

**ASSESSMENT OF MONITORING AND EVALUATION OF NON-
FINANCIAL PERFORMANCE OF PROVINCIAL
DEPARTMENTS IN THE PROVINCE OF THE EASTERN CAPE
WITH SPECIAL REFERENCE TO ITS IMPACT ON SERVICE
DELIVERY**

ERNEST PAUL VERMAAK

2016

DECLARATION

I, Ernest Paul Vermaak hereby declare that the dissertation entitled “ASSESSMENT OF MONITORING AND EVALUATION OF NON-FINANCIAL PERFORMANCE OF PROVINCIAL DEPARTMENTS IN THE PROVINCE OF THE EASTERN CAPE WITH SPECIAL REFERENCE TO ITS IMPACT ON SERVICE DELIVERY” is my own work and has not been submitted for a degree at another university.

E. P. Vermaak

Signed at East London on the **APRIL 2016**

(iii)

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E. P. Vermaak

APRIL 2016

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By

ERNEST PAUL VERMAAK

**THESIS SUBMITTED IN FULFILLMENT OF THE REQUIREMENTS FOR THE
DEGREE OF DOCTOR OF PUBLIC ADMINISTRATION IN THE FACULTY OF
MANAGEMENT AND COMMERCE AT THE UNIVERSITY OF FORT HARE**

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SUPPLEMENT C Letter of approval by Director General to conduct research study

(xvi)

SUMMARY

ASSESSMENT OF MONITORING AND EVALUATION OF NON-FINANCIAL PERFORMANCE OF PROVINCIAL DEPARTMENTS IN THE PROVINCE OF THE EASTERN CAPE WITH SPECIAL REFERENCE TO ITS IMPACT ON SERVICE DELIVERY

By

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In this research study an investigation was launched into the monitoring and evaluation system that the government introduced to monitor and evaluate the performance information produced by the Provincial Government Departments on the implementation of their annual performance plans.

The Government Departments obtain budget approval from the Legislature and submit their three year performance plans with their budgets. The government realized that service delivery was not improving against the back drop of annually increasing the budgets.

The monitoring and evaluation system was introduced to assist the Government Departments with the implementation of their annual performance plans. Monitoring and evaluation serves as a control measure and deviations can be detected from the planned outputs of the Government Departments. Corrective measures must be instituted that will have the effect that the Government Departments meet the targets set in the indicators as approved in the annual performance plans.

A literature review was conducted on monitoring and evaluation regarding the ideal manner in which it should be performed. The South African Government introduced a number of discussion documents from the Presidency and National Treasury on monitoring and evaluation. Several authors raised their views on the matter and it was captured in the research study.

The methodology followed was based on the Systems Theory and a questionnaire was prepared and circulated amongst Political Office Bearers and Chief Officials in the Provincial Government Departments in the Eastern Cape on the issues that was researched. Interviews were conducted with selected participants to gain clarity on specific issues related to the questionnaire. The official annual report issued by the Auditor General to the Provincial Legislature served as official document in the research study.

The data collected from the questionnaire, interviews and official documentation was analyzed and graphs were drawn and deductions were made from the results. Findings

and recommendations were made from the data collected and a summary was compiled of the issues raised in the research study.

CHAPTER ONE

INTRODUCTION AND GENERAL OVERVIEW

1.1 INTRODUCTION

A scientific research uses a number of methods and procedures in the creation of a set of scientific information (Welman & Kruger, 2001:2). Brink (2006:2) referred to research study as an exploration, discovery and careful study of unexplained phenomena. In this research study unexplained phenomena regarding monitoring and evaluation of performance information in the Provincial Government Departments will be researched.

A research study is scientific if it contributes to knowledge through empirically driven and methodological research (Birkland, 2011:11). The question can be posed what entails research? The Concise Oxford Dictionary defines research as “careful search or inquiry after or for the endeavour to discover new facts- - -“. Denscombe (2002:29) stated that the purpose of a research study calls on the researcher to identify a relatively narrow and precise area for investigation, rather than setting out to investigate some general area of interest. In this research the system utilised by the Government Departments to monitor and evaluate performance information will be assessed in the Province of the Eastern Cape.

The researcher analyses the data in its broader context including the historical background and physical environment such as the political, economic, social, cultural and ethical environments (Stake, 1995:90). Considered in relation to how effective and efficient it was performed by the Provincial Government departments such acts of performance can also be seen as an achievement.

The ability to operate effectively and efficiently is directly linked to an output in the form of a service, product or knowledge and is also linked to the quality of the output, for example the quality of the services which are rendered. A research study will start with a problem in the form of an unanswered question in the mind of the researcher (Leedy & Omrod, 2005:7). The level of service provision is an unanswered question, as well as the monitoring and evaluation in the Provincial Government Departments since it is a relatively new concept.

The research study entails an investigation with a purpose and is done systematic in terms of the behaviour, processes and techniques in the administration of the Government Institutions in an effort to describe, explain and forecast specific phenomena regarding the behaviour patterns, processes and techniques (Botes, 1995:26). Such action ought to be continuously appraised according to predetermined standards. Performance appraisal is seen as the periodic evaluation of performance as measured against some criteria. An effective appraisal system will point out strengths and weaknesses in the employees and departmental performance. It is clear that performance, which may be classified into financial and non-financial performance, is an approach to manage performance data. Performance management aims to maximise performance with a minimum input of resources and to detect deviations in advance of their actual occurrences (Terry, 1977:452 and Mitchell & Larson, 1987:156).

Resource management is essential to the management of performance information and in the Strategic-, Annual- and Operational Plans resources are allocated to the individual programmes and sub programmes of the Provincial Government Departments. The principle value for money is applicable since public services

should be provided as economically and efficiently as possible to the citizenry (DPSA, 1997:15).

A programme is a set of specific actions which must be undertaken in a separate manner or at the same time in the endeavour to reach a specific policy goal or to implement a plan (Cloete, 1986:168). The programme performance management strive to link what is being done to what is being achieved and focuses on the effectiveness and efficiency of achieving the Provincial Government's policy objectives, meeting community needs and satisfying statutory and ethical accountabilities.

A programme has two main elements namely; activities that are classified and scheduled as well as a calculation of time for the completion of each activity (Meiring, 2001:71). Programme performance management relates to the timely collection and assessment of financial information about the programme activities and outputs. The non-financial information covers the quantity and quality of the programme outputs and measures the programme outcomes. Administration involves the process that assists the Government Institutions to operate its internal workings in order to achieve its intended goals (Owens, 1970:127). Performance monitoring is an on-going process based on the collection of information to measure and evaluates the outcomes, outputs and activities relating to actual performance against predetermined plans, to assess trends by comparing current performance against past performance and to measure performance against internal and/or external benchmarks.

In this process performance indicators are developed to enable performance monitoring (Guide for the Implementation of Provincial Quarterly Performance

Reports, 2011: 8). The performance indicators are reflected in the Annual Performance Plans of the Government Departments. The best administered programme is of no value if nothing significant is achieved by it (Bozeman, 1979:263). The monitoring and evaluation function will strive to test the Government programmes in terms of results achieved and reports on it periodically such as the quarterly, half yearly and annual reporting.

In this research study the focus will be on the monitoring of the non-financial performance information to measure whether the Provincial Departments achieved their pre-determined objectives. The problems that the community faces are time and place bound and will always have a specific origin and place from which they originate. It can be found that as a result of this various symptoms may result from a problem (Meiring, 1987:146). The determining of policy and the objectives of the policy reveal a dynamic characteristic since it always poses a choice between changing the objectives or to retain it (Anderson, 1982:19). The Government policies are under constant testing whether to retain it or effect changes to the plans.

In the public sector analysis and evaluation are of similar importance such as to determine whether a specific public service or programmes are still needed. Results have the tendency to focus on the interpretation of the social meaning through the social world as represented by the social world of the research participants (Rithie & Lewis, 2004:5). In this vain any public process or services can be selected for analysis and evaluation (Thornhill & Hanekom, 1995:57). In this regard monitoring and evaluation plays an important role in the assessment of the Government performance in terms of its set plans to provide services to the public.

The purpose of this chapter is to provide an introduction to the research study and to contextualise the contents and to determine the boundaries of the research study. The following aims have been set for this chapter. Firstly, a background to the research study and the problem will be explained. The research study commenced in January 2011 and it is imperative that the historical development which led to the introduction of performance management in the provincial sphere be described and explained. Secondly the circumstances which led to the origin of the problem and the nature of the problem will also be explained. Thirdly, following the problem statement, the objectives of the research study will be identified. Fourthly, the hypothesis of the research study will be set out and stated. Fifthly, the necessity of the research study, study plan and limitations to the research study will be described and explained. Lastly, in order to eliminate semantic confusion because various words have different meanings, specific words and terms that are utilised in this research study will be explained. The citizens could on an individual basis be ill informed or be apathetic and not inform the Government regarding a specific problem that exists in the community. It can be found that even groupings of people that include the press may not cover a specific problem and bring it under the attention of the Government (Meiring, 2001:54). The system to monitor the Government service delivery programmes will assist to bring forward any issues that would normally not be detected or reported by citizens to the Government. The functionality of this monitoring and evaluation system is of importance to measure the performance of the Government Departments in terms of their aims and goals.

The background to the research study can be explained as follows.

1.2 BACKGROUND AND RATIONALE TO THE RESEARCH STUDY

After the 2nd February 1990, the South African public management has been characterised by rapid change in almost every area of society with the introduction of a new political dispensation (van der Walt & Du Toit, 2003:7). The third democratic term of Government in South Africa that started in 2004 was characterised by a number of strategic initiatives that were aimed at addressing structural, economic and social challenges of poverty alleviation and underdevelopment. The need for sustainability in Government services and policies regarding the activities of Government is of cardinal importance for good governance (Gildenhuys, 2005:113).

The state has not performed optimally in relation to the public expectations and the quality and service standards have not always improved and in some areas service quality and standards have deteriorated in spite of a substantial increase in successive annual budget allocations (Our Approach, 2009: 4&5). Based on the values of the people, some can hold divergent views and perceptions.. In certain circumstances reconciliation may be made between any divergent perceptions (Meiring, 2001:57). It could be overcome by the collection and processing of information and the setting of an agenda is then a requirement for the elimination or prevention of a particular problem (Dunn, 1994:16).

The Government realised that a critical success factor to ensure that tangible results are achieved in these areas are the effective monitoring, evaluation and reporting on Government Policies, Projects and Programmes. In essence the adage “what gets measured, gets done” was endorsed (EC Provincial Monitoring and Reporting Framework, 2011: 8). It is not the content of public policy expressed in objectives that needs to be studied but, instead the process, by which the public policy is

developed, implemented and changed (Dye, 1992:24). In this process monitoring and evaluation can play an important role and test the objectives from the planning to the implementation stages.

It can be deduced that the Government realised that it was not optimally introducing its service delivery programmes and that a method must be introduced to monitor the service delivery programmes from 2004 onwards that was not done before this date.

During the State of the Nation address on 21 May 2004, President T Mbeki stated that the Government is in the process of refining the system of monitoring and evaluation to improve the system of governance and the quality of outputs. It will also provide an early warning system and a mechanism to respond speedily to challenges as it arises (T. Mbeki; State of the Nation Address 2004: 9). According to the Framework for Managing Programme Performance Information for a monitoring and evaluation system the Cabinet initiated plans in 2004 (Roos, 2012:9).

It can be deduced that no monitoring and evaluation system was utilised before 2004 since President T. Mbeki spoke about it in his State of the Nation Address during 2004 and referred to a system that was in a planning phase and with the adoption of the Framework for Managing Programme Performance Information by the Cabinet in 2004 the monitoring and evaluation system was initiated.

The policies of the Government are translated into various programmes which are carried out. The policies of Government must be in harmony with the real needs of the people (Gildenhuys, 2005:113). Monitoring and evaluation assists to improve the performance of the Government and achieve results. The purpose of monitoring and evaluation is the measurement and assessment of performance of the Government Institutions in an effort to more effectively manage the outcomes and outputs of the

Government service delivery (UNDP, 2002:5). Performance measurement is a framework that describes and represents the manner in which a Government Institution's business cycle and performance planning processes, monitoring and reviews will be conducted (Conradie & Schutte, 2003: 34). Performance information is important in the sense that it promotes effective management, including planning, budgeting, implementation, monitoring and evaluation (National Treasury, 2007:1).

The manner in which policies are made may be analysed and evaluated since it may have an impact on the content of public policy (Dye, 1992: 25). The public service has committed itself to being more responsive, accountable and transparent in implementing Government policies (Ijeoma, 2013:97) and a system is needed to measure service delivery. Monitoring and evaluation can even be utilised to even test the policy making and, as well as and implementation stages thereof.

The recognition of monitoring and evaluation as a national priority gained further momentum in 2007 with the publication of the Government-wide Monitoring and Evaluation Framework by the Presidency of the Republic of South Africa. This document was the overarching policy framework for monitoring and evaluation in the South African Government. A system of control is needed to ensure that the actual performance in the Government Departments is aligned with the Government policies and objectives (Gildenhuys, 2005: 217).

It can be deduced that with the inception of the Government-wide Monitoring and Evaluation Framework in 2007 monitoring and evaluation gained momentum as a system of control over service delivery in the Government Departments.

The Government is faced with a situation where the perceived reality of the problem in the community can change as well as the values observed (Meiring, 2001: 55).

The Government had a major challenge to become more effective and it was observed that the monitoring and evaluation process could assist the public sector in evaluating its performance and identify the factors which contribute to its service delivery outcomes (Government-wide Monitoring and Evaluation Framework, 2011: 1).

In 2008 the Presidency accelerated its research and development of a government wide monitoring and evaluation solution that culminated in the discussion paper on Performance Monitoring and Evaluation called Our Approach in 2009 (EC Provincial Monitoring and Reporting Framework, 2011: 8).

It can be deduced that the Government developed the monitoring and evaluation solution by publishing the document Our Approach in the Presidency during 2009 as a base document.

With the onset of the new electoral term in 2009 the Government cast its focus on strengthening the governance processes with respect to deliberate planning and rigorous performance, monitoring, reporting and evaluation that span all spheres of Government. A result based framework, name the National Outcome Approach, of measuring performance according to outcomes, outputs, activities and inputs was born as a result of these efforts. The National Outcome Approach is currently guiding monitoring and evaluation in South Africa and serves as guiding document on which the Eastern Cape Provincial Government designed the Monitoring and Evaluation Framework. The evaluation of information derived from performance data is relevant and helpful to Government managers at all phases of the management of policies, programmes and projects (Kusek & Rist, 2004:118). In the Government Institutions

the monitoring system is an important controlling tool to measure performance of the implemented plans.

It can be deduced that from 2009 the Government focussed its governance processes on planning and the monitoring of performance and reporting on the performance information. The National Outcome Approach was adopted.

South Africa has not been exempt from the effect of the global recession from 2008 onwards and in this context the pursuit of value for money is important if the state is to improve service delivery standards and wasteful and unproductive expenditure cannot be afforded. The state needed changes on how it provided services and a critical self-reflection had to be implemented (Our Approach, 2009: 5&6). It can be deduced that the recession from 2008 onwards had an effect on the thinking regarding Government performance and the utilisation of funds in the most economical manner to obtain the most value for money in regards to service delivery.

The new approach in South Africa is guided by three imperatives learnt from international experience (Our Approach, 2009: 6).

- The need for prioritisation in the sense that in the public sector there is an expectation that all actions are rationally undertaken (Cloete, 1986: 57). It is of importance that the set objectives will promote the general welfare.
- Outcomes based planning where officials draft the policy proposals for consideration by politicians (Ismail *et al*, 1997:160). It is the responsibility of the politicians to take the final decision on policy directions and set the desired outcomes.

- Performance management with a focus on a few priorities which are normally reflected in the annual budget. Implementation of Government Policy is to put the policies and programmes into operation based on a few priorities (Cutchin, 1981:49).

1.3 PROBLEM STATEMENT

Brink (2006: 52) stated that a research project begins with a problem or a question. Creswell and Plano Clark (2011:417) wrote that a problem statement conveys a specific problem. Singh (2007: 62) explained that a research study starts with the problem definition and it ends with the resolution of the problem. Leedy & Ormond (2005: 8) referred to the problem as the heart of every research study. Problems are time and place bound and will mostly have a specific origin and result. The problem can express itself through various symptoms (Meiring, 1987:146). A problem may not be experienced by all people in a group or community and it does not always remain a problem to everyone (Laver, 1986:19). A problem can change over time and from place to place and may not be experienced the same by different persons or communities. A research question or problem is a question about an issue that researchers examine to gain new information (Holloway & Wheeler, 2010:31). According to Leedy & Ormrod (2005: 43) the centre of every research project is the problem(s). Brink (2006:52) stated that the research purpose is generated from the problem. A problem statement conveys a specific problem (Creswell & Clark, 2011: 417).

In the identification of a research problem the following should be considered by the researcher: (Holloway and Wheeler, 2010: 32).

- The question must be researchable;

- The topic must be relevant and appropriate;
- The work must be feasible within the allocated time span and resources and
- The research study should be of interest to the researcher.

The research problem relates to a certain amount of difficulty that the researcher experiences in a situation in which the researcher wants to reach a solution (Welman & Kruger, 2003:12) to the problem faced. In the problem statement the researcher needs to name and discuss the problem itself (Hofstee, 2006:85).

The problems that the researcher experienced in the monitoring and evaluation of performance information in the Provincial Government Departments can be stated as follows:

The underperformance of Provincial Departments in the rendering of services and implementation of programmes are not properly addressed or improved, due to the following:

- **Insufficient exercise of control measures regarding performance information and the achievement of set targets against the pre-determined indicators and**
- **Non-implementation of corrective measures regarding under performance and**
- **The poor quality of information provided in performance reports related to the performance indicators in the Annual Performance Plans and as well as;**
- **Verification of the evidence of documentation to prove the actual performance.**

A good research question directs the researcher to the appropriate literary resources (Maree, 2012:3). In this research the above problem areas will serve to guide the literary resources.

Leedy (1997:45) stated that no research can be conducted without the occurrence of a research problem. The topic that is introduced must have a problem that is going to be investigated (Hofstee, 2006:85). The research problem is the beginning of the research and has an influence over the other steps in the research process. Brynard & Hanekom (2006:11) explained that the research study must be manageable to enable the researcher to focus on a specific problem, taking into consideration the available time, money, sample size and the expertise of the researcher. Before the research study can start the problem must be evaluated in a proper manner.

Bogdan & Biklen (1998: 6-7) stated that during the research you are not putting together a puzzle whose picture you already know, but that you are constructing a picture that takes shape as you collect and examine the parts. A good research question provides the researcher with a focus on the collection of the relevant data (Maree, 2012:3).

It can be deduced that the researcher must return to the research problem and formulate the questions on the grounds of the research problems.

The analysis of a problem can either be seen as the separation or the breaking up of it into its basic elements or constituent parts (Quade, 1989: 4). In an endeavour to improve on the performance of the Government, information regarding the results of the desired outcomes is needed, as well as the stumbling blocks that are experienced and the limitations on solutions to the problems (Massie & Douglas, 1992:173).

A struggle exists between those who desire to see the intention of the Government policies being executed and those that are responsible to execute the policies and those receiving the rendered services (Meiring, 2001: 66). To ensure that the desired service, as disclosed in the Annual Performance Plans of the Provincial Government Departments, must be monitored. Leedy & Ormrod (2005:5) stated that the research study is directed by research problems, questions or hypotheses.

The problem statement can further be motivated as follows:

In terms of a five-year Strategic Plan and an Annual Performance Plan every National and Provincial Government Department receives an annual budget allocation. The Provincial Government's annual budget serves as a policy statement that declares the goals and specific objectives a Government is striving to achieve by means of the expenditure provided (Gildenhuys, 2005: 269). The annual budgets are aligned to the Annual Performance Plans and the Operational Plans for a three year period with comparative figures of the previous financial year and the two outer years.

The resources that create a potential for conflict are limited when it comes to the determination of priorities and needs in the allocation of resources (van der Walt & du Toit, 2003:8). The implementation stage of the Strategic Plans will involve specific steps such as the designing of a programme or programmes that will have task sequences and clear statements reflecting objectives, performance standards, cost and time limits (Ripley & Franklin, 1982: 4).

The Annual Performance Plan indicates the objectives with annual and quarterly targets on which the annual budget is appropriated. The Government decides on political, executive and operational policies and the next step is to implement the

policies (Gildenhuis, 2005:194). Due to improper monitoring of the performance when the Performance Plan is executed it can differ, on a regular basis, from the Annual Performance Plan information.

Since no proper monitoring and review systems are in place the quarterly performance information can be compiled by relatively junior officials and then from this data a report is compiled by the monitoring and evaluation units. To reach a specific goal or to implement a set plan the Government programmes are a specific series of actions which must be carried out separately or simultaneously (Cloete, 1986:168). The poor quality of the performance information and non-adherence to timelines hampers the quality of the performance reports. The monitoring and evaluation units in the Provincial Departments must improve on the quality of the performance information and it is subjected to the knowledge and expertise of the monitoring and evaluation practitioners. The determination of the causes of specific problems could result in the establishment of a reasoned basis for a recommendation and a possible solution for the elimination of such problems (Dunn, 1994:99).

The users of the performance information are the Office of the Premier, Provincial and National Treasury, Government Departments and the public. Polanyi (1969:132) stated that both knowledge and research are progressive and they move towards a deeper understanding of the information that is already known. The performance information can indicate relative good performance, while the receivers of the rendered services can be dissatisfied. The impact of the Government service delivery can be limited and the reasons why it happened must be identified by monitoring of the performance information.

For monitoring and the annual audit process the actual performance information must be evidence-based and all the relevant documentation must be placed on audit files.

It can be deduced that there is a problem with the service delivery programmes of the Government and that the monitoring and evaluation system can make a meaningful contribution in achieving this goal. The problem can be researched and all Government Departments must implement the monitoring and evaluation system in terms of the PFMA.

The above problem statement provides a basis for the setting of a hypothesis and specific research objectives.

1.4 HYPOTHESIS STATEMENT

A hypothesis is described as a testable statement, generally derived from a theory, or from direct observation of data (Baily, 1982:491). Mark (1996:21) stated that “A hypothesis is a guess about the nature of the relationship between two or more variables”. In this research study it will be proved that the existing system of monitoring of non-financial performance information in Provincial Departments are inadequate to ensure effective work performance and that it should be revised to meet the unique requirements of the Provincial Government and Administration. A research will always start with one or more questions or hypotheses (de Vos, 1998:115).

In the testing of the hypothesis three research questions will be investigated, namely:

- What are the current challenges being experienced in the monitoring of non-financial performance information in the Eastern Cape Provincial

Departments? The description of a problem includes communication and decision taking that is based on performance information. In an endeavour to solve or prevent a problem the performance information must be collected and processed into suitable recommendations or proposals (Meiring, 1987:158). To place it up for scrutiny there do not have to be consensus over the nature of a given problem or the extent of its expressions for people who desire governmental action (Edwards & Sharkansky, 1979:100).

- What possible solutions can be designed to solve such challenges? The diagnosis and description of a specific problem is a cyclic process and needs a continuous analysis and evaluation to enable the policy deciders in taking workable decisions to meet the needs in a constantly changing environment (Meiring, 2001:54). In the finding of solutions suitable proposals or recommendations must be formulated by which is meant the clear, precise and accurate writing thereof to obtain the specific desired outcomes (Anderson, 2010: 63).
- What is the impact of the existing monitoring system on provincial service rendering and how can such impact be positively improved? Changes in policy can have an effect that will enhance the general welfare of the majority of the citizens and impact positively on their lives (Hajer & Wagenaar, 2003:12). In the event that the researcher performed the initial research study and demarcated the problem, the researcher is now in a position to make a statement of the research problem (Goddard & Melville, 2001:16).

Singh (2007: 63) stated that the identification of the problem area then leads to the formulation regarding the research objective.

1.5 OBJECTIVES OF THE STUDY

Denscombe (2002:31) stated that the purpose of the research study should be stated clearly and explicitly. The purpose of exploratory research is to reach an understanding regarding a situation, phenomenon, community or hypotheses (Bless & Higson-Smith, 2000: 42). The research study can be dissected into two components namely the process (search, inquiry, endeavour, scientific study and critical investigations) and the goal namely (discovery of new facts and principles (Wessels and Pauw, 1999: 363). Leedy (1997: 8) agreed with the second part and stated that the research study has a prime goal namely discovery.

Research study is a process, which implies that there should be a purpose, a series of actions and a goal (Brink, 2006: 3). The purpose of this research study is to evaluate non-financial performance of provincial departments in the Province of the Eastern Cape and to determine the impact on service delivery. The search for a solution to a specific problem is only the starting point from which the design of a quantifiable policy on which rational, defensible programmes of Government can be based. In an endeavour to reach such a stage it is important to introduce an extensive investigation into the means and ways a problem can be resolved or be prevented (Meiring, 1987:135). The research question states what intrigues the researcher and directs the research study (Maree, 2012:3)

The objectives of the study are to:

- To determine, analyse and evaluate the implementation of the existing monitoring system in Provincial Departments in the Province of the Eastern Cape to determine its effectiveness and impact on service delivery;

- Determine, analyse and evaluate the factors and problems which influence the effectiveness of non-financial performance management in the Province of the Eastern Cape; and
- Where possible, to make recommendations to improve the implementation of the existing monitoring system of performance information related to the Annual Performance Plans of the Provincial Government Departments.

Mouton (2002:28) stated that the main purpose of research study is to reach outcomes as close as possible to the truth. The true situation might not be achieved, however the researcher will strive to get as close as possible to the true situation by inviting comments from selected respondents.

1.6 RESEARCH QUESTIONS

Three research questions will be listed for this research study namely:

- What impact will the introduction of monitoring and evaluation have on the improvement of the government service delivery programmes?
- Whether monitoring and evaluation can detect which programmes are working and which are not working.
- Whether monitoring and evaluation can produce the reasons why programmes are not working and which corrective measures can assist to place the service delivery programmes on track again.

1.7 THEORETICAL FRAMEWORK OF THE RESEACH STUDY

The framework of a research study helps the researcher to organise the research study and provides a context in which to examine a problem and to gather and analyse data (Brink, 2006: 24). It is meaningless to collect data and let it to structure

itself into a coherent whole, without a basis for reasoning and a frame of reference to guide and evaluate such data. Theory is a frame work or a set of statements about concepts that are related to each other and are useful for understanding the phenomena under research study (Holloway & Wheeler, 2010:11). There is no facts independent of the theory that organized them. Research must also, even if only implicitly, presume a theoretical concept that organize the research study (Rein, 1983: 236). To theorize is to analyse data in an attempt to develop a conceptual system. Conceptual in this sense means a workable scheme for the classification of data that will make it possible to deal with universals rather than particulars.

What distinguish a science are its purpose and its method. Its purpose is to ascertain the truth with a scientific method. A scientific method is used to arrive at the verifiable and provable truth. A theory will usually form the basis for a chain of reasoning, leading to an understanding or explanation of phenomena or action. Theory provides a framework within which facts could be systemized (Bailey, 1982: 40).

Theories are frameworks which enable the researcher to gather, select, systematize and explain data (Bailey, 1982: 39). It is important that the research study does not only identify a problem, but that a continuous focus is placed on the problem (Badenhorst, 2007:21). Nearly every problem may be viewed by a specific discipline. It is important that the problem be studied from a Public Administrative perspective. An analysis of the title will show that it deals with three Public Administrative concepts, namely “evaluation, impact, and monitoring”. .

Against this background the concept of performance management in the Provincial sphere of Government can be based in, and be described and explained. Hypothesis

verification can be done by using the classical/process theory which consists of three main stages. Stage 1 which takes place entirely on the conceptual level, consisting of concept and proposition construction. Stage 2 bridges the gap between the conceptual and empirical levels. It consists of devising ways to measure the concepts empirically. Stage 3 entails the verification of the hypothesis (Baily, 1982: 53). Hypothesis formulation and verification is an integral part of scientific research study.

The classical/process theory takes efficiency as the objective and views administration basically within the division of work and the specialisation of functions. The Systems Theory as stated by Dye (1992:40) can be used to evaluate performance management for the rendering of services. A system can be thought of as an organised whole made up of parts which are connected and directed to some purpose (Terry, 1977: 27 and Finkle_& Gable, 1971: 56). Systems are thus basic to human activities. The Systems Theory has essential phases or components and takes place in a specific environment. Each system has an input, processes, output, impact/outcome and feedback phase to be carried out (Dye, 1992: 41). See Chapter 2, sections 2.3.1.1 to 2.3.1.6).

It can be deduced that the Systems Theory is relevant since the Monitoring and Evaluation System utilises the log frame that has similarities with the Systems Approach.

In the next section the significance of the research study will be dealt with.

1.8 SIGNIFICANCE OF THE RESEARCH STUDY

To be of significance a research study in Public Administration should rise above the individual and; particular problems of the day-to-day administration (Starling, 1986: 239). In the significance the researcher must explain why the work is worth doing (Hofstee, 2006:89). The matters researched will deal with service provision and policy matters of the Provincial Government in the Eastern Cape. A result based monitoring and evaluation system is a powerful public management instrument in assisting a Government in their plans towards the impacts and outcomes derived from it (Kusek and Rist, 2004: 26).

In Public Administration the research study includes a systematic investigation that has a purpose in the sense of behaviour, the processes and techniques in the administering of the public institutions to describe, explain and forecast specific phenomena regarding certain behaviour patterns, processes and techniques (Botes, 1995: 26). It is not possible for a Government to identify and explain all the social needs and there is no need for it in relation to the human environment and only the most important issues need to be understood (Gildenhuys, 2005: 76). To be understood Monitoring and evaluation needs to assess these matters.

The Eastern Cape Provincial Government developed a Monitoring and Evaluation Framework that endeavours to facilitate and coordinate the efforts of the Eastern Cape Provincial Government in the monitoring and reporting of progress in the implementation of its key strategic priorities articulated in the electoral mandate in general and the Provincial Strategic Framework and Program of Action in particular. In a community individuals and groups will strive to effect change to create new environmental circumstances (Meiring, 2001: 82). The need to develop a continuous,

well-functioning monitoring and reporting system that produce accurate, objective and reliable information that was identified by the Province of the Eastern Cape during 2011 (EC Provincial Monitoring and Reporting Framework, 2011: 3).

Since the Monitoring and Evaluation is a relatively new concept in the Provincial Government Departments the research study is necessary and a study of it will test the implementation of the monitoring and evaluation system since the information produced is of importance for decision making in the Provincial Government Departments. Due to its uniqueness the field of monitoring and evaluation is studied since the research study field is new in the Provincial Administration (Stake, 1995: 88). New theories about administration, that include monitoring and evaluation, can only be discovered through the study of the administrative environment in Government Departments (Botes *et al*, 1992: 280).

After the inception of monitoring and evaluation eleven years ago and the new approach that was followed since 2009 it is time to conduct a study on the monitoring and evaluation in Provincial Government Departments. A monitoring and evaluation system that functions in a proper manner can produce performance information that is trustworthy, transparent and relevant (Kusek & Rist, 2004:46). The important characteristic of evaluation is that it results in claims that are evaluative in character (Dunn, 1994:1). The focus is here on values and not in facts and actions taken. In the evaluation process value is assigned to the items and assignments that are conditioned by the nature of the items themselves (Frohoch, 1979:184).

The research study will also highlight which types of challenges exist in the process of monitoring and reporting on performance information and the remedial actions that can be undertaken to improve the reporting of data and its conversion into useful

performance information. The research study will endeavour to assist politicians and Chief Officials to overcome specific challenges that relate to service delivery that will benefit the communities that they serve.

The research study will be important to Political Office Bearers and the Chief Officials in their day to day decision making regarding the performance indicators in use and the results it produces. Political analysts will find the research study useful since it will indicate the areas of concern and where remedial actions can be undertaken regarding service delivery issues. Furthermore the reliance on performance information will have a new meaning since specific procedures must be followed before data can be accepted as reliable performance information. The Government will be in a position to take decisions on reliable performance information that will be readily available and at regular intervals.

The research study will serve as a guide in the work situation and as a training document that can be used to improve the general reporting by Chief Officials and also to conscientise the Provincial Authorities about the importance of effectively monitoring performance information. The research study will also assist students who are doing Public Administration studies or Monitoring and Evaluation studies. The research study is also essential in that the "... policy and practice should be informed by research evidence" (Becker & Bryman, 2004: 42).

1.9 LIMITATION OF THE STUDY

The limitation of this research study is the limited information that exists regarding the monitoring and evaluation in the Provincial sphere of Government and the short institutional memory that was built up during the last eleven years. The performance information produced by monitoring and evaluation might be detrimental to units and

individuals in a Government Institution (Kusek & Rist, 2004: 47). The evidence based performance information is new and the Government Departments experience some problems with its implementation, however after eleven years most of the problems should be overcome. In this research study authors who made contributions in the past and still remain relevant in the current situation were acknowledged and can be regarded as a building block in establishing monitoring and evaluation. In this research study authors were acknowledged that made contributions in the past that still remains relevant in the current situation and can be regarded as a building block in establishing monitoring and evaluation. References of some old books were still found to be relevant in the present situation. A balance was maintained with the references of some current authors on the topic.

Monitoring is also regarded as being in a honeymoon stage since challenges still exist with the implementation of the monitoring and evaluation system. The research study will endeavour to make a meaningful contribution to the field of monitoring and evaluation and fast track the progress thereof. The research study can lay the foundation for similar research studies by other students in the future.

The chapters will be outlined as follows

1.10 OUTLINE OF THE CHAPTERS

The outline of the chapters in a research study plan has a dual purpose. Firstly it serves to enable the researcher to organise the theoretical and empirical information into specific logical chapters to make sense. Secondly it serves to direct the reader by describing what can be expected in each chapter (Mouton & Marias, 1999:176 and Baily, 1982: 53). The chapter overviews give the reader an indication of how the dissertation will develop (Hofstee, 2006:90).

The research study will consist of five chapters which eventually constitute the dissertation. The outline of the chapters is as follows.

Essentially, chapter one indicates what the research study entails. The chapter serves as an introduction and general orientation to the research study. The chapter describes and explains the problem statement and hypothesis, objectives of the research study, necessity of the research study, limitations and delimitations of the research study, the research study plan, terminology and definition of terms and concepts used in this research study.

Chapter two will deal with the literature review based on distinguished opinions and views from various secondary sources, and from different researchers and authors whose work is significant in this particular research study field. Henning & van Rensburg, (2004: 27) indicated that a literature review is often a separate chapter in a research report in which the researcher synthesises the literature on his/her topic and engages critically with it. To base the research study 3(three) frameworks have been identified. Chapter two provides the first 2(two) frameworks for the research study, namely; a theoretical framework which is based on the classical process theory and the Systems Theory as well as conceptual the framework which deals with the nature and place of performance management, with reference to the monitoring function within the Public Administration, with special reference to control processes.

Chapter two continues and to describe and explain the legislative framework for performance monitoring in the Provincial sphere of Government. The legislative framework provides the policy for the monitoring of performance in the Provincial Departments. Policy is described as a declaration of intent which states the

objectives to be attained. It is like a roadmap in that it indicates where the policy makers want to go and what they want to achieve. Performance monitoring cannot be implemented without clear guidelines, standing decisions in legislation to ensure behavioural consistency and repetitiveness (Eulau & Prewitt, 1973: 465 and Meiring, 2001: 51).

Chapter three will deal with the research design and methodology of the research study. The purpose of this chapter is to describe the instruments to be used in the research study, outline the research techniques used to evaluate the co-operative role of Political Office Bearers and Chief Officials in the rendering of services. Firstly, the requirement to obtain permission to conduct the research study was explained. Secondly, the research design, approaches and strategy used in the research study were described and explained. Thirdly, the research methodology, consisting of the population, samples used, data collecting instruments and procedures used are described and explained. Fourthly, the data analysis techniques used in the research study are described and explained. Lastly, the adherence to specific ethical considerations in the research study is described and explained.

Chapter four deals with the analysis, interpretation and presentation of the data collected during the empirical testing. The purpose is to analyse, interpret and evaluate the collected data, available public documentation and other applicable secondary literature to statistically analyse, describe and explain the research findings around the research objectives to be able to test or verify, confirm or refute with evidence the problem and hypothesis. Appropriate analysis techniques were used to scientifically analyse the data scientifically. Chapter four firstly, analyse, describe and explain the demographic details of the Provincial Political Office Bearers and Chief Officials as respondents. Secondly the chapter evaluates,

describes and explains performance management as a system and a process. Lastly, the chapter evaluates, describes and explains the requirements for performance monitoring.

The chapter evaluates, describes and explains the implementation of performance monitoring. Secondly the chapter describes and explains the problems being experience with the implementation of performance monitoring. Lastly the chapter evaluates, describes and explains the impact of performance monitoring on the rendering of provincial services.

Chapter five is the concluding chapter and summarizes the findings and deductions made in the preceding chapters. Specific shortcomings and problem areas in the implementation of performance monitoring are explained and recommendations to solve or prevent such problems are provided.

The definition of terms and words used in the research study which explains the meaning of each word and term can be set out as follows.

1.11 DEFINITION OF TERMS AND WORDS

In this Section the terms and words used in monitoring and evaluation will be introduced and defined. The following key terms and words were defined and explained; evaluation, monitoring, planning, strategic goals, strategic objectives, non-financial performance and non-financial performance information. This section will clarify to the reader what is meant whenever there is any possibility of misunderstanding words (Hofstee, 2006:88).

1.11.1 EVALUATION

Evaluation is the systematic and objective assessment of a current and on-going project, programme or policy that includes its design, implementation and results (Public Service Commission, 2008: 3). Singh (2007: 54) described evaluation as the assessment of the performance of impact indicators. The aims of evaluation are to determine the relevance and the fulfilment of the objectives, development efficiency, effectiveness, impact and sustainability (Public Service Commission, 2008: 3). The evaluation should provide credible and useful performance information that will enable the Government Institutions to learn from the lessons learned and introduces it to the management decision making of the Chief Officials in Government Departments and the Politicians (Kusek & Rist, 2004:12).

Evaluation is a periodic and in depth analysis of programme performance and relies on data that is generated through the monitoring activities. Singh (2007: 54) referred to evaluation as a selective exercise that attempts to systematically and objectively assess progress towards the achievement of an outcome. Evaluation can also be conducted with the help of external evaluators. Evaluation refers to the process of determining the worth or significance of an activity, policy or programme (Public Service Commission, 2008:3). Evaluation is an assessment of a planned, on-going or completed intervention to determine its relevance, efficiency, effectiveness, impact and sustainability (Kusek & Rist, 2004:118).

Evaluation is the comparison of the actual impacts made against the Strategic Plans where targets were set for performance indicators. Evaluation checks what were the set outputs that were accomplished and the manner in which it was achieved. The evaluation can be formative in the sense that it takes place during the life of the

Government Institution with the intention to improve the strategy or manner in which the institution is functioning, It can also be summative by drawing lessons from a completed project or a Government Institution's strategic plans that no longer function (Shapiro, 2002: 3).

In the South African Government context programme evaluation involves the systematic and rigorous review of:

- Whether under the current circumstances a programme is still relevant to the needs or challenges that it was designed to address;
- The extent of which the planned objectives of a specific programme are achieving or have the inherent potential of being achieved;
- The full cost of meeting the programme objectives and any secondary benefits or the unplanned negative consequences that derives from the programme and
- The possibility that there might be some less costly effective ways in which to reach the programme objectives (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 9).

1.11.2 MONITORING

Monitoring has various meanings to different readers and in this document it will refer to the systematic and continuous process to track the performance related to service delivery, projects and programmes. The monitoring process must start with the designing of a monitoring framework or monitoring information system (Singh, 2007: 54). The Public Service Commission (2008: 3) defined monitoring as "A continuing function that uses the systematic collection of data on specified performance indicators to provide management and the main stakeholders of an ongoing development intervention with performance indicators of the extent of

progress and achievement of objectives and progress in the use of allocated funds”.. Monitoring refers to the day to day tracking of performance by collecting data on specific performance indicators in the Annual Performance Plans for the year under review. Singh (2007: 54) described monitoring as providing information regarding the performance of process indicators.

The monitoring process aims to improve the performance of the Government Institutions by serving as an early warning system against non-performance of performance indicators and the corrective measures that can be under taken to remedy the situation in good time.

Performance monitoring is a process that is performed on-going and thus vased on the performance information collected to measure and evaluate outcomes, outputs and the activities of the following:

- Actual performance versus the plans. In this process specific activities must be carried out to find the best course of action to achieve the set plans that derive from the policy objectives (Cloete, 1975: 27);
- Current performance against past performance and
- Performance against internal and/or external benchmarks (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 8).

1.11.3 PLANNING

Planning involves the reasoning about how a Government Institution will arrive where it intends to go (Starling, 1986:126). It means to see opportunities and threats in the future and to take advantage of it or minimise risks by taking specific decisions. Kroon (1995:169) defines strategic management as the continuous, long

term planning process by top and middle management to achieve the Government Institution's objectives. Dess *et al* (2004:2) described Strategic Planning as consisting of the analysis, decisions and actions Government Institutions undertake in order to create and sustain competitive advantages. Mintzberg (1994:109) explained planning as a calculating style of management. The Government Institution is under an obligation to concentrate in planning on what is planned to be accomplished before it enters into discussion on how it is going to be done (Anderson *et al*, 2004: 69).

1.11.4 STRATEGIC GOALS

The strategic goals of the Government Institutions refer to the areas in the Government Institutions that are of importance and serve as a statement of intent of what the Government Institution desires to perform. The setting and publication of objectives relate to the policy making of the Government (Cloete, 1986: 56). The objectives set by the Executive Authorities in policies must be written in a easily communicated format to enable the Chief Officials to understand the nature and scope of the operational functions. Daft (1997:220) stated that the operational management is concerned with specific action steps taken towards achieving operational goals.

The strategic goals identify areas of the institutional performance that are important to the success of the mission. The strategic goals should be challenging to the Government Institutions and it must be realistic and achievable. Under exceptional circumstances the strategic goals should have impacts and outcomes as their focus areas, but could also deal with other aspects of performance information. The strategic goals should be written as a statement of intent that is specific, achievable,

relevant and time bound. The Government Departments do not have a common set of strategic goals, however it relates to the national priorities for the sector or cluster in the Government. The strategic goals normally stretch over a five year period that is linked to the term of the political office after the general elections. The Government Institutions must exercise constraint when determining the strategic goals and not prioritise and list too many strategic goals. The strategic goals should have a general character and must be focussed and, to encourage prioritised strategies actions encourage prioritised strategies to achieve the desired outcomes and impacts (Framework for Strategic Plans and Annual Performance Plans, 2011: 13, 14).

1.11.5 STRATEGIC OBJECTIVES

In the pursuit of good governance the Government Departments need to have an applied strategy to achieve results and outcomes (Roos, 2012:5). To enable it to achieve the strategic goals the strategic objectives clearly state what the Government Institution intends doing or producing. The strategic objectives should be stated in an output statement. Each strategic objective should be written as a performance statement and set a performance target that the Government Institutions can achieve at the end of the strategic planning period. The strategic objectives in the Strategic Plan must span and cover a five year period and it must describe issues that the Government Institutions are directly responsible to execute or deliver (Framework for Strategic Plans and Annual Performance Plans, 2011: 14).

Strategic management refers to the total process that includes vision, strategic planning and strategic objective setting (Visser & Erasmus, 2002:64). National and Provincial Government policies and plans of the governing party's election manifesto need to be linked. This linkage will result in the National or Provincial Administration

ensuring that the strategic direction and actions of the Government over the next five years are aimed at implementing policies and plans that give effect to the electoral mandate (Framework for Strategic Plans and Annual Performance Plans, 2011: 5).

1.11.6 NON-FINANCIAL PERFORMANCE

In the annual reports of the Provincial Government Departments both the financial and non-financial performance information are included. The financial section will be covered in the Annual Financial Statements and the non-financial performance relates to the implementation of the set plans of the Government Institutions. In this document the non-financial performance will refer to the actual performance as compared to the planned targets of the performance indicators in the Annual Performance Plan.

Performance management is a process of harnessing all available resources such as human and material within a Government Institution and ensuring that these perform to the maximum, in order to achieve the desired results. The performance management processes are an on-going negotiation process that requires effective communication (Acuff, 2008:6). Performance management involves building processes, systems, culture and relationships that facilitate the achievement of institutional objectives. It is therefore aimed at both individual and institutional performance (Performance Management and Development Handbook 2003: 8).

1.11.7 NON-FINANCIAL PERFORMANCE INFORMATION

The term Non-Financial Performance Information used in this document will refer to the performance information on the actual performance without indicating the financial information such as capital or the operational expenditure. In South Africa

the widely accepted terminology is performance information or reporting against pre-determined objectives when referring to the non-financial reporting (Roos, 2012: 9). Van Dooren et al (2015:23) stated that performance information is useful for designing policies, deciding, allocating resources, competencies and responsibilities, controlling and redirecting implementation, evaluation and assessment of behaviour and results and for substantiating reporting and accountability mechanisms. There is a relation between the financial and non-financial performance information since the funds are voted to the Government Institutions based on their Strategic Plans as expressed in their Annual Performance Plans. The performance information serves as an indicator how well or bad a particular Government Institution is doing in terms of meeting its aims and objectives and also which policies are working and which are not working (National Treasury 2007:1).

1.12 CONCLUSION

The South African public management has been characterised by a rapid change in almost every area since 2nd February 1990. Since 2004 the Government initiated a number of strategic programmes that were aimed at addressing structural, economic and social challenges of poverty and underdevelopment. The Government realised that it was not optimally introducing its service delivery programmes and that a method had to be introduced to monitor and evaluate the service delivery programmes from 2004 onwards that was not done before this date. The then President Mr Mbeki made mention of a system of monitoring and evaluation that was in a refining stage to improve governance and the quality of outputs in Government during the state of the nation address in 2004.. This can be regarded as the beginning of monitoring and evaluation in the Government Departments in South Africa.

During the course of 2005 the National Cabinet approved an implementation Plan to develop a Monitoring and Evaluation System for use in the Government Departments as a base document. In 2007 the Presidency published the Government- wide Monitoring and Evaluation Framework as an overarching Policy Framework and the Monitoring and Evaluation Framework gained momentum as a system of control. The Presidency followed this document up during 2008 which culminated in a Discussion Document named Our Approach during 2009 which indicated that they intended to find a solution to the under performance in the Government.

The Provincial Government had an underperformance that could be related to insufficient exercise of control measures, non-implementation of corrective measures and poor quality of reported information. The Government had underperformed delivering services to the citizens. This research study is based on this problem and seeks to find solutions.

The objective of the research study is to determine, analyse and evaluate, the implementation of the existing monitoring system, the factors and problems which influence the effectiveness of non-financial performance and where possible to make recommendations. The Systems Approach is applicable since the performance of the Government Institutions will be researched and the log frame approach is familiar to monitoring and evaluation.

In an endeavour to organise the research study and to provide a context in which to examine the problem the researcher made use of a theoretical framework for the study and to gather and analyse data. The Government experienced a problem with the service delivery programmes and the Monitoring and Evaluation System can

make a meaningful contribution in achieving this goal. Since all Government Departments must implement the Monitoring and Evaluation System the problem can be researched.

The significance of the Research Study is that since its inception as well as the approach followed since 2009 the monitoring and evaluation in Provincial Departments are due for a research project.

Monitoring and evaluation has a short life span in South Africa and in the Provincial Government and this Research Study will endeavour to make a meaningful contribution to the field.

The definition of terms and words such as evaluation, monitoring, planning, strategic goals, strategic objectives, non-financial performance and non-financial performance information are explained and described.

CHAPTER TWO

LITERATURE REVIEW OF THE STUDY

2.1 INTRODUCTION

The literature will be examined for material that is relevant to the research topic (Thompson, 2013:63). A research study does not exist in isolation, but must be built upon what has been done previously and the researcher should review previous work in the relevant field (Terreblance & Durrheim, 2002:19). Literature review is by reading whatever has been published that appears relevant to the research study topic (Bless & Higson- Smith, 2000:19). Literature means anything that represents the results of research or scholarship on a subject and includes written material that may appear in books, articles, conference proceedings, dissertations and websites (Thomas, 2013:58). A successful research study depends on a well-planned and thorough review of relevant literature available and such a review usually entails obtaining useful references or sources (Brynard & Hanekom, 2006: 31). The researcher embarked on the research study and determined how one piece of the puzzle relate to the other as well as fit together (Thompson, 2013:66). A good literature review is comprehensive, critical and contextual (Hofstee, 2006:90). Terreblance & Durrheim (2002: 22) stated that a literature search should be well planned and systematically executed. Monitoring and evaluation is a process utilised in public administration by the Government Institutions whereby the performance information that relates to set strategic plans in the Strategic and Annual Performance Plans is measured. The literature review will assist the researcher to develop a theoretical or conceptual framework for the research study (Brink, 2006: 52). Terreblance & Durrheim (2002:19) referred to literature review as the

identification and analysis of information resources and literature related to the current research study. The research study covers literature with an overview of current and some instances not so current literature yet still relevant and that is appropriate to the research topic and is a salient facet of the topic (Maree, 2012:26).

Bless & Higson-Smith (2000: 20) stated that the purpose of a review is the following:

- To sharpen and deepen the theoretical framework of the research study;
- Familiarise the researcher with the latest developments in the area of the research study;
- Identify gaps in knowledge;
- Discover connections, contradictions or other relations between different research results;
- Identify variables that must be considered in the research study;
- Study the definitions used in previous works and
- Study the advantages and disadvantages of the research study methods used by others.

Hofstee (2006:85) referred to the following purposes of the literature review;

- That you are aware of what is going on in the field;
- That there is a theory base for the work you are promising to do;
- How your work fits in with what has already been done;
- That your work has significance; and
- That your work will lead to new knowledge.

The purpose of this chapter is to relate to a literature review on monitoring and evaluation in the National and Provincial Spheres of Government, with the emphasis on the Provincial Government in the Eastern Cape.

McCurdy & Cleary, (1984: 50) posed the following two criteria in determining whether the key issues were taken into consideration in the research study:

- Did the research study explicitly strengthen or weaken an existing theory or establish conditions under which the theory operates?
- Was the topic or issue under the research study central to the field of public administration?

The issue regarding monitoring and evaluation is central in the public administration since the study is on the Provincial Government and the control measures regarding performance information. Furthermore the research study will test the existing theories on Monitoring and Evaluation and contribute to this field. During the writing of the literature review links will be made between different areas of work (Thompson, 2013:65).

Performance information facilitates effective accountability, enabling Legislators, members of the public and other interested groups to track progress, identify the scope for improvement and better understand the issues involved (National Treasury, 2007:1). Redburn *et. al.* (2008: 3) explained that planning, budgeting and managing the government programmes based on performance goals and measures is an effort to make government more accountable to its citizens for achieving planned goals. By determining Policy the Government indicates what it intends to do or not to do (Birkland, 2011: 9). The legislative framework for the monitoring and evaluation of the non-financial performance information in the Provincial Government

is important since all actions taken in Government emanates from legislation. Ijeoma (2013:240) stated that policies are made with the intention of achieving some desired positive outcomes.

Governance can be defined in two groups namely governance concerns the rules conducting public affairs and otherwise governance is experienced as an activity managing and controlling public affairs (Hyden & Court, 2002: 14). Before any National Treasury Regulations or Guidelines can be developed to instruct the respective Government Institutions on what responsibilities the Government Departments have, in relation to monitoring and Legislation on monitoring and legislation is needed. The Public Officials must at all-time act within the provision of enabling legislation and regulations (van der Walt & Du Toit, 2003: 43).

The chapter will comprise of the following sections:

- Firstly the theoretical framework based on monitoring and evaluation in the public administration will be introduced;
- Secondly the conceptual frame work for monitoring in the public administration will be introduced;
- Thirdly the monitoring in the Provincial Government will be introduced and
- Fourthly the legislative provisions for the monitoring of Provincial non-financial information will be introduced.
- Lastly the chapter will be ended with the conclusion

2.2 THEORETICAL FRAMEWORK AND BASE FOR MONITORING AND EVALUATION IN PUBLIC ADMINISTRATION

Adams & White (1994: 567) stated that it is research study that makes a contribution to the development of theory. The literature review does not represent own research data and it contains secondary sources only (Hofstee, 2006:91).Thompson & Strickland (1998: 3) explained strategic management as the process of creating the strategic vision, the setting of objectives, designing a strategy to accomplish the desired outcomes, implement the selected strategies and evaluating performance and implementing the necessary corrective measures. Rainey (2003:17) stated that the Government has an important role to play in the well-being of its citizens.

The policy and management decisions should be based on reliable information that can be produced by the Monitoring and Evaluation System (Kusek & Rist, 2004: 48). By measuring things or objects data is produced (Brynard & Hanekom, 2006: 29). In the monitoring of the Government service delivery useful data is important for decision making by Chief Officials and Political Office Bearers after the data was transformed into useful performance information. Birkland (2011:19) referred to public policy in a general manner as a combination of goals, decisions, commitments and actions with the aim towards implementing and achieving a specific outcome or result. Monitoring and evaluation is the management tool that must monitor the achievements of the set goals of the Government and has a clear role to play to transform data into useful performance information.

Knowledge gained through the monitoring and evaluation system should become the core of institutional learning (UNDP, 2002: 75). Persons observe things around them and then come forward with an explanation for what they have observed (Mark,

1996:19). There is no facts independent of the theory that organized them. Research must also, even if only implicitly, presume a theoretical concept that organizes the research study (Rein, 1983: 236). The three mostly encountered and useful purposes of social research are exploration, description and explanation (Babbie & Mouton, 2010: 80).

A Theory that is restricted to only predict is less satisfying than those theories that can predict and also explain why events occurred (Mark, 1996: 21). To theorize is to analyse data in an attempt to develop a conceptual system. In the monitoring and evaluation field the practitioner should not only be able to explain problems in the field, but must find solutions to the problems encountered. The matters can be explained or solutions developed by concepts, theories and paradigms within the Public Administration field (Wessels & Pauw, 1999: 367). Conceptual in this sense means a workable scheme for the classification of data that will make it possible to deal with universals rather than particulars. The monitoring and evaluation system is not an end unto itself; however it is a tool to be used to promote good governance, modern management practices, innovation and reform and improved accountability (Kusek & Rist, 2004: 46). The outcome needed by the Government Departments is an improved service delivery programme with the same amount of money than it spent before.

What distinguish a science are its purpose and its method. Their purpose is to ascertain the truth and its method is a scientific method. A scientific method is used to arrive at the verifiable and provable truth. A theory will usually form the basis for a chain of reasoning, leading to an understanding or explanation of phenomena or action. Theory provides a framework within which facts could be systemized (Hanekom & Thornhill, 1995: 46 and Bailey, 1982: 40).

The following sub sections will now be dealt with; the use of theories in Public Administration, the nature of classical theories in public administration and the nature of the Systems Theories in public administration.

2.2.1 THE USE OF THEORIES IN PUBLIC ADMINISTRATION

Mark (1996:20) wrote that “A theory is a set of interrelated constructs, definitions, and propositions that presents a systematic view of phenomena by specifying relations among variables, with the purpose of explaining and predicting the phenomena”. Ijeoma (2013:12) stated that “a theory is a set of ideas intended to explain why something happens or exists”. Theories are frameworks which enable the researcher to gather, select, systematize and explain data (Bailey, 1982: 39). It is important that the research study does not only identify a problem, but that continuously a focus is placed on the problem with the intention to solve it (Badenhorst, 2007:21). Ijeoma (2013:1) stated there is a concern for a public administration theory that is necessary to unravel causes of behaviour by understanding and explaining behaviour and also to offer templates for changes so as to realise institutional goals. Anderson (2010:18) stated that theories and concepts are needed to guide the study of public policy. Public policy guides the Provincial Government Department in determining their Annual Performance Plans.

It is important that the problem must be studied from a Public Administrative perspective. The public administration theories guide the allocation of public goods or resources (Ijeoma, 2013:9). An analysis of the title will show that it deals with three Public Administrative concepts, namely “evaluation, impact, and monitoring”. In Public Administration “evaluation” relates to all the administrative functions, for example personnel and policy evaluation. The “impact” refers to the final phase of

the Systems Theory and will have a specific usefulness for the consumer which is measured in effectiveness and efficiency of a public service or system (Meiring, 2001:91). The impact is the outcome which can be to the advantage or disadvantage of the citizens as consumers. Monitoring is a step in controlling which is an administrative function. It is possible to investigate the topic monitoring and evaluation within Public Administration.

In this research study The Public Choice Theory will be used in this research study as a basis because this theory is performance oriented. The Public Choice Theory evaluates the implementation of services and systems according to how efficient and effective it is provided or performed and how well they reflect the citizen's preferences (Heineman, 1997: 35). Linked to the Public Choice Theory the Criteria and Standards Theory will also be used because specific performance standards are developed. The process consists of three steps, namely:

- Identification of groups of similar jobs;
- Development of performance criteria and
- Development of performance standards for each criterion (Callahan, *et.al.*, 1986: 371).

The performance standards facilitate monitoring and answer the questions of “how good is good” and how “bad is bad” the performance is. The responsibilities of subordinates for the attainment of performance are:

- Effective and efficient completion of their work;
- Amount of work progress made without complete supervisory monitoring;
- Willingness to think through work barriers and
- To keep working towards priority objectives are important.

2.2.2 THE NATURE OF CLASSICAL THEORIES IN PUBLIC ADMINISTRATION

The classical theory/approach consists of three main stages. Stage 1 takes place entirely on the conceptual level, consisting of concept and proposition construction. Stage 2 bridges the gap between the conceptual and empirical levels. It consists of devising ways to measure the concepts empirically. Stage 3 entails the verification of the hypothesis (Baily, 1982: 53). Hypothesis formulation and verification is an integral part of scientific research study.

