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THE ROLE OF PERFORMANCE, MONITORING AND EVALUATION WITHIN MUNICIPAL SERVICE DELIVERY: A CASE STUDY OF CAPRICORN DISTRICT MUNICIPALITY, LIMPOPO PROVINCE

By

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Thesis submitted in the fulfilment of the requirement for the Degree of
DOCTOR OF ADMINISTRATION

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DECLARATION

I, **Mahlodi Joyce Sethu**, (Student Number: 17018886) hereby declare that the Research Thesis for the Degree of Doctor of Administration submitted to the Department of Public and Department at the University of Venda, entitled "The role of Performance, Monitoring and Evaluation on Municipal Service Delivery: A case study of Capricorn District Municipality, Limpopo Province" has not been submitted previously for any degree at this or another university. It is original in design and in execution, and all reference material contained therein have been duly acknowledged.

26 September 2021

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I would like to extend my gratitude and appreciation to the following people and institutions that contributed significantly to the completion of this study:

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- To my special friend, B.S Morotoba, I am grateful to be part of your life. You showed confidence in me, supported in every way and gave your undivided attention throughout. Much appreciated.

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- I am immensely grateful to the University of Venda, for granting me the opportunity to register for the Degree of Doctor of Administration and for funding throughout this study. (RESSC Ethics Certificate attached).

DEDICATION

This thesis is dedicated to my late mother, Mrs. N.R Pitjeng who passed away on the 07th of January 2016. I will always remember her laughter, kindness and jokes. Irrespective of her departure, the bond will never die. May her beloved departed spirit rest in eternal peace.

ABSTRACT

This research study is about the role of performance, monitoring and evaluation on municipal service delivery in the Capricorn District Municipality, Limpopo Province. The performance, monitoring and evaluation (PM&E) is used by the Department of Performance, Monitoring and Evaluation (DPME) to track service delivery progress by local government. The notion of PM&E was introduced by Cabinet in 2011. The introduction of government-wide monitoring and evaluation (GWM&E) as a policy framework has contributed towards the improvement of PM&E on municipal service delivery. The study used mixed research methods, where qualitative and quantitative research methods were used. A pragmatic research paradigm was used as a philosophical partner for the mixed research methods. The study employed a narrative exploratory research design and a descriptive research design. Purposive sampling method was used as a sub-type of non-probability to select the participants of the study and interviews and questionnaires were utilised to collect data. Data collected through the questionnaires was analysed through International Business Machinery (IBM): Statistical product and service solutions (SPSS) latest version; the results were presented in the form of tables, with frequencies and percentage, followed by a synthesis of information. The researcher also applied a thematic-narrative data analysis approach, which focuses on a variety of procedures for interpreting research data. Outlined also were the research ethical guidelines that informed this study.

The key finding of the research study was that the PM&E systems have failed to serve their purposes, chiefly due to lack of implementation of policies and corruption among officials. The study also revealed that majority of respondents, 43 (38%), disagree that senior managers understand the role of PM&E on municipal service delivery, thus, this did not influence their decision-making processes on municipal service delivery. The research study therefore recommends that a more systematic monitoring and evaluation of policy interventions be undertaken. Management tools must be employed as interventions to influence decision-making processes to eliminate resistance to change. Communication and intervention strategies should be promoted to

educate and empower role-players in the execution of PM&E programmes/projects.

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LIST OF ACRONYMS

AG	:	Auditor-General
AC	:	Audit Committee
BP	:	Batho Pele
BSC	:	Balanced Score-card
CCRs	:	Core Competency Requirements
CDM	:	Capricorn District Municipality
CDW	:	Community development worker
CFO	:	Chief Finance Officer
CoGTA	:	Department of Cooperative Governance and Traditional Affairs
COVID	:	Corona Virus Diseases
DPLG	:	Department of Provincial and Local Government
DPME	:	Department of Performance, Monitoring and Evaluation
DPSA	:	Department of Public Service and Administration
DWAF	:	Department of Water and Forestry
ECD	:	Early Childhood Development
FMPPI	:	Framework for Managing Programme Performance Information
GEAR	:	Growth, Employment and Redistribution
GFOA	:	Government Finance Officers Association
GWM&E	:	Government Wide Monitoring and Evaluation

HRM	:	Human Resource Management
IBM	:	International Business Machinery
IDP	:	Integrated Development Plan
IGR	:	Intergovernmental Relations
IPP	:	Information Performance Plan
JOPA	:	Journal of Public Administration
KPA	:	Key Performance Area
KPI	:	Key Performance Indicators
LEGDP	:	Limpopo Employment Growth and Development Plan
MBO	:	Management by Objectives
MDG	:	Millennium Development Goals
M&E	:	Monitoring and Evaluation
MEC	:	Member of the Executive Council
MFMA	:	Municipal Finance Management Act
MIS	:	Management Information System
MMC	:	Member of the Mayoral Council
MTEF	:	Multi-term Expenditure Framework
N1	:	National Road 1
NDP	:	National Development Plan
NEPF	:	National Evaluation Policy Framework
NGO	:	Non-governmental organisation

NPC	:	National Planning Commission
NPM	:	New Public Management
NSPS	:	National Spatial Development Perspective
OECD	:	Organisation for Economic Cooperation and Development
PA	:	Public Administration
PGDS	:	Provincial Growth and Development Strategies
PM	:	Public Management/Performance Management
PM&E	:	Performance, Monitoring and Evaluation
PMC	:	Public Service Commission
PMDS	:	Performance Management Development System
PMS	:	Performance Management System
POSCDRB	:	Planning, Organising, Staffing, Coordinating, Directing, Reporting, Budgeting
PPI	:	Programme performance information
PPP	:	Public-Private Partnerships
RESSC	:	Research Ethics Social Sciences Committee
PSCBC	:	Public Service Commission Bargaining Council
RDP	:	Reconstruction and Development Programme
RSA	:	Republic of South Africa
SA	:	South Africa
SALGA	:	South African Local Government Association

SAMDI	:	South African Management Development Institution
SASQAF	:	South African Statistics Quality Framework
SCM	:	Supply Chain Management
SDBIP	:	Service Delivery Budget and Implementation Plan
SPSS	:	Statistics Product and Service Solutions
SWOT	:	strengths, weaknesses, opportunities, threats
TOC	:	Theory of Change
UHDC	:	University Higher Degrees Committee
UN	:	United Nations
UNDP	:	United Nations Development Programme
UNICEF	:	United Nations International Children's Emergency Fund

CHAPTER 1

INTRODUCTION AND BACKGROUND OF THE STUDY

1.1   INTRODUCTION

The Constitution of the Republic of South Africa, 1996 (hereinafter referred to as Constitution, 1996), states that the local sphere of government is given effect by Section 151 (1). Section 151 (1) of the Constitution, 1996, states that local government consists of municipalities which must be established for the whole of the territory of the Republic. This study focused on the role of performance, monitoring and evaluation (PM&E) on municipal service delivery in the Capricorn District Municipality (CDM), in Limpopo Province. Section 152 of the Constitution, 1996, mandates the local governments to structure their administration to give priority to the basic needs of their communities. Two of the objects provided for in section 152 (1) of the Constitution, 1996 relevant to this study are - to ensure the provision of services to communities; and to encourage the involvement of communities and community organisations in the matter of local government.

Nkomo (2017:2) states that local government is the engine of basic service delivery. It is charged with the provision of basic services to communities in a sustainable manner, hence, municipalities are required to develop the communities they serve. Performance, monitoring and evaluation (PM&E), as discussed by Dlamini and Migiro (2017:376), are there to track progress and to evaluate effective outcomes of basic services programmes and projects. This study focused on how PM&E impact municipal service delivery by making sure that CDM provides effective and efficient basic services to its communities; local government is regarded as the platform for effective and efficient service delivery.

South African Local Government Association (SALGA) (2015:2) emphasizes that the role of local government is in building a developmental orientated public service; its programmes/project as reflected in IDP and other plans, should address mandates stipulated on the National Development Plan (NDP) towards 2030. It is, therefore, necessary for local government to assess the extent to which PM&E impacts on municipal

service delivery. It is essential also that municipalities (in this instance, CDM) ensure that there are regular PM&Es in their IDPs for effectiveness and efficiency.

This chapter presents the introduction and background of the study, statement of the problem, aim of the study, objectives of the study, research questions, significance of the study, delimitation of the study, definition of operational concepts as well as the organization of the study.

1.2. BACKGROUND OF THE STUDY

The Presidency (2018:1) states that municipalities, like any other organisation in the private and public sectors must be performance-driven if they want to maximise their performance output levels. In this context, municipalities must endeavour to develop and implement a meaningful, holistic and effective performance, monitoring and evaluation (PM&E) system which would add value to the decision-making processes for management, as well as provide an evaluation tool for all stakeholders. PM&E is a systematic approach where performance is monitored not only at organizational but also at an individual level. Consequently, this will provide a framework for performance that is compliant to the legislation concerned.

In the study of Public Administration, the presence is acknowledged of the so-called private sector phenomena, for example, stakeholder's interest, shareholders, risks, and client preferences. This is obvious in the municipal sphere of service rendering through public-private partnerships and public entities as provided for in the relevant municipal legislation. Reference is made here, to the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000) and the Local Government: Municipal Finance Management Act, 2003 (Act No. 56 of 2003) which refer to the new concept of governance relating to the extended area of operation of the public sector. The local sphere of government has experienced increased participation of the private sector in the so-called Public-Private-Partnerships (PPPs). These partnerships are used for small and big infrastructure delivery as innovative methods and value-for-money solutions. For example, the South African government has developed what is called, National Treasury's PPP Manual (Note No. 02 of 2004) as a way of regulating PPP project cycles for government at all three

spheres, outlining policy and providing procedural clarity (South Africa-National Treasury, 2004: I).

This current way of considering the provision and procurement of public services has also ushered in a dimension of corporate governance principles found in the King I-1994, II-2002 and III-2009 reports which were originally aimed at the private sector. The King reports are now also applicable to Section 239 institutions as outlined in the Constitution, 1996. Section 239 of the Constitution, 1996 defines an "organ of state" to include institutions in one of the three spheres of government, that is, department of state or administration. Section 38 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), prescribes that municipalities must have a PM&E that can account for resources in line with their strategic objectives. The National Evaluation Policy Framework (NEPF) (2016:1) states that the policy framework for performance, monitoring and evaluation (PM&E) was approved by Cabinet In 2010. The NEPF policy framework was developed from the government-wide monitoring and evaluation (GWM&E). The GWM&E policy framework system provides for the overall framework on monitoring and evaluation (M&E) systems in South Africa.

The Presidency (2018:2), stipulates that Cabinet gives the Department of Performance, Monitoring and Evaluation (DPME), through the Department of Cooperative Governance and Traditional Affairs (CoGTA) the mandate to oversee the implementation of PM&E, therefore, the Presidency (2018:11) mandates the DPME to play a crucial role in the coordination of PM&E within government. The GWM&E policy framework aims to provide an integrated framework of monitoring and evaluation principles and to deliver useful monitoring and evaluation systems to its users. The Department of Cooperative Governance and Traditional Affairs is delegated the responsibility to focus on the facilitation of the PM&E development plans; this ensures the monitoring and evaluating the performance of local government as well as providing support to local government in addressing PM&E.

The Department of Performance, Monitoring and Evaluation (2017:1), states that the purpose of NEPF, in connection with performance information is to improve on accountability regarding public spending, to improve on decision-making and to increase

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knowledge about progress made regarding GWM&E. Dlamini and Migiro (2017:379) alluded to the fact that PM&E seeks to coordinate all government structures' activities to assess the performance of progress made on programmes and projects. The DPME is the main custodian of GWM&E, therefore, monitors and evaluates the GWM&E policy framework. Cabinet mandated the DPME to coordinate PM&E across the government board, within the public sector. The GWM&E is applicable to all entities in the national, provincial and local spheres of government, to accelerate service delivery. Section 85 of the Constitution, 1996, requires Cabinet, through the Presidency to exercise executive authority regarding PM&E. The Presidency (2018:5) highlighted the following government departments to be key structures for the development and implementation of GWM&E.

The National Treasury as the lead government institution, has issued a framework for managing programmes' performance information (FMPPI) as mandated by Sections 215 and 216 of the Constitution. Section 215 of the Constitution, 1996, states that national legislation must prescribe budgets for each sphere of government and Section 216 of the Constitution, 1996, states that national legislation must prescribe measures to ensure transparency. In this study, the Municipal Finance Management Act, 2003 (Act No. 56 of 2003) indicates compliance with the local legislation regarding PM&E. The FMPPI aims at clarifying performance information standards, improving the PM&E systems, defining roles and responsibilities of PM&E, as well as promoting accountability.

1.2.1 Components of Performance, Monitoring and Evaluation

National Treasury (2016:2) explains that the PM&E system has three components - programme performance information, social, economic and demographic statistics and evaluation. According to the National Treasury (2016:18) and the Presidency and Premiers' Offices, the FMPPI is a component of GWM&E. The Presidency and the Premiers' Offices play a direct role in aspects like, providing political impetus, overall oversight in government, monitoring and evaluating the effectiveness of policies and plans and providing performance information on PM&E progress reports. National Treasury (2016:18) states that national departments responsible for concurrent functions are directly involved in the development of their GWM&E systems. For example, the DPME is the main custodian regarding PM&E, followed by the Department of Cooperative

Governance and Traditional Affairs (CoGTA). The Department of Cooperative Governance and Traditional Affairs supports and assists local government in managing their performance information regarding PM&E. In addition, CoGTA monitors and evaluates the overall service delivery within the provincial and local governments. In this study, the importance of CoGTA in supporting the implementation of PM&E is highlighted. The Department of Public Service and Administration (DPSA) is responsible for the overall overseeing of the public service. The DPSA assists government departments to develop and implement management policies and systems. The DPSA also assists the public service to improve service delivery through initiatives such as the *Batho Pele* principles. In this study, the promotion of municipal service delivery focusing on the role of PM&E, when conducting interviews is investigated (National Treasury, 2016:21).

The National Treasury proposed that monitoring and evaluation of service delivery within the public sector should be statistical in nature. Section 14 (6) of the Statistics Act, 1999 (Act No. 06 of 1999) states that the Statistician-General advises organs of state on how to follow the criteria and standards provided in compiling statistics. Subsequently, Section 14 (7) of the Statistics Act, 1999 (Act No. 06 of 1999) designates that statistics produced should be regarded as official data collected, therefore, the Statistician-General is authorized to comment on the quality of statistics produced.

South African Management Development Institute (SAMDI) (currently, the National School of Government), as informed by section 4 (3) (b) of the Public Service Act, 1994 (Act No. 103 of 1994) states that training relevant to the scope intended may be provided and that certificates to successful candidates must be issued. The National School of Government plays an important role in rolling out the GWM&E's policy framework. The Presidency (2017:19) stipulates that the annual reports of government departments must include audited financial statements. Section 20 (1) (c) of the Public Audit Act, 2004 (Act No. 25 of 2004) requires the Auditor-General to express opinions on performance information. Attention in this study is paid to Section 121 (3) of the Municipal Finance Management Act, 2003 (Act No. 56 of 2003), where financial statements of municipalities are directed to be audited for sound financial management.

Cloete (2006) explains that monitoring and evaluation is used for a variety of purposes and the purpose for which it is used determines the orientation of each evaluation. Monitoring and evaluation systems augment managerial processes and provide evidence for decision-making. The question that should be asked is, whether the quality of the M&E information provided is appropriate and how well it feeds into existing managerial processes. Monitoring and evaluation can never replace good management practices, rather, it they should augment and complement management. Some examples of M&E used in this context are decisions on resource allocation, choices between competing strategies to achieve the same objective, policy decisions, and decisions on programme design and implementation. The accuracy of information and the way it is presented become critical for supporting management in their decision-making processes.

Monitoring and evaluation are also a research tools to explore what programme designs, or solutions to societal problems, will work best and why; in other words, what programme design and operational processes will create the best value for money (Public Service Commission, 2007). Monitoring and evaluation should provide an analysis and evidence for trade-offs between various alternative strategies. The information gathered should be translated into analytical, action-oriented reports that facilitate effective decision-making (Kusek & Rist, 2004). The focus here is on causes of problems rather than the manifestation of problems, therefore, in this study, PM&E have been used to examine the state of municipal service delivery within CDM.

Figure 1.1: The Policy Life-Cycle

Figure 1.1: The Policy Life
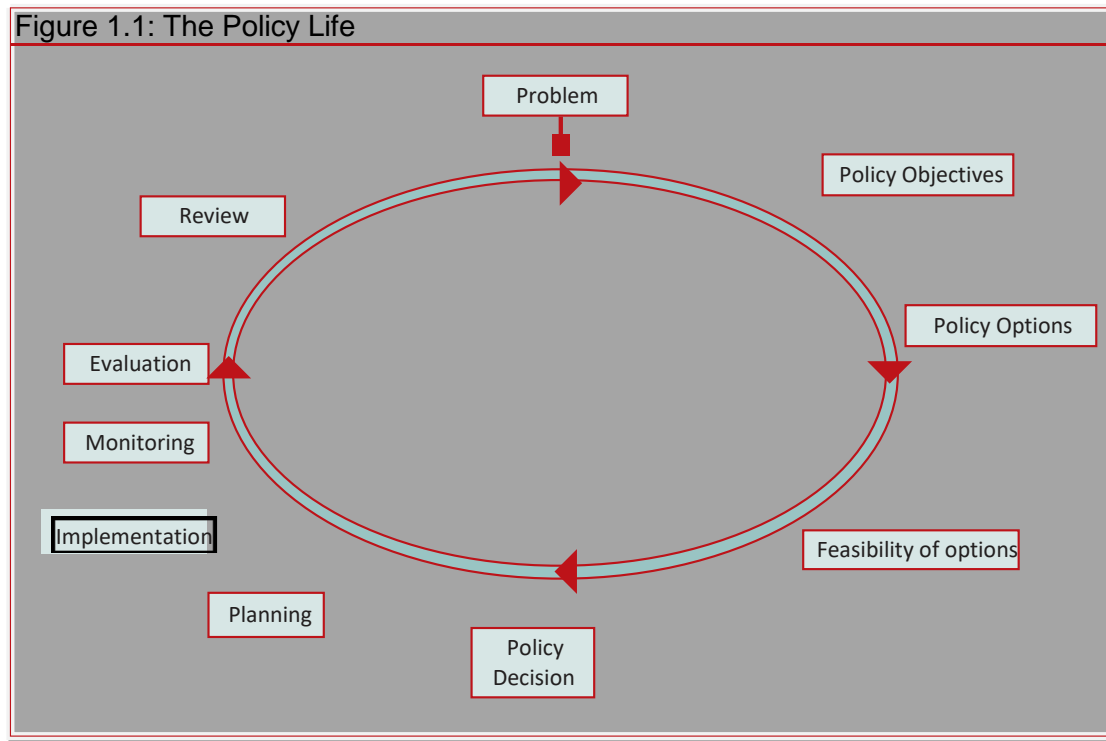
(Source: Public Service Commission, 2007)

Figure 1.1 shows where M&E fits in the policy-making and implementation cycle. From the depiction of the cycle in Figure 1.1, the evaluation of the success of policy and the reasons for success or failure, are critical parts of the process. This evaluation should not, necessarily, be a formal, technical evaluation but one that is intricately part of administrative and political processes where the judgements and power of key decision-makers play the primary role. Monitoring and evaluation mediate this by producing valid evidence for policy decisions, thereby ensuring greater objectivity (Kusek & Rist, 2004). Public policy is a set of statements that "determines what actions government will take, what effects those actions will have on social conditions, and how those actions can be altered if they produce undesirable outcomes", hence, policy evaluation is also an inherent part of M&E (Fox, *et.al.,* 1991:30). In view of the above Fox, *et.al.,* (1991:30) argue that the stages of problem identification, determining policy objectives, examining

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policy options, and taking a policy decision constitute a complex process filtered through many layers of stakeholders. These stakeholders include political parties, civil society, legislative and executive arms of government, and government departments; policies on these are is argued and explained in various documents, although, the process is invariably not as sequential or rational as depicted. This is noted by the Public Service Commission (2008) in saying that options and rational evaluation of the feasibility, or the costs and benefits, of options, in any precise sense, assume perfect knowledge of what will work, which is frequently not the case.

1.2.2 The Government-Wide Monitoring and Evaluation Guiding Principles

The Presidency (2007:19) stipulated that GWM&E as an overall policy framework was introduced in 2007. The GWM&E has seven guiding principles, which are:

- Monitoring and Evaluation should be development-orientated and should address key development priorities of government and of citizens;

- It should be undertaken ethically and with integrity (that is, observe confidentiality, respect, demonstrate competency and fair reporting);

- It should be utilisation-orientated (that is, define expectations and meet strategic needs and ensure that an accessible central repository of evaluation reports and indicators is maintained);

- Methods should be sound (that is, have consistent indicators, be evidence-driven, supported by credible data, which are appropriate and triangulated);

- Should be rights-based and advance government's transparency and accountability (that is, encapsulate elements of transparency, accountability, participation and inclusiveness);

- Should be operationally effective (that is, planned, scope-clear, managed, cost-effective and systematic); and

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- Should encapsulate and contribute to good governance and responsible leadership (The Presidency, 2007).

Dlamini and Migiro (2016:379), state that GWM&E is an innovative and improved system for accountability which further enhances the effectiveness of government. The GWM&E as an overall policy framework for PM&E was applicable in this study.

Figure 1.2: Policy Frameworks of the Government-wide Monitoring and Evaluating System

The Government-Wide Monitoring and Evaluation Guiding Principles

Government-wide Monitoring and Evaluation Framework

Evaluations Framework

Evaluations

Statistics and Surveys Framework

Social, Economic and Demographic Statistics

Programme Performance Information

Framework for Managing Programme Performance Information
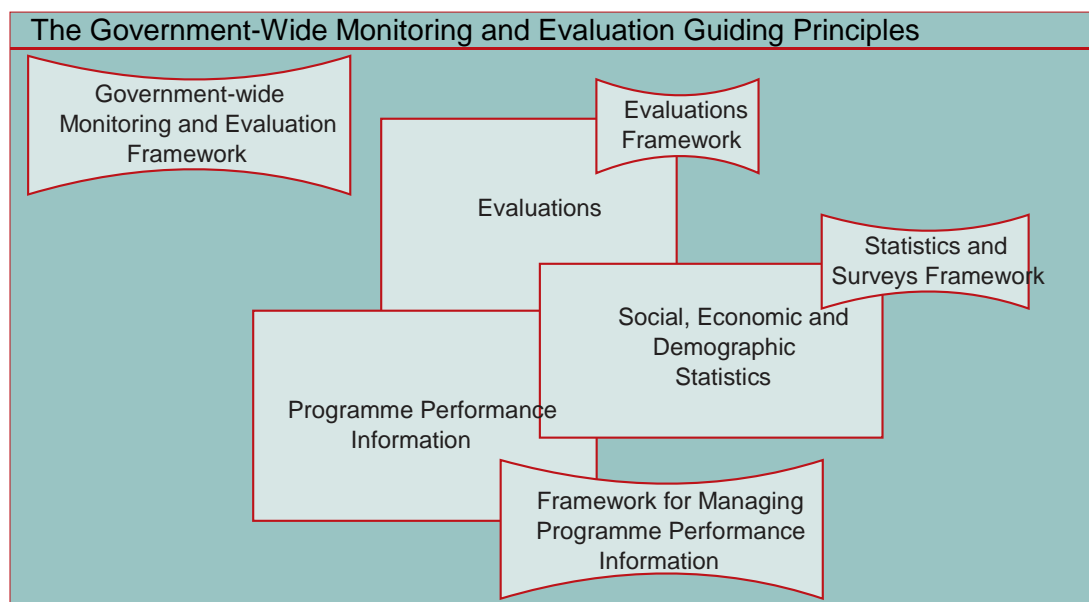
(Source: Presidency. 2007).

South Africa established the GWM&E system to improve accountability and good governance (JOPA, 2016:379). Government-wide monitoring and evaluation system is an overall policy framework for PM&E within the South African government and is applicable to the national, provincial and local spheres of government (The Presidency, 2007:54). It is a managerial tool aimed at providing managers and other relevant stakeholders with strategies to effectively implement PM&E. As currently conceptualised, the GWM&E relies on systems in departments in all spheres of government to provide the information from which the performance of the whole of government can be judged.

The Presidency (2007:55) stipulates that PM&E seeks to coordinate all government activities in order to assess the relevance, performance, challenges and successes of programmes and projects. The policy coordination and advisory services in The Presidency have already produced essential whole-of-government performance reports; for example, the Towards a Ten-Year Review in 2003, and the Development Indicators mid-term review in 2007, based on data supplied by departments, from systems that feed into the GWM&E system (The Presidency, 2007:56).

The Presidency and Premiers' Offices (national and provincial spheres of government) play a direct role in aspects of providing political impetus, overall oversight in government, monitoring and evaluating the effectiveness of policies and plans and providing performance information on PM&E progress reports (The Presidency, 2007). National Treasury (2016:18) states that national departments responsible for concurrent functions are directly involved in the development of GWM&E systems. The DPME, for example, is the main custodian regarding PM&E, followed by the Department of Cooperative Governance and Traditional Affairs (CoGTA). The Department of Cooperative Governance and Traditional Affairs supports and assists local government in managing their performance information regarding PM&E. CoGTA, subsequently, monitors and evaluates the overall service delivery within provincial and local governments (The Presidency, 2007).

In this study, CoGTA in supporting the implementation of PM&E is considered essential. According to The Presidency (2007), the DPSA is responsible for the overall overseeing of the public service in assisting government departments to develop and implement management policies and systems. In addition, the DPSA assists the public service to improve service delivery through initiatives, such as the *Batho Pele* principles. In this study, the promotion of municipal service delivery focusing on the role of PM&E when conducting interviews for employments is investigated (National Treasury, 2016:21). The National Treasury proposes that monitoring and evaluation of service delivery within the public sector should be statistical in nature. Section 14 (6) of the Statistics Act, 1999 (Act No. 06 of 1999) states that the Statistician-General advises organs of state to follow the criteria and standards provided in compiling statistics. Section 14 (7) of the Statistics Act,

1999 (Act No. 06 of 1999) explains that statistics produced should be regarded as official data, hence, the Statistician-General is authorized to comment on the quality of statistics produced.

South African Management Development Institute (SAMDI) (currently, the National School of Government), as informed by section 4 (3) (b) of the Public Service Act, 1994 (Act No. 103 of 1994) states that training relevant to the scope of responsibilities intended may be provided and that certificates to successful candidates must be issued. The Presidency (2017:19) stipulates that the annual reports of government departments must include audited financial statements. Section 20 (1) (c) of the Public Audit Act, 2004 (Act No. 25 of 2004) requires the Auditor-General to express opinions on performance information. At local level sphere of government, the GWM&E system is also regarded as a managerial tool aimed at providing decision-makers with a strategy regarding the achievement of the goals and objectives contained in the IDP (JOPA, 2016).

1.3   STATEMENT OF THE PROBLEM

The PM&E was introduced by Cabinet in 2011, through the GWM&E policy framework. which is applicable to all spheres of government. The focus is on whether the introduction of GWM&E as a policy framework contributes towards the improvement of PM&E, on local government. The implementation of PM&E has put enormous pressure, on municipalities, to improve service delivery.

There are challenges with PM&E, in and around CDM that impact adversely on service delivery. These include lack of leadership commitment in implementing basic financial and performance management (attributable to the ineffectiveness of PM&E within municipalities), lack of staff capacity on PM&E committees; shortage of and poor infrastructural services, and an increase in service delivery protests within municipalities as a result of poor or lack of basic services to communities. The Capricorn Annual Report (2017-2018), states that PM&E still has challenges with implementation due to lack of human capacity. A study conducted by Maepa (2015:13) indicates that local government continues to experience challenges of coordination in governance.

A further study by Nelson (2016:2), confirms that PM&E is still a challenge for municipalities to implement; this is evident from the ineffective performance in local governments. The Auditor-General (2015-2017), indicated that poor implementation of PM&E within municipalities was from leadership concerns which need to be corrected. The Auditor-General (2015-2017) further states that there have been expectations of improvement, however, progress has been less than acceptable. The Auditor-General (2017-2018), states that in Limpopo, there is a fundamental regress of programmes' implementation, rather than improvement. The challenge seems to be due to inadequate financial management, despite these programmes having been outlined in the municipalities' IDP.

The study undertaken by Maepa (2015:15) adds that local governments' IDP documents are an essential catalysts for societal development of beneficiaries. PM&E management problems have existed, over the years in local government, showing the negative performance of IDP programmes. National Treasury (2018:45), states that changes in both the internal and external business environments are approached through PM&E. This is one critical area requiring continuous intervention within local government due to key challenges. PM&E has in the recent years become a necessary requirement for programmes/projects, therefore, this study required ways of assisting CDM to improve on service delivery through effective role of PM&E on municipal service delivery.

1.4.   RATIONALE OF THE STUDY

The implementation of PM&E has put local government under enormous pressure. According to Niven (2017:3), improved service delivery and control of public funds within municipalities need to be promoted. As such municipalities are under scrutiny to deliver for PM&E to be improved. There is generally an absence of a strong PM&E culture within local government. Based on this assumption, the study recommended ways identified under chapter 5, to improve on the role of PM&E in municipal service delivery. There is a need for continuous improvement in service delivery within local government. The high levels of recent service delivery protests require regular review, that is, monitoring and evaluation through the implementation of PM&E systems (Motingoe, 2012).   By

answering the research questions, the researcher provided overarching views on strengthening and progressing the role of PM&E, on municipal service delivery in CDM.

1.5. AIM OF THE STUDY

The aim of the study is to investigate the role of PM&E on municipal service delivery and recommend effective strategies that can be used to improve service delivery.

1.6 OBJECTIVES OF THE STUDY

The specific objectives of this study are:

- To ascertain the role of PM&E on municipal service delivery;
- To examine the significance of PM&E on service delivery in municipalities;
- To establish the challenges faced by local government in the implementation of PM&E;
- To evaluate the consequences of poor implementation of PM&E;
- To examine PM&E location within Public Administration; and
- To recommend the strategies that can be used to improve PM&E on municipal service delivery.

The above-mentioned research objectives are the focus of this study; in other words, empirically, the study intended to establish the role of PM&E on municipal service delivery at CDM. The research objectives assisted in making recommendations to assist CDM towards effective PM&E.

1.7 RESEARCH QUESTIONS

The following are the research questions of the study:
- What is the role of PM&E on municipal service delivery?
- What is the significance of PM&E on service delivery in municipalities?
- What are the challenges faced by municipalities in the implementation of PM&E?
- What are consequences of poor implementation of PM&E?
- What is PM&E location within Public Administration?

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- What are the strategies to be used to improve PM&E on municipal service delivery?

The above-mentioned research questions were highlighted in the research instrument as topics for the interview sessions. These research questions were used both in the questionnaire (closed and open-ended) and during the interview.

1.8   SIGNIFICANCE OF THE STUDY

The Auditor-General (2018-2019:6) made mention that the GWM&E policy framework describes the three data terrains underpinning monitoring and evaluation system as - programme performance information, social, economic and demographic statistics and evaluation. The monitoring and evaluation system will always remain priority in guiding not only transformation, but effective implementation of PM&E on municipal service delivery. The study findings will therefore propel and compel CDM to put in place mechanisms to improve on the provision of basic services to the communities. The study would benefit the Municipal officials in that information and useful insight will be provided into the implementation of PM&E, thus, staff would be motivated. Community members could also benefit from the study in that they will no longer experience uninformed practices towards the implementation of PM&E and poor provision of basic services in that there will be increased accountability.

Niven (2017:3) states that improved service delivery and control of public funds within municipalities need to be promoted. The high levels of recent service delivery protests require regular review, that is, monitoring and evaluation through the implementation of PM&E systems. By answering the research questions, the researcher will, therefore, provide overarching views on strengthening PM&E on municipal service delivery. The study findings can be used as a platform for learning and innovation by other municipalities within the Limpopo province and perhaps, the entire country.

1.9   DELIMITATION OF THE STUDY

The study focuses on the role of PM&E on municipal service delivery. The researcher delimited the study to CDM in the Limpopo Province as the area of interest. Capricorn

District Municipality is one of the five districts situated in the center of Limpopo. It is comprised of four local municipalities, namely, Blouberg, Lepelle-Nkumpi, Molemole and Polokwane (CDM) and this study was done to get a clearer understanding of the role of PM&E around CDM.

Figure 1.3: Capricorn District Municipality Map
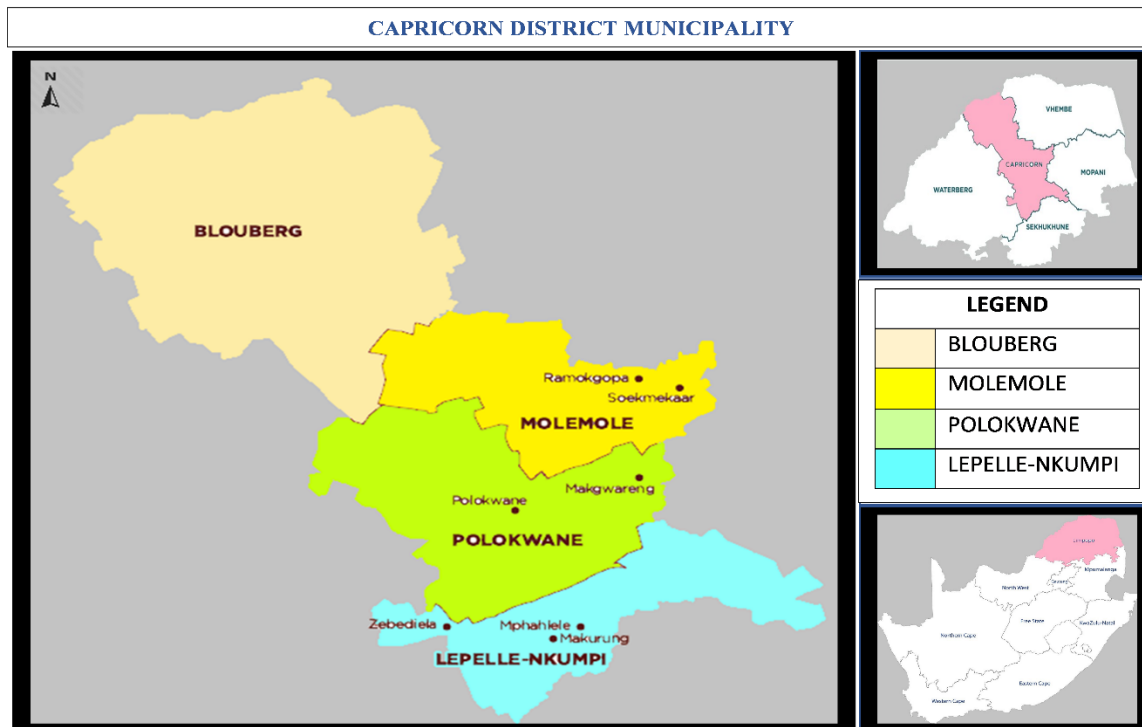
(Source: Geographic Information System, 2019).

The District is situated at the core of economic development in the Limpopo Province as the City of Polokwane is the capital of the Province. One national and various major provincial roads pass through the area - the N1 - National Road from Gauteng to Zimbabwe and the rest of Africa, the P33/1 (R37) from Polokwane to Burgersfort/Lydenburg, the P94/1 (R521) from Polokwane to Alldays and Botswana and the P17/1 (R71) from Polokwane to Tzaneen and Phalaborwa. As indicated above, the study covered the four local municipalities identified under CDM.

1.10 LIMITATIONS OF THE STUDY

The main limitation of the study encountered, had to do with the study being conducted during the outbreak of Coronavirus (COVID-19). Return of the distributed questionnaire was low and the anticipated feedback from the researcher did not occur. From some responses, it seem some respondents might have supplied wrong information to impress the researcher instead of reporting what is exactly happening, however, these limitations

could not affect the results, significantly. This data showed that there is a correspondence between the content of the self-collected primary data and the facts that exist in CDM in terms of the role of PM&E on municipal service.

The other factor which contributed to the limitations was that the research was not completed on time due to the following:

- The late response from both the Ethics Committee and UHDC (University Higher Degrees Committee), due to lockdown reasons;

- Limited funding for travelling, accommodation, binding, and editing, and

- Limited access to information.

Efforts were, however, made to ensure adherence to the research plan. To enforce trustworthiness, reliability and validity of data and to ensure balanced objectivity and impartiality of the results, the researcher appointed research assistants at the University of Venda to facilitate the collection of data and the analysis processes. The researcher ensured that respondents felt free to participate during the filling of questionnaires and not at any stage did they feel intimidated or forced to respond in a particular direction. For the study, accuracy was double-checked purposefully to ensure that no coding errors appeared.

1.10   DEFINITION OF OPERATIONAL CONCEPTS

This study is conceptualised in terms of and based on the following conceptual frameworks: performance, performance management, monitoring, evaluation, monitoring and evaluation, as well as local government.

1.10.1 Performance

In his study, Maepa (2015:8), defines performance as the accomplishment of a given task measured against present known standards of accuracy, completeness, cost and speed. Online (2011:4), notes performance as an actual accomplishment, the produced output or successfully using knowledge as opposed to merely possessing it. In this study, performance is about doing the work, as well as about the results to be achieved.

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1.10.2 Monitoring

The Organisation for Economic Cooperation and Development (OECD) (2012:27), outlines monitoring as a continuous function that uses systematic collection of data on specific indicators. The indicators provide management and stakeholders' details on the extent of progress and achievement of objectives. The Department of Human Settlements (2015:26), adds that monitoring is a continuous function that uses the systematic collection of data on specified indicators to provide an ongoing intervention, on the extent of progress made on programmes and projects. For this study monitoring refers to the tracking of progress made towards the implementation of PM&E.

As alluded to by The Presidency (2007), monitoring is an integral part of day-to-day operational management that assesses progress against objectives.

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

Monitoring usually precedes, leads up to and forms the basis for evaluation. Findings from monitoring may be used as part of evaluation, but evaluation tools may also be used for monitoring (SAMDI, 2007).

1.10.3 Evaluation

The Organisation for Economic Cooperation and Development (OECD) (2012:27) states evaluation as a systematic and objective assessment of an on-going or completed programme. The National Evaluation Policy Framework (NEPF) (2017:3), on the one hand, defines evaluation as the systematic collection and objective analysis of evidence. It is a requirement for public policy programmes, functions and organisations to assess issues such as performance through notions of value for money and recommend ways forward. For this study, evaluation refers to the assessment of PM&E on programmes and projects' intervention.

The DPME (2019) specifies that evaluation is a decision-making tool to be incorporated into the planning cycle and the performance management of government.

- Evaluation is a systematic assessment of the strengths and weaknesses of the design, implementation and the results of completed or on-going interventions.
- Its aim is to help improve these interventions.
- The main objective of evaluation is to supply information on the lessons learnt from work already done to influence future planning.
- Evaluation is a systematic process with key indicators or criteria against which to evaluate the work done.
- Inputs, activities, outputs outcomes and impact are components of the evaluation process. Ways to evaluate inputs, activities, outputs outcomes and impacts are essential components of M&E.

Various phases of an intervention may need to be evaluated; for example, the evaluation of a project may take place at a particular 'milestone', at the end of a financial year, or at the end of the entire project. Impact evaluation may need to take place after a specified period and/or after a project has ended (SAMDI, 2007). Evaluation is a branch of applied research that attempts to ascribe cause-effect relationships within a specific context (SAMDI, 2007). There are inherent dangers in ascribing cause-effect relationships; for example, other factors which were not considered in the original planning could have influenced these relationships. There are also ethical issues to consider, for example, it

is not always possible to have an experimental and a control group due to scarce resources (Kundi, 2006).

1.10.4 Monitoring and evaluation

The United Nations Development Programme (UNDP) (2012:5), explains monitoring and evaluation (M&E) as measuring the performance of programmes or projects so that the outcomes and inputs can be well managed. The Department of Human Settlements (2015:32), elucidates monitoring and evaluation as a management strategy by which organizations and services contribute to the achievement of clearly-stated results. In this study, monitoring and evaluation strategies were investigated to ascertain if they make a contribution towards improved service delivery within local government.

Table 1.1   Comparison between Monitoring and Evaluation

Monitoring	Evaluation
On-going	Periodic
Focus: Tracking performance	Focus: Learning, improving future work
Conducted internally	Conducted externally or internally, often by another unit within the organisation
Answers the question: "What is going on"?	Answers the question: Why do we have the results indicated by the data?

(Source: UNICEF, 1991)

1.10.5 Local Government

Chapter 7 of the Constitution, 1996 provides that the three spheres of government are distinctive, interdependent and interrelated. Section 151 (1) of the Constitution, 1996, states that local government is the lowest sphere of government and consists of municipalities which are established for the whole territory of the Republic of South Africa (RSA). The Constitution, 1996 brought democracy and transformation improvement by raising the status of local government (from the lowest sphere of government) by granting them delegated responsibilities. Kotze (2015:49) states that local government is a local democratic unit within a unitary democratic system. For this study, local government refers is, democratically, the lowest sphere of government closest to the people aimed at rendering effective service delivery.

1.11 ORGANISATION OF THE STUDY

This study is divided into 6 chapters which are as follows:

1.11.1 Chapter 1:   Introduction and Background of the Study

Chapter 1 provides introduction and background of the study, statement of the problem, rationale of the study, aim of the study, objectives of the study, research questions, significance of the study, delimitation of the study, definition of operational concepts and organization of the chapters of the research.

1.11.2 Chapter 2:   Literature Review

Chapter 2 provides literature which is relevant to the role of PM&E on municipal service delivery in CDM. The chapter first presents the theoretical framework of the study, then an overview of the theory of change (TOC) and a discussion around the perspective of PM&E. This chapter also presents relevant legislations and policies and their relevance to the study. The characteristics, development and challenges around PM&E are, scrutinized with an indication of the relevant legislation for the promotion and maintenance of proper service delivery to communities. It is, therefore, imperative to

discuss the role and the strategies as to how to implement effective PM&E on municipal service delivery.

1.11.3 Chapter 3:   Research Design and Methodology

Chapter 3 provides details with regards to the research design and methodology used in investigating the role of PM&E in municipal service delivery. The reasons of the choice and use of a mixed research methodology (qualitative and quantitative research paradigm) are provided in this chapter. The research methodology and research design outline the research approaches, population of the study, sample, sampling method and sampling size. Data collection, pilot study, recording and transcribing of the data, ethical considerations observed in conducting the research are aspects also outlined in this chapter.

1.11.4 Chapter 4:   Data Presentation, Analysis and Interpretation

Chapter 4 presents a comprehensive research report, hence, all information and data collected, through questionnaire and interview are analysed and presented.   In this chapter is a discussion of the sampled population's responses as a way of providing an understanding of the role of PM&E on municipal service delivery. The data collected used both the qualitative and quantitative methods which involved the completion of questionnaires and interviews with the participants. This chapter is divided into two sections: analysis of data collected through questionnaires and analysis of data collected through interviews. The data collected is presented, analysed and interpreted both in a graphic tabular form and in a narrative depicting the role of PM&E on municipal service delivery in CDM.

1.11.5 Chapter 5: Findings of the Role of Performance, Monitoring and Evaluation on Municipal Service Delivery

Chapter 5 looks at the findings of the role of PM&E on municipal service delivery, hence, throughout this chapter, the study either confirms or disproves the hypotheses of the study. It further defines the local context and considers its role on PM&E in relation to the legislation available for conceptualisation. The chapter concludes the thesis and draws together major findings concerning the rational of the problem statement. In this chapter, synthesis of the research findings is discussed. This summarises the main findings as reflected in the integrated analyses of the study.

1.11.6 Chapter 6: Conclusion and Recommendations

Chapter 6 concludes the thesis and draws together major recommendations concerning the rational of the problem statement. In this chapter, synthesis is given of recommendations as reflected in the integrated analyses of the study and for future research studies on related subjects.

CHAPTER 2

LITERATURE REVIEW AND THEORETICAL FRAMEWORK

2.1   INTRODUCTION

This chapter reviews literature that is relevant to PM&E of municipal service delivery. This chapter reviews the literature from various sources to provide a theoretic framework on the topic. The rationale for the inclusion of the theory of change (TOC) is that its assumptions and principles are consistent with the views of this study and the basis within which recommendations from this research are made. This chapter presents topics which are related to the study, which include the TOC, characteristics of M&E, the development on performance management and challenges in performing PM&E on municipal service delivery.

This chapter also presents legislation and policies relevant to the study. These include, the Constitution, 1996, Municipal Systems Act, 2000 (Act No. 32 of 2000), White Paper on Local Government, 1998, White Paper on Transforming Public Service Delivery, 1997, Intergovernmental Framework Act, 2005 (Act No. 13 of 2005), Municipal Finance Management Act, 2003 (Act No. 56 of 2003), Municipal Planning and Performance Regulations, 2001, and Municipal Performance Management Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, 2006.

This chapter puts together the policy framework which includes the *Batho Pele* principles; and GWM&E relevant to PM&E. The chapter concludes by addressing the objectives of the study: the role of PM&E on municipal service delivery, the significance of PM&E on service delivery in municipalities, the challenges faced by local government in the implementation of PM&E, the consequences of poor implementation of PM&E, PM&E location within the discipline of Public Administration, and the strategies that can be used to improve PM&E of municipal service delivery.

2.2 THEORETICAL FRAMEWORKS ON PERFORMANCE, MONITORING AND EVALUATION

This chapter presents the theoretical framework on the role of performance, monitoring and evaluation on municipal service delivery. One of the theories underpinning PM&E which this study focuses on, is the theory of change (TOC).

For the purpose of this study, the implementation approach of PM&E was focused on how well a project, programme, or policy is being executed, and it often links the implementation to a unit of responsibility. This approach, however, does not provide policymakers, managers, and stakeholders with an understanding of the success or failure of a specific project, programme, or policy (Kusek & Rist, 2004:15). In contemporary PM&E, the new focus is on "results-based PME systems" that are designed to address the "so what" question. The new tick-box type questions include:

- So, what about the fact that outputs have generated results?
- So, what about activities that have taken place?
- So, what about the outputs from activities that have been counted? (Sanders, 2018).

It can be argued that a results-based system provides feedback on the actual outcomes and goals of government actions; in other words, the crucial issue of results and the examination of outcomes and impacts, which Kusek & Rist (2004:15) call the '"so what" question. The authors argue that there has been an evolution in the field of PM&E involving a movement away from traditional implementation-based approaches toward a new results-based approaches; the latter assists in answering the "so what" question. Governments and executive authority, thus, may successfully implement programmes or policies. There are, however, still questions like - Have they produced the actual, intended results? Have governments and executive authority delivered on promises made to their stakeholders (the citizenry)? What is the impact of programmes against previous results? (Sanders, 2018).

2.2.1 Theory of Change

Vogel (2012:5), explicates the theory of change (TOC) as an ongoing process of discussion-based analysis; it is a way of supporting programmes and projects at regular intervals. James (2011:7), contributes that TOC can be illustrated as a process towards the final product through elements. A theory of change describes how an intervention will deliver the planned results. James (2011:7), states that a causal/result chain (or logical framework) outlines how the sequence of inputs, activities and outputs of a program will attain specific outcomes (objectives). This in turn will contribute to the achievement of the overall aim. James (2011:8) adds that this implies a causal chain maps: inputs (financial, human and other resources), activities (actions or work performed to translate inputs into outputs), outputs (goods produced and services delivered), outcomes (use of outputs by the target groups), and aim (or final, long-term outcome of the intervention).

