EVALUATING THE PERFORMANCE OF THE ADMINISTRATION PROGRAMME OF THE NORTHERN CAPE PROVINCIAL LEGISLATURE

by

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Thesis presented in fulfilment of the requirements for the degree Masters in Public Administration at the School of Public Leadership at the University of Stellenbosch

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March 2013

DECLARATION

By submitting this thesis electronically, I declare that the entirety of the work contained therein is my own, original work, that I am the owner of the copyright thereof (unless to the extent explicitly otherwise stated) and that I have not previously in its entirety or in part submitted it for obtaining any qualification.

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ACKNOWLEDGEMENTS

My deepest gratitude is extended to

- God, my Lord and Father who carried me through this trying time and gave me the ability to complete this research;

- my husband, Bernard and children, Shaurissa and Nerina, thank you so much for understanding and giving me the space, time and support during the past year;

- my employer, the Northern Cape Provincial Legislature, thank you for providing me with the much needed resources and information;

- my colleagues, especially Ineke and Paradise who were always willing to assist;

- my supervisor, Junay Lange, thank you for your patience. Your feedback and guidance shaped and improved this research product to meet the required standard;

- the SPL staff, lecturers, management and my co-students for their support and encouragement.

ABSTRACT

In recent years scholars and researchers have been paying specific attention to the performance and results produced by government activities. This is seen as a direct consequence of trends in the public policy field, specifically the New Public Management (NPM) approach. The South African Government has demonstrated its commitment to the NPM approach by advocating the assessment of government's performance and putting in place substantial guiding, policy and discussion documents that would promote the monitoring and evaluation of public outputs and outcomes.

This research study takes its cue from the NPM approach and evidence-based public policy analyses as it sought to evaluate the performance of a government programme by considering reported performance outputs. The researcher evaluated the performance for the Northern Cape Provincial Legislature's (NCPL) Administration programme over a 3-year period as a case study.

The research methodology is evaluative in nature and the specific design employed is programme evaluation. To solicit data from respondents, an Organisational Profile Survey was conducted. The survey responses from participants were combined with a review of media reports and scrutiny of documented reports to provide comprehensive evidence about the performance of the NCPL Administration. The overall aim of the study was to evaluate performance with a view to the improvement of future performance. The findings of the thesis indicate that the planned services and activities of the NCPL Administration are not being implemented effectively and that the overall programme is not functioning effectively. The effectiveness of the NCPL Administration can be improved by means of the resolution of organisational challenges. Recommendations are made to address performance deficiencies and further research opportunities are also identified.

OPSOMMING

Navorsers het oor die afgelope paar jaar spesifiek begin fokus op die prestasie en uitslae van regeringsaktiwiteite. Die onlangse tendens kom as 'n direkte gevolg van huidige openbare hervorming, en meer spesifiek die Nuwe Openbare Bestuurs- (NOB) benadering. Die Suid-Afrikaanse regering demonstreer hul toewyding aan die NOB benadering deurdat die evaluasie van regerings prestasie voorgestaan word, asook deur die instelling van substansiële beleid-, leidings- en gespreksdokumente wat die monitering en evaluasie van publieke uitsette en uitkomste bevorder. Hierdie navorsingsstudie volg die NOB benadering en bewys-gebaseerde publieke beleidsontleding na. Dit is gemik daarop om die prestasie van 'n regeringsprogram te evalueer deur die gerapporteerde prestasie uitsette in ag te neem.

As deel van hierdie gevallestudie evalueer die navorser die prestasie van die Noord-Kaap Provinsiale Wetgewer (NKPW) se administrasie program oor 'n drie jaar tydperk. Die studie se navorsingsmetodologie is waardeoordelend die spesifieke navorvingsontwerp wat gebruik word is Programevaluering. Om data van respondente te bekom was 'n Organisasie Profiel Opname onderneem. Hierdie data was gekombineer met 'n oorsig van koerant berigte en die noukeurige ondersoek van verslae met die oog daarop om omvattende bewyse te lewer oor die prestasie van die NKPW Administrasie. In geheel poog die studie om prestasie lewering te evalueer met die doel om toekomstige prestasie te verbeter.

Die bevindinge van die tesis dui aan dat die implementering van beplande dienste en aktiwiteite van die NKPW Administrasie nie doeltreffend is nie en dat die program in geheel nie effektief is nie. Die prestasie van die NKPW Administrasie kan verbeter word deur die aanspreking van uitdagings wat in die organisasie ondervind word. Aanbevelings word gemaak om die prestasiegapings aan te spreek en verdere navorsinggeleenthede is ook geïdentifiseer.

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LIST OF ACRONYMS

AG	Auditor General
AO	Accounting Officer
ANC	African National Congress
APP	Annual Performance Plan
AR	Annual Report
ATC	Announcements, Tablings and Committee Reports
CFO	Chief Financial Officer
COPE	Congress of the People
DA	Democratic Alliance
DG	Director General
DORA	Division of Revenue Act
DFA	Diamond Fields Advertiser
DPME	Department: Performance Monitoring and Evaluation
DPSA	Department of Public Service and Administration
EE	Employment Equity
ERP system	Enterprise Resource Planning system
FMPA	Financial Management of Parliament Act
GWM&E	Government-wide Monitoring and Evaluation
GWMES	Government-wide Monitoring and Evaluation System
HOD	Head of Department
HR	Human Resources
HRD	Human Resources Development
HRM	Human Resources Management
M&E	Monitoring and Evaluation
MEC	Member of the Executive Council
MFMA	Municipal Finance Management Act
MP	Member of Parliament
MPL	Member of the Provincial Legislature
MTEF	Medium Term Expenditure Framework
NA	National Assembly

NEHAWU	National Health and Allied Workers Union
NEPF	National Evaluation Policy Framework
NC	Northern Cape
NCOP	National Council of Provinces
NCPL	Northern Cape Provincial Legislature
NK	Noord-Kaap
NPA	National Prosecuting Authority
NPM	New Public Management
NT	National Treasury
OD	Organisational Development
OG	Ouditeur-Generaal
OTP	Office of the Premier
OTS	Office of the Speaker
PA	Performance Appraisal
PC	Portfolio Committee
PFMA	Public Finance Management Act
PM	Performance Management
PMDS	Performance Management and Development System
PSA	Public Service Act
PSC	Public Service Commission
QR	Quarterly Report
RSA	Republic of South Africa
SA	South Africa
SAMEA	South African Monitoring and Evaluation Association
SC	Standing Committee
SCM	Supply Chain Management
SDA	Skills Development Act
SDF	Skills Development Facilitator
STATS SA	Statistics South Africa
TR	Treasury Regulations
WB	Wêreld Beker

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CHAPTER 1
INTRODUCTORY CHAPTER

1.1   Introduction

This chapter introduces the reader to the study and provides the background, motivation and rationale for the research. The chapter includes the research questions as well as the aims and objectives of the study. The chapter is concluded with the overall structure of the research report.

1.2   Background, motivation and rationale

This study is inspired by the public policy analyses field, specifically the New Public Management (hereafter referred to as NPM) approach and evidence-based policy analyses. One of the changes for which NPM was responsible is a shift in focus from *inputs into public service delivery processes* to *assessing the performance of public service agents by means of evaluating outputs and outcomes* (Cloete, 2003: 1). According to Cloete (2003: 1), the paradigm shift resulting from NPM "caused a substantial increase in the existing body of knowledge on performance management and measurement" in recent years. Sanderson (2002) indicates that the paradigm shift brought about by NPM is currently the dominant paradigm in western countries. It is further indicated that international best practice in the field of NPM in these countries increasingly emphasize and promote so-called "evidence-based" policy analyses, in order to generate empirical data about policy performance and outcomes (Sanderson, 2002 as cited in Cloete, 2003: 2).

In terms of the NPM, scholars are emphasizing that more attention should be given to the results of government activities than to the resources that are converted into outputs and outcomes. It is deemed that such an approach could ensure optimum results and improve policy implementation in most instances (Cloete, 2003: 4).

A recent and authoritative study on performance management done by Bouckaert, Hoet and Ulens in 2000 concluded that there is a surprising similarity in the objectives for measuring performance. This study revealed 3 main reasons why governments assess their performance. These are:

- to increase savings in terms of the budget;
- to improve overall functioning (efficiency, effectiveness and quality of services); and
- to improve accountability to oversight structures.

(Cloete, 2003: 4)

The South African Government has firmly adopted the NPM approach of assessing public (government) performance by evaluating outputs and outcomes for improved results. This is evident from the steady stream of guiding, policy and discussion documents produced in recent years. These documents aim to regulate planning, improve performance and create a culture of monitoring and evaluation in the South African public sector. The process has been led by the Presidency in partnership with National Treasury, The Department of Public Service and Administration, the Public Service Commission and Statistics South Africa (Rabie, 2011: 3).

Key policy documents aimed at assisting public administrators and managers to make this paradigm shift includes, amongst others:

- the Public Finance Management Act (2001);

- National Treasury's Framework for managing performance evaluation information (May 2007);
- the Presidency's Government-wide Monitoring and Evaluation Framework (Nov 2007);
- the Public Service Commission's Basic concepts in Monitoring and Evaluation (2008), and
- the National Evaluation Policy Framework (2011).

(Van der Westhuizen, 2008: 9-13)

The South African Government has further demonstrated its commitment to creating a performance culture and improving outcomes across government with the establishment of the Department of Performance Monitoring and Evaluation on 1 January 2010 (RSA, 2010).

1.2.1 Motivation for the study

Despite the efforts of the South African Government to establish a policy framework that would instill a culture of performance management, measurement and improvement, South African citizens have not seen the results. According to Rabie (2011: 152) the evaluation of government programmes is more institutionalised into planning and reporting cycles and such evaluations are mostly focused on financial compliance. This could be one of the reasons why improved government services are not easily observed.

Prof Ruben Richards judges the South African Government quite harshly. In his article named *Seventeen years later and what a mess: the call for a new bottom line for post-apartheid nation-building* his view indicates "that the current performance and evaluation discourse and methodological

paradigm has contributed to a more than tacit acceptance of declining and unacceptable levels of performance". He calls for South African citizens as a collective nation, not to wait for the ruling party to dictate, characterize and standardize performance but to actively participate in improving accountability (Richards, 2011: 1-2).

This brings us to the question: How do we as South Africans contribute to the improvement of public performance? My response to this question is to become involved in service delivery improvement; to ensure that as a public servant you are able to contribute to the overall effectiveness of government by doing your small part to the best of your ability. This can be achieved by adapting to a new paradigm, one by which results matter and one by which you can evaluate your own effectiveness and that of the organisation in which you work.

The motivation behind this study is thus to conduct an evaluation, and in doing so, to increase an understanding of the fields related to performance measurement and programme evaluation; to measure with a view to improve, to test effectiveness in order to contribute to the policy implementation and performance / practice.

In this study the researcher evaluates the implementation of planned performance for the Administration (Programme 1) of the Northern Cape Provincial Legislature (hereafter referred to as the NCPL). This is done by drawing from the theories of public management as well as public policy analyses to test congruency between services as planned and as actually manifested. Through this research the researcher aims to illustrate an understanding of the above mentioned theories as components within the public administration field that are relevant to this study.

This study is being undertaken to contribute to the existing body of knowledge on evaluation research, performance management and measurement. It will provide specific data and findings on the performance of the Administration Programme of the NCPL.

The main reason why this research study was chosen is due to a perception amongst selected NCPL employees that the organisation is not functioning optimally. A survey conducted as part of this study proved that employees are of the opinion that the administration and organisational management of the NCPL needs improvement. This research study intended to find out whether there is any merit in the above-mentioned perceptions and opinions. It intended to clarify the role and function of the Administration Programme in order to promote a clearer understanding thereof and evaluate the performance of the said programme to gauge whether this programme is being implemented effectively and is capable of achieving its objectives.

The NCPL is viewed as the highest decision making body in the province of the Northern Cape. It derives its authority from Chapter 6, Section 114 (1) and (2) of the Constitution of the Republic of South Africa, which states that the key role of a provincial legislature is to make laws and hold the executive arm of government accountable by conducting oversight (RSA Constitution, 1996). As an oversight body (which oversees government departments and agencies) the legislature is expected to set an example of an effective organ of state that manages its own administration properly. This research will provide vital feedback by way of findings as to whether the NCPL as an organisation is functioning effectively. Recommendations will pinpoint areas for improvement.