The classical theory takes efficiency as the main objective and views administration basically and the division of work and the specialization of functions. Various authors have over time expressed the view that administration consists of specific functions aimed at goal realization. Gulick, for example designates the work of Chief Officials as concerned with the POSDCORB that is planning, organizing, staffing, directing, co-ordination, reporting and budgeting (Cutchin, 1981: 76 and Botes, *et al* 1992:284).

In the next section the nature of the Systems Theories in Public Administration will be discussed.

2.2.3 THE NATURE OF THE SYSTEMS THEORIES IN PUBLIC ADMINISTRATION

The Systems Theory (Dye, 1992:40) can be used to evaluate performance management for the rendering of services. Ijeoma (2013: 8) referred to the theory as a rigorous testing of predictive theories or hypothesis using observable and comparable data. The theories and concepts are essential to guide the study of public policy (Anderson, 2010: 18). The formulation of a theory of public administration depends on the availability of enough data on the field of activity

(Ijeoma, 2013: 22). In Public Administration the Systems Approach is regarded as a tool with great value to analyse policy and to reach the objectives of the Government (Cloete & Wissink, 2000: 39). A system can be thought of as an organized whole made up of parts which are connected and directed to some purpose (Terry, 1977: 27). Ijeoma (2013: 35) stated that any alteration or change in any arrangement of the system affects the other elements. Systems are basic to human activities. The Systems Model has value in that it provides the Government with a framework which describes the relationships between demands, the political system and the results or outputs in terms of stabilising the environment or triggering new demands (Wissink *et al*, 2004: 32).

The Systems Theory has essential phases or components and takes place in a specific environment. The inter relationship of the elements in the system is complex and dynamic (Ijeoma, 2013: 35). Each system has an input, processes, and an output (Dye 1992: 41). However, Meiring, (2001: 84) has also added impact as a fourth phase. The systems approach includes inputs, processes, outputs and feedback loops (Jones & Olson, 1996:119). By utilising the Systems Approach it becomes possible to gain insight into three interdependent areas that include the interaction between the system and the environment, processes within the system and the processes via which sections of the environment interact with each other (van der Walt *et al*, 2003:96). An analysis of a system is an analysis of parts which interact with each other for some purpose or reason (Hodge & Antony, 1979: 41).

According to Cloete & Wissink (2000: 39) the systems model can provide perspectives on aspects such as the influence of the environment on the policy and *vice versa*. The key concept is that as each section of the system model performs its

role, it promotes the performance of other components and the overall performance of the system (Hodge & Antony, 1979: 49).

It can be deduced that the Systems Theory can be used to evaluate performance management for the rendering of services and it rigorously tests predictive theories. It can be used to analyse the policies of the Government and serves as a framework to describe the relationships between demands. The System is inter-related with inputs, processes, outputs and feedbacks.

2.3 CONCEPTUAL FRAMEWORK FOR MONITORING IN PUBLIC ADMINISTRATION

This section will discuss the following sub sections; the nature of monitoring in public administration and the place of monitoring performance information in public administration.

2.3.1 THE NATURE OF MONITORING IN PUBLIC ADMINISTRATION

The monitoring and evaluation systems augment the managerial processes and provide evidence for decision- making (Public Service Commission, 2008:4). In essence the monitoring and evaluation process provides Government officials with a better means for learning from the past results and to improve on the provision of services by the allocation and planning of resources (World Bank, 2008:20). In public policy making the focus is on solving problems (Birkland, 2011:4). In this regard monitoring and evaluation plays its role to measure the outcomes of the policy implementation. Armstrong & Stephens (2005: 275) described performance management as a strategic and integrated process which delivers a sustained success to Government Institutions by improving the performance of the people that

work there. The improvement of the performance of the government officials will result in the improvement of service delivery to the citizens.

Monitoring can never replace good management practices; rather it augments and complements management (Public Service Commission, 2008:4). The monitoring process is central in the controlling of data collected in an endeavour to achieve specific targets in the Government Institutions. This process entails the collection, recording and reporting of information concerning all aspects of performance that a manager or others in the Government Institution wish to be informed on (Meredith & Mantel, 2006:410). It is a continuous process to collect data and the analyses thereof to measure if a desired outcome was achieved. Governments that are willing to make use of performance information to make policy are perceived to have achieved some level of democracy and openness (Kusek & Rist, 2004:47). The Government publishes their Annual Performance Plans on an annual basis with Performance Indicators clearly indicating their intentions. The Government Departments operationalise the Annual Performance Plans with Operational Plans. The documents serve as the blue print from which all activities stems and the budget allocation is done based on the Annual Performance Plans.

In Kusek & Rist (2004:12) monitoring is referred to as "A continuous function that uses systematic collection of data on specific performance indicators to provide management and main stakeholders of an on-going development intervention with performance indicators of the extent of progress and achievement of objectives and progress in the use of allocated funds and other resources. The monitoring process is important since it is a method on how to check the performance of the Government on a regular basis and if implemented in a correct manner can lead to the implementation of corrective measures if implemented in a correct manner.

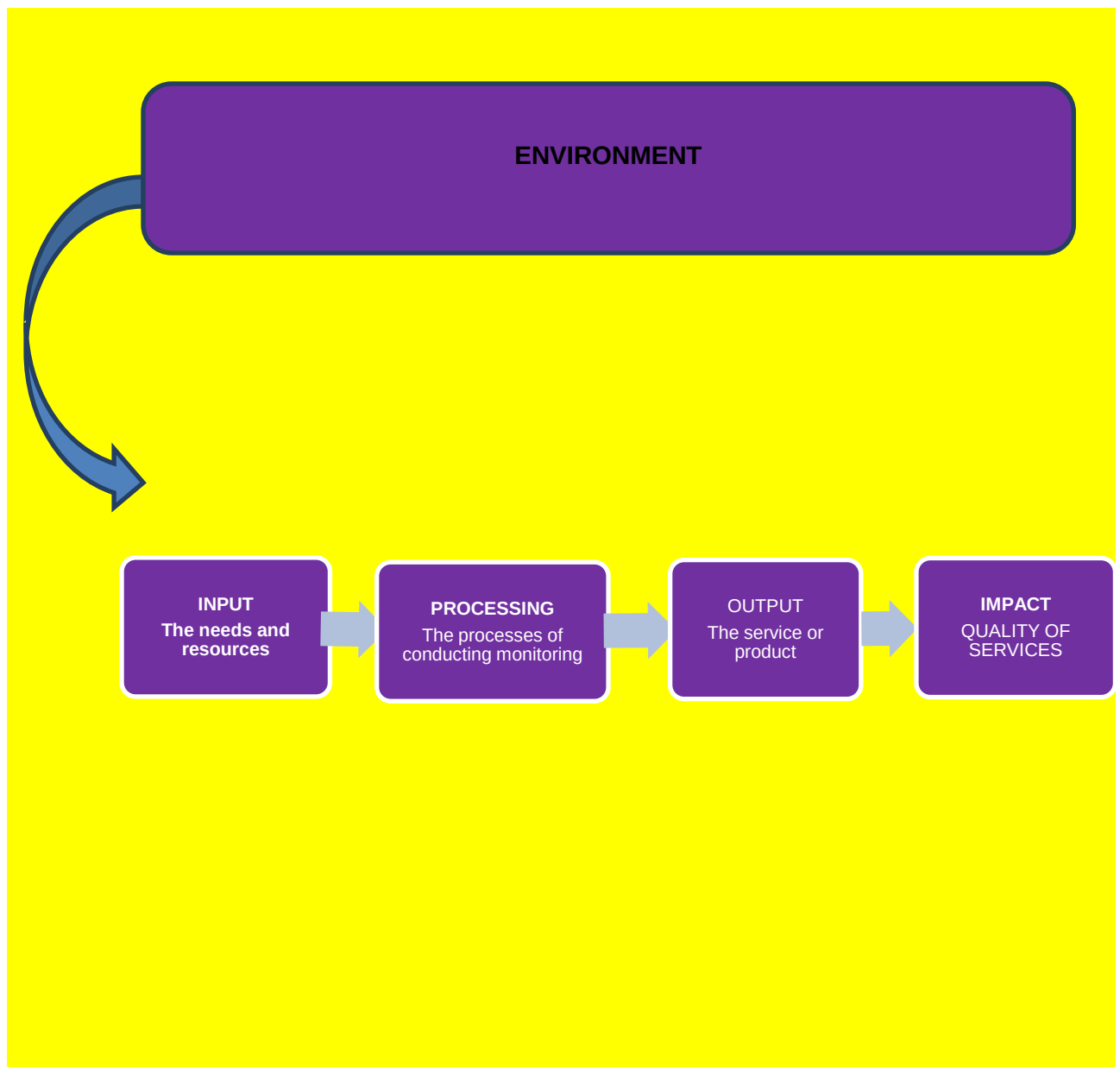
Monitoring also serves as an early warning system that allows for corrective actions to be under taken to improve service delivery to the citizens of the Province.

Monitoring is explained as a systematic collection and analysis of information as the planned indicator progresses and aims to improve the efficiency and effectiveness of the Government Institutions. It is based on the targets in the performance indicators that were set and the planned activities during the planning phases and assists to ensure that progress remain on track by informing the management of the results or achievements. Proper monitoring of the performance information sets a sound base from which to perform evaluations (Shapiro, 2002:3). Most authors agree that monitoring must be systematic with a continuous collection of data with the aim to improve the efficiency and effectiveness of the Government Institutions that will ultimately lead to improved service delivery in the Government Institutions.

Monitoring is a process that checks the performance of the Government Institutions on a regular and continuous manner to identify real and possible deviations from the set targets in the performance indicators of the Government Institutions. It also provides feedback to managers after the monitoring process is completed and the report brought out. The process can be broken down into inputs, processes, and results such as outputs, outcomes and impacts and reports on the achievements reached. Monitoring and evaluation is a research tool that explores what programme design or solutions to societal problems will work best and why, and what programme design and operational processes will create the best value for money (Public Service Commission. 2008: 5). The end result will be that the Provincial Government will achieve more with the same amount of money and address the most important needs of the citizens.

In the following diagrams the Systems Theory Approach will be followed where the inputs, processes, results such as outputs and impact as well as the feedback will be included and the stages will be discussed and explained.

DIAGRAM 1: STAGES IN SYSTEMS APPROACH FOR MONITORING



**DIAGRAM 2: STAGES IN THE SYSTEMS APPROACH:
PERFORMANCE MANAGEMENT**



The Monitoring and Evaluation results based system is defined by Kusek and Rist, (2004:228) as “A management strategy focusing on performance and achievement of outputs, outcomes and impacts”.

The Monitoring and Evaluation and the Systems Approach will be explained with inputs, activities, outputs, outcomes, impacts and feedback since the instrument that will be used in this research study will be the questionnaire and in this format the questions were asked.

2.3.1.1. Inputs

Inputs refer to the resources such as the technical assistance and equipment that are invested in a particular programme or Government Institution. The Public Service Commission (2008: 43) defines inputs as “All the resources that contribute to production and delivery of outputs. Inputs are what we utilise to do the work with. They include finances, personnel, equipment and buildings. In its endeavour to satisfy the needs of the citizenry by providing services and to promote the general welfare of the community the functions and structures which to achieve it with, are established by the inputs (van der Walt *et al*, 2003:96). The Government is experiencing budget constraints that force them to make difficult choices in deciding on the best use of the limited resources (Kusek & Rist, 2004:10). The resources such as the financial means and staff needed during the input stage can be limited.

The question that can be asked about inputs would be, what do we need to do the work with? The inputs refer to the resources that are the basic materials that are needed for the programmes and projects. The examples include the following: time, money, people, office, space, equipment and supplies. The resources of the Government Institutions need to be managed effectively to enable that programme

performance management is carried out. The annual budget is a document indicating how a public institution allocates resources in order to realise specific public goals (Gildenhuys, 2005:267). The Government Institutions must therefore compete for the limited funds to finance their respective programmes and public goals.

The inputs include the environment that sets limits, effect demands, provide some opportunities, and provides the historical information on institutional resources as well as the planned strategies (van der Walt *et al*, 2002: 99). The Strategic, Annual and Operational Plans are translated into short term functional plans by the Government Institutions that allocate the financial resources to individual programmes and sub-programmes (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011:8). The Provincial Departments must in pursuance of its objectives of the different Government Institutions compete with other Provincial Departments for the funding of their objectives. The result is that such objectives can be deemed to be in conflict or be counter-productive (Meiring, 2001:58). The allocation of funds for the Government programmes must constantly be reviewed.

Resources include the human, financial, organizational, and community resources that a programme has available to direct towards doing the work required to achieve the targets as set out in the Annual Performance Plans.

The annual budgets of the Government Institutions should indicate the commitments of the resources (inputs) to achieve the specific performance outcomes and also indicate the staff that is responsible for such performance that is linked to the priorities, structures and also activities that were identified during the Strategic Planning and Operational Planning processes (Guide for the Implementation of

Provincial Quarterly Performance Reports, 2011:26). In the guide for the Implementation of Provincial Quarterly Performance Reports (2011: 8) the following is stated regarding the relationship between inputs and outputs.

“Performance measures define the relationship between inputs and outputs”. In other words, performance measures measure how successfully outputs are produced by using various inputs. In effect, they measure the productivity of resource usage.

2.3.1.2. Processing/activity

The Public Service Commission (2008:43) defined activities as “The process or actions that use a range of inputs to produce the desired outputs and ultimately outcomes”. The processes are the activities that are carried out to achieve the objectives of the programmes in the Government Institutions. The instrument by which the policy is realised is the Annual Budget (Gildenhuys, 2005:269). The determination of policy and the setting of objectives does not happen in isolation, but is always linked to the realities of an existing environment and serves as a vision of what must be done in the future with the when and where to facilitate development of the environment (Franklin & Thrasher, 1996:160). The questions that would be raised for an activity is what are we going to do and how do the Government Institution link activities together in a coherent manner. Activities are the processes, techniques, tools, events, technology, and actions of the planned programme (Kellogg Foundation, 2004: 16).

2.3.1.3. Output

The Public Service Commission (2008: 53) defined outputs as “The final products, or goods and services produced for delivery”. Regarding the relationship between outputs and outcomes the following is stated in the Guide for the Implementation of Provincial Quarterly Performance Reports (2011: 8). Performance indicators define

the relationship between outputs and outcomes. Performance indicators measure the impact on the broader society of the outputs of a particular programme. The rendering of goods and services to promote the general welfare of the citizens is time and place bound and is attached to the values and perceptions of the people receiving the goods and services. The prevailing values and perceptions of the receivers of the goods and services are always linked to the nature, scope, extent and even acceptance of the services rendered (Meiring, 2001: 83).

The outputs refer to the immediate results that are achieved at the programme level by executing the activities (M&E Fundamentals, 2010:34). It relates to the effectiveness and efficiency of the general performance of the Government Institution in relation to which it is achieving its goals (van der Walt *et al*, 2003: 99). Outputs refer to products and services that result from the completion of activities within a development intervention (van der Walt *et al*, 2003: 99). The needs of the people such as the rendering of goods and services are translated from the needs, interests and expectations. The conversion can be viewed whereby inputs such as the needs, interests and expectations from a particular environment are transformed through a range of processes into outputs, namely the goods and services (Anderson, 2010: 26).

The question that would be raised in this instance is what was the first thing that happened? The outputs can be described as the specific activities and processes that directly resulted from the inputs. Outputs also refer to the final products or goods and services that the Government Institutions produced. The outputs may also be defined as what do we produce or deliver. The effects of the outputs such as the changes in the environment, political acceptability and the needs satisfied will

provide feedback that places the Government in a position to effect adjustments in the future based on facts (van der Walt *et al*, 2003:96). Outputs are the direct products of programme activities and may include types, levels and targets of services to be delivered by the programme (Kellogg Foundation, 2004: 10).

2.3.1.4. Outcome

The question asked about an outcome is “and then what happened”? The Public Service Commission (2008:43) defined outcomes as “The medium term results for specific beneficiaries that are a logical consequence of achieving specific outputs”.

The outcome relates to the direct consequences or the results that follows from the output. The outcomes are also identified by the change in behaviour, living conditions or the life circumstances of the beneficiaries from the performance indicator. The outcomes should relate to the objectives of the Government Institution under review and also to what the Government Institution wishes to achieve. The outcomes refer to the set of short term or immediate results at the population level achieved by the programme from the execution of the activities (M&E Fundamentals, 2010: 34). The programmes are determined in terms of time periods and programme activities that cannot be separated (Meiring, 2001: 90). The programmes are time bound and normally determined over a one year period, with two outer years. The activities will relate to what must be achieved over the time period to achieve the outputs or outcomes. Outcomes refer to the intended or achieved short and medium-term effects of an intervention’s outputs, usually requiring the collective effort of partners. Outcomes represent changes in development conditions which occur between the completion of outputs and the achievement of impact (Programme Manager’s Planning Monitoring and Evaluation Toolkit, 2007: 2).

Short-term outcomes should be attainable within 1 to 3 years, while longer-term outcomes should be achievable within a 4 to 6 year timeframe (Kellogg Foundation, 2004: 10). The logical progression from short-term to long-term outcomes should be reflected in impacts occurring within about 7 to 10 years. Outcomes are specific changes in attitudes, behaviours, knowledge, skills, status, or level of functioning expected to result from programme activities and which are most often expressed at an individual level (Kellogg Foundation, 2004: 16).

2.3.1.5. Impact

The objective of the social impact assessment is to ensure that the benefits are maximised and that the social costs borne by the community are minimised (van Clay, 2003:1). The impact follows from the outcome and the question is normally asked as so what? The impact is a longer set of results at the level of the community or population. The Public Service Commission (2006:4) defined impacts as “The results of achieving specific outcomes such as reducing poverty and creating jobs”. Owens (1970: 255) explained that impact is the test whether the objectives or needs have been met.

The impact is also where a change in behaviour or circumstances of people occurs that were not directly involved in the programme. The results of the impact performance indicator are the results of achieving specific outcomes such as the creation of jobs in the economy. The impacts relate to the differences that were made in the core challenge that the performance indicators seek to address. The results from an impact will indicate whether a difference was made to the problem situation that the performance indicator was planning to address (Shapiro, 2002: 3). The impacts refer to the long term effects or it is also referred to as the end results of the programme (M&E Fundamentals, 2010: 34).

Impacts refer to positive and negative long term effects on an identifiable population group produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, and technological or of other types (Programme Manager's Planning Monitoring and Evaluation Toolkit, 2007: 2). Impact is the fundamental intended or unintended change occurring in organizations, communities or systems as a result of programme activities within 7 to 10 years (Kellogg Foundation, 2004:10). Impacts are organizational, community, and/or system level changes expected to result from programme activities, which might include improved conditions, increased capacity, and/or changes in the policy arena (Kellogg Foundation, 2004:16). The term results with reference to outputs, outcomes and impact was discussed as well as inputs and activities to indicate the logic in the chain of the results.

2.3.1.6. Feedback

The Government needs a control measure that includes the maintenance of a feedback system to measure the results of departmental activities (Gildenhuys, 2005:281). The data produced may be embarrassing, politically sensitive, or detrimental to those in power (Kusek & Rist, 2004:47). The feedback of the results of the Government Institutions must be handled with reasonable care. Feedback is provided by analysing and reporting of performance information and utilise basic comparative analysis, benchmarking and rating and scoring (National Treasury, 2012:39). Feedback is also described as a process by which information and knowledge are made available that is useful to assess the overall progress towards the results or confirm the achievements of results (UNDP, 2002: 7). New knowledge can be generated through the use of findings on a continuous basis by providing feedback derived from data collected in the monitoring and evaluation process

(Kusek & Rist, 2004:143). The performance information managers can provide several analyses to assist the Provincial Governments to interpret the performance information such as:

- Measure change by indicating the percentage increase or decrease in performance from the previous time period measured such as the previous quarter or financial year; from the average performance of a number of previous time periods and from performance in the same period in the previous year such as the quarter per year (Handbook for Performance Information, 2011: 39). The effectiveness of a service and also how effectively objectives are obtained is the centre for the relationship for inputs, outputs and impact. The data received can be used as a management tool (Kusek & Rist, 2004:129). It will make it possible to compare the changes made over a period of time.
- Specific expressions such as financial costs, the unit of goods or services provided and the total of staff involved can be measured, but normally do not indicate the extent the predetermined objectives have been achieved. The achievement of the objective could have either intended and unintended results or consequences which can be the result of actions taken or not taken by officials (Nachmias, 1979:3). There would be targeted achievements, however some spinoffs might occur and unintended achievements and impacts can be experienced.
- Measure deviations by explaining percentage shortfall/surplus in performance against the set targets for the performance indicators; against average performance of similar units and against performance of a top-performing unit (Handbook for Performance Information, 2011: 39). Reporting on bad news is

a critical aspect of how the Government Institutions can distinguish between success and failure (Kusek & Rist, 2004:136). In the event that the deviations can be detected at an early stage specific remedial actions can be put in place to direct the programme on track again. The analysis and evaluation of an existing policy that expresses itself in objectives and targets is done to ensure that the existing policy and objective will be able to meet the requirements in the future. In the event that the results indicate that it cannot be done, the policy and objectives will have to be adopted or replaced by more effective policies and objectives (Meiring, 2001: 85).

- Provide a graphic analysis such as to plot performance against the performance indicator over periods of time on a graph; plot deviations from targets over time on a graph; plot measurements of the changes in performance between one period and another over time on a graph. The analysis strives to turn the detailed information into an understanding of patterns, trends and interpretations (Shapiro, 2002:34 and Handbook for Performance Information, 2011: 40). The programmes will have a cost factor as well as a time factor and a specific relationship will occur between the two (Weiss, 1972:62). In both instances cost and time are seen as a scarce commodity in the planning and implementation of programmes and objectives and should be utilised as effectively and efficiently as possible. The monitoring and evaluation process will test the cost and time factors.
- Develop ratios as many Performance Information Framework indicators may already be expressed as ratios or percentages (for example number of assaults per 100 000 inmates). Many however are provided as absolute numbers (for example number of malaria cases reported). In addition to

comparing performance for these performance indicators against previous time periods, targets or other organisational units, performance information managers can also make absolute number indicators more meaningful by relating them to contextually important data, for example the number of malaria cases per 100 000 people, when preparing reports (Handbook for Performance Information, 2011: 39). Present data as indices such as to select a meaningful value for an indicator (for example target performance; average performance; highest performance or lowest performance) and express comparable values as an index in relation to the meaningful value, e.g. inflation (Handbook for Performance Information, 2011: 39).

- Benchmarking

Benchmarking involves measuring the Government Institution in terms of the best practices within the industry. Rogers (1999:11) described performance management as a set of interrelated and complementary processes that bring about monitoring, reviews, evaluations, appraisal processes and techniques in order to establish conformity with the planned performance. This is important in assessing if the Government Institution's performance is on par with what is expected in the sector or area of operation. Benchmarking identifies a realistic sense of the capability of the Government Institutions (Handbook for Performance Information, 2011: 40). One of the difficulties for the public sector is identifying best practices, and it has been acknowledged that "it is difficult to produce reliable data that enable accurate international comparisons" (Performance Budgeting in OECD Countries, 2007: 63).

There are also public sector advantages in seeking to compare, such as the ability to benchmark within Government by identifying best practice functions in one Government Department that can be used as a benchmark for other Government

Departments (Handbook for Performance Information, 2011: 40). The monitoring and evaluation system provides feedback about the progress as well as the failure of projects, programmes and policies (Kusek & Rist, 2004:14).

The Provincial Departments can also choose to benchmark their performance informally, in other words select areas of comparison with other Government Institutions or between units internally that are relevant to the activities and performance of the Government Institution. Even for informal benchmarking, it is useful to know at the time of performance indicator selection which benchmarking will be undertaken in order to ensure that performance indicators are consistent as a basis of comparison between units or organisations (Handbook for Performance Information, 2011: 40).

Kusek & Rist (2004:139) list the following regarding the utilisation of results and the findings:

- Respond to stakeholders demands for accountability;
- Help formulate and justify budget requests;
- Help make operational resource allocation decisions;
- Support in-depth examination of performance improvements;
- Motivate staff members to continue making programme improvements;
- Formulate and monitor performance of contractors and grantees;
- Provide information for special and in-depth programme evaluation;
- Help provide more effective and efficient services and/or products;
- Support strategic long-term planning efforts;
- Improve communication between the Government Institutions and external stakeholders to build trust;

- Provide feedback about the progress, successes, failures and current status of existing projects, programmes and policies;
- Promote knowledge and learning in Government Institutions;
- Overcome tunnel vision as data on results shed light on areas previously unknown or not fully understood;
- Minimise the loss of knowledge of institutional memory due to staff changes because it provides a record of data collected over time and
- Overcome obstacles by understanding how Government Institutions function.

2.3.2 THE PLACE OF MONITORING PERFORMANCE INFORMATION IN PUBLIC ADMINISTRATION

The reason for the monitoring and measuring of performance information is that what gets measured gets done (Framework for Managing Programme Performance Information, 2007: 1). Bhattacharyya (2011:7) stated that performance monitoring is to measure the deviations from the performance standards and to initiate the corrective actions. Van Dooren et al, (2015:20) referred to performance management as the bundle of activities aimed at obtaining information on performance, In performance information the measurement is against the targets set for the performance indicators in the Annual Performance Plan. Noe *et al* (2010:768) described performance management as the means by which the line managers make sure that the activities and outputs of the employees are consistent with the institutional goals. Ijeoma (2013:1) explained that public administration operates in a socio-political environment heavily influenced by a series of environmental factors that cause problems, create distortions, and affect behaviours individually and collectively within the institution or system. In this regard monitoring and evaluation

has an important role to play in measuring the performance of the Government Departments on a regular basis.

The public officials have a constitutional obligation to account to Parliament where they must broadly be held accountable for how they spent public money and how they have achieved the purpose for which the money has been voted by the Legislatures (Public Service Commission, 2008: 5). The Executive Authorities must provide annual reports and half year oversight reports to the Provincial Legislatures. Van der Walldt (2004:39) described performance management broadly as all processes and systems that manage and promote performance in the public service. The Government Institutions will perform their required tasks well with the knowledge that it is being monitored. It is deemed difficult to have a functioning monitoring and evaluation system in a Government Institution or political climate characterised by fear (Kusek & Rist, 2004: 46). Monitoring and evaluation takes place in the public administration sphere and the buy-in of the Chief Officials are important to make the monitoring and evaluation system work. Monitoring and evaluation must not be seen as a system that intends to criticise the Chief Officials, but to assist to identify underperformance with remedial actions to correct the deviations from the planned targets in the performance indicators. Mayne & Zupico-Goni (2009:11) stated that meaningful and effective monitoring of the performance being achieved by the public sector policies, programmes and services is of importance to the citizens. Ultimately monitoring of the performance information will lead to an improved service delivery.

The Auditor-General of the province of Alberta, Canada, puts it aptly as stated in the Guide for the Implementation of Provincial Quarterly Performance Reports (2011: 26) “The moment that managers start measuring performance, it will improve. As soon as performance is reported, it improves further. We know that measuring and

reporting performance will save a great deal of money and improve service delivery.”

The Government takes policy decisions where after the Government Departments initiate processes to design programmes that can achieve the policy objectives, detailed planning of the programmes and then implementation of the strategic plans. Monitoring and evaluation as a process will test the proceeded implementation of the plans and that the envisaged objectives were achieved (Public Service Commission, 2008:9). The measurement of performance will indicate which performance indicators were achieved and which not. Van Dooren *et al* (2015:30) described performance management as an example of management that includes and utilizes performance information for decision making.

The results of the performance measures provide assistance to the managers in the Government Institutions (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 26). The formulation and implementing of Government policies;

- It contributes to the planning and budgeting for service delivery;
- It enables the managers in the Government service to monitor the effects of change within the Government Departments;
- It assists with the monitoring of the user access to particular services rendered;
- The performance measures assist the managers in formulating and implementing policy;
- The performance measure gauges the distribution and use of resources to ensure the best use of resources;
- It improves the service delivery standards in the Government Institutions and

- Lastly it provides an important element in exercising control and decision making in the Government Institutions.

Quality non-financial information is needed to assess the progress towards delivering the service delivery targets and the information on expenditure and revenue is important in the determination of the cost and efficiency of the programmes of the Government Departments. The main objective with the assessment of the public management performance is to assess whether both the final products and the processes followed are in compliance with the required or preferred standards approved for them (Cloete *et al*, 2006: 265).

Monitoring enables the Government Institutions to check that the bottom line of development works and it does not only check if an achievement was made, but if a difference was made in the lives of the people. Amstrong & Baron (1998:8) described performance management as a strategic and integrated approach to ensuring sustainable institutional success.

Through monitoring the following can be achieved:

- The processes can be reviewed;
- Challenges can be identified in the planning and/or implementation and
- Adjustments can be effected in the performance to enable reaching of the impacts that makes the difference in the communities (Shapiro, 2002: 5).

Monitoring is explained in the following manner (M&E Fundamentals, 2010: 5).

- Monitoring is an on-going and continuous process;

- It requires the collection of data at multiple points throughout the Government Institutions from the starting at the onset by providing the baseline information and
- It can be utilised when some activities need adjustment during the intervention stage to reach the planned outcomes.

It can be deduced that the place of monitoring of performance information in Public Administration is due to a constitutional obligation of the Government Departments to account to the Legislatures on their performance plans on an annual basis as legislated in the PFMA. National Treasury provides the Government Departments with reporting guidelines on how and what they must report on. Monitoring plays an important role in the performance information that is disclosed in the annual reports as well as the half year oversight reports to the Provincial Legislatures.

The following sub sections will be discussed; establishment of performance indicators, data collection and analysis plan, public administration explained.

2.3.2.1 Establishment of performance indicators

In the establishment of the performance indicators specific steps should be undertaken such as: (Shapiro, 2002:15).

- Identify the problem that needs to be addressed;
- Develop a vision on how the problem area must be viewed;
- Develop a process vision on how to achieve the set goals;
- Develop performance indicators to measure for effectiveness and
- Develop performance indicators that will lead to the efficiency of the set targets.

Pauw *et al* (2002:141) referred to a performance indicator that consists of something measurable and a quantity. Redburn *et al.* (2008:7) stated that effective programmes set clear performance objectives, develop realistic strategies for achieving these objectives and continually review their programmes to improve their performance.

The performance indicators should be a clear, relevant, economical, adequate and monitor-able (Kusek & Rist, 2004: 68). Performance indicators need to meet specific criteria before it can be classified as good and must meet the following: (Framework for Managing Programme Performance Information, 2011: 7).

- Reliable in the sense that it should be sufficiently accurate for the intended usage and respond to the levels of performance;
- Well-defined in the sense that the performance indicator must be a clear and unambiguous definition to enable the collection of the data in a consistent manner and it must be easy to understand and be utilised;
- Verifiable in the sense that it must be possible to validate the processes and systems that produces the performance indicator;
- Cost-effective where the usefulness of the performance indicator must justify the cost of collecting the data that is needed in the monitoring process;
- The performance indicator must be appropriate and must avoid unintended consequences and encourage service delivery improvements in the Government Departments and not award managers with incentives to carry out activities to meet a specific target and
- Relevant since the performance indicator must relate logically and directly to an aspect of the mandate of the Government Institutions and the achievement of the strategic goals and objectives in the Government Institutions.

Cloete & Wissink (2000: 27) specified that performance indicators should be relevant, significant, original, legitimate, reliable, valid, objective, timely and usable. Atkinson & Wellman (2003: 6) regard performance indicators as pointers that show whether goals were achieved.

In the planning process performance indicators are established that follows specific steps before conclusion in the planning documents are achieved and in the Framework for Managing Programme Performance Information the criteria on the development of performance indicators are spelled out for the achievement of good indicators.

2.3.2.2 Data collection and analysis plan

The monitoring and evaluation practitioner's goal is to take the masses of information that was collected and condense them into a manageable collection that enables the monitoring and evaluation practitioner interpretation of the phenomena (Kress, 2011:115). Redburn *et al* (2008: 3) stated that to hold government accountable the citizens need clear candid, easily accessible and up to date information about the government successes and failures. In the collection of the data the pre-determined targets plays an important role and it must meet specific criteria such as the following (Framework for Managing Programme Performance Information, 2011: 10).

- Specific, where the nature and the required level of performance can be clearly identified;
- Measurable, where the required performance can be measured;
- Achievable, where the target is realistic given the existing capacity;
- Relevant, where the required performance is linked to the achievement of a goal and

- Time bound, where the time period or deadline for delivery is specific.

The data matrix, or also known as the data collection plan will identify the important information required for each performance indicator in the Annual Performance Plans. The performance indicator matrix must be developed in conjunction with the participants that will utilise it. The participants must know which data to collect and the method of collection since it is important to collect quality data (Chaplowe, 2008:4, 5).

It is important that the officials in the Government Institutions understand what data will be required for each performance indicator since the collection and method of collection is important since consistency in which data is collected will result in an improved data collection process. Specific quality standards must be adhered too such as the signing of documents to make it authentic.

2.3.2.3 Public administration explained

Ijeoma (2013:14) explained that public administration suffers from a set of meanings and there is yet no general consensus as to the definition of public administration. Rainey (2003:65) explained that the word public means people in Latin and dictionaries define the word public as the people of a community, nation or state. Mayne & Zupico-Goni (2009:10) referred to public administration that must respond to the public rights, wishes and needs. Ijeoma (2013:1) referred to public administration as the management of Government affairs to achieve the common good of the society or rather the systematic implementation of Government policies. Dye (1992:324) described Public Administration as the study of the public service.

Public administration was defined by Wissink *et al* (2004:2) as

- That system of structures and processes;
- Operating within a particular society as environment;
- With the objective of facilitating the formulation of governmental policies and
- The efficient execution of the formulated policy.

However, Starling (1986:7-12) recommended the following regarding the public administration curricula in the United States of America.

- The political, social and economic environment;
- Policy analysis;
- Managerial processes;
- Analytical tools and
- Individual and group organisational behaviour.

In monitoring and evaluation public administration is referred by Denhardt & Denhardt (2009:2) as the management of public funds. Ijeoma (2013:16) explained that public administration is central to the process of regulating individual behaviour in the interest of the common good. In this study Public Administration will mean the organs and functionaries of the executive branch of the state that are concerned with the day to day business of implementing the legislation and administering policy. Ijeoma (2013:15) stated that public administration exists within a political context and it means that public administration is what Government does. Hanekom & Thornhill (1983:176) in their analysis of the term public administration provided a general application of the use of public to the functioning of administration that means that administration is not concealed, it is open to all and has an effect on society. Ijeoma (2013: 94) referred to public administration at the community level as the everyday delivery of public goods to a diverse citizenry with equally diverse needs.

Pillay (2014:11) referred to a system of good public administration in the public sector that includes the following;

- Openness and transparency;
- Efficiency and effectiveness and
- Answerability and accountability

Regarding Public Administration both the Executive Authorities and the Chief Officials are included. Public administration is referred to as the management of public funds, regulating individual behaviour in the interest of the common good.

The concept public administration is described as the organised, non- political part of the state and the executive functions of Public Administration is concerned with the handling of matters in the public sphere on matters and the management of the public institutions in such a manner that resources are utilised efficiently to enhance the general welfare of the public (van der Walt *et al*, 2002:12). Ijeoma (2013:16) explained that public administration is doing collectively that which cannot be so well done individually. Shafritz & Hyde (1992:58) defined public administration as the management of men, women and materials in the accomplishment of the goals of the state. Ijeoma (2013:2) referred to public administration as dealing with the ongoing issues of governance.

In this study public administration will not include the high policy making organs of the executive, such as at the provincial level, the Premier and Executive Councils. Public administration does include all the Government Departments in the Provincial Governments (Currie *et al*, 2001: 8).

Public administration was explained as a system of structures and processes that operates within a particular society as environment with the objective to facilitate the formulation of Government policies and the effective execution of the formulated policy. In this research study it will refer to the management of public funds by the organs and functionaries of the Government Departments that administer the day to day activities of the state.

2.3.2.4 The relationship between public administration and management

There are many approaches to monitoring of performance information and in South Africa the international best practice of results based monitoring and evaluation was adopted. Swanepoel (2000: 30) stated that the purpose of management is to complete work as effective as possible, which means appropriately and in an orderly fashion. Swanepoel (2000: 22), Robbins & Decenza (2001: 5) and Ijeoma (2013: 250) defined management as the process of getting things done effectively and efficiently through and with people. Administration was described by Cloete, (1986: 1) as a joint action taken by two or more persons to achieve a goal. Ijeoma (2013:53) referred to administration as taking place in a variety of settings with the provision that crucial elements of cooperation to perform the mutually agreed upon tasks with the resources and institutional frameworks for performing the tasks that are available. Wissink *et al* (2004: 3) stated “The public management functions constitute on-going concerns for public managers and are used to delineate and conceptualise the management task in line with a functional approach to management”. Ijeoma (2013:251) referred to management as the handling or carrying out of policies and plans lay down by someone else. Boviard & Loffler (2003: 5) stated that public management is an approach that uses managerial techniques to increase the value for money achieved by public servants. Ijeoma (2013:16) described public

administration as a collective action aimed at achieving the happiness and well-being of the people. Pollitt & Bouckear (2004:12) described management as the search for the best use of resources in pursuit of objectives subject to changes. Cleland (1994:40) described management as the following management functions; planning, organising, motivation, directing and control. Armstrong & Stephens (2005:1) described management as deciding what to do and then get it done through people. Ijeoma (2013:17) described management as the proper combination of human and material resources to achieve institutional goals.

The following five basic elements were stated by Wolfaardt (2001: 5) namely firstly that the managers set the aims and goals and determine what must be done to achieve it, secondly the managers will organise the work that needs to be performed in an organisational structure with workable activities and assignments, thirdly the managers communicate with the teams of staff and utilise their ability to take decisions regarding the payment, promotion and placing of the staff to further ensure that the teams of staff perform well, fourthly the managers will measure performance with the assistance of targets and measurements, lastly the managers will develop the staff including themselves. Armstrong & Stephens (2005:1) defined management as deciding what to do and then getting it done through the effective use of resources. According to Mellody & Theron (2006:115) the management functions are planning, organizing, leadership and control.

The results based management is:

- A continuous process of collecting and analysing information to compare how well a project, programme or policy is being implemented against expected results (Kusek & Rist, 2004:15);

- An exercise to assess the performance of Government Institutions, whether a programme or a project with reference to the impacts and benefits that the Government Institution envisage to produce;
- It serves as a strong public management tool that is utilised to assist the policymakers and decision makers to track the progress made and also to demonstrate the impact of a given project, programme or policy of the Government Institutions and
- It is different from the traditional implementation focused monitoring since it moved past the normal input and output emphasis to output and impact as the focus (Kusek & Rist, 2004: 16).

In monitoring and evaluation strategic management is of importance since the key performance indicators will be tracked and reported on. Strategic management consists of a series of decisions about the institutional strategic direction, planning and implementation (Louw & Venter, 2012: 28).

2.3.2.5 The control process explained

Monitoring of work performance is part of the controlling function in Public Administration (Cloete, 1986:177 & Robbins, 1980: 10). Managers must ensure that their Institution function or their Department operates effectively and are accountable for attaining the required result, having been given authority over those staff working in that unit or function (Armstrong & Stephen, 2005:23). It is also part of the policy-analytic procedure used to produce information. Dunn, (1994: 278) wrote that monitoring permits analysts to describe relationships between policy/programme operations and their outcomes. Control ensures that the tasks carried out drive the Government Institution towards achieving its goals (Mellody & Theron, 2006:116). It

asks the question whether the Government Institutions are moving in the correct direction by doing the correct things and doing it right. The control process is a function to test if the completion of activities, projects and programmes has been done in line with specific programme schedules and the authorised standards and specifications (Gildenhuys, 2005:281). Monitoring from this perspective is to gather performance information about the Department's environment and the work performance. Monitoring as a step in public controlling that aims in ensuring the maximum work output with the minimum input of resources, to ensure effective and efficient work performance (Meiring, 2001: 84).

The section will deal with two issues namely controlling as an administrative function and the determining of control measures and standards.

2.3.2.5.1 Controlling as an administrative function

Public Administration is classified, for study purposes, into six generic functions, namely policy making, financing, organizing, staffing, procedure determination, and controlling (Cloete, 1986:2).

Controlling consists of two main steps, namely:

- Determining of control measures and standards; and
- Exercising of control.

Armstrong & Stephens (2005: 4) stated that the key purpose of management and leadership is to provide direction, facilitate change and achieve results through the effective, creative and responsible use of resources. Ijeoma (2013: 249) referred to managers in Government who are formally appointed in positions of authority. In performance information and the achievement of the set targets of the performance

indicators the utilization of the resource and the control by officials over it is important for service delivery.

2.3.2.5.2 Determining of control measures and standards

The measures that can be used to exercise control have two main characteristics, namely:

- Checking of the work performance of subordinates; and
- Demanding of accountability.

Checking means the monitoring and evaluation of an activity or service according to fixed pre-determined standards. Checking require the physical assessment of the work performance. The aim is to determine whether the work has been carried out according to the set standards, whether it has been carried out according to policy and procedures laid down (Cloete, 1986: 145). Armstrong & Stephens (2005: 5) stated that management is focussed on achieving results by effectively obtaining, deploying, utilizing and controlling all the resources required such as people, money, facilities, plant and equipment, information and knowledge.

Schutte (2000:7) explained the control function as consisting of the following steps;

- Creation of the achievement standards;
- The measuring of the actual achievement;
- The evaluation of deviations and
- The implementation of corrective measures.

These procedures are relevant in the control of performance information and will assist to manage the performance of government departments in performing in terms of the strategic plans.

Accountability consists of the following two steps;

- Demanding accountability, i.e. asking a subordinate to explain some irregularity (Hanekom & Thornhill, 1983:184) and
- Rendering account, i.e. the act of explaining (Meiring, 2001: 165). In terms of the legislative accountability framework, performance reports are primarily used by the Legislature to assess the success of service delivery and the utilised funds that have been approved by the Legislature (Roos, 2012: 9).

The monitoring of the performance information is done in terms of a plan that is controlling that the processes were completed and the following should be included (M&E Fundamentals, 2010: 23):

- Specific programme components that will be monitored, such as program performance or the utilization of resources;
- How this monitoring will be conducted and
- The performance indicators that will be used to measure results.

Control measures are seen as for example inspections, reporting, auditing and cost-benefit analysis (Cloete, 1986:177). Control standards means *inter alia* a criteria for quality or behaviour and is the average degree to which subordinates are expected to perform. Standards determine efficiency. The monitoring and evaluation of work performance cannot be performed without standards, because proper standards also enable the supervisor to judge the work performance objectively. To improve efficiency and the monitoring function standards must be purposeful, meaningful, clearly defined, measurable and easy to understand (Koontz & O'Donnell, 1968: 538).

The monitoring process of the performance information indicates how a Government Institution is performing against its aims and objectives. Good performance information monitoring will identify which policies and processes are performing well and also why they are performing well. In the checking of performance information the best available data and knowledge is important in improving the performance of the Government Institutions. The controlling of the performance information is important for the following reasons:

- Indicating progress against objectives;
- Prompting an external focus by public institutions on transparency, accountability, and progress on service delivery;
- Ensuring the best results for citizens;
- Identifying gaps between policy formulation and policy implementation;
- Enhancing strategic planning processes; and
- Reflecting the level of institutional capacity to actually deliver services to citizens (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011:3).

However, Wissink *et al* (2004: 54) stated that reaching the standards as set out in the annual budgets and the programmes of Government will be an indication that the objectives are reachable, but it is not necessarily a full and exhaustive indication of the realising of the planned objectives. The plans must be monitored and evaluated to assess whether the intended aims were met or not.

The performance information must be correctly calculated so that reliance can be placed on it. The systems for collecting and validating performance data are more robust when the Government Institutions apply the following:

- The quality of the data must be defined in advance since the performance information can be costly to produce. The Government Departments must consider the usage of data and cost to collect it and find a balance between the cost and the comprehensiveness and reliability of data (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 15).
- The performance measure definitions need to be clearly established. The documentation of definitions, the source of data and the arrangements of their collections and analysis can lead to the facilitation of a common understanding between the designers of performance information systems and reporting performance and those collecting the data (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 15).
- The person that is responsible for performance data must be designated and the probability that when one manager is assigned to collect data and reporting is higher regarding the reliability of the data than when more than one person collect the data (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 15).
- The managers need to ensure that sufficient resources are assigned to data collection and validation. The monitoring of the performance information leads to the identification of deviations during the examination thereof. The managers must perform reviews to place assurance that the Government Department's performance information is a reliable basis for capturing and reporting performance information (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 15).
- Performance data may be collected from the Government Institutions information systems, surveys and external sources. It is important to establish

internal controls that will enable assurance of the data regarding the reliability thereof. The controls will vary depending on the sources of the data. Predetermined checks need to be undertaken with regards to the collection, review and verification of performance information (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 15).

- Clear guidelines for the establishment and implementation for the validation of performance data must be in place (Guide for the implementation of Provincial Quarterly Performance Reports, 2011: 15).

In the setting of standards the Government Institutions can utilise automated or manual performance management systems and establish a link between the different information sources or systems to enable informed decisions being taken regarding the performance of the Government Departments. In this process benchmarking can be utilised for performance management since it involves the systematic comparison of the programme outputs, services delivered and the activities against the standards or best practices by way of:

- Internal benchmarking that is the comparisons between internal operations, such as between divisions, programmes and sub programmes;
- Competitive benchmarking that is the comparisons with the direct product or service competitors and
- The universal or generic benchmarking that refers to comparisons with similar functions or processes in dissimilar industries (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 9).

Robbins (1980:146) stated that in forecasting the process is as if you are looking towards the future through the eyes of today. The setting of performance indicators

is done with the current information available to the Government. The historical benchmarking occurs when a government institution compares its performance to its own performance in previous years and it provides a tool for identifying strengths and weaknesses (Louw & Venter, 2012:265). The performance indicators are measuring the performance of specific areas in the programmes of the Government Institutions and serve in itself as a control and a good performance indicator must comply with specific standards such as the following (M&E Fundamentals, 2010: 49):

- Produce the same results each time it is used to measure the same condition or event;
- Measure only the condition or event it is intended to measure;
- Reflect changes in the state or condition over time;
- Represent reasonable measurement costs and
- Be defined in clear and unambiguous terms.

The selected plans of the Government Institutions will usually be linked to an annual budget (Wissink *et al*, 2004: 53). In the Government Institutions effective resource management requires that the annual budgets provide the basis for monitoring and controlling the actual spending against the budgeted performance in both the financial and non-financial quantifiable data (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 8).

2.3.2.5.3 Exercising of control

Exercising of control is a continuous function that is carried out to establish whether or not work has been performed as effectively and efficiently possible, without any irregularities, to the same degree as was foreseen in the policy and procedures. A variety of control measures have been designed to facilitate the exercising of control,

as explained above (Meiring, 2001: 168). Discipline is a positive power since it implies a consistent demand for and reinforcement of the right actions and the refusal to tolerate or acknowledge any wrong actions (Pattison, 1977:69). The monitoring of performance information is an on-going process that is based on the collection of information to measure and evaluate the outcomes, outputs and activities in terms of the following measurement criteria`:

- Compare and measure the actual performance against the predetermined plans;
- Compare and measure the current performance against the performance in previous years and
- Compare and measure the performance against internal or the external benchmarks (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 8).

The performance management systems that are controlling the performance information should integrate the information from the Strategic and Annual Performance Planning, resource management and the performance monitoring and evaluation processes to determine the following regarding the programme activities and services delivered that are:

- Achieving programme objectives;
- Improving;
- Competitive;
- Worth retaining and
- Can best be provided in an alternative manner (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 9).

The monitoring of the Government programmes relates to the collection of routine data that measures the progress towards the achievement of the Government objectives. The monitoring process is focussing on the implementation of the plans of the Government Institutions and focusses on the following areas (M&E Fundamentals, 2010: 4):

- How well has the programme been implemented?
- How much does implementation vary from site to site?
- Did the programme benefit the intended people?

Mayne & Zupico-Goni (2009:12) stated that the public sector is built upon the requirements for clear objectives, effective management systems, and a framework for accountability and appropriate performance information on programme outputs and outcomes is essential to meet these requirements.

2.4. MONITORING IN THE PROVINCIAL SPHERE OF GOVERNMENT

In South Africa the Government- wide Monitoring and Evaluation System from the Presidency explains monitoring as "monitoring involves collecting, analysing and reporting data on inputs, activities, outputs, outcomes and impact as well as external factors, in any way that supports effective management". Ijeoma (2013:191) stated that monitoring and evaluation will improve the quality plans for service delivery in the Government Departments. The monitoring process aims to provide managers, decision makers and other stakeholders with regular feedback on progress in implementation and results and early indicators of problems that need to be corrected. It usually reports on actual performance against what was planned or expected (Government-wide Monitoring and Evaluation System, 2004: 7). Monitoring is providing the managers with a regular feedback on their performance after the

collection, analysis and reporting was completed. Ijeoma (2013:191) stated that monitoring and evaluation of all Government public financial systems instil a sense of standardised performance and procedures. The National Treasury Guidelines plays an important role to ensure standardised performance and procedures.

The following sets of documents are used to monitor performance results in the Provincial Government (Guide for the implementation of Provincial Quarterly Performance Reports, 2011: 12).

- Five year Strategic Plans;
- MTEF Budget Statements;
- One year Annual Performance Plans where performances are expressed in quarterly targets with two outer years;
- Quarterly performance reports and
- Annual Reports

2.5 LEGISLATIVE PROVISIONS FOR THE MONITORING OF PROVINCIAL NON-FINANCIAL INFORMATION

2.5.1 PARLIAMENTARY PROVISIONS FOR MONITORING OF PROVINCIAL GOVERNMENT INFORMATION

The effectiveness in an open systems approach means that programme activities must be performed in such a manner that it will satisfy the legitimate values and needs of the citizens efficiently and effectively (Gildenhuys, 2005:111). Legislation is general and lacks detail information since the Legislatures cannot foresee all the questions that will arise after the commencement of the Government programmes (Denhardt & Denhardt, 2009: 53). Anderson (2010: 9) stated that the government

policies are based on law which makes it authoritative. There is a need to indicate that the Government performance is being managed, measured and improved (van der Waldt & Du Toit, 2004: 2). Specific regulations and guidelines will be needed to regulate monitoring and evaluation. The National Treasury Regulations serves as back up and in an depth guide to the management of public funds, without contradicting the *Public Finance Management Act* (Ijeoma, 2013:173).

It can be deduced that that legislation on performance information was drafted in a general manner as the lawmakers could not foresee all the issues regarding performance information. Legislation was adopted since there was a need to indicate that the Government performance is managed, measured and improved. Furthermore a legal framework was needed to issue National Treasury Guidelines and Frameworks.

In this sub section the *Constitution of South Africa, 1996* and the *Public Finance Management Act* will be discussed.

2.5.1.1. *Constitution of South Africa, 1996*

The *Constitution of South Africa, 1996* is essential in this chapter since all legislation must be consistent with it. The preamble of the Constitution of the Republic of South Africa, 1996 adopts the Constitution as the supreme law of the Republic (Ijeoma,2013: 94) and lays the foundations for a democratic and open society in which Government is based on the will of the people (Mafunisa, 2000:14). The *Constitution of the Republic of South Africa, 1996* and its front runner, the *Interim Constitution of 1993* created a policy framework within which laws can be made (van der Walt & Du Toit, 2002:7). The Government Institutions are governed by rules that express itself in a formal manner emanating from the Constitution and also from

informal rules emanating from custom (Ostrom, 1999: 37). Ijeoma (2013:198) stated that the Provincial Legislature debates and determines the monetary value and expenditure areas of their Provincial Department annual budgets before it is taken up in the National budget.

The separation of powers and functions of Government are classified as legislative, executive or judicial and a requirement is that each function must be performed by the separate branches of Government (Currie *et al* 2001: 18). The Legislative Authority vests in the three spheres of Government and at the National Governing sphere it is Parliament as determined by section 44 of the Constitution, 1996. The Provincial sphere of Government rests in the Provincial Legislatures as per section 104 of the Constitution, 1996 and the local sphere of Government rests with the Municipal Councils (Constitution, 1996: article 43). Section 195(1) of the South African Constitution, 1996 states that public administration must be governed by the democratic values and principles enshrined in the Constitution (Public Service Commission, 2008: 26).

Chapter 10 of the Constitution, 1996 covers the basic values and principles governing public administration which include the following principles as highlighted by van der Waldt (2004:8) as follows:

- A high standard of professional ethics to be promoted and maintained;
- Services be provided impartially, fairly, equitably and without bias;
- Resources be utilised efficiently, economically and effectively;
- People's needs be responded to;
- The public be encouraged to participate in policy making and
- It is accountable, transparent and development-orientated.

The Constitution, 1996 vests oversight powers in the National Assembly and in the Provincial Legislatures over their respective Executive Authorities that is additional to their legislative and other powers (National Treasury: Guideline for Legislative Oversight Through Annual Reports , 2005:3).

Provincial Legislatures are provided separate, but similar oversight powers as the National Assembly in terms of section 114(2) of the Constitution, 1996 that limits them to the Provincial Executive organs of state. This section of the Constitution empowers the Provincial Legislatures with oversight powers and places an onus on them to provide mechanisms to ensure that all Provincial Executive organs of state in their Province are accountable to it. Furthermore it must maintain oversight of the Provincial Executive Authorities in their Province. In the Provincial Governments section 133(3) of the Constitution, 1996 requires that Members of the Executive Council must provide their Provincial Legislature with full and regular reports concerning matters under their control.

The oversight powers of Provincial Legislatures are important for the annual reporting process when considering the annual reports that per definition qualify as the regular reports that are referred to in the Constitution, 1996 section 133(3). There is a notion that the Government must improve and aim for excellence due to expectations from the public (van der Walddt, 2004:3). The Constitution, 1996 recognizes that the respective Provincial Legislatures have a critical role to play in overseeing better performance by Provincial Departments. The main challenge that faces members of the Provincial Legislatures is to improve the capacity of their respective portfolio committees to hold Provincial Departments to account for their performance by using their Strategic Plans, annual budget documents and annual

reports (National Treasury: Guideline for Legislative Oversight through Annual Reports, 2005:3).

The Constitution provides the legal framework for the broad functions of the Government; however the monitoring, reporting and evaluation of the essential elements of effective service delivery did not have legal status in the same manner (Managing for Results: Moving from outputs to outcomes for Local Government; Department of Provincial and Local Government, 2007: 4). Legislation and regulations that flows from it were enacted to ensure that coordination and integration are placed within a results based context (Ibid: 4). The growth in the inspections performed in the public sphere and the powers to intervene led to the placement of performance information high on the Government agenda (van der Waldt, 2004:3).

In conclusion the monitoring and evaluation of performance information is covered in the Constitution, 1996 and the role players, namely the Provincial Legislature, Executive Authority (MEC's) and the administration were identified, monitoring and evaluation is mandated by the Constitution, 1996 where the performance of the National and Provincial Government Departments must be conducted and reported upon. The Government followed the legal framework up with specific legislation that is providing guidance on monitoring, reporting and evaluation in the *Public Finance Management Act, (Act 1 of 1999) (PFMA)* that will be dealt with in the next section. The *PFMA* in turn will serve as a legal framework for regulations regarding monitoring and evaluation in the public sector. Public policies are based on legislation and are authoritative (Anderson, 2010: 9).

It can be deduced that all legislation must be consistent with the Constitution that provides a framework from which legislation can be adopted such as the PFMA with its regulations. The Constitution does not make specific rules for performance information; however it vests powers in the Provincial Legislatures to perform oversight over the Executive Authorities by requesting annual and other reports that cover performance information.

The policies of the Government are linked to legislation and the PFMA is such an act and will be discussed in the next section.

2.5.1.2 Public Finance Management Act (Act 1 of 1999) (PFMA)

Reporting on performance information was legislatively established in South Africa in terms of the *Public Finance Management Act, Act 1 of 1999*, section 40 (3) (a) (Roos, 2012:4). Ijeoma (2013:161) stated that the Government should ensure that public funds are well managed and public spending achieves the objectives set in policies. The National and Provincial Legislatures do not want to tie the hands of the Chief Officials in the Government Institutions by being too restrictive with legislation (Denhardt & Denhardt, 2009: 54). Legislation on monitoring and evaluation is covered in the *PFMA* and the same principle was followed by not being too restrictive and the legislation was broadly developed. The public functionary has to respect the prevailing provisions of legislation and conduct himself accordingly (Cloete, 1986: 9). The Chief Officials had to follow the prescripts in the National Treasury Guidelines and Frameworks on monitoring and evaluation of performance information.

The policy alternatives are adopted per agreements reached between the Chief Officials of Government Institutions and enacted with the support of the majority of

the law makers in the Legislatures (Dunn, 1994:16). In the matter regarding monitoring and evaluation the Chief Officials provided information to the law makers for inclusion in the *PFMA*.

The stages of policy formulation start with the problem identification and a desire to resolve these problems through policy processes (Dunn, 1994:16). The policy regarding monitoring and evaluation was based on specific problems encountered and was incorporated into legislation. Anderson (2010: 3) described public policy as the relationship of a Government unit to its environment. The *PFMA* followed as legislation from the *Constitution, 1996* that regulated monitoring and evaluation of National and Provincial Governments on their performance in terms of the Strategic Plans developed and implemented by Government Departments. The *PFMA* is the guiding act on monitoring and evaluation and provides the time frames and role players on the submission of the annual reports to the Provincial Legislatures. Specific sections relevant to the non-financial performance information will be discussed in this section.

The *PFMA* shows a commitment to accountability and the application of sound management principles and it also lifts the responsibility of Chief Officials to higher levels and makes provision for a statutory performance management system (Gloeck, 2000:5). Radnor & Lovell (2003:174) see performance measurement as a system that measures performance information for the use by Chief Officials to track their progress by comparing actual results with goals and objectives.