Rogers (2008:2), alludes that TOC consists of a set of assumptions and abstract projections regarding how stakeholders believe reality could be told in the future. This is based on a realistic analysis of current context, self-assessment about their capabilities of process facilitation and a crucial and explicit review of the study, assumptions of community involvement in monitoring and evaluation and a process that helps monitor consciously and critically, individual and collective ways of thinking (Rogers, 2008:4). The Theory of Change helps to describe how altercations may occur within different stages of a project without any sure prediction being made and how these changes can be altered through strategic intervention measures. O'Flynn (2012:3), notes that the TOC is key to this kind of study as it enables project team and stakeholders to focus energy on specific future realities that are fundamental to the success of project aspects. The elements of the TOC are illustrated diagrammatically below:

Figure 2.1: Elements of the Theory of Change on PM&E
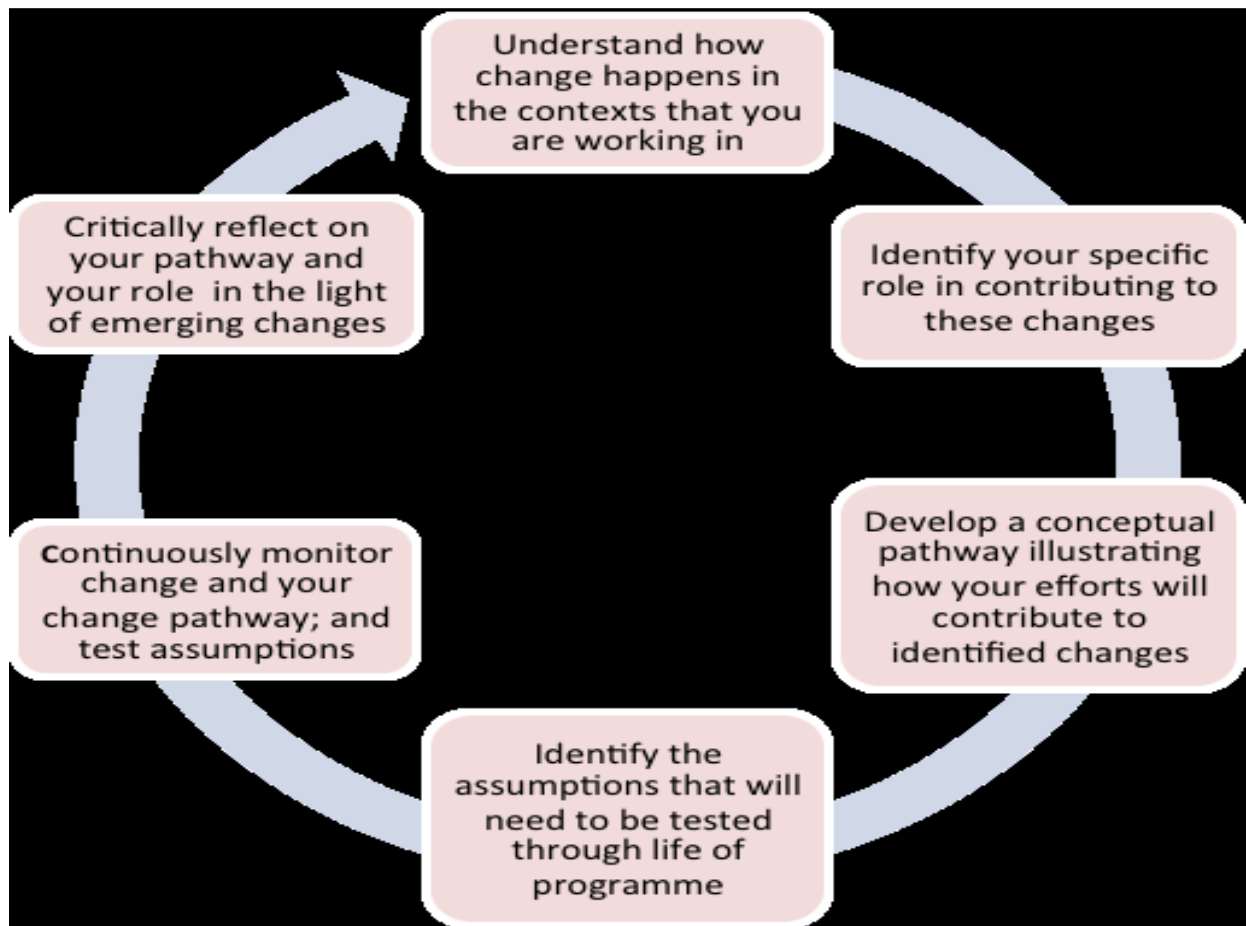
(Source: Maureen O' Flynn, 2012)

O' Flynn (2012:3), states that the TOC is an approach in planning for monitoring and evaluation. Vogel (2012:5), adds that the TOC emphasises ongoing process of discussion-based analysis and learning. Learning can produce powerful insights to support programme design, implementation, and narratives. Common elements of the TOC are explained below:

- Understand how change happens in the contexts that you are working. In this study, the researcher researches and describes how change will happen by focusing on the context of how participants do their day-to-day business about promoting PM&E;

- Identify specific roles contributing to the change in context. This is the point where the researcher will focus on the bigger picture (effective PM&E). Theory of Change contributed towards steps in arriving at the ultimate results;

- Develop a conceptual pathway illustrating how your efforts will contribute to identify changes. The first component of TOC indicates that an understanding of PM&E within local government is expected, therefore, the process of TOC is illustrated. The researcher identified who to work with; how to work with participants; what changes are expected; and how changes will link and support each other;

- Identify the assumptions that need to be tested throughout the life of the programme. In this step the researcher focuses on the assumptions that are expected to be true. This is done through the identification of gaps; what to note; as well as the process of a pilot study;

- Continuously monitor change which would then result in alterations to the pathways and testing of assumptions. Pathways, based on an understanding of how changes will happen, are developed; at this point, researchers would have tested the research instrument; and

- Critically reflected on their pathways and your role in the light of emerging changes. This step provides an essential opportunity to reflect on whether there are correct participants; to what extent changes are happening; to what extent is the effort contributing; and what are lessons have been learnt (O' Flynn, 2012).

Valters (2015:1), states that the TOC framework is applied through the above-mentioned elements, although, TOC thinking does not follow specific guidelines for data collection. As the name suggests, a TOC is the thinking behind how an intervention brings about results. It is an organisation's critical assumptions on how their interventions will bring about change (Valters, 2015:3). As a different entry point, the following were noted: identification and description of contributions, including the role and assessment of staff who carry out the mandate of PM&E. The TOC's identification is not in accordance with the consistency of the above-mentioned cycle, rather through a completed continuum. According to INTRAC (2015:3), impact analysis, as a link to TOC, provides essential

analysis on PM&E that is needed for effectiveness. Through TOCs best strategic plans or rather IDPs can easily be developed and implemented.

There is a link to monitoring process through TOC; this is vital in that programmes would be assessed continually, since change happens every day. Another essential link to TOC is evaluation. INTRAC (2015:3), states that TOC lays out the expected story in advance for change to happen, while INTRAC (2017:1) indicates that TOC is an essential tool for the PM&E to influence policy. The influence is not only for improving service delivery and enhance decision-making, but also for accountability and reporting to both the internal and external stakeholders. TOC, thus, is viewed as a key principle towards adaptation in which programmes/projects become an experiment to test the hypothesis of the study. INTRAC (2017:2), further alluded to the fact that once the above-mentioned elements of TOC are completed, outcomes against projects identified, for example in the IDP, can be easily measured. The study therefore argues that when PM&E is constructive about TOF, implementation becomes easy and effective.

2.2.2 Characteristics of Monitoring and Evaluation

Monitoring and evaluation (M&E) is an effective tool, which is utilised to achieve good governance and effective service delivery. South African local governments have also followed a culture of M&E as established by the GWM&M framework. The Presidency (2017:16), confirmed that it is necessary that PM&E systems are effective to help with the detection of early warning signs of corruption or any other forms of non-compliance. Jones (2011:3), argues that the M&E system is widely recognised as being a crucial strategy for managing and implementing programmes in both the public and private sector organisations.

Pierre (1999:377), states that the inclusion and characteristics of the concept of M&E in local government have several important consequences. The consequences assist in bringing together theories of the local government and rural political economy into a broader analytic framework, while the governance system in rural politics highlights a

wide range of challenges on municipalities' ability to bring about change in the local communities.

Maepa (2015:134), investigated PM&E in Africa and concluded that its achievement is rare. Maepa (2015:135), continues that in South Africa, PM&E system has similar characteristics as those in Africa, hence, the country has an added advantage to learn from other countries. Some of the problems facing South Africa include - firstly, most of the local government officials are not capable of designing and implanting PM&E due to lack of training; secondly, the challenge of locating PM&E, as currently the process is under PMS and finally, leading agencies find it difficult to measure PM&E impact on donor-driven initiatives. Performance, monitoring and evaluation in CDM addresses donor's concerns, rather than local accountability related to broader development issues. In this regard, the disproportionate element of donor initiative reduces commitment to local PM&Es in the district. CDM is a developmental local government, and this should ensure that its programmes in the IDP are properly planned, monitored and evaluated.

United Nations International Children's Emergency Funds (UNICEF) (1991:48), states that there are different views about the term, M&E, so before discussing the concept, it is necessary to give precise definitions so that we have a common understanding of its meaning. Monitoring is defined as the regular collection and analysis of information that provides managers with feedback and early indications of progress or lack thereof towards project objectives. Monitoring helps continual self-evaluation through both formal and informal systems and is the process of continuously collecting information about the progress of a program. Collecting the information should be a normal part of the day-to-day work of programmes. The purpose of doing that is to help stakeholders decide whether activities are being implemented as planned; the information obtained is then used to make decisions about improving the management and implementation of the program (UNICEF, 1991:50).

Govender (2013:37), states that evaluation, on the other hand, is a systematic exercise that assesses the results of a project's activities in terms of efficiency, effectiveness, relevance, sustainability and impact. In its broadest sense, this means to assess or judge

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the worth or value of something. Govender (2013:37), adds that in a project context, it is a process to measure the outcomes, impacts and effectiveness of a program; in other words, to use the ongoing lessons learned to better the implementation process; this is done by determining the achievement of goals and objectives. Program evaluations are separately scheduled activities performed at specific intervals (for example, in the middle, or at the end, of a program), therefore, whilst monitoring and evaluation are related, there are also some differences, as shown in the Table below:

Table 2.1: Comparison of Monitoring and Evaluation Activities

Activity	Monitoring	Evaluation
When is it done?	Continuous, but mostly during implementation.	At fixed times (during and/or after implementation).
What information is collected?	Directly available information about outputs.	More detailed information, may be harder to get.
With what purpose?	To check that activities are being implemented as planned.	To see whether the goals and objectives are being reached.
Who does it?	Program staff as part of their day-to-day work.	Internal or external team with specialist knowledge, assisted by program staff.
How is the result used?	To improve the quality of implementation and adjust planning as input to evaluation.	To judge the impact on the target population, adjust objectives; Decide the future of the program

(Source: UNICEF, 1991:3)

2.3   What is the Purpose of Monitoring and Evaluation?

The International Labour Organisation (ILO) (2016:28), indicates that various countries in the developing world are now fully engaged in setting up PME systems; for instance, the members of the OECD are involved, with the objective of adopting public sector management tools that have proved to be effective. Countries such as South Africa are implementing PME as a reform programme in a transformed political environment.

The World Bank Poverty Group on Impact Evaluation (White, 2006:3), states that impact evaluation assesses the changes that can be attributed to an intervention, such as a project, programme or policy, both the intended ones, as well as, ideally, the unintended

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ones. In contrast to outcome monitoring, which examines whether targets have been achieved, impact evaluation is structured to answer the question: How would outcomes such as participants' well-being have changed if the intervention had not been undertaken? This involves counterfactual analysis, that is, a comparison between what happened and what would have happened in the absence of the intervention (White, 2006:3). PM&E is a management tool for those who manage anything from a small project/program component to the entire project. The purpose of using M&E is to improve the project/program implementation, to both achieve and enhance the impact of a project.

A good M&E system will help in the following:
- Clarify what impact the project/program is expected to have;
- Decide how progress and impact will be assessed;
- Gather and analyze the necessary information for tracking progress and impact;
- Explain the reasons for success and failure; and
- Agree on how to use this information to improve future actions.

Similarly, good governance contributes to a good M&E system (Nelson, 2016). Effective M&E can:
- Provide managers with information needed for day-to-day decisions;
- Provide key stakeholders with information to guide the project's strategy;
- Provide early warnings of problems;
- Help empower primary stakeholders, especially, beneficiaries and involve them more;
- Build understanding and capacity amongst those involved in it; and
- Assess progress and so build accountability.

In summary, a good M&E system is a tool for managing impact, however, it is not a tool that replaces the other specific management functions of planning, leading, organizing and controlling. Evaluators of projects frequently have five standard questions that need to be answered (Nelson, 2016). An M&E system, thus, should be designed to provide answers to those questions:

- Relevance: Did the project address priority problems faced by the target areas and communities? Was the project consistent with policies of both donors and recipient governments (or agencies)?

- Effectiveness: Have activities, outputs and outcomes been achieved?

- Efficiency: Were inputs (that is, staff, time, money, equipment) used in the best possible way to achieve outputs? Could implementation be improved? Was there a better way of doing things?

- Impact: What has been the contribution of the project to higher-level development goals? Did the project have any negative, or unforeseen, consequences?

- Sustainability: Have the necessary systems been put in place to ensure the project itself, and more particularly, the project benefits, continue once the project and its (foreign) funding has ended?

If the above questions are answered well, M&E is termed as effective and contributing well to PM&E as a whole (Nelson, 2016).

2.4   Performance Management within Performance, Monitoring and Evaluation

The Local Government's Municipal System Act, 2000 (Act No. 32 of 2000), states that performance management is an iterative process of setting targets, monitoring performance against those targets, and taking steps to improve performance. It can help municipalities to work more effectively towards meeting development challenges, because it allows them to assess the impact of the various strategies they are pursuing. It can also enhance accountability, because it allows municipal councillors and staff, and local communities, to monitor whether they are receiving value for money spent on various services. According to the DPSA (2019:29), every municipality must establish a performance management system which must be suited to the municipality's circumstances. It must also be in line with the priorities, objectives, indicators and targets contained in the municipal integrated development plan.

Pulakos (2014:27), states that, for instance, a municipality which has identified the extension of water services as a key priority, may want to design its performance management system to enable it to measure the increase in access to water services in

the area. Municipalities with more capacity will probably decide to measure their performance against more indicators than municipalities with less capacity. Pulakos (2014:27), asserts that performance management is not only about monitoring and evaluation; it is also about organisational culture, which is the attitudes and practices which inform how municipal staff work, daily. Municipalities must promote a culture of performance management in their structures, political offices, and administration. In other words, municipalities must encourage working practices which are economical, effective, efficient and accountable. Maepa (2014:125), adds that if a municipality has an executive committee or executive mayor, they are responsible for the municipality's performance management system. If a municipality, however, does not have such personnel, it must appoint a committee of councillors to manage its performance management system. The South African Local Government Association (2011) reiterates that the executive committee, executive mayor, or committee of councillors must:

- Manage the development of the municipality's performance management system (PMS);
- Assign responsibilities for the PMS to the municipal manager; and
- Submit the proposed PMS to the municipal council for adoption.

A municipality's performance management system is the primary mechanism to monitor and evaluate objectives set in the IDP, to improve on the effectiveness of service delivery.

2.4.1 Development of Performance Management

The Local Government Municipal System Act, 2000 (Act No. 32 of 2000), states that the development of Performance Management System (PMS) emanates from the principles of Performance Management. Lavhelani (2016:374), is of the view that, it is critical to understand the principles embedded in effective management in an organisation. Magoro (2016:396), reiterates a similar contribution, that when a municipality develops its PMS it must be guided by the principles in the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000); these focus on - political stability, any lack of operational skills in the municipality, availability of resources, grade of municipality, concerns about

implementation of the municipality's PMS and issues surrounding monitoring and evaluation of performance.

Over the years, a body of knowledge has been developed, including concepts such as performance appraisal/review/measures/indicators/, value for money and total quality management. Van der Waldt (2007:110), points out that "the increased emphasis on performance, as illustrated by statutory and regulatory requirements, facilitated the incorporation of a performance orientation in municipalities". Performance management has been defined as an "integrated, systematic, approach to improving institutional performance to achieve corporate strategic aims and promote the organisation's mission and values" (Ghobadian & Ashworth in Van der Waldt 2007:112).

In essence, a performance management system should have as its main objective, enhancing the output of staff qualitatively, by developing a linkage to municipal objectives, thereby emphasising both an individual and institutional dimension to performance. Boyle (2006:112), has identified five issues that impact the performance management system in the municipalities and they are:

- Outputs: quality and quantity of services (for example, housing, water and

  sanitation) in relation to municipal policy;
- Efficiency: cost per unit of output;
- Effectiveness: achievement of objectives specified per service delivery output, that is, the relationship between outputs and outcomes;
- Responsiveness: involving perceptions of receivers of service. The higher the level of satisfaction with services rendered, the more responsive municipalities are seen to be; and
- Democratic outcomes: accountability, probity and participation.

Pulakos (2004:2) stipulates that performance monitoring and evaluation is part of the performance management system, consequently, each municipality should have a

comprehensive performance management system in place to ascertain that all structures and systems of the municipality are working in unison to ensure that goals and service delivery targets of the municipality are being achieved. The UNDP (2009) makes mention of the fact that municipal performance, unlike the private sector is not a clear-cut issue as there are many qualitative and quantitative factors impacting on the process.

2.4.2 History of Performance Management

Pulakos (2004) indicates that performance management was used in the early 1960s wherein its justification was related to income, particularly, the determination of salaries through performance. According to Lavhelani & Ndebele (2016:362) the performance management approach was developed in the United Kingdom. It came into visible effect in the early 1990s, through the Balanced Scorecard and MBO. The balanced scorecard was introduced in the early 1990s wherein its base was on goal congruence to improve performance and it focused on characteristics of financials, internal processes, client/customers and learning.

Authors such as Kaplan & Norton (1996), describe the balanced scorecard as a strategic management system focusing on the following: vision and mission/strategy clarification and translation; linking strategic objectives and measures to communication; planning, setting targets and aligning strategic initiatives; strategic feedback and learning enhancement, as well as linking measures with reward. On the other hand, MBO was first introduced in the 1950s. It stipulated that management or rather organizations will be more successful if the following are attained: working together as a team; avoiding inherent dislike of work and role playing of respective responsibilities (Dinesh & Palmer: 1998:2).

2.4.3 Current issues on Performance Management

Pulakos (2014:3), argues that for development of performance, management needs to be effective in all categories of organisations and the PMS must be well articulated through the roadmap shown hereunder.

Figure 2.2: Typical Performance Management Process

(Source: Pulakos, 2004)

2.4.3.1   Performance Planning

Pulakos (2014:4), refers to the review of employee's expectation for future development, at the beginning as a necessity, hence, the behaviour of an employee is essential to

prevent the disruption of work at hand. In this study MBO was given priority in connection with results and employees' behaviour on PM&E.

Minnaar (2010:67), indicates that performance planning as a process, concentrates on formulating indicators and targets that can be used to activate measures and evaluate performance. The first phase in the performance planning process involves categorising core functions to identify key performance areas (KPAs). These represent the broad areas where the institution must operate well to ensure success in terms of its policy mandate, thus, these are vital for setting up a balanced performance assessment scorecard. Municipalities plan during the IDP processes with their communities by developing long, medium, short term goals.

KPAs are defined by Minnaar (2010:67), as specific areas in respect of which the institution will manage and monitor institutional performance, identified by carefully analysing the institutional mandate; KPAs form the basis for the design and selection of strategies. A specific KPA may include several outcomes identified as core institutional objectives during the defining of the institutional mandate. Once the KPAs have been identified, they must be translated into measurable terms. In institutional performance plans, each goal, objective and activity must be linked to performance indicators and performance framework is designed for this purpose, by an institution. The institutional strategy is translated into departmental and individual plans to measure performance of the department and individuals (Minnaar, 2010:66)

2.4.3.2 Outgoing Feedback

During the above process, both the results and behaviour of employees were scrutinized. Pulakos (2014:4), emphasizes the value of performance as assisting workers to be effective, in fact managers are expected to provide feedback periodically. In CDM, performance reviews are done quarterly in accordance with the requirements of Municipal Systems Act, 2000 which requires municipalities to establish PMS. The feedback process is provided both verbally and in writing, thus, CDM reached its maximum PM&E benefits once the internal PMS policy was reviewed (last reviewed 2019) in accordance with the CDM's PMS policy.

2.4.3.3   Employee Input

Pulakos (2014:8), points out that employee input has been used effectively in both the public and private sectors. Through PMS, the managed are requested to rate themselves. There should, obviously, be an alternative way or criterion which both the manager and managed follow to reach consensus (guidelines on PMS). Employee input has several positive aspects: ownership, achievement, appraisal, review, as well as pay progression and/or promotion.

2.4.3.4   Performance Evaluation

Bhat (2017:1), defines performance evaluation as a formal and productive procedure to measure an employee's work and results based on job responsibilities. In this regard, PM&E is based on performance evaluation, which are - periodic, consistent feedback, quality performance, goal orientated, constant team-work, and individual competency. Dlamini and Migiro (2016:380), argue that PM&E through performance evaluation promotes a culture of accountability among political structures, office-bearers, councilors and relevant officials while assisting in the administering of the affairs of the municipality. The researcher also adds the point that where PM&E has a knowledge base, projects and programmes are successfully implemented. It is important to note that performance evaluation happens, if the process is used correctly on workers and municipality performance.

Armstrong (2009:211), reiterates that the PM&E is expected to improve institutional performance generally, by creating a performance culture in which the achievement of high performance is a way of life. Brown & Harvey (2006:11), note an institutional culture as a system of shared meaning, including the language, dress, patterns of behaviour, value system, feelings, attitudes, interactions and group norms of the members. Performance culture in an institution is a culture that is shared by most employees which include their behaviours, attitudes and systems which contribute and promote a performance culture. The results of the effects of PM&E should be seen in the improved individual and team performance. Armstrong (2009:228), advocates that performance cultures are ones in which the achievement of high levels of performance is a way of life.

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Characteristics of high-performing institution culture include - strong leadership, processes and people involvement.

Makakane as cited in Minnaar (2010:138), explains how a performance budget presentation and plan clearly link performance goals with costs for achieving a target level of performance. A performance budget links strategic goals with related long-term and annual performance goals as well as with the costs of specific activities to influence those outcomes about which budget decisions are made. Key Performance Area (KPA) should be specifically in line with the institutional mandates which must be translated into achievable Key Performance Indicators (KPIs) and targets. Budget must be allocated to each performance target.

A system of monitoring and evaluation performance should be in place to dictate if targets are achieved or not. The Municipal Finance Management Act, 2003 (Act No. 56 of 2003) stipulates that municipalities must develop Service Delivery Budget and Implementation Plan (SDBIP). The requirement in the SDBIP is that each objective in the IDP is translated into performance target and indicator utilising the PMS and allocating a budget to each performance target. Craythorne (2006:269), defines SDBIP as a detailed plan approved by the Mayor of a municipality in terms of section 53(I) (c) (ii) of the MFMA for implementing services and its annual budget.

2.4.4 Future of performance management

The Municipal Performance Regulations, 2006, mandates managers to perform assessment on a regular basis. Lavhelani & Ndebele (2016:363), identified the first phase of performance assessment as involving, categorizing and identifying KPAs. Individual KPAs should be linked to the municipal broader plans, such as the IDP, to ensure success of the constitutional and policy mandates for local government. The second phase in the performance planning process will then involve the performance reviews wherein panel are utilized for performance appraisals, if any.

An article by Reading (2019), states that the development of performance management is continuous, coaching-based and people-first (as outlined in the BP principles). People

are the center of a workforce (internally and externally); this focuses on a bottom-up approach on decision-making. The nature of performance management is progressive, which means that performance management will be upgraded through goal-setting, measurement progress and feedback.

2.4.4.1   Municipal Performance Management and M&E Systems

Shafritz and Russel (2000), refer to performance management (PM) as a systematic integration of an organization's efforts to achieve its objectives through developing work expectations and goals, delivering and receiving performance feedback, identifying development needs, and evaluating performance. The primary responsible person is an organizational leader. The difference between the PM and mere management is its focus and emphasis on systemic integration. Performance management has six components - the specification of clear and measurable organizational objectives, systematic performance measures and indicators, performance appraisal, performance incentives, linkage between resources to management or budget cycle as well as regular review and assessment.

One of the benefits that the PM and M&E systems provides to municipalities is improvement of service delivery by means of - improving communication, setting targets, comparisons, a focus on service and access to a directory of best practices, and acquiring abilities to alter services easily to adjust to the current situation as soon as any change occurs (GFOA, 2007). Performance management (PM) is defined by the Department of Provincial and Local Government Manual (DPLG, 2003:12), as a strategic approach to management, which equips leaders, managers, employees and stakeholders at different levels with a set of tools and techniques to regularly plan, continuously monitor, periodically measure and review the performance of the organization in terms of indicators and targets for efficiency, effectiveness and impact. It means that, a PMS can ensure all leaders, managers and individuals in a municipality are held accountable for their actions, which should bring about improved service delivery. The White Paper on Local Government, 1998 acknowledges that PM is critical in ensuring that development plans are implemented, resources are used efficiently and optimally, as well as ensuring that the desired effect is obtained through proper application.

2.4.5 PERFORMANCE MANAGEMENT SYSTEM COLLABORATION

Section 38, Chapter 6 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), imposes the following on a municipality regarding its PMS:

- A municipality must establish a PMS that is aligned with its resources and capabilities;
- The PMS must be best suited to its conditions and must be in line with its priorities, objectives, indicators and targets as stated in its IDP, and

- The PMS must promote a culture of performance management among its political structures and in its administration as well as administer its affairs in an economical, effective, efficient and accountable manner.

The Department of Cooperative Governance and Traditional Affairs (COGTA) (2018:28), invests municipal councils with the responsibility for the development of a PMS suited to its conditions. The PMS must then be proposed for adoption by the council of the municipality. The core components relating to the PMS must include appropriate KPIs for measuring performance, including measurable performance targets in respect of the municipality's development priorities and objectives set out in its IDP. The Minister, after consultation with the Members of the Executive Council (MEC) for Local Government in the province, may also prescribe several general KPIs that are deemed appropriate and can be applied at municipalities in general, and when necessary, review and adjust those general KPIs. The performance of these targets should be monitored and measured at least annually (COGTA, 2018:37). A municipality must, in a manner determined by its council, notify internal and external affected parties of the KPIs and performance targets set by it for purposes of its PMS. Where performance objectives and targets are not met, actions must be initiated for improvement, including a process of regular reporting to council as well as internal and external affected parties. The PMS, therefore, serves as an early warning indicator of underperformance. The results of performance measurements must be audited by the municipality's internal auditing process, annually, by the Auditor General.

For each financial year, a municipality must prepare an annual report consisting of a performance report, financial statements for that financial year, prepared in accordance with Section 89 of the Public Finance Management Act, 1999 (Act No. 1 of 1999), and an audit report on the financial statements, including the report on the audit performed by the Auditor General. Council meetings related to these reports should be made accessible to the public and written notice should be given to the Auditor General as well as the MEC for Local Government. Representatives of the Auditor General and the MEC for Local Government in the province are entitled to attend and to speak at such meetings, and the municipal manager must be available to respond to questions related to the annual report. The municipality must adopt its annual report, and within 14 days make copies of the report available to the public and submit a copy of the report to the MEC for Local Government, the Auditor General and any other institutions prescribed by regulation.

The PSC (2019:57), emphasises the fact that PM&E Managers and employees must work together to plan, monitor and review. Performance, monitoring and evaluation plays a central role in guiding employee performance, compensation and professional development. Employers should review the employees' overall performance based on specific, job related criteria and provide concrete examples related to performance issues. The PSC (2019:40), further states that employers are advised to ensure that their documentation is direct, factual and detail-oriented and honesty should be maintained on employee performance reviews. Care should be maintained when carrying out review process and measurements of performance. Employees should be treated equitably to avoid actions that can be construed as discriminatory. Performance evaluations are key when conducting performance reviews to inform employees about the quality of their work, identify areas needing improvement and set goals for performance. Performance records can provide important documentation in the event of disciplinary action, termination or when other adverse personal decisions become necessary (Human Resources 2014:360).

2.4.5.1   Clarify Expectations

It is important in performance management to first ensure that employees understand what is expected of them in the workplace. They must have a clear understanding, not only of what the objectives mean but also what is necessary to affect the measure associated with the objectives (Werner, 2007:110).

Figure 2.3: Individual performance management cycle
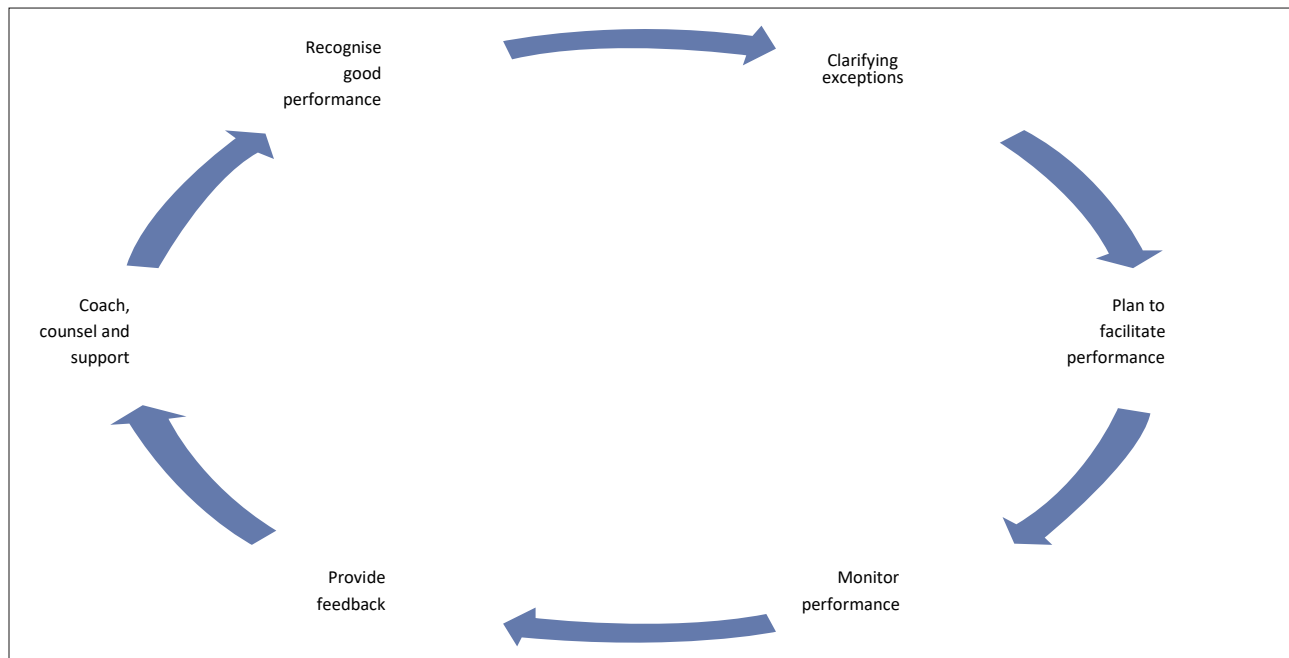
(Source: Werner, 2007)

2.4.5.2   Plan to Facilitate Performance

For this process, a manager asks a subordinate in the initial performance management meeting to identify which areas of work, resources and skills the organisation can assist the employee with to achieve the objectives. There are instances in which the organisation must intervene because the employee has no authority or resources to execute their responsibilities effectively and efficiently (Grobler *et.al.,* 2011:110).

2.4.5.3 Monitor Performance

At this stage, there is a common understanding of what should be done. It is necessary to monitor actual performance, to check whether the organisation is still on track to achieve the set organisational goals. The frequency of the monitoring process depends on the nature of services provided and the seniority of the employee being monitored. In some environments, monitoring may take place every day; in other cases, especially, with middle to senior employees, a performance review session may be held on a monthly or in some cases on a yearly basis (Werner, 2007:110).

2.4.5.4 Performance Management/Monitoring and Service Delivery in the Public Sector

Discussions on performance of governments have existed as long as the notion of government itself. Rulers, even autocratic ones, have usually sought to justify their rule by showing the benefits of them being rulers (Ferlie *et al.,* 2007:7). In modern democracy, this has developed into a political theatre of performance where competing parties promise voters that their policies will deliver their version of good quality life. Elections are competed over both future promises and past performance. Politicians promise to deliver a host of desirable benefits - better health care, safer streets, national security, economic prosperity, lower taxes - and ask to be judged on their record of delivering on their promises.

A perennial problem is the lack of specificity or measurement of delivery against these promises. As stated before, the Department of Provincial and Local Government, Municipal Planning and Performance Management Regulation (2001:24), defines performance management/monitoring as a - strategic approach to management, that equips leaders, managers, workers and stakeholders at different levels with a set of tools and techniques to regularly plan, continuously monitor, periodically measure and review performance of the institution in terms of indicators and targets for efficiency, effectiveness and impact.

Performance Management/Monitoring, thus, is a tool utilised by political and administrative leaders to plan, monitor, review the performance of departments, and

individuals in the institution. Van der Waldt (2004:39), provides that there should be processes and systems designed to manage and develop performance at the level of the public service, specific institutions, components, teams and individuals. Armstrong (2009:9), views performance management as a systematic process for improving institutional performance by developing the performance of individuals and teams. Through performance management/monitoring institutions, departments and individuals can improve their performances, by having processes and systems designed to measure performance.

Craythorne (2006:200), stipulates that the purpose of Performance Management is to establish a process whereby the vision and goals of the institution can be met. Van der Waldt (2004:42), believes institutions that have PM&E benefit in various ways such as:

- PM&E clarifies the strategy and makes it accessible;
- PM&E transforms strategy into operations and vision into action;
- PM&E clarifies political and managerial roles and responsibilities;
- PM&E clarifies expectations of the institution and individuals, and
- PM&E improves accountability and participation.

It is with this view that once the above-mentioned ways are achieved, PM&E paves a way towards the achievement of an effective service delivery.

2.4.5.5   Provide Feedback

One of the main reasons for monitoring performance is to be able to provide feedback on progress made towards achieving organisational goals and on employee performance. Werner (2007:111), contend that feedback serves two purposes: it allows the organisation to provide consequences for performance and to redirect employees' efforts if necessary. Feedback allows employees to improve their performance by indicating performance deficits (Grobler *et al.,* 2011).

2.4.5.6   Coach, Counsel and Support

If performance monitoring reveals a serious performance deficit, the organisation may have to coach the employee concerned. This consists of discussing the desired

performance and if necessary, modelling the performance for the employee, requesting the employee to repeat and then giving critical feedback until performance is at the required level. In some instances, employee performance is substandard because of personal or interpersonal problems. In this case, the manager may have to counsel the employee and if possible, offer advice on how to overcome the problem. It is also important to support employees and ensure they know that the organisation has confidence in them and will stand by them should the need arise.

As discussed earlier in this chapter, far from merely emphasising individual performance and accountability or reporting on compliance with procedures, the performance management process is a useful and essential management process for understanding the performance of programmes, reaching agreement on performance expectations, improving performance and demonstrating to citizens that expectations of performance have been successfully met. As part of the overall management strategy, public sector managers need to measure performance to evaluate whether the organisation was performing as expected. Niven (2003:56), points out that there is growing recognition that using performance measures to gauge success is vital to any organization, whether in the private or public sector.

2.4.5.7 Balanced Scorecard Perspective

The last decade has seen a paradigm shift in the public sector towards more accountability and the adoption of the new style of public management, which is more closely aligned with private sector management systems (Sharma & Gadenne, 2011:167). The above has precipitated the adoption of more sophisticated performance management and control systems such as the BSC. The BSC was originally developed for the private sector by Kaplan and Norton (1992:75). They argued that financial indicators alone were not sufficient to measure performance or manage an organisation. Senior management needs various kinds of information about the goods and services that the organisation is offering (such as quantity, quality, market, consumers, suppliers, competition and technology) as inputs for decision-making and strategic planning (Kaplan & Norton, 1992:75).

It has become apparent that managers in the public sector need a balanced presentation of both financial and non-financial measures so that they can view the organisation's performance simultaneously, across several areas or perspectives. Kaplan (2001), is of the view that the BSC has the potential to enable public sector organisations to:

- Bridge the gap between vague mission, strategy statement and day-to-day operational actions;
- Develop a process to achieve strategic focus, avoiding the notion of attempting to be everything to everyone;
- Shift their focus from programme and initiatives to the outcomes the programs and initiatives are aiming to achieve;
- Avoid the illusion that they have a strategy because they are managing a diverse set of programs and initiatives and
- Align initiatives, departments and individuals to work in ways that reinforce each other so that dramatic performance improvements can be achieved.

The name BSC comes from the idea that measurable statistics form the basis of the approach and metrics that are applied for different but related elements are essential to the organization's success (Thompson & Mathys, 2008:378). The categories of metrics form a balanced set of measures to assess organizational performance. In Rampersad (2006:110), the alignment of ambition informed by a personal BSC with a shared organizational ambition informed by an organizational BSC, is central for the purposes of employee - commitment, trust, inner involvement, stress and burnout reduction, stimulating enjoyment, active participation, motivation and empowerment of employees.

In a similar manner, recent studies, such as those conducted by Ellangovani & Kamalanabhan (2014:10), explored and agreed with the approaches discussed above, arguing that the original framework remains the basis for successful implementation of the BSC. The argument by Rampersad (2006:114), means that employees do not work with devotion or expend energy on something they do not believe in or agree with. As Rampersad (2006:114), further puts it, clarity and uniformity of personal and

organisational values and principles are therefore essential for employees' active involvement and contribution to the achievement of organisational goals.

The above demonstrates the need for understanding that employees join the organisation with personal objectives or aspire to achieve at a personal level. Kaplan & Norton (2001:99), cited in Sharma & Gadenne (2011:171), argue that many of the concepts articulated above consist of lists of programmes and initiatives rather than outcomes that an organisation is attempting to achieve. Within this context, Sharma & Gadenne (2011), advocate a modified BSC framework where the organisational mission is featured at the highest level of the scorecard, underpinned by three high level perspectives:

- Costs of providing services;
- Value or benefits of the service, and
- Support for legitimising authorities including the legislature by taxpayers.

In this context, one gets to understand that introducing a BSC means introducing change in the organisation, which is never an easy process - an organisation can expect to encounter challenges.

Figure 2.4: Match between Personal Ambition and Shared Ambition
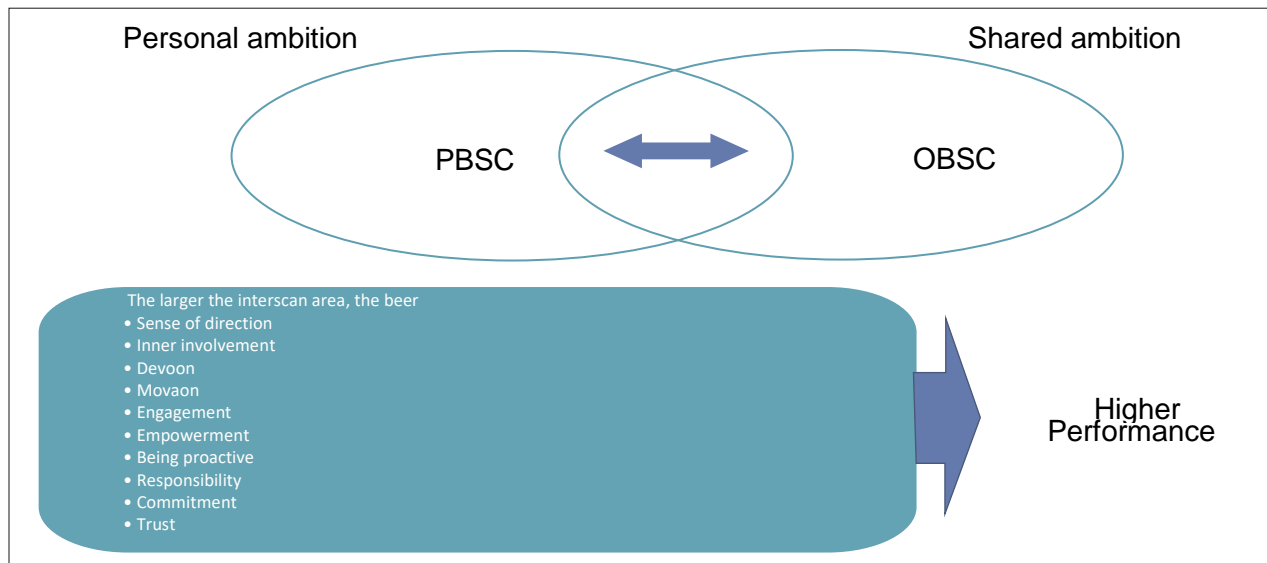
(Source: Rampersad, 2006)

The argument by Rampersad (2006) means that employees do not work with devotion or expend energy on something they do not believe in or agree with. The above Figure demonstrates the need for understanding that in an institution, there are personal objectives (job description/work plan/performance contract); they are termed personal level or personal ambitions (Rampersad, 2006). In an institution, therefore, there are shared responsibilities or shared ambition (what the institution aspires for). Both personal and shared ambitions are central and involve high performance as stipulated in Figure 2.4 above. Minnaar (2010:167), is of the view that the institutional scorecard provides a tool to measure and evaluate institutional performance and to compile performance and budget reports that must reflect the actual performance of the institution against its performance plans. An institutional scorecard must make provision for the following:

- Measuring the actual performance against the planned performance indicators and targets and
- Measuring actual expenditure against budget allocations in respect of each of the identified performance indicators and targets.

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Minnaar (2010:167), further supports that if the performance monitoring and evaluation activity indicates required changes to improve or maintain performance, the following should be considered:

- Revising and executing goals as the institution cannot set standards that do not reflect its institutional capacity. Goals and objectives must be challenging, yet realistic and achievable to optimise value creation.

- Revising activities if goals and objectives change means that the changes in the goals need to be so great that the supporting activities will also have to change. New projects may have to be identified and undertaken, or institutional tasks and jobs may need to be amended.

- Revising the structures, systems or support if goals, objectives or activities are substantially amended or reviewed.

- Revising individual performance plans, if institutional goals, objectives and activities change, means that the contents (performance indicators and targets) of individual performance plans will probably have to change as well (Minnaar, 2010:168).

Performance monitoring and evaluation results in the performance analysis which indicates to the institution if targets set have been achieved or not. Targets that cannot be achieved can be revised; this process is done during the adjustment six months after approval of the annual budget. The SDBIP is required to indicate service delivery targets and performance indicators for each quarter. The accounting officer must, according to the MFMA, assess the performance of the municipality during the first half of the financial year, focusing on the service-delivery targets and performance indicators as set in the SDBIP. The accounting officer must make recommendations as to whether an adjustment of the budget is necessary and recommend revised projections for revenue and expenditure, to the extent that this may be necessary (Minnaar, 2010:168).

2.5   CHALLENGES OF PM&E ON MUNICIPAL SERVICE DELIVERY

The implementation of PM&E in government has not been without challenges. This fact is reflected by Kambuwa & Wallis, (2002); this therefore should alert managers of possible impediments which would require measures that are relevant to address these

challenges. Luthuli, (2005), studied Performance Measurement as a Public Policy implementation tool in the South African Public Service in a thesis submitted to the University of South Africa. The thesis focused on whether the implementation of a performance management and measurement, in the public sector can result in an improved operationalisation of policies. The study included the extent to which the implementation of policies can result in the realisation of an effective and efficient public sector. The site for the study in the City of Tshwane and the National Department of Labour

Luthuli, (2005), argues that policy implementation in South Africa has not been as successful as policy formulation. It is also concluded in this that a performance measurement and management system could lead to better performance of public sector institutions, however, there is a need to monitor the PM&E closely to improve performance. The Luthuli's (2005), study adds to the body of knowledge by highlighting the need for policy monitoring and evaluation. This is well argued showing that having a policy on performance management does not automatically mean that services will improve, hence, the need to evaluate the implementation of performance management system.

A dissertation by Williams (2006), evaluated the implementation of Performance Management at Local Government in South Africa, focusing on the impact on institutional culture in implementing PM&E at Buffalo City Municipality. He emphasised that it is the performance management system which must assist in transforming local government to ensure that the needs of the community are met through the improved delivery of municipal services. This can be achieved through the delivery of these services in a more efficient, effective and economical manner. Williams (2005), argues that the culture of fear of the unknown has the most negative effect on the implementation of the performance management system and performance monitoring and evaluation in Buffalo City Municipality. Williams (2006), concludes in the study that the implementation of performance monitoring is dependent on understanding - the political dichotomy, authority of leadership, institutional strategy, institutional arrangement, allocation of resources, the culture of fear and mistrust of the unknown. The study has expanded on knowledge

boundaries in the implementation of PM&E in municipalities by addressing the effects of institutional culture. The aspects which were enlisted, however, did not sufficiently address the effects of PM&E in service delivery, which is the focus of the study at hand.

Maila (2006), studied Performance Monitoring and service delivery in the Department of Water Affairs and Forestry (DWAF). The focus was on the improvement of service delivery because of the implementation of Performance Monitoring and Evaluation and Development System in DWAF. Maila (2006), concluded that effective performance management and efficient service delivery can be achieved through monitoring and evaluation of performance. Performance goals should be measurable, clear, and achievable and aligned to individual careers, institutional objectives and legislative requirements.

Maila (2006), adds that performance measures should be quantified and should include, but not limited to - quantity, quality, time, cost and risk - in order to facilitate performance evaluation. Performance progress should be monitored and assessed on an on-going basis against individual, functional and institutional goals. The scholar recommends that the cohesion between targets, outputs and key performance indicators (KPIs) is essential in measuring the level of service delivery for public institutions. In conclusion, Maila (2006), recommends that public sector institutions must have clear performance indicators, strategic direction and deploy resources to monitor and oversee the implementation of promised services.

Maila, (2006), contributes to knowledge regarding the improvement of service delivery resulting from the implementation of performance management. DWAF although it is a public institution, services rendered are not the same as in municipalities. The focus of this study is on the effects of PM&E on service delivery in CDM with specific reference to services, namely, water, sanitation, roads, and electricity. Ngcelwane (2008), researched into the topic, "A Critical Assessment of the Implementation of Performance Management in the Nelson Mandela Bay Municipality", which focused on the challenges faced by Senior Management in the implementation of Performance Management System in Nelson Mandela Bay Municipality. The recommendations from the assessment were that,

the roles played by the leadership (both political and administrative) in the implementation of any system, strategy, policy and any new plan including performance management, should be promoted.

Ngcelwane (2008), based some of his arguments on the results of Mlaba (2005a), that leadership (both political and administrative) should lead from the front on all performance management-related issues where unity of purpose exists between political and administrative leadership (no 'us and them' situation, but united voices). Leadership of the municipality, therefore, are responsible to drive performance of the municipality in order to achieve the vision of the municipality; in conclusion all municipal employees, not only Section 56 employees should be subjected to performance management (Ngcelwane, 2008). Communication, stakeholder involvement in decision-making processes, and visionary or strategic leadership, thus, are some of the best ingredients that could be used to cultivate a culture of performance within the municipality.

