

**CHALLENGES OF PERFORMANCE MONITORING AND  
EVALUATION IN SERVICE DELIVERY: A CASE OF A SELECTED  
MUNICIPALITY IN THE WESTERN CAPE**

**By**

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## DECLARATION

**I, Mava Gardner Tshaka, the undersigned, hereby declare that the work contained in this dissertation is my own work, except where due acknowledgement is made with full references in the text and it has not previously been submitted to any university or institution of higher learning for any qualification or certificate.**

A handwritten signature in black ink, appearing to read 'Mava Gardner Tshaka', with a horizontal line underneath it.

Signed: Mava Tshaka.

06/11/2023

Date:

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“Kuni maNgxongo, booNtsundu, Sophitsho, Yem-yem, Mvela-bembhentsele, “Makwande”.

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## **DEDICATION**

This work is dedicated to the memory of my late daughter, Phakama Tshaka, a beauty lover who passed on in 2020. I specially dedicate this research art to her for the little time of growing to learn knowing each other and sourced inspiration from me having completed this project. May her soul rest in peace.

## ABSTRACT

In the year 2007, the government has promulgated a Government-Wide monitoring and evaluation System (G-WM&ES), 2007. This is in aid of government institutions including municipalities to improve on reporting as a practice.

The aim as contained by this research undertaking is to investigate challenges of performance monitoring and evaluation in service delivery by a municipality. Research undertaking is conducted in the housing department of Drakenstein Municipality as a case study. The research has materialized by addressing the following questions:

- What are the theories of performance monitoring and evaluation?
- What does the performance management function in monitoring and evaluation involve?
- What is the legislative framework for performance monitoring and evaluation?
- What recommendations can be suggested to address the research problem?

On this research subject, an available literature affirms the need for monitoring and evaluation as reporting instrument. Constitution and relevant legislations endorse imperative need for adoption of (M&E). Sources of used literature ranges from government manuals, Constitution, relevant legislations, journal articles, books and policies.

The nature of this research undertaking called for a quantitative research approach to answer the research question. Data collection was conducted by means of a questionnaire survey from the sample of nine (9) managerial officials in the housing department of Drakenstein Municipality. Data analysis was conducted by use of the Statistical Package for the Social Sciences (SPSS) software with an assistance of a statistician from Cape Peninsula University of Technology (CPUT).

By extension, the study found that non-appointment of formally trained and qualified officials and high level of uncertainty on value of evaluation practice. Other challenges add to difficulties when assigned to perform an evaluation task.

The study recommends the appointment of a formally trained and qualified monitoring and evaluation (M&E) officer to improve on reporting and improved governance.

**Key words:**

Municipality; monitoring; evaluation; service delivery; housing

## **ACRONYMS**

CPUT:	Cape Peninsula University of Technology
DPME:	Department of Planning, Monitoring and Evaluation
ECB:	Evaluation Capacity Building
G-WM&ES:	Government-Wide Monitoring and Evaluation System
IDP:	Integrated Development Plan
M&E:	Monitoring and evaluation
MPMF:	Municipal Performance Management Framework
NPM:	New Public Management
NEPF:	National Evaluation Policy Framework
PHP	Peoples Housing Process
RPMF:	Reviewed Performance management Framework
SDBIP:	Service Delivery and Budget Implementation Plan
UNDP:	United Nations Development Programme
OECD:	Organization for Economic Cooperation and Development

## **ABBREVIATIONS**

AIDS:	Anti-viral Immune Deficiency Syndrome
AGSA:	Auditor General of South Africa
HIV:	Human Immune Deficiency
IGR:	Intergovernmental Relations
MFMA:	Local government: Municipal Finance Management Act
MSC:	Local government: Municipal Systems Act
PSC:	Public Service Commission
RSA:	Republic of South Africa
PCR:	Presidential Review Commission

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**CHAPTER 1**  
**INTRODUCTION AND BACKGROUND**

**1.1 INTRODUCTION**

Monitoring and evaluation (M&E) is a pivotal reporting instrument a municipality can use in an effort to improve reporting and gain the trust of all stakeholders. In many municipalities, monitoring and evaluation as a reporting instrument is often displaced. The aim of this study is to unearth the underlying challenges that inform the displacement of monitoring and evaluation (M&E). The Municipal Systems Act, 32 of 2000, read with Government Wide Monitoring and Evaluation, requires a prescriptive use of monitoring and evaluation (M&E) in all municipal institutions.

The purpose of this study is to identify the challenges encountered in the housing service delivery by municipalities. This study is based in one housing office of a municipality of the category B Municipality within the jurisdiction of the Western Cape province of South Africa. Performance monitoring and evaluation (M&E) is an essential operational and managerial tool to determine and sustain the quality and effectiveness of the policy, programme and or any legal instrument implemented for desired results. In realising this, service delivery stands to gain momentum. The bygone history of apartheid in South Africa left some of the non-whites (Blacks) homeless. In the year 1948, the South African government with apartheid administration legalized racial segregation to be enforced against Blacks.

To give effect to enacted racial segregation, the Group Areas Act of 41 of 1950 was promulgated and enforced. The purpose of the said Act was mainly to deprive Blacks their natural rights of owning land and houses and only allow them to rent white-owned properties. The racial segregation of Blacks referred to Indians, Coloureds and black Africans as Blacks regardless of their ethnicity. Incidentally, on 27 April 1994, (after 44 years) all forms of apartheid were outvoted by the first general elections where all races exercised their voting rights and voted for the new government of democracy. This constitutional democracy paved the way for the right to access housing for all South Africans. Constitutional prescripts as coupled with Housing Act 107 of 1997 are a prism legal prescript that informs the provision of State low cost houses since 1996-1997 respectively.

In the progressive government's endeavour to house the unhoused citizens, governance and financial resources have to be regulated to yield the desired and effective goals.

To realise the above, employment of public resources under the stewardship of Public Finance Management Act No. 1 of 1999 (as amended by Act 29 (PFMA) together with Municipal Finance Management Act No. 56 of 2003 (MFMA) and Municipal Systems Act No. 32 of 2000 were enacted and promulgated between year 2000 and 2003 to give guidance on prudent use of financial public resources, monitoring and evaluation on progress made to ascertain effectiveness of governance. Other supplementary laws of cooperative governance that underpin the collaboration of government's undertakings are applied. To date, National, Provincial and Local spheres of government use all legislation mentioned above selectively.

Probing in this study, set to explore the challenges of monitoring and evaluation in service delivery. The study paid more attention to the past five financial years of the last term of office, (2010/11 to 2015/16). The period under which this study will be measured against is the political full term of government administration elected since 2011-2016. In South Africa, local government is found to be still a developmental State and is therefore still learning. For this reason, it is advisable to learn from countries like Chile, Columbia and Australia that for many years exercises M&E discipline with various systems.

Mackay (2007:23-37), asserts that Chile introduced its first (M&E) system in 1974 and was seconded by Columbia in 1991, although Australia introduced its formal strategy for evaluations between 1987-1991. Mackay (2007:23) singles out Chile's reliable, developmental and systematised (M&E) discipline that is admired and commended in most Latin American countries. Basheka and Byamugisha (20015:81) state that monitoring and evaluation that is implemented well can change things for the good. It is believed that South Africa has learned from this and introduced the Government-Wide Monitoring and Evaluation System (GWM&ES). The widely implemented (GWM&ES) was expected to yield positive results, but did not meet all the expectations. That is why (M&E) has to be interrogated to diagnose the challenge persisting in this practice within the South African context.

Whilst the introduction to the (GWM&ES) has been implemented for more than a decade now, the past years revealed that there has been a widespread complaint around the non-compliance with this (M&E) system in local government departments. Some municipalities are found to be maintaining good audit results whilst some are regressing from unqualified to qualified and adverse audit opinion findings.

Drakenstein Municipality is one of the institutions referred to in the Auditor General (AG) reports 2011-2016 hence it is used as a case study to highlight the challenges of M&E in service delivery in the housing administration environment for the past five years term of office. It is against this background that challenges of performance (M&E) are explored to identify effectiveness and or hindrances and suggest necessary recommendation(s) that will give effect to the improvement in the service delivery of houses in the Drakenstein Municipality.

This research makes use of the quantitative approach by using a questionnaire survey. This questionnaire was used among selected managers in the housing department of Drakenstein Municipality. It is envisaged the research project would yield information that Drakenstein Municipality can introduce to improve required level of results for effectiveness and better capabilities.

## **1.2 CLARIFICATION OF BASIC TERMS AND CONCEPTS**

### **1.2.1 Service delivery**

Nealer (2007:148) defines service delivery as “the provision of public activities, benefits or satisfaction”. Reddy (2016: 1) defines service delivery as “distribution of basic communal needs and services, notably housing, water and sanitation, land, electricity and infrastructure, which local communities have taken for granted and become dependent on for their daily existence”. This is supported by the White paper on transforming public service (1997) that further defines service delivery as “an ability of any public institution to deliver services to the community in an efficient and effective manner”. This implies that proper application of administration and management can enable progressive and good for effective governance.

It is imperative for the delivery of services to be executed in a transparent manner that ensures, accountability and good reporting. Effective service delivery is a measuring tool to identify or indicate compliance to the internal control system.

### **1.2.2 Monitoring**

Karuiki and Reddy (2017:2) define monitoring as a “Routine activity which assesses the progress of an intervention in terms of realizing its goals”. Monitoring the progress would amount to consistency that enables the trace of administrative flaws while monitoring the attainment of results would enhance the realization of desired administrative goals.

It is therefore necessary and important to implement monitoring as an indicator of the rise or fall of the administration.

### **1.2.3 Evaluation**

Karuiki and Reddy (2017:2) define evaluation as an “in-depth assessment of its value and seeks to define the reasons for observable outputs of a programme”.

In this study, evaluation is good and necessary to navigate the direction the improvement of compliance to yield efficiency and effectiveness. In other words after an executive decision is implemented, testing of the feasibility and viability is necessary.

This would help intensify the administrative resources for better results. This study manifest evaluation as a good and needed to steer quality reporting for reliable accountability.

### **1.2.4 Accountability**

Koenane and Mangena (2017:68) define accountability as the “ability to accept responsibility for decisions and the foreseeable consequences of actions and inaction, and for setting examples for others”. In addition, the authors noted that authorities involved in project implementation and management are sequential and periodically answerable to the stakeholders and interested legal persona. Recognised stakeholders are made aware of their role as coupled to clear planning activities set for execution in the project.

In a project or exercised authority, accountability is used to identify actions that ought to be corrected for progressive improving a service rendering system of governance.

### **1.2.5 Governance**

Fukuyama (2013:3) defines governance as “a government's ability to make and enforce rules, and to deliver services, regardless of whether that government is democratic or not”. Keping (2017:2) defines governance similar to the Commission on Global Governance of 1995 that stated that “governance is the sum of the many ways individuals and institutions, public and private, manage their common affairs...”. Govender (2013:812) opined that good governance entails a participatory approach to decision-making by persons in authority. This leads to the realisation of public goods by citizens.

In light of the above, developmental governance is ideal in implementing constant administration for internal management and accountability together with persistent transparent and consistent manner of doing business in service delivery.



### **1.3 BACKGROUND TO THE RESEARCH PROBLEM**

There is an increasing concern that Local Municipalities have scant regard of performance M&E practice in the administration and management of the municipality business. Service delivery is supposed to be executed with systematic prudence and diligence as provided in the municipal legal instruments. Disregard of (M&E) practices has a regress effect to the results of service delivery. In the Constitution of the Republic of South Africa of 1996, section 55 (2) (b) (i) (ii) states that “the national assembly must provide for mechanisms to maintain oversight of the exercise of national executive authority, including the implementation of legislation, and any organ of State”. This is supported by the prescripts found in the Municipal Systems Act No. 32 of 2000.

According to Section 40 of the Municipal Systems Act No. 32 of 2000, “a municipality must establish mechanisms to monitor and review its performance management system”, read together with Section 41 (i) “ a municipality must in terms of its performance management system and in accordance with any regulations and guidelines that may be prescribed, (a) set appropriate key performance indicators as a yardstick for measuring performance, including outcomes and impact, with regard to the municipality’s development priorities and objectives set out in its integrated development plan, (b) set measurable performance targets with regard to each of those development priorities and objectives, (c) with regard to each of those development priorities and objectives and against the key performance indicators and targets set in terms of paragraph (a) and (b)- (i) monitor performance, and (ii) measure and review performance at least once per year and (d) take steps to improve performance with regard to those development priorities and objectives where performance targets are not met”. The above should be read together with Section 4 (a) (i) requiring that “a provincial treasury must monitor (i) compliance with this act by municipalities and municipal entities in the province”.

The research problem is derived from the persistence of disregarding applicable (M&E) prescripts wherein most municipal departments seem not to comply with the provisions of the said legal instruments. The Municipal Systems Act No. 32 of 2000 and an approved introduction to the (GWM&ES) are key legal instruments to enforce (M&E).

#### **1.4 STATEMENT OF RESEARCH PROBLEM**

In observing, the legal instruments mentioned above, it is clear that the execution of (M&E) activities at the municipalities currently does not meet the prescribed standards of performance. The Service Delivery and Budget Implementation Plan (SDBIP) is regarded as a set of useful mechanisms to monitor and evaluate performance of programmes included in the Integrated Development Plan (IDP). The Auditor-General report of 2010 indicated that the performance of the municipality in the area of (M&E) leaves much to be desired. The latest (AG) reports of 2015/16-2019/20 revealed similar findings where the AG, Kimi Makwethu said “overall the local government had failed to maintain the promising five-year momentum gained in the previous years, 2010-11 to 2015-16”. Therefore, scant regard of monitoring and evaluation persist over and above the presence of internal control system, which poses significant potential to hinder effectiveness of service delivery.

#### **1.5 RESEARCH QUESTIONS**

This study presents the following questions:

- What are the theories of performance monitoring and evaluation?
- What does the performance management function in monitoring and evaluation involve?
- What is the legislative framework for performance monitoring and evaluation?
- What recommendations can be suggested to address the research problem?

#### **1.6 RESEARCH OBJECTIVES**

Objectives of the research project are to:

- Describe theories of performance monitoring and evaluation;
- Explain performance management in monitoring and evaluation discipline;
- Describe the legislative framework for performance monitoring and evaluation, and
- Conduct an empirical study within the municipality with a view to making recommendations to address the research problem.

#### **1.7 PRELIMINARY LITERATURE REVIEW**

Below is an overview of the literature that underpins the necessity of this research study as emanating from the study objectives.

### **1.7.1 Theories of performance monitoring and evaluation**

In describing theories of performance M&E, Cloete, Rabie and de Coning (2014:4) regard M&E as managerial techniques employable to ascertain a desired goal achievement through analysed tracks and results. In view of this revelation, it is understood that management could not improve its realised outcomes without (M&E). From a management perspective, Gorgens and Kusek (2009:3) appeals for the execution of (M&E) is a vehicle towards management improved managerial results. In addition, Khadka (2006:94) reveals that the comprehensive plan and design of an (M&E) framework can influence effective and developmental results in the contemporary public sector. Subsequent to a comprehensive planning and before the execution of any task, M&E can be perceived and employed as distinct component of the wider performance management, Cloete, Rabie and de Coning (2014:5).

In cementing Davies, et al. (2006:165) affirms that ameliorating governance on management by (M&E) is another technique employed to ascertain a liable and responsible government. However, Rueben (2005:66) caution yet hope about challenges that makes the constructiveness of (M&E) less fruitful, could be better employed for improvement in the planning stages for suitable implementation. Further, it is indisputable that M&E practises are tandem in nature as they must be implemented following each other to be qualified as (M&E). (Cloete, Rabie and de Coning, 2014:2). In summary, many authors concur that (M&E) can revolutionise the modern management in the public sector. This affirms the bases for the need to undertake this research study.

### **1.7.2 Performance management in monitoring and evaluation**

In reasoning for performance in (M&E) discipline, Dedu and Kajubi (2005:19) explain that the effectiveness of the implementation process on (M&E) is measured not only by gains of actual (M&E) but also by other factors such as relevance, efficiency, effectiveness, impact and sustainability. In further explaining performance (M&E), it is worthy to bring forth the contention of (Armstrong 2009) that techniques of performance (M&E) are regarded as a single procedure outlined and adopted to increase organisational performance by individual and groups in general.

This implies that people who execute different assignments ought to comply with the adopted systems using the agreed methods towards the realisation of an organisational goal.

Ahmed, Sultana, Paul and Azeem (2013) concur by asserting that performance evaluation is employed to follow-up on single employee's performance to satisfy the goal of an organisation.

This also encompasses the identification of the individual's strengths and opportune times for future job refinement.

This highlights the element and the importance of performance appraisal that Mathis and Jackson (2000:384) introduce as a "process of evaluating how well employees are doing their jobs as compared to a set standard and then communicating that information". Therefore, it is a responsibility of a manager to ascertain that the results of the done job are obtained from all reporting personnel and are monitored accordingly (Cole (2011)). In summary, many authors expressed preference for performance appraisal as generally accepted procedure to measure performance in the management of (M&E) discipline. This will assist in finding a comprehensive literature to dissect all the components involved in (M&E).

### **1.7.3 Challenges of monitoring and evaluation**

In explaining challenges of (M&E), Zoe and McGuire (2004) detected that it is filled with complex issues like that of performance management and measurement systems. Halachmi (2002) reveals that a report on Government Performance and Results Act (GPRA) system as promulgated in 1993 in the United States of America (USA) for the enhancement of performance management, measuring and reporting presented some challenges like pressuring managers and employees to administer uprightly.

On the contrary, Prowse and Prowse (2009:71) pinpointed numerous reprimands correlating to (M&E) performance of employees in public institutions. Summarily, Siddique (2010:47) pronounced that managing for results needs a practical monitoring of performance, although some are resistant to monitoring and assessing a performed task and evaluating a program execution in a minimum of five years circle. This provides evidence that the (M&E) is still clouded with challenges that can discredit the good that is intended by the implementation of this administrative discipline. It is for this reason that this study intends to highlight the identified challenges to bring about the developmental explanations that can have a momentum to a struggling performance monitoring and evaluation as an administrative discipline.

### **1.7.4 The legislative framework for performance monitoring and evaluation**

The legal framework of (M&E) consist of all legislation correlating with the prescripts that set off as cornerstone not only to comply but most importantly to uphold its implementation. Related public policy as government's employable tool form part in underpinning the pinnacle of the constitutionally engraved administrative technique.

This study is undertaken under the letter and the spirit of article 195 (1) (f) (g) of the Constitution of the Republic of South Africa, 1996 which states that “public administration must be accountable, and transparency must be fostered by providing the public with timely, accessible and accurate information”. Article 2 (a) further expounds that the above principles apply to “administration in every spheres of government”. With the veto contained in the constitution, the purpose of this study is to demonstrate adherence to constitutional prescripts that calls for good governance by highlighting the need to uphold (M&E) as one of the reliable administration tools towards the improvement of public administration across government’s institutions.

A crucial and indispensable Municipal Systems Act, 32 of 2000, that empowers a municipality to exercise its legislative or executive authority imposes “monitoring the impact and effectiveness of any services, policies, programmes and plans and establishing and implementing a performance management system”. Both clauses form strong bases for a municipal entity to subscribe to the use of monitoring practice. With regards to evaluation practice, section 73 (2) (b) (ii) requires that a municipal service be provided in a manner that is conducive to “the improvement of standards of quality over time”.

This implies that all services must progressively gain improvement. In that, the significance impressed to “must” gives emphasis that commands for the facilitation of this requirement. In essence, this legal prescription requires that the realised effects of (M&E) practices must produce an accountable reporting governance, hence the study ponder on challenges encountered for redressing purposes.

Having an interest on good governance that produces quality reporting, the Department of Planning, Monitoring and Evaluation (DPME) promulgated the (GWM&ES) that is to spearhead the (M&E) of works as performed in the public sector. In this study, the relevance and importance of the said (DPME) is to assist in enforcing the unpopular (M&E) discipline in all spheres of government and particularly the municipalities.

The realisation of this administrative discipline stands to gain a quality reporting culture as is the benefit to a developing country to good governance.

## **1.8 ETHICAL CONSIDERATIONS OF THE STUDY**

McMillan and Schumacher, (2001:196) assert that ethics are generally understood to deal with beliefs about what is wrong and not wrong. Chang (2020:1) confirms that exponential application of moral rules and expectations plays a significant role in the development of attitudes in research and publication ethics. Therefore, adherence to ethics serves as indication of the researcher's awareness of deliberations on ethical considerations and an agreement to behave in accordance with ethical procedures. Ethical consideration safeguards and determines the level of credibility that a given research will be accorded, based on the resulting findings. This study conformed to research ethics at all research stages as advised by Flick (2014:49). The following ethical issues were guaranteed in order to protect officials who participated as the population in this study:

- a) No exposure to undue physical and or psychological harm
- b) The nature of the study to be conducted was explained and given the choice of either participating or not participating.
- c) Right to privacy will be observed. To achieve this, the research report will not contain information that may link, directly or indirectly, the content to the participants.
- d) The report will be written in a fair and honest manner so as not to mislead the readers, and
- e) Misrepresentation of facts will be avoided.

Permission to conduct the research was sought from the Municipal Manager of Drakenstein Municipality. Participants in the survey were informed that participation in the research project was voluntary, that their identities would not be divulged, that they could withdraw from the research project whenever they want, and that they would be informed of the findings of the research on completion of the project. The letter of application to Drakenstein Municipality and its approval from the Head of Department is attached as annexures.

## **1.9 RESEARCH METHODOLOGY**

Hesse-Biber and Leavy (2011:38) define research methodology as a bridge between philosophical standpoint and methods". He labels it as guide or blue print of how a researcher should conduct a study through providing a method useful for objectivity. Patel and Patel (2019:1) advance a simpler definition of research methodology as "a way to systematically solve the research problem".

In supporting the notion of research methodology, authors such as Bwengye (2015), Hesse-Biber and Leavy (2011:10-11) together with Kumar (2011: 11) encourage the use of particular types which are descriptive, that deals with describing situations or events by posing questions led by what, who, when, where, and how many. Research can be conducted in several approaches such as qualitative, quantitative and mixed method to research (Creswell, 2014:12).

The techniques applicable to research methodology strengthens the controls of the study, direct attainment of data resulting in a particular approach that is meaningful and accordingly produces an inference or inferences that are central to the increase of knowledge. This study followed the quantitative research approach.

### **1.9.1 RESEARCH DESIGN**

Akthar (2016:68) defines research design as “the structure of research that is the glue that holds all of the elements in a research project together”. Summarily, it is a plan to execute the proposed research work. This is a necessary stage for it brings forth a plain sailing feasibility on various research procedures and professionalises research (Akthar, 2016:68).

The research design process refers to quantitative and qualitative methods. A qualitative research method is inclined to investigate participants’ opinions, behaviours and experiences from their point of view and using logical induction. Creswell (2009:4) describes quantitative research method as means for testing objective theories by examining the relationship among variables. These variables, in turn, can be measured on suitable instruments, to analyse data by using statistical procedures. In his reasoning, Creswell qualifies the use of the quantitative method as ideal when dealing with larger numbers of respondents, this is true as it becomes difficult to employ qualitative attention to individual respondents owing to lack of time.

In this study, the quantitative research survey was conducted among managers and key operational personnel in the housing section of Drakenstein Municipality. Edmonds and Kennedy (2012:24) observed that quantitative research is the chronologic steps of scientific research while engaged in quantitative principles. For the purpose of this research project, the researcher concurs with (Baxter and Jack, 2008:548) who describe descriptive research as an “intervention or phenomenon and the real-life context in which it occurred.

In cementing, Salkind and Rasmussen (2007: 251-254) assert that descriptive research is employed to attain information with regards to the current status of the problem and to describe “what exists” pertaining to variables or conditions in a situation.

The researcher deemed it fit to apply a quantitative research survey because it bears certainty about deductively tested theories, protect against bias, control ambiguous explanations, and is able to generalize and produce the findings.

### **1.9.2 Population**

O’ Leary (2010:162) defines research population as “the total group that the researcher is interested in learning more about”. Asiamah, Mensah, and Oteng-Abayie (2017) define population as “the group of individuals having one or more characteristics of interest”. In addition to that, population is a group of individuals that are eligible to take part in the research study (Brynard and Hanekom 2014:57). The intended population is from a supervisory level and relevant managers in the section of Human Settlement in the Drakenstein Municipality. The population for this study was 25 officials.

### **1.9.3 Sampling**

Sampling is a technique that is used to select a group that possess similar knowledge in a particular aspect (Brynard & Hanekom, 2014:56). Turner (2020:1) defines sampling differently as “the selection of a subset of the population on interest in a research study”. This study intends to target different managerial levels of officials in the Drakenstein Municipality, as they are the people who are dealing with the challenges involved in the M&E of service delivery. It can thus be concluded that purposive sampling advantages are that the researcher will apply in (the municipality) familiar circumstances and where he believes it is critical for the research.