The Accounting Officers must submit their annual reports within a five month period after the closure of that particular financial year to the Provincial Treasury and also the Executive Authority (MEC) responsible for the Department as determined by the

PFMA, Section 40(d) (van der Waldt, 2004:96). The Accounting Officer must also submit the annual report one month after receiving the Auditor-General's report to the Provincial Legislature (*PFMA*, Section 40(e)). Ijeoma (2013:172) referred to section 40 (1) of the *PFMA* that provides that an accounting officer must keep full and proper records of the financial affairs of the Government Department in line with the prescribed norms and standards. Reforms were enacted through both the *PFMA* and the Public Service Act that requires from the year 2000 onwards that Accounting Officers must table performance targets for each main division of the Departmental Vote before the start of the financial year (van der Waldt, 2004:101) and (National Treasury: Guideline for Legislative Oversight through Annual Reports , 2005:3).

Conradie & Schutte (2003:34) refers to the *PFMA* section 40 (3) and stated that it requires reporting against pre-determined objectives and entails performance reporting. The reporting requirements of the Government Departments in the *PFMA* section 40(3) (a) and (b) require that annual reports and annual financial statements must fairly represent:

- The state of affairs of the Department;
- Its business;
- Its financial results;
- Its performance against predetermined objectives;
- Its year-end financial position and
- Particulars of any material losses and unauthorised, irregular, fruitless or wasteful expenditure (*PFMA*: 40(3) (a) and (b)).

In terms of section 65 of the *PFMA* the MECs responsible for the Provincial Departments must table in the Provincial Legislature its annual reports including their

annual financial statements and audit report thereon, within one month after the Accounting Officers or the Accounting Authorities for the Departments received their audit reports (National Treasury: Guideline for Legislative Oversight through Annual Reports, 2005: 6). The Provincial Legislatures need to monitor and manage compliance with these tabling requirements in order to ensure that they exercise their oversight on the annual reports (*Ibid*: 3). Section 45 of the *PFMA* states that officials in Government Departments are responsible for the efficient, effective, economical and transparent use of financial resources in their area of responsibility.

The *PFMA* gives effect to financial management reforms that holds the managers accountable for its implementation in the public service and place an onus on them to account for their performance (*Ibid*: 3). Public policy entails what Government execute on what they decided upon and the results of their decisions on the programmes they fund in an endeavour to achieve their set goals (Garsom & Williams, 1982: 403). The Government Departments must guard against any unauthorised expenditure when implementing their plans and was described by Hickley & Van Zyl (2002:142) as money that was spent for purposes other than for which it was allocated or expenditure in excess of what was allocated. The overspending on the one performance indicator must not result in under achievement in another performance indicator.

The Executive Authority must address management failures after which the Provincial Legislature has the vested powers to oversee both the administration and the Executive Authority (*Ibid*: 3). The Government needs to know whether it meets the previously determined goals and objectives of their programmes at a specific interval (van der Walddt, 2004: 66). The Government Departments needs to report to the Legislatures on an annual and half yearly basis. It is vital to understand the

implications of established public policies (Dye, 1992: 5). The reform process in the public sector aimed to rationalize the Government programmes and policies by strategic planning, outcome measures and programme evaluation, standardized budget structures and programmes. The Strategic Plans provide the details regarding the vision, mission, outcomes and objectives over a given period (van der Waldt, 2004:100). The strategic planning is focused on the transformation of the Government Institutions and not only to change programmes in Government Departments.

During the tabling of the annual budgets in the Provincial Legislatures the Accounting Officers of the respective Government Departments must submit the measurable objectives for each main division in the budget votes of their Departments (*PFMA section 27(4)*). The employment contracts of the Accounting Officers for each Government Department must be in writing and where possible also include performance standards (*PFMA section 36(5)*).

The *PFMA* has to do with the efficient and effective management of the Government Institutional resources by emphasising accountability for results by focusing on the outputs and responsibility and not only on the procedural accountability on the observation of rules and regulations in the Government administration (Shall, 2000:13).

Regarding the annual budget and financial management the focus is not merely on the compliance with the relevant enabling act, but also to obtain value for money from each Government Institution. The budgets of Government Institutions need to be shaped by and linked to the relevant strategic plans (van der Waldt, 2004:101).

This means that the Government Institutions are moving away from an input based budget system to an output based and result oriented system and places budget and financial management in a performance management context by outlining clear roles and responsibilities for each level of management and requiring that measurable objectives be specified for each main division in Government Departments. The delivery of services involves the actual production or provision of goods and services to the communities (van der Waladt, 2004: 95). The use of resources are linked to objectives and performance and promotes flexibility in the management of resources by ensuring that the accountability for the efficient and effective use of resources is devolved to the line managers to take responsibility for their particular areas (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 26).

The *PFMA* provides sections and subsections that refers to performance information and set the tone for the regulations that can flow from it with role players and the time frames spelt out.

It can be deduced that the reporting on performance information was legislated by the *PFMA* and the law makers were not too restrictive and developed the legislation broadly. The *PFMA* is a guiding act on monitoring and evaluation and provides time frames and role players on the submission of annual reports by the Executive Authority to the Legislature. The *PFMA* makes provision for a statutory performance management system. National Treasury can now issue Guidelines and Frameworks on monitoring and evaluation based on the *PFMA*. The National Treasury Regulations serves as roadmaps to the achievement of an accountable public service since they guide those people whom the public entrusted to keep and wisely spend their monies and improve the quality of their lives.

2.5.2 CABINET AND MINISTERS

The Government can take steps to improve on the implementation of public policies to meet the needs of citizens by restructuring the manner in which the Government functions (Ingram & Smith, 1993:1). Ijeoma (2013: 210) stated that public policies indicate the Government intentions designed on how to deal with a number of social challenges faced in the communities and the use of available resources. During the analysis of policies the Government has an applied orientation and seeks to identify the most efficient alternative for dealing with problems (Anderson, 2010:2). Redburn *et al* (2008: 3) stated that the analysis of programme performance can help the executive and legislative branches to make more informed decisions. The plans of the Government are directed to alleviate the problems as experienced by the public.

The Ministry of Performance, Monitoring and Evaluation in the Presidency was established and plays a meaningful role in setting expectations of improved outcomes across Government. It is driving a results-orientated approach across the three spheres of Government and other organs of state and reviews the data architecture of Government so that the required performance information is actually used in intergovernmental planning and resource allocation. The Ministry established internal capacity in the named areas in order to provide guidance and support to sector Departments (Our Approach, 2009: 19). Van Niekerk *et al* (2001: 88) stated that legislation or a national policy is a declaration of intent by the politicians.

The three main focus areas of the Ministry of Performance, Monitoring and Evaluation are: (Our Approach, 2009: 19).

- The management of outcomes through Ministerial accountability for improving service delivery performance by playing a supporting role in establishing the

performance agreements with Ministers/MEC's and sectoral delivery agreements that focuses on a small set of outcomes and a selected group of outputs. The Ministers/MEC's cascade results-focussed lines of accountability down to Chief Officials;

- The Government-wide Monitoring and Evaluation System was institutionalised in all Government Departments and existing initiatives were built with a renewed focus on improving input, output and outcome measures. The public managers are constant under pressure to effect improvements in their respective Government Institutions (van der Waldt, 2004: 82) and
- Assistance is provided in a limited number of institutional environments to help turn around blockages and non-delivery.

The policy statements by the Ministers are usually formal expressions or articulations of public policy (Anderson, 2010: 8). Ijeoma (2013: 210) referred to policy statements as representing the formal articulation of public policy. The annual policy speeches by the National Ministers and MECs provide direction on where the Government intend to address problems in the communities. Ijeoma (2013: 210) referred to the policy statements as the official disclosure to the public of what the Government intends doing. The Annual Performance Plans will express the issues raised in the policy speeches in the performance indicators set to address specific areas committed during the annual policy speech by the MECs in the Provincial Government Departments.

2.5.3 ADMINISTRATIVE CONTROL BY EXECUTIVE INSTITUTIONS

In this section the administrative control of the executive institutions such as the Auditor-General, National Treasury, National Treasury Guidelines and Frameworks

provisions for monitoring in the Provincial Departments, Legislatures and Provincial Executive Council will be discussed.

2.5.3.1 Control measures laid down by the Auditor-General

The auditing of the reported performance information was legislated in the *Public Audit Act, Act 25 of 2004*, section 20(2) (c) (Roos, 2012: 4). Ijeoma (2013:171) stated that the Auditor General inspects the books of Government Departments and then produces a report that is tabled in parliament. The Auditor-General began with the performance audits of Government Institutions on a phased in approach and during the 2006/2007 financial year and the years following the audit of the performance audit constituted the following; (Guide for the Implementation of Provincial Quarterly Performance Reports 2011: 8).

- The relevant systems description for reporting on performance information was documented and the systems descriptions should be verified by means of walkthrough tests;
- The stage of the performance reporting should be determined by evaluating the following:
 - o The existence and reporting against predetermined objectives;
 - o The existence of the following principles in the measurement objectives that is specific, measurable and time bound and
 - o The format and presentation of the performance information in the annual report.
- Comparing reported achievement of performance against objectives to the information sources and conducting limited substantive procedures on the

information (Guide for the implementation of Provincial Quarterly Performance Reports 2011: 8).

The above issues are still relevant and the Auditor-General is following them in the annual audit programme.

In terms of section 20(2) (c) and section 28(1) of the *Public Audit Act, (Act 25 of 2004)*, the audits must reflect an opinion or conclusion on the reported performance information relating to the audit inspection of the Auditor-General against predetermined objectives (*Public Audit Act, Act 25 of 2004*).

in compliance with the *Public Audit Act* with regards to expressing an audit opinion on reported performance information the Auditor General has adopted a phasing-in approach The Auditor-General started to perform performance audits and express on the quality of the performance indicators that Government Departments published in their Strategic Plans (Public Service Commission, 2008:16). The Auditor-General has been subjected to a review of their policies, systems, processes and procedures for the management of and reporting on performance against their predetermined objectives and of the accuracy, validity and completeness of the performance information presented since 2005/06. Findings in this regard have been included in the audit reports and as from the 2009/10 Financial Year the audit opinions are included in the Management Reports issued by the Auditor-General. From 2015/16 onwards the Auditor General may decide to issue an audit opinion on reported performance information in the Audit Reports (Performance Information Handbook, 2011: 59).

As a basis for Audit Conclusions, the Auditor General uses the following sources during the audit of performance information (Performance Information Handbook, 2011: 60).

- All relevant Laws and Regulations;
- The Framework for Managing Programme Performance Information issued by the National Treasury in 2007 and
- Relevant frameworks, circulars and guidelines issued by the National Treasury and the Presidency regarding the planning, management, monitoring, evaluation and reporting of performance information.

2.5.3.2 Control measures laid down by National Treasury

The National Treasury released the Framework for Managing Programme Performance Information in 2007 (Roos, 2012: 9). As delegated in terms of the *PFMA* and issued National Treasury Guidelines the National Treasury laid down National Treasury Regulations under the hand of the Minister of Finance and Frameworks and these will be explained and described in this sub section. The National Treasury Regulations were issued in 2000 and they deal with the public service ethical practices which are the enabling tools through which the public administration can achieve an efficient, economic and effective financial management system.

The Government-wide Monitoring and Evaluation System identified National Treasury as the lead Government Institution responsible for programme performance information (Performance Information Handbook, 2011: 4). This is in line with its Constitutional authority for performance information and responsibility for prescribing

measures to ensure transparency and expenditure control in each sphere of Government as outlined in Sections 215 and 216 of the Constitution, 1996 (*Constitution of South Africa, 1996: Sections 215 and 216*).

In 2007 the National Treasury issued the Framework for Managing Programme Performance Information (FMPPI). The aims of the FMPPI are to: (Performance Information Handbook, 2011: 4).

- Define roles and responsibilities for performance information;
- Promote accountability to Parliament, Provincial Legislatures and Municipal Councils and the public through timely, accessible and accurate publication of performance information;
- Clarify standards for performance information, supporting regular audits of non-financial information where appropriate and
- Improve the structures, systems and processes required to manage performance information.

The document outlines key concepts in the design and implementation of management systems to define, collect, report and utilise performance information in the public sector.

2.5.3.2.1 National Treasury Regulations

The Chief Officials and the Minister responsible for a particular Act, in this instance the *PFMA*, are assigned the act and may issue regulations based on it. Due to accountability purposes Regulations is a central feature of public management, however too many regulations can harm the performance of Government Institutions and whereas regulations managed in appropriate ways can benefit Government

Institutions (Walker *et al*, 2010:15). Administrative discretion is also needed since in the public sector the environment changes and the policies will undergo (reviews) changes as a result and it is not possible to wait for parliamentary processes to the effect changes (Denhardt & Denhardt, 2009: 50). The Minister of Finance can issue Regulations and change them without following the parliamentary processes where the Legislature normally approves legislation. The regulations can be issued by the Minister of Finance within a short space of time without intervention from Parliament.

The National Treasury Regulations are based on the *PFMA* and serve as delegated legislation on issues related to the performance information in Government Departments. The performance and related management involves a reduction in process rules and open the managerial discretion in performing objectives (van der Walldt, 2004: 23). The National Treasury Regulations will cover the area around the Strategic Planning and the methods on how to evaluate the performance of the Government Departments.

The Regulations on Programme Performance Information as specified in chapter 5 of the National Treasury Regulations were issued to ensure that financial and non-financial performance information underpins planning, budgeting, implementation management and to promote transparency, accountability reporting and expenditure control towards economy, efficiency, effectiveness and equity in the use of public resources (Performance Information Handbook, 2011: 4).

During the strategic planning stage the Accounting Officer of a Government Department must prepare a Strategic Plan for a three financial year period that must be approved by the Executive Authority (Treasury Regulation 5.1.1.). Before any monitoring can take place a medium term Strategic Plan must be developed on

which the Annual Performance Plans of the Government Institutions must be based. The Strategic Plan will pave the way for the Annual Performance Plans that includes performance indicators that will measure the performance of the Government Institutions, on a regular basis through the monitoring processes.

To enable the discussion of the individual budget votes the approved Strategic Plans must be tabled in the Provincial Legislature at least 7 days before the discussion of the annual budget votes of the specific Government Departments (Treasury Regulation 5.2.1.). The tabled Annual Budget tabled must reflect the strategic issues that are covered in the Strategic Plan and have to be aligned to it.

The Strategic Plan must cover a period of three years and must be consistent with the Government Department's published medium term expenditure budget vote. The policies of Government involve what Government actually does, not merely what they intend to do or what officials say they are going to do (Anderson, 2010: 8). The senior managers are responsible to formulate the strategic plan, while the financial department conducts a separate resource allocation and budgeting process to set targets (Louw & Venter, 2012:124). The Strategic Plan must include specific Constitutional and other legislative, functional and policy mandates that will indicate the output deliverables in terms of the responsibilities of the specific Government Department. Birkland (2011: 9) defined policy as a statement by the Government of what it intends to do about a public problem. It must furthermore include the policy developments and legislative changes that influence the spending plans over the three year period including the measurable objectives, expected outcomes, programme outputs, performance indicators and targets in relation to the programmes of the Government Departments. The Strategic Plan must also disclose details of the proposed acquisitions of fixed or movable capital assets, planned

capital investments and rehabilitation and maintenance of physical assets as well as the details of proposed acquisitions of financial assets or capital transfers and plans for the management of financial assets and liabilities. The multiyear projections of income and projected receipts from the sale of assets as well as the details regarding the Service Delivery Improvement Programme must be disclosed. The details of proposed information on the acquisition of technology or its expansion with reference to an information technology plan (Treasury Regulation 5.2.3.).

The performance of the Government Institutions need to be evaluated and the Accounting Officers must establish procedures for quarterly reporting to the Executive Authorities to facilitate effective performance monitoring, evaluation and corrective actions taken regarding underperformance (Treasury Regulation 5.3.). The Accounting Officers must devise a tool on which it will measure the performance of their respective Government Departments and provide reports to the Executive Authorities in the Provinces. These quarterly reports will track the performance and build up to the annual reports. It also serves to identify any deviations for corrective measures to be taken to correct underperformance between the planned targets and the actual achievements.

As required by section 40(1)(d) of the PFMA in section 18.3.1 of the Treasury Regulations the Treasury Regulations spell out the content of the annual report. Section 18.3.1 (a) states that the Accounting Officer must comply with the requirements prescribed in Chapter 1, Part 11 J of the Public Service Regulations of 2001. The annual report shall include information on planning, service delivery etc. (Public Service Regulations, 2001: Section J.3). The annual report covers all the performance indicators of the respective Government Departments as reflected in

the Annual Performance Plans that are based on the five year Strategic Plans of the Government Departments.

In preparing the annual report the Accounting Officer must include information such as the efficiency of the Government Institution, economy and effectiveness in delivering programmes and achieving its objectives and outcomes against the set measures and performance indicators in the five year Strategic Plan for the specific twelve month period (Treasury Regulations 18.3.1. (b)). The annual report consists of a section that will cover the non- financial performance information based on the performance indicators as reflected in the Annual Performance Plans of the Government Departments.

Planning is covered in three documents namely the five year Strategic Plan that links what is to be achieved with how it is to be done by focusing the managers on meeting the objectives of the Government and to identify the program management structures and strategies of cost-effective service delivery to achieve the planned outputs and outcomes. The Annual Performance Plans direct what must be done in a one to three year period in order to perform the programme objectives as determined in the strategic planning process. The Operational Plan lists the activities planned to be undertaken or the services that must be provided by the Government Departments to achieve their programme objectives. (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 7).

The National Treasury Regulations provide a legal framework on the strategic planning for the Government Departments and specify the manner in which it must be compiled and also the content of the Strategic Plan. The implementation of the Strategic Plan must be conducted and monitoring, evaluation and reporting must be

done by the Heads of the Government Departments by the Heads of the Government Departments to the Executive Authorities on a regular basis. The legal framework for the monitoring of performance information is determined by the National Treasury Regulations without spelling out the details, which will follow in the Government-wide Monitoring and Evaluation System and the Framework for Managing Programme Performance (FMPPI) that follows in the next sections.

2.5.3.3 National Treasury Guidelines and Frameworks

Legislation leaves a great deal of discretion to the Chief Officials in developing the details of the particular programme covered in an act (Denhardt & Denhardt, 2009: 54). The Chief Officials developed National Treasury Guidelines and Frameworks where the details of monitoring and evaluation in the public sector are covered. Legislation is the extent to which it binds the Government Institutions and their functionaries to perform their duties or not (Peters, 1993: 92). The National Treasury Guidelines and Frameworks are not legislation; however the prescripts are enforceable and are being audited by the Auditor-General as if they are legislation.

For the monitoring and evaluation of non-financial performance information such as the Framework for Managing Programme Performance Information the National Treasury has laid down National Treasury Guidelines. The National Treasury Guidelines make provision for the following chapters of the annual report: (Public Service Commission, 2008:23.24):

- General information;
- Programme Performance;
- Report of the Audit Committee;
- Annual Financial Statements and

- Human Resource Management.

The Framework for Managing Programme Performance Information will now be described and explained with the relevance to monitoring and evaluation and the fact that the Auditor-General places an important emphasis on this framework during the annual audit process and the following issues will be dealt with:

- The importance of performance information as a management tool;
- The link between this Framework and the Government- wide Monitoring and Evaluation System;
- The role of performance information in planning, budgeting and reporting;
- Key concepts, including the criteria for good performance indicators;
- An approach to developing performance indicators;
- The capacity required to manage and use performance information;
- The role of key Government Institutions in performance information management and
- The publication of performance information.

2.5.3.3.1 The importance of performance information as a management tool

Performance information plays a role in the daily management practice (Van Dooren *et al*, 2015:10). Performance information provides information on how the Government Institutions are meeting their aims and objectives as well as which policies and processes are functioning well. Bhattacharyya (2011:13) stated that performance objectives and standards are methods to define the basis for measuring performance results by which managers can provide specific feedback to describe the gap between the expected and actual performance. The evidence of the outcomes must be measured for management to place assurance on whether the

policy, programmes or project are producing the planned outcomes (Kusek & Rist, 2004:16). Public officials should not only strive towards attaining predetermined public service goals, they should also ensure that in their quest for these goals these have been set and they adhere to ethical values (Mafunisa, 2000: 25). In the execution of the mandate of the Government at National or Provincial sphere, for success the best available data and knowledge is crucial. The performance information is important to enable effective management. Monitoring and evaluation can also assist to identify unintended policy programmes and policy results (Kusek & Rist, 2004:19). The performance information facilitates effective accountability that enables Legislators, the public and interested parties to track progress, identify the scope of the improvement in service delivery and have a better understanding of the issues involved in the Government Institutions (Framework for Managing Programme Performance Information, 2007: 1).

2.5.3.3.2 The link between this Framework and the Government- wide Monitoring and Evaluation System

There were numerous existing reporting systems that collected valuable information within the Government Institutions, however gaps were identified in the performance information needed for planning the service delivery and to review and analyse the successes of the Government policies (Framework for Managing Programme Performance Information, 2007: 2). There is no monitoring and evaluation system that can be regarded as the best (Kusek & Rist, 2004: 2). The monitoring and evaluation system are still in a developmental stage in the public sector and needs constant updating and improvement.

The Government-wide Monitoring and Evaluation System supports these systems and describes and explains the inter-relationships. The above mentioned system has three components which are:

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

The *Framework for Managing Programme Performance* deals with the management of the programme performance information component (Framework for Managing Programme Performance Information, 2007: 2).

2.5.3.3.3 The role of performance information in planning, budgeting and reporting

The following diagram illustrates the accountability cycle, the accountability document and the performance information required in every instance.

Accountability cycle	Accountability document	Performance information
Policy development	Policy documents Explanatory memoranda accompanying bills	Identify baseline information informing the policy Set out desired effect of policy
Strategic Planning	Strategic plans Corporate plans	Indicate outputs to be produced Specify performance indicators
Operational Planning	Operational plans Budgets Performance agreements	Set performance targets Indicate available resources Allocate responsibilities
Implementation and in-year reporting	Monthly budget reports Quarterly performance reports	Report progress with implementation of plans and budgets
End-year reporting	Annual reports	Report on performance against plans and budgets

Adopted from the *Framework for Managing Programme Performance Information*

The planning, budgeting and reporting cycle indicates the relationship between the above processes and highlights that the Executive Authorities in Government such

as the Ministers and MECs are accountable to the relevant elected representatives in their Legislatures for the duration of their term of office. Monitoring and evaluation can assist in the allocation of resources (Kusek & Rist, 2004:115). The monitoring and evaluation can determine which programmes are working and which are not working. In essence the reporting will concentrate on whether the resources were used effectively and efficiently used to provide the best impact (Boyle & Lemaine 1999:120) on the identified problems it seeks to address. Planning contributes to the effective handling of change (Wissink *et al*, 2004: 49). The Provincial Legislators require full reports at regular intervals from the Executive Authorities at each stage of the above processes. The performance information is reported in public during the final stage. The performance information process begins when the policies are being developed and continues through each stage of the planning, budgeting, implementation and reporting stages (Framework for Managing Programme Performance Information, 2007: 3&4).

The performance information that is reported in the accountability documents enables the National Parliament, the Provincial Legislatures and the public to follow the performance of the Provincial and National Government and hold it accountable to deliver services to their citizens (Framework for Managing Programme Performance Information, 2007: 4).

To enable the adoption of results-based approach to managing service delivery the performance information is also needed by the managers in the Government Institutions at the various stages of the planning, budgeting and reporting cycles. This approach emphasises planning and managing focussed on the desired results and managing inputs and activities to reach these desired results (Framework for Managing Programme Performance Information, 2007: 4).

2.5.3.3.4 Key concepts, including the criteria for good performance indicators performance indicators

In terms of the *Framework for Managing Programme Performance Information* and the performance targets will be explained and described In this sub section.

Performance indicators

A policy of Government is a relatively stable purposive course of action or inaction followed in dealing with a problem or matter of concern (Anderson, 2010:19). The performance indicators that are measured address specific problems in the public domain. Singh (2007: 52) described indicators as variables that are used to infer attributes encompassed by criteria. Why only some problems out of all that exist receive consideration by the policy makers requires an examination of agenda setting on how Government Departments decide what problems to address (Anderson, 2010: 3). Some national priorities are set and performance indicators are developed accordingly. The performance indicators are developed to address the specific problems that the Government encounters.

It is feasible to concentrate on the performance indicators that will directly measure inputs, activities, outputs and impacts in the development of the performance indicators. The inputs, activities, indicators, baselines and targets all derive from the desired outcome (Kusek & Rist, 2004: 57).

The direct performance indicators refer to cost or price, distribution, quantity, quality, dates and time frames, adequacy and accessibility indicators that will be explained in the paragraphs to follow:

Cost or price indicators are of importance when the economy is measured and how efficient service delivery is.

Distribution indicators relate to the capacity distribution that enable the delivery of services and are of cardinal importance when assessing equity across the geographical areas, urban versus the rural divides or the demographic categories.

The quantity indicators include the number of inputs, activities or outputs and they are normally time bound.

Quality indicators refer to the quality of those measured compared to the prior determined standards and should reflect the needs and expectations of affected groups in balance with the economy and effectiveness.

Date and time frame indicators reflect the timelines of service delivery and include the service frequency measures, waiting times, response time, turnaround times, time frames for the delivery of services and the timelines of the actual service delivery.

The adequacy indicators reflect the quantity or output in relation to the need or demands in the sense that sufficient action has been undertaken to deal with the challenge.

The accessibility indicators reflect the extent to which the targeted beneficiaries are in a position to receive the services or outputs and refer to the distance from the service centres, time to travel to the centres, time waiting at the centres for attention, affordability, language and facilities for the disabled.

Performance targets

The next step after the development of the performance indicators is to determine the level of performance targets that the Government Institutions and their employees aim to reach. The policies of Government are developed at what it says and does about perceived problems (Theodoulou & Cahn, 1995: 201). The

Government forecasts in terms of the targets are based on factors occurring in the general political, economic, social, cultural and technological components of the environment (Wissink *et al*, 2004: 52). The annual and quarterly targets must be set by considering the current baselines. The baseline is used as a starting point, or guide by which to monitor future performance (Kusek & Rist, 2004:81). The Government Institutions need to collect a range of performance information for the management of the Government Institutions, however when reporting to the MECs and Provincial Legislatures, not all this collected performance information is needed for accountability documents.

In the analysis of Government policies the concern is with describing and investigating how and why specific policies are proposed, adopted and implemented (Cochran *et al*, 1993: 3). The set of performance indicators designed for accountability reporting should provide an overall view of the Government Institution's performance. The National Departments must identify a standardised set of performance indicators that the Provincial Departments should report on to ensure comparability on specific priorities as set by the National Government.

2.5.3.3.5 An approach to developing performance indicators

The best developed performance indicator information has a limited value to its users if it cannot identify service delivery and performance gaps, to set the targets and aim to achieve improved results. Indicators are a summary measure that enables the policymakers and other decision makers to access various aspects of an ongoing society and to evaluate specific programmes and determine their impacts (Miller & Salkind, 2002:483). The question can be raised around the adequate data and other important information available about the problem (Bouser *et al* 1996:49).

The determination of a set of appropriate performance indicators is dependent on the nature of the mandate of the Government Institution. The data that is collected must be adequate for the Chief Officials to take decisions on.

The following six steps in developing performance indicators are provided and explained in the *Framework for Managing Programme Performance Information*

- Agree on what you are aiming to achieve (*Framework for Managing Programme Performance Information, 2007: 11*)

Before the performance indicators can be developed and based on the challenge a possible solution needs to be found. A problem can be approached by asking if a possible solution exists to solve it (Bouser *et al*, 1996: 48). In social terminology the desired changes in the society would enable the crafting of a clear set of outcomes and impacts that relates to the Government Institution's strategic goals and objectives defined in measurable terms. In the event that the strategic goals and objectives are well defined a better basis would be established from which to develop the desired programmes and projects as well as the suitable performance indicators. Bhattacharyya (2011:12) referred to performance information that provides an opportunity for discussion on the development goals of the institution and designs a feasible plan to achieve such decided goals.

- Specify the outputs, activities and inputs (*Framework for Managing Programme Performance Information, 2007: 11*).

In the next step the Government Institutions must specify what the achievement of the desired outcomes and impacts must be by raising the following issues:

Who the parties are that will be affected, whether positive or negative and what their relevant characteristics are. Policy making involves the interaction between the

Public and Political Executive Office Bearers, Legislatures and Chief Officials (Cloete, 1998:139).

The Government Institutions are required to produce outputs and this will be through the activities that the Government Institutions need to undertake in the process. The policy outline means a statement aimed to achieve planned goals by Government (Salisbury, 1995:34). Bhattacharyya (2011:11) stated that performance management as a management tool manages the institution and shapes individual behaviour and directs employees' behaviour to achieve strategic aims.

The question of what is needed to perform the activities relates to the inputs that the Government Institution requires and is referred to as the Logic Model. The public policies of Government can be defined as the sum of Government activities (Peters, 1993:4). In the determination of the logic model the risk and assumptions for all the levels must be identified in the planning process. The public policies of Government are the series of choices exercised by Government Institutions and their Chief Officials (Dunn, 1994: 46). In the specification of the outputs extensive debates on policy issues must be done and also a careful analysis must take place on what is practical and on the relative costs of the different courses of action to be undertaken. The effectiveness of the chosen intervention must also be assessed.

Select the most important performance indicators (Framework for Managing Programme Performance Information, 2007: 11)

Not all aspects of service delivery and outputs need to be measured by setting performance indicators and setting fewer measures can deliver a stronger message to the stakeholders of the specific Government Institutions. In the policy formulation stages the various alternatives to address the known problems should be assessed by taking into account their benefits, cost implications and feasibility (van Niekerk *et*

al, 2001: 95). The Government Institutions must select performance indicators such as the critical inputs, activities and key outputs that measure the important aspects of the services that are delivered. An evaluation of the policies will be needed to determine whether to continue with the implementation of the programme, or to curtail or expand it (Cloete & Wissink, 2000: 210).

- It is important to keep the following elements in mind when selecting performance indicators,. (*Framework for Managing Programme Performance Information, 2007: 12*)

The communication must be clear and the performance indicators should communicate if the Government Institutions are reaching the strategic goals and objectives that were pre-determined. There tends to be a high level of agreement of what each indicator represents whatever social indicators are used on community, state, national or internal sphere (Miller & Salkind, 2002:484).The performance indicators must be clear and the users must understand it. The policy statements by Executive Authorities are making known the official announcement, declaration of intent or the publication of a goal to be achieved by the Government Institutions (Hanekom, 1987: 7). The intentions of the Government become known through the policy directives of the Executive Authorities during the delivery of the annual policy speeches.

The data for the chosen performance indicators needs to be readily available for verification and reporting to Chief Officials and other stakeholders. The monitoring and evaluation process relies heavily on the availability of relevant and on time performance information (van der Waladt, 2004: 95).

The number of performance indicators needs to be manageable and the line managers must be able to track progress on the performance indicators at regular

intervals. Due to the difficulties in administering and implementing Government programmes the implementation of policy is more cumbersome than the planning of it (Peters, 1993: 91).

- Set realistic performance targets.

The implementation of Government policies are not an easy issue (Majone & Wildavsky, 1995:142). The Chief Officials in Government are responsible to transform the aspirations of politicians into achievable proposals (Peters 1993: 54). Performance targets must be set that will be achievable and realistic aspirations of politicians must be included. Timelines refers to the frequency and currency of data to ensure that it is accessible on time for management decisions (Kusek & Rist, 2004:109).

The setting of performance targets must be realistic and achievable by providing a challenge to the Government Institutions and its staff to achieve. In the drafting of public policy a number of choices are made between alternatives by Government Institutions and their officials (Dunn, 1994: 46). The ideal situation would be to consider the previous and existing levels of achievement such as the current baselines as well as realistic forecasts of what would be possible for the Government Institutions to achieve. Considering the current service standards of the Government Institutions where the targets are set it is important to and what is regarded as acceptable action (*Framework for Managing Programme Performance Information, 2007: 12*).

The selected performance targets should adhere to the following: (*Framework for Managing Programme Performance Information, 2007: 12*)

Communicate what will be achieved if the current policies and expenditure programmes are maintained. The government needs to be flexible, adaptable and fast to grasp when the conditions undergo a change (van der Waladt, 2004:2).

Enable performance to be compared at regular intervals - on a monthly, quarterly or annual basis as appropriate. Accurate information is needed on a continuous basis for the administering of public institutions (Waugh & Manms in Bergersen, 1991:61).

Facilitate evaluations of the appropriateness of current policies and expenditure programmes. The policies must be developed with reference to the demands of economical and industrial development (Cloete, 1998:134). The policy impact is the actual consequences of the policy results on the society (Wissink *et al*, 2004:30).

Determine the process and format for reporting performance. Report must be produced at regular intervals to ensure that problems are detected (van der Waladt, 2004:95). to close the deviations from the targets in the performance indicators and the actual performance corrected measures can be planned,

Once it is consolidated and incorporated into the planning, budgeting and implementation processes where it can be utilised for decisions by the management, in particular for taking corrective actions the performance information becomes useful. Kusek & Rist (2004:18) explained that results are measured against goals and outcomes and that implementation is measured against inputs, activities and outputs. The performance information reported must include both financial and non-financial data (van der Waladt, 2004: 95). To highlight consciousness of public problems the Government can make use of their policies (Ingram & Smith, 1993: 95). This means getting the right information in the right format to the right people at the right time. In the planning process the Government Institutions need to research what type of information the various users of the performance information will be

needed and develop formats and systems to ensure their needs are met (*Framework for Managing Programme Performance Information, 2007: 12*).

Establish processes and mechanisms to facilitate corrective action (*Framework for Managing Programme Performance Information, 2007: 12*).

The regular monitoring and reporting of performance outputs and outcomes against the expenditure plans and targets enables the managers to manage performance by providing the information needed to take decisions to keep service delivery on track as planned in the Annual Performance Plans. Forecasting seeks to provide a factual basis before implementation takes place (Dunn, 1994:335). The deviations from the performance targets can be detected on a quarterly basis and corrective measures can be planned to achieve the outcomes at the desired end period of the performance indicators as planned in the Annual Performance Plans.

The information should help managers to establish the following issues:

What has happened so far? The monitoring of the impacts of the Government programmes entails a survey of the quality received by participants that received services to determine if it is what was intended during the planning stage (Quade, 1989: 350). At quarterly intervals the performance targets can be measured against the actual performance.

What is likely to happen if the current trends persist, say, for the rest of the financial year? The research of policy implementation shows that the implementation of policy happens in phases (Brynard & Erasmus, 1995:161). At regular intervals throughout the year the trends must be observed. Mayne & Zupico-Goni (2009:13) stated that management by results needs performance information to make it possible.

What actions, if any, need to be taken to achieve the agreed performance targets? A decision to address the problem must be taken (van Niekerk *et al*, 2001:95). The

performance indicator setting and targets refers to the end result of solving the specific problems. Measuring, monitoring and managing performance information are integral to improving service delivery. The deviations from the targets must be identified for corrective actions to be undertaken.

2.5.3.3.6 The capacity required to manage and use performance information

The Accounting Officers of the Government Institutions must ensure adequate capacity to integrate and manage performance information with the management systems that exist in the Government Institutions. It is crucial to know how capacity is developed and utilised to achieve the planned objectives (Quade, 1989: 255). The Government Institutions must take a decision on where the responsibility for the management of the performance information should be situated to be effective and it can be aligned to the planning and financial management functions. Mayne & Zupico-Goni (2009:11) stated that the managers and staff need to make decisions for which they need reliable and current performance information. Knowledge of routine and procedures have a tendency to hamper creativity (Peters, 1993: 55). The Government Departments must safeguard against this possible occurrence. The capacity of the monitoring and evaluation directorates in the Government Institutions will have the responsibility to focus on the overall design and management of performance indicators, data collection, collation and verification processes relating to performance information. The line managers are responsible to establish and manage the performance information in their sections and sub sections (*Framework for Managing Programme Performance Information, 2007: 14*). The Government Institutions need capacity to perform the monitoring and evaluation services and need dedicated staff to perform the function as well as capacity of the Chief Officials that are involved with the management of performance information.

2.5.3.3.7 The roles of key Government Institutions in performance information management

The Executive Authorities such as the National Ministers and MECs are accountable to Parliament and the Provincial Legislatures respectively and must provide these institutions with full and regular reports. The chief officials establish the vision of their departments and translate it into strategies and practices (Louw & Venter, 2012:79). The monitoring and evaluation system is focussed on achieving the outcomes important to the Government Institutions and their internal and external stakeholders (Kusek & Rist, 2004: 19). Public policy is whatever the Government chooses to do or not to do (Dye, 1992: 3). The Government Departments implement Government policies in their respective functional areas and as part of this role they must monitor and evaluate the implementation of the policies, the impact of the policies, as well as the level and quality of service delivery (Public Service Commission, 2008:15). Ministers and MECs must set up appropriate performance information systems to make sure that the Government Institutions under their control will be in a position to provide the performance information reports as required by the Legislatures. As required by the *Framework for Managing Programme Performance Information* and other related guidelines these reporting systems must function properly (*Framework for Managing Programme Performance Information*, 2007: 13).

Accounting Officers are responsible for targeting performance and managing performance information. Public officials make decisions that give content and direction to public policy (Anderson, 2010: 8). The implementation stage is reached when decisions are turned into actions (Van Niekerk *et al*, 2001: 96). In terms of the *PFMA* Section 27(4), the National Departments' Accounting Officers must submit

measurable objectives with their draft annual budgets to Parliament and Provincial Accounting Officers must submit to their respective Provincial Legislatures. To enable performance assessments the objectives must be measurable (van der Waldt, 2004:101). In terms of the *PFMA* Section 40(1) and (3) Accounting Officers must provide information on the Departments' achievements against their predetermined objectives in the annual reports; and in terms of the *PFMA* Section 55(1) and (3) the Accounting Authorities of public entities should do the same. Furthermore, Section 38(1) (b) of the *PFMA* Accounting Officers of the Government Departments and Constitutional Institutions are responsible for the transparent, effective, efficient, and economical use of resources of the Government Departments or Constitutional Institution.

As published in 2007 by the Presidency the *Policy Framework for the Government-wide Monitoring and Evaluation (GWM&E) System* emphasised the importance of monitoring and evaluation in realising a more effective Government in service delivery. It identified three data terrains that together comprise the sources of information on Government performance: (i) evaluations, (ii) programme performance information and (iii) social, economic and demographic statistics. The *GWM&E* assigned to the Accounting Officers accountability for the frequency and quality of monitoring and evaluation performance information; the integrity of the systems responsible for the production and utilisation of the performance information; and it requires prompt managerial action in relation to monitoring and evaluation findings (*Government -wide Monitoring and Evaluation System, 2005: 1-4*).

The Accounting Officers of the Government Institutions are accountable for establishing and maintaining the performance management systems to be able to

manage the performance information (*Framework for Managing Programme Performance Information, 2007: 13*).

The Chief Officials are accountable for establishing and maintaining the performance information processes and systems within their scope of responsibility. The solutions to public management challenges, not only requires knowledge, skills and aids, but also a constant verification of the applicability and efficiency of actions (Wissink *et al*, 2004: 6). In the Government Institutions a range of officials are responsible for capturing, collating and checking the performance data that relates to their performance indicators in the predetermined Annual Performance Plans (*Framework for Managing Programme Performance Information, 2007: 13*). Mayne & Zupico-Goni (2009:11) stated that excellence in the public sector is not possible without good performance information.

2.5.3.3.8 The publication of performance information.

Government Institutions have a responsibility to publish administrative and performance information (*Framework for Managing Programme Performance Information, 2007: 15*). Monitoring and understanding impacts of the government institutions require that effective internal and external reporting systems are set up (Louw & Venter, 2012:81).

in accordance with sections 92 and 114 of the *Constitution, 1996* the Government Institutions must account to the National Parliament and Provincial Legislatures respectively on the following;

- In accordance with section 195 of the *Constitution, 1996*; be transparent and accountable to the public

- Provide private individuals and the private sector access to information held by Government that they can use in decision-making;
- Provide researchers access to information and
- Government Institutions need to develop policies and procedures to publish performance information to meet these different needs.

2.5.3.4 Provisions for monitoring non-financial performance information determined in the Provincial sphere of Government

In the Province of the Eastern Cape, the Office of the Premier issued an *Eastern Cape Provincial Monitoring and Reporting Framework* during 2011 that is applicable on all twelve Provincial Departments.

The pillars on which the Monitoring and Reporting Framework was built are the following:

Accountability

The Premier of the Eastern Cape has a constitutional obligation to account for the service delivery by the Government Institutions in the Eastern Cape Province. The Premier is accountable to the Presidency, the Provincial Legislature and the citizens of the Province of the Eastern Cape to deliver services and the number of oversight demands within the public sector in terms of the constitutional mandate. The Premier is accountable for the actual performance compared against the predetermined outcomes attained and the provincial mandate on the delivery of services to the inhabitants of the Province and serves as a key driver on the implementation of an Eastern Cape Province-wide Monitoring and Reporting Framework (*Reporting Framework. Eastern Cape Provincial Monitoring and Reporting Framework, 2011: 1*).

As stipulated in the Program of Action and the numerous planning instruments such as the Strategic Planning documents covering a five year span, Annual Performance Plans covering twelve months, and also the various commitments made in the State of the Province Address and Departmental Policy and Annual Budget Speeches the Heads of the Provincial Departments are accountable for the service delivery objectives in their respective Departments. The evaluation consists of measuring progress against the standards of performance derived from the annual budget and/or the programmes linked to the Government plans (Wissink *et al*, 2004: 54). The Heads of Departments hold their managers accountable for the various service delivery areas or specific components of service delivery allocated and entrusted to the managers in their Departments. Mayne & Zupico-Goni (2009:12) stated that with credible performance information available an enhanced public accountability is possible. The individual managers are answerable for non-delivery of services and in reporting on it and if the facts were found to be deliberately distorted it must be addressed and taken in a serious light. The validation and verification of performance information that is submitted in reports are the responsibility of the Departments and more specific the Heads of Departments (*Eastern Cape Provincial Monitoring and Reporting Framework, 2011: 1*).

- The program of action as the central focus of implementation and reporting.

The Provincial Program of Action is the central focus of implementation and reporting in the Province of the Eastern Cape. The ten priorities of the Medium Term Strategic Framework have been adopted by the Eastern Cape Provincial Government and drafted into the Provincial Strategic Framework and this outlines eight Strategic Priorities for the current term of Office of the Government. These priorities serve as a barometer to the Government that the needs of the electorate are maintained and

represent the service delivery issues that need to be monitored and reported on in the Eastern Cape Provincial Government and represent the outcomes, outputs and activities that will be measured in the Monitoring and Evaluation Framework (*Eastern Cape Provincial Monitoring and Reporting Framework, 2011: 22*).

The Premier who is functioning within the Executive Council requires a constant and top level account of the Provincial Government Department's performance against measures such as the Provincial Growth and Development Plan, the 12 National Outcomes, the undertakings in the State of the Province Address and other areas with a national interest in the Province of the Eastern Cape. The Program of Action is planned to be the overarching plan in the Province that brings the important elements of the service delivery targets from all Provincial Departments together in a single and simple to understand format and content (*Eastern Cape Provincial Monitoring and Reporting Framework, 2011: 22*).

The Program of Action is important in the alignment of the service delivery program in a Provincial context and it is the responsibility of the Premier and the Executive Council with the administrative assistance of the Director General (*Eastern Cape Provincial Monitoring and Reporting Framework, 2011: 23*).

2.5.3.5 Provisions determined by the Provincial Legislature

A Government should take specific measures into account when they strive to improve the lives of their citizens (Hanekom *et al*, 1995: 25). The allocation of funding such as grants is done at the discretion of the Legislature Treasury to facilitate the implementation of policy (Cloete, 1998: 68). The Provincial Legislatures have an oversight role regarding the annual budgets of the Provincial Departments.

The annual budget is a sound control instrument available to the Legislature Authority to utilise the Executive Authority and in turn by the Executive Authority over the Administrative Authority (Gildenhuys, 2005: 281). The Legislature is also responsible to approve the annual budgets that are aligned to the programmes of the Government Departments. For approval the Provincial Departments must together with their Annual Performance Plans table in the Provincial Legislatures their annual budgets. The Provincial Legislatures are responsible to approve the annual budgets and Annual Performance Plans of the Government Departments and also have an oversight role to play regarding performance information.

2.5.3.6 Provisions determined by the Provincial Executive Council

Birkland, (2011: 9) defines a policy as a statement by Government of what it intends to do about a public problem. Good governance is conceptualised with the aim to reach the achievement of the most appropriate developmental policies that aim to sustain the development of the communities (Cloete, 2002: 440).

In the event that the Government defines the problems facing them it will then form part of the political decision making agenda of the Government (Barkenbus, 1998: 2). In the process that the Government addresses the problems in the communities they need well defined policies regarding what they intent to do to alleviate the problems experienced (Hanekom *et al*, 1995: 6). The Provincial Executive Council is seen as a structure that commits itself to a course or plan of action by a group of people with the power to carry it out (Dodd & Michelle, 2002: 2). The Provincial Executive Council has the powers to take decisions that must be carried out by the Provincial Government Departments.

In terms of Section 7A(4)(c) of the *Public Service Act* (1994) Executive Authorities determine the reporting requirements of the Heads of Government Institutions, including public entities, to the head of the principal department to enable oversight of the component in respect of policy implementation, performance information, integrated planning, annual budgeting and service delivery. The policies of the Government must throughout be based on the same thought and action by Government (Gildenhuys, 2005:113). The ideal procedure to follow in a democratic community is that both the setting and ranking of objectives should be exercised by the political representatives, which in the Provinces are the Members of the Executive Council responsible for their respective Government Departments. In the event that an objective has been set and made known in the public sector it is referred to as the making of policy (Cloete, 1986: 56). This is normally done by the Members of the Executive Council in the Provincial Government Departments.

2.5.3.7 Departmental provisions for the monitoring of performance information.

2.5.3.7.1 Chief Officials in Provincial Departments and their roles

Reporting on performance information other than financial performance was legislatively established in South Africa in terms of the PFMA Section 40 (3)(a) that requires from Accounting Officers to annually report against predetermined objectives on the performance of the Government Institutions (Roos, 2012: 9). The role of the Chief Officials in the public sphere is the attainment of the maximum utilisation of human and material resources that became more and more recognised (van der Waldt *et al*, 2002:12). The implementation of Government policy is not an easy issue (Majone & Wildavsky, 1995:142). Through their expertise and discretionary power the Chief Officials help to shape public policy that leads to

legislation (Denhardt *et al.* 2009: 59). A growing body of evidence is being accumulated on the management practices and organisational arrangements that lead to higher levels of performance in the Government Institutions (Walker *et al.*, 2010:1) The Chief Officials must interpret the Government policies and implement them and to address the demands in the Government they must constantly be updated on improved managerial practices. The policies in the Provincial Government Departments find expression in the Annual Performance Plans with their performance indicators and targets.

The Chief Officials and other officials are responsible for capturing, collating, inspecting and storing performance information (National Treasury, 2007:13). The public officials and in particular those at the lower levels of supervision are held accountable for adherence to rules and work procedures and not for the promotion of productivity (Mafunisa, 2000: 6).

Section 45 of the *PFMA* details the responsibilities of officials of Government Departments, trading entities and Constitutional Institutions by stating that:

“An official in a Department ... -

- (a) Must ensure that the system of financial management and internal control established for that Department, trading entity or Constitutional Institution is carried out within the area of responsibility of that official;
- (b) Is responsible for the effective, efficient, economical and transparent use of financial and other resources within that official's area of responsibility and
- (c) Must take effective and appropriate steps to prevent, within that official's area of responsibility, any unauthorised expenditure, irregular expenditure and fruitless and wasteful expenditure and any under-collection of revenue due; ...” (*PFMA*: section 45)

In effect the above section of the *PFMA* implies that each Chief Official is responsible for the use of financial resources or other inputs into a specific programme. Section 27(4) of the *PFMA* states that strategic objectives must be submitted for each main division within the budget votes of the respective Government Institutions and the Chief Officials must be held responsible for the outputs within those programmes (*PFMA* section 27(4)). Leaders, both formal and informal are seen as being responsible for the ethical standards that govern the behaviour of subordinates in the public service (Mafunisa, 2000:26). The Chief Officials are responsible for the implementation of the Government programme and supervise their subordinates in the execution of the indicators as planned and budgeted for.

Policy making by Chief Officials can be seen as external and/or internal. The external policies pertain to the broad goals of the Government and are referred to as the major functional areas of public policy (Wissink *et al*, 2004:36). The internal policies guide the internal operations of the Government Institutions. It is important for the Chief Officials to report performance against predetermined objectives by setting performance targets in the budget *ex ante* and then to be monitored during the implementation process and then evaluated *ex post* in the annual report. The public managers should constantly engage in a process of assessing the environment of their respective Government Institutions (Wissink *et al*, 2004: 50). For the monitoring of the performance of the Government Institutions the monitoring system needs to be on-going. The monitoring process should include determining objectives, defining performance measures and performance indicators as well as monitoring progress against performance targets (Guide for the Implementation of Provincial Quarterly Performance Reports, 2011: 20).

The Chief Officials were normally restricted to the implementation of the policies of the Government and the performance indicators. The Chief Officials do not make the final decision in policy making (Wissink *et al*, 2004:37). The formulation of policies can originate from anywhere in a Government Institution (Bates & Eldredge, 1980:21). Officials at all levels are involved in initiating policy and in the field of monitoring and evaluation specific officials are assigned to address these issues. Cloete, (1998:137) stated that some officials are regarded experts in their field of work. They can make meaningful contributions to monitoring and evaluation and the achievement of the Government aims and goals as set in the Annual Performance Plan.

2.6 CONCLUSION

The Constitution of South Africa, 1996 as amended provides the legal framework for the broad functions of the Government Institutions. The monitoring and evaluation of the performance information does not have this same legal framework; however it is covered in the Constitution. The National Legislature drafted the *PFMA* as a legal framework from which it could issue regulations regarding monitoring and evaluation to the Government Institutions and served as the legal framework.

The Ministry of Performance, Monitoring and Evaluation that plays a significant role in the improvement of outcomes in the performance regarding service delivery Government Institutions was established in the Presidency. The Auditor General plays a role by performing an independent audit on performance information and reports on it in the management letter and the audit report.

The National Treasury issued the *Framework for Managing Programme Performance Information* during 2007 which served as the document that the Auditor General performs their audits on. The same National Treasury issued the National Treasury Regulations that stems from the PFMA and is covered by chapter 5 of this act.

The National Treasury Regulations placed an onus on the Accounting Officers of Government Institutions to develop a reporting system on performance information. It (the onus) also spells out the manner in which the annual performance plans must be crafted.

The National Treasury issues annual guidelines for monitoring of performance information to all Government Departments on how to implement quarterly, half yearly and annual reporting on performance information.

Performance information is important in the sense that it provides management a tool to measure whether the Government priorities were met or not. The key concepts such as performance indicators and targets were explained for clarity.

In the Eastern Cape the Office of the Premier issued an Eastern Cape Provincial Monitoring and Evaluation Reporting Framework that is a guiding document to all 12 Provincial Government Departments during 2011. The Departments developed their individual monitoring policies to utilise when monitoring performance information.

The use of theories in Public Administration enables the researcher to gather, select, systematize and explain data. The research study was rooted in the Public Administration.

The Systems Theory can be used to evaluate performance management in the rendering of services and also has a great value to analyse policy. The Systems Theory includes inputs, processes, outputs and impacts with a feedback loop.

In public policy making the focus is on solving problems. Monitoring and evaluation will through a process assess whether the Government Departments addressed the problems by measuring their successes and failures. Monitoring and evaluation collects data and analyses it and produces useful information for decision making by Chief Officials and Political Office Bearers.

The Government Chief Officials must account to the Legislature on how they spent the voted funds and on whether they achieved the set targets of the programmes on which they expended it on. Quality non-financial performance information is essential in the assessment made towards service delivery targets. To ensure sustainable Performance management is also a strategic and integrated approach for institutional successes. The monitoring and evaluation practitioner collects a mass of information and condense it in a manageable collection to enable the researcher to interpret the phenomena.

Public Administration is the system of structures and processes that operates within society as an environment with the objective of facilitating the formulation of Government policies and the efficient execution of the formulated policies. It is also the management of public funds. Public Administration is the organised non-political part of the state. It is also the management of people in the accomplishment of the goals of the state.

Management refers to the completion of work as effective as possible and orderly through systems and with people. It is also the joint effort between two or more

persons to achieve a common goal. Management was also described as the use of managerial techniques to increase the value for money achieved by civil servants in the pursuit of objectives subject to change.

Monitoring and evaluation is part of the controlling function in Public Administration and also part of the policy analytic making in the formation of the policy. The established monitoring controls measure whether the Government Institution is moving in the correct direction and doing the correct things.

In the determining of control measures and standards the work performance of subordinates are checked and accountability demanded in terms of the overall performance of the Government Institution. The work must be carried out according to set standards and in line with policy and procedures.

Monitoring of the performance information is done according to a plan that is controlling that the process was completed. When reaching the standards set out in the annual budget and programmes, it will normally indicate that the objectives were achieved, however monitoring and evaluation will assess whether the intended aims were indeed met.

By exercising control in the monitoring of performance information it is to establish whether work was performed according to set standards. Monitoring is an on-going process where data is collected to measure and evaluate outcomes, outputs and activities. The collection of routine data that measures the progress towards the achievement of the Government objectives is the essence of monitoring.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 INTRODUCTION

The best research results are based on a careful planning of the whole process (Bless & Higson-Smith, 2000:12). Research design is the determination of available research methodologies and criteria related to the identified problem. It is described as the clearly defined structures within which the research study is implemented (Burns & Grove, 2001: 223). The research design can be described as a plan (Thompson, 2013:103) or blue print of the intentions of the researcher to perform the research study (Babbie & Mouton, 2010: 74).

The research study is a collection of methods and methodologies that are applied systematically to produce scientifically based knowledge. Research methodology is the general approach that the researcher takes in carrying out the research project and will dictate to the researcher the specific instruments (Babbie & Mouton, 2010:75). A method is the way to do something in a careful and logical way. A methodology is a set of methods used. Neuman (2006: 2) wrote that social research is a collection of methods people utilised systematically to produce knowledge and that methodology is broader than methods and includes methods. Methods are sets of specific techniques. The questionnaire design is important since it is where the data is generated (Maree, 2012:158). Since it is the main instrument in the collection of data in this research study much attention will be given to the questionnaire design.

The research study should be grounded on well-designed methodologies making use of applicable techniques and scientific principles in the collection of suitable data. When conducting the research study the researcher must endeavour to enter the life world of the respondent and place himself in the place of the respondent (Welman & Kruger, 2001:189). The respondents were selected from a group of Chief Officials that have experience in the field of monitoring and evaluation and the Political Office Bearers.

The purpose of this chapter is to describe and explain the manner in which the research design and methodology for the research study were designed for the execution of the research study. According to the title the purpose of the research study consists of two aims, namely to evaluate firstly the non-financial performance information generated by the Provincial Departments in the Province of the Eastern Cape and secondly to determine the impact of such performance on the provision of services to the citizens. As discussed in the different sections and sub-sections of the chapter and in addition to the introduction and conclusion consist of the following aims

Firstly, the chapter describes and explains the method that was followed to obtain permission from the Director-General in the Office of the Premier of the Eastern Cape Provincial Government to conduct the research study within the Provincial Departments. Secondly, the chapter explains the delimitation of the research study by demarcating its boundaries. Thirdly, the research design of the research study was discussed. Special attention was given to the research study approaches and strategies. Fourthly, the research methodology was explained. Special reference was given to the target population, respondent selection and sample details. A pilot study was conducted to test the questionnaire before it was circulated to the

respondents. Fifthly, the chapter describes and explains the data collection methods used in the research study. Special attention was given to the questionnaire, interview details, and the official document analysis. The interviews were a follow up on matters dealt with in the questionnaire where more detailed information was needed for clarity purposes. The Auditor General produces an annual report on the state of performance information to the Legislature and the information is deemed authoritative for this research study. Sixthly, the data analysis methods were explained. Seventhly, the accuracy, validity and reliability of the research study were discussed. Eighthly, the limitations of the research study were discussed. Lastly, an undertaking to uphold strict ethical behaviour and conduct was provided (Hofstee, 2006: 113).

The permission to conduct the research study within the Provincial Departments was obtained as follows from the Director General in the Office of the Premier.

3.2 PERMISSION TO CONDUCT THE RESEARCH STUDY

Depending on the nature of the questionnaire and the interviews planned and the people to whom it is being sent, there may be a need to gain permission from those in authority to conduct the research study (Denscombe, 2007:166). The official documentation relevant to this research study is in the public domain and no special permission was obtained. In this research study it was deemed appropriate to approach the Director General in the Office of the Premier for written approval before engaging with the respective Provincial Government Departments. It is essential to select research sites that are suitable and feasible where the researcher will conduct the research (Maree, 2012:34). The research study title clearly states that the research study was to be undertaken in all the Provincial Departments in the

Province of the Eastern Cape. Written permission to conduct the research study was sought from the Director-General in the Office of the Premier in Bhisho on the 19th December 2011. Once the researcher identified the research sites permission must be obtained to enter the sites and conduct the research (Maree, 2012:34). The Director-General is the Chief Administrative Official responsible for the management of the Premier's Office, and being Secretary of the Executive Council and in terms of the *Public Service Amendment Act, Act 86 of 1998* the responsible person for intergovernmental relations.