The implementation of PM&E has put local government under enormous pressure to improve service delivery. National Treasury (2005:44), emphasizes that local government finds itself delivering many indicators that are not in line with provided budget. Such act is preventing local government from delivery of services, in terms of its constitutional and legislative mandates. There are several challenges that may arise because of implementing an M&E system. Jones (2011:3), asserts that if PM&E policy framework are used to influence service delivery, this can present challenges. The study focused on the following challenges:

- The unsuccessful implementation of PM&E in local government: PM&E systems are often centralised and follow a top-down approach. This results in programme managers perceiving M&E as a way for government to control the tasks performed by managers, causing the implementation to fail. If PM&E could be given the latitude in allowing a bottom-up approach, the ongoing service delivery protests would stop or rather be minimized. PM&E information seeks to influence decision-making and informs future planning by learning from past experiences, but this rarely happens. M&E information is, instead, merely collected and stored.

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- Lack of stakeholders' relationship with the analysed financial, human and related skills information: most PM&E plans and strategies fail to identify the relevant stakeholders needed for PM&E and this results in a misunderstanding/ misconception of the uses and purposes of PM&E information. People view PM&E practice as the sole responsibility of the PM&E practitioner and do not expect themselves to make and perform any PM&E-related tasks, especially, from stakeholders' perspectives. A centralised approach to PM&E may result in stakeholders and staff performing their PM&E tasks merely to comply with the national mandate, rather than performing individual tasks to improve project implementation and project effectiveness.

- PM&E systems in local government are not recognized as elements of effective implementation of programmes as outlined in the IDP. There are often misconceptions of PM&E results that hinder any the system from being fully operational. Performance, monitoring and evaluation systems are mostly imposed on officials, thus, they are not aware of their PM&E tasks. There is also a lack of PM&E buy-in by officials and there is a lack of concern for the quality of PM&E data being produced in local government.

- No systematic evaluation of new public management (NPM) in local government.

- Lack of capacity building: project staff and stakeholders do not understand the reports provided by PM&E personnel and often complain that reports are too long, unclear and often come too late for implementation. Project managers perceive PM&E as a threat and they are sometimes reluctant to compile and submit progress reports of their projects and to use evaluation recommendations to improve their project's performance.

Jones (2011:4), points out that PM&E challenges have arisen from a lack of understanding of what PM&E entails, which limits people's understanding of their PM&E-related tasks. The South African government has encountered several challenges when implementing the GWM&E system, in ensuring that it is a mechanism for change initiatives and management.

2.6 LEGISLATIVE AND POLICY FRAMEWORK ON LOCAL GOVERNMENT PERFORMANCE, MONITORING AND EVALUATION

Several legal documents regulate local government performance in relation to PM&E in South Africa. These include - The Constitution of the Republic of South Africa, 1996; Local government: Municipal Systems Act, 2000 (Act No. 32 of 2000); White Paper on Local Government, 1998; White Paper on Transforming Public Service Delivery, 1997; Intergovernmental Framework Act, 2005 (Act No. 13 of 2005); Municipal Finance Management Act, 2003 (Act No. 56 of 2003); Local Government: Municipal Planning and Performance Regulations, 2001; and Local Government: Municipal Performance Management Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, 2006.

2.6.1 The Constitution of the Republic of South Africa, 1996

Section 40 (1) of the Constitution, 1996 stipulates that government is constituted as national, provincial and local spheres of government which are distinct, interdependent and interrelated. Section 151 (3) of the Constitution, 1996, thus, provides that a municipality has the right to govern on its own initiative, the local government affairs of its community, subject to national and provincial legislation. The Constitution, 1996, is the supreme law of the country and it advocates for community participation in local government. Section 152 (1) (e) of the Constitution, 1996, provides that the objective of local government is to encourage the involvement of communities and community organisations in the matters of local government, which include among others, PM&E of municipalities. Section 152 (1) (f) of the Constitution, 1996, further mandates local government to structure and manage administration to give priority to the basic needs of communities through the promotion of social and economic development. Section 195 (1) of the Constitution, 1996, indicates that public administration must be governed by democratic values and principles.

Mpofu & Hlatywayo (2015:16), emphasise the fact that development local government calls for local governments to prioritise basic needs of communities. Municipalities need to encourage communities to participate in decision-making processes, hence, ensure

the sustainability of service delivery. Section 152 (2) of the Constitution, 1996 further states that municipalities must strive to capacitate, within its financial and administrative objectives, to perform optimally. The Constitution, 1996 enforces municipalities to promote their social and economic development, as such, the PM&E is there in achieving constitutional mandate. Section 154 (1) of the Constitution, 1996, hence, puts some obligations that local government should be supported and strengthened by the national and provincial spheres of government. By so-doing municipalities will be able to manage their own affairs effectively. This study should also be understood in the context of Section 156 (5) of the Constitution, 1996, that PM&E is a mechanism applied in a transformed local sphere of government.

The Promotion of Access to Information Act, 2000 (Act No. 02 of 2000), aims at effecting the 'right of access' to any information held by the State as stated in the Constitution, 1996. The Constitution, 1996 provides, in more than one section, that people have the right to access any information held by the State. It is the responsibility of the State to respect, protect and fulfil the rights contained in the Bill of Rights. Doing so forces government to foster a culture of transparency and accountability, which enables, rather than disables, the public to protect and exercise their rights.

2.6.2 The Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000)

Sections 38, 39 and 41 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), outlines the establishment and development of a performance management system in municipalities. Section 40 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000) is more specific regarding the monitoring and review of performance management system. It states that a municipality must establish mechanisms to monitor and review its performance management system. Other Sections of the Local Government Municipal Systems Act, 2000 (Act No. 32 of 2000) in the same chapter outline significant areas such as:

- Section 41- core components;
- Section 42- community involvement;
- Section 43- general key performance indicators;

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- Section 44- notification of key performance indicators and performance targets; and

- Section 45- audit of performance measurements.

Section 20 (2) (c) of the Public Audit Act, 2004 (Act No. 25 of 2004) requires the Auditor-General's audit reports to reflect an opinion or conclusion on the reported information relating to performance. The performance is against predetermined objectives of the auditee, including - constitutional institutions, departments, trading entities, public entities, municipalities and municipal entities, and other institutions - as required by sections 4(1) and 4(3) of the Public Audit Act, 2004 (Act No. 25 of 2005).

A Performance Management Guide (2001) for municipalities was developed in 2001 by the then Department of Provincial and Local government, now under the Department of Cooperative Governance. The Performance Management Guide (2001) was developed to assist councilors, managers, officials and local government stakeholders in developing and implementing a performance management system, in terms of the requirements of legislation. The Performance Management Guide (2001), strives to establish common terminology and ensure a level of consistency and uniformity in the application of concepts. The Local Government: Municipal Finance Management Act, 2003 (Act No. 56 of 2003), enhances control over public expenditure and empowers public sector managers. This refers, in particular, to Section 121 (4) (d) which stipulates that the annual report of a municipal department or an entity must include - an assessment by the entity's accounting officer of the entity's performance against any measurable performance objectives set in terms of the service delivery agreement or other agreement between the entity and its parent municipality.

It could, thus, be asserted that the Constitution, 1996 and various other pieces of legislation in the sphere of local government oblige municipalities to perform public administration in an effective and efficient way. The mere existence of a Constitution with a Bill of Rights, however, does not necessarily guarantee and imply that public officials will apply the constitutionally-entrenched fundamental rights or exercise public administration in the constitutionally-prescribed way (Van Heerden, 2009:47).

The argument advanced above by van Heerden (2009:47), is that public officials can only apply such rights and exercise public administrative functions in terms of constitutional directives if they are aware and essentially, when they are conversant with the relevant provisions of the Constitution and the Bill of Rights. Success in the application of the law and policy implementation in terms of achieving specific anticipated results and changes, are not always comprehensive in the public sector. Van Heerden (2009:48) argues that the inability, in some instances of public officials in a municipality, to apply the directives of the Constitution, 1996 as outlined, presents serious challenges to government. The inability to serve the communities is, thus, due to lack of sufficient knowledge of the Constitution, 1996 and its application. Lack of training could be a veritable hindrance, that may contribute to failure on the part of public officials, as they endeavour to comprehend their constitutional responsibilities and accountabilities associated with the delivery of effective and efficient services to the communities they serve (Van Heerden (2009:48). The outcomes of such a failure are devastating; they result in absence of performance and consequently poor service delivery, centralisation and a failure to achieve measurable outcomes. The implementation of PM&E reform programme as intended by government, then, becomes ineffective and inefficient (Van Heerden, 2009:49).

Section 16 (1) of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), requires all municipalities to develop a culture of community participation and a culture of municipal governance that complement formal representative government with a system of participatory governance. This must aim at encouraging and creating conditions for local communities to participate in the affairs of the municipality, including implementation and review of its IDPs. Section 40 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000) provides that the municipality must establish mechanisms to monitor and review its programmes and projects. Section 73 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), requires a municipality to give priority to the basic needs of the community; promote the development of the community; and ensure that all community members have access to, at least, the minimum level of basic services. Section 25 (1) of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), mandates municipalities to adopt a single,

inclusive and strategic plan for their development, hence, IDPs for municipalities. PM&E should be included in the municipality's IDP and be prioritized as one of the transformation needs and must be aligned with the strategic plan.

The Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), further points out several factors which are key to PM&E, as a strategy in assisting the coordination of achievable plans with entire government. For instance, progress in line with key performance indicators within IDP should be monitored and evaluated, as one of the factors on PM&E. Section 39 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), states that, the municipal council is the one entity to execute the performance of the municipality and a PM&E is adopted through the PMS. That is the reason Section 57 (3) of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), stipulates that performance contracts of Section 57 managers should specify objectives and targets of KPAs.

2.6.3 White Paper on Local Government, 1998

The White Paper on Local Government, 1998, puts forward a new developmental local government system and identifies such as performance management, to realise a developmental local government. Section B (1) of the White Paper on Local Government, 1998, defines developmental local government as one committed to working with citizens and groups within the community. In complying with the requirements therein, the basis for PM&E is the role that communities must play in improving their standards of life through public participation.

Thornhill (2012:86), argues that the functions constituting public administration in administrative executive institutions are classified as the generic principles of administration. The major contribution that local government can make to development is the delivery of basic services to those with little or no access to basic services. The White Paper on Local Government, 1998 also introduces the IDP and describes it as a process through which municipality can establish a developmental plan for the short, medium and long term. Performance, monitoring and evaluation is a new requirement with a developmental focus on municipal service delivery.

In Section B (3) of the White Paper on Local Government, 1998, a developmental local government is put forth and identifies the following tools: working together with communities, focusing on effective performance management and the development of IDPs and budget. The tools assist in the role of community participation on municipal performance. In practice, communities become part of the process and implementation of PMS. Sebashe & Mtapuri (2011:13), outlines the approaches of the White Paper on Local Government, 1998: IDPs and budgeting, performance management, as well as working together with local citizens and partners. In this regard, the White Paper encourages municipalities to promote an effective performance culture in all its structures.

2.6.4 The White Paper on Transforming Public Service Delivery, 1997

Section 1.1.1 of the White Paper on Transforming Public Service Delivery, 1997, sets out eight transformation priorities among which transforming service delivery is the key. It further states that the Public Service should, amongst others, be open to public participation, transparency, honesty and accountability and expressed the need to develop a more effective customer orientation and stronger service ethos. The eight *Batho Pele* principles, therefore, were developed to serve as acceptable policy framework regarding service delivery in the Public Service (*Batho Pele* Handbook, 2003:16).

In this regard, a community can participate in the municipal planning process, namely, the integrated development plan (IDP). Maepa (2014:12), contends that the introduction of the PM&E in the local government have brought about levels of improvement in service delivery. The *Batho Pele* principles target improved service delivery by ensuring that communities are put first through an implementation of PM&E. The *Batho Pele* White Paper on Transforming Public Service Delivery, 1997 signaled very strongly government's intention to adopt a citizen-orientated approach to service delivery. It is informed by eight principles - consultation, service standards, access, courtesy, information, openness and transparency, redress, and value for money (*Batho Pele* Handbook, 2003:17).

2.6.4.1 *Batho Pele* (BP) Principles

The White Paper on the Transformation of the Public Service (WPTPS), enacted in 1995, had as purpose the establishment of a policy framework to guide the introduction and implementation of new policies and legislation aimed at transforming the South African public service. Pietetsen, (2014:13), emphasises that the notion of *Batho Pele* is to engage the public service in a transformation exercise that is aimed at creating a public service that is representative, coherent, transparent, efficient, effective, accountable and responsive to the needs of all. In 1997, government adopted the White Paper on Transforming Public Service Delivery (*Batho Pele*) as a policy framework for the provision of services. The *Batho Pele* White Paper provided a policy framework and practical implementation strategy for the more efficient, effective and equitable provision of public services. It was given justification by several legislative frameworks, principally the provisions of the Constitution, 1996, the Reconstruction and Development Programme (RDP) and Growth, Employment and Redistribution (GEAR) as government's macro-economic framework.

Mzimakwe & Mpehle (2012:279), explain that the main aim of BP principles is to provide good customer service to the people. The concept of BP is an initiative requiring public servants to be service-orientated, to strive for excellence in service delivery and to commit to continuous service delivery improvement. It is a simple, transparent mechanism that allows customers to hold public servants accountable for the type of services they deliver. *Batho Pele* means 'putting people first' and introduces a fresh approach to service delivery. It is an approach which puts pressure on systems, procedures, attitudes and behaviour within the Public Service and re-orients them in the customer's favour. The researcher, therefore, concurs that local government, just like the entire public service should be service-oriented for municipal service delivery to be improved around BP, in PM&E. The following are the BP principles in detail:

2.6.4.1.1 Consultation

According to the DPSA (1995:26), regular consultations with customers are necessary. Government must regularly consult the customers on services to be provided before

rendering those services, and it must be done in a way that will envelop all customers, not only existing ones but also potential ones and those who have been previously disadvantaged. This will not only enable recipients of services to have a say and make informed decisions on what kind of services they need, but also foster a participative and collaborative relationship between government, as the provider and the citizens who are customers.

The DBSA (1995:35) indicates that consultation is integral to modern management and it leads to sound planning and decision-making. To achieve customer satisfaction, key stakeholders, especially customers should be consulted in the early stages of the strategic planning so that services are more responsive to their needs and expectations (Batho Pele Handbook). All national and provincial departments must consult regularly and systematically not only about the services currently provided, but about the provision of new basic services to those who lack them. Consultation will give citizens the opportunity to influence decisions on public service by providing objective evidence that will determine service delivery priorities. Consultation can also help to foster a more participatory and cooperative relationship between the providers and the users of public services (DPSA, 1995:36).

Consultation must take place between public officials and citizens about the level and quality of services that the public will receive. It also implies that citizens must have a say regarding the services delivered to them (Du Toit, *et al.,* 2002:108). This implies that citizens should be alert and should not be just passive recipients of services. Citizens should be vocal and contact the public institution or public official concerned in cases where they are not satisfied with the quality of a service. Gildenhuys (2004:389) states that citizens should be consulted about the level and quality of the public service they receive and wherever possible, should be given a choice about the service that is offered.

Fox & Bayat (2006:23), allude to the fact that all departments must consult regularly and systematically on the services currently provided, as well as on the provision of new basic services to those who lack them; whatever methods are chosen, consultation must cover the entire range of existing and potential customers. The results of the consultation should

be reported to the appropriate body. They should be widely published within the organisation so that all members of staff are made aware of how their services are perceived. It is essential, therefore, that consultation should include the views of those who have previously been denied access to public services and must be conducted intelligently (Gildenhuys & Knipe (2000:130). It should not result in a list of demands that raise unrealistic expectations, rather, it should reveal where resources and effort should be focused in future to meet the public's most pressing needs. Consultation will give citizens an opportunity to influence decisions on public service by providing objective evidence that will determine service delivery priorities.

This is about asking customers what they want and finding out how best their needs can be met. It is important to consult many customers and to use the information received to improve service delivery for them. It is also crucial to give customers feedback so that they know what to expect. There are many ways to consult users (clients) of public services, such as through customer surveys, interviews with individuals and meetings with a variety of interest groups. Consultation must be conducted intelligently and according to proven scientific methods (Gildenhuys & Knipe 2000:131). Through communication, government ensures that it is not pursuing its own agenda but the general welfare of the broader population by encouraging the public to participate in policy-making. The reasons for the public service undertaking consultation are that consensus-building should be present in almost all public endeavours (Crous, 2004:577). The public institutions should therefore have regular consultations with the customers as this will enable them to know and understand the formers' priorities. A service will not be perceived as being of quality if the beneficiaries do not receive what they need.

2.6.4.1.2   Service Standards

The service standards should specify the level and qualities of services to be rendered, and be - contextualised, relevant, customer-focused, realistic, measurable, efficient and easily understood by customers. For these standards to be competitive, they need to be reviewed on an annual basis and be benchmarked against international standards. Setting targets is normally part of the corporate planning cycle and should involve the

collective effort of employees to ensure broad ownership of and commitment to the plan and the targets (Crous, 2004:578).

It is for this reason that citizens should be informed about the level and quality of public services they can expect. Standards for the level and quality of services, including the introduction of new services, should be published. A standard for national services should be set to serve as the national baseline standards for nationwide service delivery. In addition to this, intra–departmental service standards should be set to serve as minimum norms for internal departmental supporting activities. Standards must be precise and measurable so that the user may judge whether they are receiving what was promised (Gildenhuys, 2004:390).

Nhlonipho (2003:51), notes that a quality service standard is understood in many ways, however, in the public service, quality service delivery is commonly defined as a systematic arrangement to satisfactorily fulfil various demands for service. This can be done by offering purposeful service, with the optimum use of resources to deliver effective efficient and economic services resulting in measurable and acceptable benefit to customers. Transforming service delivery to enforce quality is the key principle that calls for commitment towards customer satisfaction where service providers know the needs, expectation and wishes of customers. The White Paper on Transforming Service Delivery, 1997, mandates the national and provincial departments to publish standards for the level and quality of service delivery they will provide. This should include the introduction of new services to those who were previously denied access to them. In certain services, such as health or education, national departments in consultation with provincial departments, may set standards which will serve as national baseline standards. Before execution they must be approved by the appropriate body. Performance against standards must be reviewed annually and as standards are met, they should be progressively raised year by year. Once set and published, standards may not be reduced or changed (Fox & Bayat, 2006:24).

Du Toit, *et al.,* (2002), maintains that service standards means that citizens must be informed about the level and quality of the services they will receive for them to know

what to expect. Citizens have a right to complain when the public institutions do not deliver the quality of service that they said they would. Hilliard & Msaseni (2000:81), further suggest the following preconditions to ensure that minimum service standards are maintained: management's commitment to real quality service standards; adequate funding; visible improvement in service; retraining and training of human resources; good interdepartmental relations; involvement of all employees in quality and encouraging constructive contributions of employees to quality improvement.

2.6.4.1.3   Access

All citizens must access services, regardless of their geographical locale and disabilities. Government must devise strategies to address the infrastructure and distance factors. The main aim of the access principle is to provide a framework for making decisions about delivering public service to many South Africans who were and are still denied access to them within the parameters of GEAR strategy and inequalities of distribution in existing services. Crous (2004:579), suggests that management must set targets for increasing access to services giving effect to the constitutional principle of service being provided impartially, fairly, equitably and without bias. Many people who live in remote areas must travel long distances to avail themselves of public services. National and provincial departments are required to specify and set targets for progressively increasing access to their services for those who have not previously received them. In drawing up service delivery programmes, national and provincial departments must develop strategies to eliminate the disadvantages of distance for example, by setting up mobile units and redeploying facilities and resources closer to those in great need.

Gildenhuys & Knipe (2000:131), emphasise that all citizens should have equal access to all the public services to which they are entitled. Service delivery programmes should, therefore, specifically address the need to progressively redress disadvantages from all barriers to access. Every person should have the right to access all information held by the State or any of its organs at any level of government in so far as such information is required for the exercise or protection of rights (Cloete, 1996:113).

The requirements that there must be open administration to enable citizens to safeguard their interest could be a meaningful factor to ensure an accountable public administration, if freedom of information were to become a reality. Departments must provide full, accurate and up-to-date information on the service delivery which they provide and who is entitled to it. It must be in a variety of media and languages to meet the differing needs of different customers (Fox & Bayat 2006:24) and the new information technologies could make information about transactions readily available. Hatting (1998:168), notes that access at governmental level refers to channels of interpenetration between central, provincial, and local authorities by means of which these bodies can create relations on both formal and informal grounds. Each method of access creates its own type of relationship between higher and lower authorities and each state applies its own method, by means of which access can be arranged to suit local circumstances. Access applies especially to the previously disadvantaged sectors of the community and to people with special needs. These needs may include, access to the department for the physically disabled, or to services which are too far away for people to visit. Good staff attitudes and addressing customers in their language makes access easy.

2.6.4.1.4   Courtesy

Public officials must demonstrate acceptable behaviour and an attitude that is of a high standard. For this to be realised, the behaviour of staff members who are in contact with customers' needs to be monitored regularly, and any unbecoming behaviour and attitude which belittles customers should not be tolerated. Crous (2004:581), stipulates that courtesy is related to ethical behaviour. Public employees' conduct should be above reproach in the exercise of their official duties; they should be free from vested, selfish interests and are, therefore, expected to display selfless behaviour. Public officials should possess essential qualities such as integrity and ensure that public interest is placed above their own.

The DPSA (1995:49), introduced the concept of courtesy and stated that it is much wider than asking public servants to give polite smiles. The Code of Conduct for public servants issued by the Public Service Commission, makes it clear that courtesy and regard for

individual dignity are some of the fundamental characteristics of public servants. It specifies that public servants must treat members of the public as customers who are entitled to receive the highest standard of service. Fox & Bayat (2006:24), state that departments must specify the standards for the exact way in which customers should be treated; these are to be included in the departmental code of conduct. The performance of personnel who deal with customers must be regularly monitored and performance that falls below the specified standard should not be tolerated. Service delivery and customer care must be included in all government programmes and they must specify standards for the way in which customers should be treated. The standards should cover the following - greeting and addressing customers; the identification of staff by name when dealing with customers whether in person, on telephone or in writing; the style and tone of written communications; simplification and customer-friendliness of forms; the maximum length of time within which response must be made on enquiries; how complaints should be dealt with; and dealing with people who have special needs, such as elderly people or those with language problems.

2.6.4.1.5   Information

It is crucial that accurate, up-to-date, easy to understand information concerning services rendered is provided to customers in various forms and languages, including catering for the disabled and the blind. Information is one of the most powerful tools at the public's disposal in exercising its right to good service delivery, thus, government institutions must provide full, accurate and up-to-date information about their activities. The consultation process should be used to establish what the public wants to know and then to work out where and when the information can be provided (Gildenhuys, 2004:390). *Batho Pele* requires a complete transformation of communication with the public for information is one of the most powerful tools at the public's disposal for exercising its right to good service delivery.

Government institutions must provide full accurate and up-to-date information about their activities (Gildenhuys & Knipe (2000:132). Kaul in Crous (2004:581) maintains the necessity for accurate and unbiased reporting, as this strengthens the climate of

openness and public accountability. Information must be provided in a manner that is most suited to the needs of the users of a service and at intervals most convenient and useful to these users, hence, information must be provided in a variety of media and languages to meet the differing needs of different customers. This is essentially to ensure the inclusion of who are or have previously been disadvantaged by physical disability, language, race, gender and geographical distance. There should always be a name and contact number for obtaining further information and advice.

2.6.4.1.6   Openness and Transparency

The public needs to be informed about how all levels of government are run, their performance level, who is in charge, what resources they utilise as consumers, targets set for the year, and all expenses incurred. This can be achieved through, *inter alia*, Annual Reports, surveys, opinion polls, debates and discussions, open days and *izimbizo* (public gatherings). DPSA (1997:62), stresses that openness and transparency are the hallmarks of a democratic government and are fundamental to the public service transformation process. In terms of public service delivery, importance lies in the need to build confidence and trust between the public sector and the public whom they serve. A key aspect of this is that, the public should know more about the way national and provincial departments are run, how well they perform, the resources they consume and who are in charge.

Departments may use events such as open days, preferably not during working hours, to invite citizen to visit the department to meet with all levels of officials to discuss service delivery (Fox & Bayat, 2006:24). Being open and transparent implies letting customers know how an institution is achieving the promised standards of service delivery as the service provider and how non-delivery is addressed. Transparency in the public service helps keep the public service clean, effective, and free from nepotism and corruption (Crous, 2004:582). The mechanism for achieving openness and transparency is an Annual Report to citizens published by each national and provincial department, setting out in plain language the following - staff employed, the names and responsibilities of senior officials; performance against targets (for improved service delivery, financial

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savings, increased efficiency, resources consumed, including salaries and other staff costs and operating expenses); any income, such as fees for services; targets for the following year, as well as names and contact numbers for further information. Cloete (1996:114), cautions that openness/transparency could become a matter of political rhetoric rather than a cultural characteristic of public administration, therefore, in public institutions, decisions should be made rationally and justifiably based on information. Openness and transparency imply that public officials are obliged to inform citizens about the administration and management of national and provincial departments, what it costs to run them, and who is responsible for running them.

2.6.4.1.7   Redress

Redress, according to Crous (2004:583), is a "principle of remedying mistakes and failures … also known as recovery." Recovery implies acknowledging that an institution made a mistake, hence, the need for apologising, rectifying the mistake, and doing more than is required or expected. Consumers of services are encouraged to lay complaints on any dissatisfaction they had experienced. Complaints should not be seen as a threat but rather an opportunity to redress that which was not right and improve services to ensure that citizens receive the promised level of service standards. Redress means that public officials must apologise to the citizens when they do not deliver the promised standard of service and undertake to remedy the situation, immediately; they must explain why the service quality is below standard (Du Toit, *et al.,* 2002). Public officials should rectify their failures and mistakes in a case where a service rendered did not meet the promised standards or was not rendered timeously.

2.6.4.1.8   Value for Money

Government should become cost-effective by reducing expenditure and eliminating waste and inefficiency. The value for money principle gives citizens the right to demand that the services they receive are real value for the money they pay for them. This makes public officials responsible for providing efficient, effective and economic services (Du Toit, et.al., 2002). Sangweni (2007:4), notes that the value-for-money principle in the Batho Pele White Paper requires that government departments search for creative ways to

simplify procedures and eliminate wasteful expenditure and inefficiency. The value for money principle encourages public servants to prioritise the use of the resources of the state and by so doing generate more public value. Value for money is not to cut costs; it is also about careful spending by the departments, while at the same time ensuring effective service delivery is not compromised.

All departments are required, as part of their service delivery improvement programme, to identify areas where efficiency savings can be sought, and the service delivery improvements that will result from achieving the savings (Fox & Bayat, 2006:25). Improving service delivery and extending access to public services to all South Africans must be achieved alongside the GEAR strategy for reducing public expenditure and creating a more cost-effective public service. Mbanga (2006:26), notes that public service should be provided economically and efficiently in order to give citizens the best value for money. Crous (2004:584), concentrates on the improvement of effective and efficient service delivery, where no additional resources are required. The improved service delivery should be useful, but it would be more useful to aim at achieving the same or improved quality with fewer resources.

Services should be provided as efficiently and effectively as possible to give the public the best possible value for money (Mofolo (2009:438). Services should be improved, and the public should also have access to services, through the creation of absolute cost-effective procedures. Hilliard & Msaseni (2004:75), affirms that one of the most important areas to ensure value for money is to put in place an effective financial management system which is intended to provide policy decision-makers with accurate and timely financial information that - eliminates overlap, duplication, and confusion; increases transparency and accountability; facilitates effective budgeting of scarce resources; minimises loss through leakage, as well as increasing confidence in government.

2.6.5 Inter-governmental Relations Framework Act, 2005 (Act No. 56 of 2005)

The Inter-Governmental Relations Framework Act, 2005 (Act No. 56 of 2005), is a response to the limited successes in the alignment efforts among the three spheres of government. Section 41 (1) of the Constitution, 1996 mandates that the three spheres of

government should work together and cooperate with one another in matters of common interests. The purpose of the Intergovernmental Relations Framework Act, 2005 (Act No. 56 of 2005) is to establish a framework for the national, provincial and local government to promote, facilitate and provide for mechanisms, for matters of mutual interests.

Mzimande (2015:828), argues that the underlying principles of Intergovernmental Relations Act, 2005 are integrated planning, budgeting and sustainable service delivery. The extent to which the IGR is maximized as a facilitative element is crucial, hence, the promotion of integrated administration. Intergovernmental relations were given recognition throughout the evolution of public administration and Kahn, *et al.* (2016:90) point out that the 1983 Constitution recognized the importance of coordination. Most powers were decentralized, hence, the introduction of local government. It is important to note that performance within local government emanated from power decentralization.

2.6.6 Local Government: Municipal Finance Management Act, 2003 (Act No. 56 of 2003)

The Local Government: Municipal Finance Management Act, 2003 (Act No. 56 of 2003), aims at strengthening the principle of transparency, which leads to accountability. The Local Government: Municipal Finance Management Act, 2003) provides that the Accounting Officer must monitor the finances of the municipality. The main objective of the Local Government: Municipal Finance Management Act, 2003 (Act No. 56 of 2003), is to ensure sound and sustainable management of the financial affairs within local government. Section 79 (1) (b) of the Local Government: Municipal Finance Management Act, 2003 (Act No. 56 of 2003) states that the Accounting Officer may delegate powers or duties regarding compliance, to ensure the achievement of programmes and projects of the municipality.

Section 95 (a) of the Local Government: Municipal Finance Management Act, 2003 (Act No. 56 of 2003) further states that the Accounting Officer is responsible for managing the financial administration of the municipality, by ensuring that resources are used effectively. The Accounting Officer must establish reasons for any non-compliance and promptly report and provide reasons for non-compliance. Any non-compliance must be

reported to the Provincial Treasury and the Auditor-General, by the Municipal Council. National Treasury (2004:5), states that the Local Government: Municipal Finance Management Act, 2003 (Act No. 56 of 2003), requires local government - to establish, monitor and evaluate PM&E; involve communities; develop Key Performance Areas (KPAs), as well as prepare annual performance reports. It can, therefore, be argued that local government focuses more on themes like leadership, risk management, environment, delivery of basic services to the communities and PM&E of programmes/projects.

2.6.7 Local Government: Municipal Planning and Performance Regulations Act, 2001

The Local Government: Municipal Planning and Performance Regulations (2001), details the requirements for municipal performance management through the following - detailed IDP, a user-friendly PMS, and a community participation action plan. The policy framework describes the municipal cycle and processes of performance planning, monitoring, measurement, reviews and reporting. It should be noted that managers determine roles and responsibilities of their own, that of their employees and relevant role-players so that municipal planning and performance management is accountable. The Municipal Planning and Performance Regulations (2001), stipulate the reporting frequency and time-lines for accountability about performance and performance audit.

Stakeholders' participation at municipalities in South Africa is often for identifying existing needs of the local communities. This need-identification process can be undertaken through various mechanisms including - community meetings, ward committees, IDP forum meetings and others, such as social media. Maphunye & Mafunisa (2008) are emphatic on the significance of municipal actors participating in the planning and implementation processes of municipalities. Qomoyi (2008), adds that there may not be an effective and a credible IDP and municipal budget without the necessary inputs received from relevant municipal actors, such as ward committees, local communities, sector departments, political and municipal office bearers, through the participation process.

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Muzhedzi (2020:47), argues that participation of role-players at municipalities often fails to make its intended mark due to challenges and obstacles, which include lack of effective or meaningful community participation programmes in the municipal-planning process, hence, failure to provide effective municipal service delivery means inadequate participation by role-players. The community's voice and input in the planning process often tends to be excluded or forgotten resulting in the IDP of many local and district municipalities not being inclusive. Integrated development planning (the process) unlike the IDP, which is a complete plan is referred to as a process of inclusive participation in the municipal programmes and activities which seek to integrate sectoral plans and strategies, as well as the allocation of scarce resources within municipal boundaries (Mashamba, 2008). For this study, municipal planning encompasses all planning programmes, including PM&E and IDP. Before starting the IDP planning process, municipalities must agree on the process. They need to decide what actions must be taken, who will be responsible for these actions, when different activities will take place and how much they will cost (Webb, 2011:72).

The integrated Development Plan Guide Pack (2000:4), identifies the IDP process as one of the key tools for local government to cope with its developmental role. The integrated Development Plan process is a function of effective municipal management. This process also plays a key role in the integration system of planning and effective municipal service delivery. The IDP process aims at arriving at decisions relating to issues on a consultative, systematic and strategic manner and its Guide Pack (2000:4), stipulates that the issues on service delivery may include decisions regarding the municipal budget, land management, promotion of local economic development, and institutional transformation. The IDP process is also involved with guiding the activities of other agencies in related government spheres, corporate service providers, non-government organisations and the private sector within the allocated municipal area (IDP Guide Pack 2000:5). The process, also comprises of the following core components - analysis, strategies, projects, integration and approval. They are discussed below.

2.6.7.1 The analysis phase

The first stage of the IDP process is the analysis phase. Solomon (2016:226), points out that with the analysis during this phase, information is collected regarding the existing conditions within the municipality. It focuses on the types of problems that are faced by people in the area and the causes of these problems. The identified problems are assessed and prioritised in terms of what is urgent and what should be done first. Information about availability of resources is also collected during this phase. Solomon (2016:227) recommends that during this phase the municipality must provide - an assessment of the existing level of development; details on priority issues, problems and their causes, as well as and Information about available resources.

The IDP Guide Pack (2001:15), directs municipalities to understand both the symptoms and causes for the problems that have been identified. Through the identification of priority areas, the municipality will be able to make the corrective measures with the participation of the stakeholders and the community. People who are most affected must be the ones who participate in the identification of the priority issues and in the determination of the full extent of these problems. It is not recommended or allowed for the municipalities to make assumptions because it might turn out to be that real problems would not be identified (Department of Provincial and Local Government, 2001:17).

2.6.7.2 The strategies phase

The second phase of the IDP process, is an opportunity for the municipality to understand the problems that affect the people and the causes of those problems. The municipality will be able to come up with a priority list and be able to develop a list of the available solution to address all the identified problems or challenges within the community. It is at this stage where there is a need for the municipalities to formulate a vision and in the meantime formulate other aspects such as development objectives, development strategies and project identification. SALGA (2012:4) states that public debates must include the role of the traditional authorities since they have had considerable experience of delivering services to their communities, therefore, the public debates put the municipalities in a better position to share their experience with the elected leaders.

De Visser (2007:10), agrees that the municipalities should become aware of the problems and their causes. Formulation of the municipality's vision, mission statement and objectives, including strategies are drawn and put in either short, medium or long-term priorities. Solomon (2016:227) adds that the municipality must work on finding solutions to the problems assessed under phase one. Development is about finding the best way for the municipality to meet a community objectives and once the municipality has identified the best methods to achieving its development objectives, this would lead to the identification of specific projects (Solomon, 2016:228).

Once a municipality understands the problems affecting the residents of its area and the causes of these problems, it should then formulate the solutions to address them, as indicated above. This phase includes the formulation of the following features (IDP Guide Pack 2001:15):

- Developing a vision - generates a statement of the ideal situation the municipality would like to achieve in the long-term once it has addressed the problems outlined in phases. An example of a vision statement can be one which details an economically vibrant city with citizens living in a secure, healthy and comfortable environment.
- Defining development objectives - are clear statements of what the municipality would like to achieve in the medium term to deal with the problems. For example, provide access to clean water for all residents living in an informal settlement.
- Development strategies - once the municipality has worked out where it wants to go and what it needs to do to get there, it needs to work out how to get there. A development strategy is about finding the best way for the municipality to meet a development objective. For example, co-operate with the Department of Water Affairs to provide one water-pipe stand for every 20 households, and
- Project identification - once the municipality has identified the best methods to achieve its development objectives, this leads to the identification of specific projects (IDP Guide Pack 2001:16).

The analysis phase gives municipalities the opportunity to understand the problems that affect the people and the causes of those problems. From here, municipalities must

develop a priority list and the solutions to address the challenges identified. The municipalities must now formulate a vision, development objectives, development strategies and project identification. In this phase, traditional leaders must articulate the problems and solutions; public debates must include the traditional authorities, since they have had considerable experience in delivering services to their communities. They will be able to share their experience with other elected leaders and with the municipal officials. For example, in the strategies phase, IDPs do not reflect public participation; this implies that public participation, even by traditional authorities, would be impossible (Vatala, 2005:10).

Carter (2012:21), alludes to the fact that it is at the strategies phase wherein the Municipal Council decides on appropriate strategies that will assist in addressing priority issues and achieving municipal objectives and targets. The objectives and their applicable strategies arising from the identified goals and priorities would have been formulated for each priority in this phase. Based on the activities conducted and the findings/outcomes of certain actions, the technical team will now be able to revise/elaborate and confirm the issues from the previous IDPs. Strategies constitute the game plan or map to assist the municipality to progress or improve from where it was, to where it wants to be (Carter, 2012:22).

2.6.7.3   The project phase

The Municipal Infrastructure Grant (2004-2007:34), provides information that all the projects have been identified based on the summarised problems. It is in this stage where also the programmes/projects proposals are put in place. One of the most necessary projects usually relates to infrastructure. The Municipal Infrastructural Grant (2004-2007:35), requires that when the traditional authorities are involved, the process should also involve community members; this is a mandate to the traditional authorities and community members. The phase is thereafter concluded by developing a monitoring plan. It is also the duty of the traditional leaders to monitor that the projects are being implemented according to the prescribed and predetermined plan.

The IDP Guide pack (2001:16), points out that it is at this phase that the design and specification of projects for implementation are scrutinized, therefore, the municipality must ensure that the projects identified have a direct linkage to the priority issues and the objectives that were identified in the previous phases. Clear details for each project should be worked out in terms of the following - Who is going to benefit from the project? How much is it going to cost? How will the project be funded? How long will it take to complete? Who will manage the project? Targets must be set, and performance indicators should be worked out to measure performance, as well as the impact of individual projects (Solomon, 2016: 228). Clarity must be given based on certain questions - for example, Who are the beneficiaries of the project? How much will the cost be? how is this project going to be funded? When will the project be completed? Who will be responsible for managing the project? There must, also, be clear set of target and indicators worked out to measure performance as well as the impact of individual projects (Parnell *et al.,* 2002:94).

2.6.7.4   The integration phase

Once all programmes/projects have been identified, the municipality should check again that they contribute to meeting the objectives that were outlined in Phase 2 (strategies). These programmes/projects will provide an overall picture of the development plans. All the development plans must now be integrated and the municipality should also have overall strategies for issues such as dealing with HIV/AIDS, poverty alleviation and disaster management. These strategies should be integrated with the overall IDP; to implement projects in a successful manner, key performance indicators would also need to be developed to monitor what occurs in this stage (Solomon, 2016:228).

Mathye (2000:30) points out that the municipalities must ensure that the projects are in line with the objectives and strategies of municipalities. Those regarded as the traditional leaders who represent traditional authorities in municipal councils, must also participate in the debates. The whole plan, in terms of the initiation of the project, and its implementation through to monitoring should be planned in this phase. The municipality

should design a programme for a period of five years, as required by law (Mathye, 2002:30).

The IDP Guide Pack (2001:15), points out that the integration phase creates an opportunity for the municipality to harmonise the project in terms of content, timing and location, thereby, arrive at a consolidated and integrated programme. The municipality should ensure that when the projects are identified they must be in line with the objectives and strategies of the municipality. The project should also be in line with the resource framework and comply with the relevant legal requirements. As such, the output of this phase is an operational strategy which includes – a five-year financial plan, a five-year capital investment programme, an integrated spatial development framework, sectoral programmes (such as on local economic development, poverty alleviation and gender equity), consolidated monitoring or performance management systems, disaster management plan, institutional plan and a reference to the sector's plans (IDP Guide Pack, 2001:16).

2.6.7.5   The approval phase

Solomon (2016:230), explains that the IDP is presented to the Municipal Council for consideration and adoption, under the approval phase. The Municipal Council may adopt a draft for public comment before approving a finalised IDP. When the completion of IDP is done, it must be submitted to the municipal council, for consideration and approval, as confirmed by Mathye (2002:31). One of the most vital areas that the Municipal Council should be careful of and bear in mind, is whether the IDP process was followed correctly. The public must have an opportunity to comment on the IDP draft before it is approved and once the IDP is amended according to the feedback from the public, the Municipal Council will consider the IDP for approval (IDP Guide Pack, 2001:17).

2.6.8 Municipal Performance Management Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, 2006.

When designing the organisational structure of municipalities, Craythorne (2006:191), proposes that it be done in stages. The first stage, called the "macro-design stage" would

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be to identify the sections, divisions, branches and departments. Next, top management for the organisation should be established and the final stage is the design of various units, such as sections, divisions, often called the "micro-design stage". Within the second stage of design, the Section 57 managers should be appointed.

The municipal managers, as the highest executive power within a municipality, must have the relevant skills and expertise to perform the duties associated to their positions. The municipal manager is a key figure in the successful management of the administration of a municipality. In short, the municipal manager is responsible for the formation and development of an economical, effective, efficient and accountable administration. The management of the municipality's administration in accordance with the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000) and other legislation related to municipalities focus on the following - the implementation of a municipality's IDP; the management of the provision of services to the local community in a sustainable and equitable manner; the appointment of staff and maintenance of discipline of all staff and the promotion of sound labour relations, and the improvement of communication between municipality's administration, political structures and political office-bearers (Craythorne (2006:192).

The Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), differentiates between staff generally, and managers directly accountable to the municipal manager or second-level posts. Persons filling those second-level positions are to be appointed by the council or executive committee of a municipality after consultation with the municipal manager. A municipal manager and senior managers directly accountable to the municipal manager may only be appointed to Section 57 managerial positions. A written contract for such positions must comply with the provisions of section 57 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000); such contract is subject to a separate performance agreement which is reviewed annually. Once the municipality has determined the role profiles for each Section 57 manager, the performance objectives and targets for each managerial position must be determined in respect of relevant key performance indicators set by the municipality in terms of Section 41(1) (a) of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000).

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Matodzi (2004), stipulates that the performance plan may change annually based on changes made in the SDBIP. Parties must review the provisions of the agreement during June of each year and must compile a new performance agreement that replaces the previous agreement at least once a year, within one month after the commencement of a new financial year. The agreement will terminate on the termination of a Section 57 manager's contract of employment, for whatever reason. If at any time during the validity of the agreement, the work environment alters to the extent that the contents of the agreement are no longer appropriate, the status of the contents must be mutually agreed upon between the parties and immediately revised. It is, however, important to note that 80% of the performance covered in the contract must relate to the SDBIP of a municipality.

The performance objectives and targets must be met by the employee within the set time-frame for achieving targets (Matodzi, 2014). The key objectives describe the main tasks to be done and in collaboration with these objectives, the KPIs should provide details of the evidence that must be provided to show that a key objective has been achieved. A Section 57 manager's performance will, in addition to these objectives, also be measured in terms of the contribution she/he made to achieve the goals and strategies of the IDP or SDBIP of a municipality.

The criteria upon which the performance of a Section 57 manager must be assessed consist of two components, both of which must be contained in a performance agreement. The Section 57 manager must be assessed against both components with a weighting of 80:20, allocated to the Key Performance Areas (KPAs) and the Core Competency Requirements (CCRs) respectively. Each area of assessment is to be weighted and should contribute to a specific part of the total score. The assessment will be based on his/ her performance in terms of outputs or outcomes identified as per the performance plan linked to the KPAs, which in turn is linked to the organisational achievements.

The DPME (2019) requires the Public Service to note the national evaluation system which was introduced by government in 2014, in trying to get evaluation evidence in the

manners or ways in which the government operates. This mechanism was adopted to help improve the quality of evaluations and to use independent evaluators to maintain their integrity and independence; they also offer some training for the managers so that they can acquire some technical know-how in managing evaluations in the public service. One of the main successes of this approach is that there has been a change of South Africa's approach to various situations, for example, to early childhood development (ECD). This came about because of a diagnostic evaluation that was used in South Africa to build the current evaluation system that ECD is using in its operations; it came about from the recommendations that emerged from the diagnostic evaluation (Matodzi, 2014).

Van der Westhuizen (2016:142), defines Performance appraisal also referred to as, performance evaluation, performance measurement or performance review, is the most common phase of the performance management process and one which most employees are familiar. Performance appraisal is defined as a part, phase, activities or aspect of performance management through which the performance of an employee is appraised and a performance score or rating that indicates the level of performance is decided upon by line managers. Swanepoel *et al.* (2008:368), explains that performance management in the public sector is a complex feature of the employment contract in which employers, employees and citizens share a reciprocal relationship and an exchange in which they have complementary rights, duties and responsibilities. The scholar continues that performance management is a continuous, systematic and integrated process of identifying, appraising, managing and developing employee's performance. Performance appraisal may be defined as a formal and systematic process, by means of which the job-relevant strengths and weaknesses of employees are identified, observed, measured, recorded and developed (Swanepoel *et al.,* 2008:369).

Performance appraisal is also a human resource function which is most often criticised and whose system carries the greatest risk of either failing, falling into disuse or degenerating towards a meaningless paperwork (Swanepoel, *et al.,* (2008:371). Performance management can be regarded as non-time specific on-going process that involves the planning, managing, reviewing, rewarding and the development of an

individual or group performance. The performance appraisals and performance management are intertwined in the successful delivery of public institutions goods and services to consumers. Performance appraisal is carried out as a phase of a performance cycle, of a public institution (Swanepoel, *et al.,* 2008:372).

The performance cycle consists of multiple phases and performance management consists of multiple performance cycles. Without performance appraisal, the process of performance management is deficient. Depending on the policies that are adopted by public institutions, a performance cycle may consist of two performances appraisal phases that are conducted at regular intervals, normally one in the middle and the other at the end of a performance cycle. Performance appraisal is therefore a small fraction of a comprehensive process of managing performance whereas performance management is holistic, integrated and systematic. This difference is substantiated by the nature of the outputs and outcomes that a performance appraisal and performance management anticipate achieving (Swanepoel, *et al.,* 2008:373).

The objectives of performance management, according to Van der Westhuizen (2016:143), surpass those of performance appraisal for the impact of performance management goes beyond the boundaries of public institutions. This means that if public institutions implement performance management effectively, it satisfies the needs of consumers who are not necessarily part of it whereas the outcomes of performance appraisal are consumed internally (Van der Westhuizen, 2016:143).

2.6.9   POLICY FRAMEWORK ON MUNICIPAL PERFORMANCE, MONITORING AND EVALUATION

Roux (2015:2), indicates that the public service has an obligation to provide services in an effective and efficient manner that meets the needs of citizens, and the South African public service is no exception; this applies to all three levels of government. The advent of democracy was a beacon of hope for the previously divided and segregated communities, and the government was committed to make the lives of all South Africans

better, regardless of race and colour. Performance monitoring and evaluation (PM&E) is necessary for the improvement of municipal services. According to Van der Waldt, *et al.,* (2007:115), to maintain, sustain and continuously improve municipal services, performance should be monitored to ensure that the implementation is done according to what is planned. The argument advanced is that PM&E should not only focus on financial performance but should also include non-financial performance, through systems and policies.

Performance, monitoring and evaluation of municipalities cannot be effectively exercised by the national government without a clear legal basis. Intrusion into constitutionally-guaranteed local government autonomy will only be accepted by municipalities if it has a basis in the Constitution, 1996. The institutional framework should not locate PM&E in one department or sector. If local government legislation locates PM&E responsibilities with a particular ministry, it risks creating the misconception that PM&E is the responsibility of that department only and that sectoral departments have no dealings with local government (De Visser, 2005: 275). The argument advanced is that the legal framework for PM&E should be geared towards providing an 'early warning system' to obviate, as far as possible, interventions into municipalities, hence a set of interconnected and integrated legal framework is required. Section 152 of the Constitution, 1996 mandates the local government sphere and places a premium on the effective, efficient and economic use of resources to address the needs of the people in municipalities. The Constitution sets a framework for an accountable, outcome-based and a well-governed municipality. This is where PM&E can be used as one of the systems to achieve this constitutional imperative.