The sample for the study comprised a total of 9 managerial officials in view of the small size of the population.

### **1.9.4 Data Collection**

Data collection is defined as “the procedure by which data are collected from the respondents.”(Gray, 2014:352). Kabir (2016) progressively defines , data collection as “the process of gathering and measuring information on variables of interest, in an established systematic fashion that enables one to answer stated research questions, test hypotheses, and evaluate outcomes”.



Gray (2014: 352) conveys that self-administered questionnaire is a technique that is used to collect information in an empirical research mission. In expounding on data collection, Du Plooy-Cilliers (2014:152) asserts that the self-administered questionnaire is used to facilitate the collection of information to prove or disprove the hypothesis. Therefore data collection is part of testable particles of information used to inform findings of the research. It is an act normally conducted through the completion of questions as responded to by the research population. According to Babbie and Mouton, (2001:258) it is normally self-administered by the participant and require the person to be adequately literate. Subscribing to that, Sileyew, (2019:5) claims that quantitative data collection sources are questionnaires and interview surveys. The advantages in this regard are the anonymity nature of the completion of the questionnaire as well as the fact that it is less time consuming.

For example, a set of questionnaires can be emailed or hand delivered and collected from the respondents as a cost saving measure (Joubert and Ehrlich, 1997:108). In supporting the aptness of Fox, Bayat, Mwanje and Gotu (2001:15) who contend that “the Statistical Package for Social Sciences (SPSS) is software which is adaptive to importing data collected by a questionnaire technique”, data analysis will best be generated by use of (SPSS) software. When using the (SPSS) software, collected data is organised and imported into selected software for analysis purposes.

The (SPSS) is declared with a capacity that can develop frequencies, means, modes and medians for all the relevant variables on the questionnaire (Mwanje and Gotu, 2001:15).

Statistical charts are used to display statistical information because they're useful diagrams for displaying statistical information.

### **1.9.5 Data analysis**

Bastick and Malaton, (2007:138) define data analysis as “a process of interpreting data that were collected from the respondents to produce a statistical summary that will be meaningful and reasonable”. Data analysis is generally known as a systematic process that evaluates data. In this study, the data that was collected through the questionnaires that will be analysed to realise the objectives of this research project.

The secondary data that was analysed came from the municipality's own data archives.

Data analysis was conducted by a statistician from Statistics South Africa (Cape Town) and the utilisation of, the (SPSS) software which is regarded as reliable. Sileyew, (2019: 8-9) claims that this tool will ensure proper organising of data and credible analysis thereof.

#### **1.9.6 Validity and reliability**

Kumar (2011:177-179) and Babbie (2014:430) agree in defining validity and reliability as a “process to ensure that a research applies appropriate procedures to find correct answers to a question; while reliability means quality of a measurement procedure that provides repeatable, predictable and accurate results”.

Kimaro (2018: 25) opined that in conducting research on social matters, researchers ought to ascertain that findings are correct and informs credible conclusions to unlock further researching. Quinlan (2011:335) suggests the appropriate norm of using logic, truth, reason, and meaning should be sustained in the use of qualitative research.

Although this research was conducted using quantitative approach, it was important for the researcher to ensure that credibility; transferability, reliability, and dependability are established. The careful employment of these components of is designed to produce a reliable study.

Welman, Kruger, and Mitchell (2005:201) assert that reliability deals with the findings of the conducted research study to affirm the credibility of the findings.

Reliability concept on evaluating the validity of the research findings to the application of quantitative research method was tested.

In order to ensure the dependability of research findings, data collection had to be conducted in a consistent manner, where participants were answering the closed statements regarding challenges on execution of their duties towards service delivery. This project sought to unearth the participant’s knowledge and understanding of (M&E) practises based on research analysis.

The issue of reliability was tested on employment identified participants and the data collection methods that were used. In conducting this study, responses to a set of questionnaire was the only source of data as provided by selected personnel from supervisory level to the highest office of authority in housing department?

It was essential, firstly, to clarify any misunderstanding regarding the statements and, secondly to see if there was any resistance to participating in the preliminary research and whether the actual research could take place.

### **1.10 SIGNIFICANCE OF THE STUDY**

This research study is intended to contribute immensely in observing challenges in the execution of (M&E) practices in the municipality. The researcher intends to provide an improved theoretical framework for (M&E) in order to unearth challenges which are based on literature. In addition, this study should assist the municipality with a system, procedure, mechanisms, plan, controls that are essential in realising the working (M&E).

The research project could generate information that the municipality could use to improve the current level of performance (M&E) at the municipality for good results and reporting. The study would help accounting officers to take corrective actions and to ensure that the mentioned legal provisions are implemented at various levels and hopefully enforce consequences to transgressors.

Shared best practises in adherence to disciplined (M&E) could give effect to improvement on sister municipalities and exchange of staff to learn from. Academic domain would view the importance of (M&E) in brighter light and educate students on how serious it is to comply with legal instruments in all career practises. More research studies on benefits of proper implementation of (M&E) would be realised. In the spirit of clean governance, improved (M&E) practises will inform Clean Audit and or unqualified audit opinions. Internal auditor would enforce comprehensive internal controls for better reporting of supervisors and improved accounting by managers.

### **1.11 LAYOUT OF THE STUDY**

Below is the light to view the systematic and logical unfolding of different chapters of the study. This study is made of four (4) added chapters. Each of the chapters focuses on different and specific purposes towards the realisation of the completed research project. Hereunder is clear segregation of research project chapters:

- Chapter 2: This chapter discusses the literature review on the (M&E) aspect in South Africa, which will include the definition of the (M&E) concept, the systems of (M&E), legislative framework on (M&E) in South Africa and solutions to challenges of (M&E).
- Chapter 3: The research methodology, and research design,
- Chapter 4: This chapter provided an illustration of comprehensive data collection, analysis and discussion of the findings to portray empirical survey and,
- Chapter 5: Towards completing this dissertation, the summary, recommendations and conclusion are featured to fulfill the compliance of empirical research study.

### **1.12 SUMMARY**

The research study herein is introduced in chapter 1 that engrafted the contents featured as layout of the study. Primarily, an introduction, background and articulation of the research problem are provided. This is followed by research objectives which are to trigger investigation of challenges of (M&E) in the past five year financial term. Drakenstein Municipality is selected as institution to undertake the case study. The key research questions were what are the current challenges the municipality is facing regarding performance (M&E,? and what can be done to overcome these challenges. In short, the study investigated challenges in (M&E) in service delivery housing environment, using Drakenstein Municipality as a case study. The study follows a quantitative research approach exploring challenges in M&E in the service delivery of Drakenstein Municipality. The following chapter provides a thorough literature review in the (M&E) study environment South Africa.

## CHAPTER 2 LITERATURE REVIEW

### 2.1 INTRODUCTION

The previous chapter explained the research problem as the scant regard of monitoring and evaluation in the execution of the functions of the housing department within a selected municipality. This chapter presents the surveyed literature that explains established theories of performance (M&E), performance management, challenges of (M&E), and the legislative framework for performance (M&E). In conducting an academic research, Lanier and Briggs (2014:36) highlight that literature review is an imperative component of any research. For the purpose of this research, literature review is defined as “... a critical appraisal of the current collective knowledge on a subject”. The motivation of this literature review is to locate the relevance of the theories of performance (M&E) as a departure point for the research.

Challenge is a noun that explains confrontation which requires a lot of skill, energy and determination to deal and or achieve (Macmillan Dictionary com, 2016). A challenge could exponentially advance to either the level of a problem, crises and or disaster which are not ideal or the focus of this research study and could be detrimental if not attended in its early stage. In chapter one, it is expressed that the research problem is the scant regard of monitoring and evaluation that persists over and above the presence of an internal control system, which poses significant potential to hinder effectiveness of service delivery. To rescue the impasse of displacing monitoring and evaluation, a Government Wide-Monitoring and evaluation was promulgated (2007).

Nonetheless, the said promulgation proves to yield no results in terms of its implementation, hence the (AG) reported in the 2015-16 audit outcomes report an overall shortfall of municipalities to keep the improving audit outcomes pronounced in 2014-15 audit outcomes report. The regress audit findings report shows adverse reporting by many municipalities. This presents an illicit displacement of policy framework for the Government-wide Monitoring and Evaluation System of 2007 that is a compelling document together with relevant legislation that requires the implementation of (M&E) by all municipalities including all government institutions.

## 2.2 DEFINING MONITORING AND EVALUATION

According to Gosling (2003: 107) monitoring is “a systematic assessment of the progress of a programme over time” but process monitoring and impact monitoring are both needed to show what changes are taking place, what processes lead to the changes and how the programme can be improved. According to Kusek and Rist (2004:13) “monitoring gives information on where a policy, programme, or project is at any given time in relation to respective targets and outcomes, and it is descriptive in intent”. In simple terms, monitoring is keeping track of what is being done so that corrective action can be taken if necessary, whilst evaluation is about examining whether there is any progress in what was set to be done.

Imas and Rist (2009:16) define “monitoring as an ongoing routine, internal activity, used to collect information on a programme’s activities” outputs, and outcomes to track its performance. Gage (2005:6) asserts that monitoring is the routine tracking of a programme’s activities by measuring on a regular, on-going basis whether planned activities are being carried out, which definition is supported by McCoy, Ngari & Krumpel (2005:10).

Organization for Economic Cooperation and Development (OECD) (2002) defines evaluation as ‘the systematic and objective assessment of an ongoing or completed project, programme, or policy, including its design, implementation, and results’.

The Government of South Africa has introduced the (GWM&ES) policy framework (2007:6) wherein it defined evaluation as ‘a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision making by staff, managers and policy makers. It further asserts that evaluations may assess relevance, efficiency, effectiveness, impact and sustainability’. Randel (2002:14) explains evaluation as a “periodic assessment of the relevance and performance of the project”. The aim is to ascertain the compatibility of fulfillment of objectives, development efficiency, effectiveness, impact, and sustainability.

The United Nations Development Programme (UNDP) (2002:6) defines evaluation as a selective exercise that attempts to systematically and objectively assess progress towards an achievement of an outcome; an exercise that involves assessments of differing scope and depth carried out in time in response to evolving needs for evaluative knowledge and learning during the effort to achieve an outcome.

In essence, evaluation attempts to examine what was set out to be done, pitted against what has been realized and how it was realized and the value or worth of the intervention.

Implicit in the descriptions of (M&E) is that the two though mutually exclusive, can complement each other. Monitoring data are important for understanding and interpreting programmatic implications of impact evaluation.

The table 2.1 below adopted from Kusek and Rist (2004:14) demonstrate the complementary roles that monitoring and evaluation (M&E) play in (M&E) systems.

MONITORING	EVALUATION
Clarifies programme objectives	Analyses why intended objectives results were or were not achieved
Links activities and their resources to objectives	Assesses specific causal resources to objectives measured by inputs translated to results
Translates objectives into performance indicators and sets targets	Examines implementation process
Routinely collects data on these indicators, compares actual results with targets	Explores unintended results
Reports progress to managers and alerts them to problems	Provides lessons, highlights significant accomplishment or programme potential and offers recommendations for improvement

**Table 1: The complementary roles of monitoring and evaluation (Kusek & Rist 2004:14)**

As can be confirmed in the table above, evaluation is informed by monitoring. To illustrate in the context of the study, the monitoring system will give an indication on the number of usable approaches by municipality (M&E) by knowledgeable staff members against those municipalities with staff members lacking skills of (M&E).

Evaluating trends and problems in turn can inform the focus of future monitoring activities. It is not limited to the end of the programme; hence Kusek and Rist (2004:13) advise that researchers should emphasize evaluation throughout the lifecycle of the intervention and not only restrict it to the end.

If outcomes are assessed towards the end of a programme without longitudinal process evaluation, the results are likely to be unhelpful in guiding future action because, what generated the observed outcomes will remain unidentified, (Wimbush, 2000: 309).

### 2.3 THE PURPOSE OF MONITORING AND EVALUATION

Flynn (2007:125) denotes that “performance monitoring and evaluation helps the organization to be able give an account of the actions of an individual” In this instance, it implies that the municipality, through implementation of performance (M&E) could be able to enhance accountability in a transparent manner for improved outcomes. (M&E) is treated in MacKay (2007:9-10) as a tool to design results-based management, enhance transparency and support accountability relationships and to support evidence-based policy making.

MacKay continues to suggest that an organizational application of the (M&E) places it at the center of sound governance arrangements and makes it necessary to achieve evidence-based policy making, evidence-based management, and evidence-based accountability. According to the World Bank (2004:5), it is noted that the purpose of (M&E) activities is to provide government officials, managers, and civil society with better means for learning from past experience, improving service delivery, planning and allocating resources, and demonstrating results as part of accountability.

Imas and Rist (2009:12) concur that the purpose of any evaluation is to provide information to decision makers to enable them to make better decisions about projects, programmes or policies. Evaluation should help decision makers understand what is likely to happen, is happening or has happened because of an intervention and identify techniques to obtain more of the desired benefits.

Kawonga, Blauuw and Fonn (2012:1) describe (M&E)’s purpose in public institutions, and note its importance in producing reliable and timely information and use it to evaluate policy, set priorities, plan, and monitor the effectiveness and impacts of interventions. (M&E) helps to identify and correct mistakes and build on the successes of best practice, thereby contributing to “continued improvements in the design and administration of programmes” (Atkinson & Wellman 2003:3, (OECD) 2007:12; Annecke, 2008:3). (M&E) is an essential process that produces information to make informed decisions regarding operations management and service delivery. This includes effective and efficient use of resources, it determines the extent to which the programme/project is on track and to make any needed corrections accordingly. Subsequently, it evaluates the extent to which the programme/project is having or has had the desired impact (Measure Evaluation, 2006).



(M&E) assessments may also be undertaken periodically to assess the need and relevance of the programme (Rossi et al. 2004:18). Four distinct purposes of evaluation were identified in Imas and Rist (2009:12): ethical purpose; managerial purpose; decisional purpose and educational and motivational purpose. Imas and Rist (2009:12) state that the purpose of any evaluation is to provide information to decision makers to enable them to make better decisions about projects, programmes or policies.

The purpose of managerial evaluation is to assist decision makers understand what is likely to happen, is happening or has happened because of an intervention and identify ways to obtain more of the desired benefits. Kawonga, Blauuw and Fonn (2012:1) describe the purpose of decisional evaluation as a source of reliable and timely information use to inform strategy, evaluate policy, set priorities, plan, and monitor the effectiveness and impacts of interventions. This is in agreement with understanding of the purpose from the Public Service Commission (2008) (PSC) document which identifies the purpose as for management decision-making, which supports and augments management in the evidence-based decision making; organizational learning from information continuously produced from (M&E) systems where findings are analyzed and translated into action.

#### **2.4 TYPES OF MONITORING**

Monitoring as a phenomenon appears in two formats, namely implementation monitoring and results monitoring. Implementation and results based monitoring are equally important in tracking results. The researcher focused on implementation monitoring. Implementation monitoring tracks the means and strategies as capsuled in inputs, activities and outputs found in annual or multiyear work plans. The said means and strategies are supported by the use of management tools, including budgetary resources, staffing and activity planning. By implication, there is an interaction between means and strategies and outcome targets.

Therefore, targets are set according to what the means and strategies can potentially yield. This highlights the need to measure how well outputs are achieved using available inputs and activities. In addition to that, it is essential to examine the alignment of the outputs with the results the municipality hope to achieve over time set.

This draws the researcher closer to the concept of performance budget frameworks which is responsible for budget to outputs, but also helps officials manage to outcomes.

## 2.5 TYPES OF EVALUATION

Contemporary knowledge identifies generally recognised types of evaluation, which are classified into four categories, namely, performance-logic-chain evaluation, pre-implementation evaluation, implementation-process evaluation and outcomes/impact evaluation (Ile et.al 2014:133). These types of evaluation are briefly explained:

- Performance-logic-chain evaluation is referred to as “feasibility testing technique in the execution of an endorsed project or programme”. It assists in detecting shortfalls that could be addressed to yield greater improvement by the management.
- Pre-implementation evaluation is defined as an assessment to a design and implementation plan of a project or programme.
- It provides practicality to a detailed plan of an implemented design. It is also useful in illustrating logic that informs the success of desired activities.
- Implementation-process evaluation is generally focusing on guarding against deviations that are possible to emanate from human and or financial resources. This is beneficial for the administration of time management towards timeous completion of the activities.
- Outcomes/impact evaluation is “described only as an impact evaluation”. It is generally intended to determine tangible and or intangible gains that are produced beyond the completion of the project (Ile et.al 2014:133-4)
- It could be deduced that each of these types of evaluation are crucial and relevant to effective budgeting (Robinson, 2014:12). When all the above information is taken into consideration, certain findings or conclusions could be ensconced.

## 2.6 THE AIM OF EVALUATION IN SOUTH AFRICA

The aim of evaluation in South Africa is to address the lack of comprehensive reporting as a challenge in the performance in public institutions. (Presidency, 2011:1) affirms evaluation as a practice that is subsequent to a finished practice and or project.

Therefore, decision making by only relying on performance information gathered through monitoring for the purpose of reporting is not substantial, hence it does not expose inherent challenges that manifest lack of quality performance in all spheres of governments.

In answer to this issue, Engela and Ajam (2010:26) indicate that evaluation provides an opportunity to go beyond merely reporting to understanding why phenomena happen, which can take the form of the attribution of linking inputs, processes, outputs, outcomes, and impacts

within a broader conceptual perspective. When the above is taken into consideration, relevance, effectiveness, efficiency, value for money, impact, and sustainability are all key part of the main evaluation issues (Presidency, 2011:7).

Cloete and De Coning (2011:199) citing Davis, Newcomer and Soydan (2006:165) reveal that among other benefits, the evaluation could enhance the efficiency and cost-effective performance, and also reduce waste in all spheres of government, which then prompted national government to introduce an outcomes approach to service delivery in all three spheres of government.

## **2.7 THE BENEFITS OF EVALUATION**

Cloete *et al.*, (2006:248) write that the practical benefits of evaluation are those of providing a precise assessment of the nature and extent of the impacts that can be expected, and hence could help those with the responsibility to craft the strategy of the institution. In addition, Rabie and Goldman (2014:10) assert that the use of evaluation drawn report components inform the manager to plan, lead, organize and control better for the improvement of deliverables as emanating from endorsed vision, mission and set goals and objectives. All evaluation works serves as evidence, either for the success or the failure of the institution to perform delivering on the mandate to the institution. Extracted from the study conducted by Maepa (2014: 103) some benefits of evaluation could include:

- Improve learning and its feedback into policy and implementation;
- Ensure policy and management decisions are based on evidence;
- Better understanding on which the programme are cost effective;
- Understanding and to better able to overcome institutional bottlenecks to improved impact [adapting programmes];
- Better understanding and management of risks; and
- Ultimately, government intends that these should result in:
  - Strengthening the culture of use of evidence to improve performance;
  - Better policy planning;
  - Better resource allocation and minimizing negative unintended consequences of policy; and public being aware of what government does by way of public accountability.

These evaluation benefits are confirmed to be crucial for benefiting municipal council from executing performance evaluation.

## **2.8 EVALUATION CAPACITY BUILDING (ECB)**

Evaluation capacity is defined as capacity building plans that provide improvement or training on a range of (M&E) tools, methods, approaches, and concepts. MacKay (2002:42), suggests a more complete definition of evaluation capacity, by referring to ECB as:

*“An organization’s ability to bring about, align and sustain its objectives, structure, processes, culture, human capital and technology to produce evaluative knowledge that informs on-going practices and decision making in order to improve organizational effectiveness” (MacKay, 2002: 83).*

The definition provided above is simple in that it implies that capacity can be understood as the ability of people, organisations and society as a whole to manage their affairs successfully. In addition to the above, it also suggests that organisational capacity can be defined as the capability of an organisation to achieve effectively what it sets out to do.

Furthermore, the capacity of an individual, an organisation or a society is not static as it can change over time, and is subject to both internal and external influences. Many of these changes are unplanned. For example, an organization can lose capacity if key individuals leave or change positions within that organization. Capacity development on the other hand can be seen as a more deliberate process whereby people, organizations or society as a whole create, strengthen and maintain capacity over time (Simister & Smith, 2010: 3).

Boyle, Lemaire and Rist (1999:28) established that governments build evaluation systems in support of internal control system for the maintenance of improved governance. In addition, a credible working system gains momentum that influences performance of management in the public sector.

Furthermore, it is noted that in the absence of such a system, there is little objective evidence that one can turn to in order to ascertain the consequences of governmental actions and programmes (Boyle, Lemaire & Rist, 1999: 6). According to Rist, Boily and Martin (2011:34), evaluation capacity can be assessed in terms of four dimensions, namely Institutional Capital, Human Capital, Technical Capital and Financial Capital.

This section shall focus on the “Human Capital or Capacity” dimension of evaluation capacity for its relevance to this research. This dimension is also important because the municipal service delivery unit of the Department of Local Government has been challenged on it and also because it is a part of the capacity requirements for the implementation of a municipal (M&E) system that will lay a foundation for how the unit will assist municipalities in the Western Cape with their (M&E) functions.

In relation to the human capital dimension, Rist, Boily and Martin (2011: 8) argue that human capital is of primary importance for the production of (M&E) results. To begin with, there needs to be good capacity in terms of quantity and quality of (M&E) human resources (HR), both within the organization (M&E staff) and outside of the organization (external evaluators). Additionally, proper training and experience is needed to ensure well (M&E) as well as the set-up of a good multidisciplinary team. Furthermore, (HR) management is also important to ensure the stability of M&E personnel through greater retention, including the implementation of measures such as tailor made career paths and individual incentives (Rist, Boily & Martin, 2011: 8).

## **2.9 MONITORING AND EVALUATION SYSTEM**

Gosling (2003:96) defines a monitoring and evaluation system as an organized set of collection, processing, and dissemination activities designed to provide programme staff with the information necessary to plan, implement, monitor, and evaluate the end of programmes. This includes the definition of roles and responsibilities of the members who will be involved in the running of the system. It basically denotes a feedback system; a management tool to measure and evaluate outcomes, providing information for governance and evidence-based decision making (Gorgens & Kusek, 2009:2). International experience has shown that there are a number of generic system requirements for a functional (M&E) system.

The significance of this system requirement is that if it is in place, the implementation aspect surrounding (M&E) strategies and policies might be less complex. According to the Global Fund (2009), some of the important dimensions and associated performance goals in an (M&E) system can be summarized as follows:

Component	Performance Goal For This Component
<i>Organizational with (M&amp;E) functions</i>	Establish and maintain a network of organizations responsible for (M&E) at the national, sub national and service delivery levels
<i>Human capacity for (M&amp;E)</i>	Ensure adequate skilled human resources at all levels of the M&E system to ensure completion of all tasks defined in the annual (M&E) work plan. This includes sufficient analytical capacity to use the data and produce relevant reports
<i>Evaluation and research</i>	Identify evaluation and research questions, coordinate studies to meet the identified needs and enhance the use of evaluation and research findings
<i>Data dissemination and use</i>	Disseminate and use data from the (M&E) system to guide the formulation of policy and the planning and improvement of programs
<i>National, multi-sectoral (M&amp;E) plan</i>	Develop and regularly update the national (M&E) plan, including identified data needs, national standardized indicators, data collection procedures and tools and roles and responsibilities for implementation

**Table 2: Components of a functional M&E system (The Global Fund, 2009: 15)**

According to the 1998 Presidential Review Commission (PRC), the significance of having an (M&E) system in place is that it enables a systematic and objective assessment of ongoing and completed projects, programmes or policies, their design, implementation and overall results. The aim was to determine the relevance and fulfilment of programme or policy objectives, their development efficiency, effectiveness and sustainability. Systematic evaluation programmes or mechanisms could provide the government of the day with information that is credible and useful, that will also enable the incorporation of the lessons learned into the decision making process going forward (Scott and Joubert, 2005: 2).

Additionally, Gorgens and Kusek (2009:6), argue that sustaining an (M&E) system that can produce trustworthy, timely and relevant information on the performance of government, civil society or private sector projects, programmes and policies requires the overcoming of many (M&E) system challenges. The implementation of such a system would therefore require an approach based on experience, skill and real institutional capacity.

## **2.10 RESULTS-BASED MONITORING AND EVALUATION SYSTEM**

Gosling (2003:96) defines an (M&E) system as an organized set of collection, processing, and dissemination activities designed to provide the programme staff with the information necessary to plan, implement, monitor, and evaluate programmes. This is set to highlight roles and responsibilities of designated officers involved in progressive administration of the running

system. Results-based monitoring and evaluation system draws attention to tangible results that are viewed as evidence. Decision of business continuity are drawn from information produced by a government employed system (Gorgens & Kusek, 2009:2).