1.3   Research questions

This research is focused on addressing the following question: *Are the services delivered and activities planned for Programme 1: NCPL Administration, being implemented effectively?*

Sub-questions include:

- What is the purpose of Programme 1? (including the programme rationale);
- What is the programme plan (planned performance) and how does the programme plan link up to the programme purpose and rationale?
- What is the level of congruency between the planned programme performance and the actual performance as manifested? (Application of a programme evaluation / performance assessment tool containing evaluation criteria).

The research is not merely about the evaluation of a programme. It is about evaluating the performance of the programme that ensures effective organisational functioning thus evaluating effective organisational performance. The purpose of this programme is "to establish an effective legislature governance structure that will ensure that the organisation operates optimally" (NCPL, 2010: 16). The research provides a profile of how NCPL employees perceive the organisation.

The *unit of analysis* of this study is: NCPL Programme 1: Administration. The *nature* of the study is evaluative and the specific design to be employed is programme evaluation.

Mark (1996: 230) defines programme evaluation research "as a type of research that uses established social science methods to evaluate the success or effect of a social service program". Programme evaluation as a research design is an investigation which is conducted into social programmes in order to express findings on how successful the programme is in the achievement of its goal which is to improve social conditions. It intends to inform those who formulated and implemented the social programme about their effectiveness and weakness. Programme evaluation research provides information regarding what has led to the success or failure of the programme and can be viewed as a management tool that could improve programme performance and decision making (Mamburu, 2004: 253-254). The concept programme evaluation research and the related theory are discussed in depth as part of the Chapter 2: Literature review and theoretical framework.

1.4   Research aim and objectives

This study is in essence a performance evaluation study that *aims* to evaluate effective organisational performance by means of the evaluation of the performance of the programme (NCPL Adminstration) that ensures effective organisational functioning. The Research has four objectives. These objectives are in line with the central research question.

Objective 1:

To provide a detailed description of the organisational environment in which the programme exists. The reader is provided with a profile of the organisation, thus providing the context and case specific information of the environment in which the research takes place.

Objective 2:

To describe the overall purpose, strategic intent, performance targets, outputs and outcomes of Programme 1: Administration. This creates an understanding of the programme rationale and the programme plan. This description provides insight into the nature of this programme.

Objective 3:

To investigate the overall effectiveness of the programme by looking at what the programme set out to do (programme plan) as well as assessing performance in terms of the implementation of the programme in order to gauge whether it has achieved its goals and objectives. It will answer the central research question.

Objective 4:

To make recommendations that could lead to the improvement of programme performance.

1.5   Research Design and Methodology

This study is qualitative in nature; it contains elements of a case study as it describes the administration of the NCPL and the NCPL organisational environment in detail. It furthermore evaluates the overall effectiveness of the administration of the NCPL against guidelines and tools designed for evaluation purposes. The study is deemed to be evaluation research because it "involves the assessment of the strengths and weaknesses of programmes, policies, plans, personnel, etc. in order to improve its effectiveness" (Miller & Salkind, 2002:12).

The design classification is:

- Empirical because new findings in terms of performance information were created;
- Hybrid data sources (primary data and secondary data) were analysed. Data was obtained through interviews and by analysing existing documentary sources;
- The type of data used was mainly textual;
- The degree of structure and control was medium as the study was based on structured programme evaluation practices.

This study answers the question of whether or not an intervention (NCPL Programme 1: Adminstration) has been effectively implemented. It evaluates the performance outputs achieved by the NCPL Administration against a framework constructed for measuring organisational performance.

1.5.1 Target population and Sampling

The target population relevant to the study includes the Programme Manager for Programme 1, selected NCPL managers and staff (including trade union representatives).

Random sampling was used to give all managers and employees a fair chance of participating in the study. At the time of compiling the sample, there were 136 employees employed at the NCPL. Every fourth employee was selected from an alphabetical list, yielding a sample size of 34 employees.

1.5.2 Data collection

Data collection techniques included the analyses of existing documentation, questionnaires and interviews.

1.5.3 Analyses of results

Methods of analyses included mainly content analysis.

1.6 Chapter Outline

Chapter 1:   Introductory chapter

This chapter introduces the reader to the study and provides the background, motivation and rationale for the research. The chapter includes the problem statement, a brief overview of the research design and methodology, as well as the aims and objectives of the study. The chapter is concluded with the overall structure of the research report.

Chapter 2:   Literature review and theoretical framework

The literature review contains the theoretical framework as well as literature related to the subject areas relevant to this research. The subject areas include:

- Public administration, public management and New Public Management (NPM);
- Public policy implementation;
- Performance management;
- Monitoring and evaluation; and
- Programme evaluation.

Aspects from previous research of a similar nature are included in the literature review.

Chapter 3:   Regulatory framework for monitoring and evaluating the performance of the South African Government

This chapter highlights the policy initiatives established by the South African Government to monitor and evaluate its own performance.

Chapter 4:   Overview of the NCPL

This chapter provides an overview of the NCPL as an organisation and a brief overview of the programme that will be evaluated.

Chapter 5:   Research design, methodology, findings and results

This chapter contains the implementation of the theory associated with the research design and methodology. It briefly reflects on the research theory and then provides a full account of the implementation of the research methodology. This chapter outlines the findings of the study and provides an analysis and interpretation of the results. It answers the central research question by indicating how well the NCPL administration is functioning and provides information on the performance achievements and challenges experienced by the administration.

Chapter 6:   Recommendations and conclusion

This chapter includes the general conclusion and recommendations of the study.

CHAPTER 2:
LITERATURE REVIEW AND THEORETICAL FRAMEWORK

2.1   Introduction

This literature review contains the theoretical framework as well as literature related to the subject areas linked to this research. The literature review commences with a clarification of concepts relevant to the areas of public management, public policy implementation, performance management, monitoring and evaluation and program evaluation. The chapter is concluded with a review of selected programme evaluation research studies.

2.2   Theoretical framework

As previously indicated this research study is evaluative in nature and the specific design employed is programme evaluation. According to Mouton (2010:2) the "applied and transdisciplinary nature" of programme evaluation allows for its application in all fields as there is a universal need to assess the effectiveness of programmes.

In its most basic form this study is a performance evaluation study and the evaluation takes place in the public sector. For this reason the theoretical exposition will start with defining public administration, public management and New Public Management (NPM) and proceed to link the aforementioned concepts with public policy implementation and public service delivery. Performance management will be discussed as a concept and its relationship with public service delivery will be briefly explored. Theories related to Monitoring and Evaluation (M&E) will be defined and discussed in terms of M&E's value for managing and

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improving performance. As programme evaluation is the design employed for measuring performance in this study, the theoretical framework will be concluded with definitions and discussions of the theory related to programme evaluation.

2.2.1 Public Administration, Public Management and New Public Management

The terms Public Administration and Public Management is sometimes used synonymously. *Public Administration* is however a concept that encompasses everything that government organisations have to do to render services and produce products for society. Public administration as an activity refers to the work done by public officials and elected public representatives "to meet (societal) needs by providing outputs (products and services) in the area concerned" (DuToit & Van der Walt, 2007: 10). According to Draai and Raga (2012: 86) public administration is guided by administrative law which defines the framework and boundaries of the public service. It also defines the competence required of public officials to deliver services. Traditionally, public administration is a process which requires public officials to effectively and efficiently utilize resources to meet the needs of citizens within a political context. It is an enabling process which requires the implementation of public policies. (Du Toit & Van der Walt, 2007: 8) indicates that Public Administration processes consist of "policy-making, organising, financing, personnel provision and utilisation, work procedures and control". Bourgan (2007: 9) further states that public administration theory is based on "respect for the rule of law, a commitment to serving the public good and an expectation that public servants will exhibit integrity, probity and impartiality in serving the public trust." Based on the definitions and information on the theory related to public administration, the term public administration is defined as follows

for the purposes of this study: *activities undertaken by public office bearers and officials to serve citizens by means of policy implementation in line with public service standards and a defined regulatory framework, in the interest of serving the public good.*

Public Management mainly entails basic general management functions such as planning, organising, leading, control and co-ordination (Van der Walt & Du Toit, 1997: 180). According to Garson and Overman (as cited in (DeLeon & Vogenbeck, 2007: 527) public management adopts an instrumental and practical orientation with a focus on organization, programme and individual performance. In this context the Public manager is deemed to be "concerned with the specific functions necessary for the organization and implementation of public policy, such as planning, organising, directing and controlling (DeLeon and Vogenbeck, 2007: 527). *Public Management therefore differs from Public Administration in the sense that it is mainly the performance of management functions by public servants in pursuit of public policy implementation.*

New Public Management (NPM) is a term used to refer to a global public management reform. It is sometimes also referred to as "managerialism". NPM as a management reform has may variations but also several universal themes (Frederickson and Smith, 2003: 214). According to Kettl (as cited in Frederickson and Smith, 2003: 215) NPM is based on six core values namely:

- Productivity – assessing how government can do more with less;
- Marketization – using market methodologies to overcome traditional bureaucratic practices;
- Service orientation – connecting government with citizens and improving customer satisfaction;

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- Decentralisation – placing government closer to citizens in order to make government more responsive;
- Policy – improving government's capacity to develop, implement and administer policy; and
- Accountability – ensuring government account for service delivery promises.

Draai and Raga (2012: 87) indicate that governments globally have adopted varying degrees of NPM reform practices. It is further indicated that NPM policies and strategies have been adopted in many developing countries, including South Africa. In South Africa various policies and strategies based on NPM have been developed and implemented since the inception of democratic government in 1994. The NPM approach "draws on private-sector principles by placing emphasis on the implementation of strategies that lead to measurable performance in respect of financial, managerial and administrative accountability. In addition, it emphasises the necessity for public services to be client centred. Citizens in the reform context have become clients to the public service in receipt of public goods and services." (Draai and Raga, 2012: 87)

For the purposes of this study, NPM is defined as a *Public Management reform approach that is results-orientated and seeks to instill private sector values into the public service with the objective of making government more service oriented, responsive and accountable.*

2.2.2 The public policy process and policy implementation

Policy making (as a public administration process) is described by Du Toit & Van der Walt (2007: 14) as "the umbrella process" involving "a series of

functions, carried out to decide on a plan of action to achieve certain objectives". Cloete (2007: 3) conceptualizes public policy by providing a working definition of policy as "a statement of intent". It is indicated in this source that policy specifies basic principles to be pursued in attaining specific goals. Policy is perceived as an interpretation of societal values and "is usually embodied in the management of pertinent projects and programmes". Parsons (as cited in Ingle, 2011: 68) describes policy as "an attempt to define and structure a rational basis for action or inaction". In terms of the definition by Parsons the words "action" and "inaction" is used to indicate that policy should ideally provide a choice between alternative policy solutions and there is always the option of choosing to do nothing (inaction) under a particular set of circumstances.

The policy process is described as containing "several phases, including initiation, design, analysis, formulation dialogue and advocacy, implementation, and evaluation' (Cloete, 2007: 3). Swanepoel (as cited in Ingle (2011: 70) indicates that the policy process has phases or stages, he however indicates that that the public policy process "is not linear". It does not start at one point and end at another. Instead the policy process is cyclical, representing a continuous spiral". Howlett and Ramesh (as cited in Ingle (2011: 70) views the public policy process as "something that more closely resembles a jumping jack "an ad hoc and idiosyncratic process" with stages in the cycle that are often "compressed or skipped" and that are frequently revisited. Parsons (as cited in Ingle 2011: 70) indicates a 'stagist' model for representing the policy process that, although it bears little resemblance to what actually happens in the real world, affords a rational structure within which we may consider the multiplicity of reality".