The letter expressly stated the purpose and aims of the research study and provided an undertaking that the researcher will strictly adhere to all phases of the research study and will be in the contact with Political Office Bearers and the Provincial Chief Officials, as well as, adhere to the ethical guidelines and practices as explained in section 3.6 of chapter three. On the 3rd January 2012 written permission to conduct the research study was received from the Office of the Director General. The following condition that the approvals of the respective Heads of the Provincial Departments must also be obtained when conducting the research study was set. (See Appendix 1)

3.3 DELIMITATION OF THE STUDY

The de-limitation is the same as the scope of the research study (Hofstee, 2006:87). It is to fix the limits or boundaries of the research study and consists firstly of the theoretical boundaries. Leedy (1997: 59) stated that by demarcating the research study the researcher aims to make the research study manageable. Monitoring and evaluation is performed at the three spheres of government and in the nine

provinces and for this research study it was confined to the Province of the Eastern Cape and the Provincial Government Departments and specific to their head offices.

Secondly, the de-limitation refers to the physical boundaries of the research study and the place where the research study will be conducted. Maree (2012:34) stated that the researcher must clearly indicate who will be collaborated with, where, when and how. In the research study the officials in the Provincial Government Departments responsible will, in their individual work places be interacted with. The de-limitation explains the extent of matters to be dealt with within a specific geographical area. The scope explains the limits and boundaries of the research study. Scope refers to the breadth of concrete instances to which the theory applies (Bailey, 1982:33, and *Oxford Advanced Learner's Dictionary*, 1995: 308). Hofstee (2006: 87) wrote that the delineations limit the scope of the work, that by stating explicitly what falls inside the boundaries of the research study and avoid possible criticism. The delimiters will serve as a constant checklist and potential shortcomings and possible weaknesses in the research study (Maree, 2012:42).

Thirdly, de-limitation state the time-frame of the research study and the completion date was set for 2015.

The next sub section will deal with the following issues; the theoretical boundaries of the research study, survey area of the research study and the time frame of the research study.

3.3.1 THEORETICAL BOUNDARIES OF THE RESEARCH STUDY

The theoretical boundaries of the research study describe and explain the monitoring and evaluation of non-financial performance of Provincial Departments within Public

Administrative boundaries. Monitoring is seen as a function which, in the control process, is one of six administrative processes. In the effective rendering of Provincial services, it is not only required that each Chief Official knows exactly what is required and expected of him/her, but that each Government Department functions as effectively and efficiently as possible.

The exercising of control is to ensure that work is properly performed according to pre-determined standards and in accordance with the existing policies and procedures. Before control can be exercised it is required that applicable control measures must be determined (Meiring, 2001:164).

Monitoring and evaluation will focus on the implementation of the pre-determined targets as set in the indicators as approved in the annual performance plans on which the Legislature approved the annual budgets of the Provincial Government Departments. The research study will focus on the non-financial performance information of the Provincial Government Departments as measured against the targets set in the indicators reflected in the approved annual performance plans of the Government Departments.

In the next subsection the survey area of the research will be discussed.

3.3.2 SURVEY AREA OF THE RESEARCH

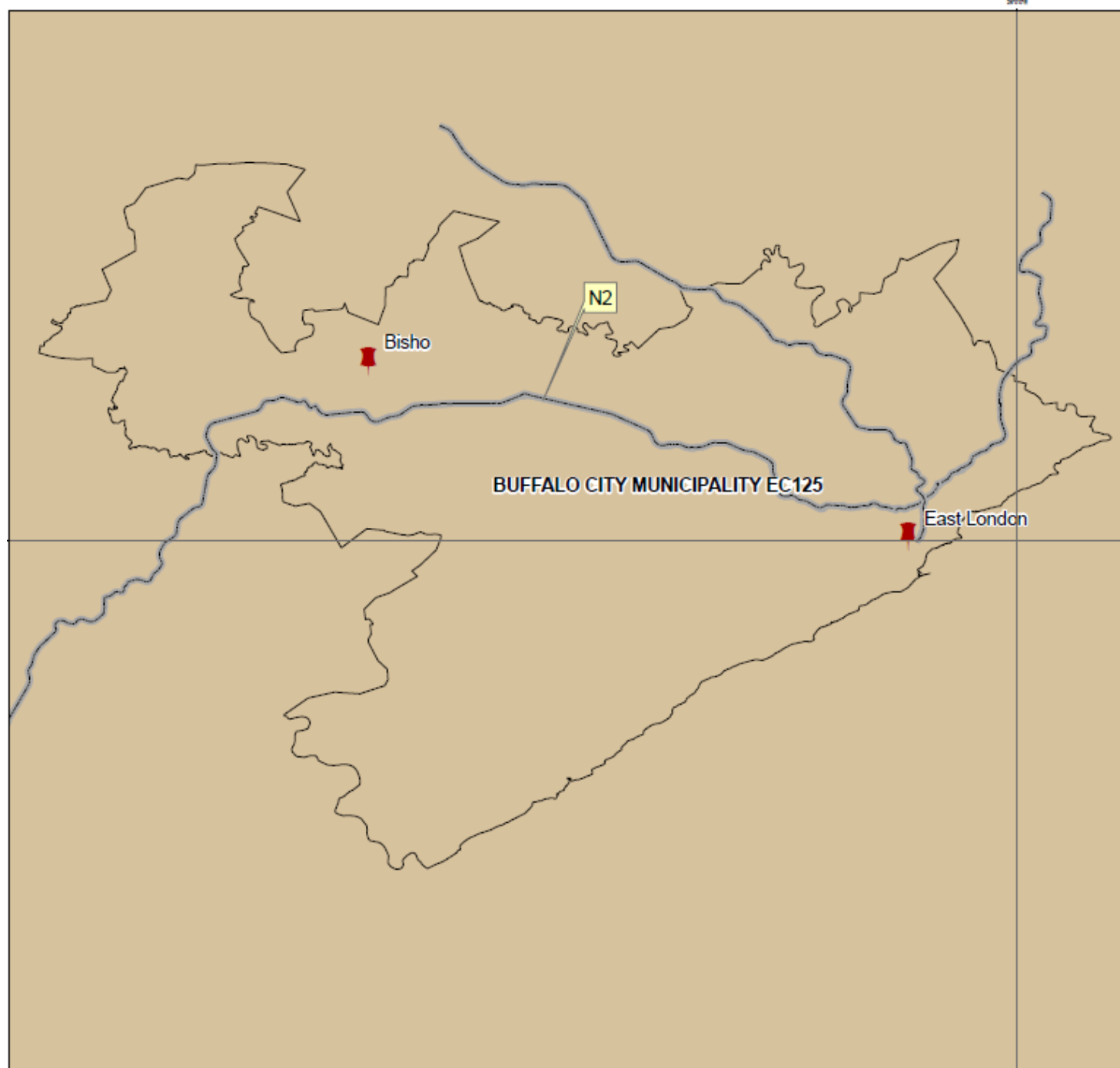
The survey area of the research study is the Provincial Departments in the Province of the Eastern Cape. The Province of the Eastern Cape is one of nine provinces created in 1994, when the new Provincial Government system came into being with a new constitutional dispensation, embodied in the *Constitution of the Republic of South Africa, 1996*, as amended.

The Legislative and Executive Institutions are mostly situated in Bhisho. Some head offices are in East London and others in Zwetlitha that is adjacent to King Williams Town. The Provincial Government has 12 (twelve) Departments that serve the citizens in the Eastern Cape. The research study will be focussed on the head offices of the Provincial Government Departments since most departments also have district offices.

The town of Bhisho is adjacent to the town of King Williams Town and is 65 km from East London and 265 km from Port Elizabeth. Bhisho is the capital of the Province of the Eastern Cape in South Africa. The Provincial Legislature and several Provincial Government Departments are headquartered in the town and in East London. Bhisho is the Xhosa word for buffalo, which is also the name of the river that runs through this town.

The town is part of the Buffalo City Metropolitan Municipality of the Eastern Cape, the urban agglomeration around East London. Bhisho used to be the capital of the former Ciskei homeland Government. When the new Government was elected during 1994 sufficient Government office accommodation and Legislature facilities were available to the current Provincial Government.

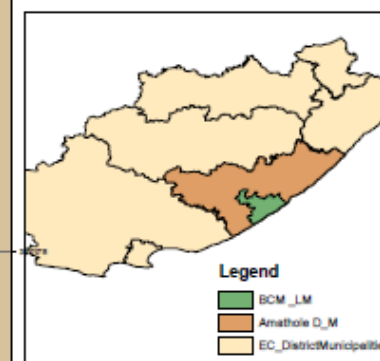
The following map will indicate the location of Bhisho in relation to the Province of the Eastern Cape. The smaller map indicates the described area in relation to the remainder of the Province of the Eastern Cape and the bigger map indicates the described areas in this research study.



BISHO IN RELATION TO EASTERN CAPE

Legend

-  National_road
-  Towns
-  BCM_LM



Legend

-  BCM_LM
-  Amathole D_M
-  EC_DistrictMunicipalities



Reference Scale: 1:0

Coordinate System: GCS Hartebeesthoek 1994
Datum: Hartebeesthoek 1994
Units: Degree



Map produced by:
Nozivatho Matewu
Candidate GIS Professional
040 609 5379

3.3.3 TIME-FRAME OF THE RESEARCH STUDY

The time-frame of the research study was scheduled for the period 1 January 2011 to the end of March 2015.

The research design and methodology used can be described and explained as follows.

3.4 RESEARCH DESIGN AND METHODOLOGY

In the research design the researcher will name and discuss the overall approach that will be used to test the thesis statement (Hofstee, 2006:113). Welman & Kruger (2001: 46) described a research design as a plan in which the researcher selects participants for a research study and then collects information from them. The research design is the process of designing the overarching plan for collecting and the analysis of raw data that includes the specifications for promoting the internal as well as the external validity of the research study (Polit & Hungler, 1993: 445). Welman & Kruger (2001: 52) explained that the research design guides the researcher on how to obtain data about the research phenomenon from the focus group, participants or respondents. In Burns & Grove (2001: 223) research design is defined as the blueprint when conducting a research study that has clearly defined structures within which the research study is implemented.

Research methodology is the entire strategy that range from the identification of the problem until the final stages where the data is gathered and analysed (Burns & Grove, 2001: 223). Research design refers to the researcher's overall plan for obtaining answers to the research questions and for testing the research hypotheses (Polit & Hungler, 1993: 129). As part of the research design the researcher plans how to collect

and record data in order to keep it intact, complete, organised and accessible (Singh, 2007: 82).

Kerlinger (1986:10) wrote that scientific research is a systematic, controlled, empirical and critical investigation of natural phenomena, guided by theory and hypothesis about the presumed relations among such phenomena. In every research project it is important to determine exactly what methods are to be used to collect data and what factors will influence the collection of the data. The research design spells out the strategies and techniques that can be adopted to develop information that is accurate, objective, and interpretable. Hofstee (2006: 120) wrote that the research design provides a theoretical background to the methods to be used in the research study. A research design is the basic plan which guides the data collection and analysis phases of the research study. It provides the framework which specifies the types of data to be collected, the sources of data and the data relevant to the research study.

The research design of this research study is evaluative in nature. According to Popenoe (1995: 20) this common kind of applied research study involves assessing the effects and impacts of a project or programme and seeks to come to some conclusion (Hofstee, 2006:126). Two types of empirical studies were used, namely a descriptive study to find out the “what is happening to whom, where and when” and an explanatory study to answer the questions “Why?” and ‘How?’ (Popenoe, 1995: 28). The research design provides a theoretical background to the methods to be used in the research study.

It can be deduced that a research design is a plan with which the researcher approaches participants and collects from them information for the research study. It guides the researcher on how to obtain the data and serves as a blue-print when conducting a research study with strategies and techniques to develop information that is accurate, objective and interpretable.

This sub section will deal with the following issues; Research Study Approaches, Research Study Strategies and Data Collection Instruments.

The following Research Study Approaches were used in the research study.

3.4.1 RESEARCH STUDY APPROACHES

Mouton (2001:55) described research study as a plan or blueprint of how the researcher to conduct the research. Welman & Kruger (2001: 2) stated that in an endeavour to create scientifically obtained knowledge by using objectives, methods and procedures research study involves the use of numerous methods and techniques. The important issue regarding data collection is to account on how the data was created and acquired (King *et al*, 1994: 51). Three types of research approaches can be used in the research study, namely a Quantitative, Qualitative and Triangulation Research Study Approach. With the purpose to bring about objectivity and also make provision for the use of statistical analysis specific methods of collecting, analysing and reporting data need to be identified and standardised (Leedy & Ormrod, 2005: 96).

This sub section was further sub divided to cover the following areas; quantitative, qualitative and triangulation research study approaches.

The Quantitative Research Study Approach will now be dealt with.

3.4.1.1 Quantitative research study approach

This research study approach employs a range of methods which makes use of measurements to record and investigate aspects of social reality (Bless & Higson-Smith, 2000:156). Quantitative research study is a systematic investigation of quantitative properties and phenomena and their relationships. The purpose of a quantitative research study is to evaluate objective data consisting of numbers (Welman, Kruger, & Mitchell, 2005: 80). Quantitative research study is that approach that aims to draft laws applicable to populations and can provide an explanation to the causes of objectively observable and measurable behaviour (Welman & Kruger, 2001: 7). Quantitative research study requires that the data collected be expressed in numbers. It can be quantified and various factors will influence it.

The methods used to conduct a quantitative research study are exploratory, descriptive and experimental (Struwig & Stead, 2004: 41). In this research study quantitative methods were designed to study variables that can be measured in numbers. The quantitative research study makes use of a linear path and is more inclined to utilise explicit, standardised procedures (Neuman, 2006:154). Questionnaires as a research method were designed and used to systematically question the respondents. Quantitative methods relate to analytical research (Brynard & Hanekom, 2006: 29). Variables such as age, sex, office, years' service, home language, and academic qualifications were used to obtain demographic information of the respondents.

In the next section the Qualitative Research Study Approach will be dealt with.

3.4.1.2 Qualitative Research Study Approach

Qualitative research study reflects approaches on knowledge production. Brynard & Hanekom (2006: 29) described qualitative methods in research study as producing descriptive data and in general terms it refers to the people's own written or spoken words. Qualitative research study concentrates on words and observations to express reality and attempts to describe people in their natural situations (van Schalkwyk, 2000: 39). Anderson & Arsenhault (1998:119) agreed with the type of enquiry that explores phenomena in their natural settings and adds that it uses multiple methods to interpret, understand, explain and bring meaning to them.

This research study approach is defined as a study of phenomena employing a general description that describes or explains (Mark, 1996: 210). This type of research study commonly uses qualitative data. This research approach emphasises the dynamic, holistic and individual issues of the experiences of persons and endeavours to capture those experiences as a whole and in the context of the persons that experienced them (Polit & Beck, 2004:16). It is a commitment to seeing the world from the point of view of the participant (Brynard & Hanekom, 2006: 29). A quantitative research is likely to choose concepts or to even create words in such a manner that not more than a single meaning can be attached to the word being chosen (Mouton & Marais, 1999:160)

The qualitative research study approach makes the richness and depth of the description that was gained a unique appreciation of the reality of the experience (Munhall, 2001:106). Qualitative data refers to any information that the researcher gathers that is **not** expressed in numbers (Tesch, 1992: 55, Punch, 2005:20 and

Bulmer, 1984: 54). When employing the qualitative analyses the researcher extracts meaning from the data in a systematic, comprehensive and rigorous manner (Henning *et al*, 2004:127). The strength of a qualitative research is that it cannot be replicated (Cohen *et al*, 2001:179). Another aspect of qualitative research is that it normally focuses on a small scale of participants (Brynard & Hanekom, 2006: 54). Since a relatively small scale of participants was approached this method was useful in the research study conducted.

Qualitative data includes information such as words, pictures, drawings, paintings, photographs and films. This approach also includes that reality could be expressed in the form of words, images, gestures or impressions seen by participants or experienced in real life situations (Leedy & Ormrod, 2005:100). The qualitative research study approach takes into consideration that what is studied has many dimensions and layers and attempts to consider it in a multifaceted form (Denzin & Lincoln, 1998: 8). Since the individuals hold multiple perspectives and these viewpoints have equal truth and validity of the occurrence that happen and the qualitative data does not have a single exclusive truth (Creswell, 1998:17). The qualitative research focuses on the real life experiences of the participants (Brynard & Hanekom, 2006: 37). in line with the purpose to make sense or to interpret phenomena the qualitative research study observes things in their natural environment and with the meanings persons attach to them (Denzin & Lincoln, 1998: 2).

Qualitative research study is a "... form of enquiry that explores phenomena in their natural settings and uses multiple methods to interpret, explain and bring meaning to them" (Anderson & Arsenhault, 1998:119). In this research study project qualitative

research enables the researcher to investigate the “Why” and “How” of non-financial monitoring in Provincial Departments.

Qualitative research does not demand numerical or statistical data in the same manner as quantitative research does. Stoner (1982: 202) wrote that quantitative methods are used when there is sufficient “hard” or statistical data to specify relationships between key variables. Qualitative methods are appropriate when “hard” or statistical data are scarce or difficult to use.

In the next section the Triangulation Research Approach will be dealt with.

3.4.1.3 Triangulation Research Approach

The triangulation research study includes and uses both quantitative and qualitative data (de Vos *et al*, 2005: 366). The main advantage of utilising triangulation is that it allows the researcher greater confidence in the research study findings (Clarke & Dawson, 2004: 88). It is the process where multiple views are used to clarify the meaning as well as to verify repeatability of an observation (Stake 1995:96). The need existed in this research study to use both the Quantitative and Qualitative Approaches. In this regard de Vos *et al.*, (2005: 81) wrote that “... there is general agreement amongst most authors that human science in reality employs both qualitative and quantitative methodology ... sometimes consciously, sometimes unconsciously”. This approach was also used in this research study because both Quantitative and Qualitative Approaches serve the purpose of the research study in its entirety. The Triangulation Approach was used because;

- To measure overt behaviour peculiar in the non-financial performance monitoring of Provincial Departments Quantity methodologies are appropriate;
- The Quantitative approach is effective in measuring descriptive aspects of the research study;
- Reliability and validity may be determined more objectively than the qualitative methods; and
- Quantitative methodologies allow comparison and replication of research findings

It can be deduced that the three types of research study approaches were utilised to gather information relevant to this research study. In the event that numbers were required the questions were quantitative and in the event that collected information was that was **not** expressed in numbers and words were used in the Qualitative Research Study Approach were employed. In specific instances where both numbers and narrative information were required the Triangulation Research Approach was utilised.

3.4.2 RESEARCH STUDY STRATEGY

The Research Study Strategy for this research study was a questionnaire aimed at Chief Officials in the Provincial Government Departments and Members of the Executive Council in the Provincial Government. On specific issues that arose from the questionnaires follow-up interviews were conducted with selected participants. For relevant information official documents from the Provincial Departments were also consulted, such as the annual reports that were submitted at the year end to the Provincial Legislature.

3.4.3 DATA COLLECTION INSTRUMENTS

Anything that the researcher will use to get the analysed data is the research instrument (Hofstee, 2006:115). To complete the research study the data required can be divided into two groups, namely primary and secondary data. The main purpose in selecting a method or research technique is to collect data that will help to provide answers (Clarke & Dawson, 2004:67) on issues related to research study. The researcher must design or choose a method that is the most appropriate for the research study (Hofstee, 2006:107). Burns & Grove (2001:49) describe data collection as the precise systematic collection of data relevant to specific objectives or questions. The research study method simply means a research study technique or instrument used to gather data (Bailey, 1994:32). Questionnaires rely on written information supplied directly by respondents to questions asked by the researcher (Denscombe, 2007:164). Randolph (2008:74) stated that questionnaires are ideal when the research study is meant to have breadth rather than depth.

In the research study primary data will have reference to new information collected in the research study process for this research study and the secondary data will refer to the information that was published (McNabb, 2004:90). Primary data are especially collected for a specific purpose in order to obtain the exact information needed. In the collection of primary data the use of research study instruments such as questionnaires and interview schedules that have been constructed for the purposes of the research study are involved (Clarke & Dawson, 2004:66). Primary data for purposes to address a specific problem and the purpose of the research study are collected.

During the research study both questionnaires that could be completed by the respondents and face-to-face interviews were used, with the result that the questionnaires were completed independently and with the interviews the researcher was present (McLaughlin, 2007:35). The measuring instruments are independent from the researcher and they can be utilised to describe all reality issues in full (Burrell & Morgan, 1979:20).

The following primary sources which provide new information in this research study were used:

- Questionnaires mean an instrument of data collection that consists of a standardized series of questions that relate to the research study topic to be completed in writing by the selected participants (Neuman, 2006:268). The questions were on a topic and of a kind which the respondents were willing to participate in (Denscombe, 2007:172) and
- Interviews, where the interviewer has a general plan on the questions to pose to the selected respondent without having it drafted in specific words or in a specific order (Babbie & Mouton, 2010:289). The interview is a process where a verbal interaction takes place between the researcher and the respondents (Goddard & Melville, 2001:49). The researcher has a general interview plan and engages verbally with the selected respondents.

Secondary data refers to existing and available data that was collected for purposes other than the current investigation or research study. Secondary data refers to those data collected by other researchers, institutions or Government Departments for their

own purpose (Clarke & Dawson, 2004:67). A literature study of available secondary texts such as published books and journals in the field of Public Administration, Management, Economic Sciences, Sociology, and Statistics were used. The collection of data is a series of activities interrelated with the purpose of gathering information to provide answers to research questions (Creswell, 2003:110). In addition legislation, dictionaries, public documents, articles were also used in the research study. Singh (2007:81) stated that the researcher should collect all secondary information from the records, registers and documents available at the respective offices or individuals. Both primary and secondary data can come in quantitative or qualitative formats (Clarke & Dawson, 2004:67). Randolph (2008:74) stated that questionnaires are ideal when data is needed to be collected from many people and when the questions asked are clearly defined.

Denscombe (2007:163) specified the following criteria for when it is feasible to use a questionnaire:

- With the use of respondents in a number of locations;
- When what is being required tends to be fairly straight forward information;
- When the social climate is open enough to allow full and honest answers;
- When there is a need for a standardised data from identical questions and
- When the selected respondents can be expected to be able to react and understand the questions.

This sub section was divided to cover the following areas; questionnaire details, interview details, official documentation analysis, pilot testing and respondent selection.

3.4.3.1 Questionnaire details

The basic objective of a questionnaire is to collect facts and opinions about a specific phenomenon from people who are conversant with the particular issues (Delport, 2005:166) covered in the questionnaire. A questionnaire is designed to collect information which can be used as data for analysis (Denscombe, 2007:162). In social studies Welman & Kruger (2001:148) referred to questionnaires where it is for instance used to measure opinions, attitudes and scores. For a quantitative research study, the primary data collection instrument is the questionnaire (Schiffman & Kanuk, 1997:35). Randolph (2008:74) stated that the questionnaires have advantages such as that they are good for collecting basic descriptive data, they are inexpensive and that data generated from them can be transcribed into statistical software. Punch (2005:74) stated that the questionnaire is usually easily and rapidly administered and cost relatively little and agrees with the statement made by Randolph (2008:74) on it being cost effective.

A questionnaire can be described as a method of collecting primary data where lists of pre-structured and pre-tested questions are given to a chosen sample of respondents to elicit reliable responses (Collis & Hussey, 2003:173). It is an instrument with a structured sequence of questions designed to draw out facts and opinions from respondents. The questionnaire is a form of structured interviewing where all respondents are asked the same questions and afforded the same options while answering the questions (Hofstee, 2006:132). Anderson (2010:31) stated that the questions must be properly framed to elicit the needed information. The researcher has the benefit to decide on the size of the questionnaire (Denscombe, 2007:173).

A questionnaire in which respondents are asked to complete a series of standardised assessment schedules imposes a structure on the data at the point of collection (Clarke & Dawson, 2004:67). A questionnaire consists of a written list of questions (Denscombe, 2007:162). The questionnaire needs the questions numbered in sequence, the answers with their appropriate boxes and the coding column (Bath, 2004:40).

It is a manner to elicit information directly from person(s) who are presumed to have the information and is a methodological approach and technique of data collection in which the research study respondents describe their own behaviour or state of mind (Hofstee, 2006:132). Denscombe (2002:31) described research questions as specifying exactly what is to be investigated by the research study.

The questionnaires used in this research study were self-completion and were to be distributed and collected by hand, to the respondents to complete it in their own time and environment. The pre-determined nature of response categories can afford respondents little opportunity to express their individual opinions (Clarke & Dawson, 2004:67). In an effort to make provision for this limitation specific questions were designed in such a manner that the respondents could express their own opinions on certain matters and some questions asked for the opinions of the respondents and other questions invited comments on why a specific question was answered in a specific manner. One questionnaire which was distributed to 30 provincial officials and 10 politicians was used in the research study (See sub-section 3.4.3.3.4 below for the sample frame). However, designing the questions is only part of the process of constructing a questionnaire. It is important that the respondents are instructed on how

to go about answering the questions (Denscombe, 2007:168). The questionnaire provides examples on how the respondents should complete the questions. Punch (2005:19) stated that different questions require different method to answer them and the manner in which the question is asked has implications for what needs to be done.

The setting of questions must meet specific requirements that can be discussed as follows. The questionnaire needs to be crisp and concise just asking those questions which are crucial to the research study. To all participants the words used had the same meaning (Miller & Salkind, 2002:302). At the beginning of the questionnaire some of the key words were explained. In this research study the following ethical guidelines and practices will be strictly adhered to and the respondents will be duly informed. The use of leading questions was avoided (Denscombe, 2007:172). The researcher utilised different types of questions and interchangeable answering styles (Bath, 2004:39). The words utilised in the questionnaire were completely unambiguous (Denscombe, 2007:173) and (Miller & Salkind, 2002:309) added that the questions should not be long to achieve it not being ambiguous. The researcher considered the order in which the questions were presented to the respondents (Brace, 2008:40). When asking the questions the Systems Approach was followed. Vague questions were avoided (Denscombe, 2007:173). The use of sufficient options to answer the questions was included by using the Likert scale of questions (Denscombe, 2007:173) in specific questions.

3.4.3.1.1 Questionnaire question details

Punch (2005:22) referred to the structure of the questionnaire as what the different parts of the research study are, how they connect with each other, what will be done in the research and also in what sequence. Randolph (2008:75) stated that the term questionnaire connotes that the questions will be administered in writing (Thompson, 2013:52).

The questionnaire should speak for itself, by its title and what else is written on the face sheet as well as the nature and organisation of the questions and their purpose should be obvious (Bath, 2004:38). The basis of a statistical analysis will be the data obtained from the questions. Generally respondents are not given an opportunity to explain the reasons for their choice or qualify their responses (Clarke & Dawson, 2004:70). In this questionnaire sufficient opportunities were created for the respondents to air their views and to provide general comments or suggestions for clarity purposes. The questionnaires consisted of specific sections, each dealing with relevant questions. Each person answering the questionnaire reads an identical set of questions (Denscombe, 2007:162). Punch (2005:6) referred to the development of specific research study questions to a point where they are stable and connecting them to the design, data collection and data analysis parts of the research study. Asking the questions in the same manner to different people was the key to the research study (Brace, 2008:4). The questions were clearly designed; straight forward and jargon free (Clarke & Dawson, 2004:70). Double barrelled questions, where one answer included two issues were avoided (Bell, 1993:81) and (Clarke & Dawson, 2004:71) agreed with this statement. Double negative questions were avoided (Maree, 2012:160). Open-

ended and close-ended questions were used in the questionnaire. Close ended questions required a response from the respondents that required a simple yes or no (Clarke & Dawson, 2004:70). The open ended questions leave the respondent to decide the wording of the answer, its length and what matters to rise and the style of questions was drafted to suit the target group (Denscombe, 2007:174). Singh (2007:69) referred to open ended questions as not having pre-coded options.

Open-ended and close-ended questions are examples of the use of self-report methods. Open-ended questions do not restrict the respondent's answers to pre-established alternatives. The respondent selects one or more of the specific categories provided by the researcher. Close-ended questions, which are a type of survey research questions in which the respondents choose from a fixed set of answers. The respondent may be asked to indicate how strongly they agree or disagree with a statement in a number of ways (Clarke & Dawson, 2004:70). These questions are structured and the respondent can be asked to provide reasons for their answers.

The questionnaire simply put the open-ended questions which will leave space for free answers from the respondents (Bailey, 1982:123, and Polit & Hungler, 1993: 442). In open-ended questions the respondents are allowed to provide a free-form answer (Randolph 2008:75). Furthermore, structured, unstructured or semi-structured questions can be used in the questionnaire and in an in-person interview. Structured (close-ended) questions ask all respondents the same questions and give them the same options in answering. Randolph (2008:74) stated that in closed ended questions the respondents are asked to select from a set of fixed responses. Unstructured questions (open-ended) ask different questions of respondents and allow the respondents to

answer as they see fit. Semi-structured questions allowed for digression from a set format, either in question or the answer, depending on the circumstances (Hofstee, 2006:132). Both structured and unstructured questions were used in the questionnaires.

The respondents received the same set of questions in a similar fashion making the questionnaire more reliable than for instance interviews (McBurney, 2001:200). The researcher paid careful attention to the crafting of the questions (Clarke & Dawson, 2004:70). Randolph (2008:74) stated that in the closed ended questions the respondents are requested to select from a set of fixed responses. In each questionnaire questions were scaled by using a simple category scale (also known as a dichotomous scale) for all “Yes” and “No” questions. The researcher avoided to ask questions that let the respondents answer in the neutral in the manner that the questions were designed (Hofstee, 2006:134). For “Agree” and “Disagree” questions, which were the majority of the questions, a summated scale (the five point scale) was used. A scale is described and explained as “(a) class of quantitative data measures often used in survey research that captures the intensity, direction, level or propensity of a variable construct along a continuum” (Neuman, 2006:207).

The type of summated scale that was used in this research study is the Likert scaling where the respondents were asked to respond to five items in terms of several degrees of agreement or disagreement, for example strongly disagree; disagree; neutral; agree; strongly agree (Bailey, 1982:365 and Randolph, 2008:75). Randolph (2008:74) referred to the Likert scale in the questionnaire where the respondents select one response in a ranked series of responses. The language appropriate to the target group was utilised (Clarke & Dawson, 2004:70 and Maree, 2012:160). Key words were defined for clarity

and the common language utilised in the monitoring and evaluation field was employed. The information in the questionnaire fell into two broad categories namely facts and opinions and the researcher mixed it to have a balance (Denscombe, 2007:164).

The questionnaire questions were grouped Hofstee (2006:85) into five sections, which comprised fifty questions in total. These questions were designed for both the Political Office Bearers in the Eastern Cape Executive Council and the Chief Officials of the Provincial Departments and in the Office of the Premier. (See section 3.4.3.3.4 for the sample frame). The research questions are used to name what the research study attempts to find out from the respondents (Hofstee, 2006:85). Dichotomous which means a two-way questions were asked in the sense that the dichotomy refers to a yes or no answers (Thompson, 2013:208).

The questions included the following:

In the questionnaire section one dealt with, clarity purposes, an explanation of specific words and terms dealt with.

Section two dealt with the instructions on how to complete the questionnaire with some examples on how to complete the questionnaire. The questionnaires must include information on why the respondent should answer with the purpose, name and contact details of the researcher and information on how to complete the questionnaire (Hofstee, 2006:133).

Section three dealt with questions about the demographical (personal) details of the respondents. (Quantitative questions)

Section four dealt with specific qualitative questions by using the Systems Theory Approach. So as not to confuse the respondents the questionnaire must be kept consistent (Hofstee, 2006:133).

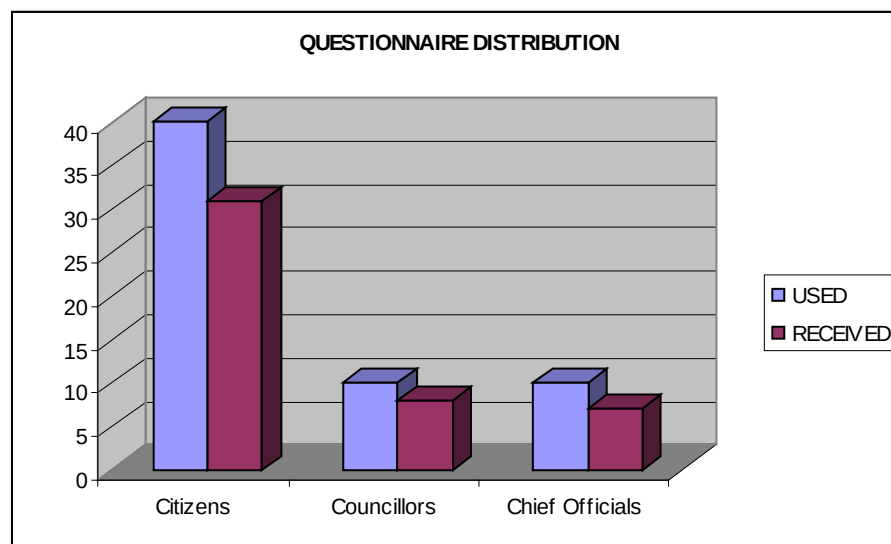
(See Chapter 1, section 1.6). This section of the questionnaire stated the main questions to be dealt with and the following sub-sections emanated from it:

- Nature and importance of non-financial performance evaluation of Provincial Departments. (Input phase);
- Role of Political Office Bearers and Chief Officials in non-performance evaluations of Provincial Departments (Input phase continued);
- Problems being experienced in the monitoring and evaluation of non-financial performance of Provincial Departments (Input phase continued);
- Requirements for effective monitoring and evaluation of non-financial performance of Provincial Departments (Processing phase);
- Evaluation of applicable legislative measures and departmental policies for the monitoring and evaluation of non-financial performance of Provincial Departments (Processing phase continued);
- Evaluation of control arrangements for the monitoring and evaluation of non-financial performance of Provincial Departments (Processing phase continued);
- Evaluation of monitoring and evaluation of non-financial performance as processes and procedures (Output phase) and
- Impact of outcomes of monitoring and evaluation of non-financial performance of provincial service provision (Impact phase).

It is also important to obtain a valid response rate from the respondents. Dawson, (2002:97) wrote that the response rate of the respondents are the manner in which the respondents returned the completed questionnaire to the researcher.

Figure 4.1 provides the questionnaire statistical details and response rate for the research study.

Figure: 4.1 QUESTIONNAIRE DETAILS



One of the limitations of questionnaires is the low response rate (Robson, 2002:128). A failure to get a valid response from every sampled respondent would weaken a survey (Newman, 2006:295). However, Babbie, (2005:165) wrote that a response figure of at least 50% should be sufficient for analysis of the questionnaires, but with a figure of 60.0% can be seen as “good” and 70% as “very good”. Thirty questionnaires were distributed to the Provincial Chief Officials and twenty three (76.0%) were received back and 10 questionnaires were distributed to the Political Office Bearers and 5 (50%) were received back. An average response rate of 70% was achieved, which can be seen as

very good. The researcher designed an easy to use, well-designed and attractive questionnaire and by making the questionnaire easy to complete will increase the response rate (Miller & Salkind, 2002:305..

In addition to questionnaires, interviews can be used as a data collection instrument. Interviews can be discussed as follows.

3.4.3.2 Interview details

The questionnaire has the disadvantage that the researcher does not interact with the respondents or interact with them (Hofstee, 2006:85). The interview is a personal contact in the home or office of the respondent (Miller & Salkind, 2002:309). The interview will overcome this shortcoming. In a personal interview an interviewer asks one or more respondents questions on a given subject. The questions may be structured and/or unstructured. The interview questions are about getting the information that you need and the questions were prepared before the interview and were ready to engage with the respondents (Hofstee, 2006:135). An interview is a discussion with a respondent in which the researcher plans to get information from the respondents which can include facts, opinions, attitudes or any combination of these (Thompson, 2013:194). The information collected during the interview is more likely to be correct since the researcher can clear possible inaccurate responses by explaining the questions to the interviewee (Miller & Salkind, 2002:310). Such in-person interviews which can be for academic purposes, is also a method of data collection. Interviews are conducted either face-to-face, by telephone or computer. Interviews are a useful method for the collection of qualitative data (Hofstee, 2006:132). Cohen *et al*, (2001:24)

wrote that the interview is a two person conversation initiated by the interviewer for the specific purpose of obtaining relevant research information, and focused by the interviewer on content, specific by research objectives of systematic description, prediction or explanation. Randolph (2008:78) stated that the interview allows for a face to face contact and enables the researcher to follow up on unclear or ambiguous answers and gain access to information that a respondent would not reveal on paper. The questions were structured in such a manner that all interviewees were asked the same questions (Hofstee, 2006:135). Since most people are willing to assist the response rate of interviews is high (Miller & Salkind, 2002:310).

It can be deduced that the interview can be used to ask a selected number of respondents of the questionnaire structured questions for clarity purposes.

In this research study selected Chief Officials were interviewed in their respective offices during July 2015, to obtain information on performance information data and to get clarity on unclear matters mentioned in the questionnaire. In total four interviews were conducted.

3.4.3.3 Official documentation analysis

The monitoring and evaluation functions are prescribed by the *PFMA* in chapter two and were delegated to the Minister of Finance who issued Financial Regulations in terms of the same act. The government documents and publications are regarded as primary sources for researchers (Thomas, 2013:58). The Government publications are deemed to be authoritative, objective and factual (Denscombe, 2007:236).

The National Treasury staff issued circulars on the methods and procedures regarding the quarterly and annual reports that all Government Departments must follow. In terms of pre-determined objectives the Provincial Departments compiled quarterly reports on the performance information and at the year-end compiled annual reports. The research study of the official documents has the following advantages, easy access to data, cost effectiveness and the data is permanent (Denscombe, 2007:253).

In the research study the annual reports of the 12 Provincial Government Departments served as official documents and were assessed against the Treasury Guidelines and Frameworks as set out by National Treasury. The annual report on the outcomes of the Auditor General regarding the performance information was used as official information.

The relevant Treasury Guidelines and circulars served as official documents for purposes of this Research Study. The annual report provided for a section on the reporting in terms of the pre-determined targets in the performance indicators and the methods utilised as well as display of the annual reports were assessed and analysed in terms of the Treasury Guidelines.

3.4.3.4 Pilot study (Pre-testing)

Once the questionnaire was constructed a pilot test was conducted (Clarke & Dawson, 2004:70). With the aim to, at little costs effect modifications a pilot study was done with the aim to effect modifications before embarking on the main research (Singh 2007:103 and Babbie & Mouton, 2010:244). De Vos *et al* (2005:211) described a pilot study as the process whereby the research design for a prospective survey is tested. Brink (2006:60) described a pilot study as a small scale version of the major research study.

Piloting a questionnaire or to schedule an interview is an important part of data collection and the research study process. The launch of a pilot study is a small scale version or a trail run of the bigger research study (Brink, 2006:60). By piloting is meant testing the questionnaire and the scheduled interview on a small number of the respondents to identify and eliminate possible problems. The pilot research study is a means of learning what works and what does not work (Kusek & Rist, 2004:86).

To be satisfied that the data collecting instruments will perform its various functions in the interview situation and that the data collected will be relevant and accurate piloting is essential for this research study (Harvey & MacDonald, 1993:125, and Churchill, 1998:250). Polit & Hungler (1993:442) explained a pilot study as “(a) small scale version, or trial run, done in preparation for a major research study. The data collection approach by issuing a questionnaire needs to be tested to find out how good it is (Kusek & Rist, 2004:112).

In this research study an initial pilot study of two randomly selected Chief Officials were used to test the correctness of the questionnaires. The results of the pilot study allowed each question to be analysed and corrected if unclear and its significance towards appraising the research problem. The reason to pilot this questionnaire was to increase the reliability, validity and practicability (Cohen *et al*, 2001:252).

The pilot study revealed that there was some vague and ambiguous wording of the questionnaire. Those items were deleted and corrected and did not form part of the final questionnaire. The pre-testing also showed that the respondents were keen to complete the questionnaire because; it dealt with an important aspect of provincial controlling and

the monitoring of non-financial performance. Apart from clarity problems no serious problems were experienced. The pilot testing was done at no additional cost and the issues raised by the respondents served as valuable information to improve on the final questionnaire. Some spelling mistakes were identified and corrected and unclear questions were re-worded.

3.4.3.5 Respondent selection.

Before engaging with the respondents their rationality and intentions cannot be expected (Henning *et al*, 2004:127). For a clear understanding of the respondents to be used in a research study, a distinction should be made between two concepts namely population and sample. Welman & Kruger (2001:119) described a target population as the group to which the researcher ideally wants to generalise their results. The style of questions was drafted to suit the target group (Denscombe, 2007:172). The sample is a subset of the population (Maree, 2012:147). The subset of selected respondents were at Chief Official level and they all had exposure to performance information and were in a position to understand the questionnaire and make due valuable contributions due to their practical experience in the field of monitoring and evaluation.

The respondent selection was further divided under the following topics, population explained, sample details, sample selection procedure and methods and sample size.

3.4.3.5.1 Population explained

The population selected for the research study should be those, to whom the research question applies (Terreblance & Durrheim, 2002:71). Singh (2007:16) referred to a population as a specific group of individuals, objects or items among which samples are

taken for measurement (Maree, 2012:147). By population is meant the entire set of individuals (or objects) having some common characteristic. Wayne & Stuart (2006:34) and Goddard & Melville (2001:29) described population as any group that is a subject of the research interest. The whole set of objects or group under consideration included in the research study and about which the researcher wants to determine some characteristics is called the population or the universe (Bless & Higson-Smith, 2000:95). Population by definition is the aggregate or the totality of a group that conform to a set of specifications (Polit & Beck, 2004:50). Babbie & Mouton (2010:109) described a population for a research study as that group about whom we want to draw conclusions. In this research study the group will consist of Members of the Executive Council (MECs) and Chief Officials in the Provincial Departments in the Eastern Cape.

Brynard & Hanekom (2006:43) wrote that the population refers to objects, subjects, phenomena, cases, events and activities, which the researcher would like to study to identify data. Population is described as "... a group of potential participants or cases from which the researcher draws a sample and to which results from the sample are generalized (Neuman, 2006:224 and Salkind, 1997:96).

The entire population for this research study can for example be all the members of the Provincial Legislature, all the Political Office Bearers in the Provincial Executive Council, all the Provincial Officials and all the citizens in the Province of the Eastern Cape. Brynard & Hanekom (2006:47) explained that the population relevant to a particular project can be so large that it would take several years to complete the research. It then follows that the entire population for the scope of this research study is far too big. The population is the set of elements the researcher focuses on and to which the obtained

results should be generalised (Bless & Higson- Smith, 2000:85). A population is described as a group of individuals who possess specific characteristics, from which a sample is being drawn (Singh, 2007:8).

Neuman (2006:224) wrote that a target population is required to study a target group of persons. Neuman, (2006: 224) also wrote that a target population is “(t)he concretely specific large group of many cases from which the researcher draws a sample and to which results from a sample are generalized.” The target group for this research study are the Political Office Bearers that is the Members of the Executive Council and the Provincial Chief Officials. However, even the target population can be too big to make a meaningful and objective study for the purpose of a dissertation.

It can be deduced that small sample sizes from the population should be used. These small samples that are a cross-section of the entire population may help save time and cost as it may be impossible to cover the whole population.

3.4.3.5.2 Sample details

Singh (2007:102) defined sampling as the process or technique of selecting a suitable sample, representative of the population from which it is taken. A sample consists of individuals selected from a large group of persons (Mcmillan & Schumacher, 1993:159). Because of the large size of populations, it may be either impractical or impossible to produce statistics based on all members of the population. Babbie & Mouton (2010:164) stated that a portion of a population known as a sample must be selected to participate in the research study. A sample as a subset of the population was selected (Polit & Beck, 2004:731). In this research study the sample refers to the group of people that the

researcher studies in the research study (Langdridge & Hagger-Johnson, 2013:37). The benefits of using a sample is to save costs and time (Bergman, 2008:70) It is not always possible to include everyone concerned in researching a phenomenon (Mulder, 1982:57). Under such circumstances a sample is selected. Polit & Hungler (1993:445) wrote that a sample is a subset Clarke & Cooke, (1994:33) of a population selected to participate in a research study and that sampling is the process of selecting a portion of such population to represent the entire population. A sample always implies the simultaneous existence of a larger population of which the sample is a smaller section or a set of individuals that are selected from a target population (De Vos, *et.al.* 2005:193). Polit & Hungler (1993: 184) wrote that “(t)he larger the sample, the more representative of the population it is likely to be.” It is clear that data are generally collected from a sample rather than from an entire population. It is not only less costly but also more practical.

A method can be described as “a route that leads to a goal” (Kvale, 1996:4 quoted in Henning, 2004:70). A method deals with a task comprising one step of a procedure and specifies how this one step is to be performed (Koontz & O'Donnell, 1968:87). A method is more limited in scope than a procedure. Various methods of obtaining a sample are available. However, the adequacy of a method is assessed by the representativeness of the selected sample.

The sample details for this research were the Chief Officials and Members of the Executive Authorities in the Provincial Government Departments. The Chief Officials needed a subset and those involved in the monitoring of performance information was

selected due to their knowledge of the field and the contributions that they could make to this research study.

3.4.3.5.3 Sampling selection procedure and methods

The sampling selection requires participants who are knowledgeable about the topic under discussion because of their involvement and experience within the process (Brink, 2006:11). Sampling theory distinguishes between probability and non-probability sampling methods (Bailey, 1982:91). Purposive sampling is where in the selection of the participants they will be selected due to their knowledge of the topic on hand and also their involvement and experience of the situation or field (Brink, 2006:141). Furthermore the participants that will be selected that will best understand the problems and the research questions and be of assistance to the researcher (Creswell, 2003:185). Struwig & Stead (2004:125) stated that it is impossible to identify whether an ideal sample size is good or bad, and the researcher should consider the purposes and goals of the research study and in this instance the system which the Government utilises to measure and control their performance information based on their Annual Performance Plans were the focus point of this research study.

The characteristics of each method can be explained as follows:

Probability sampling is a section of subjects from a population using random procedures for example stratified sampling, simple random sampling, cluster sampling, and systematic sampling (Polit & Hungler, 1993:443). Probability sampling methods are the most commonly used because the selection of respondents is determined by chance. This method provides known, equal and calculable changes so that each subject of the

population can be included in the research study (Salkind, 1997:97 and Bless & Higson-Smith, 2002:87). Sampling methods such as simple-random, stratified sampling, cluster sampling and multi-stage samplings are a few examples of probability sampling. Stratified sampling as a probability method creates a sample frame for each of several categories of subjects or cases, draw a random sample from each category, then combine the several samples (Neuman, 2006:241).

Non-probability sampling is where the likelihood of selecting any one member from the population is unknown. It consists of methods such as purposive sampling, quota sampling, convenience sampling, snowball sampling and theoretical sampling. Non-probability sampling is the selection of sampling units from a population using non-random procedures (Neuman, 2006: 220).

In this study

- Probability sampling was used because each of the members of the population, which include the Political Office Bearers and Chief Officials had a known non-zero chance of being included in the sample;
- Stratified sampling procedures were used because there were two distinct sub-samples, namely the Provincial Political Office Bearers and the Chief Officials, which groups were represented in the final survey sample. Random and purposive sampling was chosen as appropriate and unbiased methods of assembling samples of respondents in the context of this type of survey research. The research study will make use of both probability and non-probability sampling techniques.

3.4.3.5.4 Sample size

Terreblance & Durrheim (2002:274) referred to sampling as the process used to select cases for inclusion or participants in a research study. The research studies were conducted with the gathering of information from a sample of a population (Brink, 2006:109). The sample size is not as important as the analysis and the availability of enough data (Miles & Huberman, 1994:27). The participants were due to their particular knowledge of the topic and to share their knowledge and experience with the researcher included in the sample (Streubert & Carpenter, 1999:58). The respondents were selected out of a group that have information, experience or opinions on the topic questions (Denscombe, 2007:172). It is essential that the sample taken for analysis from a large population, consisting of Provincial Political Office Bearers and Chief Officials be a representative one; that it must contain all the characteristics of the target population.

The sample must be representative and it must reflect the image of the population (Mouton 2002:135). The researcher utilised sampling to select particular elements from the targeted population that will understand the topic and be representative of the group (McMillan & Schumacher, 2001:175). The respondents were randomly selected, as being both a provincial politician and a member of the Provincial Legislature and appointed to the Executive Council, or Chief Official. Maree (2007:9) explained sampling as the process utilised to select a proportion of the population for a research study. It was however a requirement for Chief Officials to be actively involved in the monitoring and evaluation of non-financial performance in a Provincial Department or in the controlling of this process.

Brynard & Hanekom (2006:45) motivated that a population should preferably be divided into different and clearly recognisable subpopulations. The sample was selected in such a manner that a balance was maintained between the Political Office Bearers and the Chief Officials in the Provincial Government Departments. The politicians will be the Executive Members of Council. The Chief Officials and their deputies amongst the Monitoring and Evaluation Services were approached, as well as the Chief Officials in the Office of the Premier that are responsible for providing support services to the Departments on monitoring and evaluation.

The Political Office Bearers frequency is 5 out of 10 requested and the percentage 50.0% The Chief Officials frequency is 23 out of 30 requested and the percentage is 76%% with the average percentage at 70%.

The selected sample was determined as follows.

(a) Provincial Chief Official

- 24 officials to represent the Chief Officials involved in Monitoring and Evaluation in the Provincial Government Departments.
- 2 officials to represent the Office of the Premier.
- 4 officials to represent the Deputy Heads in the Office of the Premier.

30 (75%) Total respondents representing officials

(b) Provincial Political Office Bearers

- 10 Members of the Provincial Executive Council.

10 (25%) Total respondents to represent the politicians

Forty (100.0%) questionnaires were distributed by hand to the selected respondents. The collection of data was followed by the analysis of the data. Terreblance & Durheim (2002:191) stated that the numerical codes that are written on the questionnaires must be entered in a format that can be used by a statistical computer package into a computer.

The analysis can be explained as follows.

3.5 DATA ANALYSIS

Data analysis is equated with the separation or breaking up of something into its basic elements or constituent parts much as a clock is disassembled (Quade, 1989:4). Data analysis is the process of selecting, sorting, focusing and discarding data. Neuman (2006:16) described data analysis as the manner, in which data was captured, analysed and the statistical procedures used to bring meaning to and measure it. De Vos *et al* (2005:333) described data analysis as the process to bring order, structure and meaning to the masses of collected data. Bless & Higson-Smith (2000:11) stated that accurate information is an important resource. Babbie (2005:10) described data analysis as the interpretation of collected data to draw conclusions that reflect on the interests, ideas and theories that started the research study. These activities are performed to ensure the accuracy of the data and the conversion from a data format to a reduced format which is more appropriate for data analysis.

Data analysis includes qualitative data analysis; quantitative data analysis and statistical data analysis were used. Neuman (2006:447) defined data analysis as a search for patterns in data, recurrent behaviours, objects or body of knowledge. Qualitative

analysis involves the integration and synthesis of narrative, non-numeric data. Quantitative (numeric) data are analysed through statistical procedures. Statistical analysis covers a broad range of techniques (Polit & Hungler, 1993:41, and Henning, 2004: 104 and 127).

The data was analysed in both an inductive and deductive mode. According to Cohen, *et al.*, (2001:147) data analysis "... involves organizing, accounting for and explaining the data. It means making sense of data because data must be collected, recorded and arrange systematically for interpretation. Marshall & Rossman (1995:11) described data analysis as a messy, ambiguous, time consuming, creative and fascinating process. The researcher made provision for this occurrence and built in controls to overcome the possible negative outcomes.

Three different forms of data analysis and interpretation are found, namely;

- Categorical aggregation which allow the researcher to seek a collection of instances from the data, hoping that issue-relevant meanings will emerge.
- Direct interpretation which enable the researcher to look at a single instance and draw meaning from it at the multiple instances.
- Patterns which are established by the researcher to look for a correspondence between two or more categories. In this instance the role of Politicians and Chief Officials in the evaluation and monitoring of non-financial performance is analysed and compared (Stake, 1995:145).

Sections 3.5.1 and 3.5.2 further explained the integral parts of the data analysis techniques used in this research study such the coding of data, processing of data and the applied CHI Square test and frequencies.

3.5.1 CODING OF DATA

Terreblance & Durrheim (2002:190) referred to the coding of data as applying a set of rules to transform information from one format to another formation is a straight forward clerical task that involves transforming the information provided on a questionnaire into a meaningful numerical format and uses the numbers such as 1, 2 and 3. The data analysis was supported by the use of Statistical Analysis Software (Singh, 2007:83).

In order to make sense of the accumulated information the data was coded by categorizing and breaking it into broad sections. Singh (2007:82) stated for each question in the questionnaires coding boxes should be allocated while designing questionnaires. The data was coded to make it suitable for analysis. Coding is the assigning of codes in the form of symbols (usually numbers) for each category of each answer or variable in a research study. It is a process of transforming raw data, usually numerical for data analysis and processing into a standardized form (Bailey, 1982:487, and Polit & Hungler, 1993: 483). Data was processed using the Statistical Analysis System (Cooper & Schindler, 2002). This allows the researcher to focus on and track certain kinds of information. Leaving what is not relevant to the current research question to be dealt with later. Coding involves assigning numbers and other symbols to answers so that the responses can be grouped into limited classes and categories". Coding is the assigning of codes. According to De Vos , *et al.*, (2005:338) codes may

take several forms for example: abbreviations, of key words, coloured dots, and numbers and that computer software programmes typically rely on the abbreviations of key words for data analysis . The questions were numbered in the questionnaire for easy reference (Denscombe, 2007:174). The coding consisted of predetermined codes which would be enough to cover most of the alternatives provided in the questionnaire (Langdridge & Hagger- Johnson, 2013:79)

It can be deduced that the to make it suitable for analysis coding of the data was made by breaking it into broad sections by making use of numbers in a systematic manner.

3.5.2 PROCESSING OF DATA

In this research study the Qualitative and Quantitative Data Analysis Methods were used. Bouma & Atkinson (1995:22) described data as facts. The researcher will summarise the answers to the questions posed in percentages, tables or graphs (Neuman, 2006:35). The mass of collected data were analysed and interpreted with the purpose of bringing order and structure to the information. Leedy & Ormond (2005:142) stated that to interpret the data in certain research studies appropriate statistical analysis are performed. The methods and techniques used in the processing of data depend to a large extent upon the responses received from the respondents. This facilitated comparison and interpretation of the respondents' attitudes, views, beliefs and perceptions.

To provide a comprehensive scientific analysis the data were tabulated, summarised and integrated. The Classified Data were described and explained and suitable deductions were, where applicable, made. Through the use of Quantitative and

Qualitative Methods and statistical percentages the descriptive phase of the research project was done which displayed tables, charts, diagrams and figures.

3.6 ACCURACY, VALIDITY AND RELIABILITY OF THE RESEARCH STUDY

Researchers need to ensure that data drawn from the internet is reliable and valid (Brink, 2006:41). Due to the above statement the use of the internet sources were limited In this research study. The aim of social research is *inter alia* to collect data and produce information that is accurate, valid and reliable.

Validity is the word used to describe a specific measure that accurately represents the concept that it is intended to measure (Babbie, 2005:148). The researcher must adhere to objectivity and must throughout all aspects of the research study remain impartial (McNab, 2004:56). Validity according to Goddard & Melville (2001:41) means that the measurements utilised in the research study are correct and the measurement process is systematically free from both random errors. To ensure effective research validity will play an important role in this research study (Cohen *et al*, 2001:105). A measurement or instrument is regarded as valid if it measures what it is supposed to measure (Maree, 2012:147).

Accuracy refers to the collection of data without making mistakes, being correct and exact and without error. Accuracy is the result of a careful effort. Validity refers to whether or not the data collected actually reflects the concept being measured logically, reasonably or legally. Litwin (1995:33) described validity as how well the test measures what it sets out to measure. The validity of the research study findings is concerned with regarding the interpretations of observations and as such if the researcher is referring to

what was measured by its correct name (Silverman, 2001:232). Reliability refers to the extent to which a method of data collection is consistent and repeatable and not distorted by the researcher. Data collected must be as accurate as possible (Brace, 2008:12). The data collection instruments were a questionnaire that could be repeated and the respondents received the same questionnaire and questions and an interview schedule.

Reliability is defined as the degree to which the findings of the research are independent of accidental circumstances of the research study (Kirk & Miller, 1986:20). The research study should be consistently good in quality (*Oxford Advanced Learners' Dictionary*, 1995:9, 1319 and 987). Maree (2012:147) agreed with the instrument being consistent and added that it must be able to be repeated. The reliability of the instruments employed in the assessment means that the researcher should or might come to the same conclusion when utilising the instrument to measure phenomena more than once (Leedy & Ormrod 2005:93) and (Thompson, 2013:138). Terreblance & Durrheim (2002:92) referred to reliability as the degree to which the results are repeatable. Reliability refers to the consistency or stability of a measuring instrument (Jackson 2006:66). Reliability is referred to as the stability of what the researcher was measuring (Langdridge & Hagger-Johnson, 2013:50). Reliability is the extent to which the data collection system is stable and consistent across time and space (Kusek & Rist, 2004:112). Gay & Airasian (2003:76) described reliability as the degree to which an instrument measures what it is supposed to measure. Reliability in research is described by Armstrong & Grace (1997:44) as to whether or not consistent results are yielded. This also entails that the measurement is conducted the same way every time.

Maree (2012:216) stated that a reliability figure of 0,8 can be regarded as acceptable and while a figure of below 0,6 can be regarded as unacceptable.

To ensure the accuracy, validity and reliability of the research study the following steps were taken:

- To evaluate the research study chapters and contents, using a statistician and a text editor.
- To evaluate the correctness of the questionnaire a pilot survey was conducted.
- Sampling was done using probability methods ensuring external population validity.
- Self- completion questionnaires which generate a high response rate of XXX.0% were used.
- To clarify specifications related to the questionnaire interviews were conducted.
- Comprehensively reviewing and proof-reading of the manuscript, theoretical constructs and empirical deductions and conclusions.