The Results-based (M&E) system is a widely used technique in the (M&E) practices. This is due to its understandability and easy to use character. The significance of this technique is that if it is in place, the implementation aspect surrounding (M&E) strategies and policies might be less complex and functional. The Results-based (M&E) technique is important for a number of reasons, which includes the credible source of information pertaining to organizational performance thereby generating the kind of information decision-makers can ascertain whether outcomes were achieved or not. Ultimately this can promote credibility and raise public confidence and trust in the organization, this supporting the notion of transparency and accountability (Imas and Rist, 2009:106), which strengthens governance and establishes a performance culture within governments (Angela and Ajam, 2010: ii).

Lahey (2009:9) asserts that the rationale for introducing an (M&E) system is:

*“The broad goal in investing in an M&E system has been to generate and use ‘results’ information that supports the government’s management agenda from the perspective of both ‘learning’ and ‘accountability’ in the design and delivery of government policies, programmes and services and the use of public funds. In this way, performance reporting generally aims to tell a ‘performance story’ rather than simply reporting on a limited set of indicators in the context of an accountability ‘scorecard’.*

Behn (2003:588) further argues that a more balanced approach between learning and accountability aspects is needed in that authorities can be clear on their purposes to measure performance, as one cannot expect all purposes to be served. The critical purpose of the outcome performance system is to guide the direction of policy implementation and not only measure outcomes and outputs.

However, Weiss, Murphy-Graham, Petrosino and Gandhi. (2008:31) suggest that evaluation findings in some governments have poor or no influence on policy, pointing out that evidence-based policy making becomes more of an inspiration than reality. In some cases, the strategy is to impose the use of evaluation evidence, for example, funding of programmes that can show success. This functionally militates against the objectives of evidence-based programmes.

**2.10.1 Components of a Functional (M&E) system**

Ideally, an (M&E) system requires multiple angles of approach for the comprehensibility of a system. To date, there are a number of main components used in order to function effectively and efficiently and to achieve the desired results. Gorgens and Kusek (2009: 7-8) further claim 12 components of a functional (M&E) system and they argue that for any (M&E) system to be fully functional, it is important that these components are in place. These twelve (M&E) components are discussed in detail below:

1. Structure and organizational alignment for (M&E) systems	2. Routine Monitoring
3 Human Capacity for (M&E) systems	4. Periodic surveys
5 Functional (M&E) partnerships	6. Databases useful to (M&E) systems
7 (M&E) work plans	8. Supportive supervision and data auditing
9 Costed (M&E) work plans	10. Evaluation and research
11 Advocacy, communication and culture for (M&E) systems	12. Using information to improve results

**Table 3: Components of a functional (M&E) system (Gorgens and Kusek, 2009)**

**2.10.1.1 Structure and organisational alignment for (M&E) systems**

The adequate implementation of (M&E) at any level requires that there is a unit whose main purpose is to coordinate all the (M&E) functions at its level. While some entities prefer to have an internal organ to oversee its (M&E) functions, others prefer to outsource such services. This component of (M&E) emphasizes the need for an (M&E) unit within the organization, how elaborate its roles are defined, how adequately its roles are supported by the organizations hierarchy and how other units within the organization are aligned to support the (M&E) functions within the organization (Gorgens and Kusek, 2009:6).

**2.10.1.2 Routine Monitoring**

(M&E) consists of two major aspects: monitoring and evaluation. This component emphasizes the importance of monitoring. Monitoring refers to the continuous and routine data collection that takes place during project implementation. Data needs to be collected and reported on a continuous basis to show whether the project activities are driving towards meeting the set objectives. It also needs to be integrated into the program activities for routine gathering and analysis.



### **2.10.1.3 Human Capacity for M&E systems**

An effective (M&E) implementation requires that there is not only adequate staff employed in the (M&E) unit, but also that the staff within this unit have the necessary (M&E) technical know-how and experience. As such, this component emphasizes the need to have the necessary human resource that can run the (M&E) function by hiring employees who have adequate knowledge and experience in (M&E) implementation, while at the same time ensuring that the M&E capacity of these employees are continuously developed through training and other capacity building initiatives to ensure that they keep up with current and emerging trends in the field.

### **2.10.1.4 Periodic surveys**

This involves majorly the national level (M&E) plans and entails how frequently relevant national surveys are conducted in the country. National surveys and surveillance needs to be conducted frequently and used to evaluate progress of related projects. For example, for human immune virus (HIV) and ..... immune deficiency syndrome (AIDS) national (M&E) plans, there needs to be (HIV) related surveys carried at least bi-annually and used to measure (HIV) indicators at the national level.

### **2.10.1.5 Functional M&E partnerships**

A prerequisite for successful M&E systems whether at organizational or national level is the existence of M&E partnerships. Partnerships for M&E systems are for organizations because they complement the organization's M&E efforts in the M&E process and they act as a source of verification for whether M&E functions align to intended objectives. They also serve auditing purposes where line ministries, technical working groups, communities and other stakeholders are able to compare M&E outputs with reported outputs.

### **2.10.1.6 Databases useful to M&E systems**

The data world is gradually becoming open source. More and more entities are seeking data that is relevant for their purposes. The need for M&E systems to make data available can therefore not be over-emphasized. This implies that M&E systems need to develop strategies of submitting relevant, reliable and valid data to national and sub-national databases.

#### **2.10.1.7 M&E framework**

The M&E framework outlines the objectives, inputs, outputs and outcomes of the intended project and the indicators that will be used to measure all these. It also outlines the assumptions that the M&E system will adopt. The M&E framework is essential as it links the objectives with the process and enables the M&E expert to know what to measure and how to measure it.

#### **2.10.1.8 Supportive supervision and data auditing**

Every M&E system needs a plan for supervision and data auditing. Supportive supervision implies that an individual or organization is able to supervise regularly the M&E processes in such a way that the supervisor offers suggestions on ways of improvement. Data auditing implies that the data is subjected to verification to ensure its reliability and validity.

Supportive supervision is important since it ensures the M&E process is run efficiently, while data auditing is crucial since all project decisions are based on the data collected.

#### **2.10.1.9 Costed M&E work plans**

Closely related to the M&E frameworks is the M&E Work plan and costs. While the framework outlines objectives, inputs, outputs and outcomes of the intended project, the work plan outlines how the resources that have been allocated for the M&E functions will be used to achieve the goals of M&E. The work plan shows how personnel, time, materials and money will be used to achieve the set M&E functions.

#### **2.10.1.10 Evaluation and research**

One aspect of M&E is research. The other is evaluation. Evaluation of projects is done at specific times most often mid- term and at the end of the project. Evaluation is an important component of M&E as it establishes whether the project has met the desired objectives. It usually provides for organizational learning and sharing of successes with other stakeholders.

#### **2.10.1.11 Advocacy, communication and culture for M&E systems**

This component refers to the presence of policies and strategies within the organization to promote M&E functions. Without continuous communication and advocacy initiatives within the organization to promote M&E, it is difficult to entrench the M&E culture within the organization. Such communication and strategies need to be supported by the organization's hierarchy. The existence of an organizational M&E policy, together with the continuous use of

the M&E system outputs on communication channels are some of the ways of improving communication, advocacy and culture for M&E.

#### **2.10.1.12 Using information to improve results**

The information that is gathered during the project implementation phase needs to be used to inform future activities, either to reinforce the implemented strategy or to change it. Additionally, results of both M&E outputs need to be shared with relevant stakeholders for accountability purposes. Organizations must therefore ensure that there is an information dissemination plan either in the M&E plan, Work plan or both.

### **2.11 THEORIES OF PERFORMANCE MANAGEMENT IN MONITORING AND EVALUATION**

Hanekom and Thornhill (1994:48) regard a “theory as representing a developmental understanding of a system or statements used to explanation facts or phenomena, based on values, and usually forming the basis for a chain of reasoning”. A theory is required to increase knowledge and to increase an understanding of the world in which people live. It is understood that an increase to knowledge is usually achieved through the discovery of facts and general laws. It is, therefore, imperative to understand that service delivery and mandated development must be anchored by the adoption of administrative theories as sources for the increase of knowledge to the practitioners.

Rabie and Goldman (2014) confirms this by saying “it can be extrapolated that evaluation practice in provincial government should: support efficient, economic and effective use of resources; encourage development – orientated public administration and accountability; encourage the public to participate in policy development; foster transparency by providing the public with timely, accessible and accurate information relevant to public goods and services”.

Hanekom and Thornhill (1994:57) established that generic administrative practices are organizing, planning, leading, financing, staffing, and determining of work methods and procedures, and controlling. All these functions are important in the implementation of performance M&E. These theories, amongst others, include classical theories and systems theories.

### 2.11.1 The classical theory

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

Kurtz and Boone (1992:28) write that Taylor outlined four principles that constitute scientific management:

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

This indicates that classical theory is interrelated with performance M&E. The fact that new performance improvement methods were discovered subsequently led to a specific reference known as "scientific management". The basis for this was premised on the fact that the worker was regarded as an extension of the machine that should perform efficiently, hence the name machine model.

In addition to this method, monetary rewards were also expected to motivate workers to perform as effectively and efficiently as the machine could. Although workers are not machines, there was an expectation to perform duties as efficiently as the machines. Regarding the performance challenges of M&E, workers should be entitled to bonuses when it is evident that performance was extraordinary (Hanekom and Thornhill, 1994:75).

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

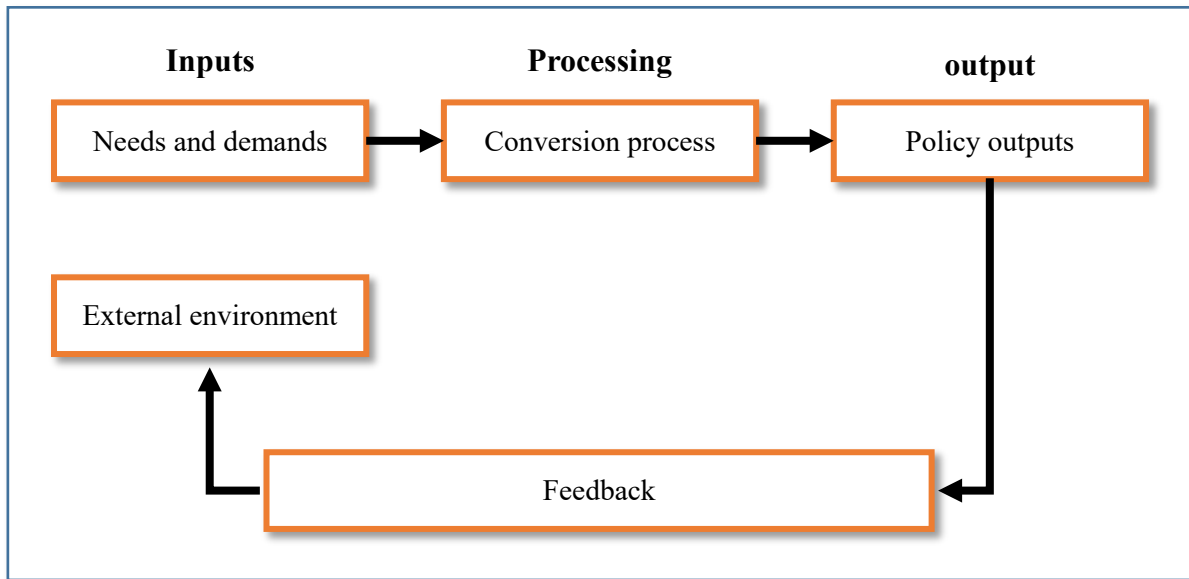
### **2.11.2 Systems model**

Van Niekerk, Van der Waldt and Jonker (2001:98) define a system as a physical or conceptual entity composed of interrelated parts.

Robbins (1991:577) asserts that the systems approach is an approach that facilitates the use of an organization as an entity that acquires inputs, engages in transformation processes, and generates outputs. This means that both means and ends are highly considered in improving the effectiveness and efficiency of an organization. Inputs are referred to as means towards achieving ends, which are the outputs.

Kurtz and Boone (1992:39) write that a systems theory is another facet of thought with its thinking and viewpoints having been adopted from the military by many organizations. This has taken a central stage in management of today with the specific and peculiar words used.

The following is a diagram showing the systems model as proposed by Easton.



**Table 4: The Systems Model of Easton (Dye: 1987)**

## 2.12 THE FOLLOWING COMPONENTS CONSTITUTE THE SYSTEMS MODEL

### 2.12.1 Environment

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

These categories could be economic, social, political and physical environments. This means that the municipality should not underestimate any of the environmental factors in its quest to render services to the communities. Performance monitoring could be highly influenced by the environmental factors. Bayat and Meyer (1994:88) illustrate the environment as having an influence on the institutions. This was done through asserting that there is a discernible point where a system ends, and “rest of the world” starts. It can be deduced that the environment has a potential to influence the inputs required in performance M&E of the municipality.

### **2.12.2 Inputs**

According to Fox, Schwella and Wissink (1991:32), inputs comprise the initiatives from the environment, such as perceptions or opinions, demands, attitudes and different behaviors displayed by the citizens, pressure groups and interest groups. Van Niekerk *et al.* (2001:98) maintain that systems require inputs from the environment. The needs of the environment are satisfied by the resources generated from the environment. Resources could either be financial or human.

The systems model is of cardinal importance in policy-making, as the demands of the people are channeled to government through the public representatives – either in parliament or in municipal councils. These demands are converted into an agenda, in order to have them satisfied. Thus, the inputs are collected and processed to enhance the quality of life of the community.

### **2.12.3 Processing**

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

### **2.12.4 Outputs**

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

### **2.12.5 Feedback**

Feedback is the one of the most important concepts in Easton's systems model. It represents the influence of the political system on its environment, and comprises the support or demands that flow back into the system, as a result of the decisions and actions of the authorities (Bayat and Meyer, 1994:88).

Fox *et al.* (1991:32) on the other hand, referred to feedback as the inputs from the environment before and after the policy output. Notably, there is a need to understand that theory advancement has led to the introduction of the new public management, which also focuses on more effective and efficient government institutions, including local government.

It is also important to understand that classical theory can be linked with the new public management (NPM), in order to have a synergy of the evolution of theories of administration and seamless influence on the improvement of performance of officials of a municipality.

### **2.13 INSTITUTIONALISATION OF MONITORING AND EVALUATION**

According to Boyle (2005:5), institutionalization of evaluation refers to the establishment of rules, procedures and organizational arrangements by which evaluations of public policy are produced. Alternative descriptions refer to the process of making evaluation practice legitimate and formalizing evaluation practice as part of the decision-making process of government. It refers to formal processes and rules that govern. Institutionalization is the process in which the M&E system will gain an institutional (structural) role within an organization and consequently contribute to effectiveness.

The key element of an effective and sustainable M&E system is institutional strengthening. What would strengthen M&E is the amount of authority and autonomy given to the office tasked with carrying out M&E tasks (Lopez Acevedo et al. 2012:52). The institutionalization of M&E features as an important congruent element to an organisation. It is imperative for an organisation to own its adopted monitoring and evaluation system.

The monitoring and evaluation system mentioned above should be introduced with clear structures, organisational alignment, strategy, management of performance, organisational culture and capacity for monitoring and evaluation. The institutional framework commonly determines the functionality and interactions of the components. In the focus of the study undertaken, institutionalization becomes an important point of analysis as this is one of the ways of sustaining the M&E system within an organization.

### **2.14 CHALLENGES OF PERFORMANCE MONITORING AND EVALUATION**

Throughout the world, people are demanding better and more services from national and local governments to maintain or improve the quality of people's lives. South Africa is no exception.



On the contrary, Engela and Ajam, (2010; (PSC, 2007), and Latib and Goldman (2012) assert that M&E in public institutions is generally practiced in a fragmented manner as implemented by the institutions but is not consolidated into organization's mechanisms. Local government has an important role to play in improving communities' lives by providing and delivering basic services, including providing access to potable water, proper sanitation, housing by arrangement with provincial government, a sustainable electricity supply, and regular waste removal. (Craythorn 2006).

The main challenge clouding M&E discipline is to understand that monitoring practice in contrast to evaluation practice are two different practices. The researcher in this study has realized that monitoring is confused with monitoring and evaluation or even confused as synonyms. The observed confusion has a potential of mystifying the practices in these two streams of works. The Municipal Systems Act endorses only the monitoring practice and is silent to the pivotal and supplementary evaluation practice.

M&E practices are executed under different supervisions with no coordination. Despite the employment of M&E in the government-wide environment and in local government in particular, the element of evaluation is still largely not used. Besides the challenges that are caused by the absent implementation of monitoring that is complemented by evaluation, there is a significant shortage of evaluator officials. The exacerbation of this challenge persists in the local government level where there is lack of capacity (Bolton, 2006; Eyaa & Oluka, 2011).

Considering a pivotal nature and significant value of internal audit function in the public sector, (Barac and Van Staden 2014; Coetzee 2014; Erasmus and Fourie 2014; Motubatse 2014; Plant 2014; Steyn 2014; Van Gansberghe 2005), it is worth to establish the challenges that are faced by the internal audit function (IAF). It is observed that external auditors are primarily focusing on supplementary documents that are verifying the payment of paid invoices and little confirmation of the product or service rendered for accountable reporting. Entrusted with enforcement of policies and internal system(s), the (FIA) is falling short in monitoring, M&E processes. Lack of managerial support to practice and administer M&E is also an exponential challenge.

The often violent service delivery protests since 2005, if left to continue unabated, could pose a major threat to South Africa's fledgling democracy (Shaid, Taylor and Raga 2014:103).

It is important for municipalities to design and implement a comprehensive M&E system to confront the said challenges. Being the government closest to the people, it is to be expected that a core function of each municipality is rendering a variety of basic and essential services to the community in its jurisdiction (Roux 2005:69). In essence, the said developmental responsibility is associated with rapid challenges that emanate from adopted operational system. Prowse and Prowse (2009:71) established multiple criticisms associated with monitoring and evaluating performance of individuals in organisations including untrained appraisers, central tendency effect, organisational politics, tighter management control over professionals and staff and biasness related to gender and ethnicity.

## **2.15 CHALLENGES RELATED TO EMPLOYEE PERFORMANCE MONITORING AND EVALUATION**

Siddique (2010:47) posits that managing for results requires effective monitoring of performance. This is evident when coupled with the endorsement of evaluation as institutionalized practice. Ahmed, Sultana, Paul and Azeem (2013) affirm that performance evaluation is a component of human resource function that looks for assisting organizations and individuals to improve their performance. Public employees were also brought into the strategic planning process to develop individual strategic objectives and goals based on their departmental and ministerial strategic objectives and plans. This planning process was aimed at linking and aligning the ministerial, departmental and employee strategic objectives and performance plans. In other words, the performance management system (PMS) process was used to introduce the strategic planning and management process into government, a management process which is commonly used in the private sector (Armstrong, 2009).

The PMS has led to public institutions developing strategic objectives and plans which were linked and aligned to the national vision and the national development planning process (Republic of Botswana, 2009). Strategic objectives and plans of public institutions were linked to departmental and individual performance plans.

The strategic plans for individual Ministry and Department were focused on main objectives as coupled to the responsibilities and key performance areas and indicators with the overall aim of delivering effective and efficient service to citizens (Republic of Botswana, 2009).

## **2.16 CHALLENGES RELATED TO MINISTERIAL PERFORMANCE MONITORING AND EVALUATION**

The DPME introduced the (GWM&ES) as a score card in order to focus on improving efficiency and effectiveness in service delivery and to perform well in the areas of financial, customer services, internal processes and learning and growth.

MacKay (2006b:7), opined that “it is imperative that M&E is coordinated by a proficient Ministry that is close to the centre of government or budget process such as the President’s office”. In addition, Shapiro (2011), advanced that “it is not a crime to fall and rise in the learning process. However, reluctance to learn from past shortfalls due to lack of monitoring and evaluating is”. The latter signifies the exponential challenges resulting from displacing the M&E. Below are the identified challenges currently facing the Drakenstein Municipality.

Lack of legal prescript that compels municipalities to integrate the evaluation practice in the reporting requirements is viewed as a factor towards adverse results in evidential reporting. Existing GWM&E as a legal tool is disregarded. In some areas of performance, municipal councils become acquainted with unwanted results and simply condone the presented ordeal report without advising the relevant Minister for timeous corrective intervention. This is largely enabled by its autonomous right of administration in municipal functions. Brigstocke (2013: 108) asserts that authoritative authority was functioning on entrenched specified effective correlation between authorities and those submitting to accounting authority.

Hence silence by the internal audit on reports that lack comprehensiveness in regard to highlighting experienced challenges becomes a challenge. The effects that satisfy the anticipated needs of stakeholders and clients are the delivery (Steyn, 2013:3). In terms of service delivery, lack of evaluation subsequent to housing allocation to intended beneficiaries fails to give a reflection of the value of the employed resources. This is confirmed by (Russell, 2012:20), who asserts that “a key objective to reporting is to avoid surprises”.

Surprisingly, internal audit is observed to be falling short in spearheading evaluation practice that could guarantee reliable financial reporting and compliance with laws and regulations. Reporting should be the function of managers to produce useful, reliable and practical data. (Van der Waldt, 2004: 95; Kgechane, 2013: 27).

## 2.17 LIMITATIONS OF THE MONITORING AND EVALUATION SYSTEM

The M&E system discussed above is critical for this case study analysis as challenges can limit the efficiency and accuracy of the M&E system creating an administrative burden. There are many political, institutional, and technical challenges in building and sustaining the M&E system. The M&E system is an essential component of governance structures which makes it fundamentally related to political and power systems. The M&E system provides critical information and empowers the governance structures to make better-informed decisions (Gorgens and Kusek 2009:6).

In the whole M&E administrative concept, the role of political leadership is to ensure institutionalization and sustainability of an M&E system. Mackay (2007:101) highlights six main challenges that pose a danger in sustaining M&E:

- The belief that M&E has intrinsic merit;
- A technocratic approach to capacity building that focuses solely on the supply-side and not prioritizing the demand-side of the M&E system;
- Rigid adherence to a predetermined action plan for building an M&E system instead of first creating a good vision for the M&E system and its implementation plan;
- The limitation of relying on laws, council resolutions, and regulations as principal means to institutionalize M&E within the municipality;
- The danger of over-engineering an M&E system, particularly through multiple monitoring systems with an excessive number of performance indicators.
- In this regard, Jacobs, Barnets & Ponsford (2010:43) also argue that over-engineered and complex monitoring systems that are developed as a result of top down approaches can become too cumbersome and uncoordinated to be useful; and
- The search for the ideal government M&E system. It is important that the M&E system is tailor-made for the M&E needs of a specific municipality or organization.

Kusek and Rist (2004:159) highlight the challenge of lack of skilled M&E professionals, technically trained M&E personnel and a greater demand for capacity. Authors have looked at different countries with working M&E systems to draw some lessons from the challenges they are experiencing. Lopez-Acevedo et al (2012:180) highlighted one of the main M&E system's challenges faced by Mexico is sustaining the use of the M&E system in budget decisions and policy making.

In MacKay, (2007:123) four challenges facing the M&E system are listed from the experience of Colombia as the lack of a single, clear conceptual framework, a need to clarify the roles and responsibilities of the organizations; absence of clear links between planning, budgeting, and evaluation, and problems with the availability and frequency of data, as well as problems with data quality controls.

## **2.18 NEW PUBLIC MANAGEMENT (NPM)**

Lane (2000:304) asserts that new public management (NPM) provides a set of new ideas about how government can complete the job with more efficiency. It is a general theory about how government can get things done; how government can get services organized and offered to citizens within a reasonable waiting time period. It is opined that NPM is not about internal dynamics, but about what happens after Parliament has decided on the objectives. This means that the local government should endorse the implementation of the set objectives as committed in the IDP adopted by the Council. Implementation of IDP objectives could help in achieving and enhancing performance. This can assist in radically turning around the situation in the municipality.

Henry (2010:142) advances an argument that identifiable antiquated managerial ways which, inter alia, included national deficits and rigidity, led to the emergence of “liberation management”. This concept of management does not express laxity on performing administrative functions, but it only expresses the flexibility that allows for the innovative measures of managers and practitioners of public management. Bovaird and Loffler (2004:127) indicate that the NPM actively emphasizes the significance of performance measurement as a management tool in government. Management instruments, such as performance pay, performance contracts or performance budgets, are implemented through the gathering of accurate performance information, which the institution is expected to have.

Shaw, Schneider, Beatty and Baird (1995:3) concur when referring to performance measurement and management as a tool for strategy execution.