According to Van Meter and Van Horn (as cited in Cloete, 2007: 183) "*Policy implementation* encompasses those actions by public or private individuals (or groups) that are directed at the achievement of objectives set forth in prior policy decisions". Cloete (2007: 8) quotes Pressman and Wildavsky who defined policy implementation as follows: "Policies imply theories… Policies become programs when, by authoritative action, the initial conditions are created… Implementation, then, is the ability to forge subsequent links in the causal chain so as to obtain the desired result". Policy implementation is regarded as "the conversion of physical and financial resources into concrete service delivery outputs in the form of facilities and services, or into other concrete outputs aimed at achieving policy objectives" (Cloete, 2007: 183). Brynard (as cited in Mothae*, 2008: 248*) defines policy implementation as giving practical meaning to execution of policy as well as the fulfilment or accomplishment of objectives thereof. According to Crosby (as cited in Mothae*, 2008: 248*) policy implementation include tasks such as policy legitimation, constituency building, mobilisation of resources, action and monitoring of impact. For purposes of this study the definition by Cloete provides the best description of policy implementation and is therefore defined as *actions that convert physical and financial resources into services.*

The above mentioned concepts are relevant to the study as they are meant to highlight the fact that public administration is achieved through public management processes (amongst others). Public management processes include (but are not limited to) public policy management which by its nature includes sub-processes such as policy-making, implementation and evaluation (amongst others). Within public administration theory, the NPM approach is highlighted as a public management approach that seeks to improve government to be more service oriented, responsive and accountable. It is within the NPM

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approach that the need for evaluation of services is located with a view of improving public service delivery.

Definitions of policy implementation indicate that programmes are plans of action for implementing intended service delivery outputs and outcomes in order to reach policy objectives. The nature of a programme; as well as programme evaluation, as a policy evaluation mechanism, will be discussed later in this chapter.

2.2.3 Performance management and service delivery improvement

In their journal article entitled *Impact of performance management on service delivery in the South African government*, Manyaka & Sebola (2012: 299-310) argue the importance of performance management in the South African public service. They indicate that the South African Government adopted performance management as a tool to achieve effective service delivery shortly after the establishment of the democratic government in 1994. The authors argue that the effective management of employees' performance in the South African public service is reciprocally linked directly to the effectiveness of public service delivery. The article highlights that developed and developing countries, including South Africa, have since the 1980's embarked on public sector management reforms and that "to this end, the role and organisational character of the state have been questioned, and the public sector has been under tremendous pressure to adopt private sector orientations in order to maximize performance and accelerate public service delivery" (Manyaka & Sebola, 2012: 300). The Economic Commission for Africa (2003) is cited and this indicates that most of the more recent reforms influenced by New Public Management (NPM) "have been driven by a combination of economic, social, political and technological factors" (Manyaka & Sebola, 2012: 300)

which has triggered the quest for effectiveness and efficiency. The authors succeed in proving the value of performance management for improvement of public policy implementation and service delivery, but acknowledge that performance management in the South African public services remains a major challenge.

2.2.3.1 Defining performance management

According to Carrell, et al. (2000: 258) Performance appraisal (PA) is the ongoing process of evaluating and managing both the behaviour and outcomes in the workplace. The same source indicates that organisations use various terms to describe this process. Performance review, annual appraisal, performance evaluation, employee evaluation and merit evaluation are some of the terms used. *Performance management* is a broader term than performance appraisal. It uses all management tools, including performance appraisal to ensure achievement of performance goals. "Tools such as reward systems, job design, leadership and training should join PAs as part of a comprehensive approach to performance" (Carrell, et al., 2000: 258).

Armstrong (as cited in Kanyane & Mabelane, 2009: 59) states that performance management is about getting results through people, "the primary aim of which is to help managers increase the effectiveness of their staff, who will be rewarded accordingly". They see performance management as being inclusive of a range of activities, such as p*erformance review*, c*ontinuous appraisal*, *performance improvement programmes* and r*eward reviews.* Armstrong (as cited in Kanyane & Mabelane, 2009: 60) further defines performance management as "a strategy and integrated process that delivers sustained success to organisations by improving the performance of the people who work in

them and by developing the capabilities of an individual contributor and teams". He sees performance management as being the integrated management of organisational and individual performances, with the objective of ensuring sustained organisational success, alignment of output to strategy, and ongoing capability development.

Spangenberg (2001: 35) describes performance management as a complex process that includes goal setting, ongoing coaching and development of subordinates, formally reviewing performance and rewarding performance. According to Williams (2002) as cited by Manyaka & Sebola (2012: 302), performance management can be understood as a system to manage employee performance, organisational performance and for integrating employee performance with organisational performance. Another definition by the Chartered Institute of Personnel and Development (CIPD) (as cited by Swanepoel, Erasmus & Schenk 2010:372), describes performance management as "a process which contributes to the effective management of individuals and teams in order to achieve high levels of organisational performance". According to this definition a shared understanding about what is to be jointly achieved as well as a common approach to leading and developing people is a requirement to ensure that the intended goals are achieved.

Cokins (2004: 1), views performance management as a process of managing the implementation of the organisational strategy. "It includes methodologies, metrics, processes, software tools and the systems that manage the performance of an organisation". The tone for performance management is set at the top of the organisation and it cascades down through the entire organisation and all organisational processes. Through performance management broad cross-functional participation in decision-making and calculated risk-taking is enhanced through the provision of

accurate, reliable information. Overall performance management is deemed to enable the execution of the organisations' strategy.

The above-mentioned definitions indicate that performance management is a broad and complex management process and that a structured performance management system is required to make it work. Performance management starts to take place from the planning phase of management (where individual performance standards are designed and agreed upon in line with the organisational goals) and it can be linked to other management processes such as organising (where resources are typically allocated), leading, development and control. The definitions further illustrate a link between organisational performance and the performance of individual employees within the organisation. In fact, according to Manyaka & Sebola (2012: 302), employees' performance is the basis for organisational performance.

The reason for managing performance has been made clear. This reason can be described as tracking progress made by individuals and teams in an organisation towards the achievement of organisational goals and objectives. In line with the literature, it can be inferred that the reason for managing performance in the public sector, is to track performance in terms of the implementation of public policy and service delivery.

2.2.3.2 The performance management system and process

Performance management has been described as a management process or system. According to Swanepoel, Erasmus & Schenk (2010: 380), the organisational strategy is the "point of departure" for the design of the performance system. Activities that form part of developing the performance system include:

- Obtaining basic job information;

- Establishing performance standards and criteria;

- Deciding on the format and the appraisal instrument as well as the sources which will generate the ratings (e.g. rating by the direct supervisor, peers, subordinates, etc.);

- Developing policy documents to form the overall framework of the performance processes and procedures, including appraisal forms, user guides, etc.

(Swanepoel, Erasmus & Schenk, 2010: 380-381).

According to Brewster, et al. (2008: 189-190) a performance management systems typically involve the setting of performance objectives, the measurement of actual performance against the set objectives, the identification of developmental support (to facilitate the reaching of the objectives) and a review process.

The very comprehensive description of a Performance Management system comes from Werner (2007: 105-106) where the performance management system is defined as a "systematic process that formally documents the goals and objectives of each employee, with a built in review process". Each employee will have goals and performance measures that are directly linked to the organisation's strategy. The process of developing individual performance measures starts with cascading the organisational strategy and strategic objectives down through the different departments. Departmental managers set their goals and objectives followed by each person in the department, being assisted by means of a joint goal setting session, to set own performance goals and associated measures. This process is called alignment. By means of alignment everyone's efforts are directed towards the same goal and there are no wasted efforts. The alignment process identifies critical success

factors and key responsibility areas for the organisation while providing each employee with key result areas as well as Key Performance Indicators (KPI's). KPI's are the measures used to judge the employee's performance against the set objectives.

The definition of performance management provides an understanding of what performance management is, what it entails and the reasons why it is undertaken. The description of the performance management system and process assists in understanding the steps and components of managing performance. It is clear from the above system descriptions that departmental and individual performance indicators should be linked to the overall organisational goals and objectives and these indicators as well as performance criteria and standards are used as the basis to judge actual performance against the predetermined objectives.

2.2.4 Monitoring and evaluation

As a practice Monitoring and Evaluation (M&E) is gaining ground in the South African Government. This fact can be substantiated by the number of policy frameworks, discussion documents and guidelines that the South African Government has produced to put in place a Government-wide Monitoring and Evaluation System (GWMES). These policy frameworks and documents are discussed in detail in chapter 3 of this report.

2.2.4.1 <u>Defining monitoring and evaluation</u>

The terms "monitoring" and "evaluation" are sometimes used interchangeably but these terms are in fact two distinct functions. *Monitoring* can be described as a routine activity of checking progress at

regular intervals during a work cycle, while *evaluation* can be seen as a once off assessment or it may form part of a comprehensive evaluation (Mouton, 2010). The difference between monitoring and evaluation has been described as "the difference between a check-up and an autopsy!" (Shapiro, 1993: 3).

The following definitions by Shapiro (1993: 3) provide an appropriate and detailed explanation of these terms:

"Monitoring is the systematic collection and analysis of information as a project progresses. It is aimed at improving the efficiency and effectiveness of a project or organisation. It is based on targets set and activities planned during the planning phases of work. It helps to keep the work on track, and can let management know when things are going wrong. If done properly, it is an invaluable tool for good management, and it provides a useful base for evaluation. It enables you to determine whether the resources you have available are sufficient and are being well used, whether the capacity you have is sufficient and appropriate, and whether you are doing what you planned to do" (Shapiro, 1993: 3).

"Evaluation, on the other hand is the comparison of actual project impacts against the agreed strategic plans. It looks at what you set out to do, at what you have accomplished, and how you accomplished it. It can be formative (taking place during the life of a project or organisation, with the intention of improving the strategy or way of functioning of the project or organisation). It can also be summative (drawing learning from a completed project or an organisation that is no longer functioning)". (Shapiro, 1993: 3).

According to Unicef (as cited in Lange & Luescher, 2003: 86), "monitoring is the periodic oversight of the implementation of any activity which seeks

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to establish the extent to which input deliveries, work schedules, other required actions and targeted outputs are proceeding according to plan, so that timely action can be taken to correct deficiencies detected". Evaluation on the other hand entails a process which attempts "determine as systematically and objectively as possible the relevance, effectiveness, efficiency and impact of activities in the light of specified objectives. It is a learning and action-oriented management tool and organisational process for improving both current activities and future planning, programming and decision making." Unicef (as cited in Lange & Luescher, 2003: 86) It therefore indicates that monitoring and evaluation represent different yet complimentary activities.

Naidoo (as cited in Lange & Luescher, 2003: 86) describes monitoring as "the continuous observation of an activity and aims to identify the need for corrective action by measuring change (input, output, processes, instruments) over time, hence taking a *broad* look, evaluation however is preoccupied with the interpretation of monitoring data, and the attempt to discern, explain and assess change patterns and causalities, hence taking a *deep* look.

In the context of the South African Government M&E is defined as follows:
Monitoring: "Involves collecting, analyzing and reporting data on inputs, activities, output, outcomes and impacts as well as external factors in a way that supports effective management. Monitoring aims to provide managers, decision makers and other stakeholders with regular feedback on progress and implementation and results and early indicators of problems that need to be corrected. It reports on actual performance against what was planned or expected" (RSA Presidency, 2007: 1).

Evaluation: "A time bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision making by staff, managers and policy makers. Evaluation may assess relevance, efficiency, effectiveness, impact and sustainability. Impact evaluations examine whether underlying theories and assumptions were valid, what worked, what did not and why. Evaluation can also be used to extract cross cutting lessons from operating unit experiences and determining the need for modifications to strategic results frameworks" (RSA Presidency, 2007: 2).

An *M&E system* is defined as a set of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships which enables national and provincial departments, municipalities and other organisations to discharge their M&E functions effectively. In addition to these formal managerial elements are organisational culture, capacity and other enabling conditions which will determine whether feedback from the M&E function influence the organisations decision making, learning and service delivery (RSA Presidency, 2007: 4). It is important to note that an M&E system is not an IT system. It is about embedding a management system into public sector organisations whether or not it is supported by IT software or other tools. Emphasis is placed on systems integration and inter-operability (RSA Presidency, 2007: 2).

What the terms monitoring and evaluation have in common is that both concepts are geared towards measuring and learning from what is being done or has been done (performance) and it provides feedback on how things have been done. For M&E to be effective, a plan reflecting clear targets and timeframes should be present, because this plan will be the tool that is used as the basis for M&E.

2.2.4.2 <u>Performance management through M&E</u>

The practice of M&E has come as a direct consequence of government reforms, such as the NPM approach (a public management approach that seeks to provide services that offer value for money). NPM can be described as a theory of managing the public administration in the same way that businesses are managed, that is to be customer oriented, more responsive to customer needs and to provide services or products that offer value for money. "NPM takes a look at government from the angle of markets and productivity. At its core NPM represents a set of ideas values and practices aimed at emulating private sector practices in the public sector" (Bourgon, 2007: 13).

