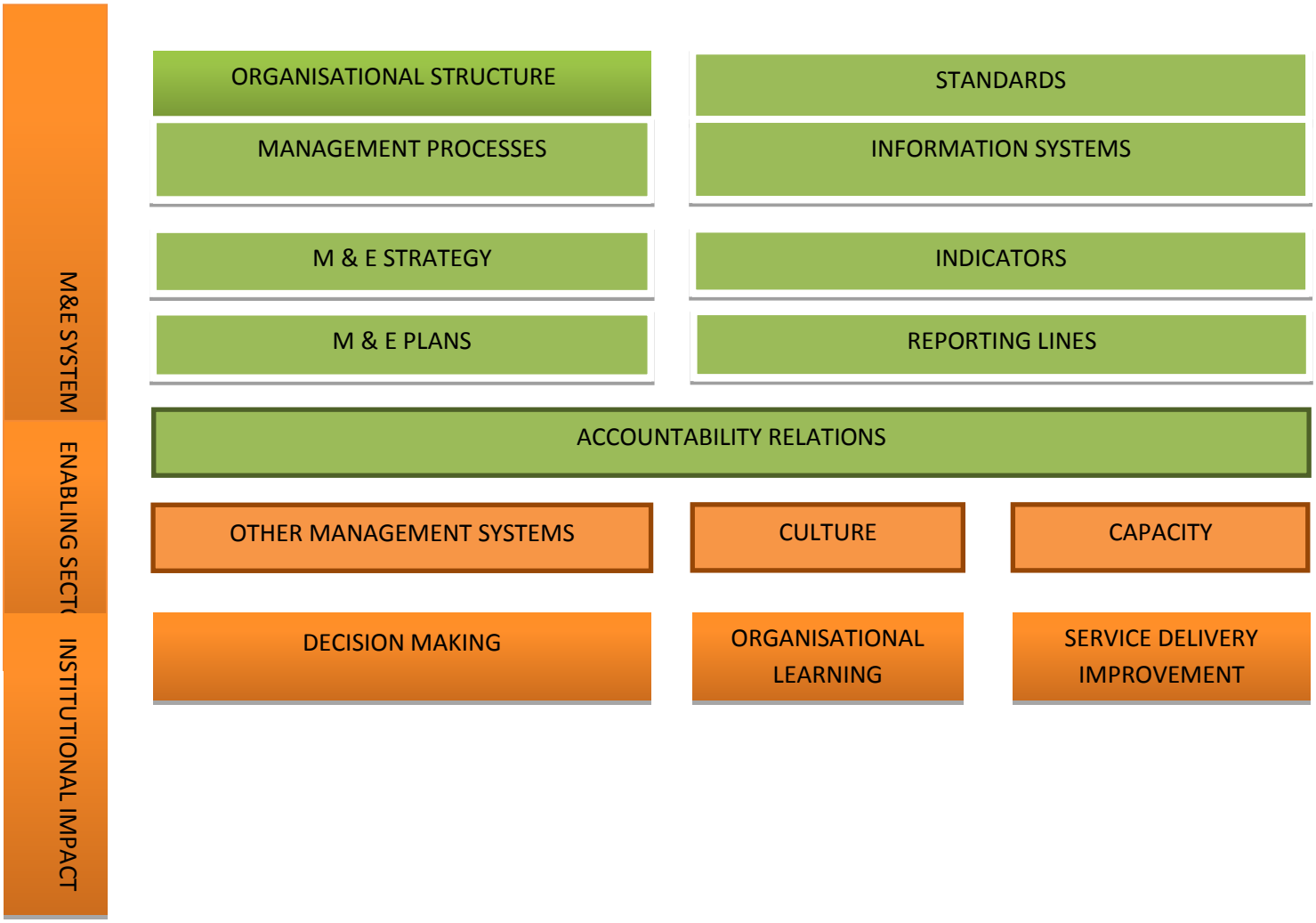
The mission statement stipulates that the department of Monitoring and Evaluation should work with partners to improve government performance in achieving the desired outcomes and improve service delivery through changing the way government works. It is important to note that this mission could be achieved through coherent priority setting, robust monitoring and evaluation related to the achievement of outcomes, institutional performance monitoring, the monitoring of frontline service delivery, and supporting change and transformation through innovative and appropriate solutions and interventions. This suggests that, ORTDM should have its own vision and mission – depicting how service delivery should be improved through the monitoring and evaluation of the systematic processes adopted by the council.

Cloete, Wissink and de Coning (2006:248) write reasons for the evaluation of policy as normally undertaken to measure progress towards the achievement of policy objectives. In the case of performance, this should be to assess whether set targets and indicators are likely to be achieved. There is also an attempt to find out whether there are any lessons learnt during the implementation of programmes and projects, in order to prepare for future reviews, redesigning and implementation strategies. It is vital to understand that the feasibility of an assumption, principle, model or theory and strategy is tested. As the municipality is a public institution, it is worth stating that evaluation is also done to provide political or financial accountability – with much better advocacy of the cause of existence of the institution, and further marketing thereof to the public.

According to Mmemezi (2011:4), accountability has become the cornerstone of clean, open and transparent governance in the modern age. It is against this notion that the Department of Local Government has introduced the Municipal Public Accounts Committee (MPAC) to play an oversight role in monitoring and evaluating the performance of the municipality. This is mostly done through visiting projects for verification purposes and for the functionality thereof. Both political and administrative actions are verified through this committee. Community trust on government representatives is restored and maintained by this progressive governance displayed by the department.

Flynn (2007:125-127) writes that public sector organisations, including municipalities, are accountable to the public. The argument is based on the reality that the citizens are interested and concerned about money that has been spent to deliver services. It is within to know whether the money was utilised in accordance with the agreed-upon procedures. It is also important that the public is made aware of efficiency in the utilisation of resources and the achievement of the intended results. It is also argued that decisions made by the politicians should be accounted for. This accountability could be depicted in the diagram underneath:

DIAGRAM 1: DIAGRAM SHOWING ACCOUNTABILITY PROCESSES IN PUBLIC INSTITUTIONS



Source – AFReC:

The above diagram also indicates that monitoring and evaluation are integral parts of the Keystone methodology for achieving the intended project results. Kulikova

(2007:1) writes that project outputs and results will be monitored and contrasted against performance-based indicators. There is also a view that performance monitoring and evaluation plans help to guide procedures, information collection and maintenance, analysis, and the generating of monitoring and evaluation reports.

The argument is further taken forward by an indication that monitoring and evaluation inculcate participatory methodology, as the stakeholders are encouraged to work together in an effort to improve the services rendered. The diagram also indicates the improvement of accountability relations that depend on how decision-making is collectively done for the benefit of the communities. This – as well an approach that could assist the municipality to have its rate of rendering services improved.

The saying that "if it does not get measured, it does not get done," is repeatedly advanced by most of the proponents of performance monitoring and evaluation. The analogy of the monitoring of the Egyptian grain produce over 5 000 years ago proves that monitoring is really necessary for everything that is to bear a credible quality outcome. It is against this argument that governments globally, are advised to understand the bottom-line of monitoring and evaluation as the improvement of service delivery (http://www.info.gov.za).

Performance monitoring and evaluation systems are required to promote good governance. This means that where there is implementation of performance monitoring and an evaluation system, policy measures, efficiency, effectiveness, transparency and accountability are attained. The assertion seeks to emphasise that where performance monitoring and evaluation are being properly implemented, good governance is realised, and service delivery is accelerated. Decision-making, and above all, sound financial controls are experienced (http://www.gov.za).

It can be deduced that the municipality that uses performance monitoring and evaluation can realise good governance that has a potential to cause an improvement of service delivery. A municipality that monitors and evaluates its performance can be able to timeously review the implementation of programmes and, further take a new shape towards the rendering of service delivery. Political and

financial accountability can as well be provided in the environment where performance monitoring and evaluation are implemented.

2.4.4.2 The benefits of evaluation

Cloete *et al*., (2006:248) write that the practical benefits of evaluation are those of providing a precise assessment of the nature and extent of the impacts that can be expected, and hence could help those with the responsibility to craft the strategy of the institution.

Guerra-Lopez (2008:24) writes that different situations or conditions require different resources, in order for evaluation to be conducted. This does not only refer to the availability of human resources as the municipality requires them, but also to financial resources in the form of costing. However, the benefits of evaluation outweigh those costs. Evident to the argument is the reflection on the following benefits of evaluation to be included in a business case.
Programme improvement, solutions to problems emanating from the implementation of projects, getting closer to the accomplishment of organisational goals and pursuance of the strategy. These are all done based on the relevant, reliable and valid data collected during evaluation. Decisions made based on these are justified, and can be accounted for to the political leadership and the communities, as the owners of development executed by the municipality. Designed plans and frameworks for evaluation help, as the premise for development and implementation thereof. Maximisation of resources can be realised, as evaluation gives correct direction towards the implementation of projects and programmes. All adjustments, either downward or upward, have a basis.

All evaluation-related documentation is produced to remain as evidence, either for the success or the failure of the institution to perform specific tasks allocated to the institution. For example, the municipality is expected, according to the law, to provide social and economic services to the communities. These responsibilities are compiled into a single strategic document known as IDP, and implemented through service delivery and the budget-implementation plan (SDBIP) with clear and measurable indicators and targets.

Section 46 of the *Local Government: Municipal Systems Act,* 2000 (Act 32 of 2000) requires the municipality to produce an in-year monitoring report, which is based on the implementation of performance monitoring and evaluation. This is what is called the annual report. It requires evaluation by the internal structures and external structures, including the Auditor General, as authorised by section 188 of the *Constitution of the Republic of South Africa,* 1996.

It is also worth stating that credible plans and reports can be used to disseminate and market the successes to the internal and external partners, such as current and prospective customers. This also serves to attract potential investors.

2.4.4.3 Challenges that evaluators face

Guerra-Lopez (2008:22) writes that the lack of resources is the most commonly used excuse for the non-implementation of evaluation. This assertion is augmented by the fact that more resources could be utilised in blindly and indefinitely maintaining the programme, than could be used in conducting a proper evaluation. This means that the institutions downplay the exercise of evaluation by emphasising the costs, instead of the benefits.

The above argument is taken further by identifying the lack of personnel with expertise to implement the findings of evaluation. Limited expertise is also identified as one of the barriers in implementing performance monitoring and evaluation, as the municipality may have only a few, or none of its employees, that are empowered with any understanding of the evaluation benefits. Poor planning for evaluation may be a disastrous challenge to the institution. All efforts towards implementation may be thwarted by poor evaluation direction of design, findings and recommendations.
Guerra-Lopez, (2008:20) reveal that lack of key stakeholder and consumer involvement, together with a complete lack of leadership support results in the non-conducting of evaluation.

Bovaird and Loffler (2004:133) write that the lack of interest of politicians and/or citizens adversely impact on the implementation of performance monitoring and evaluation. It is always inferred that the performance management solely relies on the initiatives of administration. There is also an assertion that politicians would

frustrate the process through their concerted efforts to tailor-make performance indicators in which they have a dominant interest. This suggests that the ORTDM should have the political will to involve communities in all the efforts of development.

Section 41 of the *Local Government: Municipal Systems Act,*2000 (Act 32 of 2000) requires the municipality to set appropriate key performance indicators as yardsticks for the measuring of performance, including outcomes and impact, with regard to the municipality's development priorities and objectives set out in its integrated plan. Guerra-Lopez (2008:21) states that fear and cynicism are not only supported by the poor evaluations, but also by any past efforts to use evaluation as a means of control and intimidation. It is common to find the municipalities regarding these evaluations as a threat to the managers responsible for various sections; hence, denial and disbelief in the instances where evaluations are conducted.

There is almost a fear of owning the inadequacies of programmes, organisations and human competence. The municipality should be aware of the fact that, according to sections 56 and 57, managers are responsible for the cascading of performance management as a tool to monitor performance of the whole institution. However, if the process is not owned by them, it means that the municipality would have to bear the consequences of poor service delivery.

These challenges are further shown by lack of understanding or low awareness of the benefits of performance monitoring and evaluation among the stakeholders. This means that the stakeholders of the municipality must be made aware of all the benefits of performance monitoring and evaluation, in order to instil enthusiasm to implement it for better results to be produced. The proposal refers to the involvement of the communities, particularly ward committees and community development workers. These are the stakeholders that have an influence on the municipality and communities.

Understanding of the organisation, programme, department, function, employee, and resource must be ultimately aligned with positive results and consequences for society (Guerra-Lopez, 2008:21). This argument is emphasised by the assertion that what is being used, done, produced and delivered must add value to the society, and

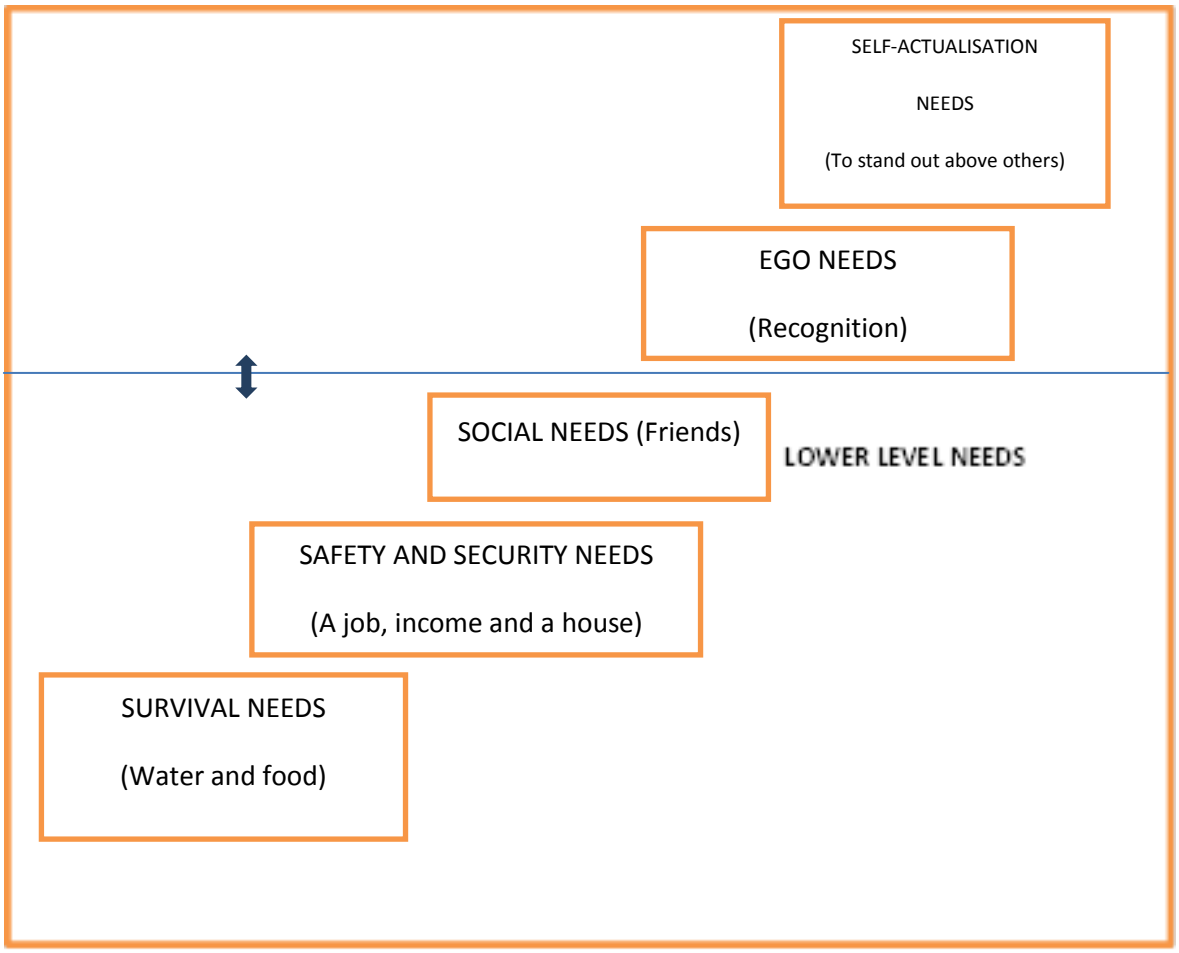
if it does not, it is contra-indicated. It can be deduced that non-planning of evaluation periods with clearly designed outcomes may hinder the municipality from proper evaluating the programme of projects. That could deter the municipality from attaining its predetermined goals. For instance, the municipality should use the quarterly reviews and half-yearly reviews as relevant for evaluation of financial and human utilisation. O R Tambo District Municipality should plan evaluation from the beginning of the financial year, in order to be able to achieve both its intended and unintended outcomes. This means that the municipality should extensively capacitate its employees to meet the expectations of the communities.