It can be deduced that the researcher followed the norms and standards set for data collection to ensure the accuracy, validity and reliability of data in this research study.

3.7 LIMITATIONS OF THE STUDY

Blaikie (2003:20) wrote that in a research study project, it is useful to state what problems or limitations are likely to be encountered and how they will be dealt with. The research study is an exploratory investigation into the non-financial performance of Provincial Departments in the Province of the Eastern Cape. It is an in-depth

investigation which was not academically researched previously and which can be seen as a pioneer work.

The monitoring and evaluation concept is relatively new and the secondary material on this subject is limited and the official publications in the Government domain cross refer to the same original sources in the field of monitoring and evaluation. The reason for this research study is of importance since it is performed after the Government implemented the monitoring and evaluation eleven years ago. The internal workings of the Provincial Government is not sufficiently known by the general public to obtain their views in a survey with reference to monitoring and evaluation that could make a meaningful contribution to this research study.

The limitations were overcome by selecting the MECs that heads the Provincial Government Departments and Chief Officials that have knowledge of monitoring and evaluation and specific on performance information.

3.8 ETHICAL CONSIDERATIONS

Ethics is a branch of the philosophy field that covers morality (Polit & Beck, 2004:717). Burns & Grove (2001:191) stated that ethics started with the identification of the topic and continues until the publication of the research study which needs honesty, integrity and adherence to professional, legal and social obligations towards the research participants selected. Sitverman 2011:88 referred to ethics in social research as the nature of the researcher's responsibilities in the relationship regarding the people being observed and written about. The research ethics have to do with the exercising of moral standards when making decisions regarding the planning, execution and reporting of

research result studies (McNab, 2004:55). Ethical was defined by Babbie (2005:438) as conforming to the standards of conduct relevant to a given profession or group.

Firstly, the responsibility towards human and non-human participants, and secondly the responsibility towards the discipline of science that require them to report with accuracy and truth. According to the *Oxford Advanced Learners Dictionary* (1995: 395) ethics is a system of moral principles or rules of behaviour or conduct. Being ethical is to conform to accepted professional practices. Bailey, (1982: 428) wrote that “it is generally agreed that it is unethical for researchers to harm anyone in the course of research, especially if it is without the person’s knowledge and permission” The information will be treated confidential on what the respondents provided to the researcher (Burns & Grove, 2001:201). Holtzhausen (2010:267) described values as how humans perceive what is acceptable or unacceptable.

Marlow (1998:151) stressed that it is of importance that researchers secure the informed consent of the potential participants, and inform the participants regarding the purpose and the objectives of the research project and place them in a position to provide a voluntary consent or otherwise reject their participation before the onset of the exercise. The questions were neutral and did not push the respondents in any particular direction (Hofstee, 2006:134).

Ethical behaviour implies therefore that in the course of the research study the ethical guidelines and practices be strictly adhered to. The results and findings must be reported without favour that means both the good and bad results must be reported (Mitchell, 1998:312). De Vos *et al.*, (2005: 570) explained that an emphasis should be

placed on accurate and complete information to enable the participants to be in a position to thoroughly make up a reasoned decision about the possibility of participation. In Leady & Ormond, (2005: 102) it was stated that the researcher respect the participant's rights to privacy. The consideration of ethics must not be seen as an afterthought when making a decision (Knipe & van der Waladt, 2002:216). The information obtained from the participants will not be made available publicly (Denscombe, 2007:168).

In the research study the following ethical guidelines and practices will be strictly adhered to and the respondents will be duly informed.

- Anonymity. The name and personal details of the respondents will not be disclosed (Miller & Salkind, 2002:108). Brink (2006:32) stated that the individuals are anonymous. The principle of anonymity must be so strong that not even the researcher must be able to relate the data received with a particular participant (Burns & Grove, 2001:201). The individuals who participate in the research studies have the right to be informed that all data about them will be regarded and treated in a responsible manner (Mark, 1996:46). The researcher will also attempt to guard against unauthorised access to the data (Streubert & Carpenter, 1999:38). Brink (2006:34) stated that anonymity literally means namelessness. The participants in the research study are treated with respect during the research study and their individual information remains confidential (Terreblance & Durrheim, 2002:73). The confidential information provided by the respondents will be treated as such (Silverman, 2011:97), even in the absence of legal protection or privilege to do so (Miller & Salkind, 2002:106).

- Plagiarism. All sources of information that will be used will be acknowledged to avoid plagiarism. The research study concludes with a list of references consulted and cited in the text (Terreblance & Durrheim, 2002:125). Terreblance & Durrheim (2002:29) stated that when a book is reflected, the full names of the authors, full title and subtitle of the book, edition of the book, place of publication, publisher and year of publication should be disclosed at the end of the research study. Referencing was adhered to where the words, ideas, data or influence of other scholars were acknowledged in this research study (Hofstee, 2006:173) and (Miller & Salkind, 2002:113).
- Coercion. Respondents will not be coerced to divulge any confidential information and Miller & Salkind, (2002:106) elaborate that the researcher must not make use of deception when dealing with the participants. The researcher has an ethical obligation not to cause harm to the respondents (Mark, 1996:46). Brink (2006:37) stated that that the selected subjects that were invited to participate in the research study must not be unduly influenced to participate or be coerced. The researcher collected information from respondents who volunteered to co-operate with the researcher (Denscombe, 2007:168). Singh (2007:72) stated that the purpose and value of the research study must be explained to the participants. The participants was approached with an informed consent and they knew what the research study entailed (Langdrige & Hagger-Johnson, 2013:85) The participants voluntarily participated in the research (Silverman, 2011:97).

- Honesty. The researcher shall at all times and under all circumstances report the truth with honesty and shall never present the truth in a biased manner. The researcher will apply informed consent from the respondents in this research (Thompson, 2013:52). Brynard & Hanekom (2006:4) motivated that the researcher should always and under all circumstances report the truth and refrain from presenting the truth in a biased manner. A situation of mutual trust between the researcher and respondents were observed throughout the research study (Silverman, 2011:97).
- Freedom of choice. Respondents will be given freedom of choice in participating in the research study through informed consent. Respondents will be free to withdraw at any time from participation (Hanekom & Thornhill, 1983:4 and Salkind, 1997:41). It would be regarded as unethical to even consider collecting information without the knowledge of the participants or without informing them and requesting their willingness to consent (Kumar, 2005:192). The respondent must have a choice whether to partake or not (McMillan & Schumacher, 1993:183). The researchers must treat participants as autonomous persons and must respect their decisions to participate, including their decision not to participate in the research study (Mark, 1996:39). The consent of the participants will be obtained which means they must agree to be part of the research study (Thomas, 2013:48).

3.9 CONCLUSION

The research design is a plan how the research study will be conducted with clearly defined structures within which the study is implemented. The research has a collection

of methods and methodologies that are applied systematically to produce scientifically based knowledge.

The permission to conduct this research was sought on the 19th December 2011 and obtained on the 3rd January 2012 from the Director General. The focus of the research study was on the monitoring of performance information and the impact it has on service delivery in the Provincial Government Departments with the focus in the Eastern Cape.

In this study a questionnaire was designed with 50 questions and distributed to 30 Chief Officials and 10 MECs in the Provincial Government Departments. Quantitative, qualitative and triangulation approaches were utilised in the compilation of the questionnaires by the researcher. Both open-ended and close-ended questions were asked in the questionnaire. The questionnaire was followed up with interviews of specific respondents on questions that needed more clarity. The third method used was to refer to official documents as a secondary source and the Annual Reports of the Departments were one of the main sources.

A pilot study was conducted and some questions had to be revised for clarity purposes. The field of Monitoring and Evaluation is a specialist field and the selection was made out of the Chief Officials that had a sound knowledge of the field and would be able to make a contribution.

To enable the coding of the data the questionnaire was divided into broad sections and sub-sections. Simple yes or no questions as well as questions with five choices were selected in line with the Likert method. In specific questions the respondents were

requested to provide reasons for the decisions or motivated why they responded in a certain manner. Thus a mix of the questions was maintained throughout the questionnaire. In specific instances three and four options were provided to the respondents to choose from. To capture the responses from the respondents in a usable manner the processing of the data resulted in the use of a system for analysis. The same questionnaire was provided to both the MECs and the Chief Officials that made a comparison possible.

The accuracy, validity and reliability of the Research Study were maintained throughout the research. In the process Chief Officials that had a sound knowledge of the study field and the practical implementation of Monitoring and Evaluation were included. Ethical considerations such as anonymity were maintained to avoid plagiarism, coercion and to ensure honesty and freedom of choice. In all instances the respondents knew what the research intended to achieve and their consent was obtained.

CHAPTER FOUR

ANALYSES AND INTERPRETATION, RESEARCH FINDINGS

4.1 INTRODUCTION

The concept Monitoring and Evaluation is a relative new concept in the National and Provincial Government Departments and the earliest indication of it was during the state of the nation address of 2009 by the then President Mr T. Mbeki. The Presidency and National Treasury developed discussion documents which resulted into the enactment of the PFMA with its financial regulations on how reporting on performance information must be done and standards on the annual performance plans.

Four quarterly reports must be produced that leads up to the annual report in every Government Department. The performance information in the annual report is subjected to an audit by the Auditor General that makes mention of the outcomes in their Management Letters and under the section emphasis of matter in the audit reports.

The Government realised that the service delivery programmes that were implemented did not produce the desired results to eradicate the back logs in the provision of services and that the increase in the successive budgets did not seem to alleviate the problems. Monitoring and Evaluation had to produce regular reports to indicate which service delivery programmes worked and which did not work. It also identified the areas of underperformance and determined strategies on how to correct the underperformance. The general public expects the National and Provincial Government to produce on their undertakings to deliver on the service delivery programmes and Monitoring and Evaluation can play a meaningful role in this regard. The research study

followed the Systems Theory Approach to collect data from respondents and test the contribution of monitoring and evaluation in the Government Departments.

The purpose of this chapter is to provide the criteria used for the data analysis and presentation and the research findings of the data collected with a focus on the monitoring and evaluation of the programmes of the Provincial Government. The research study of the analysis and interpretation of the collected data in this chapter was sub-divided into specific sub-sections which dealt with the following aims. Firstly the chapter elaborate on the criteria for data analysis and interpretation. Secondly the chapter provides the demographic details of the respondents by utilising the quantitative data analysis method. Thirdly, the qualitative data analysis method was used which deals with inductive and deductive reasoning and an in-depth process of the monitoring and evaluation process. Fourthly the annual reports of the Provincial Departments were used as official documentation to analyse the reporting performed. Lastly the findings of the research study were recorded after the analysis of the data was completed.

4.2 CRITERIA FOR DATA ANALYSIS

Electronic processing has been used in analysing the data. In this research study the questionnaire was divided into nine main sections that were divided into subsections. Interviews were conducted from a smaller sample to invite responses on specific areas of importance in this research study. The Auditor General responses on the performance information in the annual reports of the Government Departments were used to collect quantitative and qualitative data in a mixed method namely triangulation. The questions made provision for respondents to provide reasons for why they choose

a specific option in the questionnaire. Some questions were in terms of the Likert scaling and provided five options from which the respondents could choose. Other questions had four, three and two options for the respondents to select from. The method of questioning was changed to gain the interest of the respondents and obtain maximum participation. Two groups of participants were chosen namely the Political Office Bearers that served as the heads of the Provincial Departments and the Chief Officials.

The researcher was interested to gain the overall situation on every topic rather than some individual data and the following criteria were observed:

- Data was summarised by grouping it into meaningful proportions with issues which had similar patterns, features, similarities and interest were classified together in a comprehensive data analysis manner. The questionnaire was grouped into nine main areas with sub and sub-sub areas under the main groupings.
- The presentation of the data was done in graphs and the two groups of respondents could be compared and disclosed to make data easier to understand and follow. The two groups of respondents were the Political Office Bearers and the Chief Officials in the Provincial Government Departments.
- The graphs were classified and the Systems Theory Approach was followed. The data was presented in a manner that gave a picture of the data and a percentage was attached to the inputs from the respondents.

- The graphical disclosures gave underlying patterns and the various graphs used in the data analysis displayed findings concisely, clearly and in an easy to understand format.
- The use of keys was needed to distinguish between the categories and make a meaningful and accurate comparison between any two quantitative or qualitative sets of data.
- The researcher embarked on the measures of location which included the mean, the median and the mode as well as the measures of spread in the Provincial Government Departments which embodies the standard deviation.
- The researcher tested the main theme namely monitoring and evaluation in the Provincial Government Departments and arranged the questions in such a manner to elicit responses that will reflect on the role of monitoring and evaluation on service delivery.

Both the qualitative and quantitative data collection and analysis methods towards data were followed in this research.

4.3 DATA ANALYSIS AND INTERPRETATION

The data analysis was divided into two groups namely the demographic information of the respondents and the qualitative responses on monitoring and evaluation in terms of the Systems Theory Approach.

4.3.1 DEMOGRAPHIC INFORMATION OF RESPONDENTS (QUALITATIVE DATA)

The demographic information of both the Political Office Bearers and Chief Officials were requested as respondents in this research study and was produced as qualitative

data. Seven questions were asked from the respondents namely on the office/post held, age distribution, gender, and department, number of years in service, home language and qualifications. The presentation of the demographic data was made in a schedule format for easy analysis by the researcher.

4.3.1.1 The office/post held by respondents

Table 4.1 Post levels of the respondents their position.

Post	Officials	Politicians
Member Executive Committee (MEC)	0	4
Premier	0	1
Director-General	0	0
Head of Department	0	0
Deputy Director General	2	0
Chief Director	1	0
Labour Union Rep	0	0
Senior Manager	20	0
Totals	23	5

The Chief Officials were requested to disclose their specific post levels and two deputy director generals, one chief director and twenty three senior managers participated. Five Political Office Bearers participated and range from four Members of the Executive Council of the Provincial Government and the Premier.

Table 4.2 Age distribution of the respondents

The question asked the age of the respondents.

Age range	Officials	Politicians
20-30 years	0	0
31-35 years	4	0
36-40 years	6	0

Age range	Officials	Politicians
41-45 years	3	0
46-50 years	6	1
51-55 years	0	2
56-60 years	3	1
61-65 years	1	1
Totals	23	5

The age distribution of the participants were requested and analysed as reflected above.

Table 4.3 Gender distribution of the respondents

The question asked the gender distribution of the respondents.

Gender	Officials	Politicians
Male	13	2
Female	10	3
Totals	23	5

The gender distribution was 13 males and 10 females.

Table 4.4 Department of the respondents

The question asked the department of the respondents they serve in.

Department	Officials	Politicians
Department Local Government and Traditional Affairs	8	1
Department of Economic Development & Environmental Affairs	1	0
Department of Human Settlements	1	1
Department of Roads and Public Works	1	0
Department of Social Development	6	1
Department of Transport	1	1
Office of the Premier	4	1
Provincial Treasury	1	0
Totals	23	5

Participants from 8 of the provincial government departments participated in the questionnaire.

Table 4.5 Number of years in service as provincial official/political office bearers

The question asked the number of years of the respondents.

Number of years in service	Officials	Politicians
Less than 5 years	5	
5 to 10 years	7	
11 to 15 years	4	
16 to 20 years	5	1
More than 20 years	2	4
Totals	23	5

The years of service in the government was requested from both Political Office Bearers and Chief Officials.

Table 4.6 Home language of the respondents

The question asked the home language of the respondents.

Home language	Officials	Politicians
English	7	1
Afrikaans	1	
English+Afrikaans	1	
Xhosa	14	4
	23	5

The home language of the participants was requested and was disclosed as analysed above.

Table 4.7 Qualifications of the respondents

The question asked the qualifications of the respondents.

Qualifications of participants	Officials	Politicians
Diploma/Certificate(s) Technikon	2	0
Diploma/Certificate(s) University	1	0
Undergraduate Degree (University)	4	4
Postgraduate Degree (University)	16	1
Totals	23	5

The qualifications of the respondents were requested with 17 at post graduate degree level, 8 at undergraduate level and 3 with diplomas.

4.3.2 RESPONSES FROM RESPONDENTS REGARDING THE MONITORING AND EVALUATION OF NON-FINANCIAL PERFORMAMCE OF PROVINCIAL DEPARTMENTS (QUALITATIVE DATA)

Questions were asked to respondents regarding monitoring and evaluation of non-financial performance in a qualitative format. Questions were arranged in a Systems Theory Approach format and the following main areas were covered; existing environment, input phase, processing phase, input phase, output phase, impact phase and lastly the feedback phase.

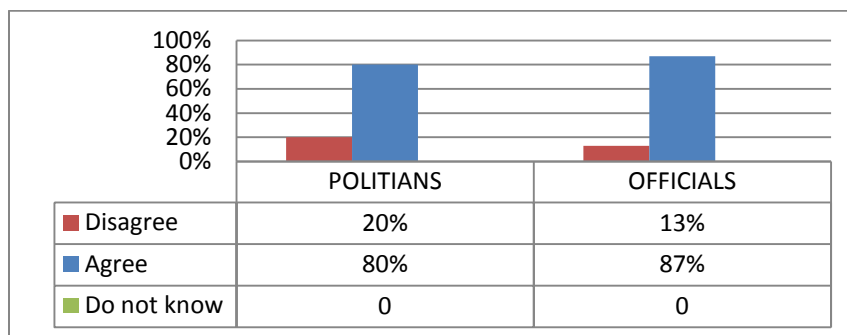
4.3.2.1 THE CURRENT SITUATION IN THE PROVINCIAL SPHERE OF GOVERNMENT (EXISTING ENVIRONMENT)

The current situation in the provincial sphere of government that represented the existing environment covered the following four questions.

(a) The underperformance of provincial departments in the provision of services and implementation of programmes are not properly addressed or improved?

The question asked the respondents regarding the underperformance in the provision of services and the implementation of programmes that were not properly addressed or improved. The question made provision for three alternatives namely agree, disagree and do not know. The respondents were requested to provide written comments for their answers.

Figure 4.1 Underperformance of the Government Departments



The majority (87%) of the Chief Officials agreed that the underperformance of Provincial Departments in the provision of services and implementation of programmes are not properly addressed or improved and the minority (13%) disagreed, and the majority (80%) of Political Office Bearers agreed, whilst the minority (20%) disagreed.

It can be deduced that there is an underperformance by the Provincial Government Departments in the provision of basic services and the implementation of their programmes as determined in the annual performance plans that are not properly addressed and underperformance is not improved.

The Chief Officials provided the following comments for their responses.

The Government Departments are not managed in such a manner that enables it to deliver on its mandates and the top management is often involved in operational issues. The Audit General reports reflect that there is a probability that the performance of Government Departments are not adequately addressed or improved. There are no consequences for underperformance in a number of Government Departments whereas measures should be taken to deal with it. Systems need to be improved so that there are early warning signs regarding underperformance. The findings on the performance of the Government Departments are not used in decision making by Chief Officials.

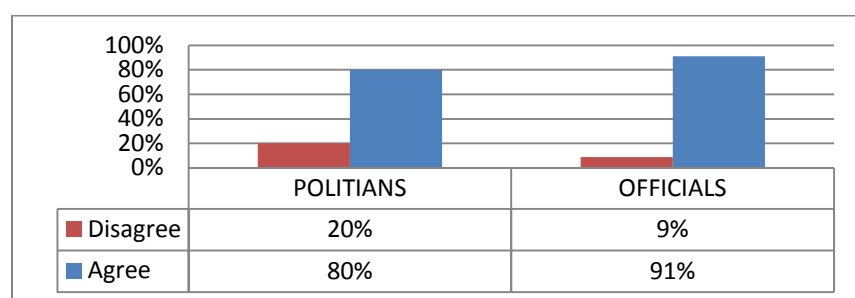
The Political Office Bearers provided the following comments for their responses.

The co-ordination and communication of the performance outputs remains a challenge to the Provincial Government. The Government Departments do not prioritize corrective actions to address areas of underperformance as a result the plans hardly address backlogs of the previous years during the planning phases. The Government Departments do not put measures in place to ensure that Chief Officials face consequences for underperformance and as such the annual performance agreements signed by employees do not compel them to deliver and instead they are signed for compliance. There is a lack of capacity in the departments to implement their programmes.

(b) The underperformance of Provincial Departments in the provision of services and implementation of programmes are due to the insufficient exercise of control measures and the non-implementation of corrective measures?

The question asked the respondents whether the underperformance of Provincial Departments in the provision of services and implementation of programmes were due to the insufficient exercise of control measures and the non-implementation of corrective measures and makes provision between agree and not agree alternatives. The respondents were requested to provide comments for their respective answers.

Figure 4.2 Underperformance in provision of services and implementation of programmes



The majority (91%) of the Chief Officials agreed that the underperformance of the Provincial Departments in the provision of services and implementation of programmes are due to the insufficient exercise of control measures and the non-implementation of corrective measure and (9%) disagreed, and the majority (80%) of the Political Office Bearers agreed and the minority (20%) were in disagreement.

It can be deduced that the underperformance of the Provincial Departments in the provision of services and the lack of the implementation of their programmes in terms of their respective annual performance plans are due to the insufficient exercise of control measures and the non-implementation of corrective measures relating to the underperformance.

The Chief Officials provided the following comments for their responses.

The issue is not about control since the Government Departments are over-controlled and it attempts to cover up for other weaknesses. The key performance indicators are poorly developed and it does not address the issues that it needs to address. The Chief Officials do not implement a division of work principle or the regular monitoring of the implementation of measures and propose ways to improve the controls. The reports from the Auditor General indicate repeated negative findings on performance information. There is a need to have systems of monitoring and control so that new strategies could be implemented early on to avoid underperformance. There are no terms to collect data and elements for monitoring are not explained to the government programmes. The system in place does not provide guidance during the implementation phase with the result the Government Departments experience underperformance.

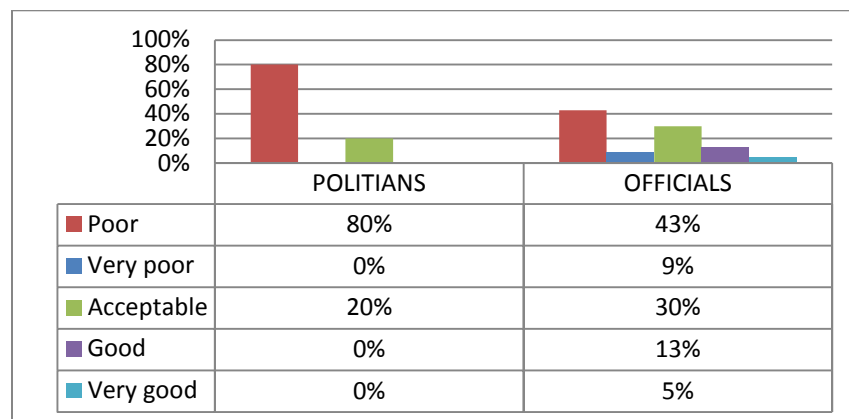
The Political Office Bearers provided the following comments for their responses.

There is a lack of proper follow-ups on performance information and of the report back mechanisms in the Provincial Government. The primary cause of underperformance is the lack of capacity to perform the functions as determined in the annual performance plans. Numerous problems are identified through internal and external audits as well as performance assessments that are accompanied with specific recommendations on how to improve the situation; however some of the issues are not resolved.

(c) In your opinion, please comment on the quality of the information provided in performance appraisal reports?

The question asked the respondents to provide their opinion on the information provided in the performance appraisal reports in five categories namely very poor, poor, acceptable, good or very good. The respondents were requested to motivate their answers for their choices provided.

Figure 4.3 Quality of information provided in performance appraisal reports



The majority (43%) of the Chief Officials commented that the quality of the information provided in performance appraisal reports is poor, acceptable (30%) and the minority commented that it was very good (5%), very poor (9%) and good (13%) however the majority (80%) of the Political Office Bearers regarded the quality of the performance information as poor with the minority (20%) as acceptable.

It can be deduced that the quality of the information that was provided in the appraisal reports are poor.

The Chief Officials provided the following comments for their responses.

Reports only deal with what officials want to do, instead of what need to be done and what services are being demarcated. The result is that reports only reflect on what

officials are doing and miss the gaps in performance against pre-determined targets. The performance standards that are set to the Chief Officials influence the quality of the performance appraisal reports. There is a need to improve on sufficient evidence based performance information and make sure that indicators are based on impact and not on outputs. In specific instances the quality in appraisal reports cannot be verified by a portfolio of evidence. The misalignment of plans compromised the quality of performance information as well as limited the understanding of data elements. The information on the performance reports is poor in terms of quality and in instances not aligned to the plans.

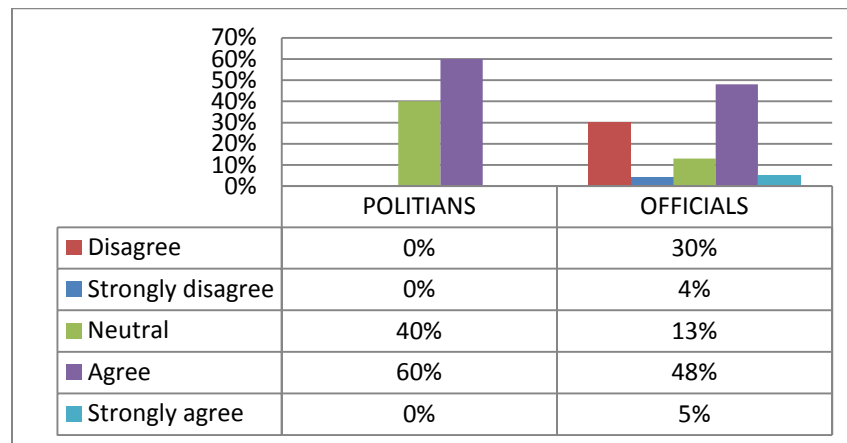
The Political Office Bearers provided the following comments for their responses.

There is in instances no linkage or reliability between the reported non-financial data and the pre-determined portfolio of evidence to complement the actual achievement against that which was planned. The performance appraisal is not implemented consistently within the Government Departments.

(d) The existing system of monitoring and evaluation of non-financial performance in provincial departments are inadequate to ensure effective work performance?

The question asked the respondents whether the existing system of monitoring and evaluation of non-financial performance in provincial departments were inadequate to ensure effective work performance. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide reasons for their choices.

Figure 4.4 Adequacy of non-financial performance information



The majority (48%) of the Chief Officials agreed that the existing system of monitoring and evaluation of non-financial performance information in the Provincial Departments are inadequate to ensure effective work performance, whilst (30%) of the responses were in disagreement and the minority responded as strongly agree (5%), strongly disagree (9%) and neutral (13%) however the majority (60%) of the Political Office Bearers agreed that the existing system of monitoring and evaluation of non-financial information is inadequate and the minority (40%) remained neutral.

It can be deduced that the existing system of monitoring and evaluation of non-financial performance information in the Provincial Departments are inadequate to ensure effective work performance.

The Chief Officials provided the following comments for their responses.

The point of departure should be on the priorities of what needs to be done first and foremost. The existing systems can be improved to play more of an active role in guiding the performance of departments to be successful. There is a lack of institutional

monitoring and evaluation and there is also a lack of monitoring and evaluation strategies. There are limited electronic systems available in the Government Departments and the monitoring of projects is limited. Monitoring and evaluation is not used as a practice, but is limited to a reporting tool.

The Political Office Bearers provided the following comments for their responses.

The Government Departments use manual reporting systems that are not well-structured systems to track effective work performance. Monitoring is inadequate and it is often not possible to know what the status quo is throughout the Government Departments.

4.3.2.2 LEGISLATIVE FRAMEWORK FOR PERFORMANCE MONITORING AND EVALUATION (INPUT PHASE)

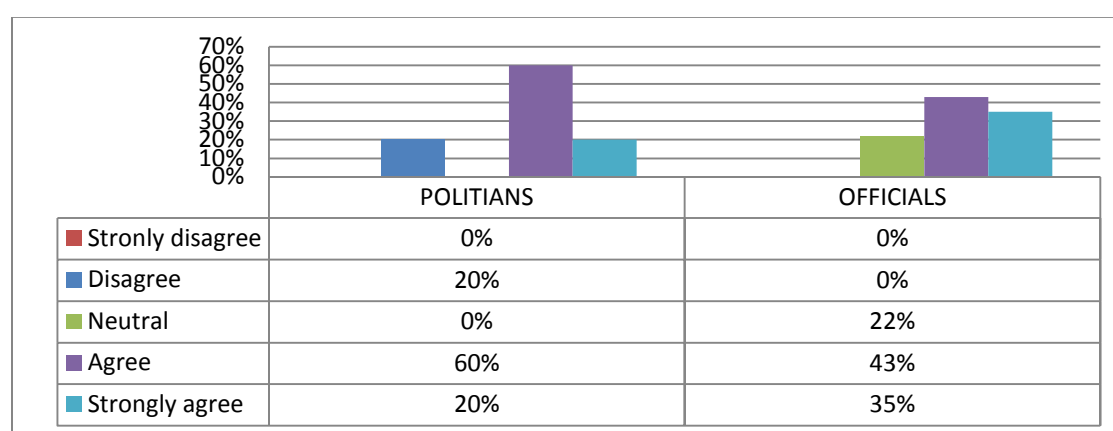
The input phase was divided into four subsections namely the legislative framework for performance monitoring and evaluation, the conduct of a readiness assessment, problems being experienced in the implementation of performance monitoring and evaluation and the setting of objectives and outcomes to monitor and evaluate.

Three questions were asked regarding the legislative framework for performance monitoring and evaluation that served as the input phase in terms of the Systems Theory Approach.

(a) The existing legislation and other policy measures are adequate to ensure effective performance monitoring and evaluation?

The question asked the respondents whether the existing legislation and other policy measures were adequate to ensure effective performance monitoring and evaluation. The Likert scaling was utilised and five options were given to the respondents namely strongly agree, disagree, neutral, agree and strongly agree. The respondents that chose to disagree were requested to provide reasons.

Figure 4.5 Adequacy of existing legislation



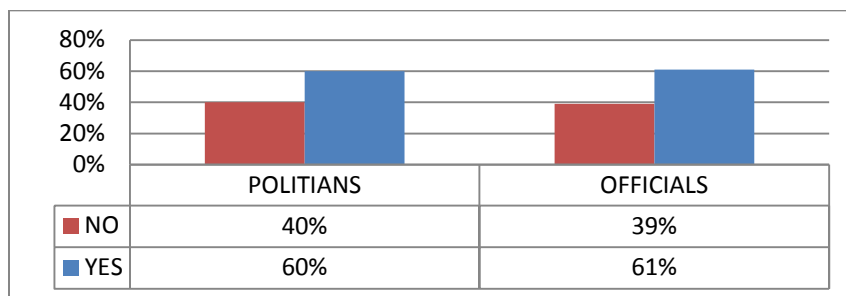
The majority (43%) of the Chief Officials agreed that the existing legislation and other policy measures are adequate to ensure effective work performance, whilst (35%) agreed strongly and the minority (22%) remained neutral, however the majority (60%) of the Political Office Bearers agreed that the existing legislation and other policy matters are adequate, whilst the minority responded by disagreement (20%) and strongly agree (20%).

It can be deduced that the existing legislation and other policy measures are adequate to ensure work performance in the Provincial Government Departments.

(b) Non co-operation between Political Office Bearers and Chief Officials in the implementation of the monitoring and evaluation policy is hampering effective service rendering?

The question asked the respondents whether non co-operation between Political Office Bearers and Chief Officials in the implementation of the monitoring and evaluation policy was hampering effective service delivery. The respondents were provided a choice between yes/no and the respondents that answered yes were requested to provide comments for their responses.

Figure 4.6 Co-operations between Political Office Bearers and Chief Officials



The majority (61%) of the Chief Officials responded that co-operation between Political Office Bearers and Chief Officials in the implementation of the monitoring and evaluation policy is hampering effective service delivery whilst the minority (39%) disagreed and the majority (60%) of the Political Office Bearers agreed that the co-operation between Political Office Bearers and Chief Officials is hampering effective service deliver whilst the minority (40%) disagreed.

It can be deduced that the lack of co-operation between the Political Office Bearers and the Chief Officials in the implementation of the monitoring and evaluation policy is hampering effective service delivery.

The Chief Officials provided the following comments for their responses.

The political principal must provide clear direction specific to areas of focus which must then be translated into an annual performance plan and specific key performance areas to guide the planning process. Monitoring and evaluation can then be a matter of processing the reported data. Service delivery happens at the local sphere of government and currently there are numerous challenges in key municipalities which hamper service delivery. In the event that there are differences between political and administrative leadership the service delivery will be negatively affected. Political faction forming from the ruling party can spill over to the administration and thereby paralysing service delivery. The roles between Political Office Bearers and Chief Officials need to be specified in the monitoring and evaluation strategies. There are instances where programmes are given unfunded mandates by their political principles to implement and as a result targets planned end up not being achieved due to a redirection of the budget.

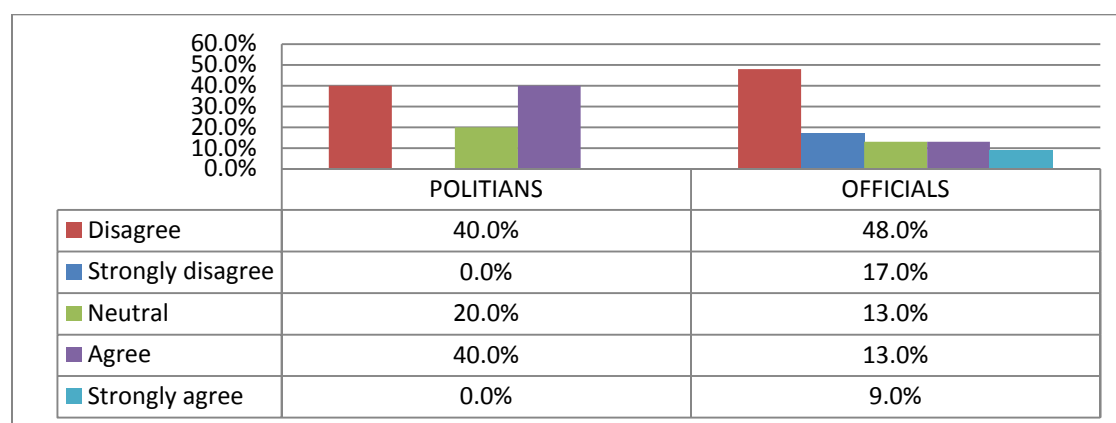
The Political Office Bearers provided the following comments for their responses.

The problem regarding legislation is the lack of proper implementation by the Government Departments. There are many instances where implementation of legislation is not properly done.

(c) The implementation of performance monitoring and evaluation is hampered by a lack of sufficient delegation of authority by Political Office Bearers to Chief Officials?

The question asked respondents whether the implementation of performance monitoring and evaluation was hampered by a lack of sufficient delegation of authority by Political Office Bearers to Chief Officials. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide reasons for their choices.

Figure 4.7 Delegation of authority by Political Office Bearers to Chief Officials



The majority (48%) of the Chief Officials disagreed that the implementation of performance monitoring and evaluation is hampered by a lack of sufficient delegation of authority by Political Office Bearers to Chief Officials and the minority (13%) agreed with strongly disagreed (17%), strongly agree (9%) and neutral (13%), however the majority of the Political Office Bearers responded by agreement (40%) and disagreement (40%) and the minority (20%) remained neutral.

It can be deduced that the implementation of performance monitoring and evaluation was not hampered by a lack of sufficient delegation of authority by the Political Office Bearers to the Chief Officials and thus did not contribute to the underperformance by the Government Departments in the implementation of their targets set in the indicators as reflected in the annual performance plans.

The Chief Officials provided the following comments for their responses.

Monitoring and evaluation is complex and the practitioners will only be limited to information that management wants them to receive. Functions are delegated, but monitoring and evaluation concepts and principles are not understood by all participants. The implementation of performance monitoring and evaluation can be hampered when the Executive Authority and the Accounting Officer do not share a similar approach, focus or concerns. Chief Officials should have a clear understanding of the roles of monitoring and evaluation.

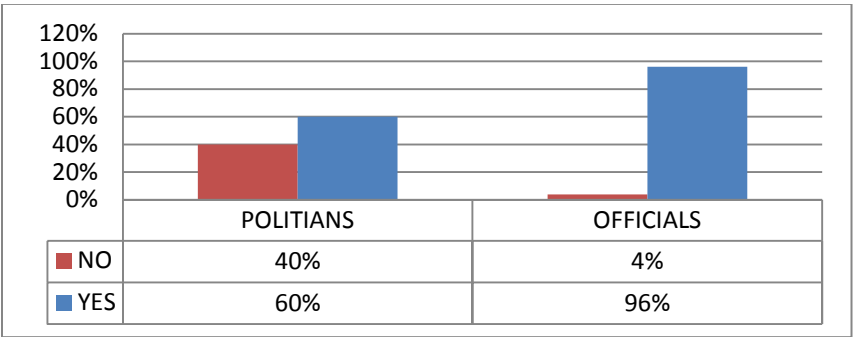
4.3.2.3 CONDUCTING A “READINESS ASSESSMENT” (INPUT PHASE CONTINUED)

The respondents were asked four questions on the readiness assessment that could be conducted at the beginning of each year. The readiness assessment was explained as the actions undertaken to lay the foundations of the monitoring and evaluation system before it was established and reviewed every year.

(a) In your opinion, is it essential to conduct a “Readiness Assessment” at the beginning of each year?

The question asked the respondents to provide their opinion on the readiness assessment at the beginning of each year and whether it is essential to conduct it. The respondents were required to choose between yes/no. The respondents were requested to provide comments for their answers in the event that they decided to answer yes.

Figure 4.8 Conduct readiness assessments at beginning of year



The majority (96%) of the Chief Officials agreed that it is essential to conduct a readiness assessment at the beginning of each year whilst the minority (4%) was not in agreement, however the majority (60%) of the Political Office Bearers agreed that it is essential to conduct a readiness assessment at the beginning of each year with the minority (40%) that answered no.

It can be deduced that it is essential to conduct a readiness assessment at the beginning of the financial year before the implementation of the annual performance plans of the Government Departments.

The Chief Officials provided the following comments for their responses.

The management needs to know the rules of monitoring and evaluation at the beginning of the process. The status quo needs to be determined as well as the baseline information. The readiness assessment assists in analysing the situation to conduct good planning which automatically leads to good monitoring and evaluation. Results from the readiness assessment may encourage the Government Departments to alter planning efforts for more satisfying outcomes. The readiness assessment will refocus Chief Officials to the intended goals and objectives of the Government Departments. The readiness assessment will give an indication of the extent to which there will be compliance on performance information. The readiness assessment is there to prepare for the year ahead and remove possible obstacles.

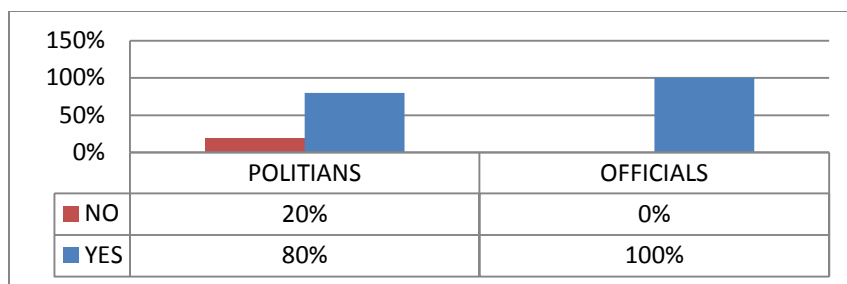
The Political Office Bearers provided the following comments for their responses.

It is important for the Government Departments to do a readiness assessment as it serves as a starting point for the Government Departments and a yard stick for the monitoring of progress during the year.

(b) In your view, should performance monitoring and evaluation be regarded as an essential control measure?

The question asked the respondents that whether in their opinion performance monitoring should be regarded as an essential control measure. The respondents were required to choose between yes or no. The respondents were requested to provide comments for their answers.

Figure 4.9 Monitoring and evaluation as essential control measure



The Chief Officials agreed (100%) that monitoring and evaluation must be regarded as an essential control measure, however the majority (80%) of the Political Office Bearers responded affirmative with the minority (20%) in the negative on whether monitoring and evaluation is an essential control measure.

It can be deduced that monitoring and evaluation must be regarded as an essential control measure regarding the implementation of the plans of the Government Departments as approved in their annual performance plans.

The Chief Officials provided the following comments for their responses.

It depends on how the controls are implemented and performance management should be part of the overall process. The principle what gets measured gets done is applicable. Strong performance monitoring and evaluation systems provide the means to compete and integrate valuable information into the planning cycle and thus providing the basis for good governance and accountability. The Government Departments provide financial assistance to the local sphere of government and it is important to pause and evaluate what is the impact in the improvement of services. In the event that monitoring and evaluation is properly implemented it will reveal shortcomings in performance information. Monitoring and evaluation can be used as a control measure

to monitor progress, mitigate risks, change course of action and to improve service delivery and to get things done.

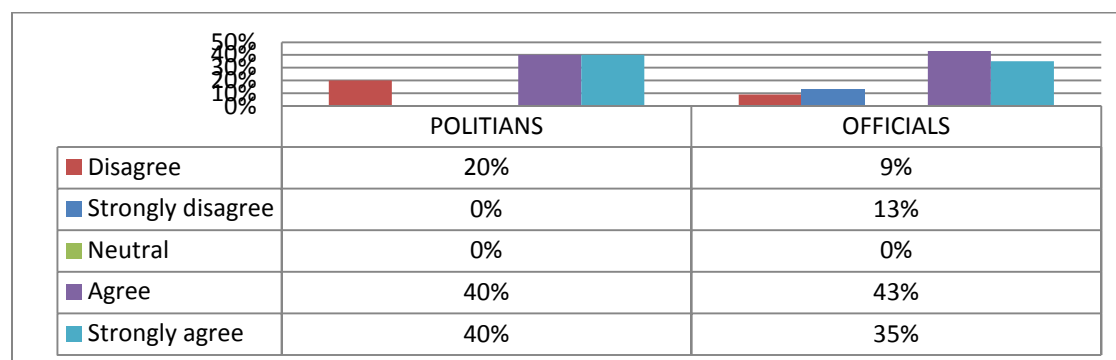
The Political Office Bearers provided the following comments for their responses.

In order to track progress made in the implementation of the annual performance plans the monitoring and evaluation is an essential control measure. Monitoring and evaluation assists to ensure that plans are achieved and it also indicates which initiatives and corrective actions must be put in place to improve the areas of either incompetence and lack of service delivery.

(c) Do you agree that a readiness assessment review should be conducted on an annual basis?

The question asked respondents whether a readiness assessment review should be conducted on an annual basis. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide reasons for their choices.

Figure 4.10 Readiness assessment conducted annually



The majority (43%) of the Chief Officials agreed and (35%) strongly agreed that a readiness assessment review should be conducted on an annual basis and the minority strongly disagreed (13%) and disagreed (9%), however the Political Office Bearers responded by agreement (40%) and strongly agree (40%) as the majority responses and the minority (20%) were in disagreement whether a readiness assessment should be conducted on an annual basis.

It can be deduced that the readiness assessment review of the Government Departments must be conducted on an annual basis before the implementation of the plans as set in the annual performance plans.

The Chief Officials provided the following comments for their responses.

No system is perfect and monitoring and evaluation should always be reviewed. The primary goal of the readiness assessment is to assist the Government Departments to achieve its objectives without any sudden surprises that could potentially bring the initiatives to a standstill. The readiness assessment will result in the notion to ensure that the Government Departments apply checks and balances. Circumstances change from year to year and an annual evaluation should be conducted. The readiness assessment review assesses the changing conditions whether it is political or economic. The readiness assessment assists in order to ensure that the Government Departments are abreast with the challenges and development approaches. The Government Departments need to scan the environment in which they function on an annual basis in the endeavour to align the departmental plans with the needs of the citizens.

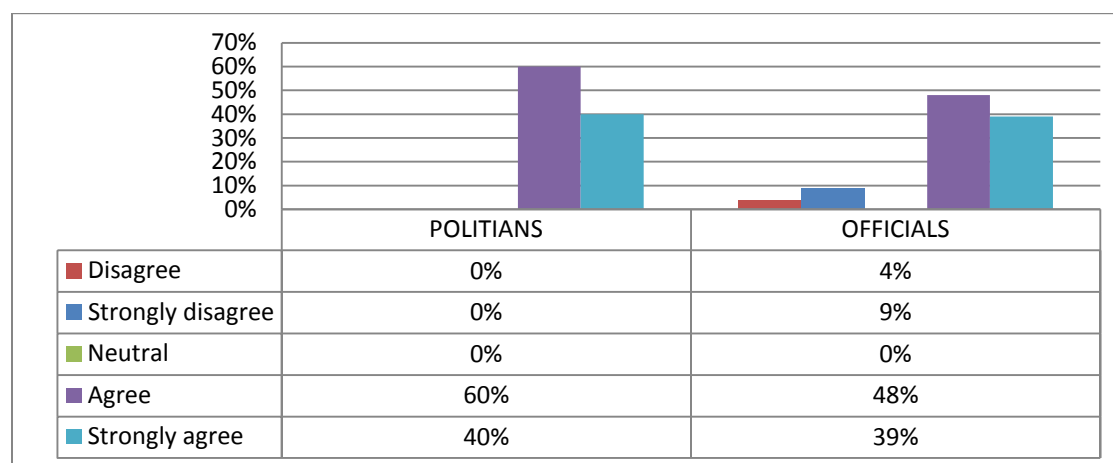
The Political Office Bearers provided the following comments for their responses.

The readiness assessment review should be conducted on an annual basis in order to measure the possibility of attaining the pre-determined objectives. The readiness assessment must be done in a cyclical manner to be effective.

(d) Non-financial performance monitoring and evaluation must be continuously evaluated and updated?

The question asked respondents whether the non-financial performance monitoring and evaluation must be continuously evaluated and updated. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide reasons if the respondents agreed.

Figure 4.11 Continuous evaluation of performance information



The majority (48%) of the Chief Officials agreed and strongly agreed (39%), whilst the minority disagreed (4%) and strongly disagreed (9%) that the non-financial performance monitoring and evaluation must be continuously evaluated and updated, however the majority (60%) of the Political Office Bearers agreed that the non-financial performance

monitoring and evaluation must be continuously evaluated and updated, whilst the minority responded by strongly agree (40%).

It can be deduced that the non-financial performance monitoring and evaluation must be evaluated on a continuous basis with frequent updating of the relevant performance information.

The Chief Officials provided the following comments for their responses.

Non-financial performance can be continuously evaluated and updated during the implementation, at the end of a project or afterwards that is usually after a few months and in some instances a few years after completion and called ex-post evaluation or focus on impact. Focus should be placed on the high risk and high impact areas and then cascaded to other areas in order of importance. Portfolio of evidence must always be available to prove progress made in achieving targets set in indicators. The performance information audit needs to be rated with the financial audits as each output has to be analysed with or against the monetary values. The Government Departments should consider the establishment of programme implementation and coordination units to focus on the non-financial performance of the Government Departments. The information will serve as baseline information and will influence the development of strategies in the process.

The Political Office Bearers provided the following comments for their responses.

The evaluation and updating of the non-financial performance monitoring and evaluation should be performed concurrently whilst implementation is in motion so that there is a dire need for strategy review of which the Government Departments can be advised on

as such. On the other hand the process can assist in re-directing the resources, where necessary, depending on demand for each programme or project that serves as priority area in the Government Departments. This determines whether the Government Departments have the correct staff in the appropriate positions and it also serves to indicate how individual staff members can improve their performance.

4.3.2.4 PROBLEMS BEING EXPERIENCED IN THE IMPLEMENTATION OF PERFORMANCE MONITORING AND EVALUATION (INPUT PHASE CONTINUED)

This range of questions was aimed to test the problems being experienced in the implementation of performance monitoring and evaluation as a continued input phase.

(a) Name three problems being experienced in the implementation of monitoring and evaluation performance

The question asked respondents to provide three problems being experienced in the implementation of monitoring and evaluation performance.

The Chief Officials provided the following comments for their responses.

The monitoring and evaluation can be too compliance orientated. Monitoring and evaluation can be made the scape goat for poor management practices. The key performance areas are not SMART and do not address what the directorates should be performing. The indicators are in specific instances not measurable. The performance is beyond the control of the Chief Officials and the achievement is not determined by the Chief Officials. The problems can be the non-involvement of stakeholders, being unclear and thus not useful and also not transparent or not impartial or independent.

Lack of ownership of performance information by Chief Officials was exercised in the Government Departments. Hard evidence is inadequate to proof performance of the set targets in the indicators in the annual performance plans.

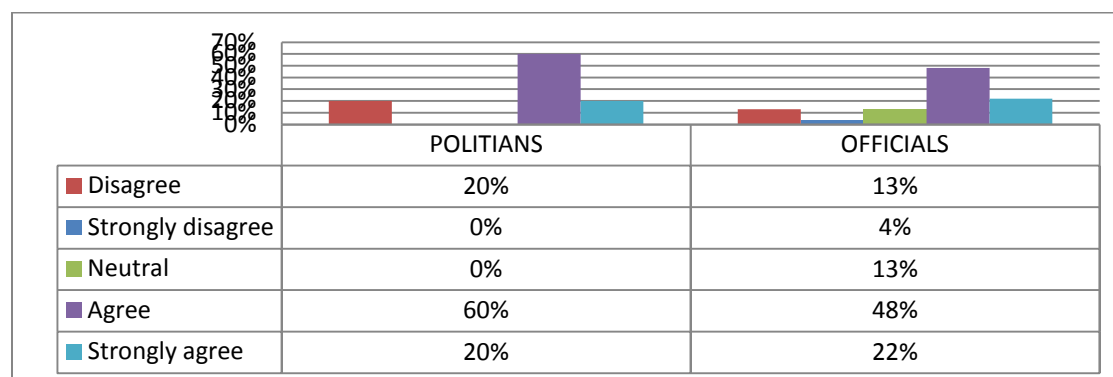
The Political Office Bearers provided the following comments for their responses.

The problems identified were the incompleteness of reported performance information, the inaccuracy of performance information and the questionable validity of data. There is a failure to enter into performance agreements at the beginning of a performance cycle and poor quality performance agreements that make assessments difficult to perform. Interim assessments are also not consistently performed by the Chief Officials.

(b) In your opinion does the relevant legislation make sufficient provision for a workable monitoring and evaluation system?

The question asked respondents whether in their opinion the relevant legislation made sufficient provision for a workable monitoring and evaluation system. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents.

Figure 4.12 Relevant legislation makes provision for monitoring and evaluation



The majority (48%) of the Chief Officials agreed that the relevant legislation makes sufficient provision for a workable monitoring and evaluation system, whilst the minority strongly disagreed (4%), disagreed (13%), neutral (13%) and strongly agreed (22%), however the majority (60%) of the Political Office Bearers agreed that the relevant legislation makes sufficient provision for a workable monitoring and evaluation system, whilst the minority responded strongly agree (20%) and disagree (20%).

It can be deduced that the relevant legislation makes sufficient provision for a workable monitoring and evaluation system.

The Chief Officials provided the following comments for their responses.

The legislation ensures accountability from the Chief Officials, but little time is spent on creativity and solving problems. The Chief Officials are not conversant with legislation and as a result do not know how to get around complex situations creatively. The legislation sets out the minimum monitoring and evaluation criteria and needs further development by the Chief Officials. The annual guidelines by National Treasury are adequate for Government Departments to implement the monitoring and evaluation system. The legislation is sufficient, but there is a need for Regulations which should provide details on how the monitoring and evaluation system should work. Monitoring and evaluation is a powerful public management tool that can be used to improve the manner in which the Government Departments achieve results and thus adequate legislation is required in this process.

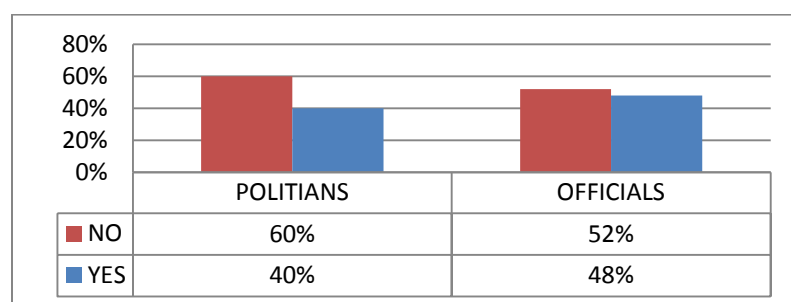
The Political Office Bearers provided the following comments for their responses.

There is a government wide monitoring and evaluation system available as a legislative mandate guiding monitoring and evaluation processes as well as a framework for managing performance information. The problem is with programme managers that seem to be less interested in validation of their own programmes to an extent that the task ends with the institutional monitoring and evaluation directorate instead of custodians of service delivery. Institutional Monitoring and Evaluation is supposed to have an oversight view on performance information.

(c) Is there any technical assistance, capacity building or training underway in the monitoring and evaluation unit now underway or done during the last two years?

The question asked the respondents whether in their opinion there was any technical assistance, capacity building or training underway in the monitoring and evaluation unit underway or done during the last two years. The respondents were required to choose between yes or no. The respondents were requested to provide comments for their answers for their choices provided in the event that they decided to answer no.

Figure 4.13 Technical assistance, capacity building or training



The majority (52%) of the Chief Officials responded in the negative on whether there was any technical assistance, capacity building or training underway in the monitoring

and evaluation directorates underway or done during the last two years, whilst the minority (48%) responded in the positive, however the majority (60%) of the Political Office Bearers responded in the negative on whether there was any technical assistance, capacity building or training underway in the monitoring and evaluation directorates, whilst the minority (40%) responded affirmative.

It can be deduced that there is a lack of technical assistance, capacity building or training underway in the monitoring and evaluation directorates or done during the two previous financial years in the government departments.

The Chief Officials provided the following comments for their responses.

The Government Departments have not applied its mind to develop such a course in monitoring and evaluation. There is a need for continuous training as Chief Officials should have a clear understanding of the monitoring and evaluation system to own it. New appointees join the government institutions and are in need of monitoring and evaluation training. There is a need for training on the Informs System to electronically manage predetermined objectives. There is a lack of support from the Government Departments on capacity building and training on monitoring and evaluation and too much red tape on the operation of the monitoring and evaluation directorates.

4.3.2.5 SETTING OF OBJECTIVES AND OUTCOMES TO MONITOR AND EVALUATE (INPUT PHASE CONTINUED)

This subsection asked questions to the respondents regarding the setting of objectives and outcomes to monitor and evaluate as a continuation of the input phase. The

following areas were covered with the questions asked namely; pre-determined objectives, national determined indicators and setting of outcomes.

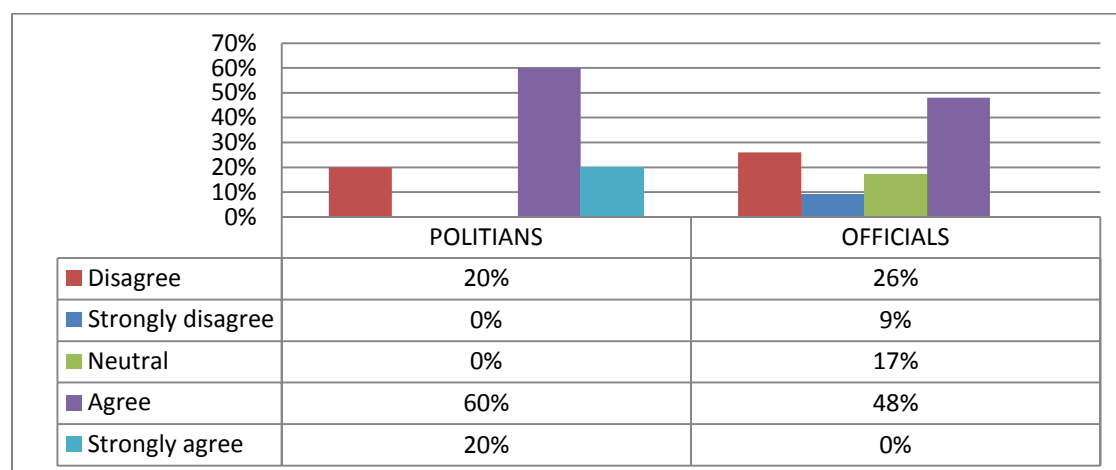
4.3.2.5.1 PRE-DETERMINED OBJECTIVES

One question was asked to test the pre-determined objectives of the National Department and whether its implementation was possible.

(a) The monitoring and evaluation objectives as determined by your National Department can make implementation effectively possible?

The question asked respondents whether in their opinion the monitoring and evaluation objectives as determined by their National Department made implementation of monitoring and evaluation possible. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide reasons for their responses.

Figure 4.14 Objectives determined by national departments



The majority (48%) of the Chief Officials agreed that the monitoring and evaluation objectives as determined by the National Departments make implementation possible, whilst the minority responded with disagree (26%), neutral (17%) and strongly disagree (9%), however the majority (60%) of the Political Office Bearers agreed that the monitoring and evaluation objectives as determined by the National Departments made implementation thereof possible, whilst the minority responded disagree (20%) and strongly agree (20%).

It can be deduced that the monitoring and evaluation objectives as determined by the National Departments and cascaded to the provincial departments, makes implementation of the indicators and targets possible in the annual performance plans.

The Chief Officials provided the following comments for their responses.

The National Department does not consider the geographic zone that the provinces are functioning in and the approach that one size fits all does not always work. It compromises the effectiveness of implementation as these national objectives are not specific regarding the provincial demographic or the focus of the sector department. In specific instances the outcomes are too generic. The National Department determined monitoring and evaluation objectives provide a common framework for measuring and reporting. The national determined indicators do not correspond with the realities on the ground. The pre-determined objectives are broad statements that should be translated to specific goals and objectives in the provincial government departments. The pre-determined objectives need to be set on the strategic plans of the Government Departments to make monitoring and evaluation implementation possible.