The intent of M&E is to provide information about the performance of government policies, programmes and projects. The value of M&E is not so much in the results that it produces, but in the value it adds to the improvement of government functions (Segone, 2008:25-26). Based on the intent and value of M&E, one can assume that a government which puts in place M&E systems will be better able to conclude whether public services offer value for money.

Based on the definitions of M&E, performance management and their systems, there are commonalities between the practice of M&E and the practice PM. Both M&E and performance management are comprehensive management processes that seek to create information on organisational performance against the organisational goals and objectives. For the context of this study, M&E is seen as the South African Government's preferred performance management system.

2.2.5 Programme evaluation

Programme evaluation can be defined as the evaluation of the success of a programme and how the design and implementation of the programme contributed to that success (RSA, 2008: 50).

2.2.5.1 <u>Defining a programme</u>

There are different types of programmes. Chen (2005: 3) indicates that "program evaluators can expect to evaluate *treatment programs*, *action programs* and *intervention programs"*. In the context of the South African Government one can distinguish between *budget programmes* (as per the South African Governments' financial framework) and *policy implementation programmes*. Programmes however all share a common feature in the sense of being organised efforts to enhance human well-being (Chen, 2005: 3)

According to McDavid & Hawthorn (2006: 9) a programme is "defined as a set of related activities aimed at accomplishing a single or many objectives". Fink (2005: 4) further defines a programme as a systematic and logical attempt to achieve a certain, planned purpose. Cloete (2007: 216) indicates that "policies are frequently implemented through programmes". In the public policy context programmes encompasses different government activities that are formally coordinated and implemented by government (to fulfill the overall goal of the policy) through ongoing activities and projects.

Chen (2005: 3-4) illustrates the nature and characteristics of a programme by means of the systems theory. A programme must perform two functions in order to succeed and survive -these are:

- the ability to transform inputs into desirable outputs; and
- the ability to continuously interact with its environment to obtain resources and support for its continued survival.
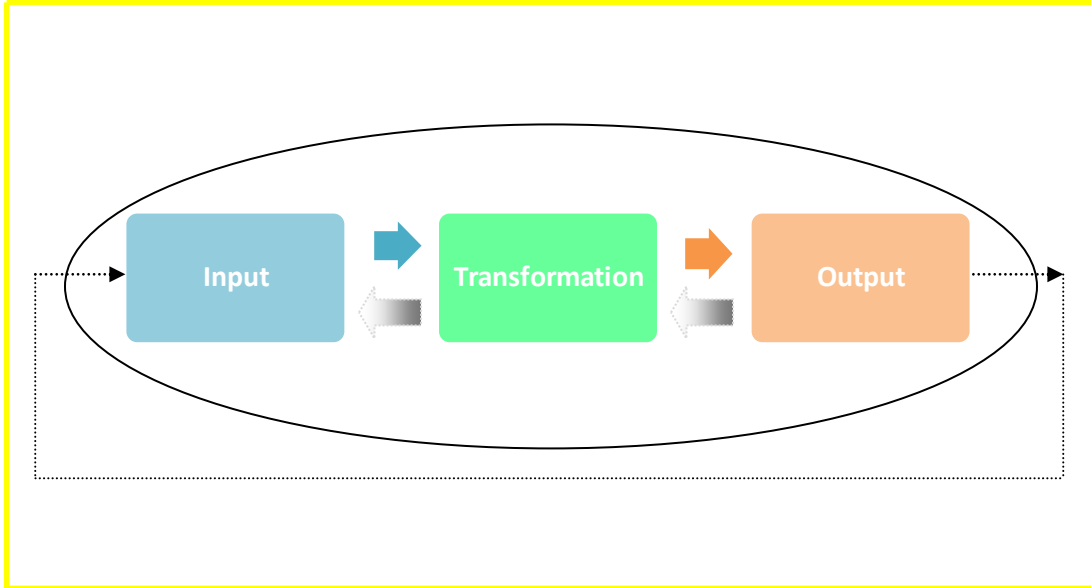
Figure 1: A system view of a programme (Chen 2005: 4)

Based on these definitions it is clear that programmes exist to achieve a certain purpose. This purpose could be to achieve a political/social outcome, to implement a plan or to address a problem. The programme is a coordinated effort for reaching its goal by means of a group of interrelated activities. Based on Figure 1, a programme needs to be resourced with finances, technology, personnel equipment, etc. Processes need to take place to transform inputs into outputs, and outputs are the results of the transformation. The literature reviewed indicates that a programme exists in an environment and the environmental factors could constrain or enhance the programme implementation. To succeed, programmes need feedback information to gauge their ability to reach their intended objective. "Program evaluation is all about feedback" (Chen, 2005: 5).

2.2.5.2 Budget programmes

The South African National Treasury has published guidelines for the structuring of budget programmes in departmental budgetary and management systems. These guidelines aim to promote good financial management and maximise performance and service delivery through the efficient and effective use of limited resources. Three types of budget programmes exist. These are:

- Support service programmes;
- Enabling programmes; and
- Service delivery programmes.

"*Support service programmes* are groups of activities gathered into a single programme in each department which are not directly involved in the delivery of services to the public, but rather provide support services to all programmes within the department. Typical support services programme activities include the functions of Human Resources Management, organisational Information Technology services and other common services that are usually classified under corporate services. The technical content of the work of a support service programme is not specifically related to the specialised mandate of the department" (National Treasury, 2010: 5).

As part of its support programmes each department should have a programme entitled "Administration". The Administration programme should be confined to support services delivered for the department as a whole and it is the programme that drives effective organisational functioning. By strict definition Programme 1 (Administration) is a budget programme.

2.2.5.3 <u>Defining programme evaluation</u>

Programme evaluation can be described as social research methods that are used to systematically investigate the effectiveness of a social intervention programme in a manner that is adapted to "the political and organisational environments and are designed to inform social action to improve social conditions" (Rossi, Lipsey & Freeman, 2004:16). Posavac & Carey (2007: 4) explained that to manage programmes towards results, it is critical that the planning thereof is directed towards meeting needs of people and addressing their problems. This is mainly because a programme is usually put in place to reach a specific objective and to bring about (positive) change for a specific group or community. Evaluation (of performance) is a methodical and objective appraisal of a continuing or completed project or programme with the focus on its design, implementation and results. Programme evaluation further determines the merit and worthiness of a programme or a project (PSC, 2008: 3).

Fink (2005: 9) indicates that the key tasks of an evaluation are to ascertain the merits of the programme. He states that a commendable programme is one that has achieved its goals and objectives, one that has presented benefits to its participants.

According to Posavac & Carey (2007: 9) programme evaluation is a compilation of techniques and skills necessary to establish whether a human service is required, whether the service is adequately exhaustive to meet the needs of the people, whether the service is provided as planned and whether the service indeed assists people in meeting their needs within an acceptable cost and without negative side effects.

The definitions above indicate that programme evaluation is a very comprehensive way of assessing programme performance and can therefore be described as a performance management method or tool. It can be used in conjunction with M&E or it can be used as a performance planning and evaluation (performance management) tool on its own.

Programme evaluation research is a distinctly different type of research. Posavac & Carey (2007:10) indicates that individual assessments and programme audits are often confused with programme evaluation. The difference between these forms of evaluation is described as follows:

Table 1: Definitions of programme evaluation, personal assessment and programme audits

PROGRAMME EVAUATION	PERSONAL ASSESSMENT	PROGRAMME AUDITS
Collects information about the programme (design and implementation) to improve effectiveness and efficiency of the programme	Concerned with individual performance with a view to correct and improve the capacity and outputs of the person	Evaluates whether the programme was undertaken within the prescribed regulations and (planning) framework

(Posavac & Carey, 2007: 10).

Authors in the field of programme evaluation have indicated that programme evaluation can be undertaken for a variety of purposes, such as management decision-making, to solicit increased funding, for redesigning the programme, to lobby for increased support for the programme or to enhance organisational learning (PSC, 2008:5).The types or approach to programme evaluation will however differ depending on the purpose of the evaluation.

2.2.5.4 <u>Programme theory and models</u>

Models and frameworks are used to conceptualise and illustrate programme theory. Weis (as cited by Chen 2005:16) indicates that programme theory can be summed up as "the picture of how and why programs work (or don't)". Reference is further made to Bickman who defines programme theory as "a plausible and sensible model of how a programme is supposed to work" (Chen, 2005: 16).

According to Chen (2005: 35) programme theory is "a systematic configuration of prescriptive and descriptive assumptions underlying a program." He illustrates the conceptual framework of programme theory by way of a change model and an action model.
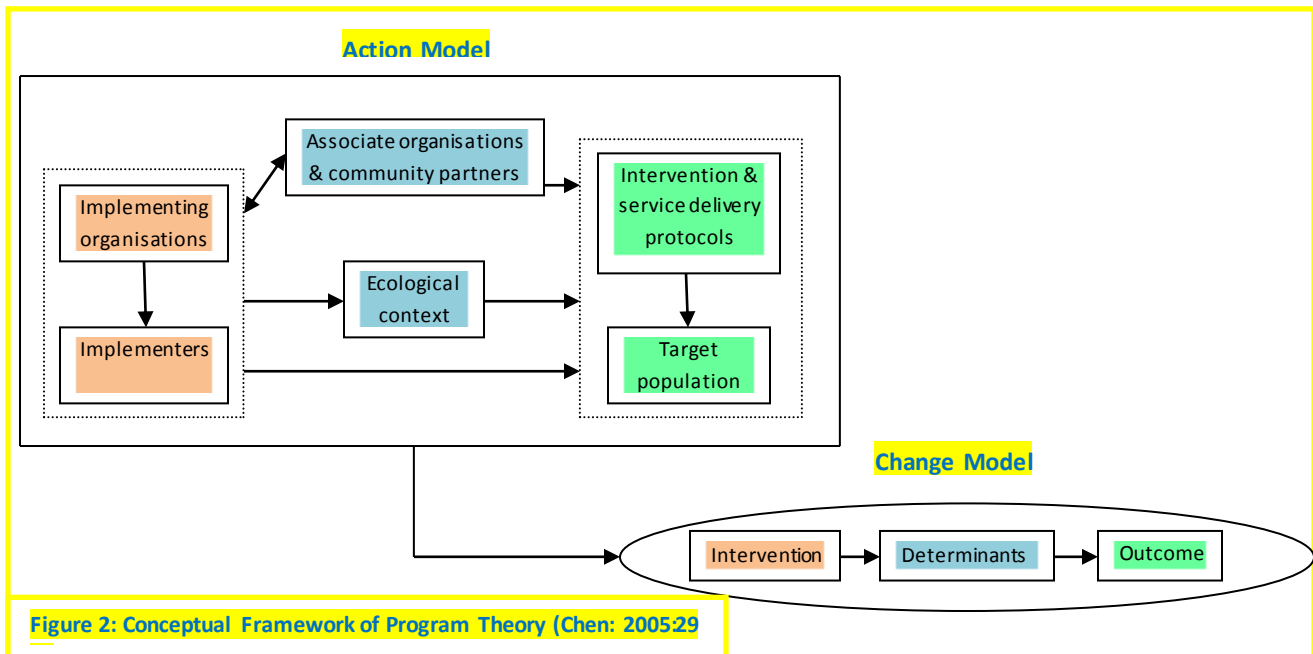
Figure 2: Conceptual Framework of Program Theory (Chen: 2005:29

In terms of Figure 2 there is a relationship between programme components. The *action model* can be defined as the prescriptive assumptions of programme theory that describe components in terms of the design of the programme. These are the requisites of the programme

as well as the feasibility of the requisites. The components found in the action model describe:

- the crucial elements required for the intervention / program;
- the kind of organisation required to deliver the services;
- the ideal environment required to succeed (including partners, policies, protocols, etc.)
- the kind of implementers required to deliver the services; and
- the targeted population that will benefit from the services.

"The action model deals with nuts and bolts issues" (Chen, 2005: 17-18).