2.4.4.4 Addressing challenges in performance monitoring and evaluation

A monitoring and evaluation system should be regarded as crucial for the survival of the municipality, and in order to have it fixed would require:

- Undertrained staff and understaffed sections: The municipality required to have staff trained in the modern data collection, monitoring methods, and analysis. It could also be of high value for the institution to have designated employees specifically for the performance-monitoring and evaluation unit.
- Underfunded units: This refers to a budgeting exercise that is in line with the predetermined goals and objectives of the institution.
- Unmotivated staff: The municipality should strive to have its staff always motivated, in order to be able to produce according to the expectations. Demotivated staff could negatively impact on the improvement of the lives of the citizens. This means that the municipal management should have Maslow's hierarchy of needs theory recognised and practically implemented. The following is the hierarchy of needs that depicts the importance of providing the employees with all the necessary resources for the improvement of productivity of the institution that would ultimately spill over to better lives of the citizens (http://www.info.gov.za).

DIAGRAM 2: DIAGRAM REFLECTING THE IMPORTANCE MOTIVATION IN MONITORING AND EVALUATION



Maslow's hierarchy of needs (adapted from Dessler, 1985)

Du Toit and Van der Waldt (1997:23) write that Maslow's hierarchy of needs acknowledges the primary needs as those at the bottom, which means water and food. However, it is argued that the higher the level needs, namely the need for self-actualisation, and to distinguish oneself from others and to perform better than they do, are priorities. This means that the municipality should satisfy the basic needs of the employees, in order for them to better perform in delivering services to the citizens.

For example, those employees whose jobs are not secure may perform dismally compared with those who have their jobs guaranteed. This really demonstrates that motivation plays an important role in the improvement of service delivery.

- Reporting Standard: The municipality should use one standard of reporting instead of a number of different methods.
- Strengthening verification: discrepancies between the numbers on paper and the real numbers should be dealt with, in order to have accurate information (http://www.info.gov.za).

Thus, the municipality should prioritise training and development of its employees, in order to realise good governance that is qualified by desirable or excellent performance in delivery of services to the citizens. It can also be deduced that O R Tambo District Municipality needs to motivate the employees through introducing the incentives at all levels, and avoid giving a priority to Section 56 managers only.

2.5 Performance determinants

Aguinis (2009:78-80) writes that there are causal factors to a particular level of performance of an employee, and this author acknowledges that some employees perform better than others based on a combination of reasons. These factors include declarative knowledge, procedural knowledge and motivation.

Aguinis (2009:79) writes that "declarative knowledge" is the information about facts and things, including information regarding a given task's requirements, labels, principles and goals; while "procedural knowledge refers to a combination of knowing what to do and how to do it with the inclusion of cognitive, physical, perceptual, motor, and interpersonal skills.

It can be deduced that the municipality must have employees with deeper understanding of the implementation of performance and evaluation, which is obtained through undergoing training courses as part of skills development. Once that declarative knowledge is acquired, there should be a concerted effort of inculcating understanding of procedures to enable the employees to procedurally implement performance monitoring and evaluation. Performance can be determined by motivation in the workplace, which means that the municipality, that is both administration and political office bearers, have a duty to motivate the employees.

2.5.1 Implications for addressing performance

Aguinis (2009:80) writes that performance is affected by the combined effect of the three different factors. These include declarative knowledge, procedural knowledge and motivation, or some combination of these three factors. This has implications for addressing performance problems. It is so important that a manager responsible in a particular department or section thoroughly understands what causes an employee to underperform. This could help the institution to save its resources, as the manager would not assume that an employee lacks declarative knowledge.
A performance-management system should therefore be designed in such a way that the information is not only intended to measure performance, but also to provide information on the source of any performance deficiencies.

It can be deduced that the management of a municipality should first understand different factors that affect performance of the employees, in order to be able to identify factors causing poor performance. For poor performance to be addressed, the municipality should employ qualified managers with a deep insight of the problems around underperformance and implications thereof.

2.5.2 Factors influencing determinants of performance

Aguinis (2009:80) writes the factors that determine performance. These are affected by the employee's abilities and previous experiences, human resource practices, and the work environment. The fact that some companies or institutions have more on-the-job training opportunities compared with others, influences the understanding of performance-inherent principles and declarative knowledge. This argument requires ORTDM to have its employees exposed in terms of declarative knowledge, in order for them to remain competitive. In this instance, declarative knowledge is not likely to be a problem.

With regard to procedural knowledge, employees may have the knowledge to perform certain tasks, while a lack of skill may deter them to practically perform. Motivation deterrents may sometimes result from the new public management

concepts of downsizing, rightsizing, redeployment and restructuring interventions. All these may be done to avoid spending on the bloated structure of an organisation (Aguinis, 2009:81).

Thus, the municipality should know that performance of the employees can be influenced by the previous experience, abilities, human resource practices and work environment. It means that these factors should be considered in the implementation of performance monitoring and evaluation.

2.6 Conclusion

Performance monitoring and evaluation systems help the institution to provide authentic, credible and trustworthy information that would impact on the improvement of service delivery trends. The ORTDM in this instance could learn to provide the information to the community and explain how relevant it is in the improvement of their lives.

However, it should be understood that performance-monitoring and evaluation in the developing countries, such as South Africa, involve a system confronted with many challenges or obstacles. These challenges mostly vary from institution to institution (Kusak and Rist, 2001:14). This means that municipalities have unique challenges, which need various approaches designed for them.

Despite the identifiable obstacles, which range from lack of skill capacity to poor governance structures and systems that are far from transparent, it is also important to note that each municipality has an obligation to improve service delivery through this important system of performance monitoring and evaluation. The distinctive character of monitoring and evaluation should be acknowledged as a system that serves as being complementary to one another. Hence, there should be an emphasis on the importance of the implementation of performance monitoring and evaluation in the public-sector institutions. Performance monitoring and evaluation can also be explained through giving legislative framework and theories as is done underneath.

CHAPTER THREE
LEGISLATIVE FRAMEWORK AND THEORIES OF PERFORMANCE MONITORING AND EVALUATION

3.1 Introduction

The previous chapter focused on literature review on the nature, and the place of performance monitoring and evaluation in local government, specifically trying to have a look at the reasons for implementing performance monitoring and evaluation, and the challenges with which the ORTDM is confronted. This chapter deals with statutory and regulatory requirements as well as theories of performance monitoring and evaluation in municipalities. As the heading suggests, it is worth stating that the chapter gives attention to the legislation that governs the implementation of performance monitoring and evaluation in the municipalities. It means that O R Tambo District Municipality is obliged to follow certain pieces of legislation to effectively implement performance monitoring and evaluation in order to achieve the mandate of local government as set out in the *Constitution of the Republic of South Africa*, 1996. The chapter also pays attention to the theories of Public Administration as a discipline, which are regarded as the basis upon which the implementation of performance monitoring and evaluation can be done.

3.2. Statutory and regulatory requirements for performance monitoring and evaluation in municipalities

From the outset, the development of draft legislation was premised on a few Constitutional imperatives. The first imperative was that the three spheres of government are distinctive, interdependent and interrelated. Secondly, all spheres have an obligation to individually and collectively, secure the wellbeing of the people, and to provide effective, transparent, accountable and coherent government. Furthermore, all spheres need to co-operate with one another, by assisting and supporting one another and co-ordinating their actions accordingly. Moreover, there have to be basic values and principles that should govern public administration. Legislation regulating public administration may differentiate between different sectors, administrations or institutions (Service Delivery Review, 2010).

Section 152 of the *Constitution of the Republic of South Africa,* 1996, outlines the objectives of local government as fundamentally those of ensuring the provision of services in a sustainable manner, promoting social and economic development in a safe, democratic and healthy environment. This would include performance monitoring and evaluation, as prerequisites in order to realise service delivery.

Performance monitoring and evaluation help the municipality to be able to identify gaps in the implementation of the predetermined objectives of the municipality. The provision of services in an accountable, transparent and democratic manner would show that government has an obligation to deliver services in a user-friendly environment that allows the beneficiaries to know what is due to them. Performance monitoring and evaluation remain the key vehicles to achieve the mandate set by the Constitution as the supreme law of the country.

Section 56 of the *Local Government: Municipal Structures Act,* 1998 (Act 117 of 1998)prescribes the functions and powers of the executive mayors wherein they are expected to monitor and evaluate all reports from the committees of the council and recommend to the council strategies, programmes and services to address priority needs through the integrated development plan. It is also stated that the executive mayor, in performing the duties of office, must evaluate progress against the key performance indicators, in order to improve the economy, efficiency and effectiveness of the municipality. This means that performance monitoring and evaluation are the obligation of all municipal arms, both administrative and political.

The *White Paper on Transforming Public Service,* 1997 which is commonly referred to as “Batho Pele” emphasises that the development of a service-oriented culture requires the active participation of the wider community, with constant feedback from the recipients, in an effort to encourage improvement where necessary. This White Paper links the implementation of performance monitoring and evaluation with the eight Batho Pele principles, in order to improve service delivery. These are: consultation, service standards, access, courtesy, information, openness (or transparency), redress, and value for money (Van der Waldt, 2007:113). The *White Paper on Transforming Public Service,* 1997 further suggests that public-private partnerships could help the municipality in delivering quality services.

Section B sub-section 3.2 of the *White Paper on Local Government,* 1998 states that performance management is critical to ensure that plans are being implemented with all the desired developmental outcomes considered to realise a positive impact. This could be achieved through adopting transparent, efficient and effective use of the available resources. The implementation of performance monitoring and evaluation could be executed by ensuring that the municipality develops and adopt its own key performance indicators that are normally reflected in its "Integrated Development Plan". These key performance indicators cover both efficiency measures and human-development indices.

The *White Paper on Local Government*, 1998, in sub section 3.2 further explicitly states that performance monitoring needs to be carefully designed, in order to accurately reflect efficiency, quality and value-for-money of municipal services. It, therefore, remains of cardinal importance that in an effort to deliver services, the municipality looks for cost-effective control measures and attaches quality to every service rendered to the people.

Section 38 of the *Local Government: Municipal Systems Act,* 2000 (Act 32 of 2000)states that a municipality must establish a performance-management system that is in line with the priorities, objectives, indicators and targets contained in its integrated development plan – together with political structures, political office bearers and councillors who promote a culture of performance management in its administration. It is further worth stating that a municipality must administer its affairs in an economical, effective, efficient and accountable manner, in order to have its service-delivery process implemented smoothly.

Section 40 of the *Local Government: Municipal Systems Act,* 2000 (Act 32 of 2000) states that a municipality must develop monitoring and review mechanisms, in order to accelerate the pace of the institutional performance. Once these mechanisms are in place, it becomes easy for the municipality to properly implement performance monitoring and evaluation.

Section 42 of the *Local Government: Municipal Systems Act,* 2000 (Act 32 of 2000) further states that a municipality must involve its community in the development, implementation and review of such a performance-management system through appropriate mechanisms, processes and procedures. This involvement is required to be meaningful – through allowing the community to participate in the setting of appropriate key performance indicators and performance targets. The ORTDM, like all other municipalities, is required to observe the prescripts of the law, in order to realise its objectives.

The municipality is further required to produce an annual report on performance for the councillors, staff, the public and other spheres of government, and to incorporate and report on a set of general indicators prescribed nationally by the minister responsible for local government, to conduct an internal audit on performance before tabling performance reports and having the annual performance report audited by the Auditor General.

Local Government: Municipal Finance Management Act, 2003 (Act 56 of 2003) requires the municipality to develop and implement performance management that enables it to monitor and review performance. Section 52 (d) states that the mayor of the municipality must submit within 30 days of the end of each quarter, a report to the council on the implementation of the budget and the financial state of affairs of a municipality. This suggests that a municipality is required to periodically give an account of the budget implementation in delivering services to communities. Section 71 (a) (ii) states that the accounting officer of a municipality must by 25 January of each year assess the performance of the municipality during the first half of the financial year, taking into account the municipality's service-delivery performance during the first half of the financial year, and the service-delivery targets and performance indicators set in the service delivery and budget implementation plan (SDBIP).

Section 71 of the *Local Government: Municipal Finance Management Act,* 2003 (Act 56 of 2003) states that the accounting officer of a municipality must, by no later than 10 working days after the end of each month, submit to the mayor of the municipality and the relevant provincial treasury a statement on the prescribed format of the state

of the municipality's budget. This means that a municipality is required to monitor the implementation of performance on the financial resources. The required accountability helps the municipality to run its affairs in a professional manner where community values are considered as being important in the quest for service-delivery improvement.