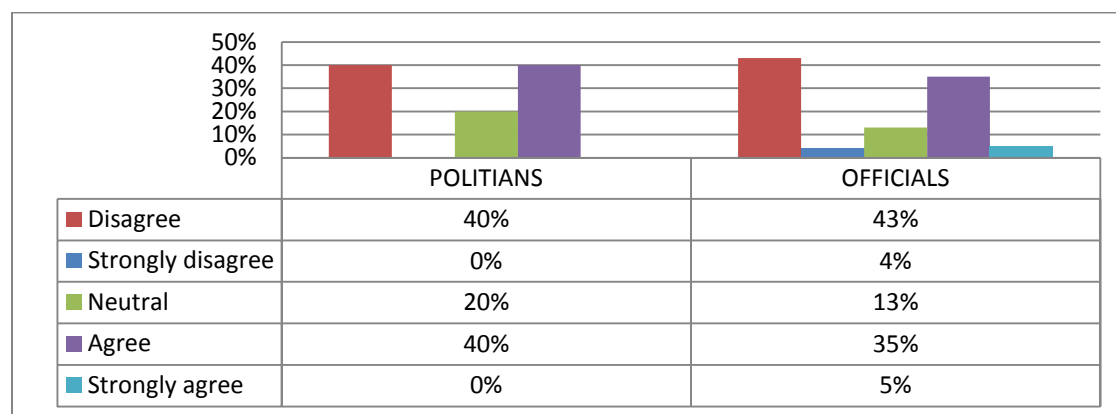
4.3.2.5.2 NATIONAL DETERMINED INDICATORS

The single question enquired from the respondents regarding the national determined indicators on whether it addressed their departmental service provision effectively.

(a) In your opinion, do the national determined indicators address your departmental service provision effectively?

The question asked respondents whether in their opinion the national determined indicators address the service provision in their respective departments. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide reasons for their responses if they were in disagreement.

Figure 4.15 National determined indicators



The majority (43%) of the Chief Officials disagreed that the national determined indicators addressed their departmental service provision effectively, whilst the minority (35%) was in agreement with neutral (13%), strongly disagree (4%) and strongly agree

(5%), however the majority (40%) of the Political Office Bearers responded in a split to disagree and agree each, whilst the minority responded strongly agree (20%).

It can be deduced that the nationally determined indicators do not address the departmental service provision effectively in terms of the annual performance plans.

The Chief Officials provided the following comments for their responses.

The national determined indicators do not correspond with the realities on the ground and the challenges differ between the provinces and the indicators might not cater for the needs of all the provinces. It is good to have national determined indicators as they speak on broad priorities of the government, but there is a need for provincial specific indicators to address particular areas that relate to the provincial sphere of government. The existence and operations of the Provincial Government Departments derives from the National Government Departments and a number of pieces of legislation.

4.3.2.5.3 SETTING OF OUTCOMES

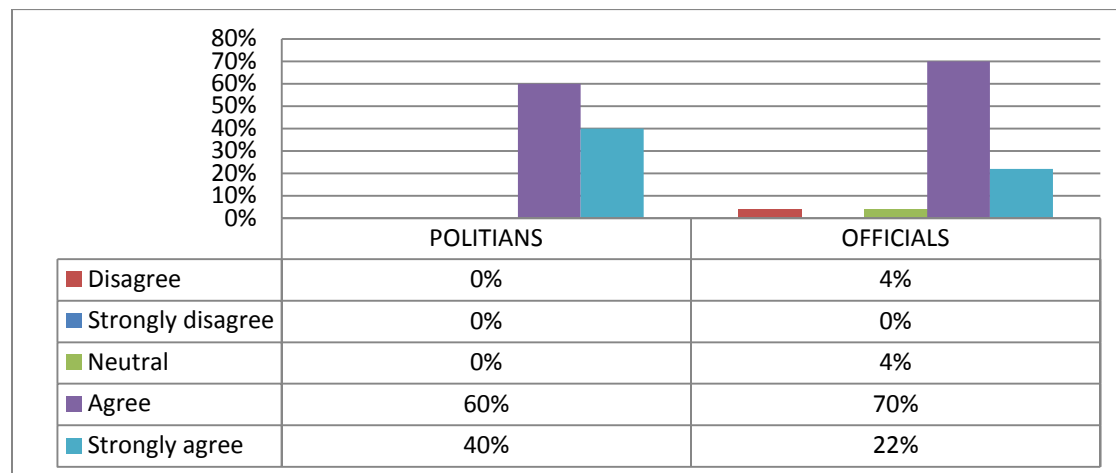
Three questions were asked regarding the setting of outcomes to the respondents.

(a) Building outcomes is a deductive process in which inputs, activities and outputs are all derived and flow from the setting of outcomes?

The question asked respondents whether building outcomes was a deductive process in which inputs, activities and outputs were all derived and flowed from the setting of outcomes. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one

had to be chosen and the respondents were requested to provide reasons for their responses when in disagreement.

Figure 4.16 Building of outcomes



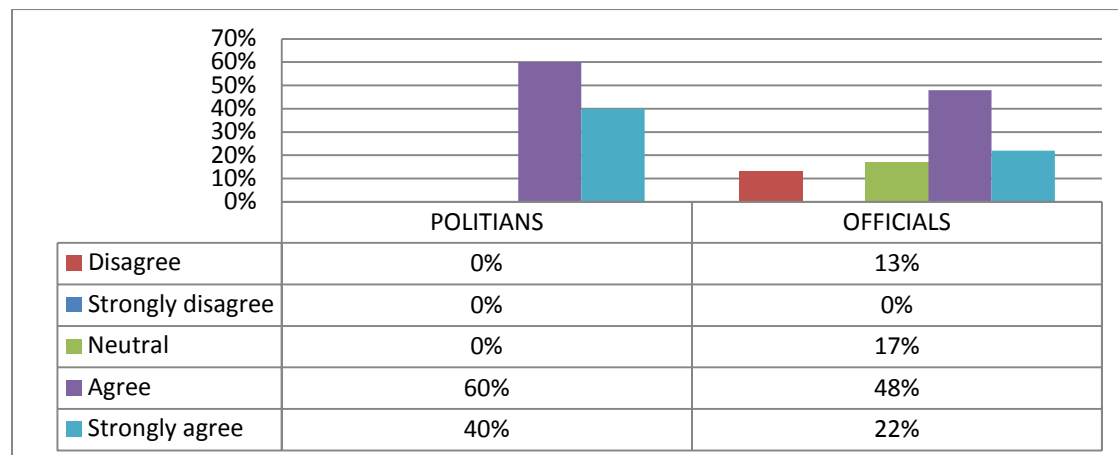
The majority (70%) of the Chief Officials agreed that the building of outcomes is a deductive process in which inputs, activities and outputs are all derived and flow from the setting of outcomes, whilst the minority strongly agreed (22%) and disagreed (4%) and neutral (4%), however the majority (60%) of the Political Office Bearers agreed that the building of outcomes is a deductive process in which inputs, activities and outputs are all derived and flow from the setting of outcomes, whilst the minority (40%) responded by strongly agreeing.

It can be deduced that the building of outcomes is a deductive process in which inputs, activities and outputs are all derived and it flows from setting of outcomes in the development of performance indicators.

(b) All important phases of the performance framework are derived from and based on the setting of outcomes?

The question asked respondents whether all important phases of the performance framework are derived from and based on the setting of outcomes. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide reasons for their responses when in disagreement.

Figure 4.17 All important phases of the performance framework derived from and based on the setting of outcomes



The majority (48%) of the Chief Officials agreed that all important phases of the performance framework are derived from and based on the setting of outcomes, whilst the minority strongly agreed (22%) with the disagreement (13%) and neutral (17%), however the majority (60%) of the Political Office Bearers agreed that all important phases of the performance framework are derived from and based on the setting of outcomes, whilst the minority (40%) strongly agreed.

It can be deduced that all important phases of the performance framework are derived from and based on the setting of outcomes whilst crafting performance indicators in the annual performance plans of the government departments.

The Chief Officials provided the following comments for their responses.

Some indicators are outputs that are not based on the government outcome based approach. The important phases of the performance framework are not always derived from and based on the setting of outcomes; however it would be the ideal situation.

(c) What is your department's role in the setting of departmental outcomes?

The question asked respondents what the roles of their departments were in the setting of departmental outcomes. Through the annual strategic planning process the Government Departments ensure that departmental objectives and outcomes are aligned to the provincial and national targets.

The Chief Officials provided the following comments for their responses.

A general feeling of limitation and confusion is experienced. The inputs into the nationally determined indicators are limited. The role of the Government Department is to translate problems into statements of possible outcome improvements. It must develop a plan to assess how the department will achieve these outcomes. The setting of outcomes is the role of Chief Officials that is performed during strategic sessions, however the weakness is that time is not allocated for the outcomes to be tested in the Government Departments. The Government Departments are ensuring linkages between departmental objectives and set outcomes. The Provincial Government

Departments participate on the setting of outcomes through engagements with the National Government Departments.

The Political Office Bearers provided the following comments for their responses.

The Provincial Government Departments do not play much of a role in the setting of departmental outcomes and instead they align themselves with the national government department's outcomes for their particular sectors. The department provides a yard stick for the determination of other departments in the provincial government.

4.3.2.6 ADMINISTRATIVE ENABLING PROBLEMS EXPERIENCED BY CHIEF OFFICIALS. (PROCESSING PHASE)

Questions were asked regarding the administrative enabling problems experienced by Chief Officials during the processing phase. The administrative enabling problems experienced by the Chief Officials were spread over six questions namely; setting of result targets and monitoring for results, financial arrangements for monitoring and evaluation, personnel arrangements for monitoring and evaluation, procedural arrangements for monitoring and evaluation and organisational arrangements for monitoring and evaluation.

4.3.2.6.1 SETTING OF RESULTS TARGETS AND MONITORING FOR RESULTS

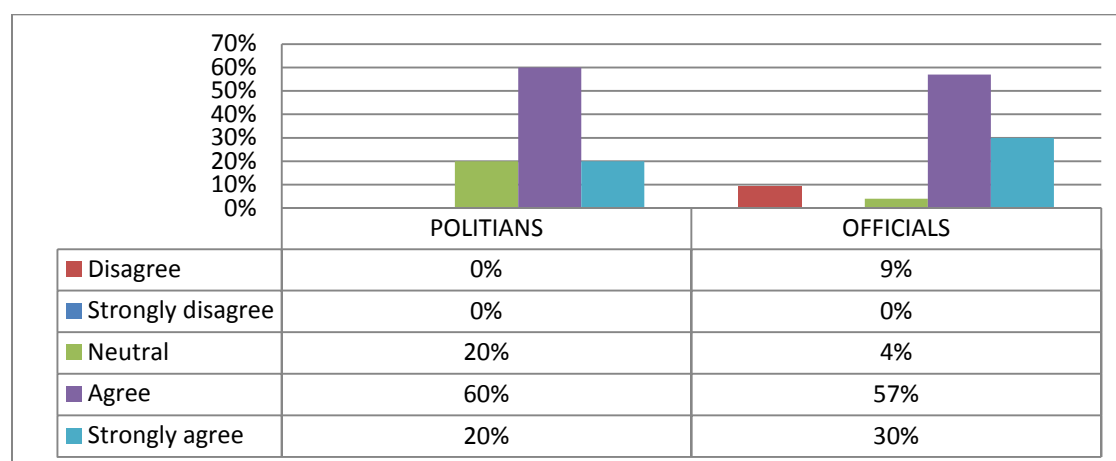
The first subsection deals with the setting of results, target and monitoring for results.

Nine questions were asked to test the setting of results targets and monitoring for results.

(a) A target is seen as a specified objective that indicates the number, timing and location of that which needs to be realized?

The question asked respondents whether a target is seen as a specific objective that indicates the number, timing and location of that which needs to be realized. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide reasons for their responses when in agreement.

Figure 4.18 Target as a specific objective



The majority (57%) of the Chief Officials agreed that all important phases of the performance framework are derived from and based on the setting of outcomes, whilst the minority strongly agreed (30%) with the disagreement (9%) and neutral (4%), however the majority (60%) of the Political Office Bearers agreed that all important phases of the performance framework are derived from and based on the setting of outcomes, whilst the minority responded strongly agreed (20%) and neutral (20%).

It can be deduced that all important phases of the performance framework are derived from and based on the setting of outcomes in the performance indicators for inclusion in the annual performance plans.

The Chief Officials provided the following comments for their responses.

The target will indicate if the intended objective has been achieved or not through examining the target. The targets should be based on what the Government Departments plan to achieve that will make an impact in that particular area. The target shows how the broader objectives have been decomposed into specifics and in relation to beneficiation in communities and the society at large. The targets link the government department's objectives with the appropriate program structures. The targets are specific and should be of such quality that it can be measured.

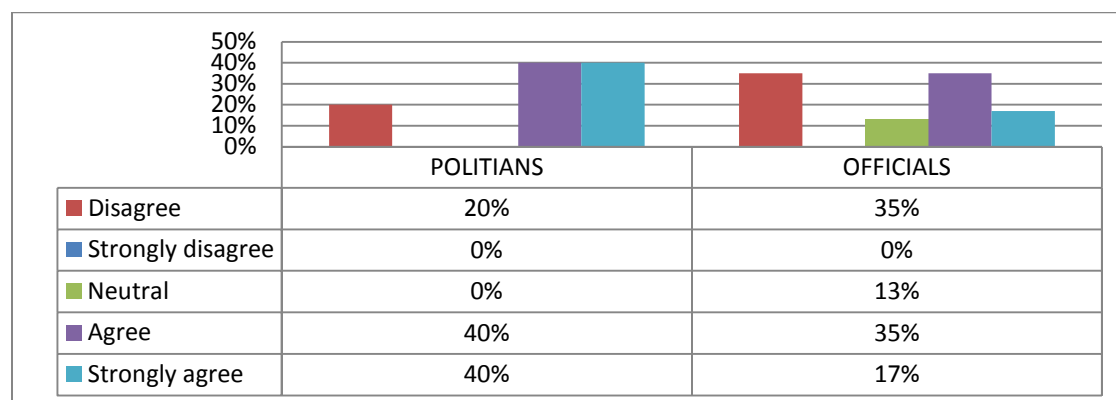
The Political Office Bearers provided the following comments for their responses.

In specific instances the objectives are not numbers driven and needs a different expression.

(b) Target setting is the final step in building the performance framework?

The question asked respondents whether target setting is the final step in building the performance framework. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide reasons for their responses when in agreement.

Figure 4.19 Target setting final step in building the performance framework



The majority response was received from the Chief Officials that disagreed (35%) and agreed (35%) that target setting is the final step in building the performance framework, whilst the minority responded neutral (13%) and strongly agreed (17%), however the majority of Political Office Bearers responded agreed (40%) and strongly agreed (40%), whilst the minority (20%) disagreed.

It can be deduced that target setting is the final step in building the performance framework since the majority between the chief officials and political agreed upon.

The Chief Officials provided the following comments for their responses.

Target setting is part of the building of the performance framework and it is not the first or final step in the process. The performance-based framework matrix becomes the basis for planning, (implications for budgeting, resource allocation, staffing). It will guide the Chief Officials to see if objectives/outcomes are achieved. Target setting indicate where the Government Departments plan to achieve within a particular period and time.

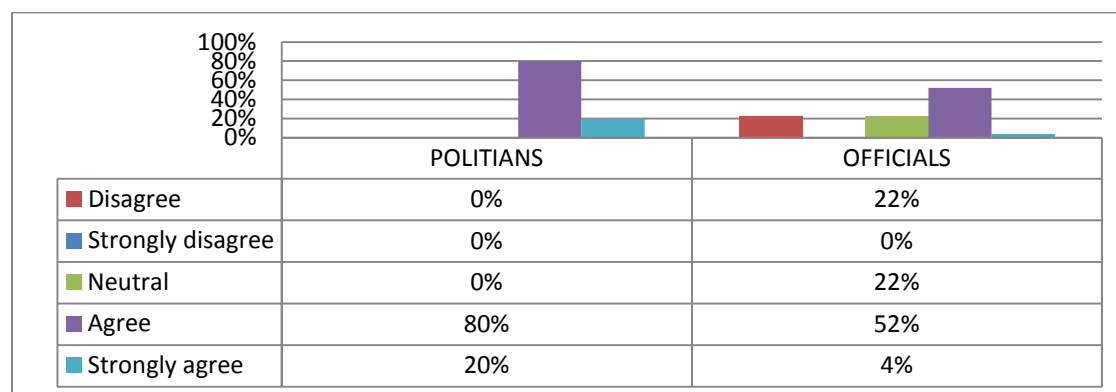
The Political Office Bearers provided the following comments for their responses.

The departmental target setting is not a final step, as the target still has to be elevated to the operational and annual performance plans after which the target might have to be aligned to available resources in the form of financial and human capital as key drivers of the strategy implementation.

(c) Does your department set quantifiable levels of the targets your department intends to achieve by a given time?

The question asked respondents whether their departments set quantifiable levels of the targets that their departments intended to achieve by a given date. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide reasons for their responses when in agreement.

Figure 4.20 Setting quantifiable levels of the targets



The majority (52%) of the Chief Officials agreed that their departments set quantifiable levels of the targets that they intend to achieve by a given date, whilst the minority responded neutral (22%) and disagreed (22%) with the strongly agreed (4%), however

the majority (80%) of the Political Office Bearers agreed that their departments set quantifiable levels of the targets that they intend to achieve by a given date, whilst the minority (20%) strongly agreed.

It can be deduced that the departments set quantifiable levels of the targets that they intends to achieve by a given date of the indicators for inclusion in the annual performance plans.

The Chief Officials provided the following comments for their responses.

The targets are set in quantifiable levels; however it is not done in all instances. Some programmes link their targets to external stimuli such as a target mainly by the local sphere of government or sector departments and as such the co-ordinating department has very little control over the process. Most of the targets are based on numbers or percentages.

The Political Office Bearers provided the following comments for their responses.

The setting of quantifiable levels of the targets is triggered by the application of the SMART principle as the Government Departments intend to achieve it by a given time.

(d) Name three problems in the setting of targets in your department

The question asked respondents to name three problems in their departments in the setting of targets in their departments

The Chief Officials provided the following comments.

Targets are unrealistic, beyond the control of the Chief Officials, poorly developed and ambiguous. Targets are immeasurable. Targets are not expressed in terms of quantity

and in percentages in some instances. Programmes delink indicators and their targets to the supply chain processes. The timing of the political decision making, strategic planning and budget deadlines are not aligned to ensure proper construction of the annual performance plan, operational plan and the budget. Unplanned crisis requests for funding during the course of the year that resulted in budget adjustments. The Government Departments can in instances do under setting and also over setting of their targets in the indicators. The setting of baseline information is not observed by the Government Departments when setting targets and thus previous outputs of previous periods are not taken into consideration during the planning stage. Information management is lacking which leads to thumb sucking of targets for specific indicators due to insufficient data to support the target setting. The different components between directorates are not co-operating in the setting of targets.

The Political Office Bearers provided the following comments for their responses.

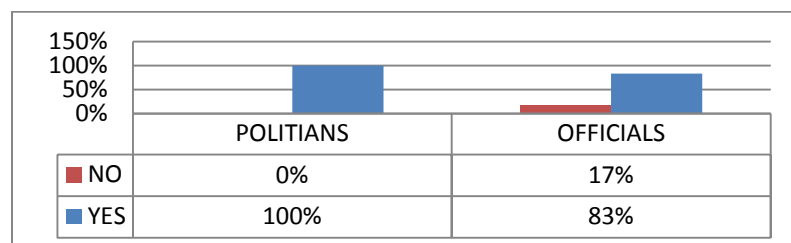
The following problems were identified where in most instances targets were not well-defined, verification of targets was not properly done as a result the use of baseline information does not add much value in the transformation of the government institutions to improve performance. The practise of thumb sucked targets setting does not address the demands at the coalface of service delivery.

(e) Does the setting of targets in your department commence with baseline indicator level upon which all future planning is done?

The question asked the respondents whether the setting of targets in their departments commence with baseline indicator level upon which all future planning is done. The

respondents choose between yes/no. The respondents were requested to provide comments for their answers for their choices provided in the event that they decided to answer no.

Figure 4.21 Setting of targets commence with a baseline indicator level



The majority (83%) of the Chief Officials responded affirmative that the setting of targets in their departments commence with a baseline indicator level upon which all future planning is done, whilst the minority negative responses resulted in (17%), however the majority (100%) of the Political Office Bearers responded affirmative that the setting of targets in their departments commence with a baseline indicator level on which all future planning is done.

It can be deduced that the setting of targets in the departments commence with a baseline indicator level upon which all future planning is done for the development of performance indicators to be included in the annual performance plans.

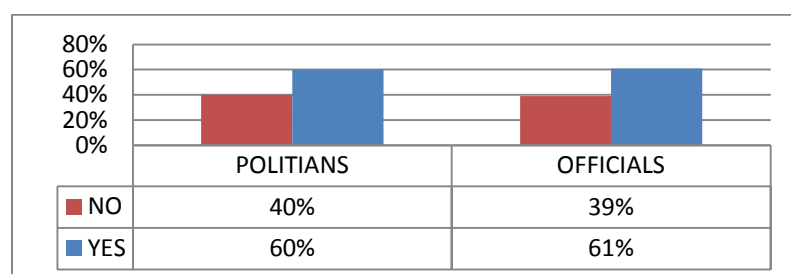
The Chief Officials provided the following comments for their responses.

It is done, however it is characterised by misalignment of plans. In instances that the Provincial Departments have districts there is no integrated planning between the head office and the district offices.

(f) Does your department consider the expected funding and resource levels in setting of targets and outcomes sufficient?

The question asked the respondents whether their departments consider the expected funding and resource levels in the setting of targets and outcomes sufficiently. The respondents were required to choose between yes or no. The respondents were requested to provide comments for their answers in the event that they decided to answer no.

Figure 4.22 Expected funding and resource levels in setting of targets and outcomes



The majority (61%) of the Chief Officials responded affirmative whether their departments considered the expected funding and resource levels in setting of targets and outcomes sufficiently, whilst the minority (39%) responded negative, and the majority (60%) of the Political Office Bearers responded affirmative, whilst the minority (40%) were responding in the negative on whether their departments considered the expected funding and resource levels in setting of targets and outcomes sufficiently.

It can be deduced that the departments considered the expected funding and resource levels in setting of targets and outcomes sufficiently in the performance indicators included in the annual performance plans of the Government Departments.

The Chief Officials provided the following comments for their responses.

The budgets are done without consideration of the costs of implementing targets set in the indicators and the budget does not follow function. The compensation of employees consumes a large portion of the annual budget with the result that funds available for service delivery are restricted.

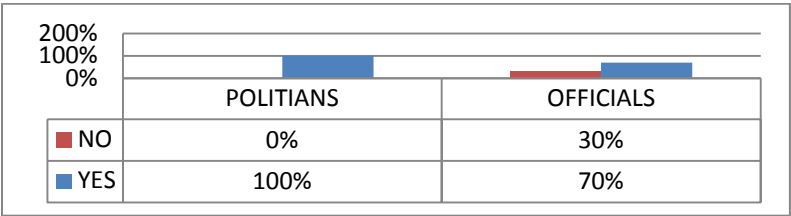
The Political Office Bearers provided the following comments for their responses.

The Government Departments adopted the zero-based approach in specific instances where target setting is informed by a needs analysis and in the event that the expecting funding does not meet the needs the Government Departments can consider re-prioritization based on needs of the service delivery beneficiaries.

(g) Does your department succeed effectively on improving on the baseline for programme activities?

The question asked the respondents whether their departments succeeded effectively on improving on the baseline for programme activities. The respondents were required to choose between yes or no. The respondents were requested to provide comments for their answers in the event that they decided to answer no.

Figure 4.23 Improving on the baseline



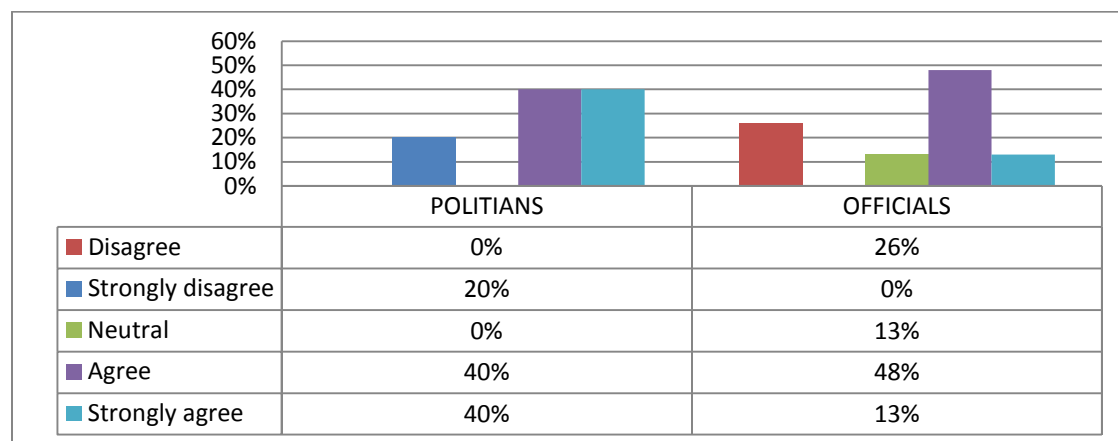
The majority (70%) of the Chief Officials responded affirmative that their departments succeed effectively on improving on the baseline for program activities whilst the minority (30%) answered in the negative; however the majority (100%) of the Political Office Bearers responded affirmative.

It can be deduced that the Government Departments succeeded effectively on improving on the baseline for program activities in the performance indicators.

(h) The setting of targets is part of the political process and there will be political ramifications for either meeting or not meeting such targets?

The question asked respondents whether the setting of targets is part of the political process and if there would be political ramifications for either meeting or not meeting such targets. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents were requested to provide reasons for their responses when in agreement.

Figure 4.24 Setting of targets



The majority (48%) of the Chief Officials agreed that the setting of targets is part of the political process and there will be political ramifications for either meeting or not meeting such targets, whilst the minority disagreed (26%), neutral (13%) and strongly agreed (13%), however the majority of the Political Office Bearers responded on strongly agreed (40%) and agreed (40%) whilst the minority responded to strongly disagree (20%).

It can be deduced that the setting of targets is part of the political process and there will be political ramifications for either meeting or not meeting such targets as set in the indicators as reflected in the annual performance plans of the government departments.

The Chief Officials provided the following comments for their responses.

The political head is accountable to the public whom have voted the political head in to deliver on specific services. Delivery agreements with political heads are a case in point. The political head must account to the political party that he/she belongs to and pressure will be applied on chief officials to perform their performance indicators. The process of setting targets is influenced by the needs of societies that fall within the political constituencies. On a regular basis it is politically required to launch specific projects during the course of the year that was not budgeted for. In other instances persons with political power can cancel specific projects and substitute it with projects that were not budgeted for.

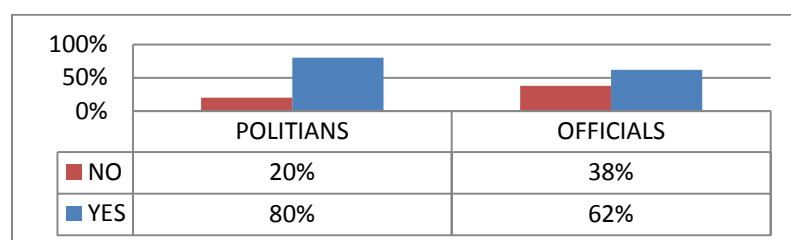
The Political Office Bearers provided the following comments for their responses.

The process of setting targets must be preceded by political processes during which specific priorities are determined.

(i) Does your department set realistic targets which recognize that most desired outcomes are long term completed and not quickly achieved?

The question asked the respondents whether their departments were setting realistic targets which recognize that most desired outcomes are long term completed and not quickly achieved. The respondents were required to choose between yes or no. The respondents were requested to provide comments for their answers for their choices provided in the event that they decided to answer no.

Figure 4.25 Setting of realistic targets



The majority (62%) of the Chief Officials responded affirmative on whether their departments set realistic targets which recognize that most desired outcomes are over the long term completed and not quickly achieved, whilst the minority responded in the negative (38%), however the majority (80%) of the Political Office Bearers responded affirmative, whilst the minority (20%) responded negatively.

It can be deduced that the government set realistic targets which recognize that most desired outcomes are long term completed and not quickly achieved.

The Chief Officials provided the following comments for their responses.

The nationally determined indicators do not correspond with the realities on the ground. Targets are not thought through over the MTEF three year budget period. The setting of targets undergoes a constant review since there is always room for improvement. The targets in indicators are in some instances not achieved due to the lack of control of performance information submitted by district offices to the provincial head offices. The Government Departments are not setting realistic targets due to not performing a situational analysis during the planning stage. The Government Departments are not scanning the environment and the baseline information.

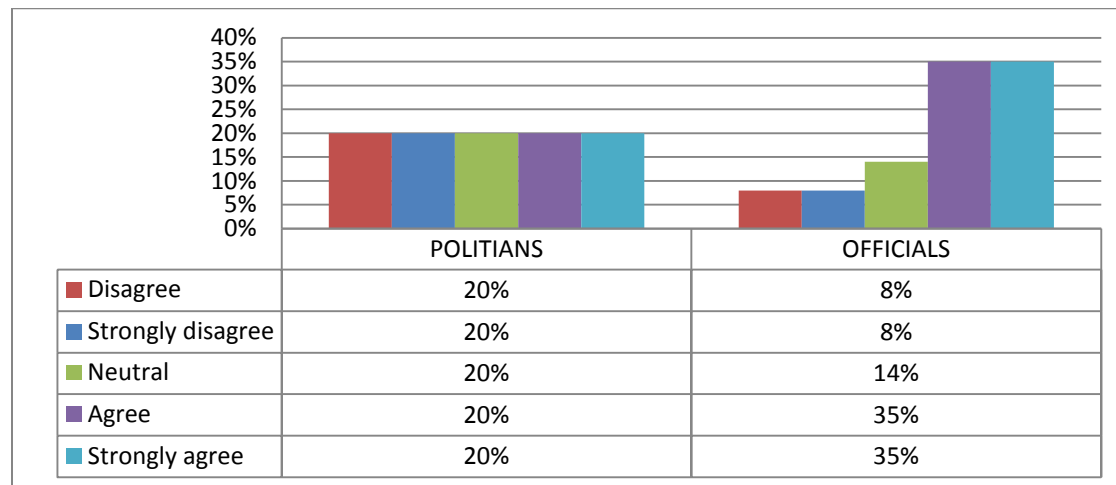
4.3.2.6.2 FINANCIAL ARRANGEMENTS FOR MONITORING AND EVALUATION

This subsection asked three questions from the respondents regarding the financial arrangements for monitoring and evaluation in their respective departments from both Political Office Bearers and the Chief Officials.

(a) Available finance is inadequate to meet effective implementation of performance monitoring and evaluation programmes?

The question asked respondents whether the available finance is inadequate to meet effective implementation of performance monitoring and evaluation programmes. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree.

Figure 4.26 Adequacy of finance



The majority of the Chief Officials responded strongly agreed (35%) and agreed (35%), whilst the minority responded by disagreed (8%), strongly agreed (8%) and neutral (14%) on whether the available finance is inadequate to meet the effective implementation of performance monitoring and evaluation programs, however the Political Office Bearers responded evenly at (20%) for disagreed, strongly agreed, neutral, agreed and strongly agreed.

It can be deduced that the financing of performance monitoring implementation is inadequate to meet the effective implementation of performance monitoring and evaluation programs in the government departments.

The Chief Officials provided the following comments for their responses.

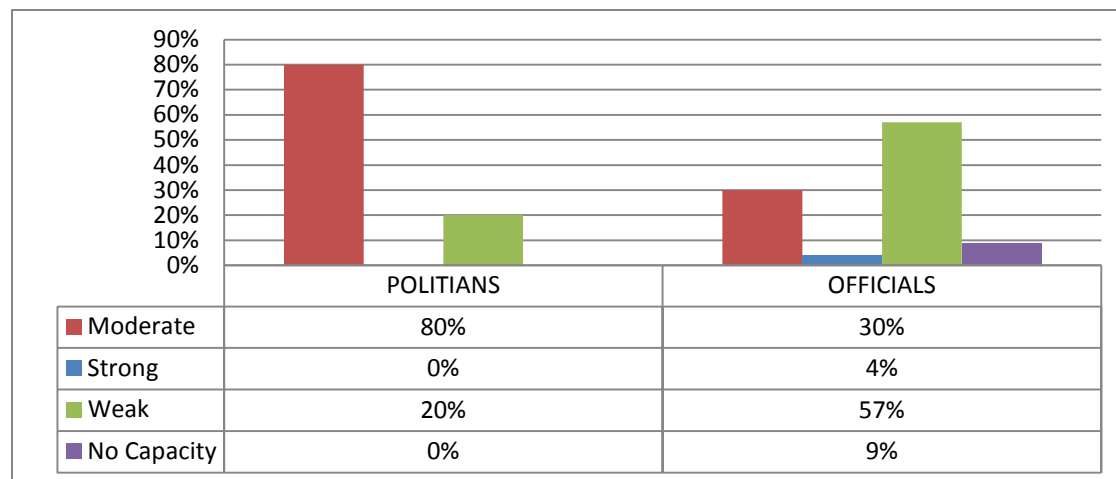
The implementation of the monitoring and evaluation programmes are not regarded as important by Government Departments and this leads to inadequate funding. The budget of the monitoring and evaluation directorate is relatively small that restricts regular rigorous monitoring and evaluation processes. Budget allocated to the

Government Departments are not adequate to meet all critical mandates and as a result the review, reporting and compliance suffers as a constant reprioritisation of funds. The Government Departments are implementing projects and the monitoring and evaluation directorates are not adequately resourced to monitor and evaluate the projects. The Chief Officials do not understand the importance of monitoring and evaluation and thus limited resources were allocated for the monitoring and evaluation directorates.

(b) Overall, how do you rate the financing of provincial performance monitoring and evaluation in the province of the Eastern Cape?

The question asked respondents to provide an overall rating of the financing of provincial performance monitoring and evaluation in the province. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide comments for their responses.

Figure 4.27 Rate of financing the monitoring and evaluation



The majority (57%) of the Chief Officials responded that the rate of financing the provincial performance monitoring and evaluation is weak, whilst the minority responded moderate (30%), strong (4%) and no capacity (9%), however the majority (80%) of the Political Office Bearers consider the financing of the provincial performance monitoring and evaluation to be moderate, whilst the minority (20%) responded that it was weak.

It can be deduced that the financing the performance monitoring and evaluation is a problem since the Chief Officials rated it weak by majority and the Political Office Bearers rated it moderate by majority responses.

The Chief Officials provided the following comments for their responses.

Performance monitoring and evaluation is not able to conduct all the monitoring and evaluation processes due to budgetary constraints. The monitoring and evaluation directorates is treated as an after thought function due to the moderate financing. The monitoring and evaluation directorates are not service delivery orientated and as a result are overlooked.

The monitoring and evaluation function is not always financed sufficiently and as a result it becomes difficult to comply with the management of the performance assessment tool standards where departments are required to conduct at least one evaluation study for one of the key departmental projects.

(c) How will the monitoring and evaluation system support effective resource allocation for the achievement of departmental goals?

The question asked respondents on how the monitoring and evaluation system support effective resource allocation for the achievement of departmental goals.

The Chief Officials provided the following comments for their responses.

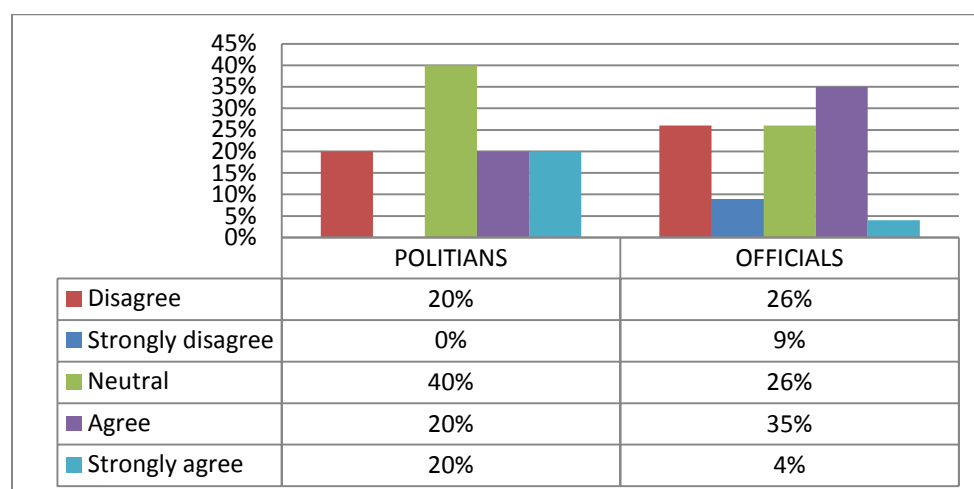
The monitoring and evaluation directorate will calculate the operational cost of delivering on a target. It will show stronger links between spending and results and between organisational performance and the personal accountability of Chief Officials. The monitoring and evaluation directorate would be able to conduct regular checks and monthly monitoring if adequately funded. Reports from the monitoring and evaluation directorate details challenges, weaknesses and practical problems with the implementation of the annual performance plan and will be of assistance in the process of resource allocation. Monitoring and evaluation could be able to advise the Government Departments on projects that make the greatest impact so that funding and resources could be focussed on those areas. The monitoring and evaluation directorates are not properly supported with resources and as such will not be in a position to provide the support that is needed by the Government Departments.

4.3.2.6.3 PERSONNEL ARRANGEMENTS FOR MONITORING AND EVALUATION

(a) The existing personnel is adequately trained, skilled and managed to ensure effective implementation of performance monitoring and evaluation?

The question asked respondents whether the existing personnel was adequately trained, skilled and managed to ensure effective implementation of performance monitoring and evaluation. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree.

Figure 4.28 Adequacy of existing staff



The majority (35%) of the Chief Officials agreed that the existing personnel is adequately trained, skilled and managed to ensure effective implementation of performance monitoring and evaluation, whilst the minority responses disagree (26%), strongly agreed ((9%), neutral (26%) and strongly agreed (4%), however the majority (40%) of the Political Office Bearers responded neutral whilst the minority responses were disagree (20%), agree (20%) and strongly agreed (20%).

It is inconclusive whether the existing personnel is adequately trained, skilled and managed to ensure effective implementation of performance monitoring and evaluation since only the Chief Officials agreed with a low percentage and Political Office Bearers responded neutral in the majority.

The Chief Officials provided the following comments for their responses.

The directorate head of monitoring and evaluation trained staff from other components since staff equipped with monitoring and evaluation skills are scarce. The monitoring

and evaluation staff needs to undergo an accredited course on monitoring and evaluation to remain abreast of the latest developments in the field.

(b) How will your departmental officials react to negative information generated by the monitoring and evaluation system?

The question asked respondents how their respective departmental officials would react to negative information generated by the monitoring and evaluation system.

The Chief Officials provided the following comments for their responses.

In the event that the rules of monitoring and evaluation was explained to the officials beforehand it would be up to the officials to manage any negative outcomes. The officials are responding negatively in some instances. The Chief Officials will respond positive if the monitoring and evaluation reports favour them and will be negative if it does not. There would initially be negative attitudes, but if the Chief Officials are made to understand that this will only improve their performance there will be gradual change. The attitudes can be overcome when monitoring and evaluation assists the government programs to overcome their problems and develop corrective action plans.

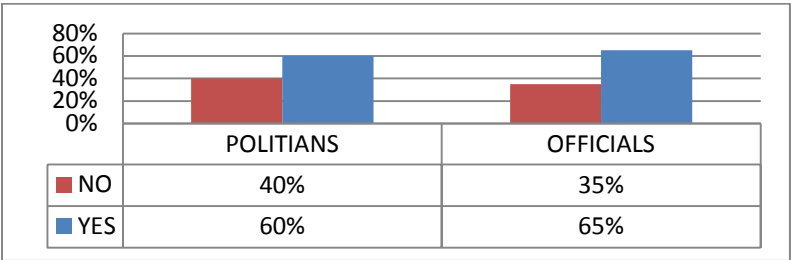
The Political Office Bearers provided the following comments for their responses.

The Chief Officials always re-act defensive as they perceive the monitoring and evaluation as spying on them more than perceiving them as a catalyst for the transformation of the Government Departments.

(c) Are the departmental line managers suitably qualified to implement the monitoring and evaluation system in their directorates?

The question asked the respondents whether their departmental line managers were suitably qualified to implement the monitoring and evaluation system in their directorates. The respondents were required to choose between yes or no.

Figure 4.29 Departmental line managers qualifications



The majority (65%) of the Chief Officials responded affirmative on whether the departmental line managers are suitably qualified to implement the monitoring and evaluation system in their directorates, whilst the minority (35%) responded negative and the majority (60%) of the Political Office Bearers responded affirmative, whilst the minority (40%) responded negative on the matter.

It can be deduced that the departmental line managers are suitably qualified to implement the monitoring and evaluation system in their directorates.

The Chief Officials provided the following comments for their responses.

More time is needed to draft key performance indicators step by step and then monitoring them. Training should be providing since some Chief Officials have not been exposed to monitoring and evaluation issues.

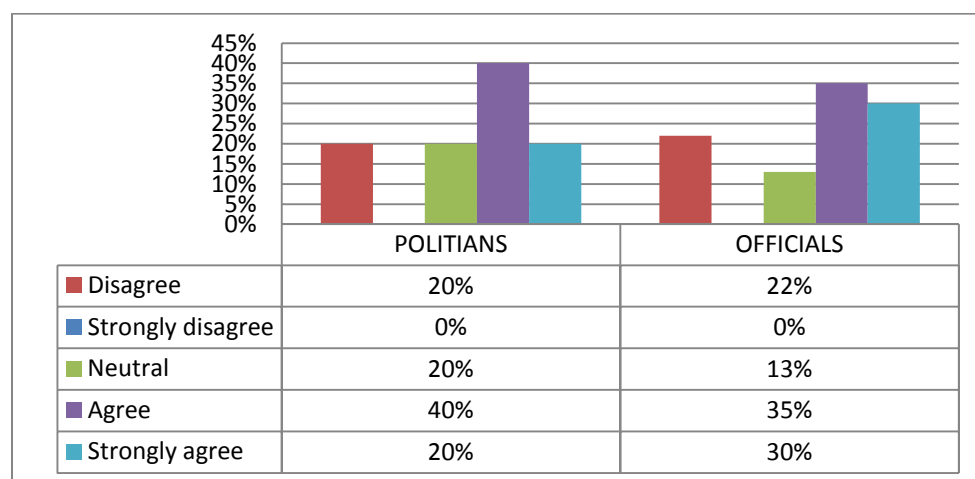
4.3.2.6.4 ORGANISATIONAL ARRANGEMENTS FOR MONITORING AND EVALUATION

This subsection requested responses from both Political Office Bearers and Chief Officials on the organisational arrangements for monitoring and evaluation in their respective departments and one question was asked.

(a) The existing organisational structures (e.g. sections and posts) are inadequate to ensure effective performance monitoring and evaluation within provincial departments?

The question asked respondents whether the existing organisational structures such as posts and sections were inadequate to ensure effective performance monitoring and evaluation within their respective provincial departments. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide comments for their responses when in disagreement.

Figure 4.30 Adequacy of the existing organizational structures



The majority (35%) of the Chief Officials agreed that the existing organisational structures are inadequate to ensure effective performance monitoring and evaluation within provincial departments, whilst the minority responses were in disagreement (22%), neutral (13%) and strongly agreed (30%), however the majority (40%) of the Political Office Bearers agreed that the existing organisational structures are inadequate to ensure effective performance monitoring and evaluation within provincial departments, whilst the minority responded disagree (20%), neutral (20%) and strongly agreed.

It can be deduced that the existing organisational structures are inadequate to ensure effective performance monitoring and evaluation within provincial departments.

The Chief Officials provided the following comments for their responses.

The Government Department has a fairly good structure to ensure effective performance monitoring and evaluation. The Government Departments should have representatives in the districts and on the ground levels to feed the system with performance information for collation into provincial reports.

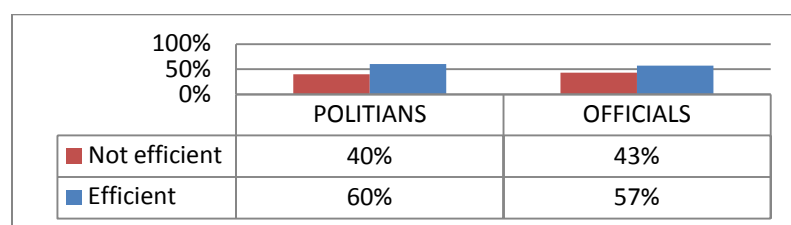
4.3.2.6.5 PROCEDURAL ARRANGEMENTS FOR MONITORING AND EVALUATION

This subsection requested responses on the procedural arrangements for monitoring and evaluation in their respective departments covering two questions.

(a) In your opinion, are the existing procedures sufficient to ensure effective monitoring and evaluation?

The question asked respondents whether in their opinion the existing procedures were sufficient to ensure effective monitoring and evaluation and provided a choice of effective and not effective and requested the respondents that answered in the negative to motivate their responses.

Figure 4.31 Existing procedures satisfied



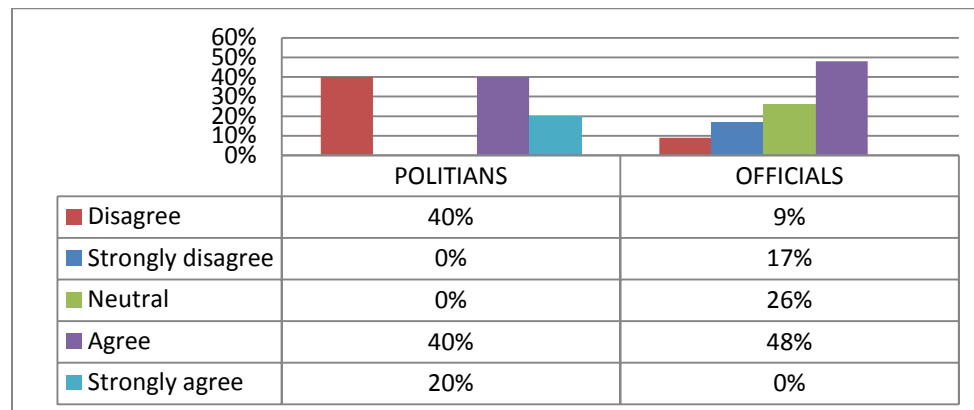
The majority (57%) of the Chief Officials regards that the existing procedures sufficient to ensure effective monitoring and evaluation are efficient, whilst the minority (43%) regards it as not efficient and the majority (60%) of the Political Office Bearers regard it as efficient, whilst the minority responses regard it as not efficient (40%).

It can be deduced that the existing procedures are sufficient to ensure effective monitoring and evaluation are efficient in the Government Departments.

(b) The existing work procedures and methods are adequate to ensure the effective implementation of performance monitoring and evaluation programs?

The question asked respondents whether the existing work procedures and methods were adequate to ensure effective implementation of performance monitoring and evaluation within their respective Provincial Departments. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents.

Figure 4.32 Adequacy of existing work procedures



The majority (48%) of the Chief Officials agreed that the existing work procedures and methods are adequate to ensure the effective implementation of performance monitoring and evaluation program, whilst the minority disagreed (9%), strongly disagreed (17%) and neutral (26%), however the majority (40%) of the Political Office Bearers responded for both disagreed and agreed, whilst the minority (20%) strongly agreed.

It can be deduced that the existing work procedures and methods are adequate to ensure the effective implementation of performance monitoring and evaluation program.

The Chief Officials provided the following comments for their responses.

Limited procedures on workflow are recorded. There is a need to conduct a performance monitoring needs reviewed to enable a smooth reporting system that is available and understood by all users of the reporting system.

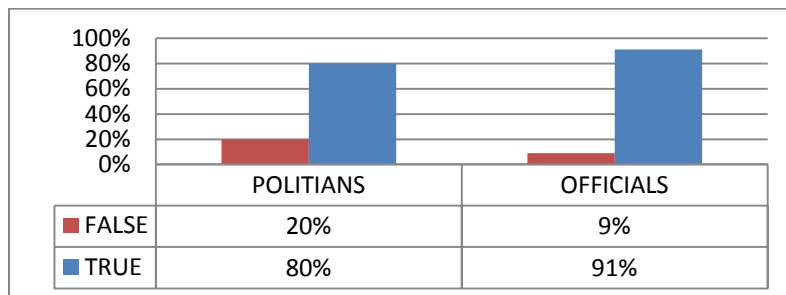
4.3.2.6.6 CONTROL ARRANGEMENTS FOR MONITORING AND EVALUATION

This subsection requested responses from both Political Office Bearers and Chief Officials on the control arrangements for monitoring and evaluation in their respective departments. Seven questions were asked from the respondents since monitoring and evaluation was tested as a control measure in Public Administration.

(a) Monitoring and evaluation is a measure to exercise control?

The question asked respondents whether monitoring and control is a measure to exercise control and requested the respondents to choose between true or false.

Figure 4.33 Monitoring and evaluation as measure of control



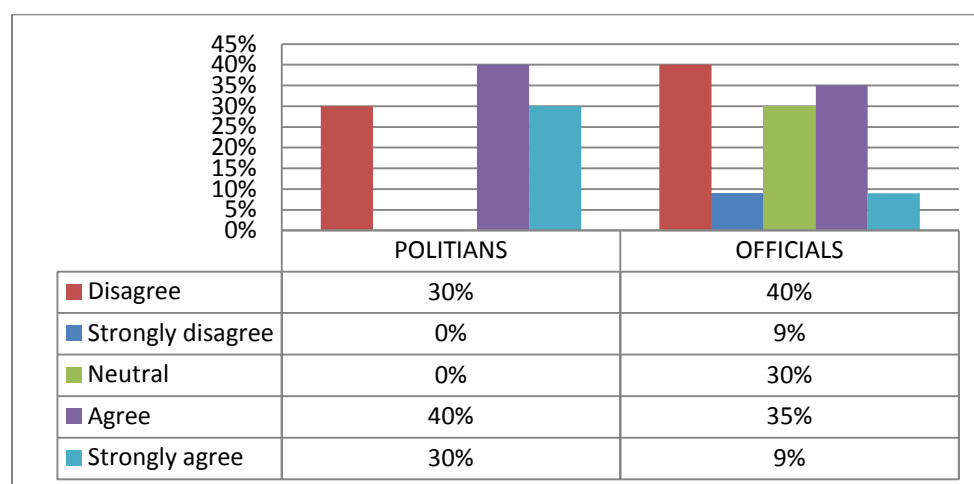
The majority (91%) of the Chief Officials responded it is true that monitoring and evaluation is a measure to exercise control, whilst the minority (9%) responded that it is false, however the majority (80%) of the Political Office Bearers responded that it is true, whilst the minority (20%) responded that it was false.

It can be deduced that monitoring and evaluation is a measure to exercise control in the government departments.

(b) The existing of control measures are adequate and effective for the controlling of performance monitoring and evaluation programs?

The question asked respondents whether the existing control measures were adequate to ensure effective controlling of performance monitoring and evaluation within their respective Provincial Departments. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide comments for their responses when in disagreement.

Figure 4.34 Adequacy of existing control measures



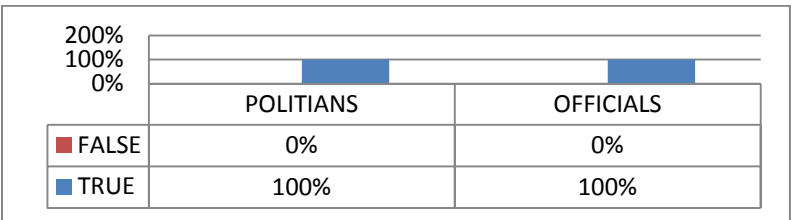
The majority (40%) of the Chief Officials disagreed that the existence of control measures are adequate and effective for the controlling of performance monitoring and evaluation programs, whilst the minority agreed (35%), neutral (30%), strongly disagreed (9%) and strongly agreed (9%), however the majority (40%) of the Political Office Bearers agreed, whilst the minority strongly agreed (30%) and disagreed (30%).

It can be deduced that the existence of control measures are inadequate and ineffective for the controlling of performance monitoring and evaluation programs in the government departments.

(c) Monitoring as a control measure ought to be based on realistic standards?

The question asked respondents whether monitoring as a control ought to be based on realistic targets and requested the respondents to choose between true or false

Figure 4.35 Monitoring and evaluation as control measure based on realistic standards



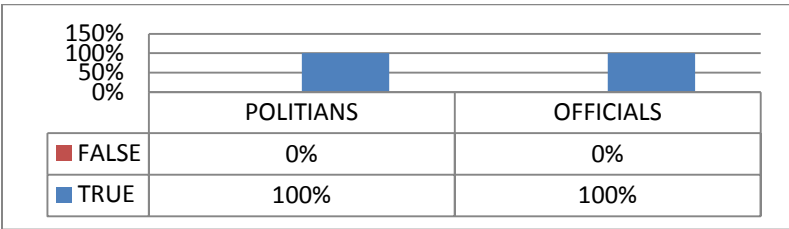
The majority (100%) of the Chief Officials responded that it is true that monitoring as a control measure ought to be based on realistic standards, and the majority (100%) of the Political Office Bearers agreed.

It can be deduced that monitoring as a control measure ought to be based on realistic standards.

(d) Monitoring requires effective demanding of accountability and the rendering of account from provincial officials?

The question asked respondents whether monitoring required effective demanding of accountability and the rendering of account from provincial officials and requested the respondents to choose between true or false

Figure 4.36 Effective demanding of accountability



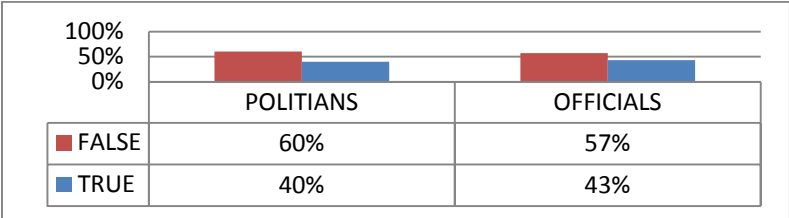
The majority (100%) of the Chief Officials responded that monitoring requires effective demanding of accountability and the rendering of account from provincial officials and the majority (100%) Political Office Bearers agreed.

It can be deduced that monitoring requires effective demanding of accountability and the rendering of account from provincial officials.

(e) Monitoring as a control measure evaluate performance and its effectiveness mechanically and does not take into account the complicated environment within which public administration functions?

The question asked respondents whether monitoring as a control measure evaluated performance and its effectiveness mechanically and does not take into account the complicated environment within with public administration functions and requested the respondents to choose between true or false

Figure 4.37 Monitoring as a control measure



The majority (57%) of the Chief Officials responded that it is false that monitoring as a control measure evaluate performance and its effectiveness mechanically and does not take into account the complicated environment within which public administration functions, whilst the minority (43%) responded that it is true, however the majority (60%) of the Political Office Bearers that the statement was false and the minority (40%) responded that the statement was true.

It can be deduced that monitoring as a control measure evaluate performance and its effectiveness mechanically and does take into account the complicated environment within which public administration functions.

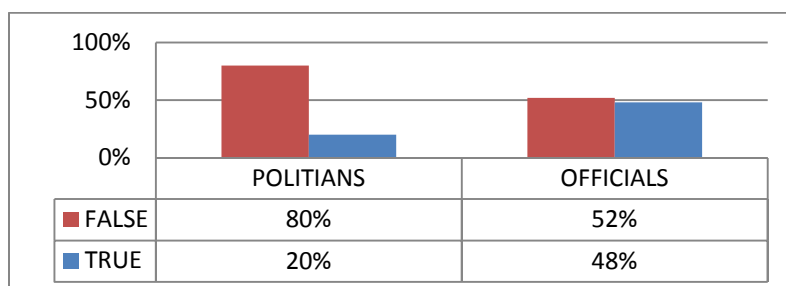
(f) The existing monitoring and evaluation measures **do not**

The subsection was further divided into six areas to test the existing monitoring and evaluation measures.

(i) provide an expression of the required level of performance

The question asked respondents whether the existing monitoring and evaluation measures do not provide an expression of the required level of performance and requested the respondents to choose between true or false

Figure 4.38 Expression of the required level of performance



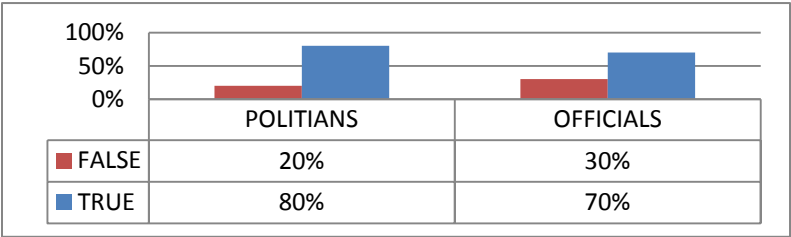
The majority (52%) of the Chief Officials responded that the existing monitoring and evaluation measures provide an expression of the required level of performance, whilst the minority (48%) did not agree with this statement, however the majority (80%) of the Political Office Bearers responded that the existing monitoring and evaluation measures provide an expression of the required level of performance and the minority (20%) responded that the statement was true.

It can be deduced that the existing monitoring and evaluation measures provide an expression of the required level of performance.