The *change model* is defined as the descriptive assumptions of the programme. The descriptive assumptions determine which interventions are to be put in place to address the problem or reach the goal of the programme. The change model is dependent of the root causes of the problem or the reasons why the intervention / programme is required. Assumptions made about the causal processes are critical, as treatment / interventions are based on these causes. If the wrong intervention / treatment is effected based on invalid assumptions the efficacy of the programme will be severely compromised (Chen, 2005:16-17).

Another way to conceptualise a programme is by means of a logic model. Logic models provide a graphical representation of the relationship between means and ends. It consists of a hierarchy of inputs, activities, outputs, outcomes and impacts (Public Service Commission, 2008: 52). Figure 3 provides an illustration of the logic model indicating the hierarchy of programme components.
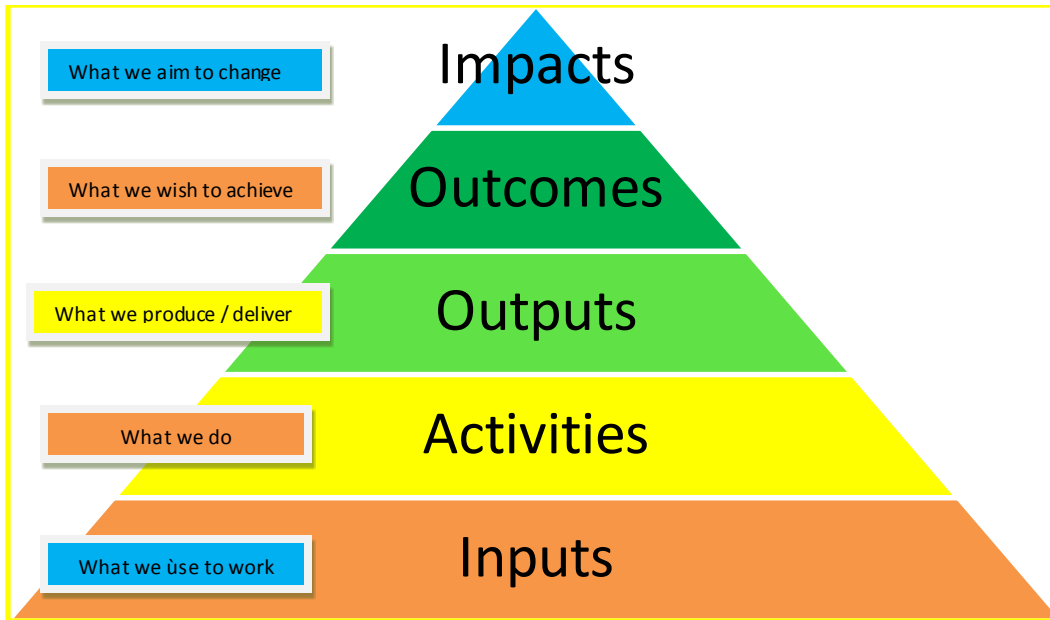
Figure 3: Program Logic Model (PSC: 2008: 52)

According to the PSC (2008: 52) programme logic answers the following questions:

- Were the means to achieve the objectives appropriate?
- Were the activities implemented relevant to arrive at the desired outputs?
- Were they completely implemented?
- Have the objectives of the programme been achieved?

Programme logic allows the evaluator to clearly distinguish between the components of a programme and these components can be evaluated depending on the type and purpose of the evaluation.

Apart from describing programmes in terms of their various components, programmes also have a specific infrastructure that consists of the programme rationale and programme plan. (Chen, 2005: 73-75). The programme rationale is the call for action while the programme plan is the blueprint for that action. The programme rationale indicates

- which problem will be alleviated or resolved (the purpose of the programme);
- what goals are to be achieved by the programme;
- which interventions will be used and how will these interventions lead to the achievement of the goals; and
- who the target population is that will be served.

(Chen, 2005: 73-75).

The conceptual framework for a programme rationale is illustrated in Figure 4 below.
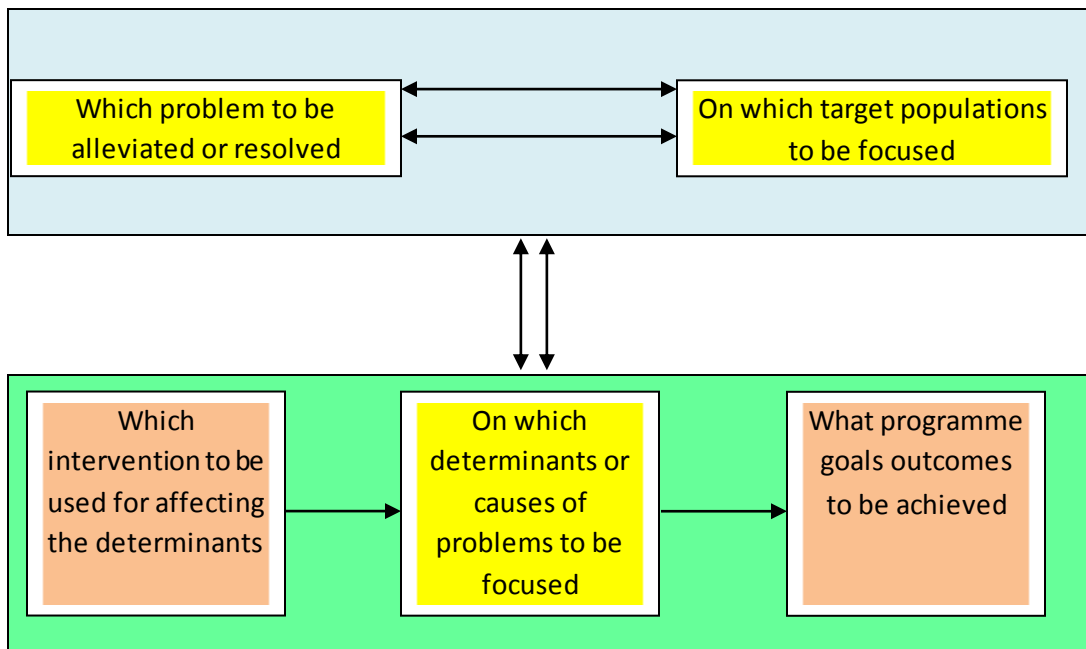
Figure 4: Conceptual framework of programme rationale (Chen, 2005: P74)

The programme plan is the blueprint of action prescribed by programme rationale. It guides the organisation of programme activities and allocation of resources. It further stipulates the day-to-day operations of the programme's staff and coordinate different personnel units (Chen, 2005: 93). The conceptual framework for a programme plan is illustrated in Figure 5 below.

Figure 5: Conceptual framework of programme plan (Chen, 2005: 94)
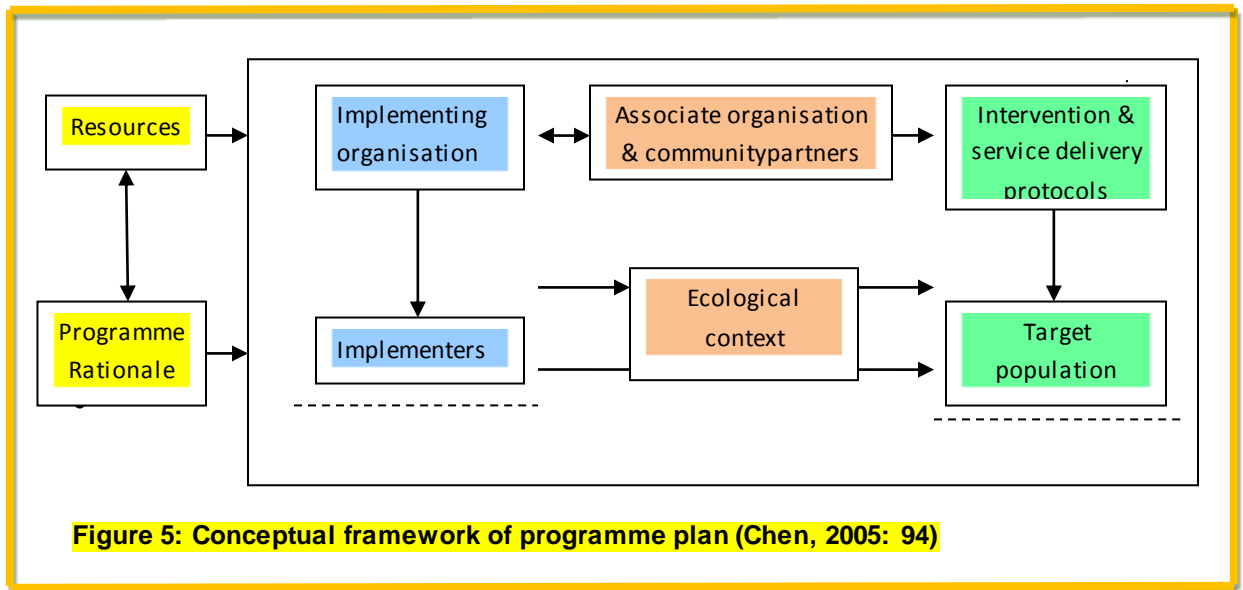
2.2.5.5 <u>Types of programme evaluation</u>

The following types of programme evaluation exist:

- *Needs assessment* – used to determine programme areas that needs intervention

- *Programme planning* – aimed at gathering information intended to develop the initiation of a social programme

- *Formative evaluation* – intended to improve an ongoing social programme and includes in it the programme monitoring process which intends to establish if a programme is implemented as planned.

- *Summative evaluation* – intended to evaluate the after effects of a social programme to share information on whether the programme achieved its intended objectives.

According to Mouton (2010: 29-30) it is useful to combine methods and approaches in order to conduct effective programme evaluation research projects.

2.3   Practical programme evaluation

Programme evaluation and the nature of a programme have been defined. Programme theory provides a system view that assists in understanding how programme evaluation fits into the bigger scheme of things. With the assistance of the above definitions one will probably be able to design and plan and implement an intervention programme. The concept of practically conducting a programme evaluation study will now be explored.

According to Rossi, Lipsey & Freeman (2004:16) "the core task of the programme evaluation is to construct a valid description of programme performance in a form that permits incisive comparison with the applicable criteria… Failing to describe programme performance with a reasonable degree of validity may distort a programme's accomplishments, deny credit for its successes, or overlook shortcomings for which it should be accountable…An acceptable description must be detailed and precise".

It is proposed that an evaluator should adapt his evaluation plan to a particular programme and its circumstances and then typically revise and modify his plan as needed. The specific form and scope of an evaluation depends on the purpose thereof, the audience, the nature of the programme being evaluated, as well as the political and organisational context within which the evaluation is conducted (Rossi, Lipsey & Freeman, 2004:18).

The importance of asking the correct evaluation questions is also emphasized. Rossi, Lipsey & Freeman (2004:18-19) conclude that "the evaluation plan is generally organised around the questions posed about the programme by those who commission the evaluation" as well as whether what is supposed to be happening (implementation as planned) is actually happening.

In her research report Links (2011: 74-76) makes extensive use of the programme evaluations techniques described by Rossi, Lipsey & Freeman (2004: 77-78). In essence the evaluation study by Links posed questions and answered the questions by citing evidence. Her questions included the following:

2.3.1 Programme – needs assessment
- What are the nature and magnitude of the problem to be addressed?
- What are the characteristics of the population in need?
- What are the needs of the population?
- Which services are needed?
- How much service is needed and over what period?
- What service delivery arrangements are needed to provide those services to the population?

2.3.2 Questions about the programme's conceptualization or design:
- Which clientele should be served?
- Which services should be provided?
- What are the best delivery systems for the services?
- How can the programme identify, recruit and sustain the intended clientele?
- How should the programme be organised?

- What resources are necessary and appropriate for the programme?

2.3.3 Questions about programme operations and service delivery:

- Are administrative and service objectives being met?
- Are the intended services being delivered to the intended persons?
- Are there needy but unserved persons whom the programme is not reaching?
- Once in service, do sufficient numbers of clients complete service?
- Are the clients satisfied with the services?
- Are administrative, organisational, and personnel functions handled well?

2.3.4 Questions about programme outcomes:

- Are the outcome goals and objectives being achieved?
- Do the services have beneficial effects on the recipients?
- Do the services have adverse side effects on the recipients?

2.3.5 Questions about programme efficiency:

- Are resources used efficiently?
- Is the cost reasonable in relation to the magnitude of the benefits?
- Would alternative approaches yield equivalent benefits at less cost?