Van Heerden (2009:47), argues that the credibility of a government depends on the way public administration is executed in service of the country's inhabitants. Democracy, as reflected in Section 195 (1) of the Constitution, 1996 notes that public institutions must be governed by the democratic values and principles enshrined in the Constitution, 1996. Communities demand that government activities should be transparent, responsible and accountable, and performed by honest and ethically-motivated officials (Van Heerden (2009:47). The Constitution, of 1996 imposes an obligation on national and provincial

governments to support and strengthen the capacity of municipalities to manage their own affairs, to exercise their powers and to perform their functions (Section 154 (1) of the Constitution, 1996). Policies exist in municipalities, where a legislated performance management approach is encouraged by the White Paper on Local Government, 1998. The White Paper on Local Government, 1998 states in its concluding sections that integrated development planning, budgeting and performance management are powerful tools which can assist municipalities to develop an integrated perspective of development in their area. The White Paper asserts that by involving communities in developing municipal specific key performance indicators, this action increases the accountability of the municipality. This argument is fundamental in shaping the objectives of this study.

2.6.9.1 Government-wide Monitoring and Evaluation system

In 2005, the South African Cabinet approved the recommendations on an implementation plan to develop the GWM&E system (Presidency 2007:3). The GWM&E system seeks to provide an integrated, encompassing framework of M&E principles, practices and standards to be used throughout government. These function as an apex-level information system which draws from the component systems in the framework to deliver useful M&E products to its users. The GWM&E initiative is a public service reform which aims to consolidate the public service by encouraging M&E practices in government. The GWM&E as outlined by the Presidency (2007:7), are the following - improved quality of performance information and analysis at programme level within departments and municipalities (inputs, outputs and outcomes); improved M&E of outcomes and impact across the whole of government; sectoral and thematic evaluation reports; improved M&E of provincial outcomes and impact in relation to the provincial growth and development plans; projects to improve M&E performance in selected institutions across government; capacity-building initiatives to build capacity for M&E, as well as to foster a culture of governance and decision-making which responds to M&E findings.

GWM&E, thus, aims to facilitate all the stages of a policy or project, namely adoption, design, implementation and evaluation, to ensure that service delivery is effective and meeting the needs of the people. The Presidency (2009:19), emphasises that the

government recognised the need for GWM&E after the 1994 democratic elections, which required government to increase service delivery to meet the needs of all South Africans. Performance, monitoring and evaluation as a reform programme was delegated to the Department of Performance, monitoring and evaluation to improve on service delivery across all sectors. As government, there will be mistakes, hence, the introduction of PM&E to learn from such mistakes. The Presidency (2009:3), directs that one of the ways government should sought to improve its effectiveness is to focus on PM&E, because the process improves policies, strategies, plans and government performance.

The National Evaluation Policy Framework (2011:2), points out that evaluations should be conducted to improve performance, improve accountability, generate knowledge and for decision-making for public service interventions. The NEPF therefore suggests that government departments undertake impact evaluations to measure changes in outcomes that are attributable to a specific intervention. Implementation evaluation seeks to determine whether or not the activities of a project lead to the planned objectives of the project. A design evaluation seeks to determine whether or not the objectives of an intervention or policy can actually bring about change and can be conducted after a project or policy has been designed. An economic evaluation is conducted at any stage of the project or policy cycle and seek to determine whether or not the costs have outweighed the benefits of the intervention. These types of evaluations are linked to the results-based management approach adopted by government. The Presidency (2007:3), stipulates that the GWM&E policy framework guides the principles, practices and standards.

2.6.9.2 Government-Wide Monitoring and Evaluation System Overview

Although there are various existing systems for gathering information within government, there are still several gaps in the actual information needed for planning the delivery of services and for reviewing and analysing the successes of the policies. The Policy Framework for the Government-Wide Monitoring and Evaluation System (GWMES) (2007), seeks to enhance these delivery systems by describing them and explaining how they relate to each other. This can be done using:

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

The Presidency (2007) refers to each of these components as a "data terrain" which can essentially be understood as sources of data. The table below illustrates the relationship between these components, highlighting that there are frameworks dealing with each component:

- The Evaluations framework deals with various methods and procedures for evaluating government programmes and their implementation;
- The Framework for Managing Programme Performance Information deals with the management of the actual programme through collecting information on the success of the programme, and

- The South African Statistics Quality Framework (SASQAF) speaks to Social, Economic and Demographic Statistics that may be used for M&E.

The main features of each of the data terrains, according to the Presidency (2007), are summarised below.

(a) Data Terrain: Programme Performance Information

The lead institution responsible for performance information is the National Treasury; role players in this area include every sphere of government.

(b) Data Terrain: Evaluations

The focus of this component is on the standards, processes, and techniques of planning and conducting evaluations and the communication of the results of evaluations of government programmes and policies. The responsible institution is The Presidency. Other crucial role players include, the Department of Public Service and Administration (DPSA) and the Office of the Public Service Commission.

(c) Linking the GWMES with other management systems

It is import that the three components of the GWMES be understood to be integrated with and applied to other processes within government, such as:

- Multi-term Expenditure Framework (MTEF), and In-Year-Management;
- Human Resource Planning, and

- Annual Reporting and Monitoring, such as the Public Management Watch Programme (at national and provincial levels), integrated development planning (IDP); and institutional performance management systems (at municipal sphere of government).

(d) Defining Roles and Responsibilities

The GWMES also define the role of public sector bodies and officials in implementing the system, as is indicated below.

Table 2.2: Defining role and responsibilities

Responsibilities	WHO	WHAT
	Legislators and councilors	As representatives elected by South Africa's voters, government departments and their employees are accountable to legislatures and municipal councils. Legislators and councilors are required to exercise consistent and informed oversight of the bodies accountable to them, using insight gained from M&E systems.

	Executive authorities	Executive authorities are required to use M&E findings in the political oversight of institutional performance and for ensuring that desired outcomes and impacts are achieved. They are also required to provide the bodies to which they are accountable with detailed regular reports on the institutions under their control.
	Accounting officers and accounting authorities	These officers are accountable for the frequency and quality of M&E information and the integrity of the systems responsible for its production and utilisation. They need to ensure that prompt managerial action is taken in relation to M&E findings.
	Programme managers, other line-managers, and officials	These are responsible for establishing and maintaining M&E systems, especially, for collecting, capturing, verifying data and information.
	Designated M&E units	These are responsible for ensuring the implementation of M&E strategies by providing expertise and support as well acting as a

		service hub for related initiatives.

(Sources: The Presidency (2007)

2.6.9.3 Monitoring and evaluation principles

The Presidency (2007:3), defines the following principles of M&E**:**

- **Improved governance:** For governance to be improved, informed and transparent decisions have to be made. Lekala (2019:44), asserts the fact that without relevant information or being transparent, it is impossible to hold an official accountable. In this regard the bottom-up decision-making approach will assist communities to access information from municipalities being transparent and open about their affairs, in the essence of democracy. South Africa's Promotion of Access to Information, 2000 (Act No. 02 of 2000), gives effect to right of access to information. Transparency is a valued democratic principle, although, it has its practical challenges such as sensitive information that could impact negatively on the country's sovereignty and safety. A PM&E, without relevant information, however, makes it impossible to hold an official accountable.

- **Rights-based M&E**: The Presidency (2007:3), clearly articulates that a rights-based culture is promoted and entrenched by its inclusion in the value base for all M&E processes.

- **Development-orientated M&E**: The Presidency (2007:3), further outlines the following issues which are development-orientated: pro-poor orientation; service delivery and performance-orientated; learning-orientated; human resources-orientated; and impact-awareness-orientated. In this study, only two issues were addressed - service delivery and performance, and human resources.

- **Service delivery and performance**: According to Dlamini & Migiro (2016:381), service delivery and performance problems are crippling the welfare of local

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government; such problems are not limited to corruption and fraud. It is evident that corruption has a negative effect on service delivery.

Service delivery protests are escalating, illustrating the level of dissatisfaction with municipal service delivery, in communities.

Corruption practices include, bribery, kick-backs, patronage, embezzlement of assets and extortion while fraud is defined as issues related to conflict of interest. Corruption Watch (2014:14), spells out that the most common components of fraud are indicated as types of misrepresentations that cause actual prejudice or that is possibly prejudicial to another party; employees, therefore, must be made aware of the consequences should they commit any corrupt or fraudulent act(s). In South Africa corruption and fraud are priority issues discussed daily on different media. Around 2017, the President elected the Zondo Commission, led by Judge Raymond Zondo to preside over allegations of corruption and fraud cases exposed through the state capture report. The Zondo commission began with its function as early as August 2018 by undertaking investigations.

- **Human Resource Management:** The Presidency (2007:3), notes that the skills required for M&E should be available, fostered and retained while the knowledge needed for strategic human resources utilization should be available and used. It is, therefore, important for PM&E practitioners to possess the following skills in - research, data capturing/analysis, communication, information technology, presentation, project management and facilitation/interview.

- **Monitoring and evaluation practices:** Policy framework on GWM&E guides M&E practices in South Africa. The Presidency (2007:13), informs that M&E entails gathering and using of information and knowledge to improve on accountability, hence, service delivery is enhanced through the practice of M&E. The features of M&E are outlined as:

- **Building demand by meeting needs**: Service delivery is enhanced through practices of M&E. The Presidency (2007:13), indicates that for M&E practices to be successfully implemented, explicit sustained effort should be made. Once the

needs of the people are identified, role-players should be involved. By involving role-players, the institutional M&E strategies/practices will reflect whether respective consultations were made.

- **Central repository**: The Presidency (2007:13), states that the core of a central M&E repository should be reliable. This means having an easily accessible catalogue of studies, which involves the funding of the studies. Such information should be easily and readily available on diverse media and institutions.

- **Follow-up**: As stated above, a catalogue of M&E studies, including their funding and recommendations being available, means there will be information which will assist readers to use and follow-up when needed. Feedback is expect to be given regularly to communities, for accountability.

- **Knowledge-sharing**: The Presidency (2007:13), further articulates that institutions need to find ways of sharing the knowledge generated through M&E processes/practices; one way of doing this is through the use of M&E forums. The choice of mechanisms should be noted in the M&E strategy.

- **Monitoring and evaluation standards**: The Presidency (2007:3), conducts the overarching GWM&E system, aiming to provide an integrated, encompassing framework on M&E principles, practices and standards. With regard to the standards or criteria assigned to M&E, the following are key dimensions: relevance, accuracy, timeliness, accessibility, interpretability, coherence, methodological soundness and integrity.

The above-mentioned principles assist the public service to implement a quality M&E system within their means, thus contributing towards an effective municipal service delivery.

Table 2.3: Principles of M&E

1. M&E should contribute to improved governance	
• Transparency • Accountability • Participation • Inclusion	• All findings are publicly available unless there are compelling reasons otherwise. • Use of resources is open to public scrutiny. • Voice is provided to historically marginalized people. • Traditionally-excluded interests are represented throughout M&E processes.
2. M&E should be rights-based	
• Bill of Rights	• A rights-based culture is promoted and entrenched by its inclusion in the value base for all M&E processes.
3. M&E should be development-Oriented, nationally, institutionally and locally	
• Pro-poor orientation • Service delivery and performance • Learning • Human resource management	• Poverty's causes, effects and dynamics are highlighted and the interests of poor people are prioritized above those of more advantaged groups. • Variables reflecting institutional performance and service delivery are analyzed and reviewed, links are identified and responsive strategies are formulated.

• Impact awareness	• Knowledge and an appetite for learning are nurtured in institutions and individuals. • The skills required for deliberative M&E are available, fostered and retained while the knowledge needed for strategic HR utilization is available and used. • The possible impacts of M&E interventions are considered and reflected upon in plans and their actual outcomes are tracked and analyzed systematically and consistently.
4. M&E should be undertaken ethically and with integrity	
• Confidentiality • Respect • Representation of competence • Fair reporting	• Processes ensure the responsible use of personal and sensitive information. • Promises of anonymity and non-identifiability are honored and relied upon. • Dignity and self-esteem are built amongst stakeholders and affected people. • There is skillful and sensitive implementation of M&E processes. • Those engaged in monitoring and evaluation fairly represent their competence and the limitations of their reports. • Reporting provides a fair and balanced account of the findings.
5. M&E should be utilization-oriented	
• Defining and meeting expectations • Supporting utilization	• M&E products meet knowledge and strategic needs. • A record of recommendations is maintained and their implementation followed up.

	• An accessible central repository of evaluation reports and indicators is maintained.
6. M&E should be methodologically-sound	
• Consistent indicators • Data/evidence based • Appropriateness • Triangulated	• Common indicators and data collection methods are used where possible to improve data quality and allow trend analysis. • Findings are clearly based on systematic evidence and analysis. • Methodology matches the questions being asked. • Multiple sources are used to build more credible findings.
7. M&E should be operationally-effective	
• Planned • Scope • Managed • Cost effective	• As an integrated component of public management, M&E is routine and regularized. • The scale of M&E reflects its purpose, level of risk and available resources.
• Systematic	• Conscientious management of the function leads to sustained on-time delivery of excellence. • The benefits of M&E are clear and its scale is appropriate, given resource availability. • Robust systems built-up that are resilient and not dependent on individuals or chance.

(Source: The Presidency (2007)

2.11.9.4   Approaches to Monitoring and Evaluation

Various approached to monitoring and evaluation are identified as follows:

- Result-oriented approach

The emphasis on result-oriented monitoring and evaluation lies in "measuring" or to answer the question - To what degree have the original project objectives and subsequent interventions been achieved? In other words: What are the results? Result-oriented approaches are often used to provide an accountability trail for the investment in the project, as financiers and their backers must or want to see what has been done with their money. Planning methods which match this type of M&E are, Log Frames or Logic Charts or the more flexible TOC (Davies & Data, 2002:2) which this study utilised.

Result-oriented methods are powerful instruments but they have their limitations in (system) innovation processes. An example of a well-known intervention strategy in system innovation is the stimulation of unforeseen contacts to trigger new insights and initiatives. During the implementation of a result-oriented M&E, project managers and the participants will want answers to several questions focusing on, to what degree the results are successful in stimulating unforeseen contacts (output). Davies & Data (2002) add that in the process, managers will want to know to what degree these contacts have led to surprising new initiatives (outcome). In the long term, they will want to gain an insight into the degree to which the initiatives have contributed to, for example, a more sustainable agricultural sector (impact). The strength of result-oriented methods lies in asking these pointed questions, but they can often only provide part of the answer. Collective learning and innovation processes do not evolve in a linear way but are unpredictable, consequently, cause and effect relations are not easily traceable. Result-oriented methods do not address the value of collective learning and the development of a shared understanding of the project and/or its context (Davis & Data, 2002:3).

- Constructivist approach

The constructivist M&E approach assumes that people are the motor behind the development of novelties and societal change processes. They achieve this through

interaction and negotiation (Guba & Lincoln, 1989). Mutual understanding and exchange of experiences support collective learning, improvement and change. Constructivist methods focus heavily on monitoring and evaluation of the progress of the collective learning process. They do not so much define (the "what" question) but highlight more how successful collective learning processes are initiated and prolonged (the "how" question).

A central activity is sharing experiences from different perspectives by different people. An analysis of the most important issues is made based on individual stories and together with the story-tellers, the group reflects on possible further steps (Davies & Data, 2005:5).

The strength of constructivist methods is that they stimulate the exchange of perspectives; they ensure a good insight into how processes evolve. These insights are of value for the learning process itself and the relationships within the project or network can be strengthened using the results of monitoring and evaluation.

- Reflexive approach

We call the most recent approach in M&E, reflexive (Vosset *et al.,* 2006). Reflexive methods focus on both a collective learning process (in groups of actors and in networks) as well as on the results in terms of learning and institutional change. The reflexive approach has a constructivist base but goes further. Project or network participants not only exchange their personal viewpoints and motives but they also debate their presumptions, underlying values, norms and the institutional context in which they operate. In this way, they can arrive at diverse agreements about possible joint actions. Reflexive monitoring assumes that systems' innovation can only take place if the institutions (laws, regulations, culture, among others) which have until now perpetuated the current (non-sustainable) practices, change as well. The leading question in reflexive monitoring is whether the activities in an innovation project stimulate precisely those learning processes that can lead to a change in current practices of interdependent parties (Mierlo, 2010:16).

The strength of this approach is that it is based on thinking in terms of systems; current practices are questioned and they are aimed at changing a complete system. For this

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reason, the approach is promising for projects where the ambition is to contribute to system innovation. Reflexive monitoring has not yet been implemented very often, thus, there are few people with knowledge and experience of it. It requires sincere commitment and intensive effort; self-monitoring is not or hardly possible. Related methods are the Interactive Learning Approach, Reflexive Process Monitoring and Reflexive Monitoring in Action (Mierlo, 2010:18).

- Program Theory

Program theory of evaluation has grown in use over the past decade. It assesses whether a program is designed in such a way that it can achieve its intended outcomes. The program theory is a guidance theory in the evaluation of projects as it shows the capacity of the program to attend to specific problems that need to be reviewed, within projects. It further offers guidance on what areas need to be emphasized on, during the evaluation process (Donaldson, 2012:39). The use of program theory presents the advantage of offering information that could lead to additional explanations regarding a problem, in addition to the solutions and the alternate actions to be carried out to obtain the intended results. Further, it can be used to enhance decision making and expand conceptions of solutions to any project problems (McClinttock, 1990:27). This theory, however, is limited by its approaches as it requires excessive reliance on a collection of data to guide in the evaluation process, and this may be costly for projects that are working under tight budgetary allocations.

2.7 THE REPUBLIC OF SOUTH AFRICA (RSA) SERVICE CHARTER, 2013 (PSCBC RESOLUTION No. 1 OF 2013)

The RSA Service Charter, 2013 (PSCBC Resolution No. 1 of 2013), is regarded as one of the effective ways in ensuring excellent, effective and efficient service delivery to the citizens. It states that the Charter shall regard the State as an employer and employees those who are employed by the State and fall within the registered scope of the PSCBC. The RSA Service Charter, 2013 (PSCBC Resolution No. 1 of 2013), in its preamble sets out the following:

"We, the parties in the Public Service Coordinating Bargaining Council (PSCBC) representing the State as Employer and public servants:

- *Affirm our commitment to upholding the values and principles of public administration enshrined in Section 195 of the Constitution and other laws, policies and frameworks.*

- *Uphold the Constitutional responsibility of the State clearly articulated in the Bill of Rights to deliver services to the citizenry.*

- *Note the continued efforts of the State and public servants in building a developmental state is inclined towards addressing the needs of the majority of the population in particularly those that had been historically disadvantaged.*

- *Acknowledge the service delivery challenges in the public service.*

- *Equally concerned about the increasing manifestation of corruption in the public service and the negative impact it has on socio-economic and political landscape of the country.*

- *Believing in the rich history of our democratic dispensation which entrenches values and principles of human rights, social, economic and political rights.*

- *Motivated by the proven value of collaboration in building a new South Africa and encouraged by the willingness of all parties in working towards a common goal of finding mutually beneficial solutions to our common challenges."*

The following are objectives of the RSA Service Charter, 2013 (PSCBC Resolution No. 1 of 2013), which seek to:

- Improve service delivery programmes;

- Reinforce the partners' commitment to service delivery improvement for the benefit of all citizens;

- Clarify the rights and obligations of each of the parties;

- Acknowledge and reward excellent performance, professionalism and encourage excellence in the public service;

- Enhance performance;

- Facilitate a process to define service standards in various sectors;

- Strengthen processes and initiatives that prevent and combat corruption;

- Facilitate social dialogue among the partners;
- Help government departments rise to the challenge of treating citizens with dignity and meeting their expectations and demands equitably and fairly; and
- Ensure an effective, efficient and responsive public service.

In view of the above-mentioned objectives, roles and responsibilities of the public servants need to be clarified, subsequently, improving service delivery for the people.

2.7.1 Article 1

Article 1 of the RSA Service Charter, 2013 (PSCBC Resolution No. 1 0f 2013), defines the services offered by the State to the citizens of South Africa. The RSA Service Charter, 2013 (PSCBC Resolution No. 1 0f 2013), outlines the service standards that underpin the services offered by the State, registers the commitments by the State as employer of public servants and specifies commitments by public servants towards the citizens. The service standards mentioned in the RSA Service Charter, 2013 (PSCBC Resolution No. 1 0f 2013), are the same service standards enshrined in the *Batho Pele* principles. These service standards should specify the level and qualities of services to be rendered to the people.

2.7.2 Article 2/ Article 3

Article 2 of the RSA Service Charter, 2013 (PSCBC Resolution No. 1 of 2013), defines the State as the Employer. The statement states that as employees, public servants are employed in terms of the public service regulations. Furthermore, the public service, as an employer is required to provide the necessary resources and a conducive working environment for the delivery of services, to serve the people of South Africa. Article 3 the RSA Service Charter, 2013 (PSCBC Resolution No. 1 of 2013), complements Article 2 as an employer and who is found in the national and provincial spheres of government.

2.7.3 Article 4

Article 4 of the RSA Service Charter, 2013 (PSCBC Resolution 1 of 2013), defines the services provided by the State to include among others, the following:

- Basic Education and Higher Education;
- Health services;
- Safety and security;
- Human Settlements;
- Social welfare services;
- Land reform and rural land development;
- Legal justice system;
- Correctional services;
- Water and sanitation;
- Border control;
- Energy;
- Waste removal;
- Transport, roads, maritime and aviation;
- Provision of IDs and passports;
- Provision of birth and death certificates;
- Provision of driver and vehicle licenses;
- National Defense;
- Environmental management and protection;
- Promotion of arts and culture;
- Advancement of the interests of women, children and people living with disabilities;
- National planning;
- Monitoring and evaluation of government programmes;
- Economic development;
- Management of mineral resources;
- Budget management;
- International cooperation;

- Cooperative governance and traditional affairs;
- Tourism, and
- Communication of Government programmes.

The above-mentioned services are programmes of government, which are prioritized every financial year. In this regard government has the responsibilities to make policies about the spheres of government, which are distinctive, inter-related and inter-dependent.

2.7.4 Article 5

The following are service standards mentioned in the RSA Service Charter, 2013 (PSCBC Resolution No. 1 of 2013), which stipulates that:

- There shall be clearly-defined service standards for all government sectors;
- All sectors must, as a minimum, meet the service standards of *Batho Pele*;
- Serve citizens promptly and courteously at all service-delivery points;
- Provide friendly and helpful service;
- Help service users make the right choices in accessing services;
- Provide appropriate signage and information desks;
- Public servants must wear name tags for easy identification;
- Answer calls promptly;
- Ensure shorter queues at service delivery points;
- Respond to queries and complaints promptly;
- Respond to mail and email correspondence promptly;
- Resolve customer complaints fairly, consistently and promptly;
- Encourage service users to make suggestions on how to better the services offered, and
- All public institutions must visibly display *Batho Pele* Call Centre and the Anti-Corruption Hotline numbers.

Transforming service delivery in the public service is mainly to enforce quality services provided to the people. The service standards are the key principles that call for commitment towards customer satisfaction. As mentioned in Fox & Bayat (2006:24),

performance against standards must be reviewed annually and be met, therefore, PM&E will receive attention and service standards will be maintained.

2.7.5 Article 6

Article 6 of the RSA Service Charter, 2013 (PSCBC Resolution No. 1 of 2013), commits to the provisions enshrined in Section 23 of the Constitution, 1996, the Labour Relations Act, 1995 (Act No. 66 of 1995), to:

- Create an enabling environment within the provisions of available resources for public servants to perform their duties;
- Implement conditions of service that fairly reward public servants;
- Maintain a disciplined public service;
- Develop a feedback mechanism that will allow the public to compliment or raise complaints about the conduct and attitudes of public servants and the quality, time-lines and efficacy of the services they provide;
- Facilitate a rewards and recognition system commensurate with the values and principles of the Charter that focuses on individuals and teams;
- Introduce modern and innovative procedures and systems for the delivery of services;
- Implement information and communication technology policies and programmes to support and improve the delivery of services;
- Implement governance systems that optimise management of resources, risk management and audit management;
- Simplify procedures and ease formalities related to access and delivery of services;
- Implement service-delivery improvement programmes;
- Introduce systems and processes that facilitate citizens' access to government services;
- Institute national accountability and integrity systems to promote value-based societal behaviour and attitudes as a means of preventing corruption;

- Recognise that public servants have the right to create or belong to associations, trade unions or any other group as provided for by applicable laws;
- Recognise that public servants, within applicable laws, shall have the right to engage in collective bargaining; and
- Membership or non-membership of a political party shall not be used as criteria for appointment into the public service.

The above-mentioned provisions promote unity and well-being of South Africans. It is in my view that as long as public servants perform their duties optimally, the people of South Africa are entitled to receive high quality of service delivery.

2.7.6 Article 7

Article 7 of the RSA Service Charter, 2013 (PSCBC Resolution No. 1 of 2013), emphasises the fact that public servants must commit to:
- Be faithful to the Republic, honour the Constitution, 1996 and abide by the laws in the execution of duties;
- Promote the unity and wellbeing of the South African nation in performing official duties;
- Loyally execute the policies of government in the performance of duties;
- Serve the public in an unbiased and impartial manner to create confidence in the public service;
- Be polite, helpful and reasonably accessible in dealing with the public, always treating members of the public as customers who are entitled to receive high standards of service;
- Have regard for the circumstances and concerns of the public in performing official duties and in the making of decisions affecting them;
- Provide timely service towards the development and upliftment of all South Africans;
- Not unfairly discriminate against any member of the public because of race, gender, ethnic or social origin, colour, sexual orientation, age, disability, religion, political persuasion, conscience, belief, culture or language;

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- Not abuse their position in the public service to promote or prejudice the interest of any political party or interest group;

- Respect and protect every person's dignity and rights as contained in the Constitution;

- Recognise the public's right of access to information, excluding information that is specifically protected by law;

- Co-operate fully with other employees to advance the public interest;

- Execute all reasonable instructions by persons officially assigned to give them, provided these are not contrary to the provisions of the Constitution, 1996 and/or any other law;

- Refrain from favouring relatives and friends in work-related activities and never abuse authority or influence other employees, nor be influenced to abuse authority;

- Use the appropriate channels to air grievances;

- Commit to the optimal development, motivation and utilisation of staff and the promotion of sound labour and interpersonal relations;

- Deal fairly, professionally and equitably with other employees;

- Be creative in thought and in the execution of duties, seek innovative ways to solve problems and enhance effectiveness and efficiency within the context of the law;

- Not engage in any transaction or action that conflicts with or infringes on the execution of official duties;

- Accept the responsibility to undergo ongoing training and self-development;

- Be honest and accountable in dealing with public funds and use the property of the public service and other resources effectively, efficiently, and only for authorised official purposes;

- Promote sound, efficient, effective, transparent and accountable administration;

- Act against fraud, corruption, nepotism, maladministration and any other act which constitutes an offence, or which is prejudicial to the public interest;

- Give honest and impartial advice, based on all available relevant information;

- Honour the confidentiality of matters, documents and discussions, classified or implied as being confidential or secret;

- Demonstrate professionalism, competency, excellence, transparency and impartiality in the performance of official duties;

- Dress and behave in a manner that enhances the reputation of the public service when performing official duties;

- Be punctual at work, meetings and events;

- Under permitted circumstances act responsibly as far as the use of alcoholic beverages or any other substance with an intoxicating effect is concerned;

- Not use official position to obtain private gifts or benefits during the performance of official duties nor accept any gifts, donations, rewards in kind or cash, or benefits when offered as these may be construed as bribes;

- Not use or disclose any official information for personal gain or the gain of others;

- Not, without approval, undertake remunerative work outside official duties or use office equipment for such work;

- Demonstrate integrity and respect all rules, values and established codes of conduct in the performance of official duties;

- Declare financial interests at specified times according to prescribed laws and procedures; and

- Declare and recuse themselves from any official action or decision-making process which may result in improper personal gain.

The RSA Service Charter, 2013 (PSCBC Resolution No. 1 of 2013), is a social contract, commitment and agreement between the State and public servants. It is a written and signed document which sets out the partners' roles and responsibilities to improve performance, enhance and fast-track the delivery of services to improve the lives of South Africans. The RSA Service Charter (PSCBC Resolution No. 1 of 2013), is a document that enables service beneficiaries to understand what they can expect from the State and will form the basis of engagement between government and citizens or organs of civil society.

2.8   CONTEXTUAL FRAMEWORK OF PM&E ON MUNICIPAL SERVICE DELIVERY

This section presents the contextual framework of PM&E on municipal service delivery. This section presents the role, the significance of PM&E on municipal service delivery, challenges faced by local government in implementing PM&E, negative consequences of implementing PM&E, and strategies for effective PM&E.

2.8.1 The role of PM&E on Municipal Service Delivery

The South African government has shown progress in the implementation of PM&E through GWM&E, as a policy framework. As outlined in the DPME (2017:8), the policy framework identifies three dimensions - PPI, social, economic and demographic statistical data as well as evaluation. The National Treasury document on "Framework for Managing Programme Performance Information" (2007:25), notes that: The DPLG (now under the Department of Cooperative Governance - DCoG post the 2009 elections) is responsible for monitoring the performance of provincial governments and municipalities in relation to the fulfilment of their constitutional functions, particularly delivery of minimum basic services. National Treasury (2007) stipulates that the national department is aided in this function by the provincial departments of local government. The Department is responsible for developing and implementing an integrated monitoring, reporting and evaluation system for local government, and for supporting the successful implementation of the Government-wide Monitoring and Evaluation System. The DCoG is also responsible for the development and implementation of monitoring, reporting and evaluation of the performance of provincial departments of local government and individual municipalities.

In view of the above, the Policy Framework for the GWM&E System, PM&E processes can assist the public sector in evaluating its performance and identify factors which contribute to its service delivery outcomes. National Treasury (2007) emphasizes that the performance, monitoring and evaluation is uniquely oriented towards providing its users with the ability to draw causal connections among - the choice of policy priorities, the resourcing of those policy objectives, the programmes designed to implement them, the services delivered and their ultimate impact on communities. The PM&E also assists in

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providing an evidence-base for public resource allocation decisions and in identifying how challenges should be addressed and successes replicated (NEPF, 2011:1).

2.8.1.1 Programme Performance Information (PPI)

The Presidency (2017:9) identifies the aims of PPI as the clarification of the standards for performance information and the supporting of regular audits of non-financial information. What is important to note is that before IDPs could be developed, standards stipulated within the GWM&E, should be clarified. The local government IDP process is always mindful of undertaking the short, medium and long-term strategies. Since the IDP serves as a principal strategic management instrument for local government, it is, therefore, important to focus on standards necessary for the implementation of PM&E on the IDP processes

2.8.2 The Significance of PM&E on Service Delivery in Municipalities

The implementation of PM&E is expected to translate operational plans through an Integrated Development Plan (IDP) into operational activities, thereby, achieving the municipal vision and goals. The other benefit of PM&E is that political and managerial roles and responsibilities are clarified which improves accountability and participation. CDM is expected to utilise the annual performance report to account to the community. The different departments in CDM can account to their respective portfolio committees by presenting quarterly performance reports. The Section 56 employees can account to their Members of Mayoral Committee (MMC) by presenting their quarterly performance reports.

Malina & Selto as cited in Hough *et al.,* (2008:193), elaborates that an institution's strategy with its vision and mission are the driving forces behind the institution's success. The institution's strategy has a major influence on the blueprint of the performance measurement model. The performance success of an institution is achieved because of optimal synergy of the three levels of the institution working together to achieve a similar goal:

- Institutional level: the institution makes decisions about the success it would like to achieve by formulating a clear picture of where the institution is currently at and the ultimate position that it would like to attain in future.

- Departmental level: the institution's objectives are translated into departmental responsibilities that the unit should accomplish within its competitive or tactical environment.

- Individual level: the individual needs must be clear regarding his/her purpose and the input/output (results) to be achieved, to ensure the department unit and the institution are successful.

Armstrong (2009:57), stipulates that the success of an institution is dependent on the ability of the institution to synergise the three levels in the institution to work towards the achievement of the institutional goals. This can be achieved when the institutional, departmental and individual levels are clear about their different roles and responsibilities and all three are working towards the achievement of performance goals of the institution. PM&Es should aim at assisting the institution in achieving its institutional objectives (Armstrong (2009:57), thus, all the different levels of employees in an institution must be contracted through performance management agreements. The author continues that PM&E integrates interrelated activities and processes in an institution to manage performance through people, by developing their skills and capabilities to enhance institutional capability and the achievement of sustained competitive advantage.

The real goal of any PM&E, as provided by Lee (as cited in Armstrong, 2009: 59), is threefold: to correct poor performance, sustain good performance and to improve performance The approved PM&E for Capricorn District Municipality (CDM) should be able to indicate that the municipality will annually evaluate its performance management system and the performance management team will initiate an evaluation report annually, taking into account the input provided by departments (such a report is submitted to the Mayoral Committee). The Annual Report (2018/19), recommended that the approved policy on PM&E for CDM should indicate that the Mayoral Committee or Audit Committee

would be able to commission an in-depth performance investigations, where there is either continued poor performance or lack of reliability in the information being provided. Limpopo Provincial Treasury (2020), mandates poorly performing municipalities to provide an explanation and an analysis in their Information Performance Plans (IPP).

2.8.3 The Challenges Faced by Local Governments in the Implementation of PM&E

The OECD (2018), stipulates that various countries in the developing world are now fully engaged in setting up PM&E systems; this includes the members of the OECD, with the objective of adopting public sector management tools that have proved to be effective. For instance, in South Africa, PM&E is implemented as a reform programme in a transformed political environment. The OECD contends that persistent high levels of poverty and food insecurity in rural areas have implications for public policy and the design of a strategy to reduce poverty and improve service delivery. The above background is given to illustrate problems that municipalities in rural South African encounter in their quest to provide basic municipal services to the communities they serve. There have been lots of effort made by previous governments of South Africa to address poverty in rural areas of the country, despite that local governments, for reasons that remain unclear, still have had minimal success in addressing these problems.

The Presidency (2012:6), complains that lack of infrastructure entrenches the problems of poverty and limits the potential of communities to sustain economic growth, rural livelihoods and social development. Efforts to extend the provision of basic services to all people are slow to reach rural areas and farm-dwellers, while most urban communities have access to free basic services. The Presidency (2012:9), envisages that by 2030 South Africa will be a state that can play a developmental and transformative role through the National Development Plan (NDP). In broad terms, the State intervenes to support and guide development, in such a way that the benefits accrue across society, with emphasis on the poor.

A substantial body of legislation focusing on service delivery in the national, provincial and local spheres of government have been introduced by The Presidency (2019:3). Various legislation and policy frameworks significant to local government were briefly explored in this paper and reviewed in terms of their contribution and impact on service delivery. The Constitution, 1996 gives the following mandate to local government: to provide democratic and accountable government for all communities, to ensure the provision of services to communities in a sustainable manner, to promote social and economic development and to promote a safe and healthy environment. Van der Waldt (2006:142) & Thornhill (2008:492) assert that local government is at the coalface of public service delivery. Mopaki & Mutono (2016:4), concurs that local government is often the first point of contact between an individual and a government institution. The local sphere is often referred to as the "grassroots government" because of its direct association with communities at a local level.

In addition to the above challenges, some other key challenges that managers face today is that of setting up performance, monitoring and evaluation mechanisms in municipalities. Maepa (2014:69), points to the fact that it is important to create a cultural performance where everyone follows stipulated values which will, in turn, ensure that municipalities deliver effective service for sustainability. The author continues that local government constitutes that part of the public sector closest to citizens and therefore indispensable in its role of providing essential goods and services and developing the local area. Local government, therefore, has the authority and functions necessary to provide services for the maintenance and promotion of the well-being of all people within their area and should provide access to basic services such as water, electricity and health care, concludes Maepa (2014:101),

The White Paper on Local Government (1998) asserts that:

> … basic services enhance the quality of life of citizens and increase their social and economic opportunities by promoting health and safety, facilitating access to work, to education, to recreation and stimulating new productive activities.

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There are nine distinct 'values' in the White Paper on Local Government (1998):

- Accessibility: The White Paper on Local Government (1998), stresses non-discriminatory (due to race, gender, sexual orientation) access to services, at least at a minimum level. Historical unevenness in service provision was to be addressed by building new infrastructure and rehabilitating/upgrading that which already exists. The mechanism for rolling this out was capital investment in bulk and connector infrastructure via infrastructure grants, at this stage through the Consolidated Municipal Infrastructure Programme. Municipalities were also urged to consider the 'ease of use' of this infrastructure, particularly for the disabled. The question of 'eligibility' was firmly established, thus, all citizens were eligible for municipal services irrespective of their social and economic circumstances. Much debate has centered on this principle and the extent to which it has been carried through to implementation programmes and municipal logistics.

- Affordability: The White Paper on Local Government (RSA, 1998), notes the importance of considering the affordability of actual services even though the service infrastructure may be in place. It urges that tariff levels consider both the economics of providing the service and the potential of the poor to access the services. This means financial sustainability must be offset against the needs of the poor and their possible contribution to service costs. Service levels must reflect local affordability patterns but not in such a way as to perpetuate the existing spatial (and racial) inequality among low, middle or high-income users. Cross subsidisation was envisaged within service types and across services (for example, income from electricity can legitimately be used to subsidise water provision). Higher-income users may, thus, subsidies lower-income users and commercial users may subsidies residential users.

- Quality of Services: Quality relates to attributes like relevance to purpose, whether the service was delivered on time, and convenience to users, safety, continuity (minimal breakdown) and responsiveness to the service users.

- Accountability: The stress here was on the municipalities retaining ultimate responsibility for service provision. Perhaps recognising the overarching

international movement to privatisation and 'outsourcing', the White Paper stresses that council remains responsible for delivering appropriate services at the required standard.

- Services and Development: Integrated development was called for, with consideration of the social and economic impacts of the services provided. Sustainability was defined as encompassing resource usage that was financially viable, environmentally sound and socially just.

- Value for Money: It was noted that this attribute compares cost inputs with the quality and value of service outputs; the aim was for the best possible use of public resources to ensure universal access to affordable and sustainable services. It might be argued that this was the most crucial measure to apply in any assessment of current service delivery patterns. Specifically, useful appraisal was less about the reach and scale of service delivery (where the challenges and achievements were well documented) and more about whether the significant resources allocated to services were optimally deployed.

- Impact on Local Commerce and Industry: When considering cross subsidization between commercial and residential service users and generally when considering tariff levels, municipalities were urged to consider the impact of rates and service charges on commerce and industry in order not to compromise the 'job-creating and competitive nature' of such enterprises.

The key outcomes that the White Paper on Local Government (1998) envisages local government to achieve were the provision of household infrastructure and services; creation of livable, integrated cities, towns and rural areas; local economic development; and community empowerment and redistribution. Drawing from the NDP chapter on a capable and developmental state, it is envisaged that by 2030 South Africa will have a developmental state that is accountable, focused on citizens' priorities and capable of delivering high-quality services, consistently and sustainably, through cooperative governance and participatory democracy.

Table 2.4: Local Government Challenges on Implementing Effective Performance, Monitoring and Evaluation

- Weak political leadership
- Technical skills gap and lack of relevant competencies
- High staff turnover and vacancy levels
- Weak understanding of policies
- Political deployments not always competent appointments
- Lack of career progression
- Poor attitudes and values of staff
- Lack of professionalism and regulation thereof by professional bodies and government
- Weak strategy focuses on compliance
- Weak financial management and low budget spend
- Weak council decisions, often contrary to technical advice
- Organisational instability, including review of S 57 contracts linked to political term of office
- Lack of oversight and accountability
- Lack of legal compliance or regulatory support
- Weak municipal systems

- Lack of central co-ordination support, information and M&E.
- Financial viability of municipalities.
- Bulk infrastructure gaps.
- Lack of clarity regarding decentralisation of powers and functions and role of the districts.
- Role of DCOG unclear.
- Lack of planning alignment amongst the three spheres IDP not taken seriously by other spheres.
- Local government financing system, including equitable share, needs to be reviewed.
- Unstable political environment.
- Inconsistent, incoherent and complex local government legislative environment.

- Huge pressures of poverty, unemployment and inequality
- Huge service delivery backlogs
- Weak public participation
- Huge social issues, such as crime, drug abuse, gender-based violence
- Weak revenue base of municipalities with low levels of affordability
- Political dynamics, including coalitions, resulting in inertia
- Pressures of in-migration and urbanisation
- Weak education system

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• Lack of customised support to municipalities, and support focused on compliance.

(Source: National Development Plan (NDP) 2014).

2.8.4   The consequences of poor implementation of PM&E

Performance, monitoring and evaluation (PME) in municipalities is located under Section 72 (1) of the Local Government: Municipal Finance Management Act, 2003 (Act No. 56 of 2003). Section 72 (1) of the Local Government: Municipal Finance Management Act, 2003 (Act No. 56 of 2003) states 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). In 2002, the report of the Secretary-General of the UN on the Role of Public Administration in the implementation of the Millennium Declaration (A/57/262-E/2002/82), argues that the problem many developing countries face is not only how to generate more resources, but also how to ensure that resources are utilized so that effective service delivery can benefit the neediest in society. Improving public resource mobilisation and management are above all an issue of good governance, and not just a technical matter (United Nations, 2002:1).

It is important to indicate that PM&E policy implementation is a more recent developmental programme. In South Africa, district municipalities are serving deep rural populated areas and in this instance, CDM. The budget is never enough to plan, design and implement some of the big capital infrastructure projects and facilitate the effective and efficient delivery of minimum basic services to all communities they serve, especially, for poor people who live in impoverished communities. This is in accordance with the South African government's agenda for development in the national, provincial and local spheres (SSA, 2003:17) which also integrates the United Nations (UN) Millennium Development Goals (MDGs).

Municipal PM&E is a control function used by administration and management. It is about conducting regular performance monitoring and evaluation of programmes and projects in the municipal SDBIP and ensuring that there are effective and efficient delivery of services as outlined in Section 72 (1) of the Local government: Municipal Finance Management Act, 2003 (Act No. 56 of 2003). Maepa (2014:167), explains that the outcomes of a properly-implemented PM&E programme, in a municipality, by management should yield results that assist in other managerial aspects and functions of a municipality. This includes proper advice for the municipal council on line functions and issues around - budgeting, (finance, and planning), policy, governance, compliance and risk management. Maepa (2014:170), contends that PM&E is not necessarily a panacea for ills associated with poor government performance, however, it is clear from the discussions above that PM&E can contribute a lot in ensuring that the public sector accounts for its actions with regards to its programme implementation. PM&E outcomes, thus, can contribute and add value to other aspects of management functions.

2.8.5 Performance, monitoring and evaluation location within Public Administration

From time immemorial, the ancient Egyptians regularly monitored their country's outputs in grain and livestock production, more than 5000 years ago, showing that monitoring and evaluation are certainly not new phenomena (OECD, 2018:5). Traceable practical application of evaluation of government programmes and projects in OECD countries, however, started in the 1960s. It has been used for different purposes, for example, early evaluations in the 1960s and 1970s studied ways of improving social programmes (Kusek & Rist, 2004:11).

A vital tool for transforming government is to use performance measurement. Osborne & Plastrik (2000:71), argue that a public institution defines its products, services and develops indicators to measure its output. Osborne & Plastik (2000:72), further argue that performance management is an administrative control mechanism to assign accountability for both the internal and external stakeholders. Steward & Carpenter-Hubin (2003:56), highlights that performance measurement is seen by others as a feedback

loop to improve institutional (that is, municipality's) performance and not just as a mechanism of assigning praise or blame. Steward & Carpenter-Hubin (2003:57), also highlight that it can be effectively used for all stakeholders concerned to understand a municipality's core business, service delivery and its commitment to achieving set developmental goals, mandates and objectives.

Performance is measured by a municipality, as set out in Legislation Para. 3.3. on requirements for performance monitoring and evaluation. It is essential that agreed principles of performance measurement be utilised in the process and systems. Various authors (Rogers 1994; Walters 1995; Kloot & Martin 1998), indicate that there are seven key principles that should be applied in the process of designing an effective performance management system and they are:

- Clarity of purpose;
- Focus;
- Balance;
- Ownership;
- Scrutiny;
- Ongoing development, and

- Continuous improvement.

The Presidency (2012:23), indicates that from these seven principles, a municipality should be able to craft a system of performance measurement for the employees and the institution itself. Maepa (2014:77), reiterates that a PM&E system designed by a municipality should at least consist of these seven principles of performance measurement for it to yield positive outcomes. These outcomes are important for effective and efficient delivery of basic services, but more so for other aspects of municipal administration and management, like budgeting, policy, risk and compliance as well as planning. Performance measurement should be expressed in quantifiable terms, to indicate how efficient a municipality is delivering on its constitutional mandate and other legislative obligations (Maepa, 2014:84). Ideally measures should be applied to the

municipality-agreed upon objectives by all stakeholders involved in municipal governance.

Van der Waldt *et al.,* (2007:118), list three basic aspects of a municipal service that may be measured. They are:

- The inputs - (financial, human and material) that are used to produce a service;
- The outputs achieved (for example, number of informal settlements) that were upgraded and provided with basic service), and

- The outcomes achieved (decrease in poverty levels and increase in economic growth).

A combined result from all the variables above can be an indicator of how the municipality uses its resources to deliver services effectively and efficiently to its constituencies. The outcomes from such a measurement can, to a considerable extent, indicate the impact of the service rendered and its quality. The quality of service is difficult to measure. Van der Waldt et al., (2007:118), recommends that quality can be judged using - compliance with national standards, check whether good practices are used, consumer satisfaction surveys and the extent to which basic services have been provided. The central point from this discussion is that performance measurement can enable politicians to demonstrate to their constituencies, the impact of their policies and provide a portfolio of evidence on service delivery for the communities they serve.

2.8.6 The strategies to improve PM&E on municipal service delivery

The publication of reports by the Auditor-General on financial statements and the performance of municipalities show that municipalities in South Africa are still struggling to perform efficiently and effectively. The root cause of this is the lack of internal controls and governance principles, as well as the mismanagement in municipalities (Local Government Turnaround Strategy, 2009:11). The Auditor-General (2020), stipulates that the Council's performance management system must contain the following core elements:

- Performance Planning that ensures that the strategic direction of the Municipality more explicitly informs and aligns the IDP with all planning activities and resource decisions. This is the stage where Key Performance Areas (KPAs) and Key Performance Indicators (KPIs) are aligned to the IDP and national requirements, and targets are set.

- Performance Measuring and Monitoring is an ongoing process to determine whether performance targets have been met, exceeded or not met. Projections can also be made during the year as to whether final and future targets will be met. These can occur during key points in a process, for example, on a quarterly and annual basis.

- Performance evaluation analyses why there was under-performance or what the factors were, that allowed good performance in an area. Where targets have not been met, the reasons for this must be examined and corrective action recommended. Evidence to support the status is also reviewed at this stage. An additional component is a review of the indicators to determine if they are feasible and are measuring the key areas appropriately. A corporate analysis of performance can be undertaken by the Performance Management Unit, to examine performance across the municipality in terms of all its priorities.

- Performance Reporting entails reporting twice a year to management, the performance audit committee, council and the public. In addition, a quarterly report is also prepared and sent to Internal Audit to be audited, prior it being sent to council and the performance audit committee (Performance Management System Framework, 2008:20).