(ii) apply to all means/resources that are utilised in work performance

The question asked respondents whether the existing monitoring and evaluation measures do not apply to all means/resources that were utilised in work performance and requested the respondents to choose between true or false

Figure 4.39 Application to all means/resources used in work performance



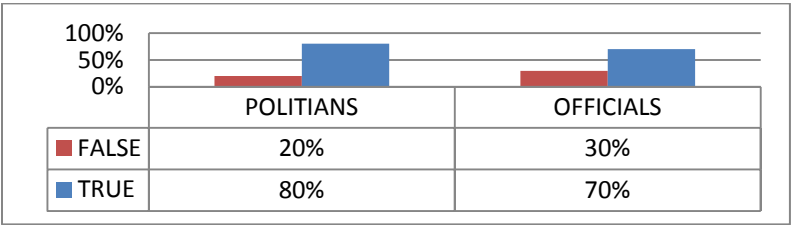
The majority (70%) of the Chief Officials responded that the existing monitoring and evaluation measures provide does not apply to all means/resources that are utilised in work performance, whilst the minority (30%) responded that it does, however the majority (80%) of the Political Office Bearers responded that it does not apply, whilst the minority (20%) responded that it does apply.

It can be deduced that the existing monitoring and evaluation measures provide does not apply to all means/resources that are utilised in work performance in the government departments.

(i) result in uniformity of action (Provision of services)

The question asked respondents whether the existing monitoring and evaluation measures do not result in uniformity of action in the provision of services and requested the respondents to choose between true or false

Figure 4.40 Uniformity of action



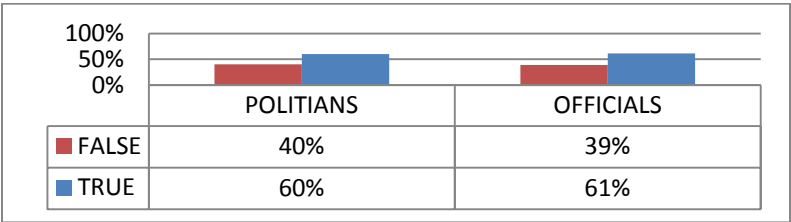
The majority (70%) of the Chief Officials responded that the existing monitoring and evaluation measures do not provide result in uniformity of action, whilst the minority (30%) responded that it does, however the majority (80%) of the Political Office Bearers responded the existing monitoring and evaluation measures do not result in uniformity of action, whilst the minority (20%) responded that it does.

It can be deduced the existing monitoring and evaluation measures provide does not apply to all means/resources that are utilised in work performance.

(ii) provide criteria against which performance can be compared

The question asked respondents whether the existing monitoring and evaluation measures do not provide criteria against which performance can be compared and requested the respondents to choose between true or false

Figure 4.41 Criteria against which performance can be compared



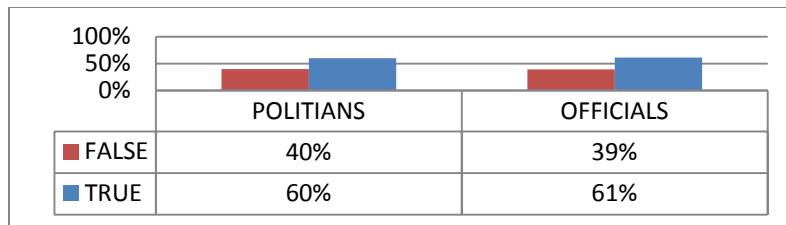
The majority (61%) of the Chief Officials responded that the existing monitoring and evaluation measures do not provide criteria against which performance can be compared; whilst the minority (39%) responded that it does, however the majority (60%) of the Political Office Bearers responded that the existing monitoring and evaluation measures do not provide criteria against which performance can be compared, whilst the minority (40%) responded that it does.

It can be deduced that the existing monitoring and evaluation measures do not provide criteria against which performance can be compared.

(iii) provide standards that are easy to understand; and

The question asked respondents whether the existing monitoring and evaluation measures do not provide standards that were easy to understand and requested the respondents to choose between true or false

Figure 4.42 Standards easy to understand



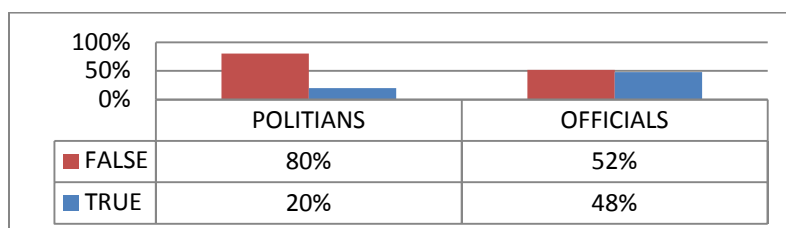
The majority (61%) of the Chief Officials responded that the existing monitoring and evaluation measures do not provide standards that are easy to understand; whilst the minority (39%) responded that it does, however the majority (60%) of the Political Office Bearers responded that it does not provide standards that are easy to understand, whilst the minority (40%) responded that it does.

It can be deduced that the existing monitoring and evaluation measures do not provide standards that are easy to understand for implementation in the government departments.

(iv) are not always measurable and meaningful

The question asked respondents whether the existing monitoring and evaluation measures do not always be measurable and meaningful and requested the respondents to choose between true or false

Figure 4.43 Measurable and meaningful



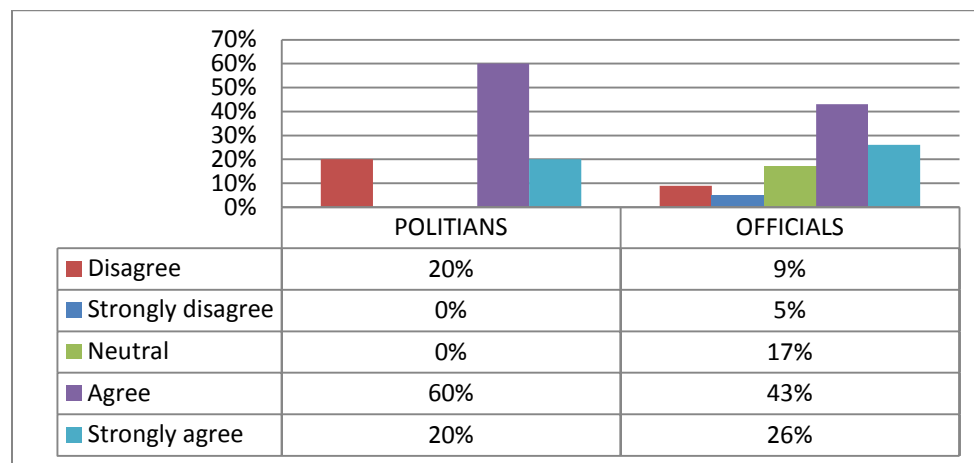
The majority (52%) of the Chief Officials responded that the existing monitoring and evaluation measures are not always measurable and meaningful, whilst the minority (48%) responded that it is always measurable and meaningful, however the majority (80%) of the Political Office Bearers responded that the existing monitoring and evaluation measures are not always measurable and meaningful, whilst the minority (20%) responded that it is always measurable and meaningful.

It can be deduced that the existing monitoring and evaluation measures are not always measurable and meaningful to the chief officials and political office bearers.

(g) Monitoring and evaluation as control measure should never affect adversely the motivation of chief officials or hamper effective work performance?

The question asked respondents whether monitoring and evaluation as control measure should affect adversely the motivation of Chief Officials or hamper effective work performance within their respective Provincial Departments. The Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was used.

Figure 4.44 Monitoring and evaluation affects Chief Officials negatively



The majority (43%) of the Chief Officials agreed that monitoring and evaluation as control measure should never affect adversely the motivation of Chief Officials or hamper effective work performance, whilst the minority responded strongly agreed (26%), neutral (17%), disagree (9%) and strongly disagree (5%), however the majority (60%) of the Political Office Bearers agreed with the minority strongly agree (20%) and disagree (20%).

It can be deduced that monitoring and evaluation as control measure never adversely affects the motivation of chief officials or hamper effective work performance.

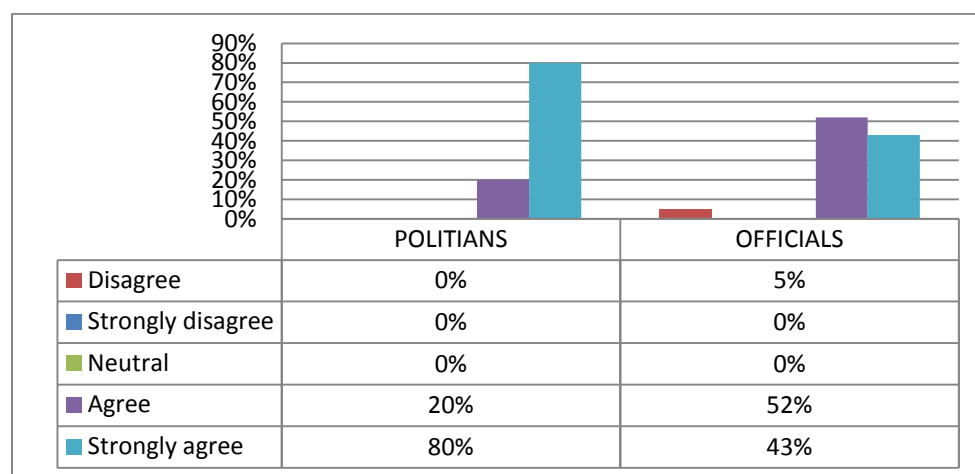
4.3.2.6.7 IMPLEMENTATION OF PERFORMANCE MONITORING AND EVALUATION PROGRAMMES (OUTPUT PHASE)

The respondents were asked the following five questions that covered the output phase starting with the implementation of performance monitoring and evaluation programmes

(a) The purpose of performance monitoring and evaluation is to collect reliable and sufficient information to improve future service provision?

The question asked respondents whether the purpose of performance monitoring and evaluation was to collect reliable and sufficient information to improve future service provision within their respective provincial departments. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide comments for their responses when in disagreement.

Figure 4.45 Collection of reliable and sufficient information to improve future service provision



The majority (52%) of the Chief Officials agreed that the purpose of performance monitoring and evaluation is to collect reliable and sufficient information to improve future service provision, whilst the minority strongly agreed (43%) and disagreed (5%), however the majority (80%) of the Political Office Bearers strongly agreed, whilst the minority (20%) agreed.

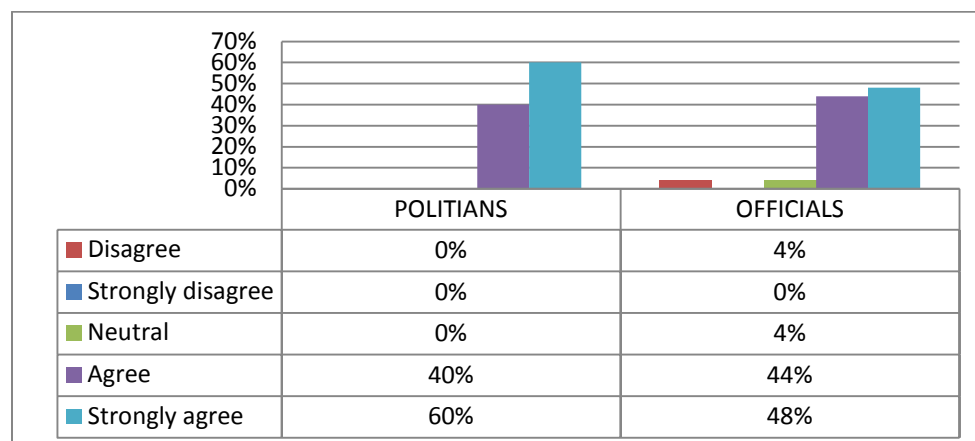
It can be deduced that the purpose of performance monitoring and evaluation is to collect reliable and sufficient information to improve future service provision by the government departments.

(b) A data collection system for all indicators (implementation and results) should possess three key criteria: reliability, validity and timeliness?

The question asked respondents whether a data collection system for all indicators should possess three key criteria namely reliability, validity and timeliness within their respective provincial departments. A five point provision in terms of the Likert scale

namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide comments for their responses when in disagreement.

Figure 4.46 Data system reliable, valid and timeliness



The majority (48%) of the Chief Officials strongly agreed that a data collection system for all indicators should possess three key criteria: reliability, validity and timeliness, whilst the minority agreed (44%) and disagreed (4%), however the majority (60%) of the Political Office Bearers strongly agreed, whilst the minority (40%) agreed.

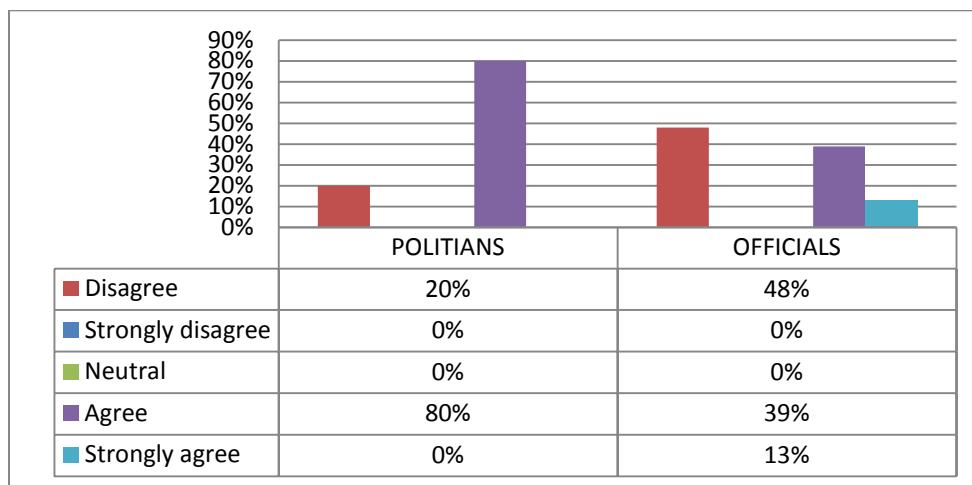
It can be deduced that a data collection system for all indicators should possess three key criteria: reliability, validity and timeliness.

(c) Information provided by your department meets the requirement of reliability and all information is submitted consistently and conducted in the same manner every time?

The question asked respondents whether information provided by their departments met the requirement of reliability and all information is submitted consistently and conducted in the same manner every time within their respective Provincial

Departments. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide comments for their responses when in disagreement.

Figure 4.47 Information reliable and submitted consistently



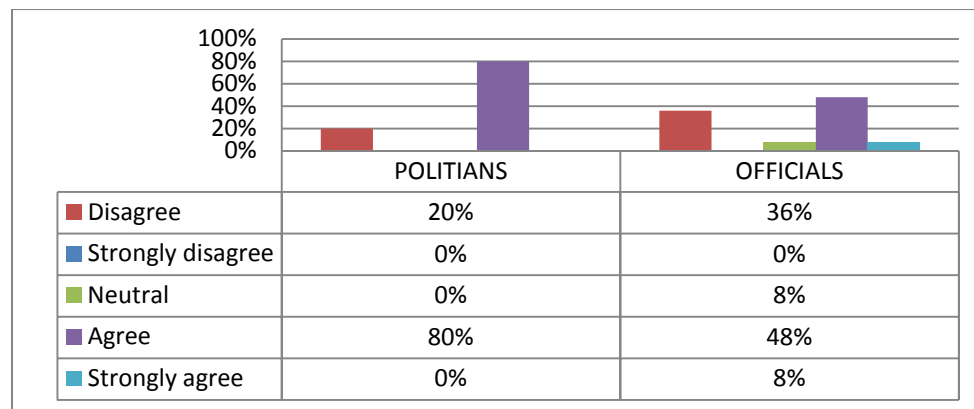
The majority (48%) of the Chief Officials disagreed that the information provided by their department meets the requirement of reliability and all information is submitted consistently and conducted in the same manner every time, whilst the minority agreed (39%) and strongly agreed (13%), however the majority (80%) of the Political Office Bearers agreed, whilst the minority (20%) disagreed.

It can be deduced that the information provided by department meets the requirement of reliability and all information is submitted consistently and conducted in the same manner every time.

(d) Information provided by your department meets the requirement of validity and all information is submitted consistently and conducted in the same manner every time?

The question asked respondents whether information provided by their departments met the requirement of validity and all information is submitted consistently and conducted in the same manner every time within their respective Provincial Departments. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide comments for their responses when in disagreement.

Figure 4.48 Information valid



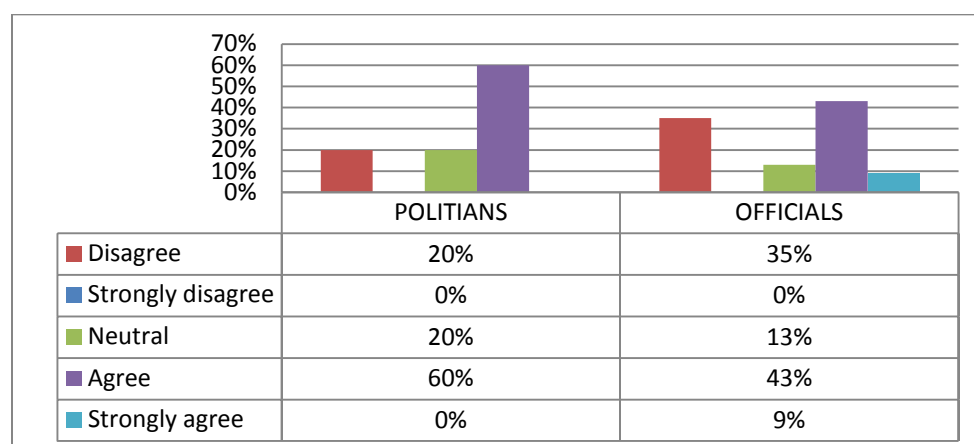
The majority (48%) of the Chief Officials agreed that the Information provided by their department meets the requirement of validity and all information is submitted consistently and conducted in the same manner every time, whilst the minority disagreed (36%), neutral (8%) and strongly disagreed (8%), however the majority (80%) of the Political Office Bearers agreed, whilst the minority (20%) disagreed.

It can be deduced that the Information provided by the Government Departments meet the requirement of validity and all information is submitted consistently and conducted in the same manner every time.

(e) Information provided by your department meets the requirement of timeliness and all information is submitted consistently and conducted in the same manner every time?

The question asked respondents whether information provided by their departments met the requirement of timeliness and all information was submitted consistently and conducted in the same manner every time within their respective provincial departments. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents and were requested to provide comments for their responses when in disagreement.

Figure 4.49 Information time bound



The majority (43%) of the Chief Officials agreed that the information provided by their department meets the requirement of timeliness and all information is submitted consistently and conducted in the same manner every time, whilst the minority disagreed (35%), strongly agreed (9%) and neutral (13%), however the majority (60%) of the Political Office Bearers agreed, whilst the minority disagreed (20%) and neutral (20%).

It can be deduced that the information provided by the Government Departments meet the requirement of timeliness and all information is submitted consistently and conducted in the same manner every time.

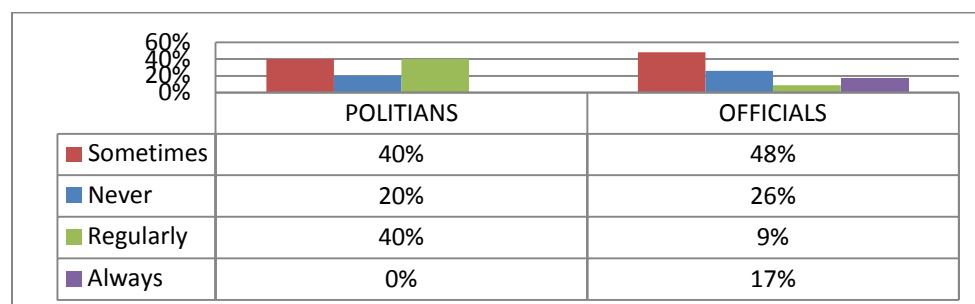
4.3.2.6.8 IMPACT OF PERFORMANCE MONITORING AND EVALUATION ON PROVINCIAL SERVICE PROVISION (IMPACT PHASE)

The respondents were questioned on the impact of performance monitoring and evaluation on provincial service provision in the impact phase by requesting responses on the next three questions.

(a) As a Political Office Bearer or Chief Official do you determine the impact (consequence) of performance monitoring and evaluation on provincial service provision and on the well-being of the citizens?

The question asked respondents whether they determined the impact and the subsequent consequences of performance monitoring and evaluation on provincial service provision and on the well-being of the citizens and provided four choices namely never, sometimes, regularly and always.

Figure 4.50 Impact determined



The majority (48%) of the Chief Officials responded that they sometimes determined the impact of performance monitoring and evaluation on provincial service provision and on the well-being of the citizens, whilst the minority (26%) said they never do this, (9%) said they do this on a regular basis and (19%) of the Chief Officials said they do this on a regular basis, however the majority (40%) of the Political Office Bearers responded that they sometimes as a Political Office Bearer determine the impact of performance monitoring and evaluation on provincial service provision and on the well-being of the citizens and (40%) responded that they do this on a regular basis, whilst the minority (20%) indicated that they never do this.

It can be deduced that the Chief Officials sometimes determined the impact of performance monitoring and evaluation on provincial service provision and on the well-being of the citizens.

The Chief Officials provided the following comments for their responses.

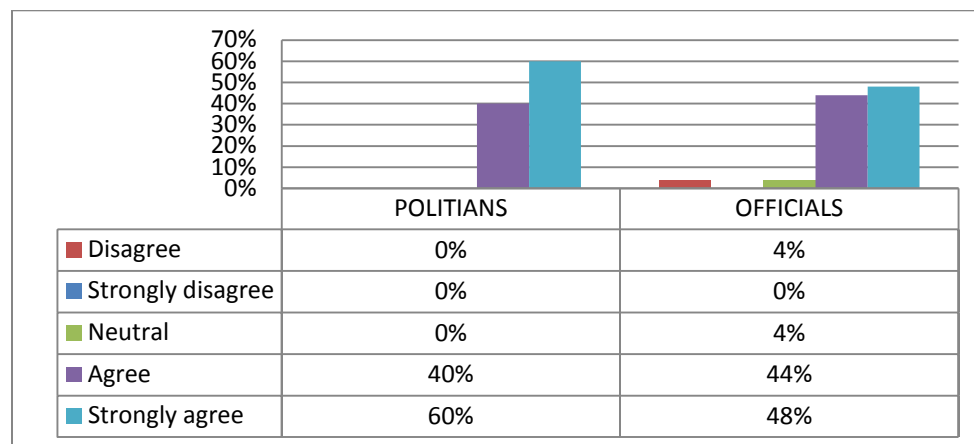
The process should be credible and independent. The Government Departments are on the right track towards improving to assess impact regularly. The problem is that most indicators are output based and not on impact. There seems to be a misunderstanding of specific concepts regarding the provincial service delivery provision.

(b) The ineffective implementation of performance monitoring and evaluation impacts negatively on the welfare of the citizens?

The question asked respondents whether monitoring and evaluation as control measure should never affect adversely the motivation of Chief officials or hamper effective work performance within their respective provincial departments. A five point provision in

terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide comments for their responses when in disagreement.

Figure 4.51 Negative on welfare of citizens



The majority (48%) of the Chief officials strongly agreed that the ineffective implementation of performance monitoring and evaluation impacts negatively on the welfare of the citizens, whilst the minority (44%) agreed with (4%) disagreed and (4%) neutral, however the majority (60%) of the Political Office Bearers strongly agreed, whilst the minority (40%) agreed.

It can be deduced that the ineffective implementation of performance monitoring and evaluation impacts negatively on the welfare of the citizens.

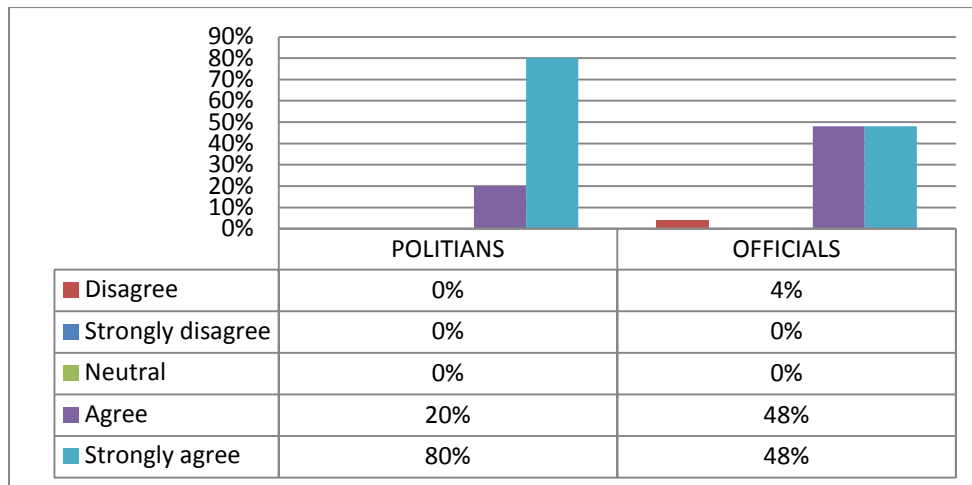
(c) Poor performance monitoring and evaluation or a lack thereof will impact?

The question was further broken down in four sub questions to test the poor performance monitoring and evaluation or the lack thereof on the impact it would have.

(i) Negatively on the social condition in a community

The question asked respondents whether poor performance monitoring and evaluation or a lack thereof will impact negatively on the social condition in a community within their respective Provincial Departments. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide comments for their responses when in disagreement.

Figure 4.52 Negative on social conditions in community



The majority of the Chief Officials agreed (48%) and strongly agreed (48%) poor performance monitoring and evaluation or a lack thereof will impact negatively on the social condition of the community, whilst the minority (4%) disagreed, the majority (80%) of the Political Office Bearers strongly agreed poor performance monitoring and evaluation or a lack thereof will impact negatively on the social conditions of the community, whilst the minority (20%) agreed.

It can be deduced that poor performance monitoring and evaluation or a lack thereof will impact negatively on the social condition of the community.

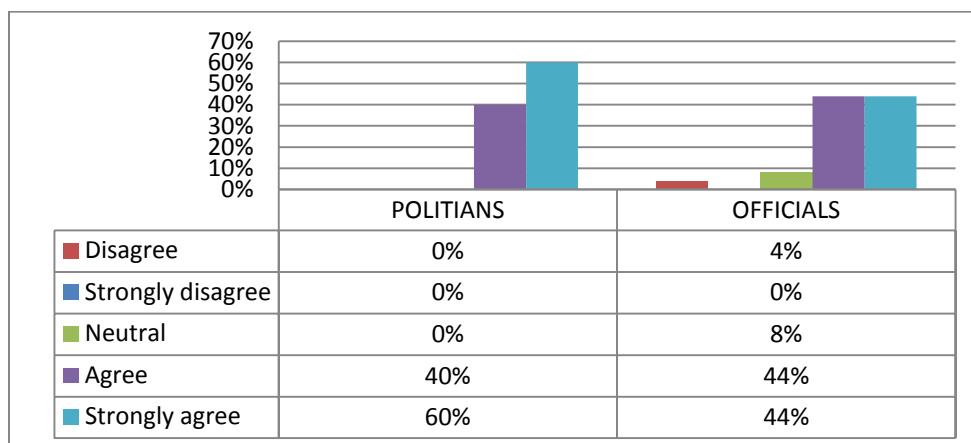
The Chief Officials provided the following comments for their responses.

In the non-achievement of targets the impact will be negative on the citizens and even if there is no monitoring and evaluation and the targets are met it would have a positive impact on the citizens.

(ii) Negatively on the political support in a community

The question asked respondents whether poor performance monitoring and evaluation or a lack thereof will impact negatively on the political support in a community within their respective provincial departments. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents of which one had to be chosen and the respondents were requested to provide comments for their responses when in disagreement.

Figure 4.53 Negative on political support



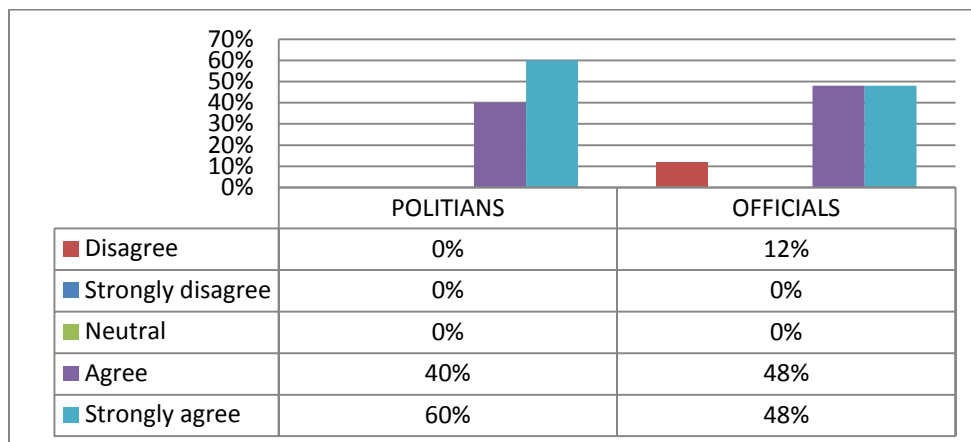
The majority of the Chief Officials agreed (44%) and strongly agreed (44%) poor performance monitoring and evaluation or a lack thereof will impact negatively on the political support in the community, whilst the minority responded neutral (8%) and disagreed (4%), however the majority (60%) of the Political Office Bearers strongly agreed poor performance monitoring and evaluation or a lack thereof will impact negatively on the political support in the community, whilst the minority (40%) agreed.

It can be deduced that poor performance monitoring and evaluation or a lack thereof will impact negatively on the political support in the community.

(iii) Negatively on the economic environment in a community.

The question asked respondents whether poor performance monitoring and evaluation or a lack thereof will impact negatively on the economic environment in a community within their respective provincial departments. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents.

Figure 4.54 Negative on economic environment



The majority of the Chief Officials agreed (48%) and strongly agreed (48%) that poor performance monitoring and evaluation or a lack thereof will impact negatively on the economic environment in the community, whilst the minority (12%) disagreed, however the majority (60%) of the Political Office Bearers strongly agreed poor performance monitoring and evaluation or a lack thereof will impact negatively on the economic environment in the community, whilst the minority (40%) agreed.

It can be deduced that poor performance monitoring and evaluation or a lack thereof will impact negatively on the economic environment in the community.

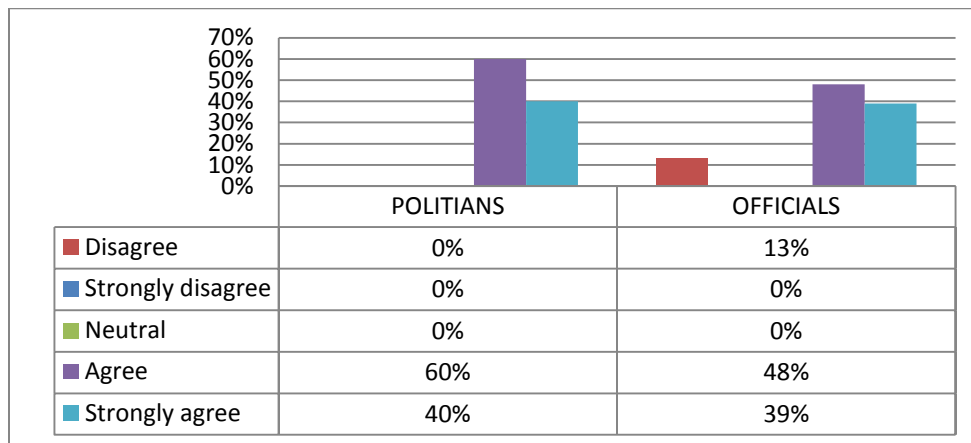
The Chief Officials provided the following comments for their responses.

In the non-achievement of targets the impact will be negative on the citizens and even if there is no monitoring and evaluation and the targets are met it would have a positive impact on the citizens.

(iv) Negatively on the physical/ nature environment in a community.

The question asked respondents whether poor performance monitoring and evaluation or a lack thereof will impact negatively on the physical/nature environment in a community within their respective provincial departments. A five point provision in terms of the Likert scale namely strongly disagree, disagree, neutral, agree and strongly agree was given to the respondents.

Figure 4.55 Negative on physical environment



The majority (48%) of the Chief Officials responded that poor performance monitoring and evaluation or a lack thereof will impact negatively on the physical environment in the community, whilst the minority responded by strongly agree (39%) and disagree (13%), however the majority (60%) of the Political Office Bearers agreed that poor performance monitoring and evaluation or a lack thereof will impact negatively on the physical environment in the community, whilst the minority (40%) agreed.

It can be deduced that poor performance monitoring and evaluation or a lack thereof will impact negatively on the physical environment in the community.

The Chief Officials provided the following comments for their responses.

In the non-achievement of targets the impact will be negative on the citizens and even if there is no monitoring and evaluation and the targets are met it would have a positive impact on the citizens.

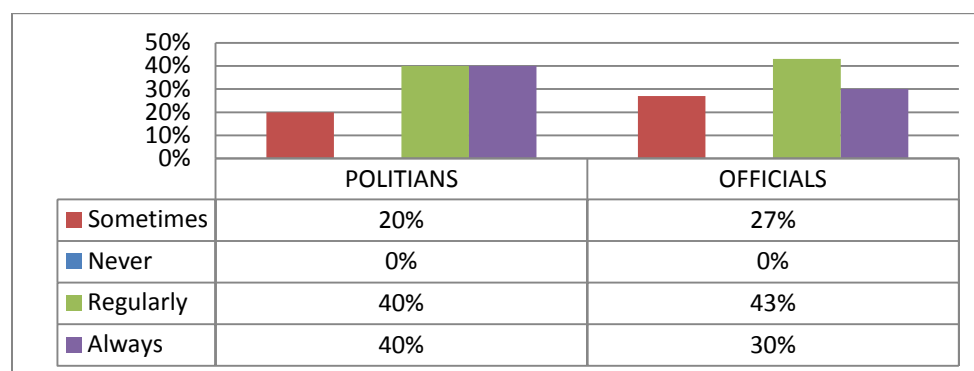
4.3.2.6.9 SUSTAINING THE PERFORMANCE MONITORING AND EVALUATION SYSTEM (FEEDBACK PHASE)

The final stage in the Systems Theory is the feedback stage and four questions were asked from the respondents regarding the sustaining of the performance monitoring and evaluation system

(a) In your opinion does the monitoring and evaluation system provide data in a simple, clear and easily understood format?

The question asked respondents whether in their opinion the monitoring and evaluation system provide data in a simple, clear and easily understood format in their respective provincial departments. The respondents were provided with four choices namely never, sometimes, regularly and always and they were requested to provide comments for their responses.

Figure 4.56 Data simple, clear and easy understood



The majority (43%) of the Chief Officials responded that the monitoring and evaluation system does provide data in a simple, clear and easily understood format, whilst the minority (30%) responded that it sometimes does and (27%) responded that it sometimes does, however the majority of the Political Office Bearers stated that regularly (40%) and always (40%) the monitoring and evaluation system does provide

data in a simple, clear and easily understood format, whilst the minority (20%) responded that it sometimes does.

It can be deduced that the monitoring and evaluation system does provide data in a simple, clear and easily understood format.

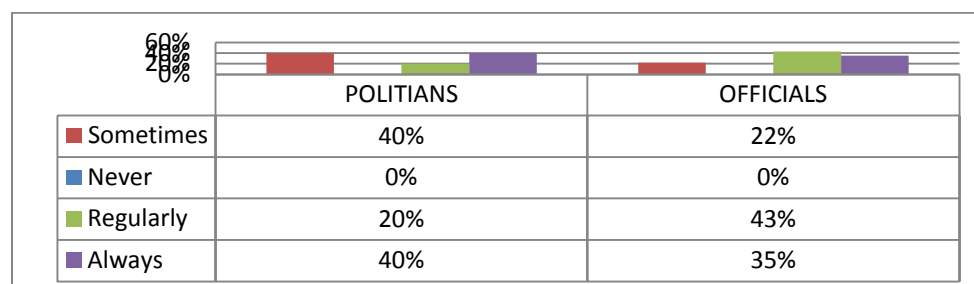
The Chief Officials provided the following comments for their responses.

The monitoring and evaluation directorate always conducts checks and balances on a regular basis. The feedback indicates by showing the results in colour such as targets met, exceeded, minor and major deviations. In some instances the indicators are not crafted in such a manner that measurement becomes difficult. The regular feedback on performance is reflected upon by the government departments for action where needed.

(b) Does the monitoring and evaluation system assist to demonstrate accountability on the undertakings of government regarding the provision of services?

The question asked whether the monitoring and evaluation system assist to demonstrate accountability on the undertakings of government regarding the provision of services in their respective provincial departments. The respondents were provided with four choices namely never, sometimes, regularly and always.

Figure 4.57 Demonstrate accountability



The majority (43%) of the Chief Officials responded that the monitoring and evaluation system regularly assisted to demonstrate accountability on the undertakings of government regarding the provision of services, whilst the minority (35%) responded it always does and (22%) that it sometimes does, however the majority of the Political Office Bearers responded that the monitoring and evaluation system always (40%) and sometimes (40%) assist to demonstrate accountability on the undertakings of government regarding the provision of services, whilst the minority (20%) responded it regularly does.

It can be deduced that the monitoring and evaluation system regularly assisted to demonstrate accountability on the undertakings of government regarding the provision of services.

The Chief Officials provided the following comments for their responses.

The prescribed format has all the necessary fields that indicates who is the responsible service delivery unit. In the Government Departments the Chief Officials must account for their budgets and performance and monitoring and evaluation is important in this process. Monitoring and evaluation provides the extent of accountability in terms of targets achieved. In the event that monitoring and evaluation is regularly applied it can assist chief officials to focus on what creates the greatest impact.

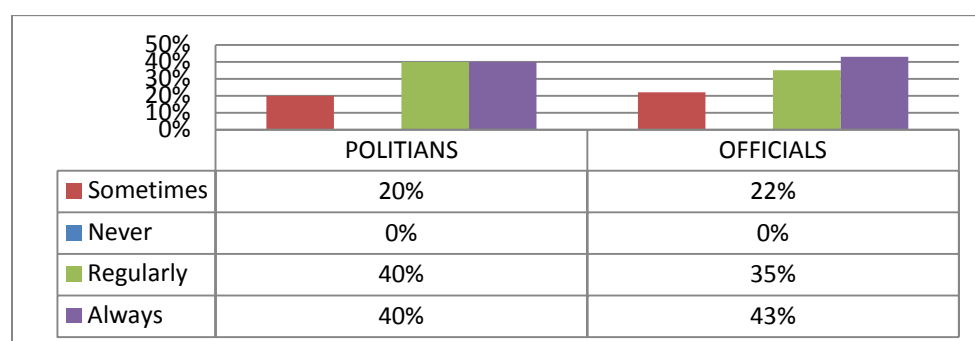
The Political Office Bearers provided the following comments for their responses.

The monitoring and evaluation system assists to demonstrate accountability on the undertakings of the government regarding the provision of services and measures the direction the Government Departments are moving towards.

(c) Does the monitoring and evaluation system assist in the exploration and investigation into what programs work, what do not work and why not?

The question asked respondents whether the monitoring and evaluation system in the exploration and investigation into what programmes work, what do not work and why not in their respective provincial departments. The respondents were provided with four choices namely never, sometimes, regularly and always.

Figure 4.58 Exploration and investigation into what works



The majority (43%) of the Chief Officials responded that the monitoring and evaluation system always assist in the exploration and investigation into what programmes work, what do not work and why not, whilst the minority responded that it regularly (35%) does assist and sometimes (20%) does assist, however the majority of the Political Office Bearers responded that the monitoring and evaluation system regularly (40%) and always (40%) assist in the exploration and investigation into what programs work, what do not work and why not, whilst the minority (20%) responded that it sometimes does.

It can be deduced that the monitoring and evaluation system always assist in the exploration and investigation into what programmes work, what do not work and why not.

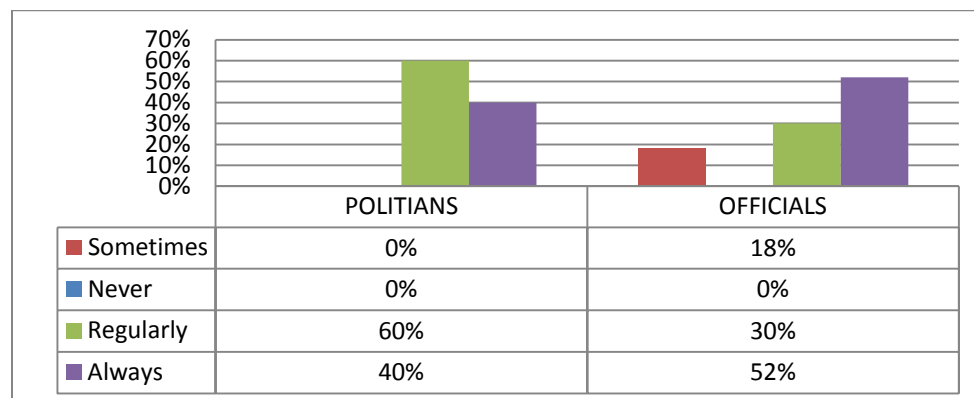
The Chief Officials provided the following comments for their responses.

The Government Departments use a colour code which indicates what work and what do not work supported by the reasons for deviations and what corrective measures will be implemented. Quarterly checks and balances bring forward correct measures timeously. Monitoring and evaluation system assists by providing an indication of the problem areas experienced. The regular feedback on performance is reflected upon by the government departments for action where needed.

(d) Does the monitoring and evaluation system assist to promote a better understanding of the government programs by reporting results?

The question asked respondents whether the monitoring and evaluation system assist to provide a better understanding of the government programs by reporting results in their respective provincial departments. The respondents were provided with four choices namely never, sometimes, regularly and always and they were requested to provide comments for their responses.

Figure 4.59 Better understanding of Government programs by reporting



The majority (52%) of the Chief Officials responded that the monitoring and evaluation system always assist to promote a better understanding of the government programs by reporting results, whilst the minority responded that it regularly (30%) and sometimes (18%) assists, however the majority of the Political Office Bearers (60%) responded that the monitoring and evaluation system assist to promote a better understanding of the government programs by reporting results, whilst the minority (40%) responded that it always assists.

It can be deduced that the monitoring and evaluation system always assist to promote a better understanding of the government programs by reporting results.

The Chief Officials provided the following comments for their responses.

The monitoring and evaluation system assists in providing the information for financial oversight and annual reports. In the event that the directorate is enlarged information can be produced on a monthly basis. Monitoring and evaluation indicates the areas that are prioritised and where there are challenges. In the event that monitoring and evaluation works well it can improve and simplify reports and government officials could have an understanding of the government programmes. The regular feedback on performance is reflected upon by the government departments for action where needed.

4.4 INTERVIEWS

Interviews were conducted with four respondents to clarify specific areas. The following responses to the questions were received.

Question 1

Can you suggest three methods on how monitoring and evaluation can improve the provisioning of services and the implementation of government programs?

The interview question invited responses on three methods on how monitoring and evaluation can improve the provisioning of services and implementation of the government programs. The responses from the interviews resulted in the following.

Monitoring and evaluation methods must be introduced for ranking and prioritising of services, the usual core monitoring and evaluation methods of stakeholder analysis, documentation review and cost benefit analysis. Methods must be developed for analysing linkages and relationships through problem and objectives tree, systems (inputs), outputs, outcomes and impact diagram.

The methods to improve the provisioning of services were listed as the measurement of impact versus the inputs and activities, detailed expenditure reports in relation to the activities and cost benefit analysis and effectiveness of the outputs.

Evidence based planning ensures that resources are directed to where they are needed. Performance assessment against set targets to be performed on a quarterly and annual basis. Monitoring and evaluation ensures the identification of bottlenecks in implementation and those programs that do not deliver the desired results.

Question 2

What improvements can be made regarding the legislative framework regarding monitoring and evaluation?

The interview question invited responses on improvements that could be made regarding the legislative framework regarding monitoring and evaluation. The responses from the interviews resulted in the following.

The legislative framework should build in mechanisms for the community public participation to give feedback on the results before the publication of monitoring and evaluation reports or Auditor General reports. The focus here is on the population groups that have received the service and how they have experienced the satisfaction levels. In the event of having 14 outcomes in government it should be tested in being one Government Wide Monitoring and Evaluation Report of services on the three spheres namely local, provincial and at the national. The legislation must make provision on what intervention mechanisms the legislation will bring to change the situation.

The responsibility for monitoring and evaluation should be escalated to the Office of the Accounting Officers. The monitoring and evaluation reporting should be aligned with the submission of annual financial statements. The establishment of a monitoring and evaluation committee should be investigated.

Monitoring and evaluation framework should be revised to provide monitoring and evaluation principles, practices and standards to be used throughout government as a whole including in municipalities. It should be an integrated and uncompressing framework that is utilised consistently to ensure clarity and intention.

Question 3

In which manner can monitoring and evaluation be improved as a control measure?

The interview question invited comments on the manner in which monitoring and evaluation can be improved as a control measure. The responses from the interviews resulted in the following.

By communicating the early warnings in good time, stipulate the corrective actions to be taken and monitor if the continuous process of reaching the results are within the project timeframes. The monitoring and evaluation control measures should have a quality control cycle and/or system linked to the management system.

Compliance, performance and outcomes should be considered during the annual performance reviews and when contracting during the individual work plan agreements. During the progression to the senior management service cadre the monitoring and evaluation skills should be one of the criteria during the recruiting process.

Monitoring and evaluation should be prioritised across all spheres of government to ensure effective monitoring of outcomes and impact across government. Furthermore, a robust reengineering of monitoring and evaluation systems and resourcing is needed to ensure its effectiveness.

Question 4

What technical assistance, capacity building or training can be provided on monitoring and evaluation?

The interview question invited responses on which technical assistance, capacity building or training could be provided on monitoring and evaluation. The responses from the interviews resulted in the following.

Technical assistance, capacity building or training is important in monitoring and evaluation to capacitate external stakeholders on responsibility and accountability. Monitoring and evaluation is not well understood by all employees, stakeholders and communities, but the rationale should be inculcated and the concept of capacity building in the monitoring and evaluation role in improving performance. Capacity building is multi-dimensional so analysis of capacity levels is important as capacity building relates to behaviour change.

The following areas were highlighted namely project management, decision making, financial management and quality assurance.

The monitoring and evaluation directorates must be strengthened in all sector departments with human and financial resources. Capacitation of managers at programme levels on the importance of evidence handling and emphasis on quarterly and annual assessments and reporting.

Question 5

What changes can be made to improve on the pre-determined objectives of the National department?

The interview question invited responses on which changes could be made to improve on the pre-determined objectives of the National department. The responses from the interviews resulted in the following.

Suitable indicators needed to be specified to measure performance in relation to outputs, outcomes and impacts. No one fits all approach should be implemented, but

rather a well-researched and evidenced based approach on service delivery will be more user friendly and users of the data will be acceptable to all. The indicators had to measure services that are useful from a management/customer and accountability perspective.

The government needs to design a more consultative process with the various departments in government. Research should be conducted ongoing through surveys, interviews and observations. The annual financial reports of the Government Departments must be studied and in the formulation of indicators the SMART objectives must be observed.

Question 6

What improvements can be made with funding for monitoring and evaluation and resource levels?

The research question invited responses on which improvements could be made with funding for monitoring and evaluation and resource levels. The responses from the interviews resulted in the following.

The monitoring and evaluation system will be fully functional to establish and maintain a network of organisations responsible for monitoring and evaluation at the local, provincial and national sphere service delivery levels. Human capacity for monitoring and evaluation to ensure completion of all tasks defined in the annual budgeted monitoring and evaluation work and operational plan. Partnerships to plan coordinate and manage the monitoring and evaluation system must be established. Advocacy, communication and the culture of monitoring and evaluation should be enhanced.

Routine program monitoring, surveys, supportive supervision and make the data available for analysing, evaluation, research data dissemination and use.

Awareness campaigns should be raised around funding and resources for monitoring and evaluation. Research and development should be considered as a resource and support should be provided on-going to monitoring and evaluation.

With the strengthening and resourcing of the National Department of Performance Monitoring and Evaluation all departmental monitoring and evaluation directorates need to be strengthened as such as the government focussed more on monitoring and evaluation integration of planning, budgeting and monitoring and evaluation processes to complement each other. Proper resourcing is necessary as currently these directorates are under resourced.

Question 7

What arrangements can be made on the existing organizational arrangements to improve monitoring and evaluation?

The interview question invited responses on which arrangements could be made on the existing organisational arrangements to improve monitoring and evaluation. The responses from the interviews resulted in the following.

Each directorate must have a dedicated person to analyse performance data and file it under the correct portfolio of evidence. The person must present the evidence to the supervisor to approve it for the next level of authority to make submission to the monitoring and evaluation directorates. The arrangement should be that data capturers

for each Programmer in monitoring and evaluation should capture data on a monthly basis.

A well-functioning monitoring and evaluation monitoring and evaluation system manages to integrate the more formal data oriented side commonly associated with the task of monitoring and evaluation with other management and communication, such as newsletters informed on work plan reports and other informal performance related information.

The monitoring and evaluation offices must be strengthened and staff must be educated and made aware to take monitoring and evaluation seriously. A change culture is needed on the role that monitoring and evaluation plays in the government departments.

The organisational structures should allow for expansion of monitoring and evaluation directorates with respect to resources such as personnel so as to enable monitoring and evaluation practitioners to collect, verify, validate and consolidate information.

Question 8

What improvements can be made on the existing procedures to improve monitoring and evaluation?

The interview question invited responses on which improvements could be made on the existing procedures to improve monitoring and evaluation. The responses from the interviews resulted in the following.

Improvements should be made to the following areas since monitoring and evaluation are meant to guide decision making including decisions to improve, reorient or discontinue the intervention or policy.

The guidance also includes decisions about wider organisational strategies at management structures and the decisions that made by provincial and national policy makers.

In the event that evaluations are not performed by departments the credibility to continue with programmes or interventions or projects are not well informed and are not able to influence decision making procedures.

A policy must be adopted on monitoring and evaluation and work shopped with staff. An improvement is needed in time management levels and a template must be designed that will factor in monitoring and evaluation in all projects, activities and programmes.

The evidence that proves performance must be signed off when submitting reports. Management team and line managers must be held accountable and responsible for performance information submitted. Establishment of designated monitoring and evaluation teams to compose of planning, monitoring and evaluation, risk management and internal audit to evaluate organisational performance and evidence thereof.

Question 9

What changes can be made to collect reliable and sufficient information to improve future service delivery?

The research question invited responses on which changes could be made to collect reliable and sufficient information to improve future service delivery. The responses from the interviews resulted in the following.

Monitoring and evaluation must assist programmes to develop and implement a data collection plan. Monitoring and evaluation must be part of the planning process such as the annual performance plans and operational plans since the data collection happens before analysis and reporting. Valid and reliable data is the backbone of programme analysis. Data collection methods depends on the departmental logic model such as what resources were available, activities and outputs the departments delivered and to what degree the departments achieved their outcomes. Surveys, interviews, observations and record or document review are methods to collect indicator data. The common method is document review, but the government must put resources aside to conduct surveys or interviews with beneficiaries to determine satisfaction levels.

A bi-weekly or monthly report must be produced on performance information with a monthly impact assessment of the set indicators. An analysis of service delivery for the past 3 to 5 years must be conducted.

Data collection, records management should be effective. Data validation and verification, storage, analysis, assessment must be improved. After analysis the information can provide a diagnosis report and then be submitted to management for information decision making and implementation of corrective intervention measures.

Question 10

What improvements can be made to the monitoring and evaluation system to provide data simple, clear and easily understood format?

The research question invited responses on which improvements could be made to the monitoring and evaluation system to provide data simple, clear and easily understood.

The responses from the interviews resulted in the following.

The data must speak for itself. The project/programme managers must be able to collect the data without expert analysis. The development of electronic records and performance information systems (automated monitoring and evaluation system, data base system) with a performance information plan, data quality matrix will provide a dashboard snapshot that will make data interpretation easily to understand. Automated inputs in colour codes or early warnings can quickly be detected by an automated system to influence performance and decision making. The monitoring and evaluation directorates must help programmes to develop and operate methods for obtaining assurance about the quality of data, to minimize costs and risks of collecting data. The monitoring and evaluation system must build in the measuring of the achievements of objectives and the meaning of the department's contribution to outcomes through evaluations that can complement performance measures by providing a deeper understanding of performance. Hold regular data driven performance reviews with staff using data from the monitoring and evaluation system as a starting point for such meetings. Encourage use of regular data driven performance reviews at lower levels of management, not only at the top levels of an institution. Make improvements to the

monitoring and evaluation system outcome data as a major basis for developing and justifying policy choices, including budgets and strategic plans. The monitoring and evaluation systems data should be used as the basis of reporting to persons outside the department, such as the legislature, media and public. The monitoring and evaluation system should enable managers and staff to access timely and up to date performance data at any time during the year. The monitoring and evaluation system must provide relevant performance information regularly to first line staff and not just supervisory and senior management levels. The monitoring and evaluation system should guide the decisions and not only considering the aggregated data, but also disaggregated outcome data, categorised by key customer or municipality or traditional leadership institutions and service stakeholders.

A change must be made from the current backward looking approach to monitoring and evaluation. The monitoring and evaluation system must go digital and design excel spread sheet reports where it will be easier to track or monitor progress made in implementing the indicators.

Development of proper performance information matrix that states clearly data types, responsibility, targets, timeframes and required evidence. Establishment of data sources, data collection, record management and data security

4.5 OFFICIAL DOCUMENTATION

The annual reports of the Provincial Government Departments were analysed for the success rate of indicator achievement and the Auditor General reports on the performance information. Information was obtained from the Auditor General report on

the provincial audit outcomes of the Eastern Cape, PFMA 2013-14 financial years which is the latest available information on the annual performance reports.

The Auditor General selected material programmes of departments and objectives to determine whether the information in the annual reports was useful and reliable for oversight bodies, the public and other users of the reports to assess the performance of the departments. The Auditor General audited the usefulness of the reported performance information by determining whether it was presented in the annual report in the prescribed manner, and was consistent with the specific department's planned objectives as defined in their strategic plans and annual performance plans. The Auditor General assessed whether the performance indicators and targets that were set to measure the achievement of objectives were well defined, verifiable, specific, time bound, measurable and relevant. The Auditor General audited the reliability of the reported information by determining whether it could be tracked back to the source data or documentation and was accurate, complete and valid.

The Auditor General focussed on the larger departments for comment such as Education, Health, Roads and Public Works as well as Social Development and Special Programmes. The most common findings identified at the departments were as follows:

- Some departments did not have approved or comprehensive policies and procedures for reporting on performance,
- Some performance indicators were not well defined or verifiable, or did not measure whether resources had been used efficiently, effectively and economically to produce the desired outputs and outcomes,

- Performance targets did not always comply with the SMART criteria, or were not realistic as they were not selected based on accurate baseline information or research and evaluation,
- Staff were not sufficiently skilled to manage and report on performance,
- Some departments did not hold their staff accountable for underperformance in reporting on performance or achieving performance targets,
- Approved processes and systems documentation for collecting, collating, verifying, storing and reporting on actual performance did not exist,
- Some departments did not explain material deviations between planned and actual performance. In addition, evidence to support explanations was not maintained or explanations were not reviewed by management,
- Action plans were not developed to ensure prompt corrective action where underperformance occurred or where performance reporting shortcomings were identified.

The Auditor General made an analysis of the three years on the quality of the annual reports that indicated a steady increase in departments with no material findings on the quality of their annual performance reports when compared to the previous financial years. The performance information is included in the annual reports of the respective Government Departments.

Analysis of the three year trend on quality of annual performance reports

2013-14	2012-13	2011-12
68%	32%	23%
		77%
	68%	
32%		

With no findings	With findings
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The Auditor General made the following determinations on the achievement regarding the leadership in the Government Departments:

- Implemented performance reporting systems that were managed by competent personnel,
- Prepared accurate monthly performance reports that enabled monitoring and oversight functions,
- Enforcing consequences for poor performance where necessary.

The Auditor General made the following information available on selected departments regarding findings on usefulness and reliability of annual performance reports:

Auditee	Programme/Objective	Not Useful	Not Reliable
Health	Programme 2		
	Programme 4		
	Programme 5		
Sport, Recreation, Arts and Culture	Programme 2		
	Programme 4		
Education	Programme 2		

Auditee	Programme/Objective	Not Useful	Not Reliable
Transport	Programme 2		
Roads and Public Works	Programme 2		
	Programme 4		

The Auditor General made the following findings on the usefulness of the performance information:

- Corroborating evidence for the reasons for differences between planned and actual performance could not be provided,
- Indicators and targets were not well defined in all instances,
- Performance targets were not always measurable.

Findings on reliability relate to whether the reported information could be traced back to the source data or documents and whether the reported information was accurate, complete and valid when compared to the source. Departments with findings in this regard did not sufficiently consider the evidence required to prove performance information reported on. The most common finding on reliability related to the accuracy, validity and completeness of actual performance.

The Auditor General made the following recommendations on appropriate systems and processes;

- Align the organisational structure to the requirements of performance reporting and ensure that all staff involved in this process have the necessary skills,
- Develop and implement appropriate performance reporting policies and procedures,
- Clearly define roles and responsibilities for performance reporting,

- Regularly reconcile reported performance to supporting documents,
- Regular report on performance and review performance reports,
- The leadership governance structures and portfolio committees should interrogate performance information to ensure credibility.

The annual report of the department of Transport was analysed and the following information was reported in the annual report for 2013/14 and relates to the section on performance information in the report of the Auditor General.

The Auditor General referred to performance management and directed that the indicators and targets contained in planning documents should form the basis for the signed performance agreements of heads of departments and chief officials and should be filtered down to senior management and all levels of staff. These agreements should contain requirements relating to valid, accurate and complete reporting on performance.