(Rossi et al., 2004: 77-78 as cited in Links, 2011: 74-76).

Questions about programme operations and service delivery will be useful for this study as it is an implementation evaluation.

There are different types of programme evaluation approaches and techniques. The chosen approaches, methods and techniques are however based on the reason why the evaluation is being undertaken and the overall purpose thereof. Chapter three of Chen (2005: 45) aptly entitled *A practical evaluation taxonomy*, assists with the selection of programme evaluation approaches to suit a particular evaluator's need. He indicates that practical evaluators must be able to apply approaches correctly but should also be able to select the evaluation approach that complements the needs and the realities faced by the programme (Chen, 2005: 47).

The programme evaluation method that will be used in this study has been carefully selected from the available strategies and approaches as outlined by Chen (2005: 48). The preferred method selected was based on the aim and purpose of this research study and is as follows:

Research Design	Programme evaluation
Selected research method	*Assessment oriented process – evaluates* the actual implementation process compared to its original programme plan and rationale.
Programme stage	*Mature implementation stage (*A programme is in the mature implementation stage when resources with which to implement the programme have been committed by an organization, stakeholders have a clear understanding of the programme intent and Sufficient time has elapsed for the implementation to mature).
Evaluation purpose	Evaluating the effective of implementation of the programme

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Evaluation strategy	Performance assessment
Evaluation approach	*Fidelity evaluation*: A process evaluation approach that ascertains congruency between service delivery as planned and as actually manifested. Types of fidelity evaluation include Intervention fidelity evaluation, Referral fidelity evaluation, Service delivery fidelity evaluation and Target population evaluation. Service delivery fidelity evaluation is used as it evaluates congruency between service delivery as planned and as implemented

2.4   Conclusion

This literature review reveals that extensive guidelines exist for the practice of performance management and programme evaluation in government. These guidelines are found in policy documents developed for the South African Government sector and in academic source material.

The practice of programme evaluation is linked to monitoring and evaluation as well as performance management. Programme evaluation is a distinctly different and complex process that requires the evaluator to be able to employ a variety of techniques and skills so as to conduct a comprehensive evaluation of a chosen programme in line with the overall purpose of the evaluation.

CHAPTER 3:

REGULATORY FRAMEWORK FOR MONITORING AND EVALUATING THE PERFORMANCE OF THE SOUTH AFRICAN GOVERNMENT

3.1   Introduction

The evaluation of programmes is not a novel idea in government. However evaluation practices have mostly been institutionalised in the planning and reporting cycles of government with a focus on financial compliance and administrative performance management (Rabie, 2011: 1). Through the evaluation policy guidelines mentioned by Rabie, government is gradually improving their public management systems to deliver value for money and track performance. This chapter will take a look at the performance evaluation policy framework of the South African Government. It will provide an overview of the initiatives put in place by the South African Government to track, evaluate and improve its performance. Documents to be discussed as part of this chapter include legislation, regulation, policy frameworks and strategies, where applicable.

3.2   The Public Finance Management Act (PFMA) (Act 1 of 1999)

The first initiative by the South African Government to create a performance management culture was put in place by National Treasury (NT) upon publishing the PFMA and the regulations made in terms of the PFMA. The aim and purpose of this Act and its subordinate legislation (regulations) are to "promote the objective of good financial management in order to maximise delivery through the efficient and effective use of limited resources"(RSA, 1999).Overall, the Act aims to ensure

transparency, accountability and sound financial management in government and public organizations (ESST, 2008: 1).

The key objectives of the PFMA are to
  i.   "Modernize the system of financial management;
 ii.   Enable public sector managers to manage, but at the same time be more accountable;
iii.   Ensure the timely provision of quality information;
iv.   Eliminate waste and corruption in the use of public assets."
(RSA, 1999).

The PFMA regulates financial management in the national and provincial spheres of government. (Financial Management in Local government is regulated by the Municipal Finance Management Act). The PFMA prescribes procedures for efficient and effective management of all revenue, expenditure, assets and liabilities. It clearly articulates the role of both the National and Provincial Treasuries in promoting sound financial management and spells out the duties and responsibilities of government officials in charge of finances, such as the Accounting Officer (ESST,2008: 1-8).

The Act clarifies the legal requirements in relation to the National and Provincial Treasuries, the National and Provincial Revenue Funds, and the National Budgets. It also governs the management of finances in government departments, public entities (such as ESKOM and TELKOM), Parliament, provincial legislatures, and constitutional organisations such as the Human Rights Commission, the Commission on Gender Equality and the Independent Broadcasting Authority (ESST, 2008: 1).

3.2.1 Financial Management of Parliament and Provincial Legislatures

In April 2009 the South African Parliament enacted its own version of the PFMA. The Act used by Parliament to regulate its own financial management is called the Financial Management of Parliament Act (FMPA), (Act 10 of 2009). The Act is similar to the PFMA and it seeks to ensure that all revenue, expenditure, assets and liabilities of Parliament are managed effectively, efficiently and transparently. It sets out the responsibilities of officials entrusted with financial management responsibilities at Parliament and provides for financial management norms and standards for provincial legislatures (RSA, 2009: 2).

The NCPL has not passed its own financial management legislation and therefore adheres to the prescripts of the relevant national legislation namely the PFMA and the FMPA and all subordinate legislation made in terms of these acts. The PFMA and FMPA provide a framework containing guidelines for financial good practice. Adherence to these guidelines can easily be monitored.

3.2.2 Subordinate legislation flowing from the PFMA

The South African National Treasury is responsible for managing the finances of the South African Government. According to the Constitution of the Republic of South Africa - Chapter 13, Section 216, National Treasury is mandated "to ensure transparency, accountability and sound financial controls in the management of public finances" (National Treasury, n.d. (a)). The PFMA (Chapter 2, Section 6) also describes the legislative mandate of National Treasury which is "to promote government's fiscal policy framework; to coordinate macroeconomic policy and intergovernmental financial relations; to manage the budget

preparation process; to facilitate the Division of Revenue Act, which provides for an equitable distribution of nationally-raised revenue between national, provincial and local government; and to monitor the implementation of provincial budgets" (National Treasury, n.d. (a)).

The National Treasury achieves its legislative mandate by means of the publication of Treasury regulations, guidelines and policy frameworks that prescribe financial management procedures and practices to be observed. Since the enactment of the PFMA National Treasury has published the following documents in pursuit of a financial management regulatory framework:

Treasury Regulations (TRs)
- TR 2005 Gazette No. 27388 dated 15 March 2005
- TR 2005 - showing amendments
- TRs related to Strategic Planning as published in Government Gazette No. 29644 dated 20 February 2007 (This Chapter replaces Chapter 5 of the TRs, as published in Government Gazette No. 27388 dated 15 March 2005)
- TRs related to Strategic Planning 2007 - showing amendments

Treasury Regulations published prior to 2005 have been repealed
(National Treasury, n.d. (b))

Treasury Guidelines
- Accounting Officers' Guide to the PFMA 2000
- Guide on In-year Management, Monitoring and Reporting 2000
- Guideline for legislative oversight through Annual Reports 2005
- MTEF Treasury Guidelines 2005
- Guidelines of Budget Programmes 2010

- Framework for Strategic Plans and Annual Performance Plans 2010

(National Treasury, n.d. (c))

Supply Chain Management (SCM) Regulations and Guidelines

- General Procurement Guidelines (n.d.)
- Preferential Procurement Regulations published in Government Gazette No. 22549 dated 10 August 2001
- Supply Chain Management: A guide for Accounting Officers and Accounting Authorities 2004
- Overview: Promulgation of a Framework For Supply Chain Management 2003
- Policy to Guide Uniformity in Procurement Reform Processes in Government 2003
- Amendment to the State Tender Board Act Regulations to Empower Accounting Officers to arrange their own Ad Hoc tenders 2003

(National Treasury, n.d. (d))

Treasury Practice Notes

- Asset and Liability Management Practice Notes
- Intergovernmental and Fiscal Relations Practice Notes
- Office of the Accountant-General Practice Notes
- Supply Chain Management Practice Notes

(National Treasury, n.d. (e))

The above-mentioned regulations, guidelines and practice notes are regarded as subordinate legislation. The regulations, guidelines and practice notes stipulate performance standards regarding financial good practice; strategic planning; budgeting; legislative oversight through

annual reports; in-year management, monitoring and reporting; as well as procurement and supply chain management. All government departments, including the NCPL must comply with these regulations and guidelines. It forms the basis of performance monitoring and evaluation in terms of compliance to the regulatory framework.

3.3 Government-wide Monitoring and Evaluation Policy documents

Another step towards improving performance was the Government-wide Monitoring and Evaluation (GWM&E) initiative which was initially spearheaded by the Presidency of the Republic of South Africa (referred to as RSA Presidency) and which currently falls within the responsibility area of the Department of Performance Monitoring and Evaluation (DPME). This initiative saw the publication of several policy and discussion documents such as:

- The Policy framework for the Government-wide Monitoring and Evaluation system. RSA Presidency, 2007;
- The Role of Premiers' offices in Government-wide Monitoring and Evaluation: A good practice guide. RSA Presidency, 2008;
- Improving government performance: our approach. RSA Presidency, 2010;
- Framework for Strategic Plans and Annual Performance Plans. NT. 2010;
- National Evaluation Policy Framework. DPME, 2011; and
- Learners, practitioners and teachers' handbook on monitoring, evaluating and managing knowledge for policy influence. CIPPEC, 2000/2010.

These documents provide a basis from which to work when engaging in monitoring and evaluation of government activities. The first five documents will be discussed in detail.

3.3.1 Policy framework for the Government-wide Monitoring and Evaluation System.

This document is the overarching policy framework for M&E in the South African Government. It sketches the policy context for supporting M&E frameworks such as *National Treasury's framework for Managing Performance Information* and the *Statistics SA's Quality Assurance Framework*. It provides a good introductory base for South African Government employees who have not been exposed to the M&E field as well as experienced M&E practitioners. It indicates why M&E for government is important and is supplemented by an outline of the various stakeholders charged with its implementation (RSA Presidency, 2007: 1-4).

The document consists of four parts and 1 appendix. *Part 1* of the document is aimed at creating an understanding of M&E concepts and principles. It contains definitions for the concepts of monitoring and evaluation, outlines seven principles for M&E, defines an M&E system and briefly reflects on the relationship between organisational M&E systems and the Government-wide Monitoring and Evaluation System (GWMES). The Policy framework further provides an understanding of the importance of M&E as a tool for the public sector to evaluate its own performance and the identification of factors that contribute to its service delivery outcomes. The composition and intended outcomes of the GWMES are described (RSA Presidency, 2007: 1-4).

Part 2 of the document provides detailed information on the GWMES. It describes the aim and goals of the system by providing a system overview by way of a process flow chart. The document outlines the three data terrains that underpin the GWM&E system, namely:

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

(RSA Presidency, 2007: 1-4).

Part 3 of the policy framework explains the organisational requirements of the GWMES. It links M&E systems with other management systems and advocates system integration. As part of part 3's overview it indicates the importance of integrating strategic planning and resourcing over the 3-year Medium Term Expenditure Framework (MTEF), including municipal Integrated Development Plans (IDP's), annual planning (according to the Annual Performance Plan (APP), in-year monitoring and annual reporting. The document further provides guidelines for M&E structures, information systems and processes. In terms of the practice of M&E, organisational roles and responsibilities are defined. Crucial skills, sets requirements and capacity building interventions are also identified.

The *fourth* and final *part* of the policy framework deals with the implementation of the GWMES. It explains the organisational arrangements of the GWMES and the legal mandate underpinning the roles and responsibilities of all M&E stakeholders. It also provides guiding principles to assist with the implementation of the GWMES.

The manner in which this policy framework for the Government-wide Monitoring and Evaluation System is summarized provides the reader with sufficient information to conclude that the document is comprehensive

enough to provide novices in M&E with sufficient guidelines to enable them to understand M&E in the context of government and to understand how the South African government is regulating M&E through this policy framework and the financial managememnt policy framework.