In achieving objectives of the study, strategies for an effective PM&E on municipal service, an assumption was made that efficient delivery will ensure the provision of basic services to the communities. Performance, monitoring and evaluation, hence, affects delivery of basic services in and around CDM

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2.9 PERFORMANCE, MONITORING AND EVALUATION PERSPECTIVE WITHIN THE DISCIPLINE OF PUBLIC ADMINISTRATION

Public Administration, as a discipline, plays an important role in a study of PM&E. Thornhill (2012:86), in discussing the PM&E within the discipline of Public Administration (PA), the following classifications were identified as key factors: generic views and managerial, instrumental, and functional. Maepa (2014:27), states that all administrative and managerial issues form part of Public Administration and are dominated by public policy. Thornhill & Cloete (2017:84), describe that policy-making is always the first and basic function to be undertaken for the establishment of a public institution and the specification of its activities, thus, municipalities also consist of political parties, interest groups, public and private institutions and other relevant stakeholders. Policy-making in local government is directed by legislation and Acts passed by Parliament, such as the Local Government: Municipal Structures Act, 1998 (Act 117 of 1998).

Maepa (2016:50), argues that when PM&E as a system within SA government in relation to the discipline of PA, cannot be overlooked and that the discipline of PA in SA revolves around the views of administration. The views of administration are also termed "generic views/functions of administration", as discussed hereunder. Programmes such as PM&E should contribute towards an enhanced quality of life for all, like other governmental programmes. The enhancement of the quality of life for all will implicate an improvement of municipal service delivery should the outcomes of municipal programmes be effective and of good quality. It is in this regard that this study should be understood, in the context of applying mechanisms of a transformed and developmental local government.

2.9.1 Policy-making

Policy-making is central to all public administration (national, provincial and local). Thornhill (2012:138), indicates that the process to formulate policies is called policy-making and the end product is policy. When government makes policies, it should be guided by what communities need. Thornhill (2012:138), also indicates that policy-making will always involve interaction between interested communities (the public) and institutions, who must perform the policy-making functions. This means that PM&E as a

programme, cuts across various administrative and managerial functions in municipalities, for example, in the development of IDPs. It can be argued that the study of PM&E has potential to make significant contribution to the domain of policy-making.

Policy-making, as defined by Thornhill (2012:138), is a process of making a series of decisions on a plan of action in order to achieve the goals/objectives. It is a determination of the best way in which the needs of society can be satisfied; the needs must be determined and translated into goals. Ways and means by which the goal must be reached, must be devised and compared to find the most suitable one or optimum one. Subsequently, the public should be informed about what is to be done, how it is to be done, and by whom it is to be done; finally, the chosen course of action to reach the goal must be implemented. No service can be rendered effectively and efficiently without a policy. Thornhill (2012:139), adds that policy-making is the result of thought processes on the nature and scope of services rendered within a specific area. It is also a vision on what to do, which sphere will do it, when, how and who will render the service; policy-making, in short, is the setting and publication of objectives. A policy is a declaration of intent and examples include - manifestations or embodiments of public policy, Acts of Parliament, the Constitution of 1996, Provincial Laws (Ordinances), Municipal Laws (by-laws), Departmental rules, regulations, decrees, declarations, protocols, agenda (for example, Agenda 21 of the United Nations).

Fox, *et al.,* (2006:43), explain that there are steps in policy-making, which are:

- Policy initiation: By initiation is meant the activating of the policy-making process, that is, the commencement of the activities to make a policy.
- Policy formulation: In policy formulation, firstly it must be decided what action is needed to solve or prevent a problem. Secondly, a suitable proposal or recommendation must be formulated.
- Policy approval /Policy adoption: The formulation of a policy is followed by consideration and approval of such policy. It is approved at various levels.
- Policy implementation: Implementation is a policy-action continuum which takes place at a specific period.

Policy-making ends with policy implementation, but the policy process continues to include policy analysis and evaluation. Cloete & Thornhill (2012:142), describe policy-making as being of different types and a function that is always undertaken in an orderly manner. Below are subdivisions of different models:

- Ideal-type models for rational policy-making;
- Descriptive models for policy-making;
- Prescriptive models for policy-making;
- Marketing of policies; and
- Value and policy-making.

Performance, monitoring and evaluation policy implementation is a more recent development, hence, extensive discussions on PM&E policy implementation are still required, as the success thereof relies on critical performance indicators.

2.9.1.1   Definition of Public policy

Public policy is a process about selecting strategies and making choices (Thornhill, 2012:124). The process includes some steps - getting of agenda, policy formulation, policy adoptions and policy implementation. It must be also evaluated to see the intended results, to revise existing and future public programs and projects. Thornhill (2012:125) further states that public policy can be studied as producing three types of policies - distributive, regulatory and re-distributive - and these are related to the decision making process.

Roux (2002:424) maintains that public policy is a set of processes, structures, functions, methods and procedures with public administration being the formulation and implementation of public policy as well as the examination of the strategies and choices associated with that process. The author sees public policy as related to public programs and projects, professions and as an academic field of study. There is no clear separation between administration and politics in the development of government policy and public administration. Administrators engage in political acts by recommending legislation and making policy decisions, in carrying out the laws.

The administrators understanding of managerial issues and policies places them in a position of substantial expertise, while their knowledge of administrative and legal procedures helps them by suggesting ways of managing and enforcing the laws. The most modern forms of governance and administrative innovations allow an assumption that legislative and implementing contents of institutional activity today require new specific features. Executive bureaucratic structures using expert-consultation services, get possibilities to influence not only the implementation of policy and the estimation of activities, but also to directly influence the preparation of public sector directions and strategy.

2.9.2 Organising

Organizing is the second generic administrative function. Cloete & Thornhill (2012:166), note organising as the essential relationships among people, tasks and activities in such a way that all the organization's resources are integrated and coordinated to accomplish its objectives efficiently and effectively. The researchers continue by defining organizing, as a set of relationships that show vertical and horizontal relationships amongst people who perform various tasks and duties. The organisational task is divided into units; people in each unit (departments) are assigned specific tasks and their relationship is defined in a way that maximizes organisational welfare and individual goals. The relationship amongst these people is both vertical and horizontal (Pearce & Robinson 2012).

Cloete & Thornhill (2012:167), in describing organising as vertical relationships, illustrates the authority-responsibility structure of people at different levels in the same department, while horizontal relationships, show authority-responsibility structure of people working in different departments at same levels. Organisation structure specifies divisions of work and shows how different functions or activities are linked; to some extent it also shows the level of specialisation of work activities. It also indicates the organisation's hierarchy and authority structure, and shows its reporting relationships (Miles, 2014:29). Miles (2014:30), further describes organising as a structure, or a network of relationships (authority-responsibility structure) amongst all those who are part of the organisation, working at any level, in any department. The organisation structure details the

relationships among jobs at various levels and people working at those jobs; it focuses more on positions than people.

Cloete & Thornhill (2012:171), maintain that every organisation is established for some objective or goal. Various tasks are determined to achieve specific goals, for example, for a sphere of government, such as

- National sphere (Parliament as Legislature and Cabinet as Executive);
- Provincial sphere (Nine Provinces with its own Provincial Legislature, Premiers and MECs); and
- Local sphere (Municipal Councils with their own Executive Council).

The above is provided for in Section 141 of the Constitution, 1996, however, when departments work on their objectives, they may develop inter-departmental conflicts which can obstruct the achievement of organisational goals. The Finance Department, for instance, may want to cut costs but the Marketing Department needs additional funds to market its products; this conflict can be resolved through co-ordination so that all departments share the common resources optimally. Work can be coordinated by defining relationships amongst various departments and people working at different positions.

The main point about the process is that organisation facilitates administration (Cloete & Thornhill, 2012:175). Top managers cannot perform all the organisational tasks as they will be overburdened and would not be able to concentrate on strategic matters. It is essential that part of the workload is shared by middle and lower-level managers. Top executives will be relieved of managing routine affairs and concentrate on effective administration. The basic elements of organising (division of work, grouping of activities, distribution of authority and coordination) facilitate better administration by the top management. A well-organised institution is adaptive to change and responsive to growth and diversification and it can multiply its operations. Division of work provides the benefits of synergies, that is, total task achieved by a group of people is more than the sum of their individual achievements; people, therefore, need to coordinate their tasks in the same and different departments.

Dlamini (2003:36), concurs by seeing organising as the process of establishing structures, determining functional areas and grouping activities. Organising can also be defined as the establishment of work units, communication channels and behavioural relationships, together with allocation of functions and delegation of authority to such work units to make possible the achievement of policy objectives. Organising is done to contribute to effective and efficient performance of people and organisations/institutions. Essentially, the activities which constitute organising, consist of grouping people in an orderly manner so that everything they do, will be aimed at achieving predetermined objectives. The process, as a function is not only aimed at designing organisational structures, but also ensuring that such structures are utilised in a changing environment as effectively and efficiently as possible. Examples of internal organisational arrangements are the following:

- **Horizontal division of work**

  Jobs(posts) are grouped together to form a hierarchy consisting of structures from bottom to top of sub-section, section, sub-divisions, divisions, branches and eventually a department.

- **Delegation of authority**

  Delegation can be viewed as the activity whereby a higher-positioned person transfers specific authority to a subordinate or lower official.

- **Co-ordination of activities**

  The activities of functionaries (public officials and political officer-bearers) are grouped to ensure that they all co-operate in achieving objectives laid down under the policy.

- **Arrangement or creation of communication channels**

  Channels of communication should be arranged to ensure that the functionaries are kept informed about the activities taking place and the progress being made in achieving their objectives.

- **Establishment of control measures**

  Functionaries are held responsible for their work by those holding higher positions

- **Creation of behaviour relationships**

   In the creation of formal relations, there are managers who are the command group which are responsible for giving instructions to the employees who form the task group which is responsible for carrying out the instructions given by the supervisors/managers (Cloete & Thornhill (2012).

To execute a comprehensive task involving many people, it is essential to have clear indications of who must do what and if something goes wrong to whom it must be reported. This is applied to various situations - from an office situation where various administrative functions are performed to a civil engineering project involving various departments. The organisation structure should be clear to all employees to indicate what their responsibilities are, what authority they have and to whom they are accountable. Without this basic form of organization, it is improbable that the public institution will be able to achieve its objectives. The supervisors form the work unit, train employees, secure resources, and empower the work group into a productive team (Van der Waldt, *et al.,* 2008:70).

Van der Waldt, et.al. (2008:71) indicate that the Steps in the organising process include - review plans, list of all tasks to be accomplished, dividing of tasks into groups or what one person can accomplish; group-related jobs put together in a logical and efficient manner; assigning work to individuals, and delegating authority to establish relationships between jobs and groups of jobs. The nature and scope of the work needed to accomplish an organisation's objectives are essential to determine work classification and work unit design. Division of labour, or work specialisation, is the degree to which tasks in an organisation are divided into separate jobs. Work-process requirements and employee skill level determine the degree of specialization; placing capable people in each job ties directly with productivity improvement. To maximise productivity, supervisors match employee skill level with task requirements (Van der Waldt, *et al.,* 2008:71).

Organising is the process of establishing structures, determining functional areas and grouping activities. Organising can also be defined as the establishment of work units,

communication channels and behavioural relationships, together with allocation of functions and delegation of authority to work units to make possible the achievement of policy objectives. Meiring (2006:3), stresses that supervisors should perform workflow analysis to examine how work creates or adds value to the ongoing processes in an organisation. Workflow analysis looks at how work moves from the customer or the demand source, through the organisation to the point at which the work leaves the organisation as a product or service to meet customer demand. Workflow analysis, thus, can be used to tighten the connection between employees' work and customers' needs. Also, it can help to make major performance breakthroughs in business processes, reengineering, a fundamental rethinking and radical redesign of business activities to achieve dramatic improvements in costs, quality, service, and speed. The process uses workflow analysis to identify jobs that can be eliminated or recombined to improve company performance (Van der Waldt, *et al.,* 2008:71).

Organising is done to contribute to effective and efficient performance of people and organisations or institutions. Essentially, the activities which constitute organising consist of grouping people in an orderly manner so that everything they do will be aimed at achieving predetermined objectives. Organising as a function is not only aimed at designing organisational structures, but ensuring that such structures are utilised in a changing environment, as effectively and efficiently as possible

2.9.3 Work procedures

There are several ways in which community groups can participate in local governance, including through political structures. The local community, for example, can participate through ward committees, as defined in the Local Government: Municipal Structures Act, 1998 Section 80 (Act No. 117 of 1998). This Section also allows municipalities to establish advisory committees to advise the council on any aspect of its business. Communities can also participate in meetings of the council and council committees. Local Government: Municipal Systems Act, 1998 (Act No. 117 of 1998) obliges municipalities to provide notice to the public of the date, time and venue of council meetings and municipalities must set aside space for the public in their meeting venues.

All meetings of a Municipal Council and its committees should be open to the public (including the media), with the following exceptions:

- Meetings of the executive committee or mayoral committee. These committees may close some or all of their meetings to the public; and
- Municipalities may close meetings to the public when the nature of the business being discussed makes it reasonable for the council to do so.

A Municipal Council may not exclude the public from meetings of council, or meetings of council committees, when those meetings deal with:

- draft by-laws or a budget which has been tabled in the council;
- the municipality's draft integrated development plan or any amendments which have been tabled in the council;
- the municipality's draft performance management system or any amendments tabled in the council; or
- decisions to enter into service-level agreements (Van der Waldt, *et al.,* 2008).

Local Government: Municipal Systems Act, 1998 (Act No. 117 of 1998) states that municipalities must enable participation in municipal processes, such as integrated development planning, performance management, municipal budgeting, and strategic decision-making regarding the delivery of municipal services. Local Government: Municipal Systems Act, 1998 (Act No. 117 of 1998) obliges municipalities to establish procedures for:

- receiving and responding to petitions and complaints lodged by members of the community;
- giving notice of public meetings, and allowing for public comment when appropriate;
- holding consultative sessions with locally-recognised community organisations and, where appropriate, with traditional authorities; and
- reporting back to the local community.

For the sake of uniformity, work procedures should be properly put in place – procedural order. Work procedures are rarely researched and taught in the discipline of Public Administration, yet they are immutable elements of organisations and their operations (Nzewi, 2019).

2.9.4 Staffing

The Constitution, 1996 provides for Parliament to legislate personnel administration in the Republic of South Africa, which is subject to the provisions of Acts of Parliament. The above statement applies to the Public Service Commission Act, 1996 (Act No. 30 0f 1996) and the Public Service Act, Proclamation 103 and other pieces of legislation prescribing the personnel policies and administration. Schwella *et al.,* (1996:13) state that human resource management (HRM) is not practiced in a vacuum, in that public resources are used to pursue policy objectives. Thornhill (2012:227) argues that there must be personnel available to undertake staffing functions in any organization, however, the officials employed in the personnel division should be familiar with public administration. This would enable personnel officials to integrate their functions with those of the other specialists involved in the running of the organization (Thornhill, 2012:227).

The Department of Labour (2001) spells out clearly that personnel Administration/Human Resource Management is concerned with the recruitment, selection, placement, retention and development of employees. The human resource officers should recruit and appoint suitable candidates to various positions in the organization. Personnel is an important resource in the work situation and without personnel an institution or business cannot commence functioning. Personnel are indispensable means to the end of rendering goods and services. This requires that specific steps be carried out to obtain and utilise personnel effectively. Selepe (2009:58), emphasizes the fact that human resources planning is a critical subset of an organisation's strategic planning efforts, therefore, agencies taking time to plan can coordinate responsibilities of various branches towards agreed upon objectives, better.

Meiring (2004:1), defines personnel-provision functions as the creation of posts/human resources determination, recruitment, publicity, selection, probation, appointment,

placement, transfer, and promotion. Personnel utilisation functions are training and development, determining personnel conditions of service, determining remuneration benefits and other benefits, leading of subordinates, disciplinary steps and punishment, counselling of subordinates, mutual consultation and collective bargaining (Meiring, 2004:9). There are various personnel or recruitment systems that are used, such as autocratic system, democratic system, patronage/spoils system, merit system, affirmative action, Africanisation and/or localization that benefit the provisions of human capital.

Staffing is also regarded as personnel administration or human resource management and is concerned with the recruitment, selection, placement, retention and development of employees, therefore, the human resource officers should recruit and appoint suitable candidates to various positions in the organization. The Personnel Division is an important resource in the work situation and without personnel an institution or business cannot commence functioning. Personnel are indispensable means to rendering goods and services; this requires that specific steps be carried out to obtain and utilize personnel effectively. Personnel-provision functions are creation of posts for human resources determination, recruitment, publicity, selection, probation, appointment, placement, transfer, and promotion (Andrews, 1987:3).

According to Meiring (2004), personnel utilisation functions focus on areas such as, training and development, determining personnel conditions of service, determining remuneration benefits and other benefits, leading of subordinates, disciplinary steps and punishment, counselling of subordinates, mutual consultation and collective bargaining. Argumentatively, Thornhill (2012) puts it clear that staffing must do with people and the administrative processes associated with them. This involves employee satisfaction, motivation, performance and include network of functions and functional activities, with methods and normative guidelines for the best achievement, by motivated personnel for the public service environment.

2.9.5 Finance

National Treasury (2017:44), mandates municipalities to prepare an Annual Report for each financial year. The Annual Report must include a performance report reflecting:

- the municipality's performance during that financial year, including that of any service provider;
- the development and service delivery priorities and the performance targets set by the municipality for the following financial year; and
- measures that were or are to be taken to improve performance.

The Auditor General audits every municipality's measurement of their performance every year, and includes this report in the municipality's annual report. The annual report will also include the municipality's financial statements, and an audit report on these financial statements. The municipality must formally adopt its annual report and within 14 days of adopting the report, the municipality must make copies of the report accessible to the public and the media, free of charge or at a reasonable price. The municipality must also submit a copy of the report to the MEC for Local Government, the Auditor-General, and any other institution which legislation obliges a municipality to copy to.

2.9.6 Control

Whitemore (1985:26), explains that control is exercised with a view of ensuring that services and or products conform to a given standard. In public administration, control is exercised to ensure that services rendered conform to the policy of the supreme authority; the legislature. Account should be given for everything the authorities do or do not do. The executive must answer to the parliament about what they do (Whitemore,1985:26). Exercising control is a continuous process that is carried out to establish whether an objective has been achieved effectively and without irregularities, and to the same degree as was foreseen when the policy was made. The exercising of control starts simultaneously with the commencement of the work; it would be wrong to commence exercising control after the work has been completed. Exercising control after completion

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of work is insufficient and in most cases, it is difficult or even impossible to rectify an incorrect activity after it has been performed (Whitemore, 1985:26).

2.9.6.1   Formal internal control measures

The following are examples of formal internal control measures which assist in exercising control within the public service. These control measures could be linked to PM&E for efficiency and effectiveness.

2.9.6.1.1 Formal Internal Control measures

Gulick (1998:56), states that control is exercised to make sure that the activities of functionaries are aimed at achieving the set objectives. The functionaries include political office-bearers and public officials who are responsible for rendering various services to the people. Control is one of the generic processes in the study and practice of administration.

2.9.6.1.2 Written reports/ Reporting

The written report is probably the best well-known traditional control measure in the public sector. An advantage of written report is that it provides tangible documentary evidence of whatever takes place in institutions. The mere fact that a political office-bearer or an official must submit a written report on his activities will encourage him to do his work carefully and precisely (Cloete, 2012:270). A report which does not have to comply with specific instructions on how it should be compiled or what aspects it should deal with, however, will usually be of little value. It is a human nature to mention only those matters in one's report which one knows will please one's superiors (Cloete 2012:270). In some cases, functionaries are individually or collectively required to submit reports without any instructions being given to them on how they should do so or what aspects to cover, therefore, so many of the reports submitted to higher executive authorities or legislatures are merely attempts to justify actions rather than honest descriptions of the actual course of events, with appropriate confessions where necessary (Cloete, 2012:271).

2.9.6.1.3 Inspection and investigation

Inspection and/ or investigation by a single functionary or group is also a well-known traditional control measure in the public sector. The advantage of an inspection is that it takes place in the actual work environment with the result that it can readily be established whether any action taken did, in fact, serve a useful purpose. Some of the disadvantages of inspections are that they so often result in negative fault-finding; they take place after the deeds have been done, and are too often undertaken by inspectors who are not properly trained for this specialized work. This results in reports which are of little use for purposes of exercising control, therefore, inspections should be entrusted to functionaries who have been given proper training. Inspection and investigation should be made the responsibility of supervisors who should not concentrate on fault-finding, but should instead apply remedial measures where shortcomings are discovered (Thornhill, 2012:273).

2.9.6.1.4 Auditing

This is one of the traditional control measures which will always be used. Usually, auditing is done after transactions have taken place (a posteriori) and this is a serious shortcoming of auditing as a control measure. Auditing is usually concerned with the legal correctness of transactions, although, auditing should be done in such a way as to prevent any wrongful transactions from taking place (a priori). People are also beginning to realize that an audit should indicate whether the authorities are getting good value for the money they had spent (Mokgoro, 1995:66).

2.9.6.1.5 Cost accounting, cost comparisons and cost analysis

Costs need not necessarily be expressed in monetary terms but can also be based on man-hours (Cloete & Thornhill, 2012:275). Cost accounting, cost comparison and cost analysis are particularly relevant in achieving efficiency in the sense of using available resources sparingly. These analyses are useful aids/tools to evaluate standard transactions objectively at the operational level. These aids are valuable because they help rationalize the compilation of the budget and assist in the compilation of the work programmes which are part of the budget, therefore, control is exercised before the

programme of work is approved and implemented. Cost comparisons can also be of value for purposes of control where several organizational units provide the same services and supply the same goods (Cloete & Thornhill, 2012:275).

2.9.6.1.6. Statistical returns

Thornhill (2012:34), mentions that when used with cost accounting, statistical returns can serve as a useful control measure, in the sense that statistical returns can measure productivity. Figures reflecting costs can, together with other statistical returns, provide objective criteria for purposes of assessing results and for compiling work programmes involving the allocation of personnel and resources. Care should be taken that a desire to use statistics as a measure for exercising control does not result in the compilation of tables of meaningless figures.

This study focused, as well, on the managerial phenomenon, since PM&E is a managerial function in terms of its location in the practice of public administration. It is also important to note that, although this study is in the main, an administrative issue of control, the outcomes will contribute towards an informed public administration, which is not limited to the managerial functions of administration. Performance, monitoring and evaluation cut across various views and functions of administration as discussed above. Maepa (2016:31), argues that the study of PM&E has potential to make a significant contribution to the domain of Public Administration. This study, acknowledges that PM&E is carried out in such a way that objectives as discussed above, contribute towards the challenges of municipal service delivery beyond a theoretical research.

2.10   Managerial functions within the concept of Public Administration

Managerial functions of administration are termed POSCDRB (Planning, Organising, Staffing, Coordinating, Directing, Reporting, and Budgeting) and these are discussed below.

2.10.1 Planning

Planning is a process that focuses on the formulation of future objectives for the institution, and the means and methods of reaching these identified objectives. Simply

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put, planning is a decision in advance on what to do, how to do it, when to do it, and who is to do it. Changes in the environment cause a constant degree of instability. Public institutions should be proactive towards these changes by minimizing threats and using opportunities optimally. Planning is a basic management function which helps institutions to keep up with change and which management can use to determine in advance what they should achieve. Plans are usually prepared to give guidelines to managers for what they are going to do in their departments (Van der Waldt, *et al.,* 2008:67).

Planning, therefore, bridges the gap from where we are to where we want to go. This management instrument allows proactive public managers to timely identify potential problems and opportunities within and outside the institution, and consequently formulate and operationalize related actions. Example of steps in the planning process are - being aware of the opportunity, setting a goal or several goals, defining the current situation, identifying aids and obstacles to planning, determining alternative action plans, evaluating alternative action plans, choosing the best action plan, formulating secondary plans, and calculating plans by budgeting (Van der Waldt, *et al.,* 2008:69).

Planning is the ability to determine what must be done, at what time and what must be used to achieve the goal. This involves the availability of resources and planning helps in determining factor which can hinder the goal so that measures and precaution can be taken to prepare for them.

2.10.2 Directing

Van der Waldt, *et al.,* (2008:72) indicate directing as the ability to direct a group towards the achievement of goals. It goes beyond the influence people acquires with the formal authority they get due to their appointment in a specific position, such as director, supervisor or manager. This implies that a manager or director in an authoritative position is not necessarily a good leader. Some people believe leadership is an innate trait, while others believe that managers can learn the most essential leadership qualities during their careers. It is necessary to bear in mind that public institutions consist of people and not organigrams or carefully-worked out plans. Some managers are regarded as authoritarian and others seem more open to suggestions from their personnel. Whatever methods

managers may use, they create the work environment and determine whether the personnel are happy, productive and motivated. The success or failure of functions of a local authority starts with the vision and skills of the chief executive officer and thereafter heads of departments, middle managers and junior managers (Van der Waldt, *et al.,* 2008:72). In addition, directing is the ability to make a group of people aware of what is expected from them, this form of directing involves giving instruction, giving tasks, hence, it is closely related to leading.

2.10.3 Coordinating

Coordination can be defined as a process which ensures that the activities of public managers and departments across the spectrum of the institution do not overlap and that all departments work together to achieve the objectives set by legislation. As public institutions grow and expand their services, so their organisational and departmental structures also grow. Public managers of every directorate, unit or section must make a determined effort to let their directorates function as an integral and interdependent segment of the total institution; for this reason, coordination is indispensable. The divisions or department's plans, objectives and activities must tie in with those of the other departments to attain joint objectives (Van der Waldt, *et al.,* 2008:76).

Gulick & Urwick, (1937:161), indicates that coordination is one of the important and the fundamental principles of organisation. This involves coordination of all related factors in a situation, the process also includes coordination of people concerned, coordination in the early stages of a situation and co-ordination as an ongoing process. These processes ensure that the groups within organisations are working towards the achievement of the goal. Furthermore, coordination refers to the integration of the activities of departments or divisions so that the objectives can be achieved efficiently and effectively. Where managers do not exercise control or authority over divisions, interdepartmental cooperation and communication are used to coordinate the activities of the various divisions.

2.10.4. Reporting

Reporting is exercised with a view of ensuring that services and or products conform to a given standard. In public sectors, administration is exercised to ensure that services rendered conform to the policy of the supreme authority, the legislature. A account should be given for everything the authorities do or do not do, for example, the executive must answer to parliament about what they do. Reporting can be made in the form of meetings or writings during or after the work has been completed, however, exercising it after completion of work is insufficient. In most cases, it is difficult or even impossible to rectify an incorrect activity after it has been performed (Grove & Ayeni, 1995: 155). Reporting involves giving updates about the work which is ongoing or has been conducted, through writing reports of meetings and discussions to ensure goal achievement.

2.10.5 Budgeting

A budget is a plan on how a sum of money will be spent for a financial year (Cloete, 1997:73). It covers incomes and expenditure of local authorities; in fact it is a policy of local authorities expressed in terms of money. This is so because each policy item is represented by a sum of money. Cloete (1997:73), explicates that the budget determines how money will be spent and on which policy objectives. Those policy items which are in the budget indicate the priorities of the council. It is the officials who prepare the budget, however, it is the council that must approve the budget. A budget is a financial plan; it summarises, in financial figures, the activities planned for the forthcoming year by setting out the costs [expenses] of these activities, and where the income will come from to pay for them.

Gildenhuys (1997:63), outlines that budgeting is concerned with how the government obtains, safe-keeps, spends and controls public funds. This is the process of procuring money, then spending it to execute policies aimed at promoting the general welfare of society. Both procuring and spending of money is done according to a budget of income and expenditure. The budget indicates capital expenditure and operating or current expenditure. Capital expenditure is concerned with the funds used for developmental

purposes, and operating expenditure is concerned with funds used to finance day-to-day activities of government, for example, paying salaries of personnel.

- **The "Financial Year" and budget consultation**

National Treasury (2017:5), states that the financial year of South African municipalities runs from 1 July of each year to 30 June the following year. Municipalities must prepare budgets for each financial year. Council must approve these budgets before the new financial year begins, after proper planning and consultation with ward committees and other stakeholder groups in the area. The draft budget should be ready earlier (around March) so that it can be used for consultation The approval of the budget is one of the most crucial tasks undertaken by councilors, after consultation with ward committees and other stakeholders.

- **Types of budgets**

There are two types of budgets: operating budget and capital budget (Cloete, 1997:84). Capital budget deals with big costs that municipalities pay to develop something, and how they will pay for this, for example, putting water pipes in a new township. Operating budget deals with the day-to-day costs and income to deliver municipal services, for example the meter-readers' wages and maintenance work to keep the water flowing. Cloete (1997:90) further explains that the municipality's operating budget lists the planned operating expenditure (costs) and income, for the delivery of all services to the community. Operating expenditure is the cost of goods and services from which there will be short-term benefit, that is, services that will be used up in less than one year. The payment of staff salaries, for instance, results in a short-term benefit as salaried employees are paid monthly for one month's work.

Workers could resign at any time and the municipality would not have the benefit of their skills anymore. Operating costs include, salaries, wages, repairs and maintenance, telephones, petrol, stationery, including amount received for services delivered for a short-term period such as property rates, service charges, investment interest, and traffic fines. Cloete (1997:101), indicates that capital budget puts money aside, for planned

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expenditure on long-term purchases and big investments such as land, buildings, motor vehicles, equipment and office furniture that will be a municipal asset for more than a year - probably for many years to come. A municipality's capital budget will list the estimated costs of all items of a capital nature such as the construction of roads, buildings and purchase of vehicles that are planned in that budget year.

2.10.5.1   Sources of municipal income

National Treasury (2017), stipulates that municipalities must ensure that there will be adequate money to pay for their planned expenditure if they are to "balance the budget". There are various sources of income that can be used by municipalities to finance their expenditure. This section outlines the various sources of municipal income, and looks at ways of deciding which will be the best for a particular, municipality's needs.

(a)   Main Source of Operational Budget Financing

Main sources of operational budgeting are discussed below.

- **Property rates** - All people and businesses who own fixed properties (land, houses, factories, and office block) in the municipal area are changed "Property Rates", a yearly tax based on the value of each properly. Rates' income is used by the municipality to pay for the general services to all people, which cannot easily be changed to a specific service user as a "service charge", for example roads, pavements, parks, streetlights and storm water management.

- **Service charges tariffs**: For specific services that can be directly changed to a house or factory, the principle of "user pays" should be adopted. That is, to charge a price or tariff" for services such as water, electricity or approval of building plans; this is a situation where the exact usage of the service can be measured, to a person or business who exactly use the service.

- **Fines:** Traffic fines, late library book fines, penalties for overdue payments of service charges are another source of income or "revenue", while at the same time motivating users of services to have a culture of obeying democratic laws, rules and deadlines.

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- **Equitable share:** The equitable share is an amount of money that a municipality gets from national government each year. The Constitution, 1996 states that all revenue collected nationally must be divided equitably between national, provincial and local spheres of government. The local government's equitable share is meant to ensure that municipalities can provide basic service and develop their areas. The amount a municipality gets depends mainly on the number of low-income people in the area, hence, rural municipalities usually get more. Most municipalities only get a small part of their operating budget from the equitable share (Cloete, 2002).

The above stipulates the municipal operational budget which is the day-to-day budget for the municipality.

(b) Main sources of capital budgeting

Main sources of capital budgeting are discussed below.

- **External loans**: External loans (from a bank or other financial institution) are an expensive form of financing the capital budget because of the high interest rates in South Africa. External loans should only be used to finance the purchase of major capital items such as roads, buildings, sewerage works and water systems.
- **Internal loans**: Many municipalities have internal "saving funds" such as Capital Development Funds or Consolidated Loan Funds. These funds can make internal loans to the municipality for the purchase or development of capital items, usually at a lower interest rate than for an external loan and the municipality is paying the interest back to its own "saving fund" this can later be used for another capital project.
- **Contributions from revenues**: When purchasing a small capital item, the small total cost should be paid for from the operating income in the year of purchase. This financing source is known as "contributions from revenue". In most municipalities, this source of financing is used to pay for small capital items, such as one or two items of furniture and equipment. As no interest is payable, this source of financing is considerably cheaper than the external or internal loans.

- **Government grants**: Municipalities may apply to national government for grants for infrastructure development.

- **Donation and public contribution**: Local and foreign donors may sometimes donate a capital item or money to be used specifically for the purchase of capital item in a disadvantaged area. They may want publicity for their donation, which the municipality can arrange, to acknowledge their sponsorship.

- **Public and private partnership**: Capital cost can be paid for by means of partnership between private sector and the municipality. In most cases the private sector partner will have a profit motive in the service and capital being financed, so the terms and conditions must be carefully scrutinised, to protect the community's interests (Cloete, 2002).

The above stipulates the municipal capital budget, wherein municipalities are expected to comply with relevant internal and external legislation.

2.11   NEW PUBLIC MANAGEMENT WITHIN THE CONCEPT OF PERFORMANCE, MONITORING AND EVALUATION

Maepa (2016:36), points out that the new public management (NPM) is a catechism dealing with preconceived questions as to how government performance might be improved through simulating market discipline. New public management reflects dynamics which are essential to policy domains for municipal service delivery. The concept of NPM concerns performing administrative functions more efficiently in the public service, in this regard, local government. The theory of NPM incorporates three components: marketisation, disaggregation, and incentivisation. Maepa (2016:51) further stipulates that the NPM is a process, an initiative and a concept for change. It was proposed that the initiative captures the spirit of transition in SA and has potential for the future.

2.11.1 Marketisation

Marketization refers to the introduction of market competition into public sector production. The argument wherein NPM is around an attempt to replicate private sector

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practices in the public sector. Section 76 of the Local Government: Municipal Systems Act, 2000 (Act No. 56 of 2000) provides for different mechanisms for municipal service delivery. These mechanisms are:

- A department or other administration unit within its administration;
- A service agreement with a municipal entity, another municipality or an organ of state; and
- A community-based organization, other NGOs, or any other institution, entity or person legally competent to operate a business activity.

The above mechanisms are involved in matters of the origin and the domain of the private sector.

2.11.2 Disaggregation

The PSC (2008:4), describes disaggregation as a decoupling policy in the execution of functions, therefore, the PM&E system is argued as augmenting managerial processes and providing evidence for decision-making. The disaggregate argument is that, whether the quality of PM&E is compromised or not, it is found within the ambit of the above-mentioned processes, and that is marketization. In this regard, the argument cannot be replaced by an effective PM&E management practices, but rather they complement management functions in contributing towards effective municipal service delivery.

2.11.3 Incentivisation

PSC (2008:5), defines incentivisation as providing incentives for better performance; the policy on PMS states clearly that incentives are in the public sector:

- To improve on production;
- To improve on service delivery;
- To measure and monitor performance;
- To provide performance rewards, and
- To motivate employees and increase their morale.

Osborne & Gaebler (1992:19), stipulate that NPM is in the main, letting managers manage and showing that politics is not priority in NPM. Managerial governance (within the perspective of the NPM) assist in the promotion of service delivery. New public management, as a reformation strategy within the public service is dominating the culture of effective service. Maepa (2016:46), outlines the three concerns of NPM. These concerns are: NPM's ability to define alternative models of accountability; NPM places the public sector in an undesirable permanent dependency-mode on professional management resources, inside and outside its agencies and organisations and bringing NPM into rural politics is assuming a degree of organizational flexibility in local government.

2.11.3.1   NPM's ability

The researcher argues that even though NPM's ability to define alternative models of accountability, TOC is basically the point of departure. Sometimes the NPM seems like an empty canvas, that one can paint anything. There is no clear or agreed definition of what the new public management is, therefore, there controversy not only about what is, or what is in the process of becoming, but also what ought to be (Ferlie *et al.,* 1996:10). The term, NPM, is used internationally in academic, governmental and organisational discussions, but it is rarely defined. It began life as a conceptual device invented for purposes of structuring scholarly discussions of contemporary changes in the organization and management of executive government. In the decade after entering the literature, NPM has acquired a wider range of meanings. For instance, some scholars have asserted that NPM is the application of new institutional economics to public management, while many scholars have used this term in referring to a pattern of policy choices. This variation in usage means NPM is more a recognizable term than a fully established concept (McLaughlin *et al.,* 2002:15).

The emergence of New Public Management era has been developed from scientific management and it corresponds with managerialism initiative. An appropriate way to describe the NPM development is to do so by chronological order, according to political developments (Norman Flynn (2002). The New Right Conservative government under

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Margaret Thatcher and John Major in their public services strategy hired advisers from business, especially retailing companies to help them to think about how public services should be managed. The solutions included internal market, competition with the private sector, performance measure and management, decentralized operational management and revised payment system (Flynn, 2002:36).

Hood (1991:4), discusses the doctrines of NPM which is characterized by the seven components below:

- Using professional management which shows full accountability and responsibility, rather than power.
- Explicit standards and measures of performance in terms of targets and quantities.
- Focus on output and outcome, rather than procedures.
- Shift to disaggregation of units in which there is separate provision and production interests, to divided units.
- Create greater competition, use term contract to make competitive cost and higher standard.
- Do more on business-like management style implemented in the public service culture; and
- Cutting costs and careful budgeting with the idea of doing more for less.

Hood (1991), critiques that to identify success of NPM should be assessed by the output to be delivered on what is claimed, although, the results so far have not substantially proved this. Ferlie *et al.,* (1996:10), indicates that four new public management models have been introduced:

- **Model 1: The Efficiency Drive**

In the early to mid-1980s, the Thatcher government initiated this model and the core themes are:

- An increased attention to financial control;
- A strong managerial hierarchy, a command and control mode of working.

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- An extension of audit both financial and professional, bench-marking and assessing performance;
- Increased stress on provider responsiveness to consumers so as to be more market-minded and customer-oriented;
- Deregulation of the labour-market and increasing the pace of work to ensure short-term contract and higher turnover at senior management level;
- A shift in power from professionals to management;
- Less bureaucratic and more entrepreneurial management; and
- New forms of corporate governance.

The above model gave rise to the next model.

- **Model 2: Downsizing and Decentralization**

Model 2 is appropriate for a developing country, such as SA in a new dispensation operating with the following objectives:

- Developed quasi-market as the mechanism for allocating resources within the public sector;
- A move from management by hierarchy to management by contract;
- Contracting out of non-strategic functions;
- Delayering and downsizing, moves to flatter organizational structures, staff reduction move from command and control to networking and coordination; and
- Move away from standardized forms of service to more flexibility and variety.

The downsizing and decentralisation model is sometimes termed "rightsizing" by the public service.

Model 3: In Search of Excellence

There is strong interest in how organizations manage change and innovation. In the bottom-up form there is emphasis on organization development and learning. The

'learning organization' movement of the late 1980s represents the latest relabelling of this tradition. In the top-down form there is stress on charismatic forms of top-down leadership, more intensive corporate training programmes and strategic human resource management functions.

Model 4: Public Service Orientation

The public service orientation sets service for the public as the key organizational value, providing motivation and purposes both for the local authority and its staff. They are:

- A major concern with service quality;
- Reflection of user concerns and values in the management process;
- Stress on the development of societal learning over and above the delivery of routine service; and
- Stress on securing participation and accountability as legitimate concerns of management in the public sector.

Maepa (2014:36), argues that NPM is an attempt to replicate private sector values and practices in the public sector on the assumption that what works in the private sector could as well as be replicated in the public sector. Some of the best methods/practices focus on the three components of NPM: marketisation, disaggregation, and incentivisation. NPM models can be shared between the two sectors (public and private), hence, the term "public-private partnerships".

2.11.3.2 Public sector as a dependency-mode

Gumede (2014:59) states that the public service is politically inclined, hence its administration and management being service-delivery driven. Development can be studied under various threads of theories. Gumede (2014:61) also states that modernisation and dependency theories can be seen as two different sides of development theories. Dependency theory is a kind of developmental theory, which is a major critique of modernisation theory. The main theories of development discussed

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above, are recognised in Africa, as well. Reyes (2001:4) also argues that dependency is created by a dominant country in relation to the so called 'under-developed' countries by creating a market in them for their goods and creating a need to be 'modern'. It can, thus, be said that dependency theory questions the modernisation theories by questioning whether development means modernization.

Dependency theories criticize modernisation as a process itself and also because they are ambiguous about the role of traditions and ignore the history of exploitation and colonization that most of these 'underdeveloped' countries have undergone (Graaff (2007:16). In the paper 'Underdevelopment and Dependence in Black Africa', by Amin (1972), it is clearly outlined that the grounds to show how 'modernisation' leads to dependency is ultimately leading to underdevelopment. Graaff (2007:16), uses a teleological approach underlining the various stages Africa went through. Integration into capitalism led to the disintegration of the economy which can be called the 'destruction of the commons'. From being a 'traditional' society in the pre-mercantilist period, Africa in the mercantilist period became the hub for slave trade; mercantile as a term means 'unequal trade'. This period led to shifts in the traditional societies as well. Once colonization took place, there was a decline in slavery and there was a shift to the need for raw materials, therefore, there was an increase in exports of resources. The capitalist system marked the decline of Africa all the more because the continent became the markets for the finished products of the capitalist countries, making Africans dependent on them for imports; as Graaff (2007:20) articulates it, "there are no traditional societies in modern Africa, only dependent peripheral societies." OECD (2007:39), narrates that, consequently, the dominant capitalist countries of the world engaged in these 'unequal' practices in trade, where the 'third world' countries produced products needed for export and they were the markets for expensive imports from these capitalist countries.

I would like to argue that although this paper describes the 'dependency' paradigm in Africa in the 1970s, it would be justified to generalise these various colonised countries as well. OECD (2007:46), points out that one significant example is India, which in that the advent of colonisation, was made into a colony which produced for the British and imported the British products; until its independence, India was dependent on Britain.

Schmidt (2018:7), looking at the topic - 'Dependency and Development in Latin America' - highlights how Cardoso mentions how Lenin, drawing from the Marxian Analysis of economic expansion in the global economy by capitalists, expresses a concern about the free market economic policies in the transforming of imperialist capitalist economics. Schmidt (208:7) believes that imperialism is a new form of capitalist mode of production. For Lenin, imperialism can be characterised as 'monopolistic' and being the ultimate stage of development; to control this 'monopolistic' ideology, there has to be a search for control of raw materials.

Grosfoguel (2000:362), puts forth that dependency theory, thus, explains the relationship between two or more countries when a dominant country exploits the dependent one for its own gain and profit, under the cover of making the former a 'modern' while actually expanding itself and maximising its own profits. The country which is dependent on the dominant one is considered as 'underdeveloped' or 'third-world countries' where the relationship is constantly unequal, be it in the form of trade or loans. Grosfoguel (2000:363), concludes that in this way the dependency theory critiques modernisation by saying no country goes through the transition stages for the better and that these cannot be generalised to all the 'third world' countries. A major flaw in the dependency theory is that that it measures dependency by looking at history of colonialism and imperialism and fails to explain how a country can progress with industrialisation. The other critique could be that countries are dependent because they are under-developed and not always the other way round, as they claim. Many critics believe that countries like India, China, Ireland have proved the theory wrong by their high amount of economic growth and success from their development process, although, others argue that in the present times there has been a resurgence of the dependency model.

2.11.3.3   Bringing NPM into rural politics

Thornhill (2012:33) states that new public management (NPM) has been brought into politics, assuming some degree of organizational flexibility into South Africa local government that does not exist elsewhere. South African government deemed local government fit as the lowest sphere of government and closest to the people, explaining

the need for resources to be reallocated and reprioritized, especially, to address issues of social cohesion. As a result, the public sector has become more flexible, for example, in health and education. Thornhill (2012:33), points out that in the public sector, nothing can be implemented without consulting a policy, or for any action to be taken without objectives, hence, the generic views of administration discussed above.

2.12 SUMMARY

This chapter presented the theoretical framework on the role of PM&E on municipal service delivery within the discipline of Public Administration. The Theory of change was discussed with its key elements to illustrate the relevance of the study. The chapter also reviewed literature relevant to the role of PM&E, focusing on the characteristics of monitoring and evaluation, the development of performance management, current and future issues relating to PM&E, and challenges of PM&E on municipal service delivery. The section concluded by presenting the legislative framework on local government. Discussions also looked at how performance management, as a system collaborates with relevant legislature such as the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000).

In the chapter was also presented both the legislative and policy framework on local government. The legislative framework relevant to the study are: The Constitution, 1996; Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000); White Paper on Local Government, 1998; White Paper on Transforming Public Service Delivery, 1997; Intergovernmental Relations Framework Act, 2005 (Act No. 56 of 2005); Local Government: Municipal Finance Management Act, 2003 (Act No. 56 of 2003; Local Government: Municipal Planning and Performance Regulations Act, 2001; and Municipal Performance Regulations for Municipal Managers and Managers Directly reporting to the Municipal Manager, 2006. Under the White Paper on Transforming Public Service Delivery, 1997, the *Batho Pele* principles were presented. These principles were presented, emphasizing that the role of *Batho Pele* is to engage the Public Service in a transformation exercise that is aimed at creating a public service that is representative, coherent, transparent, efficient, effective, accountable and responsive to the needs of all.

Also detailed are the policy frameworks relevant to the role of PM&E on municipal service delivery. There are different opinions on the theories of PM&E, therefore, this chapter presented the theoretical frameworks on PM&E which included two main theories: TOC and GWM&E. The chapter also presented the RSA Service Charter, 2013 (PSCBC resolution No.1 of 2013), to reflect on ways of ensuring municipal service delivery within the scope of the Public Service and PM&E.

The contextual framework of PM&E on municipal service delivery was detailed focusing on the objectives of the study. In addition, there was a review of literature on - the role of PM&E on municipal service delivery; the significance of PM&E on municipal service delivery; the challenges faced by local government in the implementation of PM&E; the consequences of poor implementation of PM&E, and the strategies to improve PM&E on municipal service delivery.

The notion of PM&E within the discipline of Public Administration wherein both the generic and managerial views of administration were discussed. The generic views of administration are essential to a discussion on the role of PM&E on municipal service delivery. The managerial functions of public administration are also essential to the discussion on PM&E, hence, relevant literature was reviewed regarding the above-mentioned concepts, within the discipline of Public Administration. This chapter concluded by presenting the New Public Management within the framework of PM&E.

CHAPTER 3

RESEARCH METHODOLOGY

3.1 INTRODUCTION

This chapter presents the research design and methodology that the researcher followed when conducting the study. The chapter also presents the research paradigm where a pragmatic research approach was used. The study area, population of the study, sampling method and sampling size, data collection, pilot study, and data analysis, as well as ethical consideration are outlined in this chapter on research methodology.

3.2 Research Paradigm

Schalkwyk (2018:8), defines a research paradigm as a broad term referring to a view on the development of knowledge and the nature of that knowledge. Pham (2018:2), explains research paradigm as the foundation of research which can focuses either on positivism, interpretive and critical theory approaches in a quantitative research method. The study followed the pragmatic research paradigm.

Creswell (2014:3), states that a pragmatic research paradigm is usually associated with mixed research method, where the focus is on the consequences and research questions rather than on the method itself. It is by way of permitting mixing of paradigms, assumptions, approaches and methods of data collection and analysis. On the other hand, Mitchell (2018:7), indicates that pragmatic research paradigm is a philosophical partner of the mixed research method, as its underlying assumptions provide the essence for mixing research methods. The reason for choosing the pragmatic research paradigm is based on the epistemological viewpoints of participants. Respondents in this study were provided with the latitude to elaborate on their difference of opinions.

3.3 Research Design

Kirumbi (2018:1), argues that a research design is a set of methods and procedures used in collecting and analyzing measures of the variables specified in the research problem. A research design is a framework that has been created to find answers to research

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questions. Creswell (2014:101), further argues that a research design is a type of inquiry within the qualitative method approach that provides specific direction for procedures in a research study. The research design focused on narrative and exploration, which is more to the purpose of the research. This study employed a narrative exploratory design and descriptive research design.