Councillors should be familiarised with the *Local Government: Municipal Planning and Performance-Management Regulations*, 2001, issued by the Minister for provincial and Local Government, which provides specific requirements for performance management. The Regulations state that the municipalities must ensure that there is a system that is used to monitor and evaluate the performance of the institution. A developed system is expected to be compliant with the Act, showing the proper management from its initial stage of planning, giving roles and responsibilities to all the relevant stakeholders, with clear lines of reporting, clarifying the implementation process that is in line with IDP framework and determining frequency of reporting and accountability.

These regulations also give highlights on the responsibilities of the council and local community in the functioning of performance management, and how PMS should be linked to the IDP. Implementing performance monitoring and evaluation requires consideration of administrative theories in order to execute local government functions.

It can be deduced that performance monitoring and evaluation can be effectively implemented when the municipality adheres to the legislative framework and other policies that have been developed. The legislative framework and policies give direction that the municipality must take in implementation of all policy issues.

3.3 Theories of performance monitoring and evaluation

Hanekom and Thornhill (1994:48) regard a theory as representing a mental view of a system of ideas or statements used as an explanation for a group of facts or phenomena, and itself being based on facts and values, and usually forming the basis for a chain of reasoning, leading to an understanding or explanation of a phenomenon or action. A theory is required to increase knowledge and to increase

an understanding of the world in which people live. It is put clearly that the increase of knowledge is usually achieved through the discovery of facts and general laws. It is, therefore, important to understand that service delivery and development of the communities must be guided by the adoption of administrative theories as sources for the increase of knowledge to the practitioners.

Legislators or decision-making bodies, namely, municipal councils always expect management to execute generic functions of administration using theories as a basis. Hanekom and Thornhill (1994:57) write that generic administrative functions are organising, financing, staffing, determining of work methods and procedures, and controlling. All these functions are important in the implementation of performance monitoring and evaluation. These theories, amongst others, include classical theories, systems theories or model and new public management theories (NPM).

3.3.1 The classical theory

According to Hanekom and Thornhill (1994:74), classical theory emerged through a detailed work-process analysis on the operational level that was performed by an American engineer called Frederick W. Taylor, who found out that there were numerous inadequacies that mostly led to disorderliness in the workplace. As a consequence, work-performance methods to rectify the situation were identified. This is still applicable even today, as there is a need to improve the performance of the whole institution. For example, ORTDM as an institution requires the introduction of methods that could result in the improvement of service delivery. Kurtz and Boone (1992:28) write that Taylor outlined four principles that constitute scientific management:

1. Develop a science for each element of a person's work, which replaces the old rule-of-thumb method.
2. Scientifically select and then train, teach and develop the worker.
3. Heartily co-operate with the workers to insure all the work is being done in accordance with the principles of the science which has been developed.
4. There is an almost equal division of work and responsibilities between the management and the workers. These principles are relevantly located in the

process of monitoring and evaluation of performance. This indicates that classical theory is interrelated with performance monitoring and evaluation.

The fact that new performance improvement methods were discovered subsequently led to a specific reference known as “scientific management”. The basis for this was premised on the fact that the worker was regarded as an extension of the machine that should perform efficiently, hence the name machine model. In addition to this method, monetary rewards were also expected to motivate workers to perform as effectively and efficiently as the machine could. Although workers are not machines, there was an expectation to perform duties as efficiently as the machines. Regarding the performance challenges of monitoring and evaluation, workers should be entitled to bonuses when it is evident that performance was extraordinary (Hanekom and Thornhill, 1994:75).

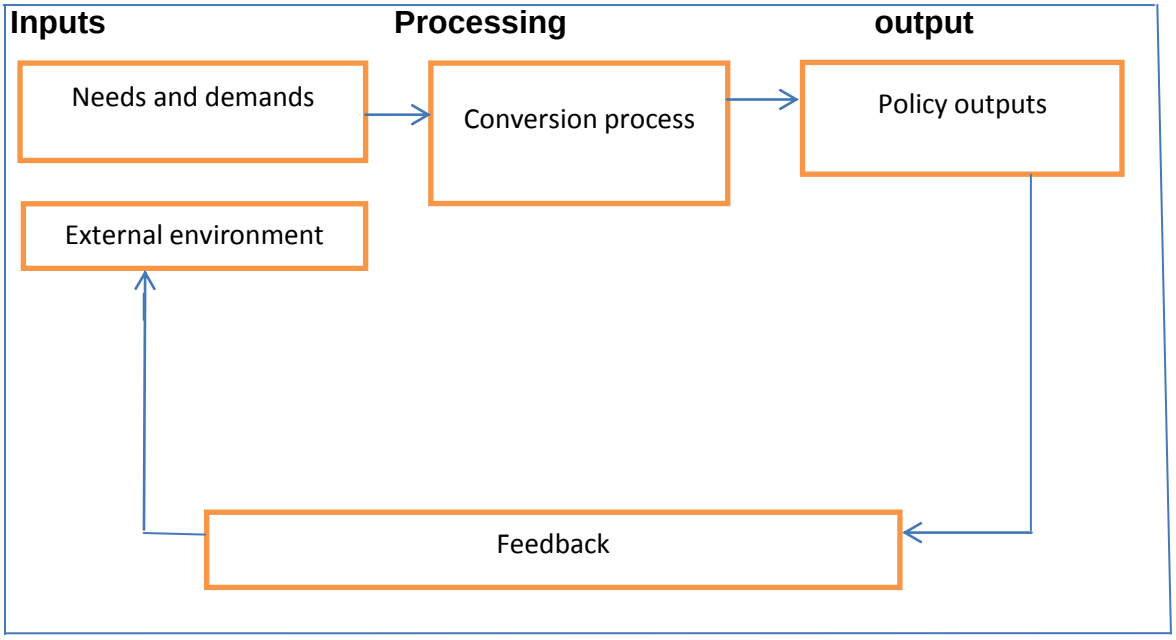
Gildenhuys (1988:114) writes that public administration in South Africa gives special attention to the promotion of effectiveness and efficiency, particularly to the chief officials who are expected to make decisions on limited government financial resources. Identifiable, there is also an acknowledgement of the disjuncture between cost-effectiveness and political ideology. In this instance, the municipality should exercise a high degree of effective, efficient and economic use of resources – for improved services that can be accounted for at all material times. As stated in the introduction, it is also important that the systems model as one of the theories of Public Administration is introduced and discussed underneath.

3.3.2 Systems model

Van Niekerk, Van der Waldt and Jonker (2001:98) define a system as a physical or conceptual entity composed of interrelated parts. Robbins (1991:577) writes that the systems approach is an approach that facilitates the use of an organisation as an entity that acquires inputs, engages in transformation processes, and generates outputs. This means that both means and ends are highly considered in improving the effectiveness and efficiency of an organisation. Inputs are referred to as means

towards achieving ends, which are the outputs. Kurtz and Boone (1992:39) write that a systems theory is another facet of thought with its thinking and viewpoints having been adapted from the military by many organisations-both profit-oriented and non-profit. This has taken a central stage in management of today with the specific and peculiar words used. The following is a diagram showing the systems model as proposed by Easton.

1. **THE SYSTEMS MODEL OF EASTON**



(Source: Dye, 1987)

The following components constitute the systems model.

3.3.2.1 Environment

Environment is the milieu or the total setting within which all government institutions are located – and cannot escape any of its factors when executing their operations. Wessels and Pauw (1999:344) write that Public administration is constantly influenced by relevant aspects of the environment within which it operates and in turn influences the environment, and further suggests that if the system does not operate in an acceptable way, it receives signals in this regard. The environment can be classified into various categories that determine the behaviour of the municipality.

These categories could be economic, social, political and physical environments. This means that the municipality should not underestimate any of the environmental factors in its quest to render services to the communities. Performance monitoring could be highly influenced by the environmental factors.

Bayat and Meyer (1994:88) illustrate the environment as having an influence on the institutions. This was done through asserting that there is a discernible point where a system ends, and “rest of the world” starts. It can be deduced that environment has a potential to influence the inputs required in performance monitoring and evaluation of the municipality.

3.3.2.2 Inputs

According to Fox, Schwella and Wissink (1991:32), inputs comprise the initiatives from the environment, such as perceptions or opinions, demands, attitudes and different behaviours displayed by the citizens, pressure groups and interest groups.

Van Niekerk *et al*. (2001:98) maintain that systems require inputs from the environment. The needs of the environment are satisfied by the resources generated from the environment. Resources could either be financial or human. The systems model is of cardinal importance in policy-making, as the demands of the people are channelled to government through the public representatives – either in parliament or in municipal councils. These demands are converted into an agenda, in order to have them satisfied. Thus, the inputs are collected and processed to enhance the implementation of performance monitoring and evaluation.

3.3.2.3 Processing

Fox *et al*. (1991:32) take processing as a policy conversion, as it considers the interrogation of policy inputs from the communities. The politicians are duty-bound to ensure that all these demands form part of the agenda of the council. It is during the processing stage that inputs are converted into outputs through developing a document that can be referred to as the product of the council. Documentation, in this regard, performance monitoring and evaluation document on mechanisms and

procedures would be an output. It can be concluded that inputs are converted into outputs through the engagement processes of performance monitoring and evaluation.

3.3.2.4 Outputs

Bayat and Meyer (1994:88) write that outputs are consequences of decisions made by the legislators in responding to the support they receive and the demands made on them. Outputs are a product that comes out of the processing of the demands of the people. The outputs then lead to the legislators going back to the environment in an effort to give feedback to the citizens.

3.3.2.5 Feedback

Feedback is the one of the most important concepts in Easton's systems model. It represents the influence of the political system on its environment, and comprises the support or demands that flow back into the system, as a result of the decisions and actions of the authorities (Bayat and Meyer, 1994:88). Fox *et al*. (1991:32) on the other hand, referred to feedback as the inputs from the environment before and after the policy output. Notably, there is a need to understand that theories advancement has led to the introduction of the new public management, which also focuses on more effective and efficient government institutions, including local government. It is also important to understand that classical theory can be linked with the new public management (NPM), in order to have a synergy of the evolution of theories of administration and seamless influence on the improvement of performance of both councillors and officials of a municipality.

3.3.3 New Public Management (NPM)

Lane (2000:304) writes that new public management (NPM) offers a set of new ideas about how government can get its job done. It is a general theory about how government can get things done; how government can get services organised and offered to citizens. There an indication that NPM is not about politics, but about what happens after parliament has decided on the objectives. This means that the

municipalities should as well embark on implementation of the set objectives as appearing in the IDP adopted by the Council. Implementation of IDP objectives could help in achieving and enhancing performance. This can assist in radically turning around the situation in the municipality.

Henry (2010:142) advances an argument that identifiable antiquated managerial ways which, inter alia, included national deficits and rigidity, led to the emergence of "liberation management". This concept of management does not express laxity on performing administrative functions, but it only expresses the flexibility that allows for the innovative measures of managers and practitioners of public management.

Bovaird and Loffler (2004:127) indicate that the new public management (NPM) actively emphasises the significance of performance measurement as a management tool in government. Management instruments, such as performance pay, performance contracts or performance budgets, are implemented through the gathering of accurate performance information, which the institution is expected to have.

Bovaird and Loffler (2004:128) write that the emphasis on performance management emerged during the end of 1980s and the beginning of 1990s – chiefly because of the emergent rise of fiscal deficits. However, this is not the only factor that resulted in the emphatic use of performance management, as it was also inspired by the ideologies of keeping the state as small as possible. This implies that there was an increase in adopting efficiency and effectiveness concepts as key in public management. New public management became the buzz concept in the mid- 1990s, requiring the public sector to minimise expenditure on personnel and spend more on service delivery. That shows the commitment of government to increase the tempo of providing services to the people.

3.3.3.1 The characteristics of the New Public Management

Henry (2010:142-143) writes that the NPM is a proactive commitment to entrepreneurial and accountable innovation in governance for the purpose of raising

governmental performance that may be reduced to the following features or characteristics:

- Internationalism: It is emphasised that NPM is not a universal movement, but an international one, which mostly prevails in overseas countries, and particularly in the Scandinavian nations. The fact that NPM is internationally recognised implies that each individual institution has a responsibility to adopt it for the purposes of enhancing public services.
- Performance and Productivity: Performance can be increased to a high level of expectation by both management and the public – through adopting and adapting to cost-effective services for the people. For successful policy implementation, there is a need to have institutional reforms that are proven to be compliant with service-delivery acceleration.
- Independence and Accountability: In implementing performance monitoring and evaluation in the institution, administrators need to be independent, but accountable to the law, professional and community values, and the public interest.
- Competition and Collaboration: In order to enhance public participation in governance, institutions enter into a social contract with the citizenry. There are formal partnerships that are forged with governments, private companies and non-profit organisations, in order to enhance the performance and productivity of the institution. The competitive advantage and the comparative advantage of an institution remain highly recognised in this regard.
- Changed Public Agencies: It is so crucial to understand that evaluation of agencies is increasingly done in terms of their resemblance to robust, effective organisations, regardless of sector. These high-performing organisations are characterised by, amongst others, agility, adaptability, alertness in anticipating and solving problems and endless search for the use of information.

The above characteristics show that for every organisation that is prepared to have improved performance, there is a need to understand transformation and its consequences. The organisation, in this instance, the municipality is expected to practise modern methods in order to satisfy its citizens. That could remedy the

situation wherein the citizens could embark on strikes and mass actions against underperformance. The following table depicts the new public management, as practised by the public sector.

Table 1: New Public Management and its Core Measures

Variable	Managerialist measures	Enabling factors
Professional management	Delegating management authority within public services	Breaking up existing bureaucracies into separate agencies
Output control	Results orientation and funding of outputs, not inputs	Encouraging greater awareness by adopting 'citizens' charter'
Operational efficiency	Greater discipline and parsimony in resource use and fees for services rendered	Greater competition in the public sector
Terms of service	Flexibility in hiring and firing employees	Downsizing and public service and limit union influence
Budgeting	Make budgets more transparent in accounting terms	Encourage governments to become more enterprising by earning, not spending.

Sources: Gow and Dufour 2000: 573-97; Dunleavy and Hood 1994:10; Larbi 1999; Manning 2001: 297-312

3.4 Conclusion

Based on the argument above, it should be acknowledged that it is not a new phenomenon that governments monitor and evaluate their own performance. The implementation of performance-monitoring and evaluation requires committed

institutional personnel with political office bearers who regard communities as the valued clientele of the municipality. It is important that systematic introduction of performance-management systems and the culture of monitoring and evaluation are instilled. Accountable, transparent and responsive local government, as envisaged in the *Constitution of the Republic of South Africa*, 1996, should be encouraged. That could possibly help government to be trusted by the citizenry.