The argument is driven forward by stating that in many organizations performance measurement and management systems are little more than human resource bureaucracies with forms, rules and review layers. There is also a notion that these paper-driven systems are regarded as burdens to the managers, and in consequence, are taken to be done as options, or

not done at all. For example, if the municipality does not comply with this, it means that it prepares its plan to fail.

### **2.18.1 The characteristics of the new public management**

Henry (2010:142-143) writes that the NPM is a proactive commitment to entrepreneurial and accountable innovation in governance for the purpose of raising governmental performance that may be reduced to the following features or characteristics:

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

and its consequences. The organization, in this instance, the municipality, is expected to practice modern methods in order to satisfy its citizens.

- That could remedy the situation wherein the citizens embark on strikes and mass actions against underperformance. The following table depicts the NPM, as practiced by the public sector.

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

**Table 5: New Public Management and its Core Measures. (Gow and Dufour: 2000)**

In conclusion, it should be acknowledged that the implementation of performance M&E requires committed institutional personnel with political office bearers who have high regard of good governance that embraces and encourage accountable, transparent and responsive local government, as envisaged in the Constitution of the Republic of South Africa, 1996.

In addition, it can be deduced that municipalities cannot effectively manage the implementation of performance M&E without adhering to the legislative framework. Theories can also be regarded as the basis for effective and efficient implementation of service delivery concepts in all municipalities.

## **2.19 ADMINISTRATIVE DEFICIENCIES IN PERFORMANCE MONITORING AND EVALUATION**

### **2.19.1 Lack of appraisal skills**

The HR section of a public institution has a role and responsibility of comprehensive management of an individual performance and that of an institution. This is done to monitor the total utilisation of resources provided towards accomplishment of the goal within the time set. It is for this reason performance M&E is revised by examining performance appraisal at employee, institutional and ministerial levels. Performance appraisal is therefore based under Theory X which was advocated by McGregor (in Cole, 2011:301) and this is a management style which assumes that people are unreliable, unable to take responsibility and need close supervision and control. Cole further asserts that the performance appraisal model is based on a cyclical process entailing setting of performance standards which are assessed against set standards or criteria.

Performance appraisal could be a complex and stressful process for the supervisors and individual personnel members. Inconsistency in rating due to lack of training and unclear performance objectives could impede the desired implementation and rewarding of good performance (Kealisitse, O'Mahony, Llyod & Michael and Polonsky 2013:49). Lack of good communication could compromise constructive criticism and prompt feedback.

Siddiquee (2010) asserts that in other countries, criticism is avoided at all levels especially by the down-up approach. Problems may arise when managers and employees are not given the necessary training, appropriate guidance and support by the HR department to conduct effective performance reviews. Armstrong (2009:638) posits that study conducted on performance reward revealed that 88 % of line managers were not in possession of the required skills, with 84% of managers assessed performance with integrity while 74% were unwilling to conduct performance review.

Some of the appraisal problems include inconsistency in rating, unclear performance standards which may lead to subjectivity, leniency or strictness in rating and bias based on personalities or traits of employees. This could be a result of bias and favouritism in rating where non-performing friends or allies are rated high and poor performance is rewarded at the expense of high performers. This can contribute to negative attitudes towards work and under performance.



Some managers may have problems giving constructive criticism and regular feedback and communicate effectively with employees when it is time for performance review.

### **2.19.2 Poor supervisory skills**

The role of supervisors and line managers is to make sure that the subordinate employees perform the given tasks according to their job descriptions and individual performance plans. The managerial officers are entrusted with the role to support and give guidance to subordinates in order to identify, prepare for the achievement of the set objectives set in performance plans in alignment with the organisation. (Nel et al., (2011:420). Line managers should be made to give account for the performance of their subordinates and attend to cases of poor performance.

Daily monitoring of activities should be the order of the day and effect corrective action including reprimanding and recommending necessary training on employees who consistently under-perform. Nel et al. (2011:421) pointed out that poor supervisory skills especially in performance monitoring and review is a factor that contribute to subordinate employees not being able to perform daily tasks and only afforded feedback during performance reviews.

### **2.19.3 Performance and effort**

Elnaga and Imran (2013) and Nassazi (2013) assert that training and development is a function ideally performed inside the HR management unit for the purpose of fulfilling the gaps between contemporary and desired performance. Some challenges of change and their ability to advance performance M&E is caused by a lack of training of employees who are conducting PMS in self-scoring and advance the cause of organization's existence. Taylor and Taylor (2011:28) opined that the other reason that causes difficulty in aligning and linking key performance areas with policy and program implementation outcomes is the limited training and lack of knowledge to link effort, performance and reward.

For the public service staff code, Van der Walt and Du Toit (1996: 394) define management training and development as “all those planned and purposeful activities which enables or assists public servants to improve their knowledge, skills insight, attitude, values and working and thinking habits in such a way that they are able to perform a designated or intended job or task more efficiently”.

This implies that HR departments should render focused efforts in training supervisors and junior officers to redirect their motivation to include an inspiration to serve the public with prudence and diligence. Mwema and Gachunga (2014) confirm that the accomplishments that are attained by the organization depend on the performance of its employees. Subsequently, this would yield to progressive developmental administrative functioning that triggers momentum towards good and plain governance.

#### **2.19.4 Poor working conditions and poor work ethic**

Another factor contributing to limited success for reforms to enhance HR in the public sector is the tendency to avoid criticism during the appraisal process for not achieving targets as planned. In addition, employees tend to set easy targets that would enhance chances for a financial reward as opposed to a developmental reward due to the need to improve their livelihood. Salaries and wages or the working conditions in the public service are not always as attractive as in the private sector. Taylor and Taylor, (2011:29), cited that to compensate for the difference, some public servants especially at junior level and those motivated by extrinsic rewards would tend to equate pay with the amount of work done and would not go an extra mile to deliver quality service to the public. This also contributes to a negative attitude towards work and a poor work ethic (Lesemela, 2014:29).

The public service continues to be marked by poor performance monitoring and service delivery in some public sector institutions. For example, the housing delivery is overwhelmed by public complaints for poor quality of service by relevant authorities, shortage of skilled and innovative staff and absence of care as after service in checking the house condition in the next season. As pointed out by Marobela (2008:431) reforms have not realised the intended objectives, improving performance and still remains the ‘holy grail’ of the reinvented governments.

#### **2.19.5 Lack of monitoring and evaluation skills**

Systems and structures to regularly monitor and evaluate performance have been established when public sector reforms were introduced particularly with the advent of PMS and the GWM&ES. In addition, outsourcing of non-essential government services was introduced in order to make government lean and public servants to focus on core services related to programs and policy implementation.

These reforms were introduced so that government can concentrate on implementing projects, programs and policy in the housing and public works in general. However, at the national level,

project implementation, M&E remains a challenge in government, such as delays in project completion and overrunning of costs. Most public servants responsible for project monitoring and implementation complain of lack of skills and training in project implementation, M&E, hence poor M&E of public programs and projects. South Africa is not the only country struggling with public sector reforms aimed at enhancing performance M&E.

Reforms related to performance management and evaluation have had mixed outcomes in developed countries such as the United Kingdom, United States of America, Australia, Germany and developing countries such as Kenya, Eritrea and Malaysia. Governments in developed and developing countries are continuously striving to perfect their PMS through regular reviews and assessments. At the employee level, there is general lack of knowledge in the performance management and appraisal skills. Although reforms were introduced such as performance management and appraisal systems and the score card to enhance M&E of performance, there is general lack of skills by line managers on how to conduct an appraisal interview. Line managers lack skills and competencies on how to give constructive feedback and monitor performance throughout the year (Mpabanga, 2011:29).

The White Paper on HR Management in the Public Service (1997:2) as cited by Dzansi and Dzansi (2010:995) states that HR Management in the Public Service will result in a diverse, competent and well-managed workforce capable of and committed to delivering high quality services to the people of South Africa. It continues by saying that this should become a model of excellence, in which service to society stems from individual commitment instead of compulsion. That implies that proper HR management and employee commitment are both critical to achieving service excellence. It could be concluded that this would materialize in prevalence and sustained M&E practices which every institution of authority must comply to.

## **2.20 GWM&ES IMPROVEMENT STRATEGIES**

In more than a decade to date, the government of South Africa adopted a governmental general use of M&E approach for all government institutions.

Cloete (2009:23) further provides a few improvement strategies that government may consider in order to achieve a successful system that will improve service delivery across the country. The strategies provided by Cloete (2009:23) are:

- There is a need for coherent and feasible, integrated and holistic national vision to guide M&E activities;
- Environmental and sustainability indicators should be integrated into mid-term development indicators, as well as distinguishing output from outcome and impact indicators;
- Fast track roll-out of systems to provincial and local government levels;
- There is a need for an M&E coordinating unit in the presidency;
- Intergovernmental communication and marketing for GWM&ES should be improved; reduction of internal territory battles and overlapping M&E mandates among the main stakeholders; and
- Most importantly, the government should build an organizational culture of network cooperation rather than hierarchical competition.

## **2.21 NATIONAL EVALUATION POLICY FRAMEWORK (NEPF), 2011**

In November 2011, Cabinet approved the National Evaluation Policy Framework (NEPF) which makes provision for the establishment of a National Evaluation System (NES) and development of the National Evaluation Plan (NEP) for South Africa. The NEPF provides a clear framework for implementing evaluation activities – and serves as a valuable reference point in ensuring consistency of approach, while also allowing individual departments to customize the system to suit their needs.

The NEP is produced annually in terms of the requirements of the NEPF. The aims of the NEPF and the NES are to improve:

- Policy or programme performance - providing feedback to managers;
- Accountability for where public spending is going and the difference it is making;
- Decision-making e.g. on what is working or not working ; and
- Increasing knowledge about what works and what does not with regards to a public policy, plan, programme, or project.

The NEPF sets the approach, describes the evaluation system and how to make the system work. The NEPF describes the six types of evaluation promoted across government, which are diagnosis, synthesis, design evaluation, implementation evaluation and impact evaluation. The types of evaluation are based on the logic model which connects inputs to activities, outputs,

outcomes and impacts, which is also used in the Framework for Managing Programme Performance Information (NEPF, 2011:8-10).

The NEPF promotes institutionalization of evaluations in government by providing budgetary resources linked to planning. NEPF is perceived and intended to adduce annual feedback containing comprehensive accountability and lessons learnt from the past assignments or programme. (NEPF, 2011:15). The NES, a component of the NEPF, has over 12 approved sets of practical and user friendly guidelines and templates, competencies for staff managing evaluations, and evaluation standards. These are meant to support departments that administer evaluations, influence the quality of evaluations and deepening evaluations from the planning for implementation programmes.

Evaluation standards and competencies for programme managers, M&E specialists and evaluators are being used to develop quality assessment tools (NEP, 2013:2). An improvement plan is an expectation based on the recommendations of the evaluations.

## **2.22 AN OUTCOMES APPROACH**

According to the late former Minister in the Presidency, Collins Chabane (2010), since 1994, the South African government has achieved a great deal in providing services to the people, in all spheres. Unfortunately, a huge increase in expenditure could not produce the required results, which is the reason why an outcomes and measurable outputs approach was introduced. Among the twelve (12) key outcomes introduced, the Cabinet has identified outcome nine (9) as a local government performance outcome, and relates to a responsive, accountable, effective and efficient local government system.

Chabane (2010), opined that key outputs for local government would be to meet the basic needs of communities, building a clean, responsive and accountable administration.

In view of the above, clear statements of outcomes for achievement and clear indicators, baselines, as well as targets to measure change should ensure that local government gets reliable information, which can be used to monitor progress, evaluate government successes and plan to improve performance (Guide to the Outcomes Approach, 2010:10).

To this effect, in order to ensure the evaluation of outcomes successfully, outcome statements should be specific with regard to the target, and the required level of change or difference to be

achieved, as well as the time schedule for achieving such a difference (Cloete & De Coning, 2011:204). Subsequently, it becomes clear that national government is taking measures to improve performance, and also committing itself to assist and support municipalities in their endeavours to deliver services efficiently and effectively to the people. In this way, the subsequent intergovernmental agreements on the ideal scope of services would also increase expenditure prioritisation, which leads to the issue of linking evaluation with budgeting.

### **2.23 HOUSING**

Housing is regarded as a necessity that is equally recognized as basic human right (Manomano, Tanyi and Tanga, 2016). In Cornwall Local Plan: Housing Evidence Base, housing backlog is defined as “the under provision in housing that has accrued against previous development plan targets”. Mpehle (2016) subscribes to Reitzes (2009:6) who quantified the housing backlog in South Africa to more than 1, 3 million since 1990. Due to many houses that are awaited as delivery, it is believed that the housing backlog is on the constant rise. Manomano et.al. (2016) recommended that the first come first serve principle in underpinning the restoration of hope and confidence and to ascertain no tempering with the implementation of housing register, relevant authorities against corruption are allowed to investigate and make binding recommendations. Municipal Systems Act No 32 of 2000, provides that housing is a Schedule 4A function, which means that it is a concurrent function shared by national and provincial government. By implication, it is suggested that housing is not a responsibility of a municipality.

However, section 40 (1) of the constitution enables the administration of housing by a municipality as is enshrined saying “in the Republic, government is constituted as national, provincial and local spheres of government which are distinctive, interdependent and interrelated, (2) All spheres of government must observe and adhere to the principles in this Chapter and must conduct their activities within the parameters that the Chapter provides.”

In essence, the principle of interdependent and interrelatedness mentioned above are the core to qualifying a municipality for housing administration. In prescribing to legal rule of the above mentioned legal instruments, the realization of speedy housing delivery could be attained through the acknowledgement of Section 41 of the Constitution of the Republic of South Africa, 1996. In compliance to the above, the principles of co-operative governance and intergovernmental relations will come to play for progressive effective and developmental local government. The reality of housing delivery is, however, that it is an integrated function

performed by all three spheres of government who each perform specific roles. The National Housing Code sets out the key functions of national government in housing which includes, but is not limited to:

- (a) Determining national policy, including norms and standards, in respect of housing development;
- (b) Setting broad national housing delivery goals; facilitating the setting of provincial housing delivery goals and; where appropriate, facilitating the setting of housing delivery goals of a municipality;
- (c) Monitoring the performance of the housing sector against housing delivery goals and performance indicators, in co- operation with every MEC;
- (d) Assisting provinces to develop their administrative capacity;
- (e) Supporting and strengthening the capacity of municipalities to manage their own affairs, to exercise their powers and perform their duties in respect of housing development;
- (f) Promoting consultation on matters regarding housing development between national government and representatives of civil society, the sectors and sub- sectors, supplying or financing housing goods and services, provincial government and municipalities and any other stakeholder in housing development, and
- (g) Promoting effective communication in respect of housing development.

The provincial role in housing has been described as encompassing the following:

- (a) Determining policy and legislation;
- (b) Coordinating housing development in the province;
- (c) Supporting municipal capacity;
- (d) Intervention;
- (e) Multi-year planning of national and provincial housing programme;
- (f) Accreditation; and
- (g) Monitoring accredited municipalities.

In practice, however, provinces are also involved as housing developers where municipalities lack the capacity to manage the subcontracting of housing construction. They can therefore be involved in housing in two ways: as developers or as entities accredited to administer national housing programmes. When municipalities act as developers, they apply to the MEC for Housing for the housing subsidy. It has been suggested that the role of a municipality is then determined by the MEC approving or disapproving specific projects.

## **2.24 APPLYING THE CRITERIA TO HOUSING**

There have been various reports, studies but also political statements that call for a revisit of location of authority over housing at provincial level. Former Finance Minister Trevor Manuel, for example, highlighted housing as an example of a function that may need to be revisited. This has shown the degree to which inter-sectoral coordination is needed. The degree to which inter-sectoral coordination is needed is paramount in relation to the housing function. The housing function, by its nature is an integrated activity. In the words of the Constitutional Court, “housing entails more than bricks and mortar. It requires available land, appropriate services such as the provision of water and the removal of sewerage and the financing of all of these, including the building of the house itself. For a person to have access to adequate housing, all of these conditions need to be met: there must be land, there must be services and there must be a dwelling”.

Housing includes planning, land administration housing recipient identification, and delivery of a package of services, development facilitation and the provision of the house itself. Through the provision of essential services such as water, electricity and sanitation, it goes beyond saying that municipal functions are ancillary to housing (Constitutional Court of South Africa: 11<sup>th</sup> May 2000: Irene Grootboom and other).

In essence, human settlement consists of household crucial services that are tandem to each other to give a house value of a home. This in effect results in a housing upgrade which may disregard the province’s waiting list.

## **2.25 DEVELOPMENTAL LOCAL GOVERNMENT**

South Africa is defined and regarded as a developmental state, a concept that originated in East Asia in the 20<sup>th</sup> century. In East Asia, countries created mechanisms that enabled the state to intervene in the affairs of the private sector. The mechanisms include creating an economic planning commission, implementing market-defying selective industrial policies and total state control of the banking sector (Chang 2010:83). After 1950, the Scandinavian countries (including Denmark, Norway and Sweden) were broadly associated with the characteristics of a developmental state. Chang (2010:84) contends that the Scandinavian countries focused on selective industrial policies and promoting research and development. In the context of the social sciences, development in its broadest sense is a form of social change.



The change agent – the state – plays a pivotal role in promoting developmental intervention in society (Theron 2008:3). A developmental state normally strives to generate and maintain the economy of a country, through institutions established to promote a developmental state. Netshitenzhe (2011:6) claims that different paradigms can be followed in creating a developmental state “it depends on the path States choose to achieve the developmental objectives, as well as the instruments such states use to this end”. In the case of a democratic South Africa, the idea of a developmental state emerged during the tenure of President Mbeki (1999 to 2004), in addition to prior developmental policies, such as the RDP, which was initiated in 1994. It was a reaction to the alarming increase in inequality and poverty levels in the country.

In 2011, the National Planning Commission (NPC 2011) of South Africa noted that the Gini co-efficient was at its highest in the country since democratization in 1994. Despite being a constitutional democracy, inequality among South Africans is gradually increasing. As the *National Development Plan: vision 2030* points out, the Gini co-efficient increased from 0.64 in 1995 to 0.7 in 2011 (NPC 2011:3).

Against this background it is clear that establishing a developmental state is imperative to reducing the Gini co-efficient by implementing progressive policies to improve and maintain people’s quality of life. Mkandawire (2001:291) defines a developmental state as one “whose ideological underpinnings are developmental and one that seriously attempts to deploy its administrative and political resources to the task of economic development”.

Edigheji (2010:4) further defines a developmental state as one that is: “authoritatively, credible, legitimately and in a binding manner is able to formulate and implement its policies and programmes.” This entails possessing a developmentalist ideology that privileges industrialization, economic growth and expansion of human capabilities. Such a state also has to be able to construct and deploy the institutional architecture within the State and mobilize society towards the realization of its developmentalist project”. According to Madumo (2012:43), “a developmental state is identified as a state that uses all the necessary mechanisms and institutions at its disposal to achieve successful economic intervention in a specific country”. In the South African context, a developmental state implies equity, justice, enabling a rapidly growing economy and improving the quality of life for all citizens (Edigheji 2007:3). This should lead to successful economic activity that will stimulate employment opportunities and subsequently alleviate poverty among the country’s citizens.

Section 153 of the Constitution of the Republic of South Africa, 1996 requires all municipalities to promote developmental duties to ensure the effective and efficient management of its administration, budgeting and planning, in order to facilitate socio-economic development (RSA 1996). Meeting these objectives is imperative to satisfy the basic needs of the people. Mogale (2003:229) states that in order to assist municipalities to meet developmental requirements and speed up service delivery to the poor. Extensive resource acquisition in terms of funding, human resources, appropriate responses to local needs, and most importantly the adoption of key and enabling legislative measures; have become essential to realize developmental local government objectives.

Municipal Regulations on Minimum Competency Levels as issued in terms of the Municipal Finance Management Act 56 of 2003 (MFMA), support the necessity and practice of M&E as a complementary tool to performance management regulations issued in the spirit of Municipal Systems Act by the Department of Provincial and Local Government and was published in the government gazette No 26511 in 2004. Hereunder are 11 areas of competency that are covered in this educational space for municipal officials with responsibilities:

- 1 Strategic leadership and management
- 2 Strategic financial management
- 3 Operational financial management
- 4 Governance, ethics and values in financial management
- 5 Financial and performance reporting
- 6 Risk and change management
- 7 Project management
- 8 Legislation, policy and implementation
- 9 Stakeholder relations
- 10 Supply chain management, and
- 11 Audit and assurance.

Local government is defined as a sphere of government located within communities and well placed to respond appropriately to local needs, interests and the expectations of communities. Van der Waldt (2006) explains that local government is at the coalface of public service delivery.

Local government can also be described as public organizations authorized to manage and govern the affairs of a given territory or area of jurisdiction. It is important to note that local government refers to a sphere of government, and not an individual municipality. All the individual municipalities in South Africa make up the collective sphere known as local government (Roux 2005:64). By virtue of being an immediate government, it is expected that authorities cluster a combination of essential services to render to the community in its jurisdiction (Roux 2005:69).

Service provision by municipalities is a constitutional obligation. Part B of Schedule 5 of the Constitution of the Republic of South Africa, 1996 concerning units, identifies the following services that fall in the ambit of local government and its municipalities: water, electricity, town and city planning, road and storm water drainage, waste management, emergency services, (for example, firefighting), licenses, fresh produce market, parks and recreation, security, libraries, and economic planning. Part B of Schedule 4 of the Constitution of the Republic of South Africa, 1996 identifies the following matters that are also the responsibility of municipalities as functions in the exclusive domain of provincial government.

They are ranging from managing air pollution, applying building regulations, regulating childcare facilities, electricity and gas reticulation, local tourism, municipal airports, municipal planning, municipal health services, municipal public transport and municipal public works. Local government objectives include providing a democratic and accountable government, provision of services in a sustainable manner and promoting social and economic development by engaging communities (section 152 of the Constitution).

To ascertain whether the developmental mandates are achieved, accountability, basic service delivery and local economic development initiatives should be monitored and evaluated. A municipality has the authority to undertake its designated functions, but underperformance of its legislative obligations may result in the province's intervention to undertake the municipal tasks (section 139 of the Constitution). It is incumbent on municipalities to maintain good governance practices so that they can achieve their developmental mandates. South African municipalities must adhere to the principles of good developmental local governance and comply with an inclusive statutory and regulatory framework that governs service delivery (Govender and Reddy 2014:162 and Van der Waldt 2014:132).

## **2.26 POLICY AND LEGISLATIVE FRAMEWORK OF MONITORING AND EVALUATION**

In the South African policy and legislative administrative public sector environment, M&E is found entrenched in the Constitution of the Republic of South Africa, 1996 and the White Paper on Transforming Public Service Delivery, 1997 which is also referred to as the “Batho Pele” White Paper, and the Public Finance Management Act (Act 1 of 1999). For the purpose of this study, Section 27 of the Bill of Rights in the Constitution of the Republic of South Africa, 1996 together with Housing Act 107 of 1997 are prime legal prescripts that inform the provision of State lowcost financed houses since 1996 to date. In addition to the above, Section 54 of the Constitution of the Western Cape, 1 of 1998 adheres to the monitoring of local government. Section 54 (1) states that “the Western Cape government must, by legislative or other means (a) provide for monitoring and support of local government in the Western Cape, and (b) promote the development of local government capacity to enable municipalities to perform their functions and manage their own affairs”. This implies that all government departments including the Department of Human Settlement and Department of Local Government and relevant Provincial Ministers must attend to monitoring of the municipalities. Monitoring enjoys momentum and adds value when it is further processed to evaluation: (PSC, 2007:26). This highlights that it is essential for “strong M&E systems to promote coordination and prevent fragmentation” (The Presidency, 2007:1).

In order to enhance effectiveness in service delivery, the government is increasingly concentrating on improving M&E, which will lead to improvements in the quality of planning and implementation systems.

From the outset, the development of draft legislation is premised on a few Constitutional imperatives. The first imperative was that the three spheres of government are distinctive, interdependent and interrelated. Secondly, all spheres have an obligation to individually and collectively, secure the wellbeing of the people, and to provide effective, transparent, accountable and coherent government.

Furthermore, all spheres need to co-operate with one another, by assisting and supporting one another and coordinating their actions accordingly. Moreover, there have to be basic values and principles that should govern public administration. Legislation regulating public administration may differentiate between different sectors, administrations or institutions (Service Delivery Review, 2010).

Section 152 of the Constitution of the Republic of South Africa, 1996, outlines the objectives of local government as fundamentally those of ensuring the provision of services in a sustainable manner, promoting social and economic development in a safe, democratic and healthy environment. This would include performance M&E, as prerequisites in order to realize service delivery. The Constitution, 1996 stipulates that public administration should adhere to the following basic values and principles:

- Promoting and maintaining a high standard of professional ethics
- Services provided impartially, fairly, equitably and without bias
- Efficient, economic and effective use of resources
- People's needs responded to and participation encouraged
- Accountable and transparent public administration
- Good human resource management and career development practices must be cultivated
- Development orientated public administration.