In the annual report of the Department of Transport the Auditor General wrote the following that in accordance with the Public Audit Act of South Africa, 2004 (Act 25 of 2004) and the general notice issued in terms thereof, the Auditor General report findings on the reported performance information against predetermined objectives for selected programmes presented in the annual performance report, non-compliance with legislation as well as internal control. The objectives of the tests by the Auditor General was to identify reportable findings as described under each subheading but not to gather evidence to express assurance on these matters (Annual report, Department of Transport, 2014:85).

The Auditor General performed procedures to obtain evidence about the usefulness and reliability of the reported performance information for selected programmes presented in the annual performance report for the year ended 31 March 2014 (Annual report, Department of Transport, 2014:85). The Auditor General evaluated the reported performance information against the overall criteria of usefulness and reliability.

The Auditor General evaluated the usefulness of the reported performance information to determine whether it was presented in accordance with the National Treasury's annual reporting principles and whether the reported performance was consistent with the planned programme. The Auditor General also performed tests to determine whether indicators and targets were well defined, verifiable, specific, measurable, time bound and relevant, as required by the National Treasury's Framework for managing programme performance information (Annual report, Department of Transport, 2014:85). The Auditor General assessed the reliability of the reported performance information to determine whether it was valid, accurate and complete.

The Auditor General made no findings on the usefulness of the reported information. On reliability of the reported information the Auditor General made the following findings. The National Treasury's Framework for managing programme performance information requires auditees to have appropriate systems to collect, collate, verify and store performance information to ensure valid, accurate and complete reporting of actual achievements against planned objectives, indicators and targets. Significantly important targets were not reliable when compared to the sourced information or evidence provided (Annual report, Department of Transport, 2014:85). The deviation was due to a lack of documented system descriptions for the accurate recording of actual achievements and

technical indicator descriptions for the accurate measurement, recording and monitoring of performance, monitoring of the completeness of source documentation in support of actual achievements and frequent review of the validity of reported achievements against source documentation (Annual report, Department of Transport, 2014:85)

4.6 FINDINGS

The findings in the research study can be summarised as follows:

- There is an underperformance by the Provincial Government Departments in the provision of basic services and the implementation of their programs as determined in the annual performance plans that are not properly addressed and underperformance is not improved on.
- The underperformance of the Provincial Departments in the provision of services and the lack of the implementation of their programs in terms of their respective annual performance plans are due to the insufficient exercise of control measures and the non-implementation of corrective measures relating to the underperformance.
- The quality of the information that was provided in the appraisal reports of the government departments is poor.
- The existing system of monitoring and evaluation of non-financial performance information in the Provincial Departments are inadequate to ensure effective work performance.
- The existing legislation and other policy measures are adequate to ensure work performance in the Provincial Government Departments.

- The lack of co-operation between the political office bearers and the chief officials in the implementation of the monitoring and evaluation policy is hampering effective service delivery.
- The implementation of performance monitoring and evaluation was not hampered by a lack of sufficient delegation of authority by the Political Office Bearers to the Chief Officials and thus did not contribute to the underperformance by the Government Departments in the implementation of their targets set in the indicators as reflected in the annual performance plans.
- It is essential to conduct a readiness assessment at the beginning of the financial year before the implementation of the annual performance plans of the Government Departments.
- Monitoring and evaluation must be regarded as an essential control measure regarding the implementation of the plans of the Government Departments as approved in their annual performance plans.
- The readiness assessment review of the Government Departments must be conducted on an annual basis before the implementation of the plans as set in the annual performance plans.
- There is a lack of technical assistance, capacity building or training underway in the monitoring and evaluation directorates or done during the two previous financial years in the Government Departments.
- The non-financial performance monitoring and evaluation must be evaluated on a continuous basis with frequent updating of the relevant performance information.

- The relevant legislation makes sufficient provision for a workable monitoring and evaluation system in the Government Departments.
- The monitoring and evaluation objectives as determined by the national departments and cascaded to the provincial departments, makes implementation of the indicators and targets possible in the annual performance plans.
- The nationally determined indicators do not address the departmental service provision effectively in terms of the annual performance plans.
- The building of outcomes is a deductive process in which inputs, activities and outputs are all derived and it flows from setting of outcomes in the development of performance indicators.
- All important phases of the performance framework are derived from and based on the setting of outcomes whilst crafting performance indicators in the annual performance plans of the Government Departments.
- All important phases of the performance framework are derived from and based on the setting of outcomes in the performance indicators for inclusion in the annual performance plans.
- Target setting is the final step in building the performance framework since the majority between the Chief Officials and Political Office Bearers agreed upon.
- The departments set quantifiable levels of the targets that they intend to achieve by a given date of the indicators for inclusion in the annual performance plans.
- The departments considered the expected funding and resource levels in setting of targets and outcomes sufficiently in the performance indicators included in the annual performance plans of the Government Departments.

- The setting of targets in their departments commence with a baseline indicator level upon which all future planning is done for the development of performance indicators to be included in the annual performance plans.
- The Government Departments succeeded effectively on improving on the baseline for program activities in the performance indicators.
- The setting of targets is part of the political process and there will be political ramifications for either meeting or not meeting such targets as set in the indicators as reflected in the annual performance plans of the Government Departments.
- The government set realistic targets which recognize that most desired outcomes are long term completed and not quickly achieved.
- The financing of performance monitoring implementation is inadequate to meet the effective implementation of performance monitoring and evaluation programs in the Government Departments.
- The financing the performance monitoring and evaluation is a problem since the Chief Officials rated it weak by majority and the Political Office Bearers rated it moderate by majority responses.
- The departmental line managers are suitably qualified to implement the monitoring and evaluation system in their directorates.
- The existing organisational structures are inadequate to ensure effective performance monitoring and evaluation within Provincial Departments.
- That the existing work procedures and methods are adequate to ensure the effective implementation of performance monitoring and evaluation program.

- Monitoring and evaluation is a measure to exercise control in the Government Departments and as a control measure ought to be based on realistic standards.
- The existence of control measures is inadequate and ineffective for the controlling of performance monitoring and evaluation programs in the Government Departments.
- Monitoring of performance information requires effective demanding of accountability by and the rendering of account from provincial Chief Officials.
- Monitoring as a control measure evaluate performance and its effectiveness mechanically and does take into account the complicated environment within which public administration functions.
- The existing monitoring and evaluation measures provide an expression of the required level of performance.
- The existing monitoring and evaluation measures provide does not apply to all means/resources that are utilised in work performance in the Government Departments.
- The existing monitoring and evaluation measures provide does not apply to all means/resources that are utilised in work performance.
- The existing monitoring and evaluation measures do not provide criteria against which performance can be compared.
- The existing monitoring and evaluation measures do not provide standards that are easy to understand for implementation in the Government Departments.
- The existing monitoring and evaluation measures are not always measurable and meaningful to the Chief Officials and Political Office Bearers.

- Monitoring and evaluation as control measures never adversely affects the motivation of Chief Officials or hamper effective work performance.
- The purpose of performance monitoring and evaluation is to collect reliable and sufficient information to improve future service provision by the Government Departments.
- A data collection system for all indicators should possess three key criteria: reliability, validity and timeliness.
- The information provided by department meets the requirement of reliability and all information is submitted consistently and conducted in the same manner every time.
- the Information provided by the Government Departments meet the requirement of validity, reliability and timeliness and all information is submitted consistently and conducted in the same manner every time.
- The Chief Officials sometimes determined the impact of performance monitoring and evaluation on provincial service provision and on the well-being of the citizens.
- The ineffective implementation of performance monitoring and evaluation impacts negatively on the welfare of the citizens.
- Poor performance monitoring and evaluation or a lack thereof will impact negatively on the social condition of the community.
- Poor performance monitoring and evaluation or a lack thereof will impact negatively on the political support in the community.

- Poor performance monitoring and evaluation or a lack thereof will impact negatively on the economic environment in the community.
- Poor performance monitoring and evaluation or a lack thereof will impact negatively on the physical environment in the community.
- The monitoring and evaluation system does provide data in a simple, clear and easily understood format.
- The monitoring and evaluation system regularly assisted to demonstrate accountability on the undertakings of government regarding the provision of services.
- The monitoring and evaluation system always assist in the exploration and investigation into what programs work, what do not work and why not.
- The monitoring and evaluation system always assist to promote a better understanding of the government programs by reporting results

4.7 CONCLUSION

This chapter presented and analysed the data that was collected from the questionnaires issued out to the Chief Officials and Political Office Bearers. The chapter presented the findings of the research study from both qualitative and quantitative data analysis. The research study also included interviews with selected Chief Officials to clarify specific areas and official documents were analysed as published by the Auditor General on the findings on performance information of the Government Departments in the province of the Eastern Cape.

The purpose was to assess the monitoring of non-financial performance information of Provincial Departments in the province of the Eastern Cape with special reference to its impact on service delivery. The main focus was on the underperformance of the Government Departments in achieving their targets set in the indicators as planned in the annual performance plans. The research study results confirmed that the Government Departments experienced problems with the underperformance as measured against the targets set in the indicator as planned in the annual performance plans.

The demographic information of the participants namely the Chief Officials and Political Office Bearers was analysed and presented. The questionnaires were analysed and 59 graphs were compiled from the data collected and the comments from both the Political Office Bearers and Chief Officials were collected and presented with the graphs. The data was used to make deductions in terms of the responses and comments from both the Political Office Bearers and Chief Officials.

Findings were made on the data received and a list was compiled on all the major issues that the respondents responded to with the aid of questionnaires. The systems approach was used in the compilation of the questionnaire and the headings of the questionnaire served as sub-headings in the chapter.

The Political Office Bearers and the Chief Officials were selected since they have a direct interest in performance information and must present their results to the Legislature on quarterly, half yearly and annual basis and they were relevant since they are conversant with the issues that the questionnaire covered.

CHAPTER FIVE

SUMMARY, RECOMMENDATIONS AND CONCLUSIONS

5.1 INTRODUCTION

This is the final chapter of the research study and serves to present the summary of the first four chapters, recommendations of the research study and the conclusion.

5.2 SUMMARY

The following summary is provided regarding the first three chapters namely the introduction and general overview, literature review of the study and the research methodology.

The South African public management has been characterised by a rapid change in almost every area since the 2nd February 1990. The South African Government initiated a number of strategic programmes aimed at addressing structural, economic and social challenges related to poverty and underdevelopment. The Government realised that it was not optimally introducing its service delivery programmes to eradicate the back logs and that a method had to be introduced to monitor and evaluate the service delivery programmes from 2004 onwards. President Mr T. Mbeki made mention of a system of monitoring and evaluation that was in a development stage during the state of the nation address that was aimed at the improvement of government and the quality of outputs in service delivery in the Government. The statement by President T. Mbeki can be regarded as the beginning of monitoring and evaluation in the public sector in South Africa.

During 2005 the National Cabinet considered and approved an implementation plan to develop a Monitoring and Evaluation System for introduction by Government Departments in South Africa that served as a base document. The Presidency published the Government-wide Monitoring and Evaluation Framework during the course of 2007 as an overarching policy framework and the Monitoring and Evaluation System gained prominence due to this framework as a system of control in the Government Departments. The Presidency followed the framework up during 2008 which culminated in a discussion document named Our Approach during 2009 that was made available on the official Government web site. The publication of this document indicated a commitment by the Government to find a solution to the under performance in the Government regarding the service delivery programmes.

The Provincial Government Departments in the Eastern Cape had an underperformance that could be related to insufficient exercise of control measures, non-implementation of corrective measures and poor quality of reported performance information. This research study is based on these problems and seeks to find the reasons for the underperformance and make recommendations in an endeavour to find solutions.

The objective of this research study was to determine, analyse and evaluate the implementation of the existing monitoring and evaluation system, the factors and problems which influenced the effectiveness of non-financial performance information and where possible to make recommendations to remedy the situation. The Systems Approach was decided upon since the performance of Government Institutions would

be researched and the log frame approach is familiar to monitoring and evaluation practitioners.

The researcher made use of a theoretical framework for the study in an endeavour to organise the research study and provide a context in which to examine the problem and to gather and analyse data. The problem of underperformance can be examined and the utilisation of the Monitoring and Evaluation System and its contribution to solve the problem can be tested. The significance of the research study is that since its inception and the approach followed since 2009 the Monitoring and Evaluation System and its contribution to solve the problem of underperformance was due for a research project.

The Constitution of South Africa, 1996 provides the broad legal framework for the Government Department functions; however the monitoring and evaluation function was mentioned in the Constitution. The National Legislature considered and adopted the PFMA as a legal framework from which the National Treasury could issue specific regulations covering monitoring and evaluation in the spheres of government.

The Ministry of Performance, Monitoring and Evaluation was established in the Presidency that played a significant role in the improvement of outcomes in the Government Institutions on performance regarding service delivery programmes. The Auditor General plays an important role by performing an independent audit on performance information and brings out a management letter and in the emphasis of matter portion in the audit reports.

The National Treasury issued the Framework for Managing Programme Performance Information during 2007 and followed it up with National Treasury Regulations that flows

from the PFMA with reference to chapter 5 of this act. The National Treasury Regulations directs the Accounting Officers of Government Institutions at National and Provincial spheres on the reporting of performance information in terms of their respective annual performance plans to their respective Executive Authorities 30 days after the closure of a specific quarter. National Treasury issues annual guidelines on the monitoring and reporting of performance information to all Government Departments.

Performance information based on the annual performance indicators and targets is important in the sense that it provides management and Executives a tool to measure whether the Government priorities were met or not. The Office of the Premier issued an Eastern Cape Provincial Monitoring and Evaluation Reporting Framework that serves as a guiding document during 2011. It was required from each individual department to develop their own monitoring and evaluation policies.

The Systems Theory was used in this research study and it is useful to evaluate performance management in the rendering of services and it adds to analyse policy implementation. In public policy making and the provision of services the focus is on the solving of problems in the communities. Monitoring and evaluation will through their processes assess whether the Government Departments addressed the problems by measuring the successes and failures. The monitoring and evaluation process collects data and analyses it and produces useful performance information for decision making and action by Chief Officials and Political Office Bearers.

The Chief Officials in the Provincial Government Departments must account to the Provincial Legislature on how they spent the voted funds and report on the indicators

and targets set in their annual performance plans. Good quality non-financial performance information is essential in the assessment that the Provincial Government Departments made towards the service delivery programmes and the set targets. Performance management by Chief Officials is a strategic and integrated approach to ensure sustainable institutional successes. The monitoring and evaluation practitioner collects raw data and condense it into a manageable collection for use by the Chief Officials and Political Office Bearers.

Public Administration is the system of structures and processes that operates within a societal environment with the objective of facilitating the formulation of government policies and the efficient execution of the formulated policies. Public Administration is the organised non-political part of the state and manages people in the accomplishment of the goals of the state.

Management is the completion of work as effective possible in an orderly manner through and with people and relates to the joint effort by two or more people in the achievement of the government goals. Management is the use of managerial techniques to increase the value for money achieved by public servants in the pursuit of objectives in a constant changing environment. Monitoring and evaluation is part of the controlling function in Public Administration and it is also part of the policy analytic procedure utilised in the formulation of policy making. The established monitoring and evaluation controls measure whether the Government Institutions were moving in the correct direction and performing the correct issues.

In the determining of control measures and standards the work performance of subordinates are checked with accountability and responsibility demanded in the overall performance of the Government Institutions from the Chief Officials and the Political Office Bearers. The work performance must be carried out according to set standards in line with policies and procedures. Monitoring and evaluation of the performance information is done according to plans based on legislation that is controlling that the processes were completed, when the Government Institutions reached their objectives as set out in the annual performance plans and the annual budget. Monitoring and evaluation must monitor the performance periodic to ensure that the intended aims were indeed met.

The research design is a plan on how the research study will be conducted with clearly defined structures within which the research study is implemented. The research study has a collection of methods and methodologies that are applied systematically to produce scientifically based knowledge.

The permission to conduct this research was sought on the 19th December 2011 and obtained on the 3rd January 2012 from the Director General. The focus of the research study was on the monitoring of performance information in the Provincial Government Departments with the focus in the Eastern Cape.

In this research study a questionnaire was designed with 50 questions and distributed to 30 Chief Officials and 10 MECs. Quantitative, qualitative and triangulation approaches were utilised in the compilation of the questionnaires by the researcher. Both open-ended and close-ended questions were asked in the questionnaire. The questionnaire

was followed up with interviews of specific respondents on questions that needed more clarity. The third method used was to refer to official documents as a secondary source and the Annual Reports of the Departments were one of the main sources.

A pilot study was conducted and some questions had to be revised for clarity purposes. The field of Monitoring and Evaluation is a specialist field and the selection was made out of the Chief Officials that had a sound knowledge of the field and would be able to make a contribution.

The questionnaire was divided into broad sections and sub-sections to enable the coding of data. Simple yes or no questions as well as questions with five choices were selected in line with the Likert method. In specific questions the respondents were requested to provide reasons for the decisions or motivate why they responded in a certain manner. Thus a mix of the questions were maintained throughout the questionnaire. The processing of the data resulted in the use of a system to capture the responses from the respondents in a usable manner for analysis. The same questionnaire was provided to both the Political Office Bearers and the Chief Officials that made a comparison possible.

The accuracy, validity and reliability of the research study were maintained throughout the research. In the process Chief Officials were included that had a sound knowledge of the study field and the practical implementation of Monitoring and Evaluation. Ethical considerations were maintained such as anonymity, plagiarism, coercion, honesty and freedom of choice. In all instances the respondents knew what the research intended to achieve and their consent was obtained.

The next section will present the recommendations from the research study and the improvements that can be made to monitoring and evaluation that can result in an improved service delivery programme by the Provincial Government.

The findings in this research study addressed three areas namely the questions asked, problems that the research study addressed and the objectives of the research study.

The following research questions were posed:

- What impact will the introduction of monitoring and evaluation have on the improvement of the government service delivery programmes?
- Whether monitoring and evaluation can detect which programmes are working and which are not working.
- Whether monitoring and evaluation can produce the reasons why programmes are not working and which corrective measures can assist to place the service delivery programmes on track again.

The monitoring and evaluation practice can be too compliance orientated in the sense that it aims to produce performance information reports without proper quality standards. The Chief Officials can hide behind monitoring and evaluation and do not take responsibility or accountability for performance information. The performance indicators are not developed in such a manner that it can detect when directorates are not performing on their indicators. In specific instances the level of performance required is higher than the capacity in the Government Departments. The hard evidence is not always produced to confirm the reported achievements in the indicator targets

The objectives of the research study were the following:

- To determine, analyse and evaluate the implementation of the existing monitoring system in Provincial Departments in the Province of the Eastern Cape to determine its effectiveness and impact on service delivery;
- Determine, analyse and evaluate the factors and problems which influence the effectiveness of non-financial performance management in the Province of the Eastern Cape; and
- Where possible, to make recommendations to improve the implementation of the existing monitoring system of performance information related to the Annual Performance Plans of the Provincial Government Departments.

The indicators in the annual performance plans are not all measurable and complicate the objectives of service delivery. The indicators are designed in such a manner that the Chief Officials are not always in a position to determine the achievements. The monitoring and evaluation directorates are not sufficiently resourced with funds and staff to perform what is required to monitor and evaluate the performance of the Government Departments.

The nine main areas of the questionnaire were used to make recommendations on how to improve monitoring and evaluation in the Government Departments.

The problems experienced by the government departments on which the research study was based were the following:

The underperformance of Provincial Departments in the rendering of services and implementation of programmes are not properly addressed or improved, due to the following:

- Insufficient exercise of control measures regarding performance information and the achievement of set targets against the pre-determined indicators and
- Non-implementation of corrective measures regarding under performance and
- The poor quality of information provided in performance reports related to the performance indicators in the Annual Performance Plans and as well as;
- Verification of the evidence of documentation to prove the actual performance.

This research study found that the stated problem of the underperformance of the Government Departments in the province of the Eastern Cape is real and true and that there is insufficient exercise of control measures regarding performance information by the chief officials and under achievement of set targets against the pre-determined indicators. The unreliability of hard evidence is real in the sense that it is not accurate or complete and the Chief Officials, political office bearers and the reports from the Auditor General confirmed it. Monitoring and evaluation was identified as a tool that can assist the government departments to improve on the attainment of their pre-determined objectives that will improve service delivery to the citizens.

The following section deals with the recommendations that followed from the research study.

5.3 RECOMMENDATIONS

The following are recommendations that seek to improve the monitoring and evaluation of the performance information as set in the annual performance plans of the Government Departments in terms of indicators and quarterly targets and improve on the provision of services to the citizens.

5.3.1 THERE IS A NEED FOR A CHANGE IN THE MANNER IN WHICH THE PROVINCIAL GOVERNMENT DEPARTMENTS PERFORM MONITORING AND EVALUATION IN AN ENDEAVOUR TO IMPROVE THE PROVISION OF SERVICES TO THE CITIZENS

The following are the recommendations on how the Government Departments can improve their monitoring and evaluation of the performance information with the aim to improve the provision of services to the citizens.

5.3.1.1 THE CURRENT SITUATION IN THE PROVINCIAL SPHERE OF GOVERNMENT

There is a need to review the processes that the Chief Officials utilise during the performance of the annual performance plans since there was a general consensus that the Government Departments were underperforming that led to the hampering of the provision of services to the citizens. In specific Government Departments the Chief Officials are performing operational duties and must refrain from doing it as their managerial duties are suffering as a result thereof. The Government Departments need to introduce an early warning sign system to warn them when the performance of their planned indicators will not be achieved. The Chief Officials must develop corrective plans on how to remedy the situation and monitor progress thereof. The Government Departments must introduce consequence management for underperforming Chief Officials that did not meet the targets set in the indicators as reflected in the annual performance plans. The Government Department must hold the Chief Officials accountable and responsible for the functional area under their jurisdiction and demand

reports on why there was failure to implement the set plans and what corrective measures will be implemented. Underperformance can also be related to the poor development of the indicators in the annual performance plans and robust reviews must be held on a frequent basis to ensure that the indicators are achievable.

The reporting by the Chief Officials of the key performance indicators must be improved so that it can address the issues that it is supposed to address. The reporting by the Chief Officials on their appraisal reports must not just report on what they were performing and it must also reflect the underperformance in terms of the pre-determined targets in the annual performance plans of the Government Departments. There is a need to improve on sufficient evidence based performance information and the indicators must be developed in such a manner that it measures outcomes and impact and not outputs as mostly found in the annual performance plans. The Government Departments should correct the misalignment of their plans to negate the compromise of the quality of the performance information as well as to improve the understanding of the data elements regarding performance information. The existing monitoring and evaluation systems must be improved to play a more active role in guiding the performance of departments to be successful.

Monitoring and evaluation methods must be introduced for ranking and prioritising of services, the usual core monitoring and evaluation methods of stakeholder analysis, documentation review and cost benefit analysis. Methods must be developed for analysing linkages and relationships through the problem and objectives tree, systems (inputs), outputs, outcomes and impact diagram. The methods to improve the provisioning of services must be introduced such as the measurement of impact versus

the inputs and activities, detailed expenditure reports in relation to the activities and cost benefit analysis and effectiveness of the outputs. Evidence based planning ensures that resources are directed to where they are needed and must be made compulsory during the compilation of the operational plans on how to implement the annual performance plans. Performance assessment against set targets must be performed on a quarterly and annual basis and feedback must be provided to the Chief Officials and the Political Office Bearers. Monitoring and evaluation must ensure the identification of bottlenecks in the implementation of those programs that do not deliver the desired results in terms of the pre-determined plans of the Government Departments.

5.3.1.2 LEGISLATIVE FRAMEWORK FOR PERFORMANCE MONITORING AND EVALUATION

The legislative framework must build in mechanisms for the community public participation to give feedback on the results before the publication of the monitoring and evaluation reports or the Auditor General reports. The focus must be on the population groups that have received the service and how they have experienced the satisfaction levels. In the event of having 14 outcomes in government it should be tested in being one Government Wide Monitoring and Evaluation Report of services on the three spheres namely local, provincial and at the national. The legislation must make provision on what intervention mechanisms the legislation will bring to change the situation.

The responsibility for monitoring and evaluation should be legislatively escalated to the Office of the Accounting Officers that heads the Government Departments. The

monitoring and evaluation reporting must be aligned with the submission of the annual financial statements in terms of legislation. The establishment of a monitoring and evaluation committee should be investigated to oversee the performance of the Government Departments and reasons for failing to deliver on the plans of the government must be reported and explained at this structure. The committee must have powers in terms of legislation to summons any Chief Official to make performance information reports.

Monitoring and evaluation framework should be revised to provide monitoring and evaluation principles, practices and standards to be used throughout government as a whole including municipalities. It must be an integrated and uncompressing framework that is utilised consistently to ensure clarity and intention to all the role players.

The political principal must provide clear direction specific to areas of focus which must then be translated in an annual performance plan and specific key performance areas to guide the planning process.

5.3.1.3 CONDUCTING A READINESS ASSESSMENT

The readiness assessment must be conducted at the beginning of each year to introduce the rules of monitoring and evaluation to the Chief Officials. During the readiness assessment the status quo can be determined and the baseline information of the targets in the indicators can be decided upon for inclusion in the annual performance plans of the Government Departments. The readiness assessment must be utilised to analyse the current situation to conduct meaningful strategic planning which will assist to provide efficient monitoring and evaluation of the pre-determined

plans of the Government Departments during the year. The readiness assessment must lead to the refocus of the Chief Officials and Political Office Bearers on their intended goals and objectives in their Government Departments. The readiness assessment must provide an indication of the extent to which there will be compliance on performance information and the rules must be determined during these sessions by the Chief Officials.

Performance information management must serve as part of the overall control measures of the Government Departments and the principle of monitoring and evaluation namely what gets measured gets done must be made applicable in all Government Departments on performance information. Strong performance monitoring and evaluation systems and controls must be developed that must complete and integrate valuable performance information into the planning cycle and it must form the basis for good governance and accountability by the Chief Officials.

The Government Departments provide financial and technical assistance to the local sphere of government and during the readiness assessment it is important to review and evaluate what the impact was on the improvement of the provision of services to the citizens. Monitoring and evaluation must be utilised as a control measure to monitor progress with the implementation of the pre-determined plans of the Government Departments. During the readiness assessment the Chief Officials must mitigate the risks of the Government Departments before implementing their pre-determined plans and determine workable corrective procedures that will result in an improved provision of services. During the readiness assessment there must be a consideration of a change of course of action where the indicators were not achieved in the past and the

work standards of the Chief Officials must be discussed and determine acceptable work standards for the Chief Officials in the implementation of performance information.

5.3.1.4 PROBLEMS BEING EXPERIENCED IN THE IMPLEMENTATION OF PERFORMANCE MONITORING AND EVALUATION

Functions are delegated to the Chief Officials, but monitoring and evaluation concepts and principles are not understood by all participants and monitoring and evaluation must be explained to all officials to make it work in the Government Departments. Technical assistance, capacity building or training is important in monitoring and evaluation that must capacitate external stakeholders on responsibility and accountability. Monitoring and evaluation is not well understood by all employees, stakeholders and communities, but the rationale must be inculcated and the concept of capacity building in the monitoring and evaluation role in improving performance. Capacity building is multi-dimensional and the analysis of capacity levels is important as capacity building relates to behaviour change in the Government Departments.

Each directorate must have a dedicated person to analyse performance data and file it under the correct portfolio of evidence. The person must present the evidence to the supervisor to approve it for the next level of authority to make submission to the monitoring and evaluation directorates. The arrangement should be that data capturers for each Programmer in monitoring and evaluation should capture data on a monthly basis.

Monitoring and evaluation must be re-engineered and developed into a system that provides guidance to the Chief Officials instead of the current compliance orientated

approach that is followed to provide reports on performance information to stakeholders. The monitoring and evaluation approach must be changed that must assist with the detection of underperformance that exists with the implementation of the performance indicators and motivate for corrective measures to be undertaken to solve the underperformance. The evidence that is needed to prove the achievement of the performance indicators in the annual performance plans must be determined and disclosed in the operational plans at the beginning of the process and the chief officials must be educated on what is required from them and the standards of the evidence must be explained.

The data must speak for itself. The project/programme managers must be able to collect the data without expert analysis. The development of electronic records and performance information systems (automated monitoring and evaluation system, data base system) with a performance information plan, data quality matrix will provide a dashboard snapshot that will make data interpretation easily to understand. Automated inputs in colour codes or early warnings can quickly be detected by an automated system to influence performance and decision making. The monitoring and evaluation directorates must help programmes to develop and operate methods for obtaining assurance about the quality of data, to minimize costs and risks of collecting data. The monitoring and evaluation system must build in the measuring of the achievements of objectives and the meaning of the department's contribution to outcomes through evaluations that can complement performance measures by providing a deeper understanding of performance. Hold regular data driven performance reviews with staff using data from the monitoring and evaluation system as a starting point for such

meetings. Encourage the use of regular data driven performance reviews at lower levels of management, not only at the top levels of an institution. Make improvements to the monitoring and evaluation system outcome data as a major basis for developing and justifying policy choices, including budgets and strategic plans. The monitoring and evaluation systems data should be used as the basis of reporting to persons outside the department, such as the Legislature, media and public. The Monitoring and Evaluation System should enable managers and staff to access timely and up to date performance data at any time during the year. The monitoring and evaluation system must provide relevant performance information regularly to first line staff and not just supervisory and senior management levels. The monitoring and evaluation system should guide the decisions and not only considering the aggregated data, but also disaggregated outcome data, categorised by key customer or municipality or traditional leadership institutions and service stakeholders.

5.3.1.5 SETTING OF OBJECTIVES AND OUTCOMES TO MONITOR AND EVALUATE

Compliance, performance and outcomes must be considered during the annual performance reviews and when contracting during the individual work plan agreements. Suitable indicators needed to be specified to measure performance in relation to outputs, outcomes and impacts. No one fits all approach should be implemented, but rather a well-researched and evidenced based approach on service delivery that will be more user friendly and be acceptable to the users of the data. The indicators had to measure services that are useful from a management/customer and accountability perspective.

Performance indicators as determined by the National Departments must be discussed before it becomes compulsory for the Provincial Government Departments to include them into their annual performance plans. The broad priorities of the National Government Departments must be linked to the specific provincial indicators in the annual performance plans and must thus be customised to address to provincial specific problems encountered regarding the national priorities.

The National Government Departments translate problems into specific statements of possible outcome improvements regarding the provision of services and the Provincial Government Departments must develop plans to access on how the Government Departments will achieve these outcomes and include it into their respective annual performance plans.

The government needs to design a more consultative process with the various departments in government. Research should be conducted ongoing through surveys, interviews and observations. The annual financial reports of the Government Departments must be studied and in the formulation of indicators the SMART objectives must be observed.

The targets that are set in the indicators must indicate how the broader objectives of the government have been decomposed into specifics and in relation to the beneficiation in communities and the society at large. The targets set in the indicators must link the government departmental objectives with the appropriate structures and it must be specific and must be of such quality that it can be measured for performance achievement.

The target setting must be part of the building of the performance framework matrix which must become the basis for planning with implications for budgeting, resource allocation and staffing. The target setting must indicate where the Government Departments plan to achieve within a particular period and time and must include time frames for realising the target and the Chief Officials responsible for implementation.

5.3.1.6 ADMINISTRATIVE ENABLING PROBLEMS EXPERIENCED BY CHIEF OFFICIALS

During the progression to the senior management service cadre the monitoring and evaluation skills should be one of the criteria during the recruiting process. By communicating the early warnings in good time, stipulate the corrective actions to be taken and monitor if the continuous process of reaching the results are within the project timeframes. The monitoring and evaluation control measures must have a quality control cycle and/or system linked to the management system.

The monitoring and evaluation directorates must be strengthened in all sector departments with human and financial resources. Capacitation of managers at programme levels on the importance of evidence handling and emphasis on quarterly and annual assessments and reporting.

A well-functioning Monitoring and Evaluation System manages to integrate the more formal data oriented side commonly associated with the task of monitoring and evaluation with other management and communication, such as newsletters informed on work plan reports and other informal performance related information.

The monitoring and evaluation offices must be strengthened and staff must be educated and made aware to take monitoring and evaluation seriously. A change culture is needed on the role that monitoring and evaluation plays in the Government Departments.

The organisational structures should allow for expansion of monitoring and evaluation directorates with respect to resources such as personnel so as to enable monitoring and evaluation practitioners to collect, verify, validate and consolidate information.

The alignment of the organisational structures of the Government Departments to the requirements of the performance information reporting must be done and the Chief Officials must ensure that all staff involved in this process has the necessary skills to implement the performance information system.

The Chief Officials must develop and implement appropriate performance reporting policies and procedures that is consistent with all applicable legislation on performance information and have it approved by the political heads of departments. Clearly define roles and responsibilities for performance reporting must be determined and the chief officials must understand what is required from them.

There must be a regular reconciliation of reported performance to supporting documents and the evidence must be stored after it was collected and collated for audit purposes to eliminate any possibility of lost documents. There must be a regular report on performance information and a review of performance reports to ensure quality data and the process must be completed by the chief officials and not be delegated to junior staff members.

The leadership governance structures and portfolio committees must interrogate performance information to ensure credibility of the reported performance information.

5.3.1.7 IMPLEMENTATION OF PERFORMANCE MONITORING AND EVALUATION PROGRAMMES

Monitoring and evaluation should be prioritised across all spheres of government to ensure effective monitoring of outcomes and impact across government. Furthermore, a robust reengineering of monitoring and evaluation systems and resourcing is needed to ensure its effectiveness.

The monitoring and evaluation system will be fully functional to establish and maintain a network of organisations responsible for monitoring and evaluation at the local, provincial and national sphere service delivery levels. Human capacity for monitoring and evaluation to ensure completion of all tasks defined in the annual budgeted monitoring and evaluation work and operational plan. Partnerships to plan coordinate and manage the monitoring and evaluation system must be established. Advocacy, communication and the culture of monitoring and evaluation should be enhanced. Routine program monitoring, surveys, supportive supervision and make the data available for analysing, evaluation, research data dissemination and use.

Awareness campaigns should be raised around funding and resources for monitoring and evaluation. Research and development should be considered as a resource and support should be provided on-going to monitoring and evaluation.

With the strengthening and resourcing of the National Department of Performance Monitoring and Evaluation all departmental monitoring and evaluation directorates need

to be strengthened as such as the government focussed more on monitoring and evaluation integration of planning, budgeting and monitoring and evaluation processes to complement each other. Proper resourcing is necessary as currently these directorates are under resourced.

Data collection, records management should be effective. Data validation and verification, storage, analysis, assessment must be improved. After analysis the information can provide a diagnosis report and then be submitted to management for information decision making and implementation of corrective intervention measures.

The Auditor General in the audit report indicated that the data presented for audit was not reliable with reference that it was incomplete and inaccurate. The Chief Officials must verify the data on a regular basis against a planned set of hard evidence for each indicator that would prove that the work was performed. In the event that some of the data is outstanding the Auditor General will make a finding on it and the indicator will be reported as incomplete. The Chief Officials must check the evidence and compile a evidence control sheet to check that all the evidence were on the audit files. All documents must be signed off by the competent officials to ensure validity of the presented data.

5.3.1.8 IMPACT OF PERFORMANCE MONITORING AND EVALUATION ON PROVINCIAL SERVICE PROVISION

Improvements should be made to the following areas since monitoring and evaluation are meant to guide decision making including decisions to improve, reorient or discontinue the intervention or policy.

Monitoring and evaluation must assist programmes to develop and implement a data collection plan. Monitoring and evaluation must be part of the planning process such as the annual performance plans and operational plans since the data collection happens before analysis and reporting. Valid and reliable data is the backbone of programme analysis. Data collection methods depends on the departmental logic model such as what resources were available, activities and outputs the departments delivered and to what degree the departments achieved their outcomes. Surveys, interviews, observations and record or document review are methods to collect indicator data. The common method is document review, but the government must put resources aside to conduct surveys or interviews with beneficiaries to determine satisfaction levels.

The government indicators must be translated from output orientated indicators that focusses on what was delivered or produced to outcome indicators so that the impact can be measured of the desired situation where the government departments wanted to be in terms of the provision of services to the citizens.

The impact assessments must be conducted independent and it is not desirable that the government must decide on what is the impact levels on behave of the citizens and the buy-in of the receivers of the government services must be consulted.

5.3.1.9 SUSTAINING THE PERFORMANCE MONITORING AND EVALUATION SYSTEM

The guidance also includes decisions about wider organisational strategies at management structures and the decisions that made by provincial and national policy makers.

In the event that evaluations are not performed by departments the credibility to continue with programmes or interventions or projects are not well informed and are not able to influence decision making procedures.

A regular feedback session must be held with the Chief Officials where there overall performance must be discussed and remedial actions must be crafted to mitigate underperformance.

An investigation must be done into underperformance to detect whether the underperformance is related to the bad crafting of the indicators or if it relates to the work not done and the problems must be addressed.

A policy must be adopted on monitoring and evaluation and work shopped with staff. An improvement is needed in time management levels and a template must be designed that will factor in monitoring and evaluation in all projects, activities and programmes.

The evidence that proves performance must be signed off when submitting reports. Management team and line managers must be held accountable and responsible for performance information submitted. Establishment of designated monitoring and evaluation teams to compose of planning, monitoring and evaluation, risk management and internal audit to evaluate organisational performance and evidence thereof.

A bi-weekly or monthly report must be produced on performance information with a monthly impact assessment of the set indicators. An analysis of service delivery for the past 3 to 5 years must be conducted.

The current manual system of reporting on performance information must be replaced with an electronic system where all Chief Officials and Political Office Bearers can have easy access to the system and the reporting at specific intervals can be completed within a shorter period.

5.4 CONCLUSIONS

The research study focussed on the problem that the Provincial Government Departments experience in the province of the Eastern Cape regarding the underperformance of their targets as set in the indicators of the approved annual performance plans. The research study was based on the System Theory and relates to monitoring and evaluation since the log frame uses the same principles. The underperformance of the Government Departments hampers the service provision to the citizens of this province. The weakness in the exercise of control measures in the managing of performance was found to be real and true. The Chief Officials have a major role to play in the endeavour to achieve the performance as set in the annual performance plans.

Monitoring and evaluation was introduced to monitor and evaluate the progress that the Government Departments are making in achieving their goals regarding performance information. The statistics from the Auditor General over a three year period clearly reports an improvement in the performance information. The performance information must be published in the annual reports of the government departments as required by pieces of legislation and guidelines from National Treasury. The performance

information must be reliable in the sense that it must be accurate, complete and time bound and the Auditor General made negative remarks about this aspect in the reports.

The research study made findings on the issues that were tested with a questionnaire, interviews and official documentation with reference to the report of the Auditor General on performance information. The findings were discussed in chapter four. Recommendations were made on the issues found in the research study and it was listed in chapter five. The recommendations are administrative in nature and will result in an improved implementation of the annual performance plans.

The implementation of the annual performance plans are important since the Legislature approves the Provincial Government budgets based on the annual performance plans and funds are allocated per department and indicator. At quarterly, half yearly and annually the government departments must report to the Portfolio Committees on the progress made regarding the achievement of their annual performance plans. The public at times are informed through the media about the outcomes of these sessions. The Portfolio Committees table their reports in the Legislature after the annual reports of the Provincial Government Departments were assessed. The Heads of Departments and the Political Office Bearers must account for the performance at the Portfolio Committee with the Chief Officials being present and to answer questions posed by the members of the Portfolio Committee.

Monitoring and evaluation can play a significant role for departments to achieve their targets as set in the annual performance plans. Monitoring and evaluation assists the Chief Officials in detecting the deviations from achieving the set targets and determine

implementable corrective measures in an effort to improve on the overall performance of the Government Departments. The fact that the Government Departments are underperforming is an indication that the monitoring and evaluation directorates have a meaningful role to play as well as the improvements that took place over the last three financial years.

Monitoring and evaluation serves as advisers to the Chief Officials and verifies their hard evidence regarding the proof that a particular indicator was achieved. The verification tests reliability that refers to completeness, accuracy and timeliness as well as validity in the sense that all documents were signed by the relevant Chief Officials.

The research into the system utilised by the government to monitor progress made on the implementation was due and the lessons learned can be shared with Chief Officials in an endeavour to improve service delivery to the citizens in the Province of the Eastern Cape.

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UNIVERSITY OF FORT HARE

DEPARTMENT OF PUBLIC ADMINISTRATION

**QUESTIONNAIRE TO PROVINCIAL POLITICAL OFFICE-BEARERS AND
CHIEF OFFICIALS IN THE PROVINCE OF THE EASTERN CAPE**

July 2015

QUESTIONNAIRE: ASSESSMENT OF MONITORING AND EVALUATION OF NON-FINANCIAL PERFORMANCE OF PROVINCIAL DEPARTMENTS IN THE PROVINCE OF THE EASTERN CAPE WITH SPECIAL REFERENCE TO ITS IMPACT ON SERVICE DELIVERY

1. EXPLANATION OF TERMS USED IN THE QUESTIONNAIRE

- Administration consists of a wide range of functions, namely policy making, organising, financing, staffing, procedure determination and controlling
- Controlling means the determining of control measures and standards; and the exercising of control
- Control standards means the monitoring of the performance information is done in terms of a plan that is controlling that the process was completed
- Control measures and standards mean inspection, auditing, reporting and cost analysis measures to ensure effective work performance
- Effectiveness means to produce quality outcome.
- Evaluation means to analyze and appraise why the intended performance results were or were not achieved.
- Monitoring means the routine collection and analysis of information to track progress against set plans and check compliance to established standards.
- Policy implementation means the implementation of legislation and departmental policy to make performance monitoring and evaluation possible.
- Policy analysis refers to the systematic examination of the impact and effect of performance monitoring and evaluation policy
- Readiness assessment means the actions undertaken to lay the foundation of the M&E system before it is established

2. INSTRUCTIONS ON HOW TO COMPLETE THE QUESTIONNAIRE

2.1 Read the following carefully before filling in the details on the questionnaire.

Where applicable, the questions should be answered with an **X** for the correct option

Example 1

Question: Who decides on a development policy for provincial authorities?

Answer

Political Office-bearers	1 X
Chief Officials	2

Note: The respondent has indicated that political office-bearers decide on a development policy.

2.2 In some questions you will required to indicate, on a five point scale (marked 1-5), the extent to which you agree or disagree with the given statement.

1	2	3	4	5
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The following meaning is attached to the figure:

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

Example 2

Statement: Provincial authorities are required to provide adequate health services

Answer

1	2	3	4X	5
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The respondent agrees with the statement in this example.

2.3 Some questions will require that you indicate whether you agree or disagree with the statement.

Example 3

Statement: Interest groups play a role in the initiation of provincial policy.

Yes	X 1	No	2
-----	-----	----	---

Answer

The respondent indicated that he/she agrees with the statement.

2.4 Your own view/ opinion (based on your practical experience) will also be asked. In those cases please write the required information in the space provided.

Example 4

What is the main purpose of performance evaluation and monitoring?

.....

.....

.....

.....

2.5 Often a question will have a mere “yes or no” answer.

Yes	X1	No	2
-----	----	----	---

However, you could be asked to motivate your answer.

.....

.....

.....

3. QUESTIONS ON DEMOGRAPHIC INFORMATION OF RESPONDENTS (Quantitative data)

3.1 What office/post do you hold?

Member Executive Committee (MEC)	1
Premier	2
Director-General	3
Head of Department	4
Deputy Director General	5
Chief Director	6
Labour Union Rep	7
Senior Manager	8

3.2 Indicate your age, please indicate into which group do you fall?

20-30 years	1
31-35 years	2
36-40 years	3
41-45 years	4
46-50 years	5
51-55 years	6
56-60 years	7
61-65 years	8

3.3 Indicate your gender

Male	1
Female	2

3.4. Provide the name of your Department

.....

3.5. Years of service as provincial official/political office bearer

Less than 5 years	1
5 to 10 years	2
11 to 15 years	3
16 to 20 years	4
More than 20 years	5

3.6. Home language: What language do you speak?

English	1
Afrikaans	2
English+Afrikaans	3
Xhosa	4
Other	5

3.7. Academic Qualification

3.7.1. Your highest qualification is:

Standard 8/Grade 10	1
Matric/ Grade 12	2
Diploma(s) Municipal Institutions	3
Diploma/Certificate(s) Technikon	4
Diploma/Certificate(s) University	5
Undergraduate Degree (University)	6
Postgraduate Degree (University)	7
Other	8

4. SPECIFIC QUESTIONS REGARDING THE MONITORING AND EVALUATION OF NON-FINANCIAL PERFORMANCE OF PROVINCIAL DEPARTMENTS (QUALITATIVE DATA)

4.1 THE CURRENT SITUATION IN THE PROVINCIAL SPHERE OF GOVERNMENT. (EXISTING ENVIRONMENT)

(a) The underperformance of provincial departments in the provision of services and implementation of programmes are not properly addressed or improved.

Agree	1	Disagree	2	Do not know	3
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Please motivate your answer

(b) The underperformance of provincial departments in the provision of services and implementation of programs are due to the insufficient exercise of control measures and the non-implementation of corrective measures.

Agree	1	Disagree	2
-------	---	----------	---

Please motivate your answer

(c) In your opinion, please comment on the quality of the information provided in performance appraisal reports.

Very poor	1	Poor	2	Acceptable	3	Good	4	Very good	5
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Please motivate your answer

(d) The existing system of monitoring and evaluation of non-financial performance in provincial departments are inadequate to ensure effective work performance.

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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Please motivate your answer.

4.2 LEGISLATIVE FRAMEWORK FOR PERFORMANCE MONITORING AND EVALUATION (INPUT PHASE)

(a) The existing legislation and other policy measures are adequate to ensure effective performance monitoring and evaluation effectively

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you disagree, please give reasons why not.

(b) Non co-operation between political office-bearers and chief officials in the implementation of monitoring and evaluation policy is hampering effective service rendering.

Yes	1	No	2
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If yes, please motivate your answer.

(c) The implementation of performance monitoring and evaluation is hampered by a lack of sufficient delegation of authority by political office-bearers to chief officials.

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you agree, please motivate briefly.

4.3 CONDUCTING A “READINESS ASSESSMENT” (INPUT PHASE CONTINUED)

(a) In your opinion, is it essential to conduct a “Readiness Assessment” at the beginning of each year?

(Readiness assessment means the actions undertaken to lay the foundation of the M&E system before it is established)

Yes	1	No	2
-----	---	----	---

If yes, please motivate your answer.

(b) In your view, should performance monitoring and evaluation be regarded as an essential control measure?

Yes	1	No	2
-----	---	----	---

If yes, please furnish reasons for your answer.

(c) Do you agree that a readiness assessment review should be conducted on an annual basis?

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

(i) If you agree, please motivate your answer.

(ii) If you disagree, please motivate your answer

(d) Non-financial performance monitoring and evaluation must be continuously evaluated and updated

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

If you agree, please comment how such monitoring and evaluation should be done.

4.4 PROBLEMS BEING EXPERIENCED IN THE IMPLEMENTATION OF PERFORMANCE MONITORING AND EVALUATION (INPUT PHASE CONTINUED)

(a) Name three problems being experienced in the implementation of monitoring and evaluation performance

(b) In your opinion does the relevant legislation make sufficient provision for a workable monitoring and evaluation system?

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

Please motivate your answer.

(c) Is there any technical assistance, capacity building or training underway in the monitoring and evaluation unit now underway or done during the last two years?

Yes	1	No	2
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If no, please furnish reasons for your answer.

4.5 SETTING OF OBJECTIVES AND OUTCOMES TO MONITOR AND EVALUATE (INPUT PHASE CONTINUED)

4.5.1 PRE-DETERMINED OBJECTIVES

(a) The monitoring and evaluation objectives as determined by your National department make implementation effectively possible.

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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Please motivate your answer.

4.5.2. NATIONAL DETERMINED INDICATORS

(a) In your opinion, do the national determined indicators address your departmental service provision effectively?

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you disagree, please give reasons why not.

4.5.3 SETTING OF OUTCOMES

(a) Building outcomes is a deductive process in which inputs, activities and outputs are all derived and flow from the setting of outcomes

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you disagree, please give reasons why it is not.

(b) All important phases of the performance framework are derived from and based on the setting of outcomes

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

If you disagree, please give reasons why it is not.

(c) What is your department's role in the setting of departmental outcomes?

4.6 ADMINISTRATIVE ENABLING PROBLEMS EXPERIENCED BY CHIEF OFFICIALS. (PROCESSING PHASE)

4.6.1 SETTING OF RESULTS TARGETS AND MONITORING FOR RESULTS

(a) A target is seen as a specified objective that indicates the number, timing and location of that which needs to be realized

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

If you agree, please motivate your answer

(b) Target setting is the final step in building the performance framework

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

If you agree, please motivate your answer

(c) Does your department set quantifiable levels of the targets your department intends to achieve by a given time?

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

If you agree, please motivate your answer

(d) Name three problems in the setting of targets in your department

(e) Does the setting of targets in your department commence with baseline indicator level upon which all future planning is done?

Yes	1	No	2
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If no, please furnish reasons for your answer.

(f) Does your department consider the expected funding and resource levels in setting of targets and outcomes sufficient?

Yes	1	No	2
-----	---	----	---

If no, please furnish reasons for your answer.

(g). Does your department succeed effectively on improving on the baseline for program activities?
(The base is the situation before a program activity begins; it is the starting point results monitoring)

Yes	1	No	2
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If no, please furnish reasons for your answer.

(h) The setting of targets is part of the political process and there will be political ramifications for either meeting or not meeting such targets

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

If you agree, please motivate your answer

(i) Does your department set realistic targets which recognize that most desired outcomes are long term completed and not quickly achieved?

Yes	1	No	2
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If no, please furnish reasons for your answer.

4.6.2 FINANCIAL ARRANGEMENTS FOR MONITORING AND EVALUATION

(a) Available finance is inadequate to meet effective implementation of performance monitoring and evaluation programs?

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

If you agree, please motivate your answer

(b) Overall, how do you rate the financing of provincial performance monitoring and evaluation in the province of the Eastern Cape?

Strong	1	Moderate	2	Weak	3	No capacity	4
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Please, motivate your answer

(c) How will the monitoring and evaluation system support effective resource allocation for the achievement of departmental goals?

4.6.3 PERSONNEL ARRANGEMENTS FOR MONITORING AND EVALUATION

(a) The existing personnel is adequately trained, skilled and managed to ensure effective implementation of performance monitoring and evaluation.

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you disagree, please motivate your answer

(b) How will your departmental officials react to negative information generated by the monitoring and evaluation system?

(c) Are the departmental line managers suitably qualified to implement the monitoring and evaluation system in their directorates?

Yes	1	No	2
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If no, please furnish reasons for your answer.

4.6.4 ORGANISATIONAL ARRANGEMENTS FOR MONITORING AND EVALUATION

(a) The existing organizational structures (e.g. sections and posts) are inadequate to ensure effective performance monitoring and evaluation within provincial departments.

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you disagree, please motivate your answer.

4.6.5 PROCEDURAL ARRANGEMENTS FOR MONITORING AND EVALUATION

(a) In your opinion, are the existing procedures sufficient to ensure effective monitoring and evaluation?

Efficient	1	Not Efficient	2
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If not efficient, please motivate your answer

(b) The existing work procedures and methods are adequate to ensure the effective implementations of performance monitoring and evaluation programs?

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you disagree, please motivate your answer.

4.6.6 CONTROL ARRANGEMENTS FOR MONITORING AND EVALUATION

(a) Monitoring and evaluation is a measure to exercise control

True	1	False	2
------	---	-------	---

(b) The existing control measures are adequate and effective for the controlling of performance monitoring and evaluation programs.

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you disagree, please motivate your answer.

(c) Monitoring as a control measure ought to be based on realistic standards.

True	1	False	2
------	---	-------	---

(d) Monitoring requires effective demanding of accountability and the rendering of account from provincial officials.

True	1	False	2
------	---	-------	---

(e) Monitoring as a control measure evaluate performance and its effectiveness mechanically and does not take into account the complicated environment within which public administration functions.

True	1	False	2
------	---	-------	---

(f) The existing monitoring and evaluation measures do not

(i) provide an expression of the required level of performance

True	1	False	2
------	---	-------	---

(ii) apply to all means/resources that are utilised in work performance

True	1	False	2
------	---	-------	---

(iii) result in uniformity of action (Provision of services)

True	1	False	2
------	---	-------	---

(iv) provide criteria against which performance can be compared

True	1	False	2
------	---	-------	---

(v) provide standards that are easy to understand; and

True	1	False	2
------	---	-------	---

(vi) are not always measurable and meaningful

True	1	False	2
------	---	-------	---

(g) Monitoring and evaluation as control measure should never affect adversely the motivation of chief officials or hamper effective work performance.

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you disagree with any of the above, please motivate your answer

4.7 IMPLEMENTATION OF PERFORMANCE MONITORING AND EVALUATION PROGRAMMES (OUTPUT PHASE)

(a) The purpose of performance monitoring and evaluation is to collect reliable and sufficient information to improve future service provision.

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you disagree, please motivate your answer.

(b) A data collection system for all indicators (implementation and results) should possess three key criteria: reliability, validity, and timeliness.

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

If you disagree, please motivate your answer.

(c) Information provided by your department meets the requirement of reliability and all information is submitted consistently and conducted in the same manner every time

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

If you disagree, please motivate your answer.

(d) Information provided by your department meets the requirement of validity and all information is submitted consistently and conducted in the same manner every time

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

If you disagree, please motivate your answer.

(e) Information provided by your department meets the requirement of timeliness and all information is submitted consistently and conducted in the same manner every time

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

If you disagree, please motivate your answer.

4.8 IMPACT OF PERFORMANCE MONITORING AND EVALUATION ON PROVINCIAL SERVICE PROVISION (IMPACT PHASE)

(a) As a political office-bearers or chief official do you determine the impact (consequence) of performance monitoring and evaluation on provincial service provision and on the well-being of the citizens..

Never	1	Sometimes	2	Regularly	3	Always	4
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Please motivate your answer

(b) The ineffective implementation of performance monitoring and evaluation impacts negatively on the welfare of the citizens.

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you disagree, please motivate your answer.

(c) Poor performance monitoring and evaluation or a lack thereof will impact

(i) Negatively on the social condition in a community

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

If you disagree, please motivate your answer.

(ii) Negatively on the political support in a community

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you disagree, please motivate your answer.

(iii) Negatively on the economic environment in a community.

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

If you disagree, please motivate your answer.

(iv) Negatively on the physical/ nature environment in a community.

Strongly disagree	1	Disagree	2	Neutral	3	Agree	4	Strongly agree	5
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If you disagree, please motivate your answer.

4.9 SUSTAINING THE PERFORMANCE MONITORING AND EVALUATION SYSTEM (FEEDBACK PHASE)

(a) In your opinion does the monitoring and evaluation system providing data in a simple, clear and easily understood format?

Never	1	Sometimes	2	Regularly	3	Always	4
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Please motivate your answer

(b) Does the monitoring and evaluation system assist to demonstrate accountability on the undertakings of government regarding the provision of services?

Never	1	Sometimes	2	Regularly	3	Always	4
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Please motivate your answer

(c) Does the monitoring and evaluation system assist in the exploration and investigation into what programs work, what do not work and why not?

Never	1	Sometimes	2	Regularly	3	Always	4
-------	---	-----------	---	-----------	---	--------	---

Please motivate your answer

(d) Does the monitoring and evaluation system assist to promote a better understanding of the government programs by reporting results?

Never	1	Sometimes	2	Regularly	3	Always	4
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Please motivate your answer

THANK YOU FOR YOUR TIME AND CO-OPERATION.

UNIVERSITY OF FORT HARE

DEPARTMENT OF PUBLIC ADMINISTRATION

QUESTIONS FOR THE INTERVIEW OF SELECTED RESPONDENTS

Question 1

Can you supply three methods on how monitoring and evaluation can improve the provisioning of services and the implementation of government programs?

Question 2

What improvements can be made regarding the legislative framework for monitoring and evaluation?

Question 3

In which manner can monitoring and evaluation be improved as a control measure?

Question 4

What technical assistance, capacity building or training can be provided on monitoring and evaluation?

Question 5

What changes can be made to improve on the pre-determined objectives of the National department?

Question 6

What improvements can be made with funding for monitoring and evaluation and resource levels?

Question 7

What arrangements can be made on the existing organizational arrangements to improve monitoring and evaluation?

Question 8

What improvements can be made on the existing procedures to improve monitoring and evaluation?

Question 9

What changes can be made to collect reliable and sufficient information to improve future service delivery?

Question 10

What improvements can be made to the monitoring and evaluation system to provide data simple, clear and easily understood format?

THANK YOU FOR YOUR COOPERATION



Province of the
EASTERN CAPE
OFFICE OF THE PREMIER

OFFICE OF THE DIRECTOR GENERAL

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03 January 2012

Mr E.P. Vermaak
P.O. Box 79
East London
5200

Dear Sir,

RE: REQUEST FOR PERMISSION TO CONDUCT RESEARCH

I refer to your letter dated 19 December 2011.

Thank you for taking interest in monitoring and evaluation as a critical area of focus in the work of Provincial Government. I am pleased to advise you that permission has been granted for you to undertake research work in the Provincial Government of the Eastern Cape.

However, you will be expected to approach individual Heads of Departments to obtain approval to conduct research in their respective departments. I wish you success in your studies, and hope that Provincial Government will benefit from the knowledge to be generated through your research.

For further assistance, you may contact Ms C. Morkel at 040-6093321.

Kind regards,

MR MBULELO SOGONI
DIRECTOR GENERAL

**MONITORING & EVALUATION
RECEIVED**

04 JAN 2012

**OFFICE OF THE SENIOR MANAGER/
GENERAL MANAGER**

Cc Ms C. Morkel: Acting General Manager (Monitoring & Evaluation)



The leader in excellence at the centre of a coherent, pro poor provincial administration

Ikamva eliqaqambileyo!