The municipalities, in particular, should understand that no public sector institution can succeed in implementing service delivery without adopting administrative theories, such as the classical theory, the systems theory and the new public management. These theories are employed to enhance understanding of the generic administrative functions that increase the control measures of monitoring and the evaluation in municipalities.

It can be deduced that municipalities cannot effectively manage the implementation of performance monitoring and evaluation without adhering to the legislative framework. Theories can also be regarded as the basis for effective and efficient implementation of service delivery concepts in all municipalities. Every research work ought to have a part that addresses research design and methodology, hence the following chapter describing data gathering among its focal issues.

CHAPTER FOUR
RESEARCH DESIGN AND RESEARCH METHODOLOGY

4.1 Introduction

In the previous chapter legislative framework upon which performance monitoring and evaluation, as a system of enhancing service delivery was clearly explained in order to understand its impact on service delivery. Theories of performance monitoring and evaluation were also discussed to reveal the link between theories and legislation governing performance monitoring in local government.

This chapter deals with the research methodology and design in order to achieve the objectives of the study. The researcher also indicates that O R Tambo District Municipality was identified as an organisation to conduct research on, and a permission to do a research was given. An explanation of the approach and strategy is also outlined with its respondents and population identified. The chapter also focuses on the sources of data and the instruments used to collect data, as well as the sampling and selection procedure. These instruments are questionnaires, interviews and official documents comprising primary sources of information about O R Tambo District Municipality performance monitoring and evaluation.

4.2 Research design and methodology

This section describes the research design and methodology adopted for gathering data for the study.

4.2.1 Research design

Babbie and Mouton (2010:74) point out that a research design is a plan or blueprint for conducting the research. Research design is the process of designing the overall plan for collecting and analysing the data, including the specifications for enhancing the internal and external validity of the study. The design also indicates the methodological paradigm and the methods used in gathering the data for the research.

4.2.2 Research methodology

In the main, qualitative methodology was adopted for the study, due to the evaluative nature of the research problem; the implementation challenges of performance monitoring and evaluation in O R Tambo District Municipality. These challenges could lead to the total lack of services delivered to the citizens or a slow pace of delivering. Welman, Kruger and Mitchell (2005:188-189) write that qualitative research is also suitable for the description of units of analysis, such as organisations, individuals and communities. The qualitative methodology was intended to allow respondents to provide insight and their perceptions of the possible challenges as regards the implementation of performance monitoring and evaluation in the district municipality.

Despite having identified the qualitative approach as the main methodology employed in the study, it was realised that it may be necessary to use quantitative methods to analyse certain responses to the questionnaires and other data collected. Dabbs, 1982 in (Berg, 2004:2) writes that the qualitative and quantitative approaches are not distinct. In this regard, De Vos, A. S. (2002:81) write that there is general agreement amongst most authors that human science in reality employs both qualitative and quantitative methodology -- “sometimes consciously, sometimes unconsciously.” In effect, the researcher has used qualitative approach in the study.

4.3 Data sources

As indicated earlier in Chapter One, both primary and secondary sources were used to collect data. The sources used include the ORTDM Integrated Development Plan (IDP) 2010/11 and the one developed by the councillors who were elected in May 2011, as required by the *Local Government: Municipal Systems Act,* 2000 (Act 32 of 2000*)*, that the new council must develop a five-year IDP. The Auditor General reports were also used, as well as the annual reports for the financial years 2009/10 and 2010/11.

In addition, content analysis of official reports, legislation, other research reports and academic journal articles were also investigated. Above all, where appropriate, authorities in the field and in the discipline were consulted for their greater insight through interviews.

4.4 The instruments used to collect data

The researcher compiled a questionnaire as a survey instrument. Questionnaires were distributed to ten O R Tambo District Municipality managers directly accountable to the municipal manager, according to the prescripts of the *Local Government: Municipal Systems Act,* 2000 (Act 32 of 2000)*,* together with those of the *Local Government: Municipal Systems Amendment Act of* July 2011. These managers are also referred to as section 56 managers who are charged with the responsibility of ensuring that the municipality's performance is improved on a daily basis – in order to positively impact on the lives of the communities, as envisaged in both the *Constitution of the Republic of South Africa,* 1996 and the *White Paper on Local Government*, 1998. The researcher considered that the mailed questionnaire method was most suitable because of its cost effectiveness, given the fact that the area of the district municipality is vast.

4.5 Target population

Ten questionnaires were distributed to the members of the mayoral committee (MMCs), who are mostly responsible for the smooth running of the various municipal departments through playing oversight roles over respective portfolios. This means that, as political office bearers, the selected respondents are also charged with the responsibility to champion service delivery across the district parameters.

Questionnaires were also distributed to ten ward committee members selected from the Mhlontlo local municipality, which is the integral part of ORTDM. Ward committees, as legal structure duly authorised by the *Local Government*: *Municipal Structures Act* (Act 117 of 1998), were selected to participate in the study due to the role and responsibility in the development of the respective villages, through working with the ward councillor and the communities. The nature of the work made them

qualified to be selected as respondents in the implementation of performance monitoring and evaluation in the ORTDM. Hand-delivered questionnaires were also used in some instances, in order to enable the researcher to be acquainted to the respondents and to avoid any disappointments by a high rate of non-responsiveness.

A covering letter accompanied the questionnaires that were designed for each category to explain the purpose of the study. The letter stated that the researcher was a *bona fide* student of Nelson Mandela Metropolitan University doing research with the following objectives: analyse and evaluate the existing implementation processes of performance monitoring and evaluation in ORTDM to determine challenges in the implementation of the policy; investigate and evaluate the existing reasons and causes of the problems being experienced in the implementation of performance monitoring and evaluation as of municipal IDPs and make recommendations.

4.6 The sampling and selection procedure

The population for the study was purposively selected. In purposive sampling the researcher actively selects the most productive sample to answer the research questions. The target population includes the mayor, and the nine members of the mayoral committee, the municipal manager and nine of the directors reporting directly to the district municipal manager, as well as the members of ten selected ward committees from Mhlontlo Local Municipality.

These respondents were purposively selected, based on their functions with regard to the implementation performance monitoring and evaluation in the O R Tambo District Municipality (Berg, 2004:36). This means that the researcher selected the respondents based on their special knowledge and expertise in the field of study.

4.7 Pilot study

The purpose of the pilot study was to refine the questionnaires in order to enable the respondents to answer the questions without hindrances. The pilot study was conducted to determine whether the questionnaires were properly constructed for

the respondents' understanding and comments were made on how questionnaires were structured. It was worth conducting a pilot study as some respondents were so helpful in refining the questionnaires. It was due to possession of experience on performance monitoring and evaluation.

4.8 Ethical considerations

The researcher gave an assurance to the O R Tambo District Municipality Municipal Manager, as a gatekeeper, that professional ethics would be adhered to when conducting the study in the municipality. The questionnaires issued to the respondents were not identified as belonging to a particular individual, and that was in line with anonymity as one of the ethical considerations. Participation was voluntary with the option to decline at any stage of conducting the research, and with no consequences against the respondents.

4.8.1 Permission to conduct research at O R Tambo District Municipality

As the title of the study suggests, the researcher wrote a letter requesting permission to conduct a study at O R Tambo District Municipality**.** The municipal manager granted permission to conduct the study.

4.8.2 Anonymity

The respondents were requested not to write names in the questionnaires as that would be violating ethical considerations. Anything that would make the respondents identifiable was discouraged.

4.8.3 Confidentiality

The researcher kept all the information given by the respondents during the study as much confidential as possible in order to adhere to the professional ethics conducting research.

4.8.3 Informed consent

O'Sullivan, Rassel and Berner (2010:252) write that informed, voluntary consent is a cornerstone of ethical research practice which is based on respect for individual autonomy and personal dignity. The researcher made the respondents to understand that it was within the ethical considerations that adequate information was provided in order to enable them to make informed, voluntary decision to participate in the study. The general purpose of the study was explained

4.9 Conclusion

In conclusion, this chapter has identified the research methodology and the data sources that included primary and secondary sources. All the sources were found valuable to the study. The qualitative research method was used with its meaning explained. A sampling and selection procedure followed was identified. The questionnaires were used as instruments that were compiled and distributed to the respondents.

It was also important that the researcher conducted a pilot study that assisted in the construction of questionnaires issued for the actual study. The respondents were much interested in the topic, "Implementation challenges of performance monitoring evaluation in the O R Tambo District Municipality", that the researcher conducted study on. The researcher also identified and explained ethical considerations to the respondents in order to know what was expected of them and of the researcher during the period of conducting the research. That was done without confusion and difficulties, hence some of the target population declined to participate. Even those participated voluntarily did that without prejudice. Every research study to be effectively conducted requires data analysis and interpretation, hence the inclusion of the following chapter.

CHAPTER FIVE
DATA ANALYSIS AND INTERPRETATION

5.1 Introduction

As stated under outline of chapters, the researcher deals with the data analysis as provided by the respondents. It is also important to indicate who constituted the respondents in order to have the interpretation of data done from relevant sources. The respondents were comprised of the members of the Mayoral Committee of ORTDM as full time politicians delegated to play an oversight role in the respective departments or sections, selected ward committee members from Mhlontlo Local Municipality, and finally the managers directly accountable to the municipal manager of ORTDM.

5.2 Data-collection and analysis

The questionnaires were designed and distributed, in order to analyse the implementation challenges of performance monitoring and evaluation in the O R Tambo District Municipality. These questionnaires, as already stated earlier, were distributed to the respondents who are well placed in terms of understanding the implementation of performance monitoring and evaluation. The following were the analysis results, according to the respondents.

5.2.1 Members of the Mayoral Committee Perspective

Section 39 of the *Local Government: Municipal Systems Act,* 2000 (Act 32 of 2000) prescribes that the executive committee, which in the case of this study refers to the mayoral committee members (MMCs), must manage development of municipality's performance management system. This indicates that mayoral committee members have a major role to play in the implementation of performance monitoring and evaluation. In fact, the MMC's are the custodians of performance management system of the municipality.

5.2.1.1. Gender of the municipal mayoral committee members

Out of ten questionnaires issued to the members of the mayoral committee, or the political office bearers, as referred to in the questionnaire, of the municipality, it happened that five respondents have returned the responses, while the other five have declined to participate. The returned responses comprised fifty percent (50%) of the questionnaires initially distributed. The questionnaires returned purported the mayoral committee to be male-dominated, as four of the questionnaires were from male members, and only one questionnaire was from a female councillor.

The response rate depicted by these councillors was not bad, when compared with the theory on self-administered mail questionnaires. This reflects that councillors are sensitive of their delegated responsibilities to the council, and ultimately to the community by way of the local government elections that are conducted every five years.

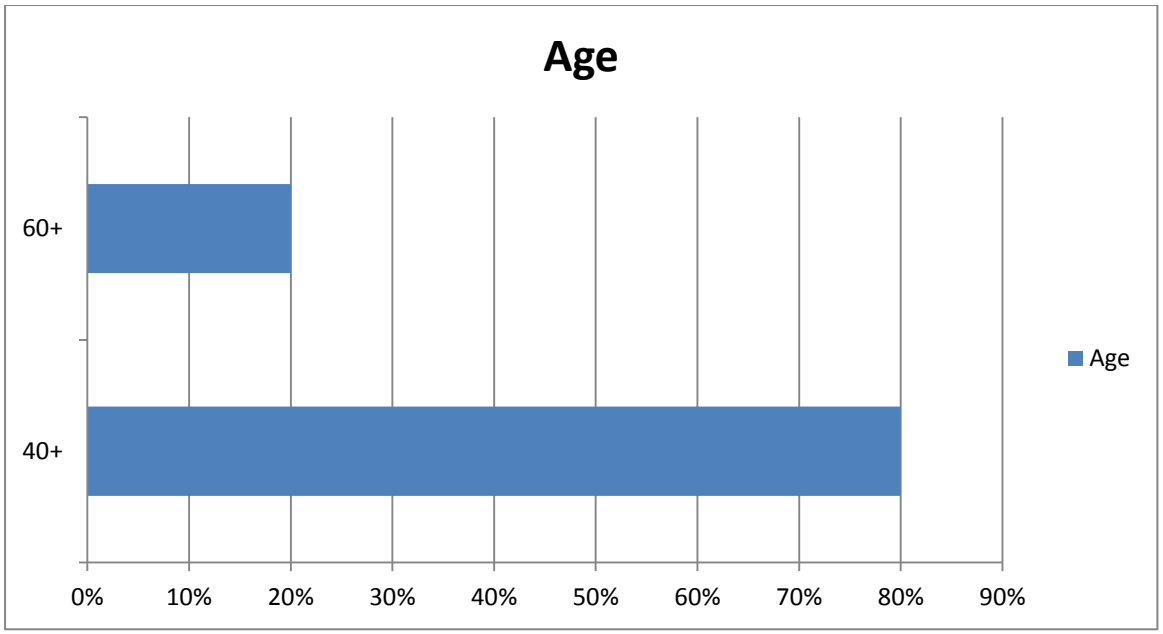
5.2.1.2 Age of respondents

In terms of the age group, the five councillors are fairly mixed, although it may be questionable as to whether was it ever considered that youth-dominated mayoral committee members could better work towards improving the performance of monitoring and evaluation in the ORTDM. This argument is raised, based on the fact that one of the councillors who returned the questionnaire was above sixty years, while the others were above forty years, but below sixty.

However, this might negatively impact on the overall performance of the municipality presently, and in the future sustainable development might not be taken as a serious issue that could possibly undermine the improvement of the lives of the citizens. Throughout their term of office, including non-statutory working days, councillors are expected to strive for excellence in delivering services to the communities. The fact that these councillors comprise the middle-aged and one aged (over 60) councillor suggests that they may not always be available compared to the youth or the would-be young councillors.