Van Wyk (2017:8), explains exploratory as a useful research design, characterized by a high degree of flexibility and lacks a formal structure. Creswell (2016:255) outlines that exploratory research is research conducted for a problem that has not been studied clearly and which is intended to establish priorities, develop operational definitions and improve the final research output. The main reason of exploratory research design was to identify any causal links between the factors or variables that pertain to the research problem. The choice to use exploratory research design was that, with this design, the researcher can determine the level of depth of investigation to reach a conclusion.

Burns and Grove (2013:201), describe descriptive research design as a research designed to provide a picture of a situation as it naturally happens. Polit (2013:72) explicates that a descriptive research design is one that has the accurate portrayal of the characteristics of persons, situations or groups as their main objective. The reason for using descriptive research design in this study, was to collect accurate data and provide a clearer picture of the impact of PM&E on municipal service delivery around CDM in Limpopo province.

3.4   Research Methods

Mohajan (2017:3), contends that a research methodology is a plan of action that gives direction to conduct research, systematically and efficiently. Mishra & Alok (2017:1), describes research methods as including all the techniques and methods which have been taken for conducting research, whereas a research methodology is the approach in which research problems are solved. There are three main researcher approach, namely, quantitative, qualitative and mixed methods research. This study focused on the mixed research method.

3.4.1 Mixed research

A mixed research is defined as collecting, analyzing and mixing both qualitative and quantitative data in a single study or series of studies (Creswell & Plano, 2011:23); Cameron (2011:98) concur that the method includes a qualitative and quantitative dimensions. Mixed research approach was used because it provides a better understanding of research problems than one research method alone. The mixed research method was used in this study, hence, to assist in answering the research questions that could not be answered by qualitative or quantitative research method alone.

3.4.1.1 Quantitative research

Quantitative and qualitative research methods differ in terms of their epistemological, theoretical and methodological underpinnings. Yilmaz (2013:12), agrees that quantitative research is informed by objectivist epistemology and seeks to develop explanatory universal laws in social behaviours by statistically measuring what it assumes to be a static reality. Bryman (2012:35), defines quantitative research design as a research strategy that emphasizes quantification in the collection and analysis of data. Findings in this study were generalized to a whole population and/or sub-population, as it involved the larger sample which was randomly selected. This study used the quantitative research design to also answer research questions such as 'how many, how much and to what extent'.

3.4.1.2 Qualitative research methods

Yilmaz (2013:13), describes a qualitative research design as an approach which looks at a constructivist epistemology and explores what it assumes to be a socially constructed dynamic reality through a framework which is value-laden, flexible, descriptive, holistic ad context-sensitive. In addition, Burns & Grove (2013:19), note qualitative research design as a systematic subjective approach used to describe life experiences and situations and to give the meaning of such experiences. In this study, qualitative research design was used due to the fact that it emphasizes the participation of stakeholders, their mutual learning and sharing of experiences.

3.5 Area of Study

The area of study is Capricorn District Municipality (CDM) in Limpopo Province, South Africa; it was establishment in terms of the Local Government Municipal Structures Act, 1998 (Act 117 of 1998). The Capricorn District Municipality falls under category C type of municipalities; it is comprised of four Local Municipalities, after the disestablishment of the Aganang Local Municipality, namely, Blouberg, Lepelle-Nkumpi, Molemole and Polokwane Local Municipality.

Figure 3.1: Capricorn District Municipality
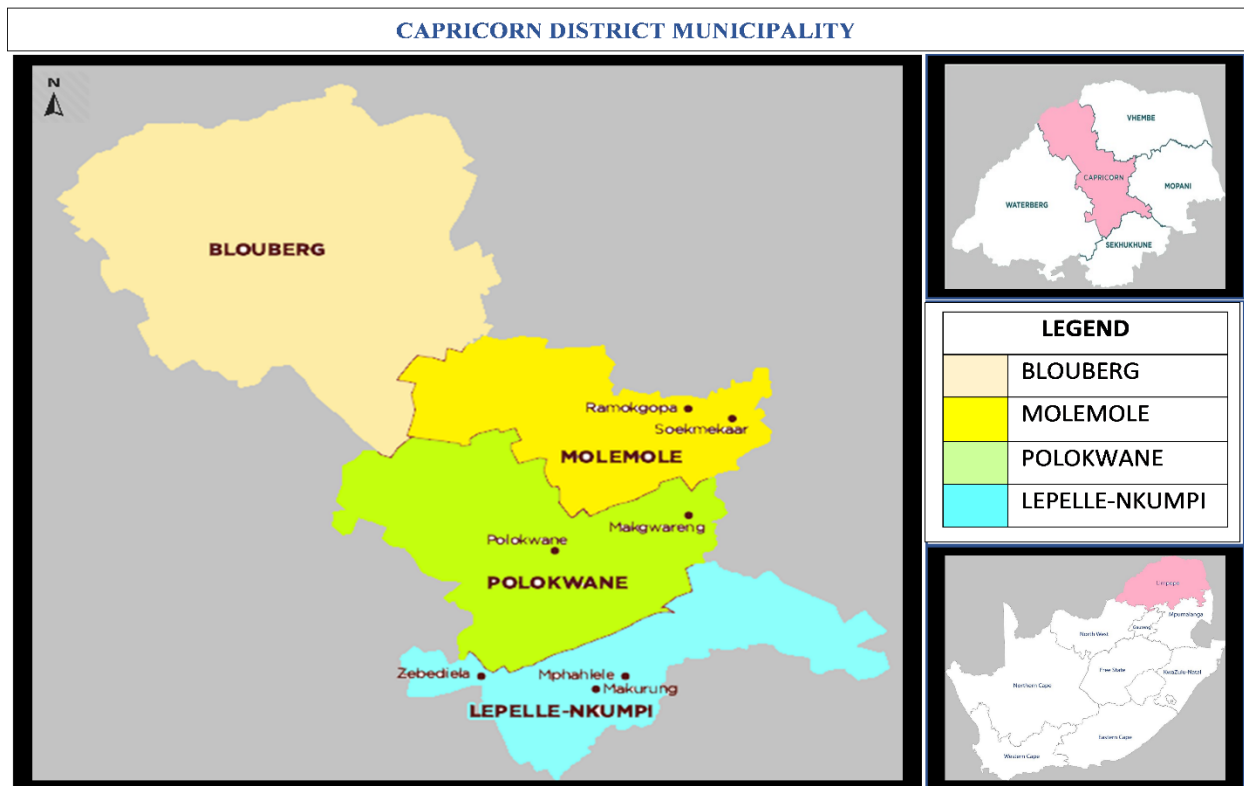
(Source: Geographic Information System, 2019).

The District is situated at the core of economic development in the Limpopo Province and includes the capital of the province, the City of Polokwane. One national and various major provincial roads pass through the district; these are, the N1 - National Road from Gauteng to Zimbabwe and the rest of Africa, the P33/1 (R37) from Polokwane to Burgersfort/Lydenburg, the P94/1 (R521) from Polokwane to Alldays and Botswana and

the P17/1 (R71) from Polokwane to Tzaneen and Phalaborwa. As indicated above, the study covered the four local municipalities identified under CDM.

3.6   Population of the Study

De Vos (2014:193), defines a population as the set boundaries of the study. It refers to individuals or groups or conditions to which they are exposed. Rahi (2017:3), similarly sees the population as all people or items that one wishes to understand. A population is a group of potential participants from whom the researcher wants to generalize the results of a study. The researcher conducted a study on the role of performance, monitoring and evaluation within municipal service delivery in Capricorn District Municipality, Limpopo Province. The population of the study consisted of municipal staff, community stakeholders and community members. Statistics South Africa, census 2016 stipulates that the total population of CDM to be approximately $\pm$ 2 180 531. The CDM personnel establishment for filled positions for the financial year 2019/20 was $\pm$ 1006.

3.7   Sampling Procedure

Bless & Higson-Smith (2013:33), refer to a sample as a set of elements that the researcher focuses on; Avi (2016:11), sees a sampling as a process through which participants are extracted from a population. Sampling is a method of choosing subjects in a population that correctly portray the characteristics of the specific population. The sampled group for the study consisted of District Manager, PM&E staff, PMS staff, Human Resource staff, councilors, traditional leaders, community development workers, civic members and community members.

3.7.1 Sampling Method

For this study the researcher used non-probability sampling; this represents a group of sampling techniques that help researchers to select units from a population that they are interested in studying (Etikan & Alkassim 2016:4). Dudovskiy (2019:29), clarifies that non-probability is a method wherein not all members of the population have a chance of participating in the study. Purposive sampling method was used as a sub-type of non-probability to select the participants of the study.

Dudovskiy (2019:36), continues that purposive sampling produces a non-probability sample that is selected based on characteristics of a population and the objectives of the study, hence, purposive sampling implies that the cases, units or members should be typical of the target population. Purposive sampling is also known as judgmental, selective or subjective sampling. The researcher chose purposive sampling due to personal judgment in selecting the participants. The researcher's first contact was with the municipal staff at CDM since community stakeholders and community members are under their jurisdiction.

3.7.2 Sampling Size

Kumar (2014:58), states that sample size refers to a tool that measures the number of individual samples, measures or observations used in a survey or experiment. The sampling size of this study consisted of 200 participants who were categorized as follows- 01 District manager, 01 M&E manager, 6 M&E staff, 01 HR manager, 05 HR staff, 01 PMS manager, 06 PMS staff, 01 IDP manager, 10 IDP staff, 01 LED manager, 10 LED staff, 1 corporate services manager, 10 corporate services staff, 01 CFO, 10 SCM staff, 20 traditional leaders, 15 councilors, 30 community development workers, 30 civic chairpersons and 40 community members.

Table 3.1 Summary of sample size

Number	Participants	Number of participants	Total
1	District manager	1	1
2	M&E manager	1	1
3	M&E staff	6	6
4	HR manager	1	1
5	HR staff	5	5
6	PMS manager	1	1
7	PMS staff	6	6
8	IDP manager	1	1

9	IDP staff	10	10
10	LED manager	1	1
11	LED staff	10	10
12	Corporate services manager	1	1
13	Corporate services staff	10	10
14	SCM manager	1	1
15	SCM staff	10	10
16	Traditional leader	20	20
17	Councilors	15	15
18	Community development worker	30	30
19	Civic chairperson	30	30
20	Selected community members	40	40
GRAND-TOTAL:			**200**

3.7.3 Data Collection

Nieuwenhuis (2016:92), asserts that the aim of obtaining data is to enable a researcher to understand the participants' construction of knowledge and reality about the topic. Creswell (2017:201), indicates that data collection is the process of - gathering and measuring information on variables of interest, establishing systematic fashion to enable one to answer stated research questions, testing hypotheses and evaluating outcomes. To find answers to the research questions, it is important for the researcher to collect data from the participants, therefore, interviews and questionnaire were used to collect data.

Bhat (2019:1), defines a questionnaire as a research instrument that consists of a set of questions or other types of prompts that aim to collect information from a respondent. Polit & Beck (2014:389), details a questionnaire as a document used to gather self-report data through the administration of questions; the researcher used both structured and semi-structured questionnaires. McLeod (2014:3), notes that a structured interview is a type of interview in which the researcher asks a set of premeditated questions in order to gather information about the research subjects. It is also known as a standardized interview and it aims at investigating research variables using the same

set of questions. According to Creswell (2018) structured are used to collect information with regards to the quantity or numerical value of the research subjects. It outlines events, behaviors, procedures, and guidelines for conducting the interview and recording the information collected to serve as the research data. Although a question guide is provided, the specific questions and the sequence in which they are asked are not precisely determined in advance. Data collected in this closed interview generated quantitative data. On the other hand, unstructured interview is a type of interview that does not make use of a set of standardized questions. Here, the interviewer does not generate any specific set of standardized questions for research, rather he or she asks different questions in line with the context and purpose of the systematic investigation (Creswell, 2018). Typically, an unstructured interview relies on spontaneity and follow-up questioning in order to gather detailed information from the research subject. In many ways, this type of interview can be viewed as an informal, everyday conversation because of its extremely colloquial style. Unstructured questionnaire is a set of open-ended questions wherein interviews are flexible and generated qualitative data. In this study, the questionnaire consisted of five (5) Likert scale which consists of strongly agree, agree, not sure, disagree and strongly disagree. Two hundred and eighty (280) questionnaires were distributed to respondents by both the researcher and the research assistant.

Data was also collected through focus groups discussions. Dudovskiy (2019:17), defines focus groups discussions as being with 07 to 12 participants, to capture their experiences and views regarding specific issues closely related to the research questions; Quan (2019:1), details a focus group discussions as a common qualitative research technique. Focus group technique typically consists of a small number of participants from within the organization to be researched. Advantages of focus groups include the fact that primary data will be obtained through both verbal and non-verbal communication. The researcher used focus group as an effective technique for obtaining in-depth data through engagement with the participants. In addition, both the researcher and the research assistant became moderators in the group discussions and where necessary, probed and clarified issues. The researcher used both primary and secondary data; the latter was

collected during the interviews after the researcher had made appointments with participants, to negotiate venues and times. Secondary data formed part of the literature review for the study.

Bertram & Christiansen (2014:80) clarify an interview as a direct personal contact with participants. An interview is a process that involves an interviewer who coordinates the process of the conversation and asks questions and an interviewee who responds to those questions (Fink, 2012:374). The researcher used open-ended interviews because it allowed the respondents to provide detailed information, including feelings, attitudes and understanding of the subject. Individual, in-depth, semi-structured and open-ended interviews were conducted with the 200 participants to explore their perceptions on the role of PM&E on municipal service delivery. Ten (10) respondents were interviewed face-to-face with open-ended questions; the researcher arranged appointments before interviewing the participants.

3.7.4 Pilot Testing

Best & Kahn (2016:302), refer to test piloting a study as a small-scale preliminary study conducted to evaluate issues like, feasibility, time, cost, adverse events and how to improve upon the study design prior to performance of a full-scale research project. Eldridge (2015:17), concurs that a pilot study is a subset of a feasibility study, thus, sharing knowledge in the planning of large-scale study. Doing a piloting determines whether the method would work and/or the data collected could be used as part of the main project and, as such, the results of a piloting test should be well documented and kept safe. The researcher tested the research instrument with 03 participants. The 03 piloted participants were not involved during the study in accordance with research protocol. The main reason for the piloted respondents not forming part of the actual research, is because their information was used to test the ability of the research instrument to collect relevant data towards the study.

3.8   DATA ANALYSIS

Data analysis involves identifying common patterns within the responses and critically analysing them in order to achieve research aims and objectives (Dudovskiy, 2018:1). Sunday (2018:17), elaborates that data analysis is a range of processes and procedures whereby one moves from qualitative data that have been collected, into some form of interpretation of the study. The researcher used statistical and thematic data analysis to analyse data.

Stevens (2012:145), indicates that data analysis focuses on whether any differences observed between groups being studied are real or whether they are simply due to chance. Urdan (2011: 264), adds that statistical analysis is a measure of whether the research findings are meaningful. Data collected through questionnaire were analysed through International Business Machinery (IBM): Statistical Product and Service Solutions (SPSS) version 25.0 and presented in the form of tables, with frequencies and percentage, followed by a synthesis of information.

Lapadat (2015:6), considers thematic data analysis as a systematic approach to the analysis of qualitative data that involves identifying themes or patterns of cultural meaning; coding and classifying data, usually textual, according to themes; and interpreting the results. Thematic analysis is defined by Turunen & Bondas (2013:398) as a method for identifying, analysing and reporting patterns (themes) within data. Through an interaction process, data was systematically analysed to capture information on the role of PM&E on municipal service delivery; the information was presented in a narrative form. Dudovskiy (2018:1) states that narrative analysis involves the reformulation of stories presented by respondents considering context of each case and the different experiences of each respondent. In other words, narrative analysis is the revision of primary qualitative data by researcher. The researcher applied thematic-narrative data analysis in which a variety of procedures for interpreting data is generated in research. The researcher followed the nine steps of qualitative data analysis outlined by Creswell (2014: 334):

- **Phase 1: Planning for recording data**: The researcher planned for the recording of data in a systematic manner which was appropriate to the setting of participants and facilitated analysis before collecting information. A researcher who plans to use a tape recorder, cameras and other devices should indicate such in the research proposal.

- **Phase 2: Data collection and preliminary analysis**: Data was analysed after being collected by the researcher and recorded. The first stage involved data analysis at the research site during the collection of data while the second involved data analysis away from the site. Data collection and analysis go together in order to build a coherent interpretation of the data.

- **Phase 3: Managing or organizing data**: This is the first loop in the spiral - the researcher organized data into file and folders in order to analyse it well and in order. The researcher labelled data properly with a notation system that made retrieval manageable. The data generated by qualitative methods are often voluminous.

- **Phase 4: Reading and writing memos**: The researcher read the data collected and checked if it was organized, then grouped information together. Reading the data once more forced the researcher to become very familiar with the data. After the organization and conversion of the data, the researcher continued with analysis so as to get a feeling for the whole database.

- **Phase 5: Generating categories: themes and patterns**: The process of category generation involves noting regularities in the setting or people chosen for the study. The researcher searched for those who have internal convergence and external divergence. The researcher then broke the information down into small manageable set or themes to write into the final narrative. This analytical process demands a heightened awareness of the data, focuses attention on the data and openness to the undercurrents of service delivery.

- **Phase 6: Coding the data**: The data was presented analytically; the researcher then applied some coding scheme to those categories and then deligently and thoroughly marks passages in the data using codes. The researcher selected the form which she would apply when coding the data.   A researcher can use abbreviation or keywords, colours, dots and/or numbers. Codes may take several forms: abbreviations of keywords, coloured dots and numbers.

- **Phase 7: Testing emergent understanding**: As categories and themes are developed and coding is well underway, the researcher began the process of evaluating the plausibility of the developing points and exploring them through the data. Part of this phrase is evaluating the data for their usefulness and centrality. This entails a search through the data during which the researcher challenged their understanding, searched for negative instances of patterns and incorporated these into larger constructs, as necessary.

- **Phase 8: Searching for alternative explanations**: Alternative explanations always exist; a researcher must search to identify and describe them and then demonstrate why the explanation offered is the most plausible of all. The researcher discovered categories and patterns in the data and critically challenged patterns that seemed to be apparent. The researcher searched for other plausible explanations for those data and the linkages among them.

- **Phase 9: Representing and visualizing**: In the final phase of the report the researcher presented the data as a packaging what was found in text, in tabular or figure form. The hypotheses or propositions that specify the relationship between categories of information were also represent in the information.

For this study, the researcher analysed data using the above steps, these were: planning and recording data, reading and writing memos and representing and visualizing. In addition, the researcher collected data and wrote all information given by the respondents; after that, the researcher read all the information collected from respondents to check if the data was organized and then grouped all similar information together.

3.10   Ethical Considerations

Lyons & Coyle (2015:11), outlines that ethics literally translates into morals surrounding a study. Deciding how to behave from a moral or ethical perspective in each situation is not a simple matter. Neuman (2014:145), indicates that there are guiding principles which provide for legitimate and moral research procedures and methods. The following ethical guidelines informed the study undertaken:

3.10.1 Permission to conduct the research study

The researcher obtained permission from relevant authorities to collect data from participants before conducting the study. Ethical clearance certificate from the University of Venda and the letter to the CDM and the Tribal Authority to grant permission to conduct the study are attached as annexures.

3.10.2 Informed consent

Flick (2014:96), defines informed consent as a voluntary agreement to participate in a research. In this study, the researcher provided a consent form indicating the aim, objectives of the study, including the fact that participation is voluntary and that participants may withdraw from the study at any time when they deem so.

3.10.3 Voluntary participation

Khawula (2016:105), describes that Participation in a research should be voluntary, hence, participants may refuse to reveal certain information and they have an opportunity to withdraw from the research at any time. The researcher informed participants that participation is entirely voluntary, thus, the participants must feel free to choose, decline or withdraw from the research at any stage.

3.10.4 Confidentiality and anonymity

Lyons & Coyle (2015:7), confirm that confidentiality is closely tied up with informed consent. Participants need to know whether their material will be kept confidential. The

researcher should always treat any information provided by participants as confidential and take care not to breach or compromise confidentiality. The study adhered to this ethical aspect by ensuring that the information provided by participants will be safely stored.

Anonymity is defined as collecting data in such a way that respondents remain completely unknown to anyone unassociated with the survey (Flick (2014:76). The researcher ensured that the names of research participants were kept strictly confidential so that they will not be known to anyone except the researcher. Ensuring anonymity meant that no one, including the researcher should be able to identify any subject afterwards. In this study anonymity was assured.

3.10.5 No harm to participants

Bryman (2012:30), affirms that the research process should not harm or stress the research participants in any way. In this study the researcher assured participants that they would not be exposed to any harm whatsoever. Participants are essential in achieving scientific and socially important aims, therefore, incorporating ethical practices help to avoid malpractices in the study.

3.11   SUMMARY

This chapter on research methodology presented the research paradigm, research design and the research methodology that the researcher followed when conducting the study. The reasons for choosing mixed research methods (quantitative and qualitative research) were provided in this section. The chapter also discussed the study area, population of the study, sampling method and sampling size, data collection, pilot study, data analysis as well as ethical considerations.

CHAPTER 4

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.1   INTRODUCTION

In this chapter the researcher offers a data presentation, analysis and interpretation. Chapter 4 was subdivided into two main sections - A and B. Section A presents the demographic characteristics of the participants, and Section B presents the quantitative findings on the impact of performance, monitoring and evaluation on municipal service delivery. Both sections present the participants' views on the role of performance, monitoring and evaluation within municipal service delivery.

4.2   SECTION A: DEMOGRAPHIC PROFILE OF RESPONDENTS

This section presents the demographic profile of respondents in terms of gender, age, position/ occupation, and educational qualifications. The information is presented in tabular and figure form followed by a synthesis of the information.

Table 4.1: Gender of Respondents

Gender	Number of Participants	Percentage Total
Male	84	74%
Female	29	26%
Total	113	100

Figure 4.1: Gender of Respondents
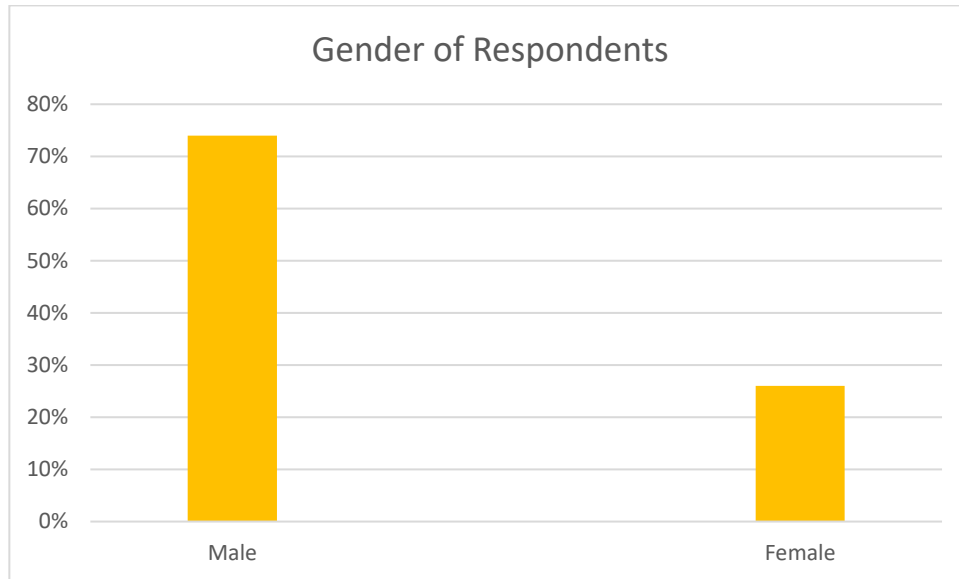
From the above figures, a total of 113 respondents responded to the research questionnaire. Initially the researcher had distributed 280 questionnaires but possibly because of the Coronavirus (COVID-19) outbreak, 167 respondents could not provide the anticipated feedback to the researcher as initially planned. A total of 84 males and 29 females responded to the questions in this study. From the above graphical illustration, 74% of the respondents were males whilst the other 26% were females, this might also be due to the fact that there are usually more males employed within the Capricorn District Municipality, Limpopo Province.

Table 4.2: Age of Participants

This section presents the demographic profile of respondents in terms of their age. The information is presented in tabular and figure form followed by a synthesis of the information.

Age of Participants	Number of Participants	Percentage Total
35 years and older	31	27%
31-35 years	37	33%
26-30 years	21	19%
20-25 years	24	21%
Less than 19 years	0	0%
Total	113	100

Figure 4.2: Age of Participants

Figure 4.2: Age of Participants
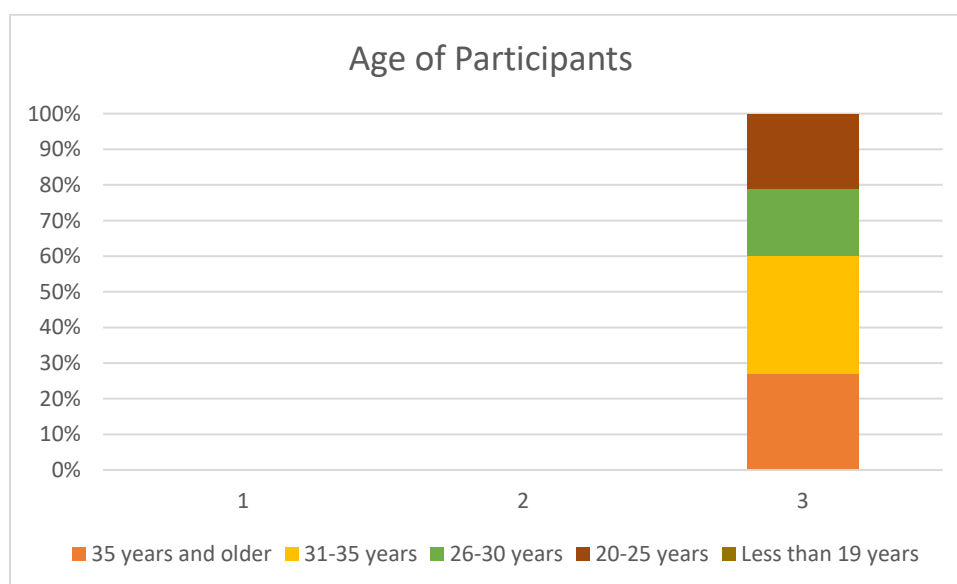
The above table presents the biographical information in terms of age. The above figures indicate that the greater number/majority of participants 37 (33%) was of those falling within the range of 31-35 years (basically, the youths); those falling within the range from 35 years and older occupied the second position 31 (27%) and 24 (21%) were between 20-25 years of age. Few participants at 21 (19%) were between 26-30 years of age and there were no participants less than 19 years of age. It can be deduced that this was likely the case since majority of personnel working in government departments tend to be matured citizens who are preferred because of several reasons of social, economic and political in nature.

Table 4.3   Response Rate

Gender	Number of Participants	Percentage Total
Responded	113	40%
Did not Respond	167	60%
Total	280	100

Figure 4.3:   Response Rate to Questionnaires

Response Rate to Questionnaires
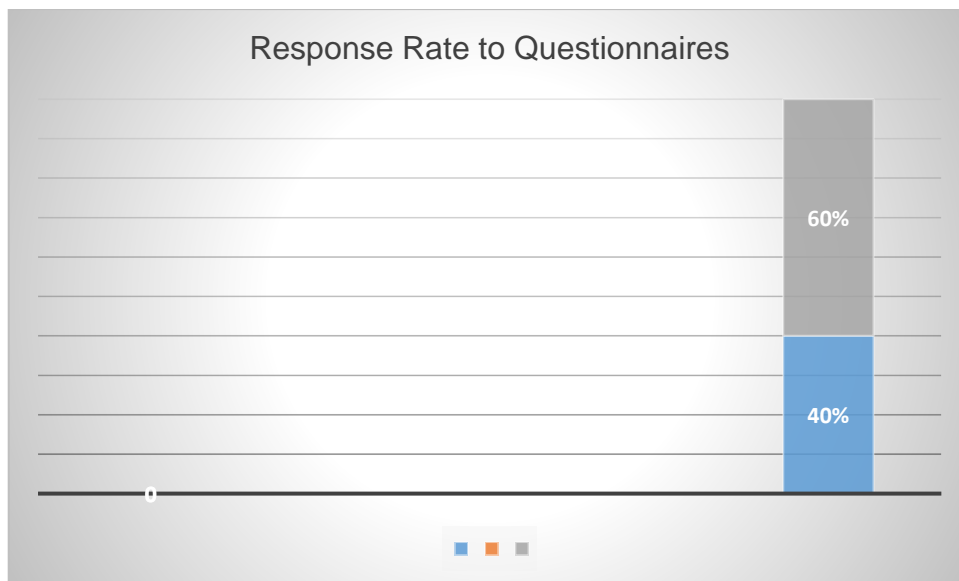
For the quantitative component of the study the researcher distributed a total of 280 questionnaires and from this sum, a satisfactory response rate was obtained wherein 113 participants responded however, 167 questionnaires were not responded to, but this did not in any way affected the quality of the results that the researcher set out to obtain in this study. This shows a 40% positive response rate and an indication that the municipality workers are devoted to their work. Employees who are devoted to carrying out their duties, are usually not be reluctant to providing answers to questions that seek answers to their day-to-day operations.

Table 4.4:   Position of participant

Position	Number of participants	Percentage
District manager	1	0.9%
M&E manager	1	0.9%
M&E staff	5	4.4%
HR manager	1	0.9%
HR staff	5	4.4%
PMS manager	1	0.9%
PMS staff	5	4.4%
IDP manager	1	0.9%
IDP staff	10	8.8%
LED manager	1	0.9%
LED staff	10	8.8%
Corporate Services Manager	1	0.9%
Corporate services staff	07	6.2%
SCM manager	1	0.9%
SCM staff	06	5.3%
Traditional leaders	12	10.7%
Councilors	5	4.4%

Community development worker (CDW)	15	13.3%
Civic members	15	13.3%
Selected community members	10	8.8%
TOTAL	**113**	**100%**

From the above figures, a total of 113 respondents responded to the research questionnaire. Figure 4.4 indicates that from the traditional leaders who took part in the study, ten (10) of them were Council members and two (02) are Secretaries of the Tribal Council, totalling to 12 (10.7%). It was also planned by the researcher that fifteen (15) Councillors around Dikgale and Moletjie moshates shall be part of the study, however, only 05 (4.4%) took part in the study. Fifteen (15) CDW (13.3%) and 15 (13.3%) civic members managed to complete the questionnaires and return them for data analysis, while only 10 (8.8%) community members who were supposed to form the integral part of the study, participated in the study.

For the CDM officials who also formed an integral part, most of them took part, except for the following: planned six (06) M&E staff, 05 (4.4%) took part in the study. Planned six (06) PMS staff 05 (4.4%) managed to complete the questionnaires and submit for data analysis. A greater number/majority of participants 07 (6.2%) was from the Corporate Services and followed by 06 (5.3%) from SCM. It can be deduced that this was likely the case since majority of personnel working in government departments tend to be matured citizens who are preferred because of several reasons, ranging from social, economic and political.

Figure 4.5: Position/Occupation of Participants
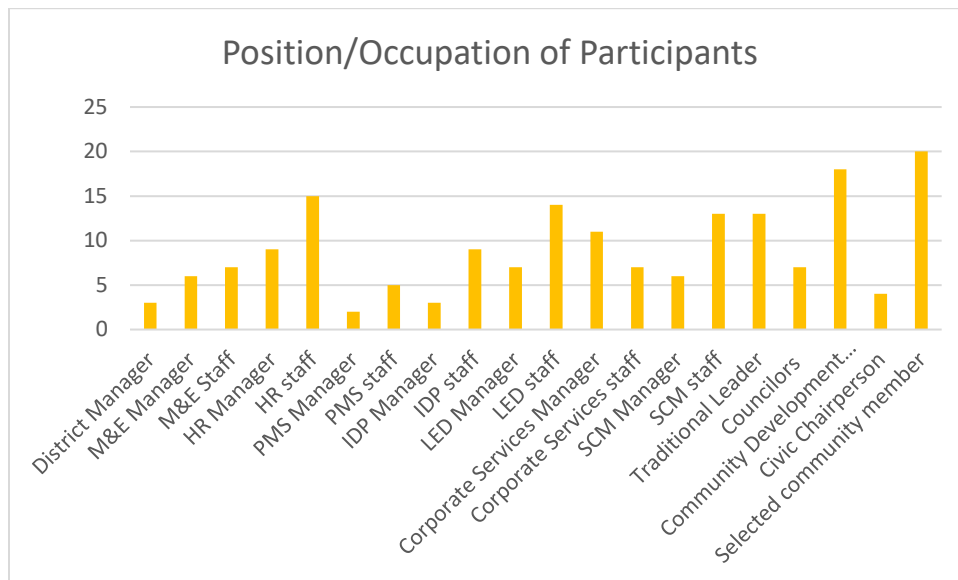
From the total of 113 participants who took part in responding to the questions in this study, the above chart shows that 87 of the participants are individuals who are employed and this was valuable to the researcher since these individuals are deemed to be preferred sources of information, than the ones not in any form of employment. Furthermore, having this calibre of participants also meant that the researcher was guaranteed to get accurate information.

Figure 4.6   Educational Qualifications
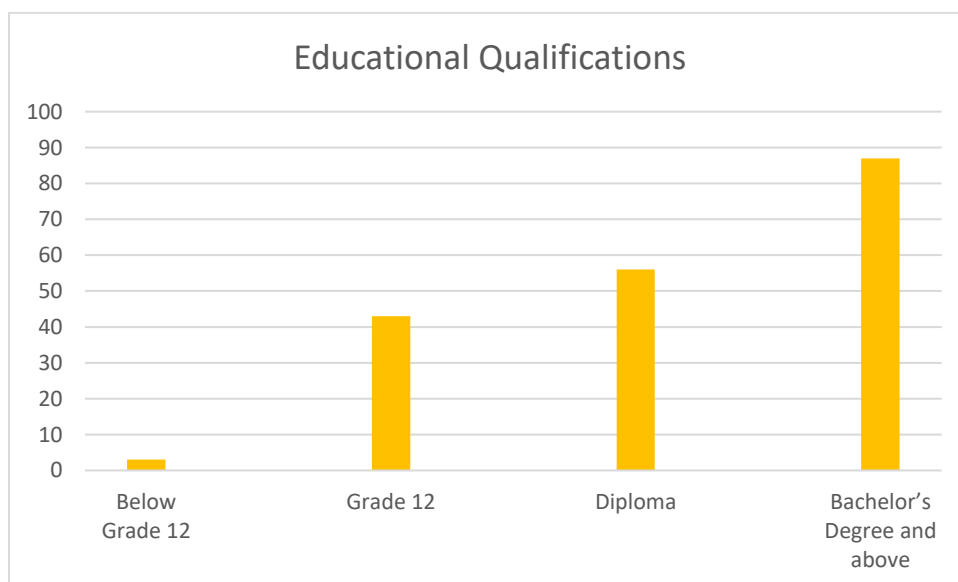
The above descriptive statistics show that of all the participants who responded to the questions posed in this study, only 3 participants indicated that they did not reach standard (10) which is now known as Grade 12. From the figures displayed above, of the total 113 participants, 89 of them indicated that they had at least received some form of formal education.

4.3 SECTION B: THE ROLE OF PERFORMANCE, MONITORING AND EVALUATION ON MUNICIPAL SERVICE DELIVERY

4.3.1 The role of PM&E on Municipal Service Delivery

On this aspect, the researcher set out to find out how performance, monitoring and evaluation impact the delivery of services in the municipalities. This was a crucial question for the researcher as it provided the answers to the questions that the researcher needed answers to. Getting comprehensive answers was an important step in coming up with recommendations to the challenges discovered through the researcher's interactions with the participants of the study.

Figure 4.7: Senior managers and staff receives regular training for effective municipal service delivery
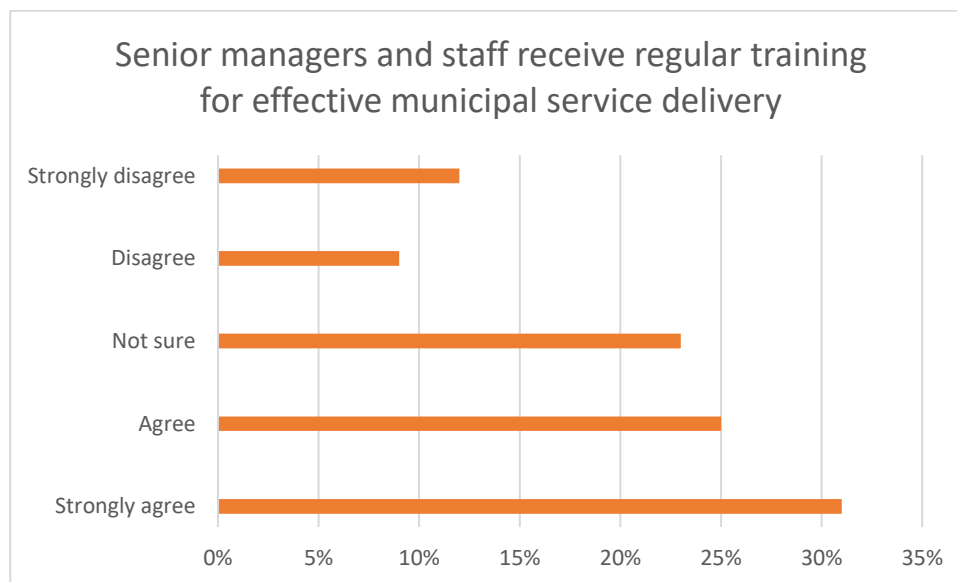
The researcher crafted this question based on the hypothesis that regular training of staff and managers is essential for effective service delivery. A sum of 75 respondents took

their time in providing their responses to this question and the kind of responses gathered point to the fact that the training of senior managers and staff remains one of the difficult hurdles to be faced head-on by the Capricorn District Municipality. Majority of participants as shown in the above graphical illustration, concurred with the assertion that senior managers and staff receive training; 31% of the participants "*strongly agreed*"; this was followed by 25% of the sum of 75 participants who "*agree*", however, 23% of the respondents for this question said that they were "*not sure*"; 9% "*disagreed*", while 12% *strongly disagreed.* The need to conform to the employer's norms and manners of doing things can be attributed to the kind of responses that were gathered in this study wherein the employees chose to misrepresent facts by not revealing the truth about the way things are being conducted within the Capricorn District Municipality.

Table 4.5:   PM&E system detects early warning signs of poor municipal service delivery

Response	Number of Participants	Percentage Total
Strongly agree	46	42%
Agree	23	21%
Not sure	5	5%
Disagree	11	10%
Strongly disagree	24	22%
Total	109	100

On this question, 109 of the 113 participants provided their responses as illustrated in Table 4.5 above. The early detection of signs of poor services will enable the municipality to be proactive and not be reactive in how they tackle their day-to-day business with the communities which they serve. For instance, in these times of corona virus pandemic, being reactive to situations that need urgent attention can be disastrous as opposed to a system in which all activities would have been anticipated and relevant measures to curtail the problem are put in place to intercept some of these unexpected occurrences. By asking this question, the researcher wanted to find out how Capricorn District

Municipality is creating and nurturing conditions for proactive decision-making in times of crises like the current coronavirus pandemic that we find ourselves being exposed to.

Figure 4.8: PM&E system detects early warning signs of poor Municipal Service Delivery
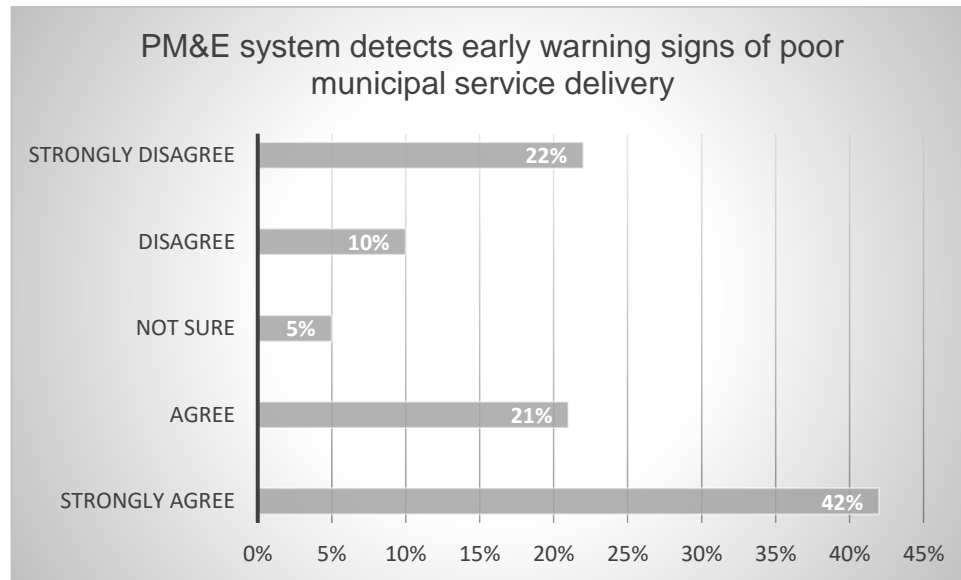
The above chart displays some responses that were provided on the detection of early warning signs of poor municipal service delivery within Capricorn District Municipality. The responses gathered, as illustrated in the above chart show that 42% of the total of 109 participants who answered this question "*strongly agree*"; not far from these sentiments were those who *"agree"* and that was 22%. Shockingly, 5% of the respondents seemed to be out of touch with the reality on the ground as signalled by their response of *"not sure"*. In a way, these kinds of responses also show the incompetence level of some of the employees who fail to provide rational answers to very crucial questions and matters that address their job description and its impact on the lives of those whom they serve as "Public Officials'.

4.6.4 GWM&E system coordinates and manages the outcome approaches of PM&E

On asking this question the researcher wanted to find out the role of the Government-Wide Monitoring and Evaluation coordination and management of the outcome approaches of Performance Management and Evaluation in as far as service delivery is concerned in Capricorn District Municipality.

Response	Number of Participants	Percentage Total
Strongly agree	60	53%
Agree	23	20%
Not sure	0	0%
Disagree	13	12%
Strongly disagree	13	12%
Total	113	100
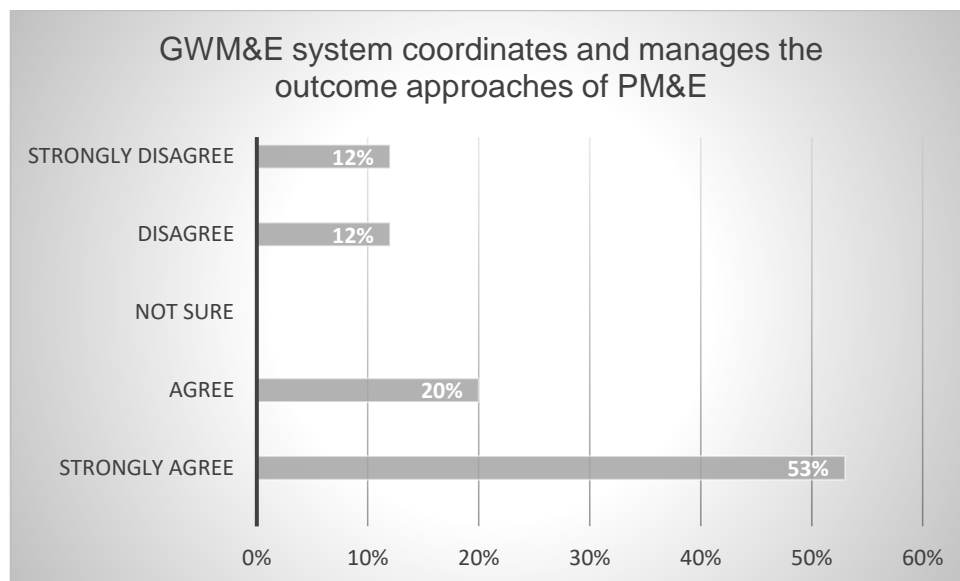
The above chart displays the respondents' views on the role of the Government-Wide Monitoring and Evaluation coordination and management of the outcome approaches of Performance Management and Evaluation at Capricorn District Municipality. From the above chart, 53% respondents strongly concur or "*strongly agree";* 20% of the total population also shared similar views by indicating that they *"agree";* however, 12% of the respondents indicated that they "*strongly disagree"* with the view that Government-Wide

Monitoring and Evaluation coordination and management of the outcome approaches of Performance Management and Evaluation are applied at Capricorn District Municipality.

4.6.5 GWM&E, as a policy framework integrates effective implementation significant to the impact of PM&E

Response	Number of Participants	Percentage Total
Strongly agree	45	40%
Agree	31	27%
Not sure	7	6%
Disagree	3	3%
Strongly disagree	27	24%
Total	113	100
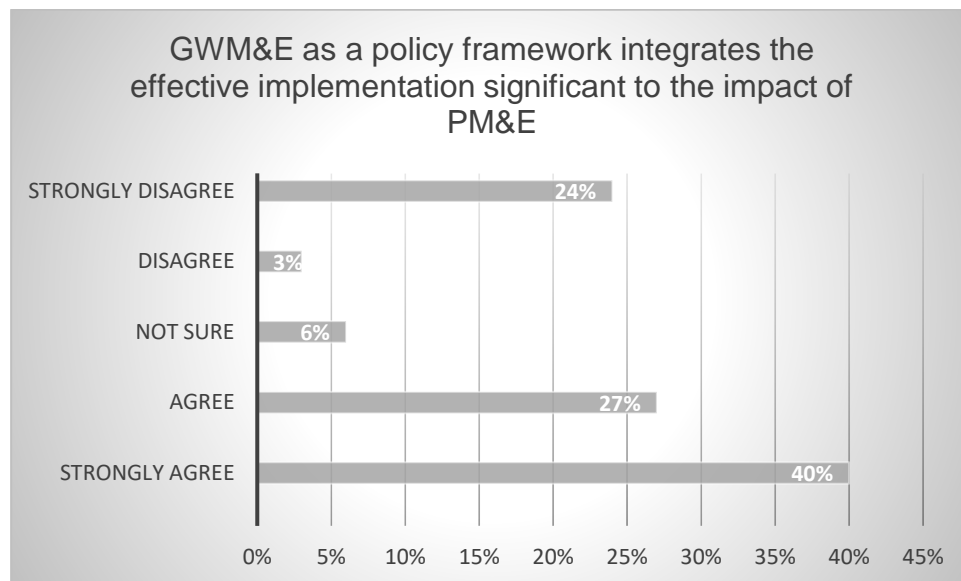
On whether the Government-Wide Monitoring and Evaluation as a policy framework integrates the effective implementation significant to the impact of Performance Management and Evaluation on improving service delivery within Capricorn District Municipality, 40% indicated that they '*strongly agree';* 27% of the respondents also shared similar sentiments with the 40% who concurred; unfortunately, 6% indicated that they are

'not sure'; and 3% *disagreed* with these sentiments. On the other hand, 24% *'strongly disagree'* with the view that Government-Wide Monitoring and Evaluation as a policy framework integrates the effective implementation significant to the impact of Performance Management and Evaluation on improving service delivery within Capricorn District Municipality.