In light of the above, performance M&E is designed to help the municipality to be able to identify gaps in the implementation of the predetermined objectives of the municipality.

The provision of services in an accountable, transparent and democratic manner would show that government has an obligation to deliver services in a user-friendly environment that allows the beneficiaries to know what is due to them.

Performance M&E remain the key vehicles to achieve the mandate set by the Constitution as the supreme law of the country.

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

Section 11 (3) (c) (d) (g) and (j) of Municipal Systems Act No. 32 of 2000, requires that a municipality exercises its legislative or executive authority by establishing and maintaining an administration, administering and regulating its internal affairs and the local government affairs

of the local community and monitor the impact and effectiveness of any services, policies, programmes or plans. Furthermore, Section 38 of the Local Government: Municipal

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

Section 40 of the Local Government: Municipal Systems Act, 2000 (Act 32 of 2000) states that a municipality must develop monitoring and review mechanisms, in order to accelerate the pace of the institutional performance. Once these mechanisms are in place, it becomes easy for the municipality to properly implement performance M&E. This complements the Constitution. Section 105 (1) of the Municipal Systems Act obliges the Member of the Executive Council (MEC) for local government in a province to establish mechanisms, processes and procedures in terms of section 155 (6) of the constitution to:

- (a) Monitor municipalities in the province in managing their own affairs, exercising their powers and performing their functions,
- (b) Monitor the development of Local Government capacity in the province and,
- (c) Assess the support needed by municipalities to strengthen their capacity to manage their own affairs, exercise their powers and perform their functions (MSA, 2000, section 105).

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

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

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

De Visser (2007) confirms the importance of the link between the SDBIP and performance agreement as instrument to improve the municipality's capacity to monitor implementation of the IDP and to act on any problems in implementation.

The White Paper on Transforming the Public Service, 1997 which is commonly referred to as "Batho Pele" emphasizes that the development of a service-oriented culture requires the active participation of the wider community, with constant feedback from the recipients, in an effort to encourage improvement where necessary. This White Paper links the implementation of performance M&E with the eight Batho Pele principles, in order to improve service delivery. These are: consultation, service standards, access, courtesy, information, openness (or transparency), redress, and value for money (Van der Waldt, 2007:113).

The White Paper on Transforming the Public Service, 1997 further suggests that public-private partnerships could help the municipality in delivering quality services. Section B sub-section 3.2 of the White Paper on Local Government, 1998 states that performance management is critical to ensure that plans are being implemented with all the desired developmental outcomes considered to realize a positive impact. This could be achieved through adopting transparent,

efficient and effective use of the available resources. The implementation of performance M&E could be executed by ensuring that the municipality develops and adopt its own key performance indicators that are normally reflected in its “Integrated Development Plan”. These key performance indicators cover both efficiency measures and human-development indices.

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

## **2.27 NATIONAL HOUSING ACT & ROLE OF GOVERNMENT IN HOUSING**

Housing is said and believed to be the number one service delivery area people on the ground use to measure the effectiveness of the service delivery authorities. Many of the vulnerable people do not distinguish the responsibilities and functions of housing delivery by municipalities. However, in Sections 9 and 10 of Part 4 of the Housing Act, (Act No. 107 of 1997), the roles and functions of local government in housing development are stated.

The Act outlines that each local municipality, as part of the Integrated Development Planning, should take all sensible and necessary steps, within the framework of national and provincial housing legislation and policy, to ensure that the right of access to adequate housing is realized on a progressive basis. The aforementioned Act continues to state that, in order to fulfil its role, every municipality must carry out the following functions; Health and Safety: ensure that conditions not conducive to the health and safety of the inhabitants of its area of jurisdiction are prevented or removed.

This is referred to settlement suitability of the place in which houses are to be built. Identified land should not be a wetland nor rocky for costs mitigation reasons. In that, local government should ensure the feasibility of:

- Effectual Amenities: safeguard that services in respect of water, sanitation, electricity, roads, storm water drainage and transport are provided in a method that is economically efficient.
- Housing Delivery Goals: set housing distribution goals in respect of its area of jurisdiction.



- Land for Housing: identify and designate land for housing development.
- Public Environment: create and uphold a public environment favorable to housing development which is financially and socially viable
- Struggle Resolution: promote the resolution of conflicts arising in the housing development process.
- Bulk and Revenue Generating Services: provide bulk engineering services, and revenue generating services insofar as specialist utility suppliers do not provide such services.
- Land Use: plan and accomplish land use and development.
- Housing Development: initiate, plan, co-ordinate, facilitate, promote and enable appropriate housing development in its area of jurisdiction.

With powers vested on local government in respect of housing development, and in collaboration with other spheres of government, municipalities are eligible to participate in national housing programme by:

- Promoting a housing development project by a developer:
- Acting as a developer in respect of the planning and execution of a housing development project on the basis of full pricing for cost and risk.
- Entering into a joint venture contract with a developer in respect of a housing development project.
- Founding a separate business entity to execute a housing development project.
- Administering any national housing programme in respect of its area of jurisdiction, if accredited, and
- Enabling subsidiary participation by other role players in the housing development process.

Gilbert (1996:17) claims that local authorities should exercise good governance for maintainable development within their communities to the extent that their actions are efficient, effective, accountable and fair. These can be achieved through the following:

- Promotion and practice of sustainable resource use including waste minimization and energy efficiency;
- Regulation of the demand for and supply of land so as to conserve its use ; and
- Provision of appropriate infrastructure.

## **2.28 PROVINCIAL, AND LOCAL GOVERNMENT OVERSIGHT ON HOUSING DISTRIBUTION**

Section 40 (1) of the Constitution, confirms that all spheres of government must exist in collaboration on distinctive, interdependent and interrelated status. Section (2) of the Constitution emphasizes the rule that all spheres of government must observe and adhere to the principles of the said chapter and conduct their activities within the parameters provided in this chapter.

Indistinguishable Section 41 (h) of the Constitution orders that all spheres of government and all organs of state within each sphere must “cooperate with one another in mutual trust and in good faith by:

- (i) Fostering friendly relations
- (ii) Assisting and supporting one another
- (iii) Informing one another of, and consulting one another on, matters of common interest
- (iv) Coordinating their actions and legislations with one another and
- (v) Adhering to agreed procedures”.

It is based on these constitutionally agreed arrangements that local government should be accountable to all role players in housing distribution.

According to the Constitution of the Republic of South Africa, 1996, housing affairs are the concurrent responsibility on both the central and provincial government. This is reflected in the Local Government Second Amendment Act which includes housing as a local government function. However, the Housing Act (Act 107 of 1997:21) provides for a new and substantial role for local government in housing delivery.

In terms of the Housing Act, every municipality is required, as part of the process of integrated development planning, to take all necessary steps to ensure that the inhabitants of its area of jurisdiction have access to housing and services” (Local Government Housing Finance Task Team, 1999: 1). Thus charges local government with a responsibility and prominent role as a local partner in the delivery of housing. In line with this, municipalities now act as developers of housing projects. This means that the success of housing delivery is often dependent on local government’s ability and capacity to building houses.

## 2.29 HOUSING POLICY IN THE WESTERN CAPE

On the 21<sup>st</sup> October 2007, in a report made by Smith, he cited a challenging uncertainty on policy in the provincial administration of the Department of Housing in the Western Cape. He stated that, ‘since the implementation of the new procurement regime in April 2002, there has been a definite slowdown in the approval of projects’ (Smith, 2007:5). The main items leading to delays are as follows: NHBRC (National Home Builders Registration Council: 2011) approval:

- It has taken 15 months to get the first two projects enrolled with the NHBRC (in principle enrolment only). This means no contractor-built projects have been approved yet and even on these two projects final approval has not been granted.
- A delay of 18 months on the approval of Greenfield’s projects will certainly have an impact on delivery. In 2003, all the projects approved prior to April 2002 came to an end.
- The stringent NHBRC requirements and necessity for beneficiary contribution on contractor-built projects has driven municipalities away from traditional projects, which historically produced a far greater number of houses at a faster rate of delivery. The R3, 500 Contributions and Collection Strategy was one such initiative.
- There is still no clear collection policy set out by National Department of Housing Department (NDOH).
- Beneficiaries need at least 6-12 months to accumulate the saving of the R3, 500 and this matter needs to be clarified urgently.
- PHPs (Peoples Housing Process) instead of Contractors need to implement housing projects.
- The exact procedures when approving a project split into serviced sites (contractor) and top structures (PHP) have not been clearly defined.” (Smith.2007:6).

In laymen’s terms, the lack of a clear housing policy for the Western Province has contributed to tough challenges amongst local authorities and officials who need clear participatory guidelines in order to administer housing administration with efficiency and effectiveness for greater progressive comprehensive housing development within the Drakenstein Municipal jurisdiction area. A clear Provincial Housing Policy could determine the choices that can be made by the people of the Western Province and particularly in Paarl. Policy in this context refers to a purposive course of action based on generally acceptable administrative controls or

predicting the state of affairs which would prevail when the purpose has been achieved (Centre for Development and Enterprise, 1995:14).

According to the Western Cape Housing Development Act, Act 6 of 1999, Section 4(1) (c) states that the “Provincial Minister must approve a policy to co- ordinate housing development in the province to ensure its effective execution.” Section (2) (a) moves further to state that the “Provincial Minister may, for the purpose of regulating any matter pertaining to housing development which cannot be regulated effectively at local government level, issue policy directives or take actions that are deemed expedient and (b) establish norms, standards, frameworks and provincial policies in order to deal effectively with any matter pertaining to housing development that requires to be dealt with uniformly across the province.”

The White Paper (1995:35) for a new housing policy and strategy for South Africa 5.2.2 stipulates that the role of Provincial Government is to determine provincial housing policy (within broad national guidelines, as far as it relates to): Minimum housing norms and standards in the province and Land identification and planning within the province, including performance criteria. It is clear that the formulation of an effective provincial policy will accelerate the delivery of houses in to house the entire province against the ever growing housing backlog in Paarl. The Provincial Housing Policy should have a systematic way of solving fundamental housing problems.

It is about the direction in which the Local Government wants to steer the province’ states Williams (2006: 14). Lack of directive policy formulation may prove detrimental to local authorities and relevant officials working for the Department of Housing and municipalities who ought to interpret policy into administrative actions for housing delivery.

There has been confusion in the formulation of a coherent housing policy in the Western Cape, the Provincial Housing Department has decided to split the housing development project to try and overcome the existing backlog. The project will be divided into site services and house structure. With a consensus between the Housing Department and the municipalities, site services will be provided first and these will include basic services. The house structure will be built after beneficiaries have contributed R3, 500 to meet the Housing Construction Act and NHBRC standards.

The question which still remains concerns those people who find it difficult to contribute the R3, 500 needed. According to Dunn (1994: 138) “successful problem solving requires finding the right solution to the right problem”. The decision to create the infrastructure without building the top structure which was made by the Department of Housing and Drakenstein Municipality will adversely affect people living in Paarl. As a matter of fact, it can be fathomed that municipalities and the Housing Department are jointly short of administrative strategy to implement as to the role they have to play in developing housing. It could be deduced that these decisions deviated from policy, that is, that housing development should be a people-driven project.

It should also be deduced that if the policy is not strategic enough to address the housing backlog, appropriate information is lacking or unreliable, this will compromise the ability of policy makers to effectively understand the policy context, to diagnose the key policy issues and problems, to identify and evaluate different policy options, to make rational decisions based on the available evidence and to monitor and evaluate effectively’ (Williams, 2006: 11).

Williams (2006: 35) states further that, “there are at least six questions that policy analysts must pose in approaching problems of recommendation. They revolve around issues of objectives, costs, constraints, externalities, time and risk/uncertainty”. There should be policy acceptance and implementation in addressing the issue of housing delivery.

The establishment of transparent and consultative decision-making structures and processes should be implemented. They will give stakeholders an opportunity to offer their comments and recommendations. However, at present, due to the lack of a clear Provincial Housing Policy, there is a lack of direction in in the Western Cape.

### **2.30 MONITORING AND EVALUATION PROCESS WITHIN DRAKENSTEIN MUNICIPALITY**

In the Drakenstein Municipality, the policy framework for performance management system is a pivotal document that contains policy and operational mechanisms. It gives directions to different sections of work such as administration and human settlement resource section. Being an autonomous yet standing for development of development in administration and of tangible service delivery, Drakenstein Municipality has numerous policies that serve as blue print to monitoring practice and there is no mention of evaluation as a stand-alone statutory practice.

Hereunder are the prescripts from the internal policy related source: Policy framework for performance management system, 15th August 2008; clause 8.2.2, refers to monitoring and evaluation framework.

*“The monitoring framework must: Identify the roles of the different role players in monitoring and measuring the municipality’s performance ; Allocate specific tasks to the gathering of data and submission or reports; Determine the data that must be collected in order to assess performance how that data is to be collected, stored, verified and analyze and how reports on that data are to be compiled; Provide for reporting to the different role players and stakeholders; Be designed in a manner that enables the municipality to detect early indications of underperformance; Provide for corrective measures where under-performance has been identified; Compare current performance with previous performance by using previous targets/milestones and/or baseline indicators”. The municipality must accordingly develop and implement mechanisms, systems and processes for the monitoring, measurement and review of performance in respect of the performance indicators and performance targets set by it”*

Hereunder are suggested guidelines for the monitoring system:

Supervisors	Monitor and review performance of individuals or groups of employees reporting directly to them, depending on the type of employee PMS that is adopted.
Technical and Operational Managers	Monitor and review operational (SDBIP) performance monthly and Strategic Service Delivery Compliance annually.
Executive Management (Municipal Manager and his/her Management Team	Monitor and review strategic (SDBIP) performance quarterly and Strategic sustainability annually: Review performance in order to intervene promptly on operational matters where poor performance or the risk therefore occur, Review performance before reporting to politicians so that they can prepare, control the quality of performance reports submitted and ensure that adequate response strategies are proposed in cases of poor performance. Review performance prior to being conducted by standing, portfolio or committees.
Standing/Portfolio Committees	Monitor and review performance of functions respective to their portfolios, i;e Operational (SDBIP’s) quarterly and Strategic Service Levels Annually.

Mayoral Committee	Monitor and review performance of the administration, and should remain strategic. Strategic (SDBIP) quarterly and Strategic Sustainability annually. The Municipal Manager should remain accountable for reporting on performance on this level.
Council	Monitor and review performance of the Municipal Council, its committees and the administration on an annual basis, in the form of a tabled annual report at the end of the financial year.
Public	Monitor and review performance of the Municipality and public representatives (Councilors) in the period between elections. It is required by legislation that the public be involved in reviewing municipal performance at least annually.

**Table 6: Lines of Accountability in respect of Performance Monitoring.**

In terms of the (M&E) framework prescribed above, the evaluation practice is displaced. The internal audit unit is responsible for the continuous auditing of performance measurements of the Drakenstein municipality. There is no detailed procedure in conducting (M&E). The empirical evaluation process will reveal the actual practices. This research study, envisaged to create an understanding around the current implementation of (M&E) in the Drakenstein municipality.

### **2.31 SUMMARY**

This chapter explored the literature review of the study in relation to challenges of performance monitoring and evaluation in service delivery in the local government zone, using the housing department of Drakenstein Municipality as a case study.

It covered the knowledge based elements found in the (M&E) discipline. Legal framework as bases for administration executions was also explored. In addition, it unearthed the contemporary challenges that are encountered by official authorities in the municipality. This literature review highlighted the significance of challenges of (M&E) in the municipality.

The challenges of performance monitoring and evaluation are evident in the various units of the municipality. Disregard in using compelling and legal instruments such as Government-wide Monitoring and Evaluation System, Treasury, Municipal Systems Act and Municipal Finance Management Act and in-house policies could yield unwanted results as it leads to irresponsible reporting. The literature makes known the types of monitoring and evaluation which could be endorsed as monitoring and evaluation controls. Available legislation and relevant policies are there to give supporting guidance to management officials for improving

reporting and efficient service delivery. In the South African context, literature makes no reference to inefficiency consequences imposed to managers and administrators in positions of authority. This is why challenges of monitoring and evaluation persist and lead to Auditor General's reports with unwanted findings.

The following chapter on the research methodology and research design demonstrate what methodological framework that was used in this study.



## **CHAPTER 3**

### **RESEARCH METHODOLOGY AND DESIGN**

#### **3.1 INTRODUCTION**

The previous chapter explained all the components that are synchronically identified as challenges of (M&E) in pursuit of service delivery. Informative elements were explained including the actual challenges encountered in systems of (M&E) and legal prescripts that underpin the execution of (M&E). Although there are some studies that are conducted in and around (M&E) to date, no study is conducted around challenges of monitoring and evaluation in local government.

In this chapter, the focus is to discuss the research methodology, the procedures followed in order to achieve the objective of the study and to bring forth some key findings. In this research project, the purpose of methodology design was to provide an overview of diverse research designs that were evaluated as applicable in pursuit of this research. An overview of the research design, population and sample that constitute the respondents, the data collection method, as well as how it was developed and administered to respondents is presented. Moreover, the data analysis and statistical techniques that were utilized for the research are presented. Finally, the ethical considerations that the researcher needed to bear in mind throughout the research, are highlighted.

#### **3.2 RESEARCH DESIGN**

While there are a plethora of definitions relating to research design, Davies, Du Plooy-Cilliers and Bezuidenhout (2014) define research design as “the designed plan aiming to approach the research problem, structure and strategy that a researcher intends to employ”. Babbie and Mouton (2010:74) assert that a research design is a systematic and logical plan that is used for conducting empirical research. It is a process of designing the overall plan for collecting data, where after analysis of the data may be undertaken. Akthar (2016:71) emphasizes its importance as facilitating an understanding and appreciation of research procedures and informs professional research that yields reliable information at minimal cost, time and effort. The intention of research design was to give comprehensive scope to a project of research study that will inform the research approach to be employed.

### **3.3 RESEARCH METHODOLOGY**

Babbie and Mouton (2010) state that research methodology can be approached in two different categories, that is, qualitative and quantitative methodologies. Punch (2008:237-238) asserts that the use of quantitative and or qualitative approaches to research contains essential differences of which the researcher must take note.

There are fundamental differences among the two approaches which essentially differ with respect to their aims, research design and methodology, size of sample utilized, data collection instruments, analysis of the data, advantages, disadvantages and methodological shortcomings provided by each. A brief explanation is provided below on the essential differences between the different approaches.

#### **3.3.1 Qualitative methodology**

Crossman, (2020) defines qualitative research as “a type of social science research that collects and works with non-numerical data and that seeks to interpret meaning from datum that help to understand social life through the study of targeted populations or places.” Brynard, Hanekom and Brynard (2014:39) further define qualitative methodology as “research that produces descriptive data-generally the participant’s own written or spoken words pertaining to their experience or perception.”

Qualitative research focuses on exploring a study and inductively arriving at conclusions based on data which is based on the subjective experiences of respondents and usually relies on interviews, focus groups, etcetera during which rich data allows for the extraction of themes. Approaches in qualitative research range from thematic and discourse analysis, phenomenological analysis, analysis of historical data, ethnographic or other techniques (Sekaran and Bougie, 2013).

#### **3.3.2 Quantitative research methodology**

Apuke (2017) concurs with Aliaga and Gunderson (2002) in stating that quantitative research methods refer to the collection of data from a large population through the use of a survey that is analyzed with the help of statistical packages. The quantitative descriptive method requires the use of questionnaires for data collection. The alignment of questionnaires design conforms to specific research objectives. Presumed research objectives were structured in an informed manner that would best determine the desired outcomes.

Quantitative research usually relies on the hypothetic-deductive approach through the testing of hypotheses and theories. It is applied using large samples which could either be randomly or non-randomly drawn with the attention of proving or disproving extant theory and with the express purpose of extrapolating from the sample to the population.

The research is usually purposive, rigorous, objective, strives for precision and confidence in findings, providing an objective and parsimonious attempt to explain data that has been collected. Statistical techniques were utilized and they encompassed both descriptive and inferential techniques in order to make sense of the data, draw inferences and make generalizations from the sample to the population (Sekaran and Bougie, 2013). Against this backdrop, a quantitative research method was used in the implementation of this study.

### **3.4 RESEARCH POPULATION**

Brynard, Hanekom and Brynard (2014:57) define a population as “a group in the universe which possesses specific characteristics (for example, public officials with post-graduate degrees.” For the purpose of this study, the researcher used employees occupying various levels of management, starting from supervisory level within a specific Municipality, a category B-Municipality in the Western Cape. The population of the study comprised of managers and strategic-operational officials in the housing department situated in the Paarl jurisdiction area as respondents. According to Preece (2010:126), the term ‘population’ does not refer to the population at large, nor even necessarily to humans or indeed animate objects at all. It refers to any whole group of subjects or things which have the characteristics identified for the research purpose. The population was comprised of identified officials that had the knowledge that the researcher needs to undertake the empirical study for the research project. Fox and Bayat (2012:64) confirm that population relates to a series of cases from which samples are drawn.

#### **3.4.1 Sampling**

Among the decisions scientists face when they design research, is the selection of subjects to participate in the study. In addition, Ray (2008:334) confirms that the basic idea behind sampling is to learn about the characteristics of a large group of individuals by studying a smaller group. It is observed that people are not the same in every respect, and hence it becomes necessary to find ways of choosing people from a larger group in such a way that the characteristics found in the smaller group reflect those of the larger group.

The housing department consists of two sections of management, namely rental stock and the operations support and demand administration with a total of nine (9) managerial officials:

- Chief clerk (2)
- Head of Department (3)
- Manager (2)
- Senior manager (2)

From the human settlement office administering housing in the chosen municipality (Paarl East), participants were identified as a sample. The total number of respondents were nine (9) as selected from human settlement section.

### **3.4.2 Purposive sampling**

For the purpose of this research, a purposive sample was chosen. Purposive sampling provides non-probability samples which are based on the characteristics which are present within a specific population group and the overall study. It is a process that is sometimes referred to as selective, or subjective, or judgmental sampling, but the actual structure involved remains the same (Sekaran and Bougie 2013).

Amongst the benefits of purposive sampling, is that it allows for quick, efficient and cost effective data collection, niche demographics can be targeted to obtain specific data points, and everyone in the population can be selected for the study with purposive sampling. However, the design may introduce sampling bias and results cannot be generalized from the sample to the population and at best, tentative conclusions may be drawn but may not be extrapolated to other similar populations (Sekaran and Bougie 2013).

### **3.5 QUESTIONNAIRE DESIGN**

Rahi (2017:4) concurs with Pinsonneault and Kraemer, (1993) who discuss three fundamental objectives for a questionnaire based research survey, namely: data of research is based on quantitative methods, instruments that are used must be pre-defined and analysis of the data with the purposes to enhance generalizability of findings is required. The researcher considered the following guidelines in designing the questionnaire.

**3.5.1 Choose between open-ended and closed statements**

Open-ended statements allow the respondent to elaborate without guidance. Closed statements require the respondent to choose from a range of answers (Sekaran and Bougie 2013).

**3.5.2 Take the respondent's literacy level into account**

According to Woolston (2020) it would be wise for the researcher to avoid jargon, slang and abbreviations at all times, or in cases where the researcher feels compelled to use bigger words, for the benefit of the research, the researcher must explain the big words to the respondents (Rahi 2017). The respondents that were approached with a questionnaire were specifically included since they have attained a certain educational level, the questionnaire was made out available in English with the understanding that officials in managerial level positions acquired sufficient proficiency level in English as it is generally used in daily communications.

**3.5.3 Be careful not to offend**

It is advised that researchers should stay focused on ensuring that terms that can offend any person in terms of status, culture, religion, or political viewpoint are avoided (Sekaran & Bougie, 2013).

**3.5.4 Be brief and focused**

Researchers are cautioned against releasing statements that are unambiguous, clear and concise (Rahi 2017).

**3.5.5 Be sure the statement is appreciable to all respondents**

Researchers are advised to maintain constructive statements about communal relations to persons of different race or nationality, for instance, is an appropriate statement (Rabi 2017).

**3.5.6 Pay attention to layout**

According to (Kulkarni 2004) a respondent completing the questionnaire should be able to follow all the instructions. Clarity of layout is important in obtaining valid information. In the application of the questionnaire, Brewerton and Milward (2001:106) advise on the following necessary issues that should be given special attention:

- Respondent instructions and covering letter: Clear instructions should be provided to ensure a good response.

- By explaining the background and the importance of the research in the covering letter, the researcher can influence the respondent motivation. The important matter of guaranteeing respondent anonymity is also addressed in the covering letter.
- Questionnaire length: The researcher is cautioned against either a too long or too short questionnaire, as both can lead to a low response rate.
- Question order: A logical order of starting with the general and moving to the specific is advised.