Response rate on age		
40+	4	80%
60+	1	20%
Total	5	100%

BAR GRAPH 1: AGE DISTRIBUTION OF RESPONDENTS



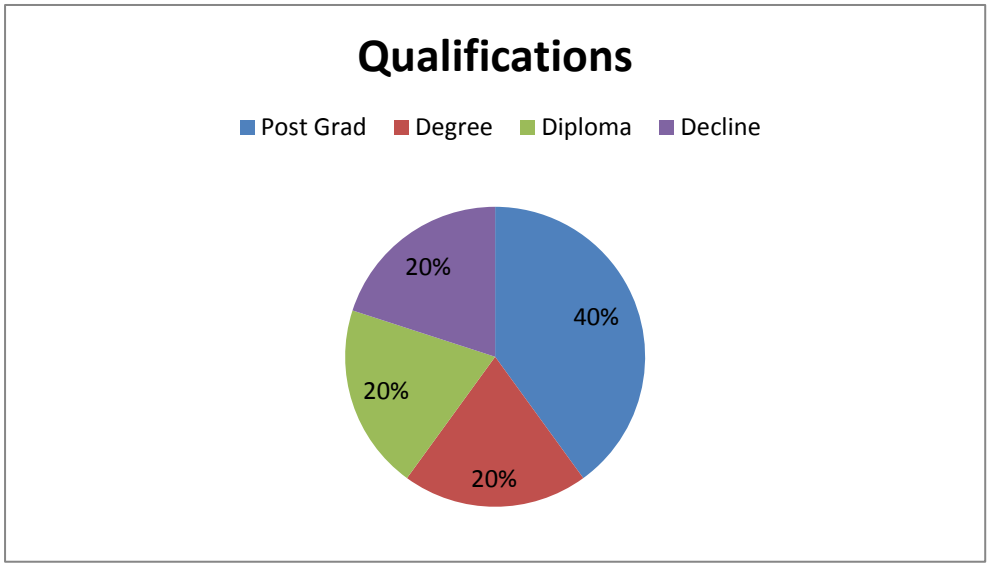
5.2.1.3 Preferred language of the councillors

Regarding language preference, all the participants chose English. This shows that they could communicate or read and interpret all municipal documents without relying on other fellow colleagues. The language preference also suggests that respondents would be able to confidently liaise with the outside world in trying to negotiate development initiatives of the municipality as portfolio heads of respective departments. The expected role of oversight could be perfectly played without language barriers, and that would pave the way for the improvement of performance of the ORTDM.

5.2.1.4 Highest education qualifications of the councillors; political office bearers

Response rate on qualifications		
Post Grad	**2**	**40%**
Degree	**1**	**20%**
Diploma	**1**	**20%**
Decline	**1**	**20%**
Total	**5**	**100%**

PIE CHART 1: EDUCATION QUALIFICATIONS OF COUNCILLORS



Out of five councillors who responded to the questionnaire, 40% had obtained postgraduate degrees; thus, it indicates that the councillors were capable of dealing with performance monitoring and evaluation challenges through learning and benchmarking the best practices from other municipalities and/or government institutions. Despite the response that some of the councillors were highly qualified, there was still a benefit of doubt as to whether performance monitoring and evaluation challenges were easily tackled.

20% of the respondents had obtained diploma or certificate, while the other 20% had a Bachelor's degree; with other 20% decided not to respond to the question. The

impact may be negative with regard to the roles and responsibilities delegated by the council, especially on monitoring and evaluation of the performance of the institution. Even those in possession of qualifications would not necessarily be more efficient and effective in the monitoring and evaluation exercises; but they could be regarded as more educable compared to their counterparts. In concluding the argument on analysis, it can be deduced that the mayoral committee members of the ORTDM were able to perform oversight responsibility regarding performance monitoring and evaluation. This is based on the fact that 40% of the respondents were highly qualified and only 20% that declined. Performance monitoring and evaluation usually requires one who can read and write, in order to be able to compare the pre-planned objectives and the current progress prevailing, in order to be able to adjust where necessary; hence, the significance of educational qualifications for the members of the mayoral committee, as policy owners and implementers. By virtue of their designation as legislators and executives, it is reasonable to assume that they need to be educationally equipped.

5.2.1.5 Length of service in the council

Out of the five councillors, 60% indicated that they had been in the municipality for more than ten years of service, whilst 20% did not provide an answer. The non-providing of an answer could mean different things to different people as it could be due to the fact that the municipality had filled a vacancy not more than three months ago, and the councillor could not provide such an answer as there was no space for that. Another possibility could be that the councillor was not sure whether the length of service meant service in any municipality other than ORTDM. The other 20% had an indication of having been in the municipality for more than five years, but less than ten.

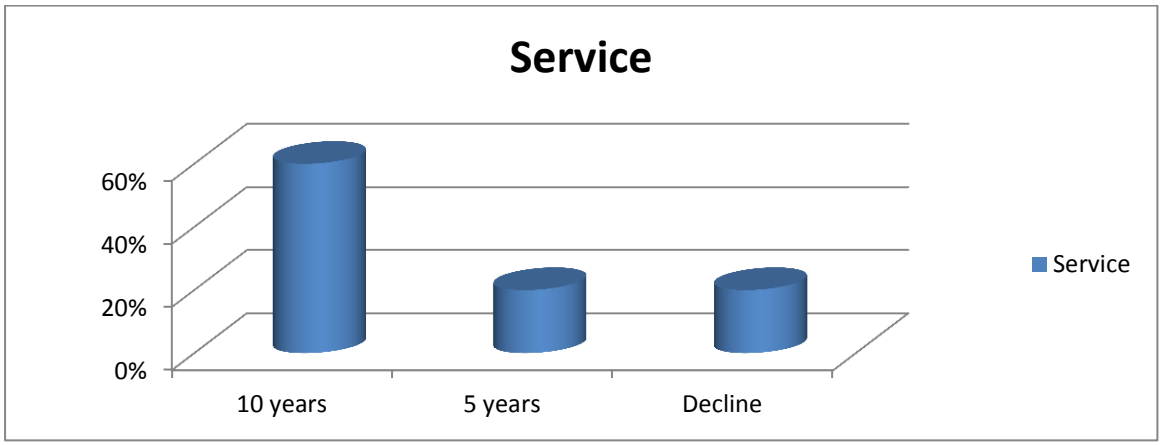
The length of service indicated shows that the ORTDM was also ready to identify implementation challenges of performance monitoring and evaluation. They should be able to detect the areas of need and improvement where necessary.Members of the mayoral committee, as policy crafters and executives that should be championing implementation, were aware of the existing policy that deals with performance-management systems and the implementation challenges thereof. It is

their responsibility to ensure the implementation of IDP and budget, which is the document that encompasses monitoring and evaluation as one of the most important tools used to deliver services for the general improvement of the lives of the citizens of the ORTDM. The length of service of these political office bearers directly links with the in-depth knowledge in the field of study. The following is the table and bar diagram indicating the length of service of the respondents in the institution.

The length of service of the respondents

Response rate on service		
10 years+	3	60%
5 years+	1	20%
Decline	1	20%
Total	5	100%

BAR DIAGRAM 2: LENGTH OF SERVICE OF RESPONDENTS IN THE ORTDM



5.2.1.6 Implementation of monitoring and evaluation policy

Firstly, five of the councillors' responses showed different understanding about the existence of the very policy and that alone implies that ORTDM requires, even in the near future, to prioritise the adoption of the policy, and its effective and efficient implementation.

Out of five respondents, 60% of them agreed that the municipality had long since adopted the policy, and was grappling with its proper implementation, whilst the other two (40%) were unaware that the municipality was in possession of such a valuable policy. The 60% in agreement with the existence of the policy also indicated that there were predetermined objectives with clear targets set by the municipality, and that there was also a performance-management system (PMS). That was done by the O R Tambo District Municipality, in order to be able to measure the performance of the municipal manager and managers directly accountable to the municipal manager (as per the dictates of Chapter Six of the *Local Government: Municipal Systems Act* (Act 32 of 2000).

The other 40% of the respondents who were not in agreement with the existence of a policy on monitoring and evaluation reflects that the ORTDM had challenges regarding the implementation of performance monitoring and evaluation. The response was supported by the previous reports issued by the council for the financial years 2009/2010 and 2010/2011, which indicated that the municipality did not implement any performance-management system. This assertion agrees that the municipality did not pay much attention to the performance monitoring and evaluation as tools to improve service delivery in its area of jurisdiction.

The contradicting scenario by the people charged with the responsibility to play an oversight role bears an indication that the municipality really experienced some challenges pertaining to performance monitoring and evaluation. Had it not been for the fact that challenges were glaring, such a scenario would not have happened, as the respondents were all councillors. However, the responses given could not necessarily form the basis that the O R Tambo District Municipality was overwhelmed by the difficulties in the implementation of performance monitoring and evaluation.

5.2.1.7 Designated section for performance monitoring and evaluation in the ORTDM

Out of five respondents, 60% gave the sense that the O R Tambo District Municipality, according to its organisational structure, has a specifically designated

section that deals with performance monitoring and evaluation. There was also an indication that the seriousness attached to performance monitoring and evaluation necessitated the complementary role of implementation to be delegated to the internal audit unit of the municipality. That was done through opening a space for a quarterly evaluation or review of performance by the individual managers and the review of half-yearly reports (as per the requirements of section 72 of the *Local Government: Municipal Finance Management Act,* 2003 (Act 56 of 2003).

The responses provided suggest that the municipality was aware of the compliance issues regarding performance; and that could also mean that if there were no implementation, this could not be attributed to ignorance, but to negligence and indolence.

40% of the five respondents also noted that performance monitoring and evaluation was the work executed by the Municipal Public Accounts Committee (MPAC) and the Audit Committee. The responses indicate the understanding of what was required to ensure proper monitoring and evaluation of the entire municipality, in spite of some grey areas in respect of performance monitoring and evaluation. However, it can be deduced that the O R Tambo District Municipality did not concretely implement the policy, according to the legislative stipulations. The municipality was conscious of the fact that performance monitoring was mandatory and not optional. This argument is raised – based on the respondents' different responses.

5.2.1.8 Capacity-building efforts to improve the understanding of the councillors

Out of five (100%) councillors who responded to the study questionnaires, 40% of them confidently agreed that efforts were being made by the municipality to realise the understanding and implementation of performance monitoring and evaluation by all councillors. The response was based on the fact that all councillors, on assuming duties, especially as members of the mayoral committee, were exposed to performance monitoring and evaluation during the induction conducted by the South African Local Government Association (SALGA).

Various council committees were trained on the roles and responsibilities (as stated in the *Local Government: Municipal Structures Act*, 1998 (Act 117 of 1998) and the other legislative framework thereof). This means that ORTDM is prepared to work towards the improvement of service delivery through inculcating a culture of responsibility, answerability, transparency and accountability.

It cannot be denied that, despite all the attempts to improve the understanding of the councillors to be able to deliver services, there are councillors who still remain ignorant. This assertion is raised, since three respondents felt that they were never exposed to any form of training as regards performance monitoring and evaluation. However, the respondents all agreed that the implementation of performance monitoring and evaluation is important for the municipality's enhanced performance of service delivery.

It can be deduced that ORTDM was aware that the performance monitoring and evaluation is one of the important compliance issues that remains a priority, hence the requirement to capacitate councillors. The prioritisation of capacity-building of councillors could lead to proper implementation of performance-management system, in order to improve performance monitoring and evaluation.

5.2.1.9 General implementation of the performance-management system in the ORTDM

All the respondents agreed that the municipality's IDP, as an instrument and a tool to implement service delivery, contains the municipal objectives that are aligned with the service delivery and budget implementation plan (SDBIP). The respondents explained that the municipal council, through the mayor, has a responsibility to prepare the performance contract of the municipal manager, in order to have all municipal objectives and targets reflected for implementation of the IDP.

In turn, the municipal manager enters into performance agreements with other managers directly accountable to the municipal manager (as per section 57 of the *Local Government: Municipal Systems Act*, 32 of 2000). This means that the extract of the objectives relevant to managers of the respective departments helps the

municipality to have an action plan known as SDBIP, which makes it easy for the individual managers to implement IDP. The quarterly reports that are reviewed by the council help the municipality to be able to measure performance, and to allow for an opportunity to detect “red lights”, in case of the occurrence at the expense of service delivery.

This is how the municipality, according to the explanation given by the respondents, implements performance monitoring and evaluation. It can be deduced that non-implementation of performance-management system cannot be attributed to non-understanding of the legislative framework, but only to lack of commitment from both the politicians and administration.

5.2.2 Perspective of Ward Committees

Section 42 of the *Local Government: Municipal Systems Act* (Act 32 of 2000) requires the involvement of community members in the development, implementation and review of the municipality’s performance management system, and in particular, allows the community to participate in the setting of appropriate key performance indicators and targets. This means that Ward Committees as representatives of the respective communities should be given a task of monitoring and evaluation in order to improve the municipal services. This could help to encourage participatory approach of monitoring and evaluation.

5.2.2.1 Gender of the selected ward committees

The researcher targeted ten ward committees as respondents to the questionnaire on implementation challenges of performance monitoring and evaluation. In terms of the response rate of the ward committees, out of the ten distributed questionnaires, nine (90%) of them participated in the study, and only one (10%) declined – as there was no response submitted. Their response showed the interest in the study, and a willingness to learn every new phenomenon, as it was the first time for them to participate in a research study. Even the withdrawal of the one would-be participant was not regarded as something sinister, but as an informed consent in the study, according to the ethical considerations.

The nine respondents to the study were five females and four males from ward 13 of Mhlontlo Local Municipality in the ORTDM. This interest in participation implies that females are always willing to venture in researching new knowledge, compared with their counterparts. There could be an impression that females are more curious than males.

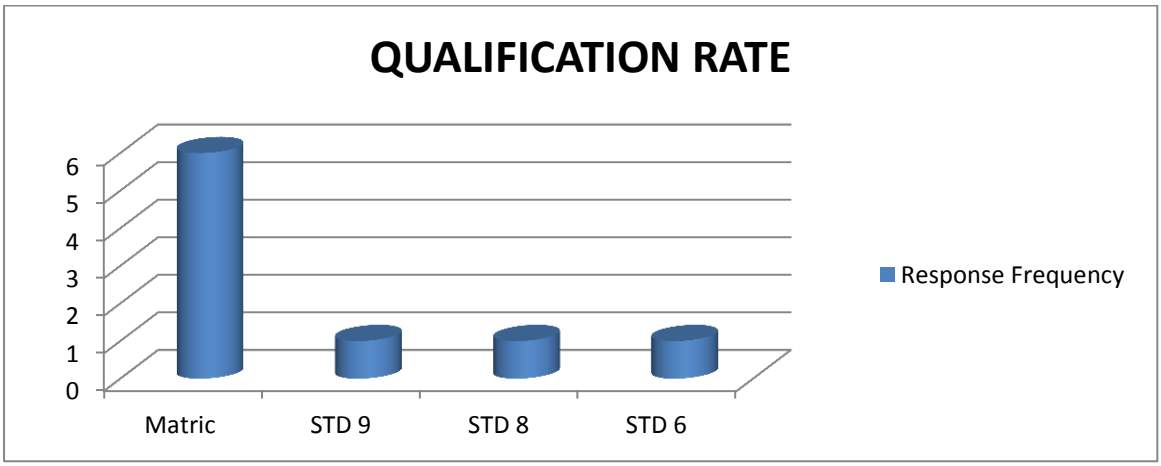
5.2.2.2 Preferred language of ward committees

The respondents all preferred IsiXhosa as the language of communication. However, the choice of communication language did not infer the inability to communicate in English, as interaction with the questionnaire did not have indication of any language barrier. The questionnaire, as already indicated, was self -administered. The researcher realised that the choice of language was a sign of recognising it as the mother-tongue, and as such would feel much more comfortable in its utilisation.