3.3.2 The Role of Premiers' offices in Government-wide Monitoring and Evaluation: A good practice guide.

This good practice guide provides an overview of the best practices to be observed by Premiers' Offices in implementing the GWM&E Policy Framework. The document is divided into five parts. The Good Practice Guide aims to

- outline the role of the Premier's Office in the provinces i.t.o. the implementation of the GWM&E framework;

- review the developing province-wide M&E practices in the nine provincial governments;

- identify common challenges confronting Premiers' Offices, as well as emerging good practices; and

- provide guidance on future GWM&E Policy Framework implementation.

The *first part* of the document provides an extensive overview of the GWM&E Policy Framework, and repeats several aspects of this policy document (RSA Presidency, 2008: 7-14).

In the *second part* emergent provincial M&E practices are discussed.
Part 2 of the guide links the GWM&E policy framework to national and provincial policy priorities such as the

- National Planning Framework;
- Medium Term Strategic Framework (MTSF);

- State of the Nation Address (SONA);

- State of the Province Address (SOPA);

- Governments' Programme of Action (POA);

- APEX priorities announced in February 2008;

- Medium Term Expenditure Framework (MTEF) and accompanying Medium Term Budget Policy Statement (MTBPS);

- National Spatial Development Perspective (NSDP);

- Accelerated and Shared Growth Initiative for South Africa (ASGISA); and

- Joint Initiative on Priority Skills Acquisition (JIPSA)

The second section also contains a detailed review of M&E implementation and practices at Offices if the Premier (OTP's) in all nine provinces as at July 2008. Best practices are highlighted taking into account good practice and challenges in M&E implementation (RSA Presidency, 2008: 10-20).

Part 3 of the document provides a detailed review of M&E Practices by OTP's in relation to municipalities. M&E challenges and best practices at OTP's are discussed in line with the legal requirements for planning and reporting in Local Government. In the main it is the role of the OTP's (in terms of M&E in Local Government) to play a coordinating role and work closely with Provincial Treasuries and Provincial Local Government Departments in order to monitor the performance of municipalities.

Part 4 and 5 of the document present findings for the implementation and optimum design of an M&E unit in the OTP. These chapters provide a range of recommendations for organisational arrangements and design, planning, reporting, knowledge management, information technology, as

well as data gathering and analyses. The guide is concluded with a proposal for province-wide M&E frameworks.

Provincially the OTP leads the GWM&E initiative. This document therefore explains to government departments what this M&E leadership role entails and how M&E units within government departments and government agencies could be established or improved. It outlines how assistance could be offered by the OTP to newly established provincial M&E units and provides best practices for institutionalising M&E within government.

3.3.3   Improving government performance: our approach.

"Government must be more effective in its action. It must improve the quality of its service" (RSA Presidency, 2010: 3).These sentiments are expressed in the executive summary of the Presidency's discussion document aimed at improving government performance. This discussion document entitled *Improving government performance: our approach,* provides the context for the application of performance management as well as M&E in the South African Government. It spells out the approach that the South African Government follows to improve public performance through performance management as well as systems of M&E. It allows readers to understand the reasons why government is making this paradigm shift towards a culture of performance management for improved results and outlines the manner in which government intends achieving it.

The purpose of the performance management system as indicated is not solely to measure outputs and outcomes, but also to create a mechanism to guide policy implementation that will ensure that government is doing what matters most. It is expected that the performance system will assist

in the evaluation of an organisation's effectiveness as well as to assess the validity of a policy (RSA Presidency, 2010: 4).

The main reason why government wants to improve public performance is due to the poor service delivery track record of the South African Government in comparison with the high expectations of the South African public. "Quality and service standards have not always improved despite massive increases in successive budgets. In some areas quality and service standards have deteriorated" (RSA Presidency, 2010: 4).Furthermore it is expected that in the "near and medium-term, government will face declining tax revenues and burgeoning expenditure pressures. In this context the pursuit of value for money is imperative if government is to improve its service delivery standards" (RSA Presidency, 2010: 4). Government must deliver more outputs with fewer resources. "Wasteful and unproductive expenditure cannot be afforded" (RSA Presidency, 2010: 5).

The policy approach is indicated as "ensuring that the outputs deliver the outcomes that have been politically chosen"(RSA Presidency, 2010: 6).The idea, in general, is to link outputs to political outcomes, to have indicators that will be used to measure progress towards outputs and in the end, to verify whether a specific political outcome has been achieved. These outputs and outcomes will provide a measure on which government is able to assess whether it is being effective. In the main, the approach is guided by three imperatives learnt from international experience

- the need for prioritization;
- outcomes based planning; and
- performance management with a focus on a few priorities.

The document proceeds to provide information on how the system will work (RSA Presidency, 2010: 6-9).

A performance management system only works if there is a mechanism to hold the responsible person accountable (RSA Presidency, 2009: 9). It is foreseen that the system will require realignment between the policies in terms of the roles and responsibilities of a Director General / Head of Department and a Minister / Member of the Executive Council. This is due to the fact that that PFMA makes the DG / HOD accountable while the Public Service Act (PSA) and political processes holds the Minister / MEC accountable. The system requires re-alignment in order for the President / Premier to hold the Minister / MEC accountable and in turn the Minister / MEC will hold the accounting officer accountable (RSA Presidency, 2010: 9-12).Practically the system will work in the following manner:

Table 2: Government-wide Monitoring and Evaluation System

PROCESS	EXAMPLE (BASIC EDUCATION)
POLITICALLY AGREED OUTCOMES	
Medium Term Strategic Framework (MTSF) – Five-year plan arising from vision 2025. MTSF converted into 25 to 30 outcome indicators.	Outcome e.g. "Improve the quality of basic education" Grade R to 9.
OUTPUT MEASURES	
Output measures defined and agreed upon.	Improve the pass rate for • Grade 3 literacy and numeracy to 65%; • Grade 6 maths and literacy to 75%; • Grade 9 maths and English to 80%. Outputs to be measured annually.
KEY ACTIVITIES	
Defining key activities required to achieve outputs and listing these activities.	• Teachers in class teaching 7 hours a day; • National workbooks distributed to 80% of schools; • 100% Curriculum covered in workbooks.
INPUTS	

PROCESS	EXAMPLE (BASIC EDUCATION)
Essential inputs are identified	- For grades 1,2,3 two workbooks (English & numeracy) uniformly distributed to 80% of schools by national dept; - core areas uniformly distributed to 80%of schools by national dept. - For grade 10,11,12 seven core textbooks; - Independently moderated tests for grades 3, 6 and 9.
DELIVERY AND PERFORMANCE AGREEMENTS	
Delivery agreement at forum of key delivery organisations.	Education sector negotiate delivery agreement specifying what each party will deliver, by when and with what resources.
Identified outcome, outputs. Activities and inputs written into performance agreements.	The President signs performance agreement with the minister and in turn the minister with HOD. Progress reported every six months.

(RSA Presidency, 2010: 7-8).

According to the document on *improving government performance* the progress made in terms of GWM&E since 2007 is that

- a coordinating forum has produced a M&E policy framework and a framework for managing performance information;
- the Presidency initiated a GWM&E "system of systems" framework;
- awareness has been raised in regard to improving performance by means of M&E;
- capacity for M&E is being built and M&E processes have been established in the Presidency, National Treasury (NT), the Department of Public Service and Adminstration (DPSA), the Public Service Commission, Premiers' offices & line departments.

(RSA Presidency, 2010: 16).

The discussion document entitled *Improving government performance: our approach*, provides an in-depth overview of how the South African government intends to roll out M&E with a view to strengthen and improve government performance. The document is a comprehensive guideline for M&E practice that can literally be implemented with minor adaptations and would work in any government department, provided that the required infrastructure, staff and capacity is in place.

3.3.4 The framework for Strategic Plans and Annual Performance Plans.

This framework aligns strategic and annual performance planning with the GWM&E outcomes approach. In addition the document further outlines key concepts to guide organisations when developing strategic plans and annual performance plans. The framework however does not prescribe how organisations should conduct their policy and planning processes, but provides guidance on good practice and budget-related information requirements. The framework is applicable to all national and provincial departments, constitutional organisations and public entities (National Treasury, 2010: 1).

According to the framework the organisational strategic plan should contain all medium to long term plans and policies to be achieved over a period of five years. The document views the strategic plan as a tool that can assist any organisation to prioritize and plan activities towards the progressive implementation of their legislative mandate, policy and programme priorities (National Treasury, 2010: 6-7).

The framework provides timeframes for submission, tabling and reporting of plans, budgets and reports. It clarifies the relationship between

organisational plans, policies and its budget. It defines key performance concepts and describes the type of information required for reporting on specific sections of the Strategic and Annual Performance Plans (APPs). The document emphasizes performance information. It also provides templates that may be customized for use in drafting Strategic Plans and APPs (National Treasury, 2010: 15-21). Overall these guidelines and templates make it easier for organisations to design comprehensive planning tools thus enabling real M&E of performance.

According to the GWM&E documentation already reviewed, proper planning is a key requirement for an M&E system to be implemented effectively. This document assists M&E practitioners to evaluate existing plans and to put in place strategic and annual plans that conform to criteria that make it possible to measure, monitor and evaluate results. Adherence to the framework for strategic and annual performance plans is important when putting in place an organizational M&E system.

3.3.5 The National Evaluation Policy Framework (NEPF)

The NEPF seeks to "increase transparency and accountability (in government) by providing a standardized and systematic approach to undertaking evaluations in order to ensure that all major strategic programmes are evaluated periodically" (DPME, 2011: 1).

This framework aims to
- promote the importance of evaluation in policy-making and management;
- promote, facilitate and institutionalize the use of evaluation in Government;

- strengthen linkages between evaluation, policy-making, planning and budgeting;

- develop a common understanding of evaluation practice in government;

- clarify the role of evaluations in relation to other performance management instruments;

- frame the evaluation function in terms of its scope, institutionalization, standards, process requirements, skill requirements, governance, financing and oversight;

- improve the quality of evaluations undertaken in public organisations;

- increase the utilisation of evaluation findings to improve performance.

(DPME, 2011: 1).

The focus of the NEPF is on policies, plans, programmes and projects, not on individuals or organisations. In the NEPF the term "programmes" mainly refer to policy / implementation programmes and not to budget programmes, "these may however coincide, but they may also not" (DPME, 2011: vi).

The document indicates that evaluation may be undertaken for four primary reasons, namely

- to improve performance (evaluation for learning);

- to improve accountability;

- to generate knowledge; and

- to improve decision making

(DPME, 2011: vi).

The NEPF seeks to provide a common understanding of evaluation and defines evaluation as "the systematic collection and objective analysis of

evidence on public policies, programmes, projects, functions and organisations to assess issues such as relevance, performance (effectiveness and efficiency), value for money, impact and sustainability, and to recommend ways forward"(DPME, 2011: 1-3). The NEPF also discusses evaluation theory such as

- the uses and types of evaluation;
- assuring credible and quality evaluations; and
- the process / stages of evaluation.

In addition the NEPF provides an approach to institutionalizing evaluation in government, mechanisms to promote the utilization of evaluations as well as management and coordination of evaluation across government. (DPME 2011: 3)

Overall this policy framework is divided into three parts, namely

A – The evaluation approach and context;

B – A description of the evaluation system itself; and

C – The institutionalization of evaluation in government. (DPME, 2011: 2)

The document is targeted at politicians and public officials, evaluators, academics, service providers and training organisations. Moreover it expresses the need for the development of a "wider cadre" of potential evaluators who are equipped with the required skills and competencies. Overall the NEPF sets out to achieve three main objectives, namely

- to create a common understanding of evaluation;
- create an organisational framework for evaluations; and
- establish mechanisms to promote the utilization of evaluations

 (DPME, 2011: 2).

3.3.5.1 <u>Providing a common understanding of evaluation</u>

In Part A of the NEPF, the concept of evaluation is defined by including one definition of evaluation and it then proceeds to provide a very limited overview of the evaluation approach and context in which it is to be implemented. It briefly clarifies the difference between evaluation, monitoring, performance auditing, and research. This is done by way of a table indicating the activity and objective of each of these terms. Furthermore it explains the link between evaluation and planning. The logic model is used to illustrate this linkage (DPME, 2011: 3-5).

Overall Part A of the document fails to provide an in-depth common understanding of the evaluation, but it does succeed in providing a good introduction to readers who have not previously been exposed to evaluation theory.