4.6.6 Internal policies on PM&E are organized and redesigned to match the IDP requirements

Response	Number of Participants	Percentage Total
Strongly agree	34	30%
Agree	44	39%
Not sure	0	0%
Disagree	26	23%
Strongly disagree	9	8%
Total	113	100

On posing this question the researcher intended to find out the effectiveness of internal policies on performance, monitoring and evaluation and their role towards integrated development plans requirements. On this question, 30% indicated that they *'strongly agree';* 39% indicated that they *'agree';* and 23% *'disagree'* with the view that internal policies on PM&E are organized and redesigned to match the IDP requirements.

4.6.7 DPME provides a more focused oversight and support role to municipalities

DPME provides a more focused oversight and support role to municipalities
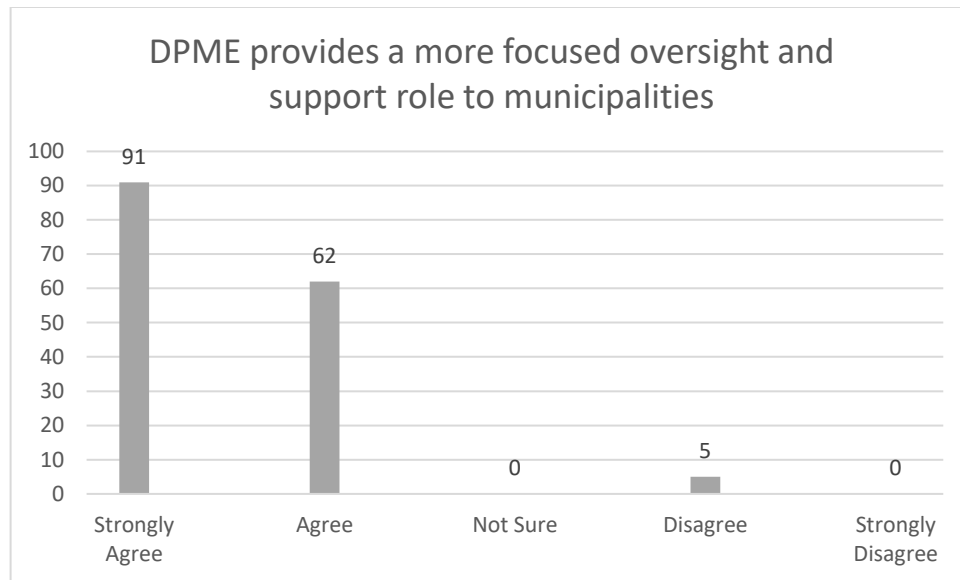
On the issue of the Department of Monitoring and Evaluation providing a more focused oversight and support role to municipalities, 91% of the respondents indicated that they *'strongly agree';* 62% also showed that they *'agree'* to this assertion, with only 5% indicating that they *'disagree'*.

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CHAPTER 5

THE ROLE OF PERFORMANCE, MONITORING AND EVALUATION ON MUNICIPAL SERVICE DELIVERY

5.1   INTRODUCTION

In this chapter the researcher presents the findings on the role of performance, monitoring and evaluation on municipal service delivery with particular attention to Capricorn District Municipality. The researcher details the findings gathered from the questionnaire that was distributed by the researcher. The information is presented in graphical tabular format with frequencies and percentages, followed by a synthesis of the findings. The results are divided into five (05) themes which arose from the research objectives of the study, namely - the role of PM&E on municipal service delivery; the significance of PM&E on municipal service delivery; challenges faced by local government in the implementation of PM&E; the consequences of poor implementation on PM&E, and the strategies that can be recommended to improve PM&E on municipal service delivery.

5.1.1   KEY FINDINGS OF THE STUDY

The main finding of the literature review reveals that PM&E is multidisciplinary, in that it is of interest to researchers from different academic disciplines and as such, it is defined differently according to the context. In South Africa, PM&E is a new phenomenon on which research is evolving. Progress and effective implementation of performance, monitoring and evaluation at Capricorn District Municipality is demonstrated by cross-sectional findings (Table 5.1); whether senior managers have relevant qualifications and skills (Table 5.4); whether community stakeholders understand and know their role in municipal service delivery (Table 5.6); whether DPME supports municipalities in identifying and addressing blockages in achieving PM&E outcomes (Table 5.7). The results also showed whether, if PM&E is implemented effectively, there is an effective flow of information feed from municipalities to communities (Table 5.13); if financial distress in municipalities hamper the implementation of PM&E (Table 5.7); whether PM&E is a comprehensive mode for the municipal service delivery support to foster interlinking

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relationships (Figure 5.15); whether community and stakeholder participation assist in identifying areas of potential and immediate intervention for municipal service delivery (Figure 5.14); if there is alignment of programmes/projects such as PM&E, PMS, IDP and LED (Figure 5.10) and if PM&E is implemented effectively, there is an effective flow of information from municipalities to communities (Figure 5.13).

Within the public sector, PM&E has enormous legislative support and it is executed by the public sector and non-government establishments to accomplish 78 distinct results. In the South African public area, the implementation of monitoring and evaluation is upheld by the Constitution of the Republic of South Africa (1996) which makes arrangement for proclamation of other enactments, strategy rules and systems that control its usage. Not exclusively does this enactment shed light about the jobs and obligations regarding monitoring and evaluation, but only on general results that should be accomplished. In the South African public sector, it is executed as a public sector change activity that is planned to shield the utilization of limited resources, improve transparency, uphold responsibility and to eventually help public establishments to accomplish their fore-ordained destinations. The hierarchical design of the municipalities in South Africa caters for the activity of the Monitoring and Evaluation directorate in which parts of Monitoring and Evaluation Practitioners, for instance, are featured. The office distributes assets for the execution of PM&E and has initiated rules that characterize job major parts in monitoring and evaluation. This helps to rank directors according to the necessities of required external oversight practices.

All things considered, different internal and external role-players perform integral and coinciding jobs to guarantee that public establishments utilize, in a reliable manner, the assets that are allotted to them. The roles and obligations regarding monitoring and evaluation are acquired from the legislation and both the internal and external role-players appreciate the administrative help that the legislation formally provide for them. The legislation awards internal role-players, for instance the book-keeping or accounting officials and internal panels, positions that serve to guarantee that the municipality's assets are utilised proficiently and adequately. Similarly, the powers, roles and duties of external oversight institutions, for example, the Auditor-General, parliament and city

chambers, are spelt out in the legislation, regarding the leaders' responsibilities and to improve transparency. Performance, monitoring and evaluation in the South African public sector is actualized to guarantee that there is an incentive for cash; this is to improve service delivery so as to fulfil the basic needs of the public as stated in the Constitution, 1996.

5.2   SECTION A

5.2.1   The role of PM&E on municipal service delivery

In this theme, the researcher presents the data regarding the role of PM&E on municipal service delivery. The data is presented in tabular format with frequencies and percentages, followed by a brief synthesis.

Table 5.1: Senior managers understand the role of PM&E on municipal service delivery

Response	Number of Participants	Percentage Total
Strongly agree	23	20%
Agree	34	30%
Not sure	0	0%
Disagree	43	38%
Strongly disagree	13	12%
Total	113	100

Figure 5.1: Senior managers understand the role of PM&E on municipal service delivery
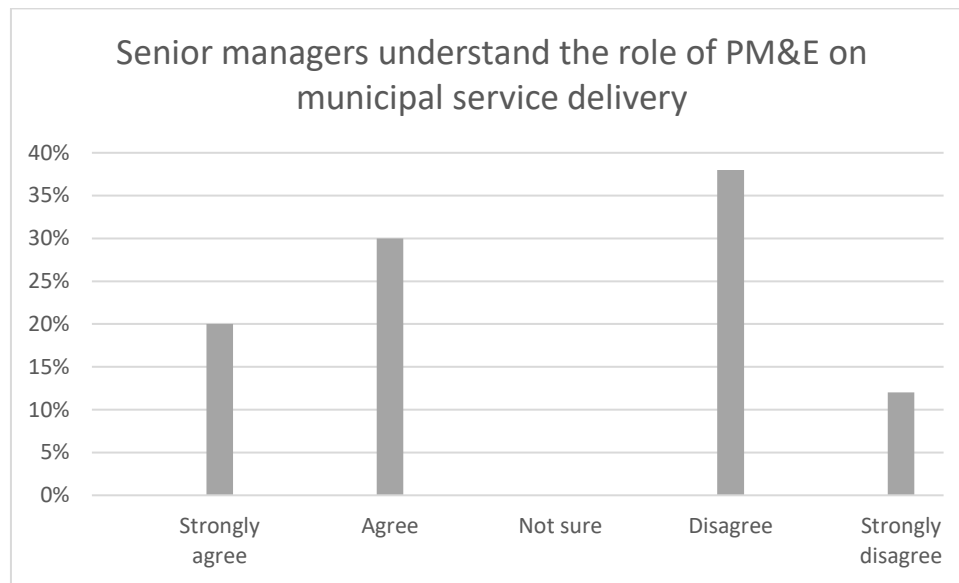
The responses gathered on this question on senior managers' understanding of the role of PM&E on municipal service delivery shows that there is more work that still needs to be addressed in ensuring that senior managers understand their job description in Capricorn District Municipality. From the above (Table 5.1), majority of respondents who constitute 43 (38%) indicated that they *'disagreed'* with the statement. In contrast, 34 indicated that they *'agreed'* (this category made up (30%) of the sum of respondents who responded to this question). Those who '*strongly agreed'* made up of 23 (20%) of the total sum of respondents, while those who '*strongly disagree* made up 12%.

Figure 5.2: PM&E system is utilized to improve the role for municipal support
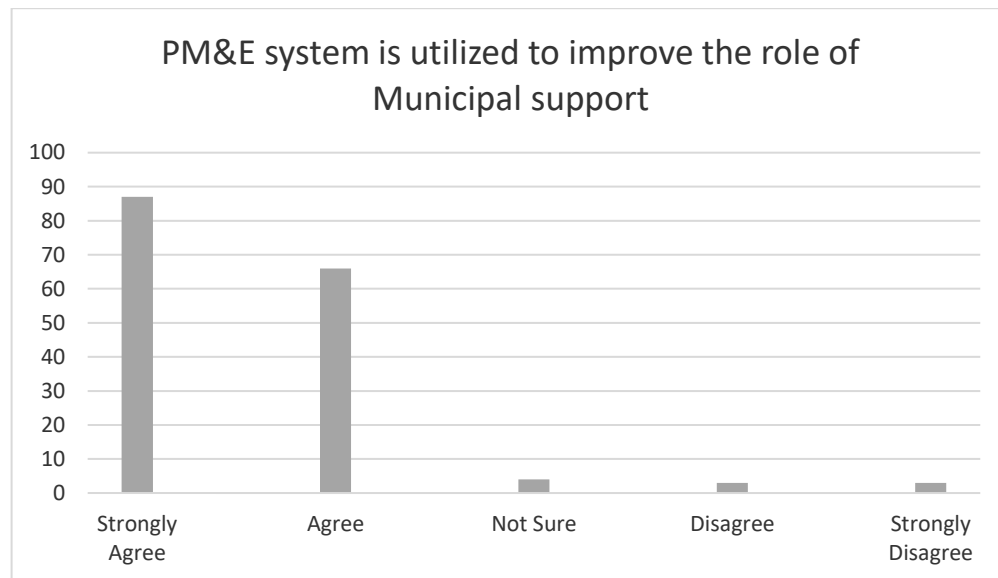
As the basis for service delivery, the literature gathered emphasised the roles of Performance, Monitoring and Evaluation systems being utilized for the improvement of services rendered by the municipalities, to the communities that they serve. This was more of a confirmatory question that sought to confirm if the PM&E system is utilised to improve the role for municipal support within Capricorn District Municipality. For this question, 87% of the respondents '*strongly agree*'; 66% indicated that they *'agree';* 9 were either '*not sure' 'disagree'* or '*strongly disagree'* to the assertion that PM&E system is utilized to improve the role for municipal support within Capricorn District Municipality.

Table 5.2: Cooperation among municipality and municipal stakeholders is effective

Response	Number of Participants	Percentage Total
Strongly agree	66	58%
Agree	36	32%
Not sure	0	0%
Disagree	3	3%
Strongly disagree	8	7%

Total	113	100

Figure 5.3: Cooperation among municipality and municipal stakeholders is effective

Cooperation among municipality and municipal stakeholders is effective
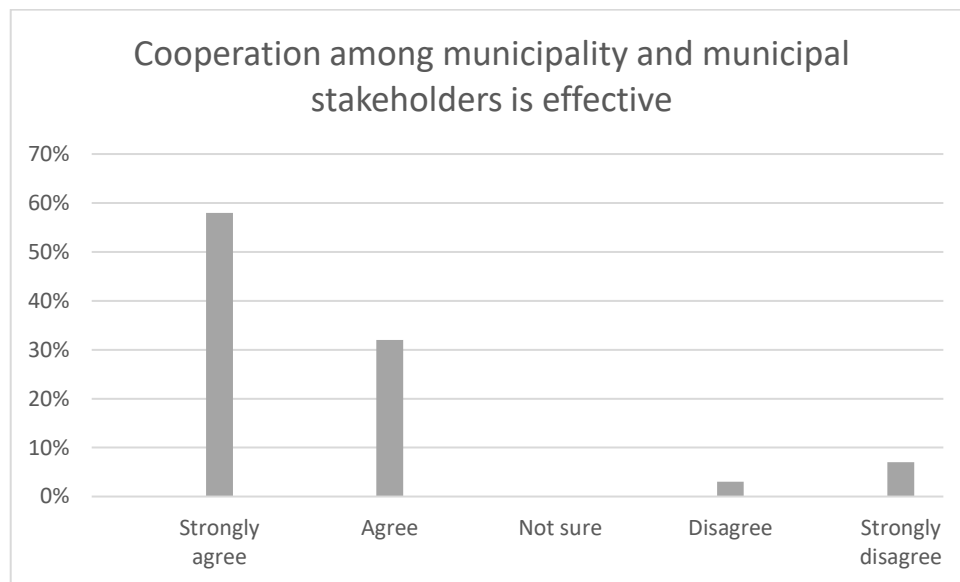
When asked about the effectiveness of cooperation among the municipality and municipal stakeholders, majority of respondents constituting 66 (58%) said that they *'strongly agreed';* 36 (32%) showed that they *'agreed';* those who '*disagreed'* to this assertion were 3 (3%) while the other 8 (7%) '*strongly disagreed'* to the idea that cooperation among municipality and municipal stakeholders is effective at Capricorn District Municipality.

Table 5.3: Municipal staff needs financial support to perform their duties as expected

Response	Number of Participants	Percentage Total
Strongly agree	67	59%
Agree	23	20%
Not sure	8	7%
Disagree	12	11%

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Strongly disagree	3	3%
Total	113	100

Issues which have got something to do with money are always sensitive issues in as far as municipalities are concerned in South Africa due to well-traceable embezzlement of municipal funds by those who are meant to administer it for sustainable use. When asked about whether the municipal staff needs financial support to perform their duties as expected, majority 67 (59%) "*strongly agreed*"; this positive response was followed by another positive affirmation by 23 (20%) who said that they *'agreed';* eight (08) constituting (7%) indicated that they are *'not sure';* 12 (11%) said they *'disagreed';* and a meagre 3 (3%) '*strongly disagree'.*

5.2.2 The challenges faced by local government in the implementation of PM&E

On this aspect, the researcher wanted to find out the problems that might be standing on the way of delivering of services within Capricorn District Municipality.

Table 5.4: Senior managers have relevant qualifications and skills

Response	Number of Participants	Percentage Total
Strongly agree	19	17%
Agree	15	13%
Not sure	23	20%
Disagree	43	38%
Strongly disagree	13	12%
Total	113	100

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Figure 5.4: Senior managers have relevant qualifications and skills

On whether senior managers have the relevant qualifications to perform their duties, the majority of respondents 43 (38%) indicated that they *'disagreed'* that senior managers have relevant qualifications and skills; this presents a major challenge for the Capricorn District municipality's role of providing service delivery to the community. When incompetent individuals assume jobs that they do not qualify on, there would be a rise in problems as indicated in the literature gathered for this study. For this question, 23 (20%) said that they are *'not sure';* the fact that these respondents seemed not to be sure might point to the fact that there is lack of transparency in how individuals are appointed to these positions. Those who '*strongly agreed'* made up of 19 (17%); the other 15 (13%) also expressed similar views by indicating that they *'agreed'* that senior managers at Capricorn District municipality have relevant qualifications and skills.

Table 5.5. Community stakeholders understand and know their participation on municipal service delivery

Response	Number of Participants	Percentage Total
Strongly agree	68	60%
Agree	26	23%
Not sure	0	0%

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Disagree	4	4%
Strongly disagree	15	13%
Total	113	100

Figure 5.5: Community stakeholders understand and know their participation in municipal service delivery
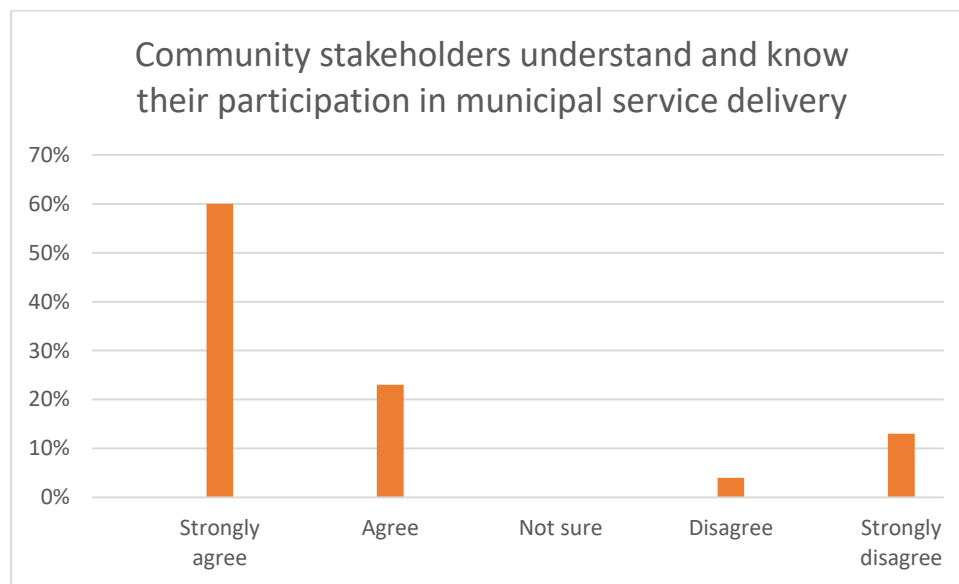
It is also very important for communities and each and every member of the society to also have roles to play in service delivery and failure to fulfil these duties will result in the break in chain of command; this will lead to inefficiencies in the whole system. By presenting this question the researcher wanted to find out the extent to which communities understand their roles in service delivery. For this question 68 constituting (60%) indicated that they '*strongly agreed*;' 26 (23%) *agreed;* 15 constituting (13%) '*strongly disagreed*' and 4 (4%) *disagreed* that community stakeholders within the Capricorn District municipality understand and know their participation in municipal service delivery.

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Table 5.6: DPME supports municipalities in identifying and addressing blockages in achieving PM&E outcomes

Response	Number of Participants	Percentage Total
Strongly agree	68	59%
Agree	26	41%
Not sure	0	-
Disagree	0	-
Strongly disagree	0	-
Total	113	100

The researcher posed this question with the intention of finding out if the Department of Monitoring and Evaluation supports municipalities in identifying and addressing blockages in achieving Performance, Monitoring and Evaluation outcomes at Capricorn District municipality. For this question, majority of respondents 68 (59%) indicated that they '*strongly agreed'*; the other 26 (41%) *'agreed'* that the Department of Monitoring and Evaluation supports municipalities in identifying and addressing blockages in achieving Performance, Monitoring and Evaluation outcomes at Capricorn District municipality.

Figure 5.6: In-depth monitoring and evaluation fail due to unexplained outcomes

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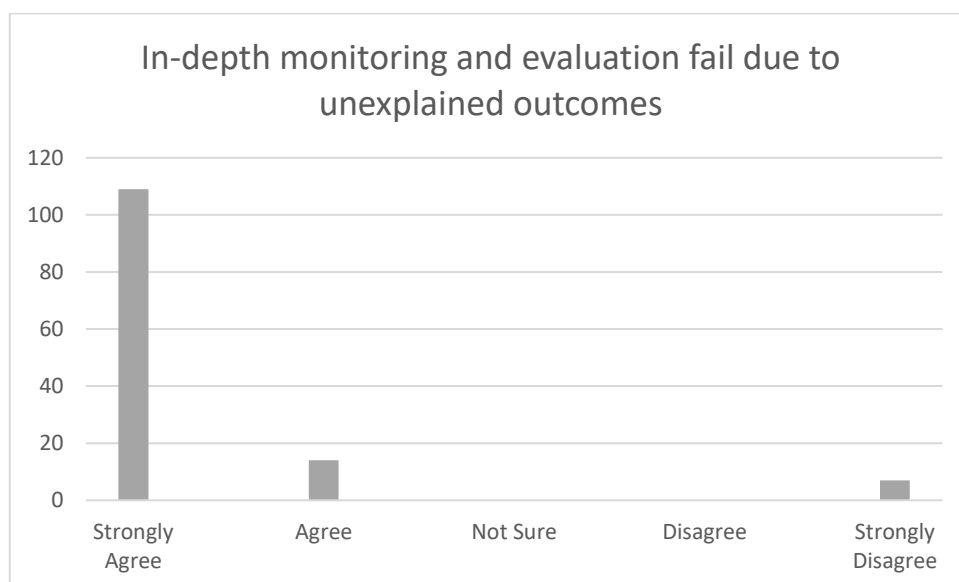
Table 5.7: Finance distress in municipalities hamper the implementation of PM&E

Response	Number of Participants	Percentage Total
Strongly agree	56	50%
Agree	21	19%
Not sure	10	9%
Disagree	9	8%
Strongly disagree	17	15%
Total	113	100

Figure 5.7: Finance distress in municipalities hamper the implementation of PM&E
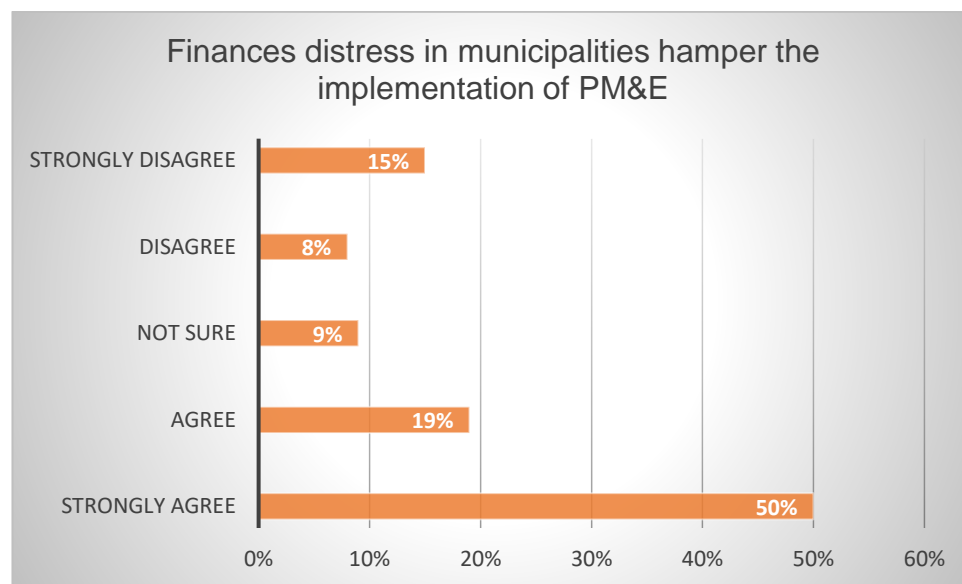
The researcher asked this question with the intention of finding out how Public Finance Management is considered within Capricorn District Municipality. For this question, a large proportion of respondents constituting 56 (50%) said that they *'strongly agreed',* 21 (19 *'agreed';* 17 (15%) respondents held totally different views as they '*strongly disagreed'*

and 9 (8%) *disagreed* that finance distress in municipalities hamper the implementation of performance, monitoring and evaluation endeavors.

5.2.3 The consequences of poor implementation of PM&E

In posing this question the researcher wanted to find out whether community members are satisfied by the services that are being rendered to them by the municipality.

Table 5.8: Community members are satisfied with the municipal service delivery

Response	Number of Participants	Percentage Total
Strongly agree	26	23%
Agree	27	24%
Not sure	24	21%
Disagree	7	6%
Strongly disagree	29	26%
Total	113	100

Figure 5.8: Community members are satisfied with the municipal service delivery
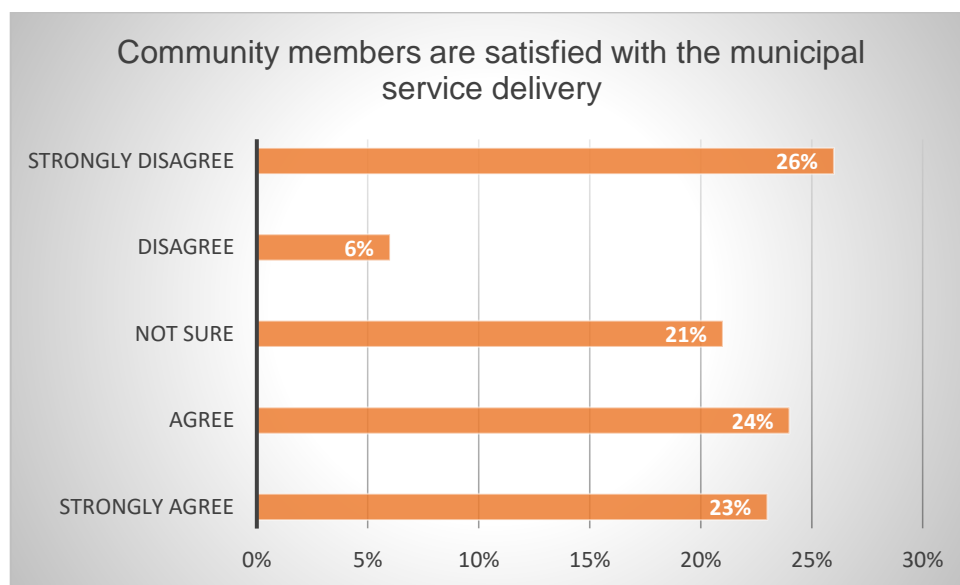
Naturally, satisfying human beings' wants and need is a very difficult task for the government but at the same time, the government can try and provide the best they can

and this question was raised to find out the level of satisfaction that community members have from the services being rendered to them by the Capricorn District Municipality. From the Figure 5.8 above, it is seen that 26 (23%) 'strongly agreed' that community members are satisfied with the municipal service delivery and 27 (24%) also indicated they 'agreed' to this assertion as well. On the other hand, however, 24 (21%) said that they are 'not sure' if or whether community members are satisfied with the municipal service delivery, while 29 (26%) said that they 'strongly disagreed' and 7 (6%) that community members are receiving from the services being rendered to them by the Capricorn District Municipality.

Figure 5.9: Community members have sufficient information on the overall PM&E

Community members have sufficient information on the overall PM&E

Response	Percentage
STRONGLY DISAGREE	58%
DISAGREE	23%
NOT SURE	5%
AGREE	12%
STRONGLY AGREE	2%
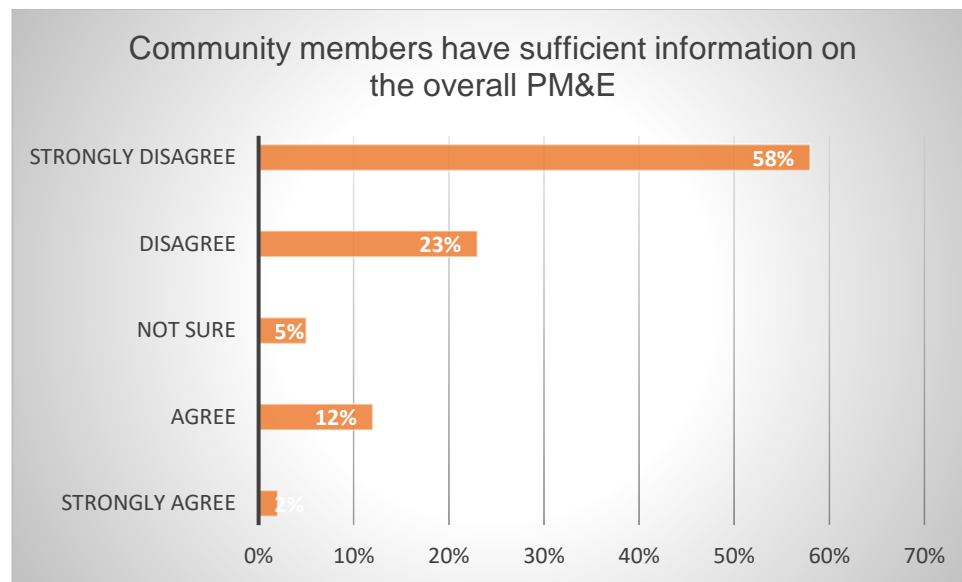
The responses gathered on this question leaves a lot to be questioned on how the municipality's operations are being conducted at Capricorn District Municipality. When asked about community members have sufficient information on the overall performance, monitoring and evaluation, majority of respondents 68% said they '*strongly disagree';* 23% '*disagree'* and about 12% *agreed.*

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Table 5.10: There is alignment of programmes/projects, such as PM&E, PMS, IDP and LED

Response	Number of Participants	Percentage Total
Strongly agree	2	2%
Agree	21	19%
Not sure	34	30%
Disagree	17	15%
Strongly disagree	39	35%
Total	113	100

Figure 5.10: There is alignment of programmes/projects such as PM&E, PMS, IDP and LED
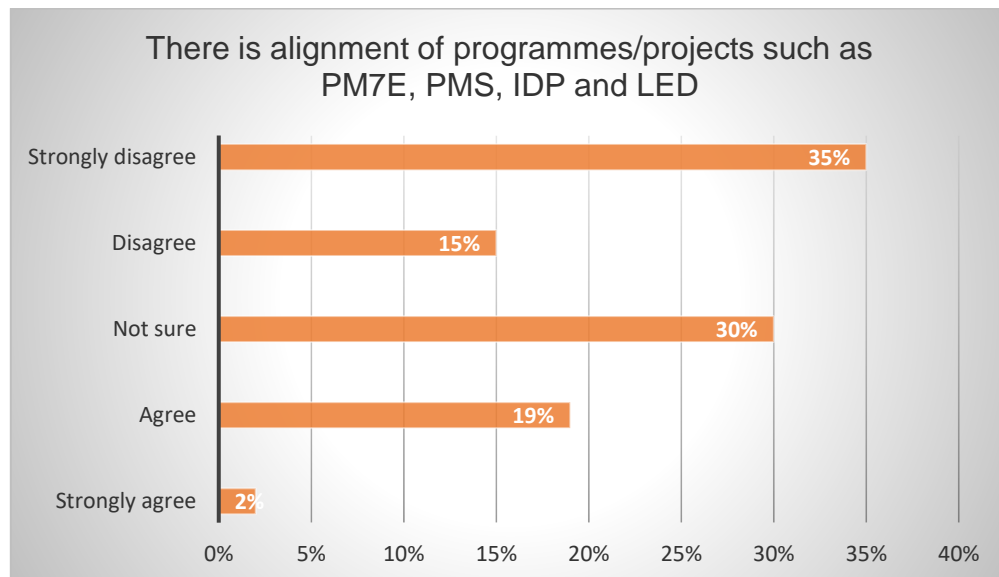
Coordination of programs for the municipality is essential if the municipality genuinely aims to achieve growth, productivity and providing better services to its people. The researcher asked this question to find out if there is alignment of programmes/projects such as PM&E, PMS, IDP and LED. Thirty-nine (39) constituting (35%) of the respondents indicated that they '*strongly disagreed';* 34 (30%) said that they are '*not sure';* 21 (19%) *'agree';* seventeen (17) constituting (15%) *'disagreed'* and only 2 (2%) '*strongly agreed'*

to this assertion. These responses help in alerting that there are avenues that ought to be aligned to best address issues of service delivery at Capricorn District Municipality.

Table 5.11: A senior person is leading the PM&E unit in influencing decision-making process

Response	Number of Participants	Percentage Total
Strongly agree	18	16%
Agree	29	26%
Not sure	15	13%
Disagree	25	22%
Strongly disagree	26	23%
Total	113	100

Figure 5.11: A senior person is leading the PM&E unit in influencing decision-making process
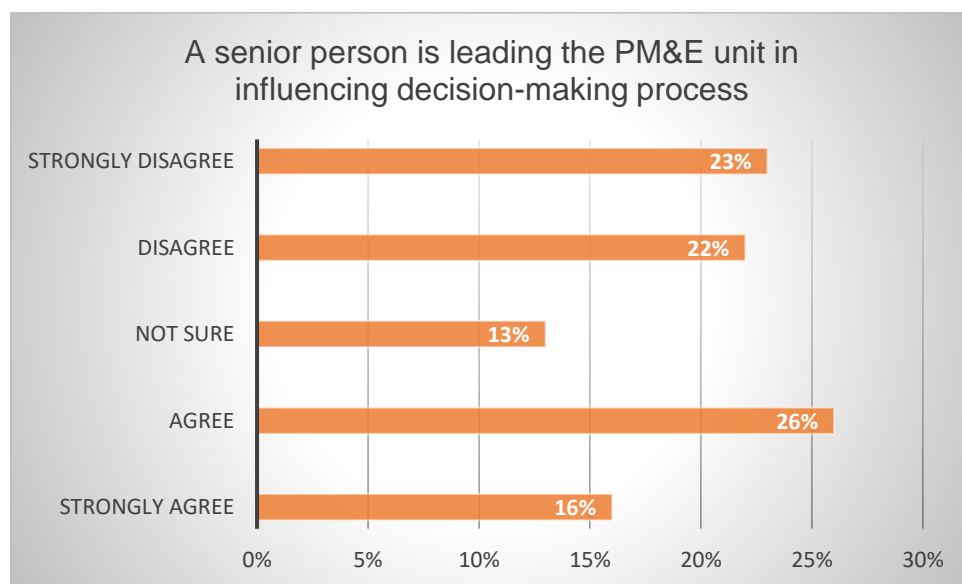
For this question on whether a senior person is leading the PM&E unit in influencing decision-making process, 29 (26%) said they *'agreed'*; 18 (16%) *'strongly agreed'*; 26 (23%) *'strongly disagree';* 25 (22%) *'disagreed',* with 15 (13%) *'not sure'*.

Table 5.12: Municipal service delivery protest will continue due to challenges of ineffective PM&E

Response	Number of Participants	Percentage Total
Strongly agree	25	22%
Agree	19	17%
Not sure	8	7%
Disagree	23	20%
Strongly disagree	38	34%
Total	113	100

Figure 5.12: Municipal service delivery protest will continue due to challenges of ineffective PM&E
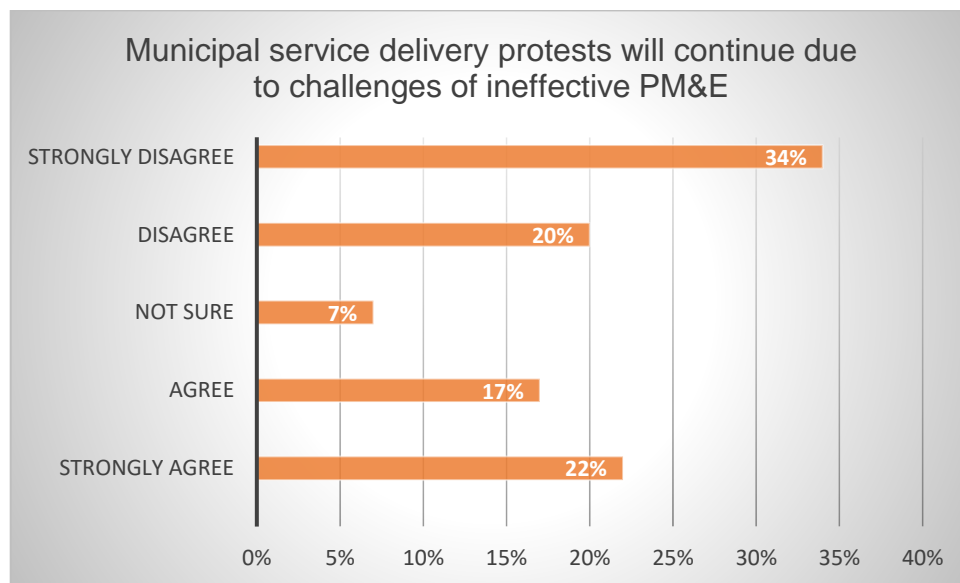
A high percentage of respondents seemed to be very optimistic when asked whether service delivery protest will continue due to challenges of ineffective PM&E at Capricorn District Municipality. Most respondents 38 (34%) '*strongly disagreed';* 25 (22%) *'strongly*

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agreed'; twenty-three (23) constituting (20%) *'disagreed'* and 19 (17%) *'agreed';* while 8 (7%) were *not sure.* These responses show the dilemma in striking a balance among those who agree and those who do not; this means that there is a fair chance of continuing service delivery protests at Capricorn District Municipality.

5.2.4 The strategies that can be recommended to improve PM&E on municipal service delivery

In this theme, the researcher presents the data regarding strategies that can be recommended to improve PM&E on municipal service delivery. The data in this theme is presented in tabular format with frequencies and percentages, followed by a brief synthesis.

Table 5.13: When PM&E is implemented effectively, there is an effective flow of information feed from municipalities to communities

Response	Number of Participants	Percentage Total
Strongly agree	57	50%
Agree	26	23%
Not sure	17	15%
Disagree	9	8%
Strongly disagree	4	4%
Total	113	100

Figure 5.13: When PM&E is implemented effectively, there is an effective flow of information feed from municipalities to communities

When PM&E is implemented effectively, there is an effective flow of information feed from municipalities to communities

Response	%
STRONGLY DISAGREE	4%
DISAGREE	8%
NOT SURE	15%
AGREE	23%
STRONGLY AGREE	50%
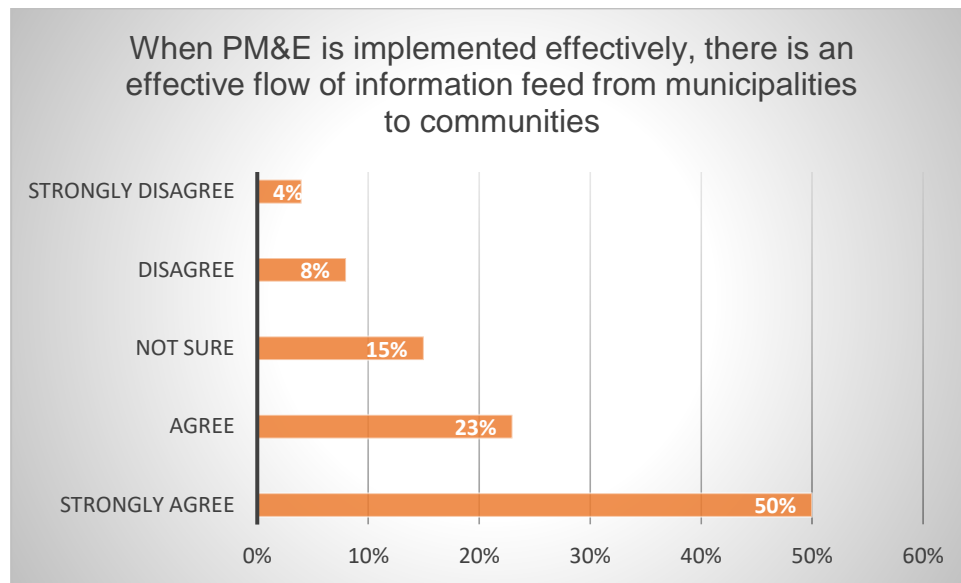
A great proportion of respondents, 57 (50%) said they *'strongly agreed';* 26 (23%) *'agreed'*, 17 (15%) are *not sure;* 4 (4%) *'strongly disagreed'* and 9 (8%) *'disagreed'* to this assertion altogether.

Table 5.14: Community and stakeholder participation assist in identifying areas of potential and immediate intervention in municipal service delivery

Response	Number of Participants	Percentage Total
Strongly agree	56	50%
Agree	15	13%
Not sure	16	14%
Disagree	9	8%
Strongly disagree	17	15%
Total	113	100

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Figure 5.14: Community and stakeholder participations assist in identifying areas of potential and immediate intervention on municipal service delivery
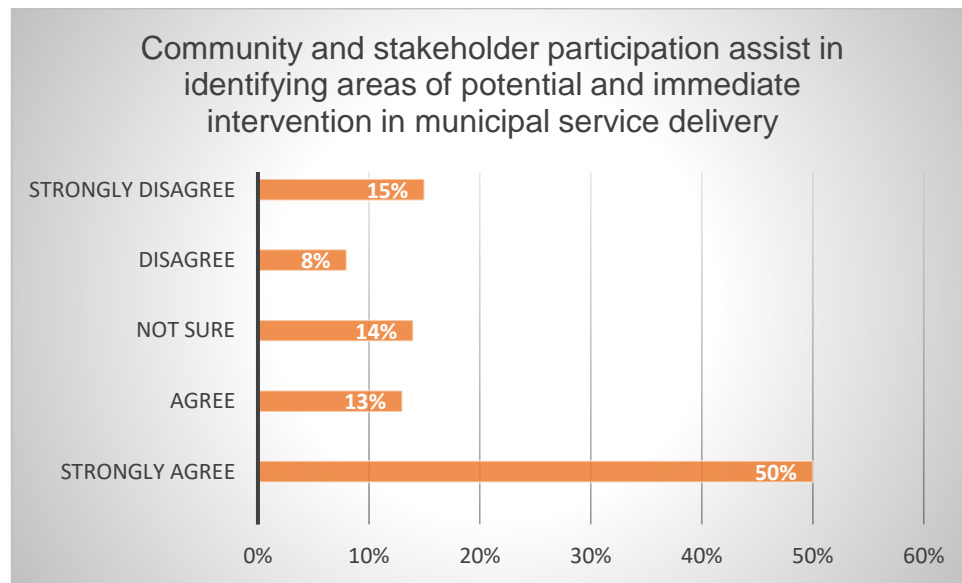
The researcher asked this question with the intent to find out if community and stakeholder participation assist in identifying areas of potential and immediate intervention in municipal service delivery at Capricorn District Municipality. From the responses, 56 (50%) '*strongly agreed';* 15 (13%) '*agreed';* 17 (15%) '*strongly disagreed'*; 9 (8%) *disagreed* and 16 (14%) are '*not sure'* about community and stakeholder participation at Capricorn District Municipality.

Table 5.15: PM&E is a comprehensive mode for the municipal service delivery support to foster interlinking relationships

Response	Number of Participants	Percentage Total
Strongly agree	67	59%
Agree	15	13%
Not sure	7	6%
Disagree	5	4%
Strongly disagree	19	17%
Total	113	100

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Figure 5.15: PM&E is a comprehensive mode for the municipal service delivery support to foster interlinking relationships
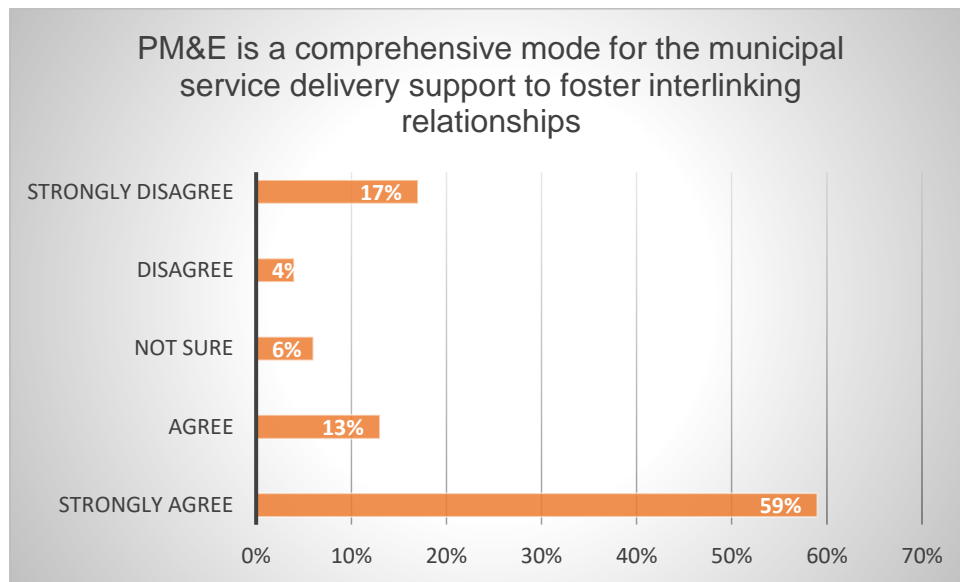
Majority of respondents 67 (59%) indicated they '*strongly agreed';* that PM&E is a comprehensive mode for municipal service delivery support to foster interlinking relationships. With the rapid failure of municipalities in South Africa, the researcher hold the view that the other 19 (17%) held contrasting views due to the mismanagement of the Capricorn District Municipality in recent times. In addition, 15 (13%) *agreed*; 5 (4%) *disagreed* and 7 (6%) were *not sure.*

Table 5.16: Communities must take a more active role in cooperation with and support for municipalities

Response	Number of Participants	Percentage Total
Strongly agree	62	55%
Agree	23	20%
Not sure	4	4%
Disagree	9	8%
Strongly disagree	15	13%

Total	113	100

Figure 5.16: Communities must take a more active role in the cooperation and support of municipalities
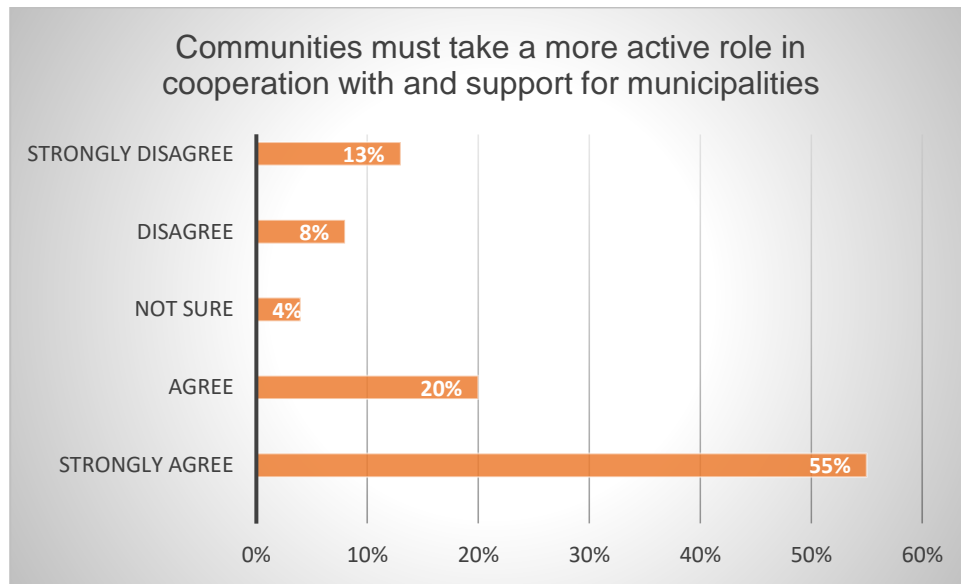
It must be understood that communities also have very critical roles and duties to fulfil if they are to receive better and improved services. The issues revolving around service delivery need cooperation from both sides, that is, those who are tasked with providing the services and those who are receiving these services. The researcher posed this question to find out the perception of the community members about the roles that they are entitled to play so that they can be better placed to receive services from the municipality. The affirmation from most of the respondents indicated that community members within Capricorn District Municipality fully understand their obligations and duties well. A large percentage of the respondents for this question 62 (55%) indicated that they *'strongly agreed';* 23 (20%) *'agreed';* 15 (13%) *'strongly disagreed';* 9 (8%) *disagreed* and 4 (4%) were *not sure.*

Table 5.17: COGTA to take initiative in skilling staff and communities on PM&E

Response	Number of Participants	Percentage Total
Strongly agree	28	25%
Agree	68	60%
Not sure	8	7%
Disagree	-	-
Strongly disagree	9	8%
Total	113	100

Figure 5.17: COGTA to take initiative in skilling staff and communities on PM&E
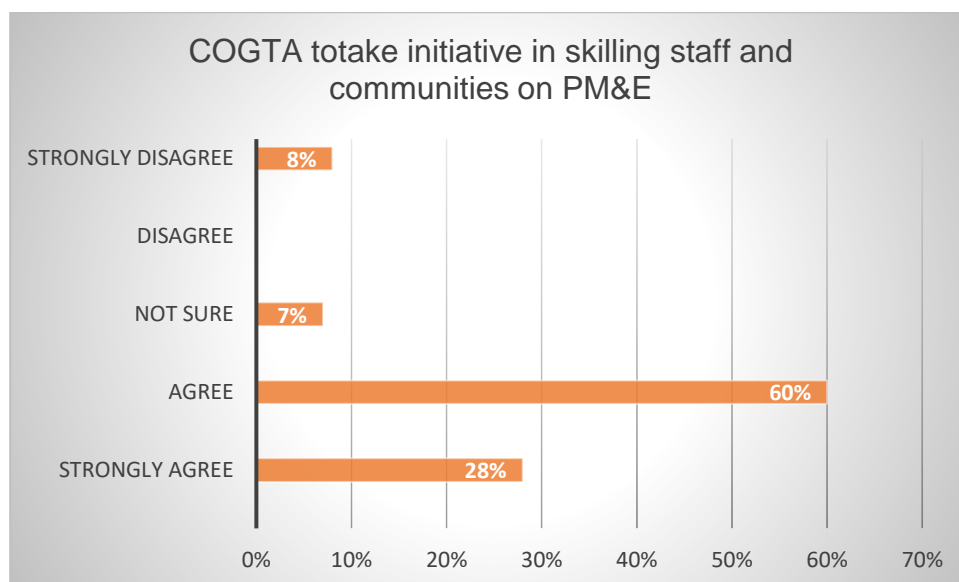
When asked on the role of Department of Cooperative Governance and Traditional Affairs (COGTA's) initiative in skilling staff and communities on PM&E, majority of respondents 68 (60%) *'agreed'* that the Department has made efforts in skilling staff and communities on performance, monitoring and evaluation. In complete opposite to the views of the majority were those who *'strongly disagree'* at 9 (8%); twenty-eight (28) constituting (25%) *strongly agreed;* however, 8 (7%) of the respondents indicated that they were '*not sure'* of the role of COGTA in skilling staff and communities in Capricorn District.