It can be deduced that selected ward committees were able to effectively communicate, as the questionnaire was self-administered. This suggests that the respondents, despite having preferred IsiXhosa as language of communication, had no language barriers in the interrogation of the implementation of performance monitoring and evaluation.

5.2.2.3 Highest education qualifications obtained

BAR GRAPH 3: EDUCATION QUALIFICATIONS OF WARD COMMITTEES



Out of nine respondents in this category, six (66.67%) of them were in possession of matric / grade 12 certificates only; whilst the other one (11.11%), as an older person, had obtained standard six/ grade eight only, but could communicate in English. The other participant (11.11%) had standard nine/ grade 11, and the last one (11.11%) had standard eight/ grade 10. This means the respondents possessed various levels of education, as depicted by the bar diagram above. This analysis is given on the basis that all respondents did not tick under any of the provided tertiary qualifications.

Although the respondents showed no difficulties in dealing with the questionnaires, the researcher came to the conclusion that these ward committees may not have been able to interact with all the technical municipal documents, as they might well require some assistance with the interpretation of the texts. At the time of interpretation by the municipal officials ward committees could miss some important information.

Performance monitoring and evaluation are such important tools to evaluate the performance of the municipality; and these issues require people who are not necessarily intimidated by language used in performance monitoring and evaluation. However, ward committees, as structures entrusted with development and closer to the communities, are capable of following the implemented projects and can also give a detailed report of what the implementers have done. Ward committees are able to cause both the service providers and the municipal officials to give an account of their actions.

In fact, ward committees are always forming part of the project-steering committee, wherever projects (PSC) are being implemented. As representatives of the respective communities, ward committees have a statutory obligation to ensure that service delivery is realised in the villages. It can be deduced that ward committees are a critical stakeholder in development of the communities and should be encouraged to learn more about project management, in order to be able to plan, monitor and evaluate projects implemented in the respective villages of OR Tambo District Municipality.

5.2.2.4 Length of service of the ward committees

Out of the nine respondents, three (33.33%) clearly showed that the period had been more than five years in the service of the municipality, which simple means that it was for the second term serving as ward committees. This also means that the municipality had an opportunity to have exposed them through all performance-related issues of the municipality (as per section 41 of the *Local Government: Municipal Systems Act* 32 of 2000), which specifically deals with performance-management mechanisms, processes and procedures.

There were four (44.44%) respondents who were completely new to the municipal service, with between one and five years in service; whilst the remaining two (22.22) did not respond to the question. The length of service may not truly reflect the exposure that the respondents might have had. Those who did not respond might have not considered the question important to the study.

It can also be deduced that the length of service in the municipal environment may have an improvement in the understanding and implementation of performance monitoring and evaluation. The ward committees have a direct interest in the improvement of the lives of the communities, and a meaningful involvement could be beneficial to the citizens.

5.2.2.5 Involvement of ward committees in performance monitoring and evaluation implementation

The respondents agreed that was completely no involvement in the draft stages of the policy on monitoring and evaluation. This response is indicative of the truth that the communities are not always involved in the municipal activities, and a golden rule of “consultation”, as stated in the *White Paper on Public Service Transformation*, 1997 that is publicly known as Batho Pele, is not being adhered to. The ward committees were, thus, exposed to the idea of performance monitoring and evaluation.

However, there was also an indication that the municipality did not always recognise role of ward committees during the implementation or execution stage of the projects, like the construction of roads, the installation of water taps, or water reticulation in the respective villages that comprise the ward. It was explained that the respondents were, however, involved in the process of development of IDP, through being an integral part of the IDP Representative Forum, as ORTDM and Mhlontlo Local Municipality usually conduct IDP and budget road shows. This is where ward committees contribute through raising questions and concerns with regard to the prioritisation of projects and the allocation of budget-sourced finance.

This involvement at this stage gives effect to section 41 of the *Local Government*: *Municipal Systems Act,* 2000 (Act 32 of 2000). As members of the steering committee, the ward committees gave testimony that some projects were deserted by the service providers hired by the municipality without any explanation being given to them. This is usually due to the fact that those providers could reason that they were not employed by the communities, but by the municipality. Hence, such a poor communication in the event of an unfortunate situation. The mere fact that there was no proper communication mainly resulted from the non-implementation or poor implementation of monitoring and evaluation.

The respondents also identified lack of monitoring and supported the responses by citing a common reason that even projects that were said to have been completed were left with snags that had not been attended to. The impact on the roads mainly, would be quickly washed away by ordinary rainfalls, and blown away by winds. The quality of texture used could be mostly known by the communities as compared to the consultants and contractors. The ward committees reflected that they were not given much recognition in terms of roads construction as they were regarded as lacking technical skills that are required. There was also an assertion that borrow pits that were dug during road construction were sometimes left unattended to or not rehabilitated, and sustainability of development could be endangered.

It can be deduced that the non-involvement of the respondents in the implementation of performance monitoring and evaluation in the ORTDM might be the real cause of the lack of service delivery. In fact, the service providers employed by the

municipality may take advantage of the situation and attach little or no value to the money in execution of the work. It could be advised that that the municipality should ensure that ward committees are always made aware and form part and parcel of the development initiatives in the respective villages. However, an intensive training of ward committees in handling or monitoring performance would be required.

5.2.2.6 Training of ward committees on performance monitoring and evaluation

All nine respondents (100%) concurred that there was never an exposure to any skills development training related to performance monitoring and evaluation although the municipality had been engaged on skills revolution. Despite all the efforts taken to develop ward committees, the fact that no course or module was offered on performance monitoring and evaluation means that the municipality still lack strategies towards the improvement of service delivery. There may still be service delivery related protests which could adversely impact on the rendering of services to the communities.

It can be deduced that the non-exposure of ward committees to performance monitoring and evaluation module or training courses has a potential to deprive communities of development. The empowerment of ward committees could help the municipality to be able to reach the areas where officials may have little time to attend. However, it means that the O R Tambo District Municipality should prioritise capacity building of ward committees in order to assist in performance monitoring and evaluation.

5.2.2.7 Effectiveness and usefulness of performance monitoring and evaluation

Fundamentally, the view of all the respondents was the same as explained that performance monitoring and evaluation remains important in ensuring that planning, organising, executing, controlling and finishing stages of every municipal project would require its proper implementation. There was unanimous agreement that the municipality could be on the right track if it could properly implement performance monitoring and evaluation. This means that the objectives and targets should be

monitored in order to effect amendments or changes where necessary. That would assist in updating the information requiring the attention of the municipality.

The unanimity regarding the usefulness of performance monitoring shows the urgency of ensuring proper implementation in trying to improve service delivery and the lives of the people. It is necessary to regard each of the above mentioned stages of a project. For example, having a good planning means adopting a "SMART" plan that makes it easy to monitor and evaluate. This simply means that the objectives of every project must be specific, measurable, attainable, realistic and time-bound. In such an environment, implementation of performance and evaluation is easy. The respondents proved beyond reasonable doubt that projects that were not monitored from the inception stage are likely to fail. The objectives cannot be carried through to the finishing stage.

It can be deduced that the municipality had not yet reached full understanding of the effectiveness and usefulness of the implementation of performance monitoring and evaluation. This is deduced from the fact that, although some respondents understood legislation governing performance monitoring and evaluation, there were some who were not involved in the initial stages of the implementation.

5.2.2.8 Challenges to effective implementation of monitoring and evaluation

The respondents had a concurrence that monitoring and evaluation have implementation challenges that ORTDM is confronted with, just like all other municipalities, in all the activities and projects implemented in the communities. The conclusion that effective implementation of monitoring and evaluation in the municipality has challenges is based on the fact that the communities have had, for quite a long time, dysfunctional water schemes, ventilated improved pit latrine (VIP) toilets that were not properly built according to the specifications, and community halls that were built by ORTDM did not last long. Various problems were associated with cheap material that compromised the quality. All these projects were not properly implemented due to the following:

- Inadequate capacity on municipal officials;

- Lack of consultation of the relevant stakeholders;
- Connivance of the municipal officials with service providers that were incompetent and characterised by greed;
- Inability to dissociate politics and administration;
- Political interference in the implementation of the projects.

These challenges can result in a huge loss of money that could have been saved had it not been that performance monitoring and evaluation were neglected. The prevailing situation could just as well have led to many risks occurring to the projects intended to improve service delivery in the communities, and ultimately improve the lives of the poor. The risks that may be associated with non-implementation of performance monitoring and evaluation may vary according to the community to community. These include labour related risks, political risks as well as economic risks which all have a potential to deter service delivery.

It can be deduced that the identified challenges in the implementation of performance monitoring and evaluation were a hindrance to quality service delivery to the communities. These challenges can be fought and reduced in an environment where there is a political will to deliver services and where the individual's interests and greed are not a priority. The assertion is made based on the fact that connivance with service providers was identified as one of the challenges to proper implementation of performance monitoring and evaluation.

5.2.3 Perspective of the ORTDM Managers

Section 38 of the *Local Government: Municipal Systems Act,* 2000 (Act 32 of 2000) stipulates that a municipality must establish a performance management system that promotes a culture of performance management among its political structures, political office bearers and councillors and in its administration; and administer its affairs in an economical, effective, efficient and accountable manner. This suggests that a municipality must have managers and councillors who are able to create conducive environment for proper implementation of performance monitoring and evaluation.

5.2.3.1 Gender of managers participated in monitoring and evaluation study

The researcher issued ten questionnaires to the managers directly accountable to the district municipal manager. Out of ten respondents, seven (70%) of them participated, as they were able to bring back questionnaires. The highest number of the respondents who participated shows that there is a passion to implement performance monitoring and evaluation. Even the decline of the 30% cannot be attributed to their unwillingness to implement performance monitoring and evaluation.

The seven respondents comprised five males and two females, who all happened to be senior managers. Taking into cognisance the fact that the study was male dominated, it makes the researcher to conclude that the senior management of ORTDM is male dominated and would be affected by affirmative action that should be effected through the implementation of an employment equity plan. However, it is worth stating that the focus of the study is the implementation challenges of performance monitoring and evaluation in the ORTDM, and not employment equity.

5.2.3.2 Language preference of managers in the ORTDM

As would be expected, this category of respondents preferred English as their language to communicate all their work activities in the municipality, and with other officials when dealing with performance monitoring and evaluation. This means that they are able to read and interpret all the documentation and legislative framework related to performance monitoring and evaluation.

5.2.3.3 Highest academic qualifications of the managers of ORTDM - Response rate on highest qualifications of Managers

Master's Degree	4	57%
Postgrad. Diploma	2	29%
Diploma	1	14%
Total	7	100%

CHART 2: RESPONSE RATE ON QUALIFICATIONS

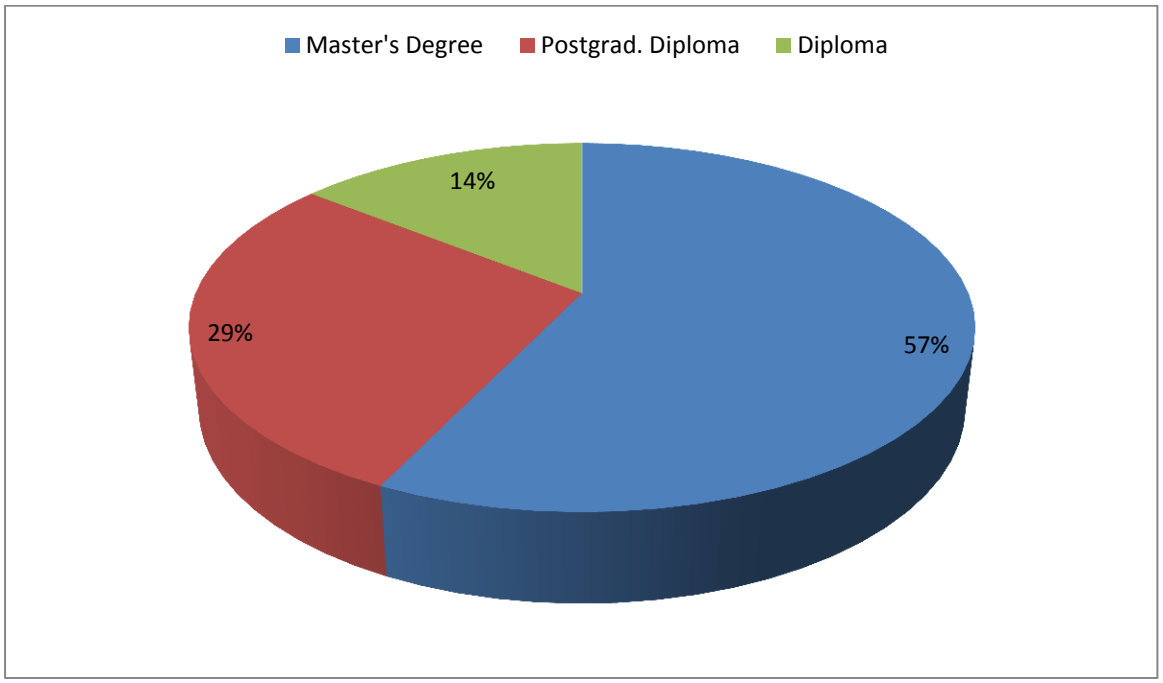


Figure: 6

It is true that preference of English as the communication language could be attributed to the fact that, as senior management, the respondents were in possession of qualifications that could better place them in the position of delivering services, without language hindrances or barriers.

Out of the seven respondents, four (57.14%) of them had acquired Master's degrees. Two (28.57%) of the respondents had postgraduate diplomas, whilst only one (14.29%) of them indicated being in possession of a diploma. The researcher, based on the qualifications possessed by these officials, has made a deduction that the respondents had the potential to effectively implement performance monitoring and evaluation, in order to enhance service delivery in the communities of ORTDM. The qualifications of the managers should determine the quality of services to be delivered to the people. The only one manager who may be seen as under-qualified could be complemented by those with proper qualifications (according to the *Local Government: Municipal Systems Amendment Act*, 2011). Every manager should be able to meet the minimum requirements, in order to be able to execute duties that

are intended to accelerate the delivery of services. It can be deduced that qualifications have a contribution on how an individual manager behaves in ensuring effectiveness of performance monitoring and evaluation.