The measurement of the respondent's attitudes required the use of a scale. Brewerton and Milward (2002:102) mention that the Lickert-type scale is one of the most common scales, and is also the scale utilized in this research. The above guidelines were considered and applied in the design of the questionnaire used in this research. Instructions were given at the top of each page, requiring the respondent to indicate the response that best reflects the respondent's situation. Statements were put to the respondents whereby the respondents had to answer to the following scale of possible answers by ticking next to the desired answer.

The second section contains the Lickert-type scale, consisting of the following columns:

- 1 = Strongly agree
- 2 = Agree
- 3 = Neutral
- 4 = Disagree
- 5 = Strongly disagree

The questionnaire is enclosed as **Annexure C**.

### **3.6 QUESTIONNAIRE DISTRIBUTION**

McLeod (2018) defines a questionnaire as “a research instrument consisting of a series of statements for the purpose of gathering information from respondents.” Pinsonnault and Kraemer (1993) alluded to the three fundamental objectives for questionnaire based survey, namely data of research is based on quantitative methods, and instruments used in research must be pre-defined and research work that needs analysis of the findings of sample taken from the whole population. Sileyew (2019) as well as Saunders, Lewis and Thornhill (2009) posit the view that one of the main tools in obtaining primary data in practical research is questionnaires.

Holmes (2005; 143) contends that questionnaires can be used for a wide variety of reasons in small-scale research projects. Unlike in-depth interviewing, questionnaires tend to provide a broad picture of people's experience and views. All respondents received the same set of statements in an attempt to maintain standardization.

Mitchell and Jolley (2010:467) clarify as the name suggests that, a self-administered questionnaire is filled out by the selected participants in the absence of an investigator. Self-administered questionnaires have two principal advantages. First, they are disseminated with no difficulty to a large number of participants. Second, they allow for the collection of anonymous data from respondents. Of cardinal importance is the fact that through allowing respondents to be anonymous it is important if honest answers are to be provided, specifically as they pertain to highly personal statements.

Electronically executed questionnaires provide a relatively economic and efficient manner of obtaining information from the selected sample. The researcher sent questionnaires electronically to the Head of Human Settlement Unit for dissemination to all selected respondents. The completion and return timeline for the questionnaire was agreed upon between the researcher and the participants beforehand.

Mitchell and Jolley (2010) however, assert that using these questionnaires have at least two major draw-backs: They contend that surveys that rely on self-administered questionnaires usually have a low return rate, since the few individuals who return the questionnaire may not be the people who were meant to participate which may produce a biased outcome. Moreover, because the researcher and the respondent are not interacting, problems with the questionnaire cannot be corrected (Mitchell and Jolley 2010: 265).

### **3.7 VALIDITY AND RELIABILITY**

Data validity in qualitative research refers to the accuracy and exactness of the data in terms of questions being asked (Denscombe, 2007:51). Given the nature of this research, the potential for the researcher being biased due to personal perceptions, assumptions and interpretation existed, hence the need for interpretative validity. Contrary to the above, validity in quantitative research is defined as the "extent to which a concept is accurately measured" (Heale and Twycross 2015:66).

These authors further assert that validity in quantitative research is more inclined in not considering results of the research only but the applied thoroughness in the research study.

A systematic quantity research can achieve this by measure of validity and reliability. Heale and Twycross (2015:66) confirm reliability as the second measure of quality in a quantitative research project.

In addition, they characterize reliability with a consistency of a measure. Sileyew (2019) provides a succinct overview of the reliability in quantitative data as a measurement to specify the consistency, stability and freedom from errors in data which has been analyzed. The researcher took cognizance of the fact that some research participants may have limited knowledge and personal agendas that may influence their responses in the questionnaires (Pasteur 2001:18).

### **3.8 ETHICAL CONSIDERATIONS**

The researcher conformed to the requirements of social scientific research regarding ethical requirements for research to be conducted.

#### **3.8.1 Informed consent**

A request for permission to conduct the study in Paarl East housing office in a selected municipality was sought from the Municipal Manager. Informed consent was considered in the distribution and administering of questionnaires when assessing the municipal staff member's knowledge and practices of performance (M&E) and challenges experienced in housing administration and development. The letter explained the purpose of the research project.

#### **3.8.2 Participation**

An invitation to participate was sent to respondents eliciting their participation in the research project, highlighted ethical obligations on the part of the research and sought to motivate for participation in the survey. The letter of consent from the participant to participate in questionnaire is attached as **Annexure B**.

The researcher ensured that informed consent was obtained when dealing with participants, in order to establish if they were willing to take part in the study after being informed of all aspects of the research that might influence their decision.



Individuals that participate in research should have all the information about the study that they engage in, before making a decision about participating. Moreover, they should not be misled, nor compelled to participate in the research.

### **3.8.3 Identity protection**

The researcher assured respondents that they would not be identified, anonymity and confidentiality would be guaranteed.

Apart from the above factors, the researcher made sure that the respondents understood their rights, such as the liberty to withdraw at any stage of the investigation. The respondents were not paid for the information they provided to the researcher (Babbie and Mouton 2001:523).

This chapter presented research methodology and design and was concluded by featuring the outlined ethical standards that were administered throughout the logical research process within the Housing Department of the Drakenstein Municipality. In the next chapter, data collection, analysis and discussion will be discussed.

## CHAPTER 4

### DATA COLLECTION, ANALYSIS AND DISCUSSION

#### 4.1 INTRODUCTION

Chapter 3 explained the research methodology for the research project as the quantitative approach to research in the form of a questionnaire survey. This chapter discusses data collection, analysis and findings. Data collection was performed amongst a sample of managers within the Drakenstein Municipality in the Western Cape Province. It is noteworthy that one official from the sample provided with the questionnaire, withdrew from participating. For the intended purpose of data collection, permission was sought and was granted by the relevant official on behalf of the Drakenstein Municipality in writing. (See annexure A). Below is the reflection of data collection, analysis and discussion of the findings.

Bryman and Bell (2015:14) define data collection as “a course in which raw information is collected from a defined sample of the population through questionnaires or interviews in order to respond to the investigation’s statements and questions to produce an original research result”. Data collection was conducted by means of a questionnaire which was administered to the selected managerial officials.

The reason to support the use of the questionnaire is that the research investigates matters that may be unpopular with some of the municipal officials, and it gives an opportunity to give their opinion without fear. The questionnaire provides the respondents a measure of privacy when responding to such issues. It is also less expensive and provides greater autonomy to the respondent. Questionnaires were distributed to nine (9) managerial officials in two housing offices of the chosen municipality situated in Paarl East office.

Distribution of the questionnaires was coordinated by the Housing Manager’s office responsible for the department. A cover letter, detailing the ethical obligations of the researcher as well as information highlighting that participation acts voluntary and confidential was also included. Follow up electronic e-mails were used to remind respondents and use of telephone calls with a view to acquire a good response from the target groups.

## 4.2 DATA ANALYSIS

Research analysis is regarded as a core activity of the research processes and stages. Data analysis is described as the process where inferences are made from the data collected and a conclusion reached. Sarantakos (2000:328) states that the process of data analysis in quantitative studies involves the following six major activities:

- Data preparation, which involves coding, categorizing answers to open-ended questions or statements as well as checking and preparing of tables.
- Counting, this deals with registering the frequency of concurrence of certain answers.
- Grouping and presentation, which involves the ordering of the same items into groups.
- Relating, this involves cross-tabulations and statistical tests explaining the occurrence of relationships.
- Predicting, this is a process of extrapolating trends into the future, identified in the study.
- Significance, which consists of testing what, involves indicating the importance of certain variables in the research study.

Sarantakos (2000:328) further stresses that analysis of data provides researchers with the means to interpret results and information that enables them to make statements about the significance of the findings to a broader population. The use of computers in the analysis of data has become a common phenomenon in research, especially in quantitative studies (Sarantakos 2000:329). This research project analyzed data by means of the Statistical Package for the Social Science (SPSS).

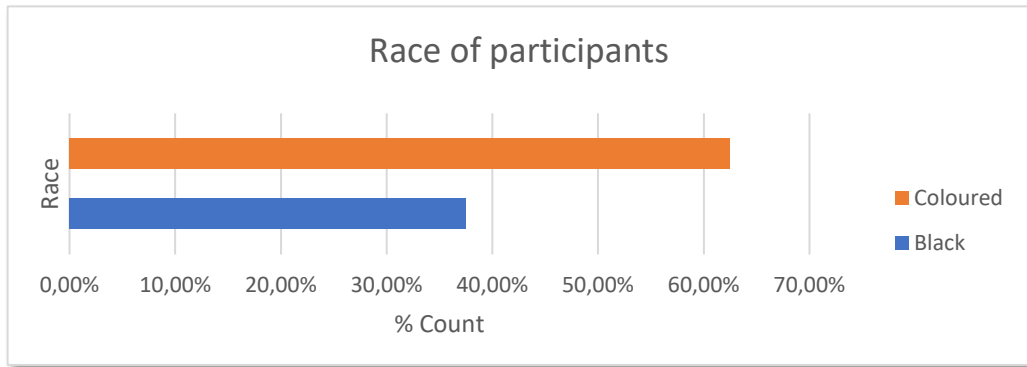
The responses to the various statements in the questionnaire are reported in the diagrams given below. The responses from the participants are graphically presented and discussed.

For the purposes of the study, descriptive statistics in the form of percentages, mean, mode, standard deviation and variance were computed for research to be conducted.

**SECTION A: TABLES AND GRAPHS**

**Race of Participants**

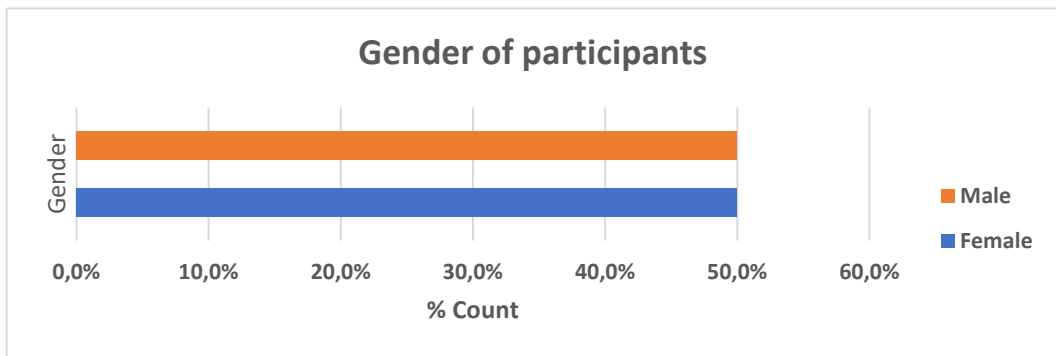
	<b>Black</b>	<b>Coloured</b>	<b>Grand Total</b>
<b>Count of Race</b>	37.50%	62.50%	100.00%



Black people make 33.5% of respondents, and coloured people make 62.5% of respondents

**Gender**

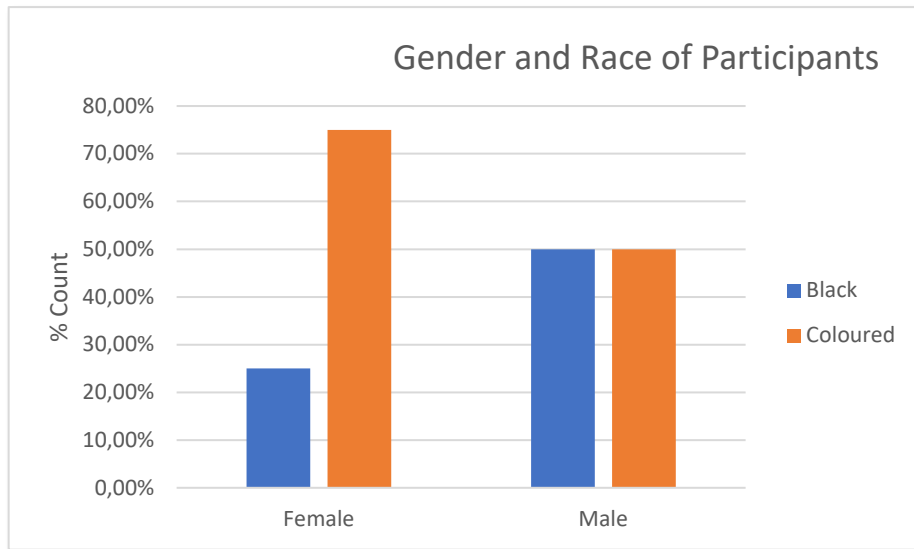
	<b>Female</b>	<b>Male</b>	<b>Grand Total</b>
<b>Count of Gender</b>	50.0%	50.0%	100.0%



In this research project number of females are equal to number of males by presentation of 50% each.

**Race vs Gender**

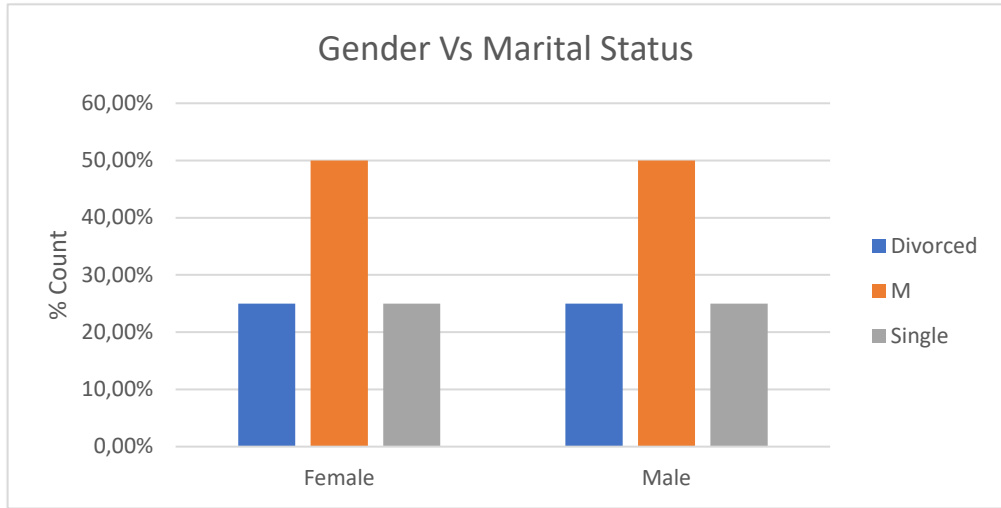
GENDER	COUNT OF RACE		Grand Total
	Black	Coloured	
Female	25.00%	75.00%	100.00%
Male	50.00%	50.00%	100.00%
<b>Grand Total</b>	<b>37.50%</b>	<b>62.50%</b>	<b>100.00%</b>



A split by gender and race indicates that 25% females are black, and 75% are coloured 50% of males are black, and 50% are coloured.

**Gender vs Marital Status**

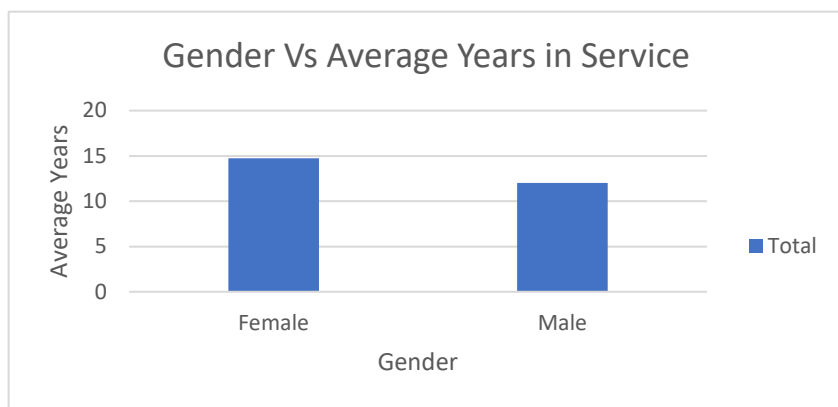
GENDER	MARITAL STATUS			GRAND TOTAL
	Divorced	M	Single	
Female	25.00%	50.00%	25.00%	100.00%
Male	25.00%	50.00%	25.00%	100.00%
<b>Grand Total</b>	<b>25.00%</b>	<b>50.00%</b>	<b>25.00%</b>	<b>100.00%</b>



This table shows that 25% of participants are divorcees, with 50% of married and another 25% of unmarried managers.

### Gender vs Average Years in Service

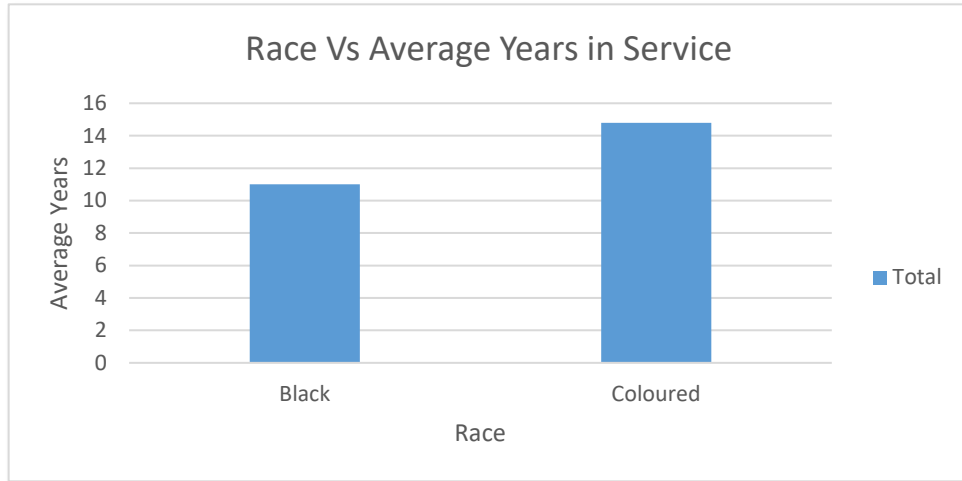
Gender	Average of Years in Service
Female	14.75
Male	12
<b>Grand Total</b>	<b>13.375</b>



This table presents that female managers have more years in service than men. For female managers, the average of years in service is 15 against that of men who are just above 10 years.

**Race vs Average years in service**

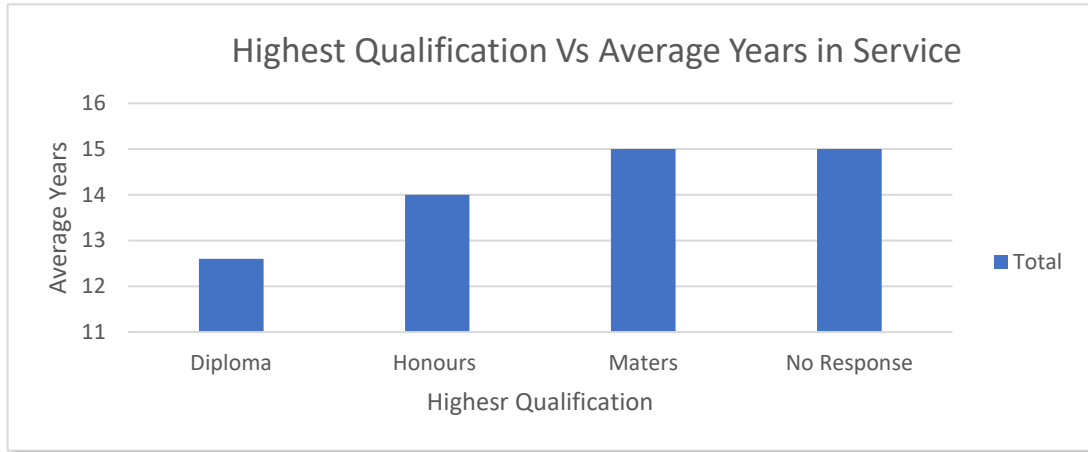
Row Labels	Average of Years in Service
Black	11
Coloured	14.8
<b>Grand Total</b>	<b>13.375</b>



This table shows that the average years of Blacks in service is 11 and the average years Coloureds are in service is 15 years.

**Highest Qualification vs Average years in service**

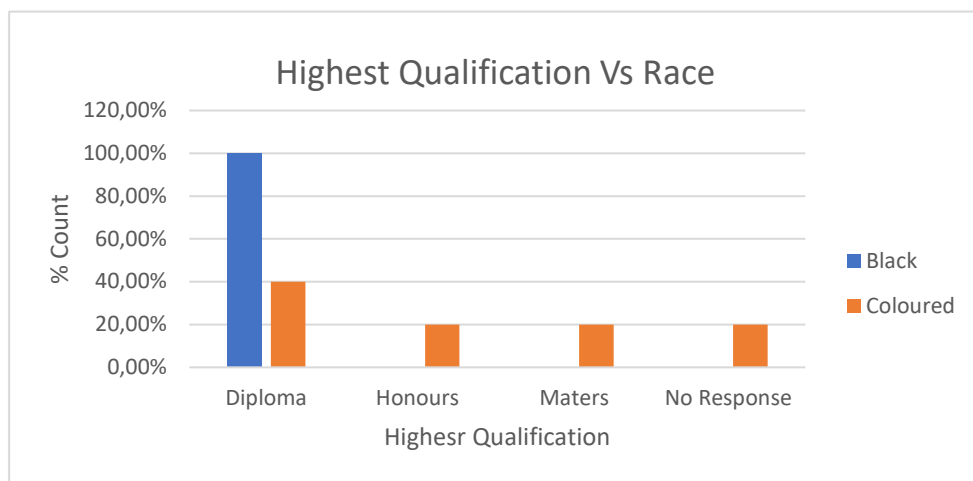
Highest Qualification	Average of Yrs. in Service
Diploma	12.6
Honours	14
Masters	15
No Response	15
<b>Grand Total</b>	<b>13.375</b>



This table highlights that the highest qualified manager with Masters has the experience of more than 15 years with equal 15 experienced managers with undisclosed level of qualifications.

### Highest Qualification vs Race

HIGHEST QUALIFICATION	RACE		Grand Total
	Black	Coloured	
Diploma	100.00%	40.00%	62.50%
Honours	0.00%	20.00%	12.50%
Maters	0.00%	20.00%	12.50%
No Response	0.00%	20.00%	12.50%
<b>Grand Total</b>	<b>100.00%</b>	<b>100.00%</b>	<b>100.00%</b>



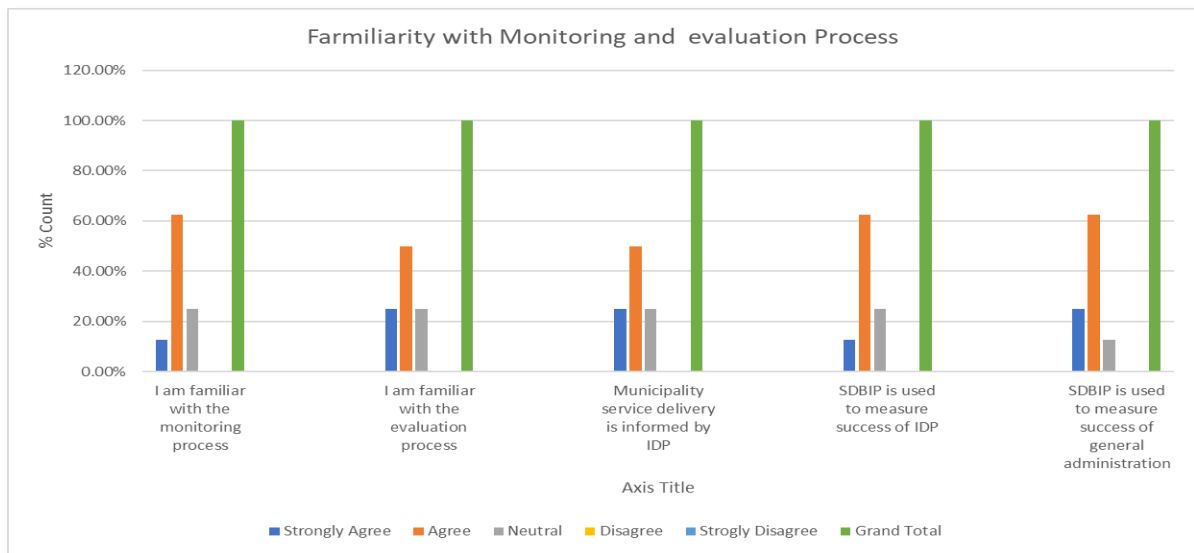


This table presents that 62.5% of managers are qualified to the level of a diploma, followed by 25% of coloureds with Honours and Masters Degrees.