SECTION B: THE ROLE OF PERFORMANCE, MONITORING AND EVALUATION WITHIN MUNICIPAL SERVICE DELIVERY

This section presents the data collected through the interviews. The data collected was analysed thematically and presented in a narrative form.

5.5   QUESTION 1: WHAT IS THE ROLE OF PM&E ON MUNICIPAL SERVICE DELIVERY?

The views gathered from respondents on the role of PM&E on municipal service delivery are evidence that proper implementation of PM&E is conducive for effective service delivery.

Majority (78%) of respondents agreed that good service delivery will lead to happy communities, meaning less service delivery protests/strikes/demonstrations, therefore, the impact is that challenges will be identified quickly; 32% of the respondents disagreed and indicated that GWM&E system affects the implementation of service delivery and defeats early warning signs of poor municipal service delivery. The PM&E, however, embraces and complements management to assure effective and efficient implementation of municipal service delivery. The same respondents (78%) agreed that services will run smoothly, needs of the community will be catered for, thereby, the community will have access to information, for good governance and sustainability. Respondents therefore suggested that the municipality should be strengthened to increase the level of municipal service delivery on PM&E.

In addition, all respondents agreed that the projects are done and meet the needs of the community; this ensures there is compliance from service providers and enhancement of efficiency and effectiveness. Subsequently, the municipality ensures effective and efficient use of resources and track progress of programs, as well as ensuring transparency and fostering public trust. These practices contribute towards providing a more focused oversight and support role to sister local municipalities which copy these good practices. The contribution by CDM on the promotion of the role of PM&E on municipal service delivery has improved significantly since the inception of the GWM&E policy framework.

5.6   QUESTION 2: WHAT IS THE SIGNIFICANCE OF PM&E ON MUNICIPAL SERVICE DELIVERY?

Capricorn District Municipality is faced with several challenges in the implementation of PM&E as indicated in the gathered responses. It is plausible to say that, being faced by several challenges is an obstacle to service delivery at Capricorn District Municipality. Similar finding were reported by Luthuli (2005) that, policy implementation in South Africa has not been as successful as policy formulation. It is also concluded that a performance measurement and management system could lead to better performance of public sector institutions, however, there is a need to monitor the PM&E closely to achieve improved performance on service delivery.

Majority of respondents (84%) agreed that it is important to have PM&Es that will minimize lack of knowledge, capacity and education within senior management and public officers. Having programs and policies that lead to desired results and outcomes in municipal IDPs, hence, will be most significant for the development of municipal service delivery. Ten percentage (10%) disagreed that stakeholders can direct their municipalities in the right direction for achieving the desired objectives. They further alluded to the fact that they do not see the significant of PM&E since what the municipality is doing is not based on their instructions and any corrective measures to address the identified implications and problems are not provided to them, timeously. Six percentage (6%) indicated that no senior manager is heading PM&E, hence there is no influence upper-level decision-making. The PM&E is located within the PMS and senior managers do not buy into the PM&E program. There is an indication that one of the challenges faced by local government is lack of knowledge, capacity and relevant qualification by senior managers. Ninety nine (99%) of the respondents indicated that there is no value for money in supply chain management, in that service providers are not compliant; this is an indication that there is a lot of corruption in the system.

5.8 QUESTION 3: WHAT ARE THE CAUSES OF THE PM&E CHALLENGES?

The causes of challenges with the performance, monitoring and evaluation lie chiefly in the hands of the people (employees and officials) tasked to design and implement these

performance, monitoring and evaluation tools. A look at the responses is evidence that Capricorn District Municipality's offices are staffed with people who do not have the capacity to carry out their tasks. In this regard, Jones (2011) reported similar findings where it was said that Performance, Monitoring and Evaluation challenges arise from the lack of understanding of what PM&E entails, which limits people's undertaking of their PM&E-related tasks.

Majority of respondents (88%) agreed to the fact that an unskilled workforce has been appointed, thereby, the municipality has a lot of wrong people doing jobs and that poses a major challenge to the entire municipal service delivery. With the development of the strategic plan the commissioning of outcomes/outputs/activities, this is assisting the process of PM&E. Resulting from the unskilled and unqualified manager, there are unclear and unspecified roles and responsibilities in the monitoring and evaluation processes at the beginning of projects to be executed. In addition, poor measuring tools of performance, poor analytical skill of data to be evaluated in improving service delivery are perpetually identified challenges. As a result, there is poor planning and commitment in ensuring that the implementation is well executed.

The minority (12%) disagreed that managers ignore their responsibilities. There is capacity at CDM for taking ownership of PM&E for effective implementation and senior managers assist PM&E officials in monitoring all the projects all the time. The overall cause that respondents identified that contributes towards PM&E challenges is lack of delegation of authority. In addition, unskilled officials are given responsibilities which are too complex for them to carry, with unclear directives. There is also poor measuring tools, poor quality analytical data and poor planning regarding PM&E. It is, therefore, suggested that PM&E training should be provided to relevant officials, especially senior managers. In addition, a PM&E branch should be established and capacitated to allow both bottom-up and top-down approaches to unfold.

QUESTION 4: WHAT ARE THE CONSEQUENCES OF POOR IMPLEMENTATION OF PM&E?

Poor implementation of performance, monitoring and evaluation tools has a myriad of negative consequences on the whole service delivery machinery because when implementation fails, that will mean that everything will also disintegrate. Implementation of performance, monitoring and evaluation strategies are therefore regarded as the foundation under which the entire service delivery obligation rests upon.

The consequences of poor implementation of PM&E on municipal service delivery are continued dissatisfaction among communities and service delivery protests/strikes. Lack of compliance with legal and regulatory requirements, poor service delivery and lack of intervention mechanisms are also key challenging factors. When reconciliation of finances is done, overspending and underspending of budget and using incorrect funds for the wrong projects are always indicated. Sixty percentage (60%) of the respondents agreed that the community members are not satisfied with service delivery, as well as the flow of information on the overall PM&E practices. This results in an increase in service delivery protests. On the other hand, 40% disagreed and indicated that they are satisfied with the implementation of PM&E. It is, therefore, suggested that PM&E programmes should be supported through the provision of regular workshops, for staff, for sustainability.

QUESTION 5: WHAT DO YOU THINK ARE STRATEGIES THAT CAN BE USED TO IMPROVE PM&E ON MUNICIPALITIES?

The synergy or connection between various departments within Capricorn District Municipality is an essential ingredient for improving performance, monitoring and evaluation mechanisms for effective and efficient service delivery. Several strategies were hinted at by the respondents and these responses all come to two basic requirements for Capricorn District Municipality – community participation and adhering to the rule of law, so that laws and policies are followed and strictly implemented.

Most respondents agreed that training of all employees, management and relevant stakeholders, on basic requirements of PM&E, coupled with a good planning process should be provided on a regular basis. In addition to the training, the CDM must establish a coherent interdepartmental collaborations to develop quality assurance. The elimination of a silo mentality around management strategies will improve PM&E in general and its policies must be enforced to promote public participation. The Human Resources Management must appoint skilled and qualified personnel for effective implementation of PM&E and consultative forums should be established; these should include PM&E in the agenda.

5.11 QUESTION 6: TO WHAT EXTENT IS STAKEHOLDER RELATIONSHIP WITHIN MUNICIPALITIES SUPPORTING EFFECTIVE SERVICE DELIVERY?

The respondents did not seem clear in their responses regarding stakeholder relationship within municipalities, in pursuing effective service delivery. The researcher therefore holds the conviction that stakeholder relations with municipalities is an issue that is requiring proper attention in South African municipalities, at the present moment, so that citizens are made aware of their roles in service delivery. This might also point to the assumption that the idea of patronage, nepotism and cadre deployment has negatively affected the stakeholders' involvement, in as far as service delivery issues are concerned.

During the group discussion, members pointed out that there must be a more focused stakeholder relationship. Regular consultations with the community are very vital as this will improve data collection and capturing during interactive engagements with stakeholders. There is a need to re-engineer the process of data analysis and reporting system to assist in evaluating current processes against historical and future trends. This action will improve the level of commitment among personnel of the municipality and early warning systems must be developed and continue to be monitored. The municipality will, then receive even funding from outsiders due to cordial relations with stakeholders, which in turn will result in good service delivery. The municipality should be able to compare the performance of different public institutions in government with its current and prior performance; it should also be able to compare actual results with targeted performance

level as set out by the controlling structure. Accountability will then improve, as a result of effective stakeholders' relationship.

CHAPTER 6

CONCLUSION AND RECOMMENDATIONS

6.1   INTRODUCTION

In this chapter, a conclusion of the study and the recommendations thereof are presented on the role of performance, monitoring and evaluation on municipal service delivery in Capricorn District Municipality, Limpopo Province. This chapter concludes the study and draws together the conclusion and recommendations concerning the rational of the problem statement.   During the discussions, the researcher will also suggest recommendations for policy and practice as well as for future research studies on related subjects.

One of the major findings of this study pertains to management of municipalities in South Africa which has recently seen more than 150 municipalities across the country being placed under administration. Such findings show that maybe there is a need for the South African government to change how it administers the day-to-day operations of municipalities in the country for the better delivery of services to South Africans at large.

6.2   OVERVIEW OF THE STUDY

The specific objectives of this study were:

- To ascertain the role of PM&E on municipal service delivery;
- To examine the significance of PM&E on service delivery in municipalities;
- To establish the challenges faced by local government in the implementation of PM&E;
- To evaluate the consequences of poor implementation of PM&E;
- To examine PM&E location within Public Administration; and
- To recommend strategies that can be used to improve PM&E on municipal service delivery.

Six research questions and research objectives emerged from the description of the problem statement to determine the nature of the discussions that were to be dealt with in each chapter. Based on the interdependence and link between the problem statement, research questions and objectives and the units of analysis and observation, it, therefore can be concluded that chapter 1 laid a solid foundation for this study. It has successfully done so in that it laid the foundation for the discussions from the literature review that was carried out in chapter 2; the research design and methodology that was described elaborately in chapter 3; on data presentation, analysis and interpretation of findings of the study in chapter 4; presentation on the role of performance, monitoring and evaluation on municipal service delivery in chapter 5 and on the findings, conclusion and recommendations laid out in chapter 6. The purpose of this study was to determine the role of Performance, Monitoring and Evaluation on municipal service delivery in Capricorn District Municipality, Limpopo Province.

6.3   RECOMMENDATIONS OF THE STUDY

The following section recommends strategies that can be used to improve on service delivery which are based on the findings of the study.   The recommendations are clustered around the research questions of the study, which are - to ascertain the role of PM&E on municipal service delivery; to determine the significance of PM&E on municipal service delivery; to establish the challenges faced by local government in the implementation of PM&E; to define the consequences of poor implementation of PM&E; and to recommend the strategies that can be used to improve PM&E on municipal service delivery.

6.3.1 Recommendation of the study on the role of PM&E on municipal service delivery

Majority of respondents (35%) indicated that there is alignment of programmes/projects such as PM&E, PMS, IDP and LED, therefore, monitoring and evaluation processes are clearly outlined. This finding implies that most employees are aware that the Department has instituted monitoring and evaluation processes that need to be adhered to. From the researcher's experience, these processes are prescribed in departments' Monitoring,

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Evaluation and Reporting Guidelines (2018) and they are meant to guide employees on how they should perform their daily tasks. These processes also provide for the types of behaviour and work standards to which employees should abide. The awareness by a majority of employees that monitoring and evaluation processes are clearly outlined is an indicator of effective implementation functions which are supported by appropriately designed internal controls. To sustain this level of awareness, senior managers need to ensure that these guidelines are periodically reviewed to keep them abreast with the changes in employee behaviour and other types of internal risks. It is also necessary to ensure that employees are constantly made aware of the changes to the guidelines, their responsibilities in ensuring that the processes are adhered to and about the sanctions that may be imposed for failure to adhere to the guidelines.

6.3.2 Recommendations of the study on the significance of PM&E on municipal service delivery

Government-Wide Monitoring and Evaluation (GWM&E) as a policy framework integrates effective implementation that is significant enough to impact Performance Management and Evaluation, on improving service delivery within Capricorn District Municipality (CDM). The researcher recommends that GWM&E and PM&E should be integrated to ensure an effective implementation of the role of PM&E on improving service delivery, within CDM.

The researcher also recommends that the internal policies intended for the effectiveness of municipal service delivery should be prioritised within the IDP requirements. The internal policies within CDM are recommended to be organised to match the strategic plans and the IDP. The Department of Performance, Monitoring and Evaluation (DPME) is providing a more focused oversight and support role to municipalities, hence, the researcher recommends that CDM should, always coordinate their plans with those of the Provincial Government and to have a more focused reporting towards the National Government, in particular, the DPME.

6.3.3 Recommendations of the study on the challenges face by local government in implementing PM&E

Most of the senior managers within CDM do not have the relevant qualifications and skills to perform their duties and it poses a major challenge for the municipality's role in providing effective service delivery to the community. The researcher, therefore, recommends that when recruitment and selection is done, specifically for senior positions, thorough screening of qualifications and skills should be done to eliminate the problem of incompetency.

It is also very necessary for communities and other relevant stakeholders to play a role in the decision-making process of the municipality to curb problems related to service delivery protests. The researcher recommends that in providing effective municipal service delivery, the municipality must involve communities and relevant stakeholders to make them understand the chain of command for effectiveness. The communities and relevant stakeholders will then understand and know their role in municipal service delivery, thereby, eliminating blockages in the system and ensure internal and external support.

The researcher also recommends that workshops be held regularly on the implementation of programmes such as PM&E, and compliance of policies, such as those related to financial management. The idea of holding such workshops is to reduce finance distress in CDM and less hampering of the implementation of PM&E endeavors. PM&E is performed by multiple role players whose roles and responsibilities co-exist. This may be construed as a duplication of functions, the researcher, therefore, recommends that in conjunction with the above-mentioned workshops, role clarifications should be addressed. This recommendation will assist all relevant stakeholders to understand the roles that are performed by different role players in the implementation of PM&E. To sustain this understanding, it is necessary for senior managers to ensure that the roles and responsibilities of employees in different occupations, levels of interaction and of various internal and external committees and oversight institutions are defined in the Monitoring and Evaluation Guidelines. If the roles and responsibilities are clearly defined,

each role player will be acquainted with his /her scope of work and how they can co-exist with each other.

6.3.4 Recommendations of the study on the consequences of poor implementation of PM&E

The responses showed inadequate implementation of PM&E and the outcomes there. The researcher recommends that viable mechanisms, such as Performance Monitoring: A Critical Management Tool, in improving the accomplishment of effective PM&E should be developed. Another viewpoint that the researcher recommends is that, since PM&E is said to be a new programme for development, M&E mediators ought to be incorporated into the internal auditors to fulfill the intervention mechanisms through which ineffectiveness will be eliminated. This recommendation will ease the implementation of PM&E. Naturally, satisfying the communities' need is a very difficult task for any government, specifically, for CDM. The researcher, therefore, recommends that for CDM not to have regular service delivery protests, community communication and coordination should be reinforced; communities need to have information about their municipality. That will increase the level of satisfaction within CDM.

Coordination of programmes/projects for the municipality is essential if the municipality genuinely aims to achieve growth, productivity and provide better services to its people. The researcher recommends that CDM should have alignment with all their programmes/projects such as PM&E, PMS, IDP and LED. The alignment of programmes/projects is a way of assisting in identifying avenues that need further investigation; programmes ought to be aligned to best address issues of service delivery at CDM. The researcher recommends that senior manager should head PM&E unit to influence decision-making process.

6.3.5 Recommendation of the study on the strategies that can be used to improve PM&E on municipal service delivery

The research study found that ineffective flow of information in and around CDM, thus, the researcher recommends that the flow of information from the municipality to

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communities needs to be improved. Furthermore, the community and stakeholder participation will assist in identifying areas of potential and immediate intervention for municipal service delivery. A comprehensive mode for municipal service delivery support to foster interlinking relationships should be enhanced.

It must be understood that the communities also have very important roles and duties to fulfil if they are to receive better and improved services. The issues revolving around service delivery need cooperation from both sides, that is, those who are tasked with providing the services and those who are receiving these services. Given the affirmation from most of the respondents as to whether community members within CDM fully understand their obligations and duties well, the researcher recommends that, the municipality should cooperate and support communities.

The researcher discovered that CDM needs the support of Department of Cooperative Governance and Traditional Affairs (COGTA) on an initiative in skilling staff and communities on PM&E, the researcher recommends that COGTA must play a role in skilling municipal staff and communities within CDM. Performance, monitoring and evaluation help to improve service delivery as it promotes accountability and transparency, therefore, the researcher recommends that communities should be made aware of the benefit of an effective PM&E - effective municipal service delivery.

In addition, the following recommendations on - financial monthly reports, promotion of accountability and transparency, annual reports and principles of *Batho Pele* - are made hereunder.

6.3.6 Recommendation of the study on the Usefulness of Monthly Financial Reports

Another finding by 67% of the respondents shows approval for the accommodation of month-to-month monetary reports to the National Treasury. This recommendation connects to the one wherein majority of the respondents at 90% attested that financial submissions are less administered, thereby causing an ineffective PM&E. The recommendation conflicts with 52% of the respondents who called attention to the fact

that there was no incentive to submit quarterly performance reports to oversight officials. The hidden explanation behind the distinction between these two responses might be because of the National Treasury focusing on Financial Reports over execution reports and as such restricted input being given for performance reports.

Another reason for the differences in the responses might be because respondents place more significance on financial reports over performance or execution of duties reports. Nonetheless, regardless of whether the submission of the reports to the National Treasury is helpful or not, this is a strategy issue from which supervisors cannot be pardoned. To support this finding, severe measures, through which endeavours are made to present all the reports by endorsed dates, should be created. The Auditor-General needs to guarantee that whoever is assigned this obligation is offered time to set up the reports, submit them eventually and that the records of such entries are always kept secure for future reference in implementing performance and evaluation mechanisms at Capricorn District Municipality.

6.3.7 Recommendation of the study on the promotion of Accountability and Transparency

A majority of respondents in this study, 60%, insisted that there should be compulsory performing reviews that would assist the CDM not to have qualified audit reports from time-to-time. This finding is legitimate, given the self-rule with which the Auditor-General office performs its responsibilities. Having characterized the jobs of the Auditor-General in the Monitoring and Evaluation Guidelines, it is up to the occupant to educate recently-designated supervisors about the forces and jobs of the Auditor General and specifically how the Auditor-General fortifies the monitoring and evaluation capacity of the Municipality. The extent of this intercession might be widened to parts of the PSC and PM&E that are in South Africa are mandated to reinforce the usage of monitoring and evaluation and to help public institutions to proficiently and successfully deliver services.

6.3.8 Recommendation of the study on the usefulness of Annual Reports

An Effective implementation of monitoring and evaluation at Capricorn District Municipality is also demonstrated by a proportionate majority of 62% respondents whose opinions were that the format of the annual report is useful. As explained in the literature review in chapter 2 the development of the format of the annual report is the competence of the PM&E and as such it is beyond the scope of the functioning of the department. Nonetheless, it is impressive that majority of employees found annual reports useful. It may be a best practice if the PM&E can periodically review the format of the annual report to ensure that it comprehensively gathers the types of information that is required by the users, especially, ordinary members of the public who depend on annual reports to undertake their citizenship responsibilities.

6.3.8 Recommendation of the study on the principles of *Batho Pele*

The research study recommends that role-players of PM&E should be given the opportunity to participate in the decision-making of government, in particular, local government. There is a great need to ensure that the role-players are made aware of the concept of PM&E. One of the findings revealed that some respondents 26 (23%) strongly disagreed that senior people are leading the PM&E in influencing decisions at top management in the CDM. The study also found that role-players are consulted, but not given sufficient information about PM&E. The researcher therefore recommends that the municipality prioritises on the development of PM&E. This will ensure positive participation and greater influence on the decision-making process, both as bottom-up and top-down approaches.

The municipality is adhering to the implementation of the principles of *Batho Pele* which stipulate that all stakeholders should be engaged in the transformation of the public service, however, a lot still needs to be done. The researcher recommends that there should be consultations with all stakeholders to ensure improvement in the quality of service. This will assist in addressing the challenge on the inadequacy of information and access to service, officials will then demonstrate high levels of behaviour, attitude and ethical behaviour. Information is one of the powerful tools for effective service delivery,

therefore, it must be provided in a manner that is most suited to the needs of the people. The researcher recommends that communities need to be informed about how government (corporate governance) is run. This will assist in promoting openness and transparency, including redressing the institutions and thereby promoting value for money to encourage public servants in prioritising the use of government resources.

6.4   RECOMMENDATIONS FOR FUTURE STUDIES

The aim of the study was to investigate the role of PM&E on municipal service delivery and to recommend effective strategies that can be used to improve service delivery. The research study was conducted at Capricorn District Municipality (CDM), Limpopo Province. The following sections look at recommendations for future research studies based on the findings of the study.

The PM&E is regarded as a new concept and a new programme by the majority of the respondents. It was found that in the research study senior managers do not influence decision-making process from the top. It is therefore recommended that PM&E as a unit should be established in all municipalities. The PM&E unit should be headed by a senior manager who will be able to influence decisions towards the implementation of an effective PM&E.

The researcher also recommends that future researchers should conduct more studies on the objectives of the study that the researcher had identified - to ascertain the role of PM&E on municipal service delivery; to determine the significance of PM&E on municipal service delivery; to establish the challenges faced by local government in the implementation of PM&E; to define the consequences of poor implementation of PM&E, and to recommend the strategies that can be used to improve PM&E on municipal service delivery.

To ensure the effectiveness of the implementation of the programme on the role of PM&E on municipal service delivery, there should be buy-in from top management and political leadership. The researcher recommends that the same research study should be conducted in other municipalities, with the same topic to get more information about the

role of PM&E on municipal service delivery. The findings will assist local government to realise their strengths, weaknesses, opportunities and threats towards the implementation of PM&E.

6.5   CONCLUSION

A revisit of the objectives of the study is very crucial at this stage to measure the extent or degree to which the researcher managed to achieve the objectives of the study. The research report consists of six (6) chapters. Chapter 1 was about introduction and background of the study. The background of the study indicated that the Cabinet gave the Department of Performance, Monitoring and Evaluation (DPME) through the Department of Cooperative Governance and Traditional Affairs (COGTA), the mandate to oversee the implementation of PM&E. As a result, DPME played a crucial role in the coordination of PM&E within government. The GWM&E policy framework was then introduced to provide an integrated framework of monitoring and evaluation principles and to deliver useful monitoring and evaluation systems to its users.

The reason the researcher chose this topic, is because of her previous experience in government wherein the programme of PM&E was disregarded. Policies and systems such as the GWM&E are there to guide the implementation of PM&E, however, this was not taken seriously, resulting in roles and clarification being overlooked. The researcher suggests that the PM&E unit must be led or headed by a senior manager, who will be able to influence decisions regarding PM&E. Special focus in this study has been placed on the rationale of the study, aim of the study, specific objectives of the study, and critical research questions of the study. The significance of the study, delimitations of the study, and limitations of the study were addressed. A preliminary literature was reviewed, definition of operational concepts, and the organization of the study were additionally presented.

The second chapter reviewed literature relevant to the role of PM&E on municipal service delivery. The chapter presented the theoretical framework of the study, an overview of the theory of change (TOC) and a discussion around the perspective of PM&E. This chapter also presented relevant legislation and policy and their importance in the study

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followed by the characteristics, development and challenge on PM&E around relevant legislation for the promotion and maintenance of proper service delivery to communities. It was therefore imperative to discuss and present the *Batho Pele* principles with the notion of reviewing pieces of the legislation on The White Paper on Transforming Public Service Delivery, 1997. Section 1.1.1 of the White Paper on Transforming Public Service Delivery, 1997 sets out eight transformation priorities among which transforming service delivery is the key. This can be done through focusing on - consultation, service standards, access, courtesy, information, openness and transparency, redress as well as value-for-money. The *Batho Pele* principles targeted these for improved service delivery and in ensuring that communities are put first through the implementation of PM&E.

The researcher also presented the IDP phases as processes indicating the relevance of the study. The Local Government: Municipal Planning and Performance Regulations Act, 2001 was viewed as detailing IDP for community participation action plan. It should be noted that before one starts the IDP planning process, municipalities must agree on the process. The researcher stated that the community's voice and input in the planning process often tends to be excluded or forgotten, resulting in an inclusive IDP.

The policy framework on PM&E was also presented. The policy framework on PM&E focused mainly on the GWM&E system which described the following components of the policy framework: programme performance information; social, economic and demographic statistics and evaluations. Each of these components are referred to as "data terrain" which can essentially be understood as sources of data. The researcher also linked the GWM&E system with other management systems, namely, MTEF and In-Year-Management, human resource planning, and annual reporting. What is important to note is that the GWM&E system defines the role and responsibilities of public sector bodies and officials in implementing the system. In addition to the GWM&E system, the principles and approaches of M&E were presented. The approaches of M&E include among others - result-oriented approach, constructivist approach, reflexive approach, and program theory. In this chapter, the researcher further presented the RSA Service Charter, 2013 (BSCBC Resolution 1 of 2013). The RSA Service Charter, 2013 (BSCBC Resolution 1 of 2013) is regarded as one of the effective ways in ensuring excellent,

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effective and efficient service delivery to the citizens, thus the researcher reviewed the objectives and the articles found therein. The RSA Public Service Charter, 2013 is a social contract, commitment and agreement between the State and public servants. It is in the researcher's opinion that to improve PM&E performance, the charter must be enforced to enhance and fast track the delivery of services to the communities. The last theme presented the empirical perspective on the contextual framework on PM&E, focusing on the research objectives of the study within the discipline of Public Administration.

The third chapter presented the research methodology that the researcher followed when conducting the research study. The chapter presented the research paradigm where a pragmatic research approach was used. The research design, wherein the researcher employed a narrative exploratory design and descriptive research design was explicated. The researcher used mixed research method to assist in answering the research questions that could not be answered by qualitative or quantitative research method alone. The quantitative research design assisted in answering research questions such as 'how many, how much and what extent', whereas the qualitative research design was used due to its focus on the participation of stakeholders, mutual learning and sharing of experiences. The study area, population of the study, sampling method and sampling size, data collection, pilot study, data analysis, as well as ethical consideration were presented in this chapter.

The fourth chapter offered data presentation, analysis and interpretation. This chapter was subdivided into two main sections, namely, Sections A and B. Section A presented the demographic characteristics of the participants, and Section B presented the quantitative findings on the impact of performance, monitoring and evaluation on municipal service delivery. Both sections in this chapter, hence, presented the participants' views on the role of performance, monitoring and evaluation on municipal service delivery.

The fifth chapter looked at the role of performance, monitoring and evaluation on municipal service delivery with particular attention to Capricorn District Municipality. In this chapter the researcher presented the findings gathered from the questionnaire that was distributed by the researcher; all the questions concentrated on the role of

performance, monitoring and evaluation on municipal service delivery in Capricorn District Municipality. The information was presented in graphical tabular format with frequencies and percentages, followed by a synthesis of the findings. This chapter was divided into four (04) themes which arose from the research objectives of the study - the role of PM&E on municipal service delivery; challenges faced by local government in the implementation of PM&E; the consequences of poor implementation on PM&E; and the strategies that can be recommended to improve PM&E on municipal service delivery.

In the last chapter of the study, the researcher presented the research findings, recommendations of the study, recommendations for future study and the conclusion of the study. The researcher presented an overview of the study which focused on the six research objectives of the study in the realization of the aim of the study. The study also found that PM&E is multidisciplinary in that it is of interest to researchers from different academic disciplines and as such, it is defined differently across disciplines. In South Africa, PM&E is a new phenomenon on which research is evolving. Progress and effective implementation of PM&E at CDM is demonstrated by cross-sectional findings as outlined in Tables 5.1 to 5.13. The roles and obligations regarding monitoring and evaluation are acquired from the legislation, therefore, both the internal and external role-players appreciate the administrative help that the legislation formally provides for them. Performance, monitoring and evaluation in the South African public sector is actualized to guarantee that there is an incentive for cash and to improve service delivery to fulfil the basic needs of the public, as stated in the Constitution, 1996.

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ANNEXURE A: RESEARCH PROPOSAL APPROVAL BY UHDC

UNIVERSITY OF VENDA

OFFICE OF THE DEPUTY VICE-CHANCELLOR: ACADEMIC

TO   : MR/MS M.J SETHU

SCHOOL OF MANAGEMENT SCIENCES

FROM: PROF. J.E CRAFFORD

DEPUTY VICE-CHANCELLOR: ACADEMIC

DATE : 20 APRIL 2021

DECISIONS TAKEN BY UHDC OF 20th APRIL 2021
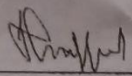
Application for approval of Thesis Proposal Report in Management Sciences: M.J Sethu (17018886)

Topic: "The Impact of Performance, Monitoring and Evaluation within Municipal Service Delivery: A Case Study of Capricorn District Municipality, Limpopo Province.

Promoter	UNIVEN	Prof. M.J Mafunisa
Co-promoter	UNIVEN	Dr. E. Mahole

UHDC approved Thesis proposal

DECISIONS TAKEN BY UHDC OF 20th APRIL 2021

PROF. J.E CRAFFORD
DEPUTY VICE-CHANCELLOR: ACADEMIC

University of Venda

ANNEXURE B: RESEARCH ETHICS CERTIFICATE

ETHICS APPROVAL CERTIFICATE

RESEARCH AND INNOVATION
OFFICE OF THE DIRECTOR

NAME OF RESEARCHER/INVESTIGATOR:

Ms MJ Sethu

STUDENT NO:
17018886

PROJECT TITLE: **The role of Performance, Monitoring and Evaluation on Municipal Service Delivery. A case study of Capricorn District Municipality, Limpopo Province.**

PROJECT NO: SMS/20/PDN/16/2110

SUPERVISORS/ CO-RESEARCHERS/ CO-INVESTIGATORS

NAME	INSTITUTION & DEPARTMENT	ROLE
Prof MJ Matunisa	University of Venda	Promoter
Dr E Mahole	University of Venda	Co - Promoter
Ms MJ Sethu	University of Venda	Investigator – Student

Type: **Doctoral Research**
Risk: **Minimal risk to humans, animals or environment**
Approval Period: **October 2020 – October 2023**
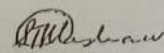
The Research Ethics Social Sciences Committee (RESSC) hereby approves your project as indicated above.

General Conditions
While this ethics approval is subject to all declarations, undertakings and agreements incorporated and signed in the application form, please note the following.
* The project leader (principal investigator) must report in the prescribed format to the REC:
  Annually (or as otherwise requested) on the progress of the project, and upon completion of the project
  Within 48hrs in case of any adverse event (or any matter that interrupts sound ethical principles) during the course of the project.
  Annually a number of projects may be randomly selected for an external audit.
* The approval applies strictly to the protocol as stipulated in the application form. Would any changes to the protocol be deemed necessary during the course of the project, the project leader must apply for approval of these changes at the REC. Would there be deviated from the project protocol without the necessary approval of such changes, the ethics approval is immediately and automatically forfeited.
* The date of approval indicates the first date that the project may be started. Would the project have to continue after the expiry date; a new application must be made to the REC and new approval received before or on the expiry date.
* In the interest of ethical responsibility, the REC retains the right to:
  Request access to any information or data at any time during the course or after completion of the project;
  To ask further questions; Seek additional information; Require further modification or monitor the conduct of your research or the informed consent process.
  withdraw or postpone approval if:
* Any unethical principles or practices of the project are revealed or suspected.
* It becomes apparent that any relevant information was withheld from the REC or that information has been false or misrepresented.
* The required annual report and reporting of adverse events was not done timely and accurately.
* New institutional rules, national legislation or international conventions deem it necessary

ISSUED BY:
UNIVERSITY OF VENDA, RESEARCH ETHICS COMMITTEE
Date Considered: September 2020

Name of the RESSC Chairperson of the Committee: Takalani Samuel Mashau

Signature:

UNIVERSITY OF VENDA
OFFICE OF THE DIRECTOR
RESEARCH AND INNOVATION
2020 -10- 2 4
Private Bag X5050
Thohoyandou 0950

University of Venda
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"A quality driven financially sustainable, rural-based Comprehensive University"

ANNEXURE C: PERMISSION TO COLLECT DATA CDM

CAPRICORN
DISTRICT MUNICIPALITY

41 Biccard Street
P O Box 4100
POLOKWANE
0700

Tel: (015) 294 1000
Fax: (015) 291 4297
Web: www.cdm.org.za
E-mail: info@cdm.org.za

Reference No: 4/4/R

Enquiries: N Karelse

19th October 2020

University of Venda
PO Box 5050
Thohoyandou
0950

Attention: Ms. MJ Sethu

1. We acknowledge receipt of your letter dated 05 October 2020.

2. The municipality hereby grants permission to collect information for your research.

3. Please ensure that all ethical protocols are followed in conducting your study.

4. Kindy liaise with our Executive Manager: Strategic Executive Management Services Ms. Thuso Nemugumoni at Tel: 294 1114 / 082 387 9116 for further assistance.

5. We wish you well in your studies.

Regards,

NOKUTHULA KARELSE
MUNICIPAL MANAGER

DATE 19/10/2020

Re Šoma le Setšhaba

Anti-Fraudline 0800 20 50 53

ANNEXURE D: PERMISSION TO COLLECT DATA DIKGALE MOSHATE

Dikgale Traditional Council

P.O BOX 57

DIKGALE

0721

Enquiries : Mabitsela M.J.

Contact No. : 083 5071740

DEPARTMENT OF CO-OPERATIVE GOVERNANCE
HUMAN STTLEMENT AND TRADITIONAL AFFAIRS
DIKGALE
TRADITIONAL COUNCIL
2020 -11- 18
P.O. BOX 57 DIKGALE
0721
CAPRICORN DISTRICT SUPPORT CEN
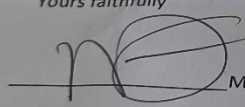
TO WHOM IT MAY CONCERN

PERMISSION LETTER

This is to certify that Sethu Mahlodi Joyce from University of Venda is permitted to contact a research in our area . The title of the research is THE ROLE OF PM & E ON THE MUNICIPAL SERVICE DELIVERY A CASE STUDY OF CDM, LIMPOPO PROVINCE.

We thank you.

Yours faithfully

Mathipa R.F.

Admin. Officer

1.

ANNEXURE E: CONSENT FORM

I, …………………………………………………………, hereby agree to participate in the research study, titled "The role of performance, monitoring and evaluation on municipal service delivery: A case study of Capricorn District Municipality, Limpopo Province". By signing this consent form, you indicate that you understand the information provided to you by the researcher regarding the study, your question about the research has been answered to your satisfaction, and you voluntarily agree to participate in this study. A copy of this signed consent form can be provided upon request.

- The study aims to assess whether skills development plan can positively serve as a tool for enhancing performance and recommend the mechanisms which can be used to enhance performance at the local sphere of government.
- The information that the respondents will provide will be solely used for the purpose of the study.
- Participation is voluntary and that I can withdraw anytime without any penalty if I feel like doing so.
- All questionnaire and interview data will be handled with confidentiality.
- Participants can refuse to answer certain questions if they feel uncomfortable during the process of collecting data.

I understand that the information I give may not be used for any other purpose except to help the researcher to meet the scholastic expectations. For more information, respondents can contact Dr. E Mahole, my Supervisor at 073 644 6302 and also at (Ephraim.Mahole@univen.ac.za).

…………………………   ………………………..

SIGNATURE   DATE

ANNEXURE F: LETTER TO THE RESPONDENT

Enquiries	*: Sethu M.J*	47 Gomba Street
Cell	*: 0711547427*	Atteridgeville
Email	*: joyce.sethu@univen.ac.za*	0008

November 18, 2020
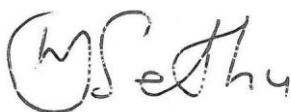
Dear Sir/Madam

I am a registered student at the University of Venda enrolled for the Doctor of Administration (D.Admin.). My research topic is "**The role of performance, monitoring and evaluation on municipal service delivery: A case study of Capricorn District Municipality, Limpopo Province**".

I would be most grateful if you would help me with this part of my research project, by completing the inventory. I assure you that the information I will get from you will be confidential and will be used for educational purposes only.

In anticipation, please accept my sincere gratitude for your willingness to assist me.

Yours sincerely

....

SETHU MAHLODI JOYCE

STUDENT NUMBER: 17018886

ANNEXURE G: RESEARCH INSTRUMENT: QUESTIONNAIRE

THE ROLE OF PERFORMANCE, MONITORING AND EVALUATION ON MUNICIPAL SERVICE DELIVERY: A CASE STUDY OF CAPRICORN DISTRICT MUNICIPALITY, LIMPOPO PROVINCE

The study is about the role of performance, monitoring and evaluation on municipal service delivery in Capricorn District Municipality, Limpopo Province. I humbly request you to be part of the study by providing your perspective on the subject matter. Note that there is no right or wrong answer. Please answer the following questions:

SECTION A: BIOGRAPHICAL DETAILS

1.   **Gender of participant**

Male	1
Female	2
Other (Specify)	3

2.   **Age of participants**

Less than 19 years	1
20-25 years	2
26-30 years	3
31-35 years	4
35 years and older	5

3. Position of participant

District Manager	1
M&E Manager	2
M&E staff	3
HR Manager	4
HR staff	5
PMS Manager	6
PMS staff	7
IDP Manager	8
IDP staff	9
LED Manager	10
LED staff	11
Corporate Services Manager	12
Corporate Services staff	13
SCM Manager	14
SCM staff	15
Traditional Leader	16
Councilors	17
Community Development Worker	18
Civic Chairperson	19
Selected community member	20

4 Educational Qualifications

Below Grade 12	1
Grade 12	2
Diploma	3
Bachelor's Degree and above	4

SECTION B: THE ROLE OF PERFORMANCE, MONITORING AND EVALUATION ON MUNICIPAL SERVICE DELIVERY

Item No.	The role of PM&E on municipal service delivery	Strongly	Agree	Not sure	Disagre	Strongly
5.	Senior managers and staff receive regular training for effective municipal service delivery.					
6.	PM&E system detects early warning signs of poor municipal service delivery.					
7.	GWM&E system coordinates and manages the outcome approaches of PM&E.					
8.	GWM&E, as a policy framework integrates the effective implementation significant to the impact of PM&E.					
9.	Internal policies on PM&E are organized and redesigned to match the IDP requirements.					

Item No.	The role of PM&E on municipal service delivery	Strongly	Agree	Not sure	Disagree	Strongly
10.	Senior managers understand the role of PM&E on municipal service delivery.					
11.	DPME provides a more focused oversight and support role to municipalities.					
12.	PM&E system is utilized to improve the role for municipal support.					
13.	Cooperation among municipality and municipal stakeholders is effective.					
14.	Municipal staff needs financial support to perform their duties as expected.					

Item No.	The challenges faced by local government in the implementation of PM&E	Strongly	Agree	Not sure	Disagree	Strongly
15.	Senior managers have relevant qualifications, knowledge and skills.					
16.	Community stakeholders understand and know their participation in municipal service delivery.					
17.	DPME supports municipalities in identifying and addressing blockages in achieving PM&E outcomes.					
18.	In-depth monitoring and evaluation fail due to unexplained outcomes.					
19.	Finance distress in municipalities hampers the implementation of PM&E.					

Item No.	The consequences of poor implementation of PM&E.	Strongly	Agree	Not sure	Disagree	Strongly
20.	Community members are satisfied with the municipal service delivery.					
21.	Community members have sufficient information on the overall PM&E.					
22.	There is alignment of programmes/projects such as PM&E, PMS, IDP and LED.					
23.	A senior person is leading the PM&E unit in influencing decision-making process.					
24.	Municipal service delivery protest will continue due to challenges of ineffective PM&E.					

Item No.	The strategies that can be recommended to improve PM&E on municipal service delivery	Strongly Agree	Agree	Not sure	Disagree	Strongly
25.	When PM&E is implemented effectively, there is an effective flow of information feed from municipalities to communities.					
26.	Community and stakeholder participation assist in identifying areas of potential and immediate intervention in municipal service delivery.					
27.	PM&E is a comprehensive mode for the municipal service delivery support to foster interlinking relationships.					
28.	Communities to take a more active role in cooperation with and support for municipalities.					
29.	COGTA to take initiative in skilling staff and communities on PM&E.					

"THANKING YOU FOR MAKING TIME FOR MY STUDY"

ANNEXURE H: RESEARCH INSTRUMENT: INTERVIEW

> **THE ROLE OF PERFORMANCE, MONITORING AND EVALUATION ON MUNICIPAL SERVICE DELIVERY: A CASE STUDY OF CAPRICORN DISTRICT MUNICIPALITY, LIMPOPO PROVINCE**

The study is about the role of performance, monitoring and evaluation on municipal service delivery in Capricorn District Municipality, Limpopo Province. I humbly request you to be part of the study by providing your perspective on the subject matter. Note that there is no right or wrong answer. Please answer the following questions.

SECTION A: BIOGRAPHICAL DETAILS

1. **Gender of participant**

Male	
Female	
Other (Specify)	

2. **Age of participant**

Less than 19 years	
20-25 years	
26-30 years	
31-36 ears	
35 years and older	

3. Position of participant

District Manager	
M&E Manager	
M&E staff	
HR Manager	
HR staff	
PMS Manager	
PMS staff	
IDP Manager	
IDP staff	
LED Manager	
LED staff	
Corporate Services Manager	
Corporate Services staff	
SCM Manager	
SCM staff	
Traditional Leader	
Councilors	
Community Development Worker	
Civic Chairperson	
Selected community member	

4. Educational Qualifications

Below Grade 12	
Grade 12	
Diploma	
Bachelor's Degree and above	

SECTION B: THE ROLE OF PERFORMANCE, MONITORING AND EVALUATION ON MUNICIPAL SERVICE DELIVERY

5.   **What is the impact of PM&E on municipal service delivery?**

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6.   **What is the role of PM&E on municipal service delivery?**

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7.   What are the challenges faced in the implementation of PM&E?

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7.1.   What are the causes of the PM&E challenges?

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8. **What are the consequences of poor implementation of PM&E?**

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9. **What are strategies that can be used to improve PM&E of municipalities?**

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10. **To what extent is stakeholder relationship within municipalities in pursuing effective service delivery?**

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"THANK YOU VERY MUCH FOR YOUR TIME AND CONTRIBUTION"

ANNEXURE I: TURNITIN DIGITAL RECEIPT

turnitin

Digital Receipt

This receipt acknowledges that Turnitin received your paper. Below you will find the receipt information regarding your submission.

The first page of your submissions is displayed below.

Submission author:	Mahlodi Joyce Sethu
Assignment title:	PostgraduateResearch2021
Submission title:	THE ROLE OF PERFORMANCE, M...
File name:	17018886_PhD_Thesis_MJ_Sethu....
File size:	1.92M
Page count:	285
Word count:	70,502
Character count:	448,629
Submission date:	25-Mar-2021 05:09PM (UTC+0200)
Submission ID:	1542093758

THE ROLE OF PERFORMANCE, MONITORING AND EVALUATION
WITHIN MUNICIPAL SERVICE DELIVERY: A CASE STUDY OF
CAPRICORN DISTRICT MUNICIPALITY, LIMPOPO PROVINCE

By

MAHLODI JOYCE SETHU
STUDENT NUMBER: 17018886

Thesis submitted in the fulfillment of the requirement for the Degree of
DOCTOR OF ADMINISTRATION

DEPARTMENT OF PUBLIC AND DEVELOPMENT ADMINISTRATION
SCHOOL OF MANAGEMENT SCIENCES
UNIVERSITY OF VENDA

PROMOTER: PROF. M.J MAFUNISA
CO-PROMOTER: DR. E MAHOLE

2021

ANNEXURE J: EDITORIAL LETTER

PROOF OF EDITING

3 August, 2021

This is to certify that I, Dr P Kaburise, of the English Department, University of Venda, have proofread the thesis titled - THE ROLE OF PERFORMANCE, MONITORING AND EVALUATION WITHIN MUNICIPAL SERVICE DELIVERY: A CASE STUDY OF CAPRICORN DISTRICT MUNICIPALITY, LIMPOPO PROVINCE - by Mahlodi Joyce Sethu (student number: 17018886). I have indicated some amendments which the student has undertaken to effect, before the final thesis is submitted.

Dr P Kaburise (0794927451; email: phyllis.kaburise@gmail.com)

Dr P Kaburise: BA (Hons) University of Ghana (Legon, Ghana); MEd University of East Anglia (Cambridge/East Anglia, United Kingdom); Cert. Teaching English as a Foreign Language (Cambridge University, United Kingdom); Cert. English Second Language Teaching, (Wellington, New Zealand); PhD University of Pretoria (South Africa)