5.2.3.4 Length of service of the managers of ORTDM

During the time of the research in the ORTDM, out of the seven respondents, two (28.5%) respondents were the longest-serving managers, as they had between eleven and fifteen (11-15) years of service. Two (28. 5%) respondents had between six and ten (6-10) years of service with the municipality, whilst the other two(28.5%) had between one to five (1-5) years in the employ of ORTDM. However, there was one (14.29%) respondent who had gathered a lot of experience in ORTDM. The manager had between sixteen to twenty (16-20) years of service experience.

The length of service given by the respondents showed that the managers were experienced in managing the municipalities, and had been exposed to the legislative framework and policies governing municipalities. This means that ORTDM was in a better position to use its comparative and competitive advantage in implementing performance monitoring and evaluation policies. That could help the municipality have its performance monitoring and evaluation at the level where service delivery could be realised and peoples' lives be improved. However, the situation was the other way round in terms of the monitoring and evaluation policy implementation.

It can also be deduced that the municipality, in such a situation, would be able to plan performance monitoring and evaluation to deter strike actions and protests emanating from poor service delivery as services would be rendered effectively and efficiently. All the respondents were expected to inculcate a culture of performance monitoring and evaluation with quality service delivery.

5.2.3.5 ORTDM managers' perspective on implementation of performance monitoring and evaluation

All seven respondents agreed in giving their responses regarding performance monitoring and evaluation implementation that the municipality had a designated

directorate and the council had an adopted resolution that sought to institutionalise performance monitoring and evaluation. The researcher is, therefore, convinced that if, indeed, the situation was as portrayed the municipality stood a better chance to grow without any, or only a few, difficulties in implementing performance monitoring and evaluation. The municipality would then have created an enabling environment for performance monitoring to thrive well and spill over to the end results of performance monitoring and evaluation. That is good governance.

However, it cannot be assumed that where the council had adopted a resolution on performance monitoring and evaluation there would be no difficulties in the implementation thereof. It is normal that during the implementation of every philosophical foundation or phenomenon, there would be glitches that require a dedicated, committed and courageous management, in order to successfully implement the policy.

Six of the seven (85.7%) respondents further gave the impression to be understanding the contents of legislative frameworks, such as the *Local Government: Municipal Systems Act,* 2000 (Act 32 of 2000), *National Treasury: Performance Planning and Management Regulations*, 2001, ORTDM Performance Management Framework and Integrated Development Plan of 2012-2017 – as the basis upon which the concept of performance monitoring and evaluation could be derived.

This suggests that the municipality had an investment that only needed to be actualised – through ensuring a retention strategy that would focus on them. Despite having been given such responses, there was one (14.28) respondent who seemed to be unsure of the legislation and decided not to respond. Such non-responsiveness implies that some four (57,14)managers, including those who decided to decline participating in the study, were unable to follow implementation mechanisms, processes and the procedures of performance monitoring and evaluation, as regulated.

Based on the above responses and observation, it would be proper to conclude that the ORTDM was at risk of not fully complying with the law; and that would endanger

the good picture painted by other respondents. Non-implementation could lead to a high-risk situation of failing to observe and adhere to the objects of the local government (as stipulated in section 152 of the *Constitution of the Republic of South Africa,*1996), and the developmental local government , as envisaged in the *White paper on Local Government,* 1998, could not be achieved.

The higher the risk of non-implementation of performance monitoring and evaluation, the higher the service-delivery backlogs recorded in the name of the municipality, and the more likely that service-delivery protests would be experienced. As already indicated, it is important to understand that six (85,7) of the respondents form the majority, and one is the minority. It is on this basis that the researcher regarded the agreement that the municipality had an adopted council resolution on the matter of performance monitoring. Both politicians and administrative officials were expected to be fully behind the implementation of the policy. However, the respondents attributed the weaknesses of performance monitoring to the fact that the system that was used focused on senior management only, and excluded the other municipal employees and the politicians.

The above means that there was a need to develop a strategy that would focus on the junior employees, as the performance of the institution did not only depend on managers, but it was everybody's business. The strategy could also be designed so that politicians could be included. Politicians, especially the MMCs as executive policy-makers, are custodians of all municipal policies; and therefore, should be the focal point, in order to be able to account to the citizens and their constituencies. Failure to monitor and evaluate should be treated as a sign of ignorance – and a preparation for disaster.

Out of seven respondents, one (14.28%) also explicitly stated that the policy was intended to set out the priority needs of the municipality – as put forward by the communities. The priorities were said to be determining an amount that the municipality should work towards mobilising, in order to meet the demands of the people. Those demands are what inform policy formulation, for without policy the municipality would not be able to deliver services to the communities. The opinion given by the respondent infers that performance monitoring and evaluation would

help the municipality to practise its internal controls in implementing its budget, in order to efficiently, effectively and economically render services to the citizens. It can be deduced that O R Tambo District Municipality can improve the implementation of performance monitoring and evaluation through taking projects as one of the major elements that can contribute to the satisfaction of the citizens.

5.2.3.6 Performance monitoring and evaluation on projects

The participants were all of the opinion that projects needed to be monitored and evaluated. This exercise could help the municipality to systematically measure the progress from the planning stage up to the finishing or completion of the project or the hand-over of the project. The project beneficiaries or recipients would also be able to understand if the project were a success.

The municipality should be able to detect whether the predetermined objectives, key performance indicators and targets were not being met –by means of monthly and quarterly reports. The reports finally culminate in the performance agreements reviewed by the council. It can be deduced that performance monitoring and evaluation on projects would require that municipality to properly plan the execution of each project, with all resources quality-checked before the starting time. It also means that capacity of the managers and all officials to be involved should be prioritised.

5.2.3.7 Capacity-building programmes of the managers

The respondents all agreed that the municipality had embarked on various capacity-building programmes based on the workplace skills plan (WSP). The programmes were all intended to equip managers on implementation performance monitoring and evaluation. Policy gaps that might have been identified could be closed and service delivery challenges could thereby be reduced.

The municipality, in accordance with all the respondents emphasised the importance of the managers on Municipal Public Accounts Committee workshops – in an effort to properly ensure that service delivery was rendered effectively and efficiently. The

respondents also indicated that the municipality engaged in study tours through parliamentary visits, twinning with the City of Johannesburg and benchmarking of the best practices from municipal counterparts. It can be deduced that the O R Tambo District Municipality embarked on capacity building of its managers in performance monitoring and evaluation, in order to reduce service delivery challenges and have satisfied citizens. However, there were still difficulties in ensuring proper implementation of performance monitoring and evaluation, which are discussed underneath.

5.2.3.8 Implementation challenges of performance monitoring and evaluation

All seven respondents indicated that the performance-management system was not being correctly implemented, as they were of the opinion that, by its very nature, PMS was meant to be developmental and inclusive of other municipal workers. The respondents identified, among the other challenges, the following issues:

- Linkage between the organisational level of planning and individual performance management. This was identified by the respondents and Auditor General's report as one of the shortcomings of performance monitoring and evaluation in the O R Tambo District Municipality. It is evident that where there is no link between the organisational level of planning and individual performance management, it becomes difficult for the municipality to be able to measure performance of individual officials.
- Non-reporting by the managers on some of the indicators and targets. As already indicated, the inconsistency in reporting on predetermined performance indicators and targets has a negative bearing on how services are rendered to the people.
- Non-alignment of performance-management processes and IDP, and the fact that some targets were not easily measurable. This shortcoming of non-alignment of performance targets with IDP makes it impossible for the municipality to measure performance. Even funds cannot be properly accounted for by the municipality in such situation. The immeasurability can create a loophole for underperformance and this directly affects service delivery.

- Signing of performance contracts, and the cascading of performance measures.

It is worth noting that the challenges identified above were also identified by the Auditor General (in the 2010/11 financial year report, 2010/11: 47). The ORTDM IDP (2012-2017:157) also concurs with the challenges cited by the respondents in their questionnaires. The respondents shared the same sentiments with ORTDM IDP and the Auditor General's report, although written in different words. Identifiable from what the respondents provided was an agreement that performance monitoring and evaluation were not easy issues – due to the fact the monetary element seemed to be taking centre stage.

Another common response of the respondents on the performance monitoring, as the role also played by politicians was that the performance-management system as a tool used to measure performance of the managers, rendered it vulnerable to manipulation. That made the system apparently a complete failure. It therefore lacked objective implementation, and left the municipality without really controlling the performance work.

5.4 Conclusion

The above data analysis illustrates the important role that the municipality's role-players such as councillors, officials and ward committees play in the development, implementation and review of the performance of the municipality. It becomes imperative that councillors as legislators ensure that there is performance management system in the municipality. Managers or officials are also indispensable in performance monitoring and evaluation as they play a key role in its implementation. The involvement of ward committees shows commitment of the municipality in deepening and strengthening participatory approach in the implementation of performance monitoring and evaluation. The fact that the respondents were so open to give these views means that the municipality is, in fact, already in pursuance of democratic, transparent and responsive governance.

It can be deduced that proper implementation of performance monitoring and evaluation can be enhanced by meaningful involvement of all role-players such as politicians, officials and community as represented by ward committees. The above argument and deductions of the study led to the conclusions and recommendations appearing in the next chapter.

CHAPTER SIX
FINDINGS, RECOMMENDATIONS AND CONCLUSIONS

6.1 Introduction

This chapter deals with the conclusions of the study in order to make recommendations. The findings were obtained during the analysis of the data collected from the sources stated under research design and methodology.

This chapter also deals with the recommendations that emanate from the findings that came as a result of the analysis of the responses obtained from the respondents. The recommendations were highlighted, in order to enable the municipality to utilise them for remedial work on the implementation challenges of performance monitoring and evaluation. However, these recommendations could also be used by other institutions, whose performance monitoring requires some strengthening and enhancement for the improvement of services to the citizenry. The following are the findings of the study, something that proves the problem statement.

6.2 Findings of the study

The study on the "Implementation challenges of performance monitoring and evaluation in the O R Tambo District Municipality" permitted the researcher to draw some findings. These are explained below.

It is true that the municipalities, including O R Tambo District Municipality as a unit of analysis, have responsibilities that are prescribed in section 152 of the *Constitution of the Republic of South Africa*, 1996.It is also true that the municipalities are required by the *Local Government: Municipal Systems Act,* 2000 (Act 32 of 2000), to develop a performance-management system that is commensurate with its resources, with mechanisms, processes and procedures to give effect to the proper implementation. These statements prove that the municipality, in delivering services to the communities, should have systems that are meant to monitor and evaluate such performance.

To link these statements with the findings of the study, the researcher established that:

(a) OR Tambo District Municipality, as evidenced by the Auditor General's report for the financial year 2010/2011, is not paying much attention to the processes of performance-monitoring and evaluation. This has been supported by the responses given by respondents that the municipality has challenges regarding implementation.

(b) One of the challenges given by the managers was that the performance-management system used by the municipality is not cascading down to the employees entirely.

(c) This finding is one of the indications that performance monitoring and evaluation could not be easily conducted, whilst other employees are excluded. The performance of the municipality is also suspect, in as far as services such as water and sanitation, are delivered: hence the petitions to the Provincial Legislature and the high rate of the use of the Presidential hotline to register dissatisfaction on service delivery-related issues.

(d) The municipality has undergone various steps to ensure that performance monitoring and evaluation are being properly implemented. The responses of the respondents in terms of the qualifications of the managers are giving hope that the municipality should soon be able to improve its situation, as the minimum requirements and relevant qualifications were available, except one who may need some form of experience, in order to meet the requirements. Qualifications of managers could be linked to those of the members of the Mayoral Committee. Having linked the qualifications, it is important to highlight the fact that the municipality stands a good chance of growth and understanding the processes and procedures of monitoring and evaluation.

(e) As six of the managers appeared to have a clear understanding of the legislative framework and other policies forming the basis upon which performance monitoring and evaluation are derived, the researcher discovered that the municipality also managed to invest in human capital. This investment could be linked with the skills-development revolution that ORTDM seems to have embarked on, in order to capacitate its employees.

In Chapter Two of this study, Aguinis (2009:80) argues that employees need to have both declarative and procedural knowledge, in order to be able to perform as expected.

(f) However, the argument provided, coupled with the above statement that ORTDM has managed to equip the employees, means that the municipality does not have a problem regarding knowledge acquisition, but only needs to assist its employees in ensuring that they understand the procedures. This finding is so vital in the implementation of every philosophy – in order to actualise a paradigm shift.

(g) As already indicated, planning is one of the fundamentals of the proper implementation of performance management and evaluation. It becomes important to state that ORTDM has been found to be not very competent in planning its performance. This finding is based on the fact that the respondents unanimously agreed that the municipality has indicators that are not aligned with the IDP, and those that are not reported in the annual report of 2009/2010. For if planning were properly done, monitoring would be something easier to follow.

The following findings are not confined to the responses given by the category of managers, but the other categories also gave responses from which the researcher has established some findings. However, the responses are not much different, as there are similarities and dissimilarities. The following bears testimony.

ORTDM has experienced, and at least enlightened, those councillors who are expected to be giving a clear political direction and able to cause the officials to give an account of all the actions as regards the implementation of performance monitoring and evaluation – through playing the critical role of oversight. The fact that the council has established a Municipal Public Accounts Committee (MPAC) and arranged empowerment sessions indicates its preparedness to implement performance monitoring and evaluation.

(h) However, there is an interesting finding: that the municipality has a designated section for performance monitoring and evaluation, which is expected to ensure proper planning and budgeting for all the municipal

activities that are intended to accelerate service delivery. This finding has the potential to give conflicting outcomes, as some councillors are not aware of the claimed section. This might be due to the fact that some councillors do not necessarily bother themselves with the council resolutions and knowledge of the organisational structure. However, it was also discovered that ORTDM had no monitoring and evaluation champions who would be prepared to take a political risk to produce information on performance and strengthening the basis for accountability.

(i) It has also been discovered that the ward committees are not given enough capacity in terms of understanding performance issues; hence, its inability to deal with service providers that bunk the specifications of the project under construction.

(j) Against the spirit of the *Local Government: Municipal Structures Act,* 2000 (Act 32 of 2000), the respondents highlighted the fact that there were times of being not involved in the performance-management issues, as representatives of the respective villages. This finding has been observed from the response given with regard to the involvement in the introduction of performance monitoring and evaluation policy of the municipality. However, the responses showed a keen interest of ward committees in taking part in the development initiatives intended to upgrade the lives of the citizens in the communities. What is also important to note, is that ward committees acknowledge and appreciate the involvement in the IDP and Budget processes and the role given to play, as an integral part of the IDP and Budget Representative Forum.