**SECTION B: TABLES AND GRAPHS**

**Monitoring and Evaluation Process**

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Neutral</b>	<b>Disagree</b>	<b>Strongly Disagree</b>	<b>Grand Total</b>
I am familiar with the monitoring process	12.50%	62.50%	25.00%	0.00%	0.00%	100.00%
I am familiar with the evaluation process	25.00%	50.00%	25.00%	0.00%	0.00%	100.00%
Municipality service delivery is informed by IDP	25.00%	50.00%	25.00%	0.00%	0.00%	100.00%
SDBIP is used to measure success of IDP	12.50%	62.50%	25.00%	0.00%	0.00%	100.00%
SDBIP is used to measure success of general administration	25.00%	62.50%	12.50%	0.00%	0.00%	100.00%



- **I am familiar with the monitoring process**

This table shows that 75% of managers are familiar with the monitoring process.

- **I am familiar with the evaluation process**

This table demonstrate that 75% of managers are familiar with the evaluation process.

- **Municipality service delivery is informed by (IDP)**

The table shows that 75% of managers understand that municipality service delivery is informed by IDP.

- **(SDBIP) is used to measure success of (IDP)**

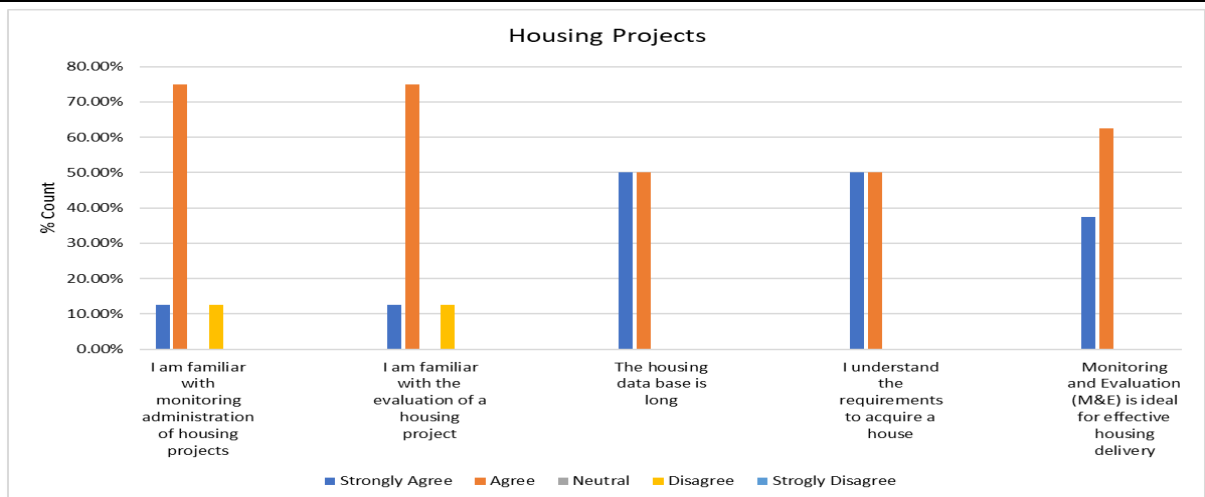
This table reflects that 75% of managers understand that SDBIP is used to measure success of (IDP).

- **(SDBIP) is used to measure success of general administration**

This table shows that 87.5% of managers understand that (SDBIP) is used to measure success of general administration.

### Housing Projects

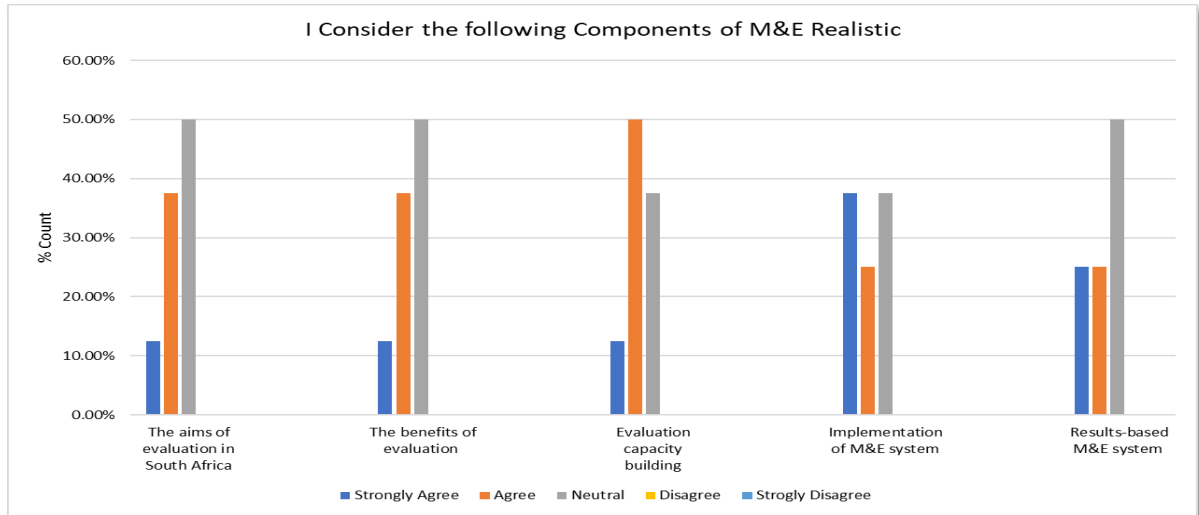
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Grand Total
I am familiar with monitoring administration of housing projects	12.50%	75.00%	0.00%	12.50%	0.00%	100.00%
I am familiar with the evaluation of a housing project	12.50%	75.00%	0.00%	12.50%	0.00%	100.00%
The housing data base is long	50.00%	50.00%	0.00%	0.00%	0.00%	100.00%
I understand the requirements to acquire a house	50.00%	50.00%	0.00%	0.00%	0.00%	100.00%
Monitoring and Evaluation (M&E) is ideal for effective housing delivery	62.50%	37.50%	0.00%	0.00%	0.00%	100.00%



- I am familiar with monitoring administration of housing projects**  
 This table signals that 87% of managers are familiar with monitoring administration of housing projects.
- I am familiar with the evaluation of a housing project**  
 This table shows that 87% of managers are familiar with the evaluation of a housing project.
- The housing data base is long**  
 The shows that 100% of management staff agree that housing data base is long.
- I understand the requirements to acquire a house**  
 This table explains that 100% of staff managers understand the requirements to acquire a house.
- Monitoring and Evaluation (M&E) is ideal for effective housing delivery**  
 This table shows that 100 % of managers agree that monitoring and evaluation (M&E) is ideal for effective housing delivery.

**I Consider the Following Components of M&E Realistic**

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Neutral</b>	<b>Disagree</b>	<b>Strongly Disagree</b>	<b>Grand Total</b>
The aims of evaluation in South Africa	12.50%	37.50%	50.00%	0.00%	0.00%	100.00%
The benefits of evaluation	12.50%	37.50%	50.00%	0.00%	0.00%	100.00%
Evaluation capacity building	12.50%	50.00%	37.50%	0.00%	0.00%	100.00%
Implementation of (M&E) system	37.50%	25.00%	37.50%	0.00%	0.00%	100.00%
Results-based (M&E) system	25.00%	25.00%	50.00%	0.00%	0.00%	100.00%



- **The aims of evaluation in South Africa**

The table reveals that 50% of managers consider the aims of (M&E) as realistic and other 50% is neutral. This implies that the other 50% does not understand the aims of evaluation in South Africa.

- **The benefits of evaluation**

This table exhibit that 50% of managers consider the benefits of evaluation as realistic and other 50% is neutral. This manifests that the other 50% does not consider the benefits of evaluation as realistic.

- **Evaluation capacity building**

This table reveals that 62% of managers consider evaluation capacity building as realistic.

- **Implementation of (M&E) system**

This table displays that 62.5% of managers consider the implementation of (M&E) system as realistic.

- **Results-based (M&E) system**

This table exposes that 50% of managers consider results-based (M&E) system as realistic. Nonetheless, other 50% of managers holds a different view.

### Assessment of Performance

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Grand Total
Assessment of our performance is important	62.50%	25.00%	12.50%	0.00%	0.00%	100.00%
Our Dept. has an internal control system	0.00%	75.00%	25.00%	0.00%	0.00%	100.00%
Our internal control system is known to all stakeholders	0.00%	25.00%	50.00%	25.00%	0.00%	100.00%
Our Dept. is clustered with other departments of the municipality	37.50%	50.00%	0.00%	12.50%	0.00%	100.00%
Our department is collaborating with the provincial government	62.50%	37.50%	0.00%	0.00%	0.00%	100.00%
Our personnel is trained for monitoring and evaluation	12.50%	12.50%	37.50%	25.00%	12.50%	100.00%
Various sections in the departments work well together	12.50%	50.00%	25.00%	12.50%	0.00%	100.00%
Our Dept. has a Human resources strategy	25.00%	12.50%	50.00%	0.00%	12.50%	100.00%
Our Dept. is able to acquire qualified personnel	12.50%	37.50%	37.50%	12.50%	0.00%	100.00%
Our Dept. is able to retain qualified personnel	12.50%	50.00%	25.00%	12.50%	0.00%	100.00%
Tempering with housing database is limited	12.50%	62.50%	25.00%	0.00%	0.00%	100.00%
I comply with the legislative requirements in fulfilling house application	37.50%	37.50%	25.00%	0.00%	0.00%	100.00%
We execute the functions systematically	12.50%	50.00%	37.50%	0.00%	0.00%	100.00%
My performance is reviewed annually	12.50%	37.50%	50.00%	0.00%	0.00%	100.00%
We perform SWOT analysis before starting a project	0.00%	62.50%	37.50%	0.00%	0.00%	100.00%
Local Government has a big role in improving lives of the poor	75.00%	25.00%	0.00%	0.00%	0.00%	100.00%

- **Assessment of our performance is important**

This table features that 87.5% of managers opined that the assessment of their performance is important.

- **Our Dept. has an internal control system**  
This table shows that 75% of managers concur that the department has an internal control system.
- **Our internal control system is known to all stakeholders**  
This table exhibit that only 25% of managers agree that internal control system is known to all stakeholders. Another 50% is not certain while another 25% disagrees. This suggests that there is no relationship between the internal control system and the stakeholders.
- **Our Dept. is clustered with other departments of the municipality**  
This table suggests that 87.5% of managers agree that the department is clustered with other departments of the municipality.
- **Our department is collaborating with the provincial government**  
This table displays that 100% of managers confirm that the department is collaborating with the provincial government.
- **Our personnel is trained for monitoring and evaluation**  
This table exposes that 25% of managers agree that personnel is trained for monitoring and evaluation. Another 75% do not agree. This translates to inconsistency in provision of needed training.
- **Various sections in the departments work well together**  
This table displays that 62.5% of managers confirms that various sections in the department work well together.
- **Our Dept. has a Human resources strategy**  
This table presents that 37.5% of managers agree that the department has a Human resources strategy. Another 62. % disagree. This suggests that there is no human resource strategy in place.
- **Our Dept. is able to acquire qualified personnel**  
This table reveals that 50% of managers agree that the department is able to acquire qualified personnel. Contrary, another 50% do not agree

- Our Dept. is able to retain qualified personnel**

This table reveals that 62.5% of managers agree that the department is able to retain qualified personnel.
- Tempering with housing database is limited**

This table exhibits that 75% of managers agree that tempering with housing database is limited.
- I comply with the legislative requirements in fulfilling house application**

This table confirms that 75% of managers comply with the legislative requirements in fulfilling house application.
- We execute the functions systematically**

This table confirms that 62% of managers do execute their functions systematically.
- My performance is reviewed annually**

This table demonstrates that 50% of managers agree that performance is reviewed annually. Another 50% of managers do not agree.
- We perform SWOT analysis before starting a project**

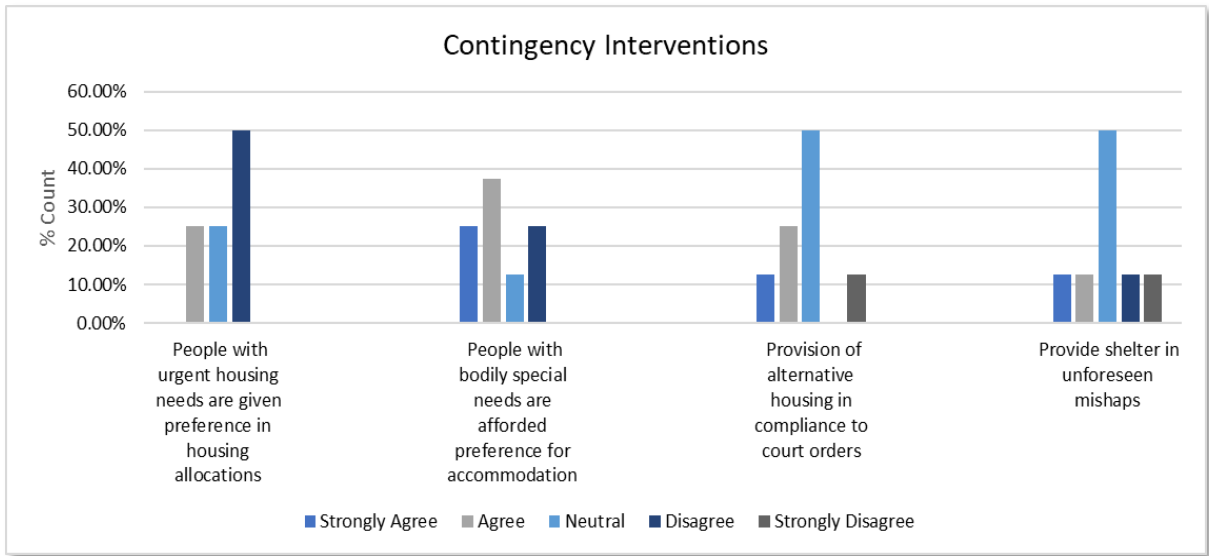
This table shows that 62.5% agree for performing SWOT analysis before starting a project.
- Local Government has a big role in improving lives of the poor**

This table manifests that 100% of managers agree that Local Government has a big role in improving lives of the poor.

**Contingency Intervention**

<b>I Consider the following four Contingency intervention models realistic</b>	<b>Strongly Agree</b>	<b>Agree</b>	<b>Neutral</b>	<b>Disagree</b>	<b>Strongly Disagree</b>	<b>Grand Total</b>
People with urgent housing needs are given preference in housing allocations	0.00%	25.00%	25.00%	50.00%	0.00%	100.00%

People with bodily special needs are afforded preference for accommodation	25.00%	37.50%	12.50%	25.00%	0.00%	100.00%
Provision of alternative housing in compliance to court orders	12.50%	25.00%	50.00%	0.00%	12.50%	100.00%
Provide shelter in unforeseen mishaps	12.50%	12.50%	50.00%	12.50%	12.50%	100.00%



- People with urgent housing needs are given preference in housing allocations.**  
 This table shows that only 25% of managers agree that people with urgent housing needs are given preference in housing allocations, although 75% of managers do not agree that people with urgent housing needs are given preference in housing allocations.
- People with bodily special needs are afforded preference for accommodation**  
 This table presents that 62.5% of managers confirm that people with bodily special needs are afforded preference for accommodation.
- Provision of alternative housing in compliance to court orders**  
 This table exhibits that only 37.5% of managers knows of provision of alternative housing in compliance to court orders although 62.5% of managers differs.

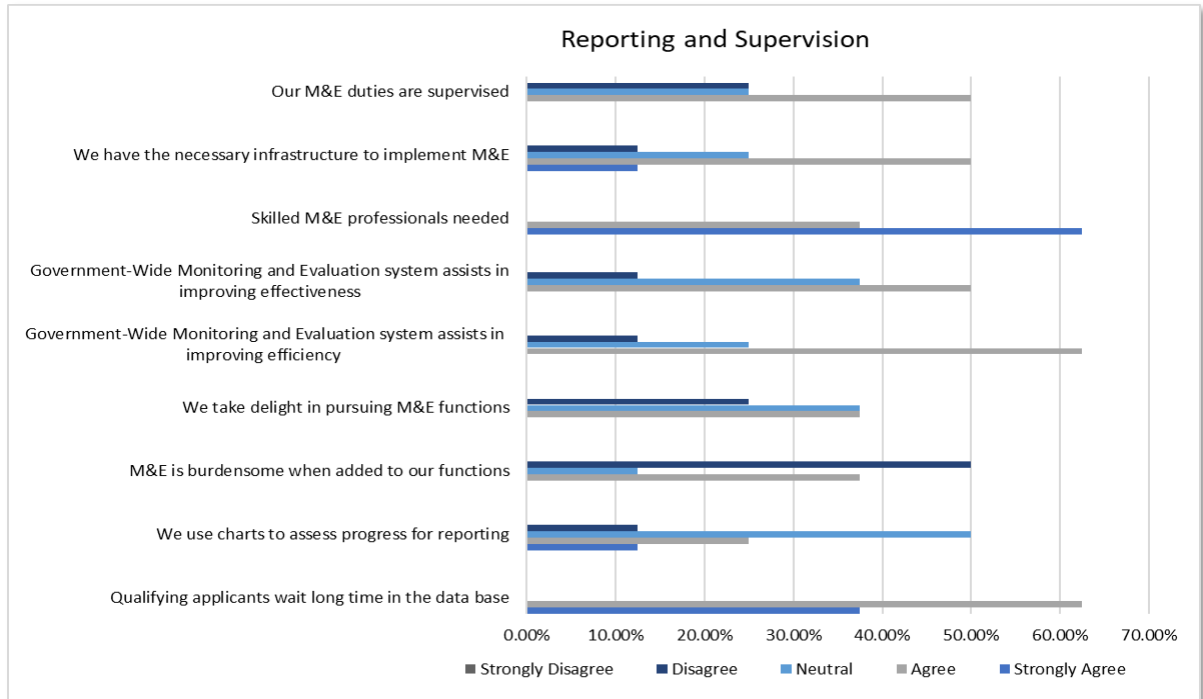


- **Provide shelter in unforeseen mishaps**

This table portrays that only 25% of managers knows about providing shelter in unforeseen mishaps. Another 75% does not know about providing shelter in unforeseen mishaps.

**Reporting and Supervision**

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Neutral</b>	<b>Disagree</b>	<b>Strongly Disagree</b>	<b>Grand Total</b>
Qualifying applicants wait long time in the data base	37.50%	62.50%	0.00%	0.00%	0.00%	100.00%
We use charts to assess progress for reporting	12.50%	25.00%	50.00%	12.50%	0.00%	100.00%
(M&E) is burdensome when added to our functions	0.00%	37.50%	12.50%	50.00%	0.00%	100.00%
We take delight in pursuing (M&E) functions	0.00%	37.50%	37.50%	25.00%	0.00%	100.00%
Government-Wide Monitoring and Evaluation system assists in improving efficiency	0.00%	62.50%	25.00%	12.50%	0.00%	100.00%
Government-Wide Monitoring and Evaluation system assists in improving effectiveness	0.00%	50.00%	37.50%	12.50%	0.00%	100.00%
Skilled (M&E) professionals needed	62.50%	37.50%	0.00%	0.00%	0.00%	100.00%
We have the necessary infrastructure to implement (M&E)	12.50%	50.00%	25.00%	12.50%	0.00%	100.00%
Our (M&E) duties are supervised	0.00%	50.00%	25.00%	25.00%	0.00%	100.00%



- Qualifying applicants wait long time in the data base**

The above table reveals that 100% of managers knows that qualifying applicants wait long time in the data base.
- We use charts to assess progress for reporting**

The table shows that 37.5% of managers use charts to assess progress for reporting. Another 62.5% disagree.
- M&E is burdensome when added to our functions**

This table presents that 37.5% of management agree that M&E is burdensome when added to our functions. Another 62.5% differs.
- We take delight in pursuing M&E functions**

This table shows that 37.5% of managers agree that they take delight in pursuit of M&E functions. Another 62.5% opined differently.
- Government-Wide Monitoring and Evaluation system assists in improving efficiency**

This table presents that 62.5% of managers agree that Government-Wide Monitoring and Evaluation system assists in improving efficiency.

- **Government-Wide Monitoring and Evaluation system assists in improving effectiveness**

This table displays that 50% of managers concur that Government-Wide Monitoring and Evaluation system assists in improving effectiveness. Another 50% disagree.

- **Skilled M&E professionals needed**

This table exposes that 100% of managers need skilled M&E professionals.

- **We have the necessary infrastructure to implement M&E**

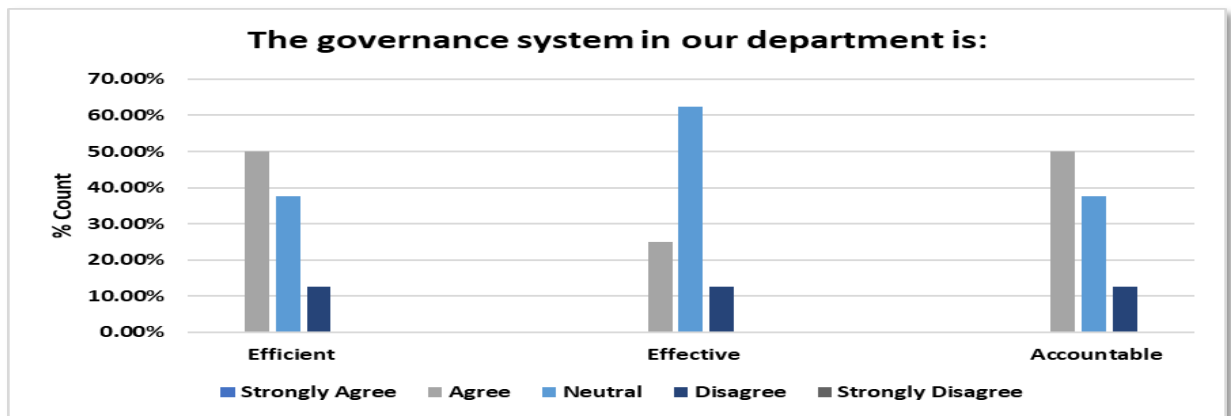
This table reveals that 62.5% of managers concur that they have the necessary infrastructure to implement M&E.

- **Our M&E duties are supervised**

This table shows that 50% of managers agree that M&E duties are supervised although another 50% differs.

**Governance system**

The governance system in our department is:	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Grand Total
Efficient	0.00%	50.00%	37.50%	12.50%	0.00%	100.00%
Effective	0.00%	25.00%	62.50%	12.50%	0.00%	100.00%
Accountable	0.00%	50.00%	37.50%	12.50%	0.00%	100.00%



- **The governance system in our department is: efficient**

This table displays that 50% of managers agree that governance system in their department is efficient. Another 50% of managers differs.

- **The governance system in our department is: effective**

This table displays that 25% of managers agree that governance system in our department is effective. Contrary, another 75% of managers disagree.

- **The governance system in our department is: accountable**

This table displays that 50% of managers agree that governance system in our department is accountable. Another 50% of managers disagree.

**Policy, Skills and Results**

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Grand Total
We are commended when good work is done	0.00%	50.00%	25.00%	12.50%	12.50%	100.00%
We achieve intended outcomes within the provided resources	12.50%	50.00%	37.50%	0.00%	0.00%	100.00%
The internal audit unit informs the (M&E) controls	25.00%	25.00%	50.00%	0.00%	0.00%	100.00%
Implementation of National Housing Code is useful in selecting beneficiaries	12.50%	50.00%	37.50%	0.00%	0.00%	100.00%
Our Dept. appoints private property developers to execute housing projects	0.00%	25.00%	50.00%	12.50%	12.50%	100.00%
Our Dept. act as developer in the development of our housing projects	12.50%	50.00%	25.00%	12.50%	0.00%	100.00%
Council's housing policy is complied with	25.00%	62.50%	12.50%	0.00%	0.00%	100.00%
Houses are allocated strictly according to the official waiting list	62.50%	37.50%	0.00%	0.00%	0.00%	100.00%
After project housing allocation we submit a comprehensive report	37.50%	50.00%	12.50%	0.00%	0.00%	100.00%
Quality houses are handed to beneficiaries in good condition	37.50%	50.00%	12.50%	0.00%	0.00%	100.00%

Our (M&E) competency skills are compliant with Municipal Regulations on Minimum competency levels	25.00%	37.50%	25.00%	12.50%	0.00%	100.00%
Implementing Housing Policy of the Western Cape delivers impact on people's lives	25.00%	50.00%	12.50%	12.50%	0.00%	100.00%
We implement Housing Policy of the Western Cape.	37.50%	50.00%	12.50%	0.00%	0.00%	100.00%



- We are commended when good work is done**

This table confirms that 50% of managers is commended when good work is done and another 50% of managers disagree.
- We achieve intended outcomes within the provided resources**

This table shows that 62% of manager achieve intended outcomes within the provided resource.
- The internal audit unit informs the M&E controls**

This table reveals that 50% of managers agree that internal audit unit informs the M&E controls. Another 50% of managers disagree.
- Implementation of National Housing Code is useful in selecting beneficiaries**

This table displays that 62% of managers agree that the implementation of National Housing Code is useful in selecting beneficiaries.

- **Our Dept. appoints private property developers to execute housing projects**  
This table reveals that 25% of managers agree that the department appoints private property developers to execute housing projects, on the contrary, another 75% of managers disagree.
- **Our Dept. act as developer in the development of our housing projects**  
This table shows that 62.5% of managers agree that the department act as developer in the development of our housing projects.
- **Council's housing policy is complied with**  
This table displays that 87.5% of managers agree that Council's housing policy is complied with.
- **Houses are allocated strictly according to the official waiting list**  
This table confirms that 100% of managers agree that houses are allocated strictly according to the official waiting list.
- **After project housing allocation we submit a comprehensive report**  
This table presents that 87.5% of managers agree that after project housing allocation, they submit a comprehensive report.
- **Quality houses are handed to beneficiaries in good condition**  
This table exhibits that 87.5% of managers agree that quality houses are handed to beneficiaries in good condition.
- **Our M&E competency skills are compliant with Municipal Regulations on Minimum competency levels**  
This table confirms that 62.5% of managers agree that M&E competency skills are compliant with Municipal Regulations on minimum competency levels.
- **Implementing Housing Policy of the Western Cape delivers impact on people's lives**  
This task displays that 75% of managers agree that implementing Housing Policy of the Western Cape delivers impact on people's lives.

- **We implement Housing Policy of the Western Cape.**

This table displays that 87.5% of managers agree that the department implements Housing Policy of the Western Cape.

### **4.3 RESEARCH FINDINGS**

Based on the above responses, the following key findings are reported:

- 1 Greater number of managerial employees are uncertain of the benefits of evaluation. It is noteworthy that these officials need extensive training on monitoring and evaluation to further promote the latter. This will assist the department to comply on internal controls and (M&E) as an integral part of the reporting,
- 2 By and large, management employees are familiar with the evaluation process. Training would assist to build a bridge to link on uncertainty of evaluation benefits and familiarity with evaluation process.
- 3 Performance management in the institution is reviewed on an annual basis.
- 4 (M&E) is burdensome when added to our functions. (M&E) is a particular administrative discipline and requires trained officials to perform it not as daily routine but as a task to evaluate achievement, shortfalls and identify necessary intervention to a certain project, policy or general administration, and
- 5 Skilled (M&E) professionals are needed. In order to sustain the internal positive attitude about (M&E) practices in housing department, imminent investment of providing formal training should be expedited.

### **4.4 DISCUSSION OF RESEARCH FINDINGS**

#### **4.4.1 Employees are uncertain of the benefits of evaluation**

Fifty percent of managers consider the benefits of evaluation as realistic while the other fifty percent is neutral. To be realistic, it is concerning that only 12.5% of managers strongly agree that benefits of evaluation are realistic with 37.5% agree. 50% of managers are neutral, which implies that cooperation and personnel development lacks.

Rabie and Goldman (2014:10) claim that the use of evaluation drawn report components inform the manager to plan, lead, organize and control better for the improvement of deliverables as emanating from endorsed vision, mission and set goals and objectives.

Cloete, Wissink and de Coning., (2006:248) write that the practical benefits of evaluation are those of providing a precise assessment of the nature and extent of the impacts that can be expected, and hence could help those with the responsibility to craft the strategy of the institution. Against this backdrop, the response that is sourced from greater number of managers signals considering benefits of evaluation as not realistic.

In light of this, there should be more engagement among the managers for inclusivity on matters that concern management and reporting.

#### **4.4.2 Employees are familiar with the evaluation process**

Seventy five percent of the managers confirm that they are familiar with the evaluation process. Against this stance, twenty five percent of managers expressed to have no knowledge of evaluation process. This raises a concern for a management personnel of more than ten years in service to be excluded on forms of reporting. The United Nations Development Programme (2002:6) defines evaluation as a selective exercise that attempts to systematically and objectively assess progress towards and achievement of an outcome.

Mackay (2007:9-10) signifies (M&E) as a tool to design results-based management, enhance transparency and support accountability relationships and to support evidence-based policy making. Mackay continues to suggest that an organizational application of the (M&E) places it at the centre of sound governance arrangements and makes it necessary to achieve evidence-based policy making, evidence-based management, and evidence-based accountability. Four distinct purposes of evaluation were identified in Imas and Rist (2009:12): ethical purpose; managerial purpose; decisional purpose and educational and motivational purpose. In all actuality, this suggest that there could be an element of exclusion in dealing with reporting matters.

#### **4.4.3 Performance management in the institution is reviewed on an annual basis**

Fifty percent of managers accords that performance management in the housing department of Drakenstein municipality is reviewed annually. Contrary to this, another fifty percent of managers differs.



At first, Rist, Boily and Martin defend an argument that human capital is of primary importance for the production of (M&E) results. Caution to this, Taylor established that there are numerous inadequacies that mostly lead to disorderliness in the workplace.

To calm the panic of employees with regards to performance challenges of (M&E), (Hanekom and Thornhill, 1994:75) uphold that “workers should be entitled to bonuses when it is evident that performance was extraordinary.” In light of the above, as a general rule, the HR section of a public institution has a role and responsibility of comprehensive management of an individual performance and that of an institution. (Cole 2011:301) established an assumption that “people are unreliable, unable to take responsibility and need close supervision and control.”

Nel, Werner, Poisat, Sono, du Plessis, and Ngalo (2011:421) pointed out that “poor supervisory skills especially in performance monitoring and review is a factor that contribute to subordinating employees not be able to perform daily tasks and only afforded feedback during performance reviews.”

In essence, the testability of performance annual reviews should be understood as not a standard practice to appraise personnel nor tracing deficiencies. This raises a concern for management personnel that must be reviewed and also review the subordinates.

#### **4.4.4 M&E is burdensome when added to our functions**

Thirty seven and half percent of managers divulge that M&E is burdensome when added to their functions. Against this adversity, 62% of managers indicate a different positive attitude. In totality, this causes a concern for a manager who declared familiarity with (M&E) practices with more than ten years of experience in service to have discomfort when (M&E) has to be executed. In withstanding the reported reluctance, Gilbert (1996:17) claims that local authorities should exercise good governance for maintainable development within their communities to the extent that their actions are efficient, effective, accountable and fair.

The Presidency, (2007:26) promulgated the assertion that, “strong (M&E) systems has to promote coordination and prevent fragmentation”. White Paper links the implementation of performance (M&E) with the eight “Batho Pele” principles, in order to improve service delivery.

The supposed “Batho Pele” principles ought to be a primary task in compliance to the said principles.

De Visser (2007) confirms the importance of the link between the (SDBIP) and performance agreement as instrumental to improve the municipality's capacity to monitor implementation of the (IDP) and to act on any problems in implementation. One other strategy as provided by Cloete (2009:23) is "there is a need for coherent and feasible, integrated and holistic national vision to guide M&E activities".

South African municipalities must adhere to the principles of good developmental local governance and comply with an inclusive statutory and regulatory framework that governs service delivery (Govender and Reddy 2014:162 and Van der Waldt 2014:132). Against this backdrop, it has been observed that "Line managers lack skills and competencies on how to give constructive feedback and monitor performance throughout the year (Mpabanga, 2011:29).

Managers have declared their familiarity with (M&E) practices, it is therefore expected of them to execute M&E practices to improve service delivery and improved reporting.

#### **4.4.5 Skilled M&E professionals are needed**

Hundred percent of managers concur that skilled (M&E) professionals are needed. In absence of (M&E) professionals, Kusek and Rist (2004:159) highlighted the challenge of lack of skilled (M&E) professionals, technically trained (M&E) personnel and a greater demand for capacity.

Taylor and Taylor (2011:28) asserted that the other factor that causes difficulty in aligning and linking key performance areas with policy and program implementation outcomes is the limited training and lack of knowledge to link effort, performance and reward. Therefore, to accommodate the tacit and displaced knowledge, Lane (2000:304) remarked that (NPM) provides a set of new ideas about how government can complete the job with more efficiency.

It is for that reason that Nel et al., (2011:420) remind us that "the managerial officers are entrusted with the role to support and give guidance to subordinates in order to identify, prepare for the achievement of the set objectives set in performance plans in alignment with the organization". Mwema and Gachunga (2014) confirms that the accomplishments that are attained by the organization depends on the performance of its employees.

Taylor and Taylor (2011:28) opined that the other thing that causes difficulty in aligning and linking key performance areas with policy and program implementation outcomes is the limited training and lack of knowledge to link effort, performance and reward.

In acknowledging this occupational gap, Cloete (2009:23) contended that “in more than a decade to date, government of South Africa adopted a governmental general use of (M&E) approach for all government institutions.”

#### **4.5 SUMMARY**

This chapter provided a comprehensive summary of research data collection, analysis and discussion of the research findings.

From the data analysis, key findings are reported and discussed. The next chapter provides a summary of the study, recommendations for future research and conclusion.

## CHAPTER 5

### DISSERTATION SUMMARY, RECOMMENDATIONS AND CONCLUSION

#### 5.1 INTRODUCTION

This section was intended to provide the research summary, recommendations and conclusion. Analytical further processing and presentation of responses were made by means of content analysis. Below is part for discussion that intends to align key findings and propositions with the literature. Such key findings were stated and discussed in relation to the literature to produce empirical evidence. Also, this chapter provides a summary of the preceding chapters, makes recommendations for the solution of the research problem, as well as a conclusion of the research project.

#### 5.2 THE RESEARCH PROBLEM

Chapter 1 referred to research problem as scant regard of monitoring and evaluation persisting over and above the presence of internal control system, which poses significant potential to hinder effectiveness of service delivery. Government-wide Monitoring and Evaluation System requires that all government institutions must execute and implement monitoring and evaluation to promote accountable reporting (2007). The research objectives are stated as describing the theories of performance (M&E), explanation of the process of performance (M&E), explaining the challenges of (M&E), describing the legislative framework for performance (M&E), and to conduct and empirical study amongst the management of a municipality. The chapter indicated the significance of the research as well as the ethical requirements that the researcher undertook to fulfil.

This research is produced by posing the following research questions:

- What are the theories of performance monitoring and evaluation?
- What does the performance management function in monitoring and evaluation involve?
- What is the legislative framework for performance monitoring and evaluation?
- What recommendations can be suggested to address the research problem?

The preceding chapter suggested the quantitative research approach as befitting for the project, and was limited to housing department of Drakenstein Municipality in the Western Cape.

### **5.3 THEORETICAL AND CONCEPTUAL FRAMEWORK OF THE STUDY**

Chapter 2 covers the theoretical framework and conceptual framework for the research project. (M&E) is explained as helping an organization to give account of the actions of individuals. The discussion covers the types of evaluation, the benefits of evaluation, the (M&E) system, results-based (M&E) , theories of performance management in (M&E) , challenges of performance (M&E), challenges of employee performance (M&E) , limitations of the (M&E) system, (NPM), applying the criteria to the provision of housing, and the (M&E) process within the Drakenstein municipality.

In addition, a significant number of studies were conducted in monitoring and evaluation as an administrative discipline. However, none of them zoomed-in in challenges of monitoring and evaluation in the municipality in South Africa. Thus warranted for this study to ponder even further in this discipline. Managerial officials were employed as sample because they were the knowledgeable personnel with monitoring and evaluation. Furthermore, Government-wide Monitoring and Evaluation System, Treasury, Municipal Systems Act and Municipal Finance Management Act and in-house policies are advocating for the execution and implementation of monitoring and evaluation.

Due to displacement of monitoring and evaluation as reporting instrument, the municipality could not improve on accurate reporting for the past two terms of office. Presence of monitoring practices and absence of evaluation of works and projects formed a trend of disregarding (M&E) and non-appointment of (M&E) qualified personnel for evaluation of works and projects.

### **5.4 RESEARCH METHODOLOGY**

Chapter 3 explains the research design and methodology, stating that the quantitative approach to research was followed in the form of a questionnaire survey amongst the sample of managers that comprised nine managers within the Drakenstein municipality. A total of eight managers responded to the questionnaire survey. The data was analysed by means of the Statistical Package for Social Sciences (SPSS) with the assistance of the resident statistician at the university. The findings drawn from the data analysis are recorded and discussed in detail.

## **5.5 DATA COLLECTION, DISCUSSION AND ANALYSIS**

Chapter 4 illustrated how data was systematically collected using close-statements in a questionnaire survey instrument among the eight out of nine sampled managers of the housing department of the Drakenstein Municipality. Paarl East housing office was the unit of research that the data was mined from by voluntary participation of the managers in the unit. Findings that emanated from accessed data were discussed to understand and to give proper interpretation of all the statements responded to by the participated managers. By help of the statistician from the (CPUT) statistics office, the data was analysed to reach the point of making the research findings that gave answers to the research question(s).

## **5.6 RECOMMENDATIONS AND CONCLUSION**

The findings from the study are mostly positive. Based on the findings of the empirical study, the following recommendations are made for those areas of concern.

### **Recommendation 1: Benefits of evaluation**

The municipality should prescribe an evaluation reporting standard to all management staff. It is generally expected that all staff at management level are fully aware of the benefits that evaluation provides in the process of service delivery. The study showed that a high percentage of managers are uncertain of the benefits of evaluation.

### **Recommendation 2: Employees should be provided with regular training in evaluation and performance management.**

In view of the fact that the empirical study found that employees are familiar with the evaluation process, and that performance management in the institution is reviewed on an annual basis, training can ensure that the situation is sustained.

### **Recommendation 3: The need for professional monitoring and evaluation officers**

For future research it is recommended that the feasibility of appointing professional monitoring and evaluation officers within municipalities be investigated. This may assist in evidential reporting and accountable quality reporting.

## 5.7 CONCLUSION

This chapter is set to conclude the study and suggested important recommendations that are intended to assist housing department and other municipal departments with similar challenges. Housing department and other municipal departments could find these recommendations beneficial in pursuing an accountable quality reporting.

The study identified the research problem as inadequate attention being given to M&E in facilitating efficient and effective service delivery within municipalities.

The quantitative approach to research was followed in the form of a questionnaire survey amongst a sample of managers to collect data within a municipality.

Based on the data analysis of the empirical study, findings were made and discussed. Below are the recommendations that are made for the solution of the problem, as well as a suggestion for future research.

Albeit research findings signalled that managers are knowledgeable about the monitoring practice, but familiar with evaluation practice as explained in the findings, evaluation practice remain the challenge within the housing department. This included a prescription of an evaluation reporting standard to all management staff, training for monitoring and evaluation practices and of appointment of professional monitoring and evaluation officers within municipalities. Research revealed no consequence management for the displacement of monitoring and evaluation, neither prior intentions to introduce it as needed reporting instrument.

In essence, this research project concludes by recommending that a need is evident to enable the capacitating of all managers to produce accountable quality reporting that will bear convincing evidence in all municipal departments. This is because the administration apex reporting of a municipality is a collective reporting. Thus, prudent implementation of internal controls should be administered as required by legal prescripts. Qualified personnel in monitoring and evaluation should be appointed to sustain administration of monitoring and evaluation in the future. Internal audit office should advocate for the purpose of its existence that is to assess the risk management culture of the organization as well as evaluating and reporting on the effectiveness and efficiency of the implementation of management policies and audit committee play its comprehensive role.

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## ANNEXURE A



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records@drakenstein.gov.za  
Civic Centre, Berg River Boulevard, Paarl 7646

Enquiries: Mandisa Sibeko (SDF)  
Contact number: 021 8076215  
Reference: S7/4/1  
Date: 29 November 2017

Mr Mava Tshaka  
K 50 Amaza Street  
Mbekweni  
PAARL

**RE: REQUEST TO CONDUCT RESEARCH IN HUMAN SETTLEMENTS: 2017**  
**RESEARCH TITLE: CHALLENGES OF MONITORING AND EVALUATION IN SERVICE DELIVERY**

Dear Mr Mava Tshaka

Receipt of your request letter dated 1 September 2017 is herewith confirmed. It is with great pleasure to inform you that approval to conduct research within the Drakenstein Municipality Human Settlements Department has been granted.

The following conditions are applicable to the granted approval:

1. The researcher must carry in person and present the approval letter within the municipal premises and to the employees sampled for the duration of the research study.
2. Dates for surveys are communicated and agreed upon with the office of the Senior Manager Human Settlements before implementation.
3. Research is only implemented during office hours.
4. The researcher makes use of own research resources such as stationary, photocopies, telephones etc.
5. Upon conclusion of the research study the Senior Manager Human Settlements and the Drakenstein Strategic Management Team should be presented with a brief summary of purpose, findings and recommendations on the conducted research.

Drakenstein Municipality wishes you well in this important undertaking and looks forward towards examining the findings of your research.

Please do not hesitate to contact us should you require more information.

Yours faithfully

  
SERAJ JOHAAR  
EXECUTIVE DIRECTOR: CORPORATE SERVICES

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A city of excellence

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## ANNEXURE B

Dear Participant

The attached questionnaire represents a survey amongst staff in management positions within the Drakenstein Municipality, Human Settlement Section that aims to measure the perceptions of the staff regarding the extent to which Monitoring & Evaluation impacts on the provisioning of housing.

It is expected that the survey will produce information that could be used by the Municipality to improve service delivery of housing. Your cooperation, which is crucial to the success of the survey, will be appreciated.

The survey is part of the research project towards the completion of a Masters study, which will be submitted to the Cape Peninsula University of Technology (CPUT).

Your agreement to complete the questionnaire is voluntary, and you are assured that all information shall be treated confidentially. Instructions are provided on each page of the questionnaire.

Ideally the questionnaire should take about twenty minutes to complete, and I wish to emphasise that the success of this exercise depends on your willingness to be part of this survey.

Thank you for your cooperation.

Yours faithfully



Mava G. Tshaka (Researcher)  
021-808 5098 / 073 7728804 & 0659537373  
[Mavatshaka1970@gmail.com](mailto:Mavatshaka1970@gmail.com)

## ANNEXURE C: QUESTIONNAIRE PART 1

### SECTION A: BIOGRAPHICAL DATA

**Instructions:** Please mark with an “X” in the appropriate column

1.	Race	Black Coloured White Indian Other	<input style="width: 100%; height: 100%;" type="checkbox"/> <input style="width: 100%; height: 100%;" type="checkbox"/> <input style="width: 100%; height: 100%;" type="checkbox"/> <input style="width: 100%; height: 100%;" type="checkbox"/> <input style="width: 100%; height: 100%;" type="checkbox"/>			
2.	Gender		<input style="width: 100%; height: 100%;" type="checkbox"/>	<input style="width: 100%; height: 100%;" type="checkbox"/>	<input style="width: 100%; height: 100%;" type="checkbox"/>	<input style="width: 100%; height: 100%;" type="checkbox"/>
			M	F		

3. Marital status

Married  
 Never married  
 Divorced

4. Years of experience in municipality

Between 5- 9 yrs	<input type="checkbox"/>
Between 10 – 14yrs	<input type="checkbox"/>
Between 15 yrs & more	<input type="checkbox"/>

5. Highest educational qualification

PhD	<input type="checkbox"/>
Masters	<input type="checkbox"/>
Honors	<input type="checkbox"/>
Degree	<input type="checkbox"/>
Diploma	<input type="checkbox"/>

## ANNEXURE D: QUESTIONNAIRE PART 2

### SECTION B: DATA COLLECTION

4

#### QUESTIONNAIRE

#### SECTION B

Statement		Response scale				
		Strongly Agree	Agree	Neutral	Disagree	Strongly disagree
1	I am familiar with the monitoring process	x				
(i)	I am familiar with the evaluation process	x				
(ii)	Municipality service delivery is informed by IDP		x			
(iii)	SDBIP is used to measure success of IDP		x			
(iv)	SDBIP is used to measure success of general administration				x	
2	I am familiar with the Monitoring administration of housing projects				x	
3	I am familiar with the evaluation of a housing project				x	
4	The housing data base is long	x				
5	I understand the requirements to acquire a house	x				
6	Monitoring and evaluation (M&E) is ideal for effective housing delivery	x				

4

Instructions: Please indicate with a cross (X) in the accompanying column on the right the response that resembles your opinion on the statement to the left.						
Statement		Response scale				
		Strongly Agree	Agree	Neutral	Disagree	Strongly disagree
7	I consider the following six components of M&E realistic					
(i)	The aims of evaluation in South Africa	X				
(ii)	The benefits of evaluation	X				
(iii)	Evaluation Capacity Building	X				
(iv)	Implementation of M&E system	X				
(v)	Results-based M&E system	X				
(8)	Assessment of our performance is important	X				
9	Our Dept. has an Internal control system		X			
10	Our internal control system is known to all stakeholders				X	
11	Our Dept. is clustered with other departments of the Municipality				X	
12	Our department is collaborating with the provincial government		X			
13	Our personnel is trained for monitoring & evaluation				X	
14	Various sections in the Dept. work well together				X	
15	Our Dept. has a Human resources strategy					X
(i)	Our Dept. is able to acquire qualified personnel				X	

<b>Instructions: Please indicate with a cross (X) in the accompanying column on the right the response that resembles your opinion on the statement to the left.</b>						
<b>Statement</b>		<b>Response scale</b>				
		<b>Strongly Agree</b>	<b>Agree</b>	<b>Neutral</b>	<b>Disagree</b>	<b>Strongly disagree</b>
(ii)	Our Dept. is able to retain qualified personnel				X	
16	Tempering with housing database is limited		X			
17	I comply with the legislative requirements in fulfilling house application	X				
18	We execute the functions systematically		X			
19	My performance is reviewed annually		X			
20	We perform SWOT Analysis before starting a project				X	
21	Local Government has a big role in improving lives of the poor	X				
22	<b>I consider the following four contingency intervention modes as realistic</b>					
(i)	People with urgent housing needs are given preference in housing allocations				X	
(ii)	People with bodily special needs are afforded preference for accommodation				X	
(iii)	Provision of alternative housing in compliance to court orders					X

Instructions: Please indicate with a cross (X) in the accompanying column on the right the response that resembles your opinion on the statement to the left.						
Statement		Response scale				
		Strongly Agree	Agree	Neutral	Disagree	Strongly disagree
(iv)	Provide shelter in unforeseen mishaps					X
23	Qualifying applicants wait long time in the data base	X				
24	We use charts to assess progress for reporting				X	
25	M&E is burdensome when added to our functions		X			
(i)	We take delight in pursuing M&E functions				X	
26	Government-Wide Monitoring and Evaluation system assists in improving efficiency				X	
(i)	Government-Wide Monitoring and Evaluation system assists in improving effectiveness				X	
27	Skilled M&E professionals are needed	X				
28	We have the necessary infrastructure to implement M&E		X			
29	Our M&E duties are supervised				X	
30	The governance system in our Department is:					
(i)	Efficient				X	
(ii)	Effective				X	

Statement		Response scale				
		Strongly Agree	Agree	Neutral	Disagree	Strongly disagree
(ii)	Accountable				X	
31	We are commended when good work is done				X	
32	We achieve intended outcomes within the provided resources		X			
33	The Internal audit unit informs the M&E controls		X			
34	Implementation of National Housing Code is useful in selecting beneficiaries		X			
35	Our Dept. appoints private property developers to execute housing projects			X		
(i)	Our Dept. act as developer in the development of our housing projects				X	
36	Council's housing policy is complied with		X			
37	Houses are allocated strictly according to the official waiting list		X			
38	After project housing allocation we submit a comprehensive report		X			
39	Quality houses are handed to beneficiaries in good condition		X			



<b>Instructions: Please indicate with a cross (X) in the accompanying column on the right the response that resembles your opinion on the statement to the left.</b>		<b>Response scale</b>				
<b>Statement</b>		<b>Strongly Agree</b>	<b>Agree</b>	<b>Neutral</b>	<b>Disagree</b>	<b>Strongly disagree</b>
40	Our M&E competency skills are compliant with Municipal Regulations on Minimum competency levels				X	
41	Implementing Housing Policy of the Western Cape delivers impact on people's lives.				X	
42	We implement Housing Policy of the Western Cape.		X			

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**ANNEXURE E: GRAMMARIAN CERTIFICATE**

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**GRAMMARIAN CERTIFICATE**

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MELKOZAH CONSULTING PTY LTD

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6 April 2022

Dear Sir/ Madam

Re: Confirmation of proof reading of thesis for Mava Gardner Tshaka, Student Number: 196111803

This confirms that I have proof read and edited the research study entitled, "*Challenges of Performance Monitoring and Evaluation in Service Delivery: A Case of a Selected Municipality in the Western Cape*" and that I have advised the student to make the required changes.

Yours faithfully



**MELODY RUMBIDZAI KOZAH**

Editor

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