(k) Identified as lacking regarding training, were the specific courses that were meant to equip them with monitoring and evaluation skills.

(l) It was also noted that the respondents accept that performance monitoring and evaluation are needed for the effective implementation of every project. The fact that project steering committee was comprised of the respondents was an appreciable role. Out of these findings, it can be deduced that O R Tambo District Municipality's lack of service delivery is owed to non-adherence to legislative framework governing implementation of performance management system, and the improper planning as one of generic functions of administration.

6.3 Recommendations

For a municipality to make significant progress in terms of delivering quality services there is a need to fully comply with all the legislation governing the implementation of performance monitoring and evaluation, as highlighted in the chapter dealing with literature. As it is reflected in the findings, OR Tambo District Municipality is lagging behind in the implementation of this valuable policy; and it needs to meet certain obligations, in order to deliver – according to the expectations of the communities. Alternative measures might well be able to save the current municipality's situation.

It was mentioned that the municipality, as reflected in the previous chapter, is required to take note of those factors influencing performance: declarative knowledge, procedural knowledge and motivation. In this regard, it is suggested that the ORTDM should ensure that the institution has performance monitoring and evaluation specialists or monitoring and evaluation champions, who are fully empowered to drive this valuable objective of the proper implementation of performance monitoring and evaluation. Champions are critical to the success and stability of an M&E system (Kusak and Rist, 2001:21). Champions are regarded as having a strong voice in giving a direction on informed decision-making. This means that the municipality should be able to surmount all the challenges regarding performance monitoring, as in the process of implementation, such a procedure would be institutionalised.

Responses clearly indicated that the managers are mostly qualified; it is therefore, also important to appreciate possession of declarative knowledge, but could be lacking procedural knowledge, and the necessary motivation to properly execute the work.

The findings also show that the municipality faces the glaring challenge of employees who are not evaluated on the daily routine of work, as it is agreed that the current PMS used is meant to assess the section 56 and 57 managers only. The municipality, in this context, should design an internal system control that could oblige everybody to be answerable and accountable. Performance of the municipality could at least be elevated; and the ORTDM could become a municipality of excellence in terms of service delivery. It can be enhanced through

communicating performance trends and targets, not target attainment and ratings. ORTDM should encourage performance improvement with increased diagnostic analysis, practical experiments and knowledge sharing. This suggests that the chief officials of the municipality should be prepared to cascade performance management system in a conducive environment of sharing sessions (Peiffer, 2010:63).

The cascading of PMS with incentives to the lower levels of employees could work for the municipality. However, the municipality cannot rely any longer on pay-based performance, but should rather focus more on a results-performance-based approach. This recommendation is suggestive of the fact that the municipality should take performance monitoring and evaluation as developmental, rather than being judgemental of their employees.

The municipality should also seriously take skills development as its priority issue, in order to be successful in implementing its developmental programmes of improving service delivery. This refers to skilling the officials, communities and politicians as the three most important stakeholders in the pursuance of developmental local government. The training of councillors through refresher courses and structured programmes should be designed. By so doing, councillors would be able to fulfil their developmental mandate. Despite the fact that district municipalities are not as close as local municipalities to the communities, it is also advisable that the ORTDM should embark on supporting ward committees with training in performance monitoring and evaluation.

It is recommended that since ORTDM does not exist in isolation, but in an environment that is socially, politically, economically and culturally influenced, it should strive to indiscriminately engage the communities to actively participate in all its developmental initiatives. That would help to accelerate service delivery through an approach that is understood by all the stakeholders, particularly community organisations (that are referred to in section 152 [1] [e]). It is here stipulated that the municipality must involve communities and community organisations in an effort to adopt participatory approach of monitoring and evaluation. It is also recommended that ORTDM should emphasise the importance of monitoring and evaluation, not

only for administration, but for all role-players. Even the external stakeholders need to be capacitated to understand all monitoring and evaluation elements as important in attaining predetermined objectives of the municipality.

Furthermore, the municipality should request assistance from the Department of Local Government and Traditional Affairs and SALGA – to develop a monitoring and evaluation framework that directly responds to the implementation challenges identified in the research, in order to avoid a “one size fits all” approach, which is currently used by the government in addressing the delicate issues of service delivery. This would help prevent the perpetual engagement of service providers who do not want to transfer their skills.

6.4 Conclusion

The above findings may not necessarily be inclusive of every response given by the respondents; but they are a summary of the views that could contribute to the improvement of service delivery in the municipality – through the implementation of performance monitoring and evaluation in the ORTDM. The fact that the respondents were so open to give these different views means that the municipality is, in fact, already in pursuance of democratic, transparent and responsive governance.

The above recommendations include the hiring of qualified, competent and skilled employees. Every organisation or municipality seeking to realise the expected outcomes should invest in human capital. This is not the only measure that could be adopted, but one among many others, which have already been mentioned. These include proper planning, budgeting, execution, organising and controlling – as key administrative functions. In the event that these functions are adapted and adopted by the municipality, performance could be enhanced and lives of the citizens improved. A better life for all could only be realised through the implementation of proper performance monitoring and evaluation.

It must be understood that this should be done by all the role-players in development initiatives, as suggested in various pieces of legislation governing the municipalities. The ORTDM should be regarded as a strategic organ of State – with powers to

deliver on all the important aspects, such as water and sanitation. It means that this is where capital projects come from; and therefore, need to be highly prioritised by means of well-empowered councillors, ward committees and officials, in order to be equal to the developmental mandate for which there role-players are responsible.

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Annexure 1

Questionnaire to: Councillors and Political Office bearers

Dear Sir/Madam,

This questionnaire is meant for the study on the implementation challenges of performance monitoring and evaluation in the O R Tambo District Municipality. The study intends to examine the implementation processes of performance monitoring and evaluation in the O R Tambo District Municipality and evaluate the reasons and causes of the problems/challenges being experienced. Your participation in the study would undoubtedly add to the body of knowledge for improving the effective implementation of performance monitoring and evaluation in South African municipalities and the public sector at large.

As a participant in the research project you have:

- The right to withdraw at any time without any arbitrary action against you;
- The right to confidentiality and anonymity. You will not be required to provide your – or any other personal details – except the generic demographic data the questionnaire asked you to delineate for our sample.

You will only be required to fill in the attached form, should you be interested and willing to participate in the study.

It also important that you should be aware of the fact that the ethical integrity of the study has been approved by the Research Ethics Committee – Human (REC-H) of the Nelson Mandela Metropolitan University, Port Elizabeth – to ensure that the rights and welfare of participants in the research are protected, and that the study is conducted in an ethical manner. The study could not have been conducted without the REC-H' approval. Queries with regard to your rights as a participant in the study can be directed to the Research Ethics Committee – Human, Department of Research Capacity and Development, P O Box 77 000, Nelson Mandela Metropolitan University, Port Elizabeth, 6031.

The results of the research study may be presented as an academic research report and in academic journals. The data will also be kept in line with the regulations – for

a period of five years. You are, however, assured that your identity will at all times remain confidential.

Yours sincerely
Sibongile Goodman Sotshongaye

QUESTIONS (MAKE USE OF (√)

Demographic and other information

Official Name of the Municipality;

1. What is your age?

20 – 30	31 – 40	41 – 50	51 – 60

2. What is your gender?

FEMALE	MALE

3. What is your preferred language?

ISIXHOSA	ENGLISH	AFRIKAANS	ANY OTHER

4. What is the highest level of education you have completed?

PROFESSIONAL CERTIFICATE/ DIPLOMA	BACHELOR'S DEGREE	POST-GRADUATE DEGREE	MASTER'S /DOCTOR DEGREE

5. **Length of service**

0 – 1YR	2-4YRS	5-10YRS	OVER 10YRS

Policy on monitoring and evaluation and its implementation

6. Does your municipality have a policy on Monitoring and Evaluation?

YES	NO

7. Explain the nature of the policy.

8. Is there a specific Municipal Council Resolution on the implementation?

YES	NO

9. Are there institutions which are designated for the Implementation of Monitoring and Evaluation?

10. Please give a short explanation of the training provided for Councillors and other political office bearers on the oversight role over the implementation of performance monitoring and evaluation

10. Give your opinion on how performance monitoring and evaluation assist in improving service delivery and the performance of your functions.

11. Please provide a short explanation of how performance monitoring and evaluation is being implemented in the municipality

12. Would you describe it as beneficial to the management of service delivery programmes? Explain.

13. Can you suggest areas of improvement that could assist the effective implementation of performance monitoring and evaluation?

THANK YOU FOR YOUR CONTRIBUTION

ANNEXURE 2

Questionnaire to municipal manager and managers directly accountable to the municipal manager

Dear Sir/Madam,

This questionnaire is meant for the study on implementation challenges of performance monitoring and evaluation in the O R Tambo District Municipality. The study intends to examine the implementation processes of performance monitoring and evaluation in the O R Tambo District Municipality, and to evaluate the reasons and causes of the problems/challenges being experienced. Your participation in the study will undoubtedly add to the body of knowledge for improving effective implementation of performance monitoring and evaluation in South African municipalities and the public sector at large.

As a participant in the research project you have

- The right to withdraw at anytime, without any arbitrary action being taken against you;
- The right to confidentiality and anonymity. You will not be required to provide your name or any other personal details – except the generic demographic data the questionnaire asks to delineate our sample.

You will only be required to fill in the attached form, should you be interested and willing to participate in the study.

It also important that you be aware of the fact that the ethical integrity of the study has been approved by the Research Ethics Committee – Human (REC-H) of the Nelson Mandela Metropolitan University, Port Elizabeth – to ensure that the rights and welfare of participants in the research are protected, and that the study is conducted in an ethical manner. This study could not have been conducted without the REC-H' approval. Queries with regard to your rights as a participant in the study can be directed to the Research Ethics Committee – Human, Department of Research Capacity and Development, P O Box 77 000, Nelson Mandela Metropolitan University, Port Elizabeth, 6031.

The results of the research study may be presented as an academic research report and in academic journals. The data will also be kept in line with the regulations for a period of five years. You are, however, assured that your identity will at all times remain confidential.

Yours sincerely,
Sibongile Goodman Sotshongaye

1. Gender?

FEMALE	MALE

2. What is your preferred language?

ISIXHOSA	ENGLISH	AFRIKAANS	ANY OTHER

3. What is your highest educational qualification?

PROFESSIONAL CERTIFICATE / DIPLOMA	BACHELOR'S DEGREE	POST-GRADUATE DEGREE	MASTER,S/DOCTOR DEGREE

4. Length of Service

1 – 5 YRS	6 – 10 YRS	11 – 15YRS	16 – 20YRS	21 – 30YRS

5. Official name of the Municipality

Policy and implementation of performance monitoring and evaluation

6. Is the municipality or the directorate implementing a policy on performance monitoring and evaluation?

YES	NO

7. Please give a short explanation of the policy or legislation being implemented

8. Is the policy backed by Municipal Council Resolution for the implementation?

YES	NO

9. If “yes”, please briefly explain what the policy is intended to achieve?

10. Does every municipal project, programme or official have to be performance evaluated?

YES	NO

11. If “yes”, how is it to be monitored?

12. Does the municipality provide training and capacity-building programmes for monitoring and evaluation?

YES	NO

13. If “yes” please give a brief description of the nature of the training.

14. Do you think performance monitoring and evaluation are effective tools to measure the performance of officials?

YES	NO

15. Give reasons for your answer.

16. Have you identified any challenges in the implementation of the policy of performance monitoring and evaluation in the directorate or the municipality?

YES NO

17. Please give explanation and the challenges observed.

18. Would you prefer that the policy be implemented differently?

YES NO

19. Give reasons.

20. Can you suggest any areas of improvement in the implementation of performance monitoring and evaluation?

Thank you for your contribution

Annexure 3

Questionnaire to members of ward committees

Dear Sir/Madam,

This questionnaire is meant for the study on implementation challenges of performance monitoring and evaluation in the O R Tambo District Municipality. The study intends to examine the implementation processes of performance monitoring and evaluation in the O R Tambo District Municipality and evaluate the reasons and causes of the problems/challenges being experienced. Your participation in the study will undoubtedly add to the body of knowledge for improving effective implementation of performance monitoring and evaluation in South African municipalities and the public sector at large.

As a participant in the research project you have

- The right to withdraw at anytime without any arbitrary action being taken against you;
- The right to confidentiality and anonymity. You will not be required to provide your name or any other personal details, except the generic demographic data the questionnaire asks to delineate our sample.

You will only be required to fill in the attached form, should you be interested and willing to participate in the study.

It also important that you be aware of the fact that the ethical integrity of the study has been approved by the Research Ethics Committee – Human (REC-H) of the Nelson Mandela Metropolitan University, Port Elizabeth – to ensure that the rights and welfare of participants in the research are protected, and that the study is conducted in an ethical manner. The study could not have been conducted without the REC-H' approval. Queries with regard to your rights as a participant in the study can be directed to the Research Ethics Committee – Human, Department of Research Capacity and Development, P O Box 77 000, Nelson Mandela Metropolitan University, Port Elizabeth, 6031.

The results of the research study may be presented as an academic research report and in academic journals. The data will also be kept in line with the regulations for a

period of five years. You are, however, assured that your identity will at all times remain confidential.

Yours sincerely

Sibongile Goodman Sotshongaye

QUESTIONS (MAKE USE OF √)

1. What is the name of your municipality?

2. What is your gender?

FEMALE	MALE

3. What is your language?

ISIXHOSA	ENGLISH	AFRIKAANS	ANY OTHER

4. What is the highest level of education you have completed?

PROFESSIONAL CERTIFICATE /DIPLOMA	BACHELOR'S DEGREE	POST-GRADUATE DEGREE	MASTER'S DEGREE

5. How long have you been serving in the ward committee?

1- 3yrs	4- 7yrs	8yrs or more	Other

Performance monitoring policy and implementation

6. Do you have any idea of the implementation of performance monitoring and evaluation in the municipality?

YES	NO

7. Please give a brief explanation of your understanding of how this is done.

8. Were you involved in the introduction of performance monitoring and evaluation in the municipality? Answer YES or NO and give a brief explanation.

9. If you were involved, did you undergo any training on performance monitoring and evaluation? Give reasons for your answer.

10. Briefly comment on the usefulness of monitoring and evaluating performance in the municipality?

11. Do you think there are challenges to the effective implementation of performance monitoring and evaluation in the municipality?

YES NO

12. Motivate your answer.

13. Can you suggest how performance monitoring and evaluation could be better implemented, in order to improve service delivery?

Thank you very much for your input and support.