3.3.5.2 <u>Providing an organisational framework for evaluations and mechanisms to promote the utilization of evaluations</u>

Part B and C of the document build on the theory of evaluation. Overall the document therefore does succeed in providing a common understanding of how government will approach evaluation. Part B indicates that "a range of methodologies may be appropriate" and that the chosen methodology should serve the purpose of the evaluation. The NEPF provides an overview of these various methodologies by listing sample evaluation questions and highlighting the type of evaluation that will be promoted across government. It proposes that all programmes should be evaluated on a five year basis and indicates factors to consider when prioritizing evaluations. The Department of Performance Monitoring and Evaluation (DPME) will develop a rolling 3 year and annual evaluation plan indicating which evaluations are to be prioritized. Departments will be

free to conduct additional evaluations. The NEPF further emphasizes that the results of evaluations must be used (DPME, 2011: 10).

The institutionalization of evaluation in government is extensively covered by clearly outlining the processes to follow when conducting an evaluation. The process does not prescribe a specific method but it provides sufficient information on factors to be taken into account for the planning and implementation of various types of evaluations. It includes organisational evaluation structures to be put in place and states how these structures should be composed and how it should function (DPME, 2011: 12-14).

Part C of the document indicates how evaluation will be institutionalized in government. It starts off with an evaluation plan, a rolling 3 year plan and annual national evaluation plans that are set to be implemented from 2012 onwards. In addition it indicates that the Offices of the Premier (OTPs) should draw up similar evaluation plans for provinces to be implemented from 2013 onwards. Topics such as roles and responsibilities, budgeting, the recruitment of suitable evaluation personnel, and the use of standardized systems are discussed. The document concludes with an implementation plan on how the policy framework will be rolled out between 2012 and 2015 (DPME, 2011: 15-18).

Overall the NEPF succeeds in providing an organisational framework for evaluations and mechanisms to promote the utilisation of evaluations.

3.4. Conclusion

The policy framework outlined in this chapter makes it clear that the South African Government is serious about public service reform that will foster a public service culture that is responsive and performance based. The

regulatory framework sets clear guidelines for the practice of M&E and the establishment of a related performance system for all public institutions throughout the South African Government. Practices and processes are streamlined from the onset with compilation of the national, provincial and local government policy priorities. It is indicated that medium term (strategic and expenditure) frameworks, five-year strategic planning documents, including Integrated Development Plans (IDP's), annual plans and budgets should all be aligned to the policy priorities. Additional guidelines for monitoring and evaluating government's performance in terms of the outputs and outcomes delivered by the planning framework are also clearly articulated.

This chapter proves that the policy framework of the South African Government supports a performance-based public service culture. It remains to be seen however whether the South African Government will be successful in establishing the practice in line with the policy prescripts.

CHAPTER 4:

OVERVIEW OF THE NORTHERN CAPE PROVINCIAL LEGISLATURE

This chapter provides an overview of the Northern Cape Provincial Legislature (NCPL) as an institution and the specific programme that will be evaluated. It commences with a broad background description of the NCPL and describes the programme to be evaluated. It is concluded with a list of main issues that supports why an evaluation of this nature was required.

4.1   NCPL BACKGROUND

The NCPL is an organ of state and its mandate is set out in Chapter 6, Section 114 (1) and (2) of the Constitution of the Republic of South Africa (Act 108 of 1996). According to this mandate a Legislature's main functions are those of *law making* and *oversight.* It is also the business of a Provincial Legislature to facilitate public involvement in legislative processes (RSA, 1996).

4.1.1 General information about the NCPL

It is the vision of the NCPL to be "an institution fulfilling its Constitutional mandate for the people of the Northern Cape" (NCPL, 2011a: 8). The mission of the NCPL is "to serve people of the Northern Cape by building a developmental institution for effective law-making, public participation, accountability and oversight of the executive and municipalities (NCPL, 2011a: 8).

4.1.2 Aim of the vote

The aim of the NCPL as a budget vote is "to provide administrative, logistical, information, legal, and procedural services to the Legislature of the Northern Cape in fulfilling (its) constitutional mandate of law-making and oversight over the Executive and organs thereof (NCPL, 2011a: 16). In line with its constitutional mandate the legislature makes laws, it conducts oversight of the executive and it facilitates public participation in law-making and other democratic processes.

4.1.3 Summary of Programmes

The NCPL is divided into three budget programmes. The location of these programmes in terms of the organisational structure is depicted in figure 5 on page 66.

4.1.3.1 <u>Programme 1 - Administration</u>

<u>Aim of the programme</u> - To provide effective leadership, financial, human resources, legal support services and systems to the entire Legislature as well as strategic management of the administration. This budget programme includes the following offices, departments and sections:
- The Office of the Speaker;
- The Office of the Secretary;
- The Office of the Chairperson of Committees;
- The Financial Management Services Department;
- The Corporate Services Department; and
- The Security and Records Services Section.

4.1.3.2 <u>Programme 2 – Members facilities and benefits</u>

<u>Aim of the programme</u> – To empower Provincial Legislature office-bearers in the management of legislature business, to enable members to do their representative work. The programme funds party political representatives and is supported by party political employees as well as employees in Programme 1 and Programme 3.

4.1.3.3 **Programme 3 – Parliamentary services**

<u>Aim of the programme</u> – To provide the Presiding officers (Speaker and Deputy Speaker), the House, Committees and Members with procedural, research, information and Hansard support services in the execution of their constitutional and legislative duties. To enable Committees of the legislature to conduct oversight and scrutiny work, as well as all other functions delegated by the House (NCPL, 2011a: 16). This budget programme consists of the following offices, departments and sections:

- The Office of the Head: Parliamentary Services;
- The Procedural and Research Services Department;
- The Public Education and Communications Department;
- The Legal Services Department; and
- The Hansard and Language Services Section.

4.1.4 **Institutional overview**

The institutional values of the NCPL are as follows:

- Commitment and dedication;
- Integrity, loyalty and honesty;
- Effective and professional;
- Transparency, accessibility and communication;

- Accountability and good governance;
- Stakeholder investment;
- Stakeholder involvement';
- Courage to change and be innovative; and
- Excellent and timely delivery.

(NCPL, 2010a: 6).

The Annual Performance Plan for the 2010/11 financial year provides the following institutional overview:

4.1.4.1 <u>Situational analysis</u>

"The Legislature has for the past five years, performed relatively well in pursuit of its constitutional mandate and good governance. The limited resources (human and capital) remain a major challenge to implement all planned programmes for ensuring broad public participation in all activities of the Legislature including intensive oversight and deepening participatory democracy and accountability. Through the exercise of oversight over the Executive in the Province, the NCPL has contributed positively towards the improvement action of service delivery to communities in the Province and can only do more and better with a fundamentally bigger budget" (NCPL, 2010b:5).

4.1.4.2 <u>Institutional environment</u>

The NCPL comprises thirty (30) Members inclusive of the Members of the Executive Council. The composition is made up as follows: the Premier, 10 Members of the Executive Council (MECs) and 19 Members of the Provincial Legislature (MPLs). MPLs include presiding officers such as the

Speaker, Deputy Speaker, Chief whip (ruling party) and Political party whips.

The NCPL's members are deemed to be very few as only 19 MPLs are based in the Legislature. Of the 19 MPLs, the Speaker and Deputy Speaker have very specific roles, leaving only 17 MPLs free to conduct Legislature business. The NCPL conducts most of its business in committee. The Legislature committees are generally referred to as the engine rooms of the institution. The NCPL has eleven standing committees, 2 sub committees and six portfolio committees (NCPL, 2010b: 5).

Standing and Sub-committees include:
- Standing Committee on Rules
  - o Budget Sub-Committee
- Standing Committee Chairpersons
- Standing Committee on Programming
- Standing Committee on Powers, Privileges and Review of Rules
- Standing Committee on Ethics
- Standing Committee on Discipline
- Standing Committee on Internal Arrangements
  - o Library Sub-Committee
- Standing Committee on Public Accounts (SCOPA)
- Standing Committee on Constitutional Affairs, Petitions and Public Education
- Standing Committee on Gender
- Standing Committee on Women's Caucus

(NCPL, 2011b: 1).

Portfolio Committees are cluster-based committees that mainly have an oversight function of the Provincial executive. These committees scrutinize and oversee the performance of provincial government departments and government agencies.

The following Portfolio Committees (PC's) have been established:

- PC on Finance, Economic Affairs and Tourism – an oversight committee dealing with
  - The Office of the Premier (Vote 1);
  - Legislature (Vote 2);
  - Economic Affairs (Vote 6);
  - Provincial Treasury (Vote 8);
  - Northern Cape Tourism Authority;
  - Northern Cape Liquor Board; and
  - Northern Cape Economic Development, Trade and Investment Promotion Agency

- PC on Safety, Transport, Roads and Public Works – an oversight committee dealing with
  - Transport, Safety and Liaison (Vote 3);
  - Roads and Public Works (Vote 5);
  - Road Accident Fund; and
  - South African Police Services

- PC on Education, Sport, Arts and Culture – an oversight committee dealing with
  - Education (Vote 4); and
  - Sport, Arts and Culture (Vote 7)

- PC on Co-operative Governance, Human Settlement and Traditional Affairs – an oversight committee dealing with
  - Co-operative Governance, Human Settlement and Traditional Affairs (COGHSTA) (Vote 9); and
  - 32 municipalities

- PC on Health & Social Services – an oversight committee dealing with
  - Health (Vote 10); and

- o Social Services (Vote 11)
- PC on Agriculture, Land Reform, Environment and Nature Conservation – an oversight committee dealing with
    - o Agriculture, Land Reform and Rural Development (Vote 12); and
    - o Environment and Nature Conservation (Vote 13)

(NCPL, 2011b: 1).

The typical oversight cycle of the NCPL and its committees can be illustrated as follows:

Quarter 1: Jan to March
* State of the Province address (Premiers address);
* Budget day;
* Debates and reply on Premiers address;
*PC's starts oversight of Annual Performance Plans (APP's) and Budget Vote Presentations;
* House sittings;
* SC meetings.

Quarter 4: Oct to Dec
* PC's conduct oversight of Executive's QR's;
* PC's conduct oversight of Executive's AR's;
* SCOPA & PC: COGHSTA conduct oversight of Municipal Annual Reports;
* Oversight site visti;
* Adoption of the Adjustments Appropriation Bill;
* House Sittings;
* SC meetings

Quarter 2: April to June
* PC's oconduct oversight of APP's & Budget Vote Presentations;
* Adoption of the NC Approprioation Bill;
* SCOPA & PC: COGHSTA starts oversight of Municipal Annual Reports;
* Oversight site visits;
* House sittings;
* SC meetings.

Quarter 3: July to September
* SCOPA & PC: COGHSTA conducts oversight of Municipal Annual Reports (AR's);
PC's conduct oversight of Executive's Quarterly Reports (QR's);
* Oversight site visits;
* House sittings;
* SC meetings.

Figure 6: NCPL work cycle 2010: 1(NCPL 2010c: 1)

According to the 2010-2011 NCPL Annual Performance Plan, "the small number of MPLs remains a serious challenge because MPLs serve in all Legislature Committees to ensure that the organisation implements its constitutional mandate". This plan indicates that the fourth legislative term is crucial to build and improve on the work of the past three legislative terms due to the realities caused by the global economic crisis that have impacted negatively on economic growth. This has resulted in government not being in position to mobilize sufficient resources through taxes and other means to satisfy fully the social and economic needs of the citizens and communities. "Notwithstanding the above challenges, the NCPL must implement its constitutional mandate, which includes oversight of municipalities. The small number of Members and insufficient support staff of the administration and Political Parties are a serious threat and a constraint in achieving Organisational goals" (NCPL, 2010b: 2).

The seat of the NCPL is in Kimberley but the organisation has six (6) satellite offices. These include the NCOP office in Cape Town that supports the Northern Cape's permanent and special delegates to the NCOP in their official business in and around Cape Town, as well as in the country as determined by the NCOP's programme from time to time; and five (5) Regional Offices which are outreach extension offices, supporting and enhancing public participation in the province (NCPL, 2011c: 5).

The organisational structure provides for 203 positions. The Legislature employs 135 employees and 68 positions are vacant. Two of the 135 positions that are filled "additional to the establishment" resulting in a vacancy rate of 36.56% (NCPL, 2012: 115). The organisational and programme structure of the NCPL is summarised on the following page
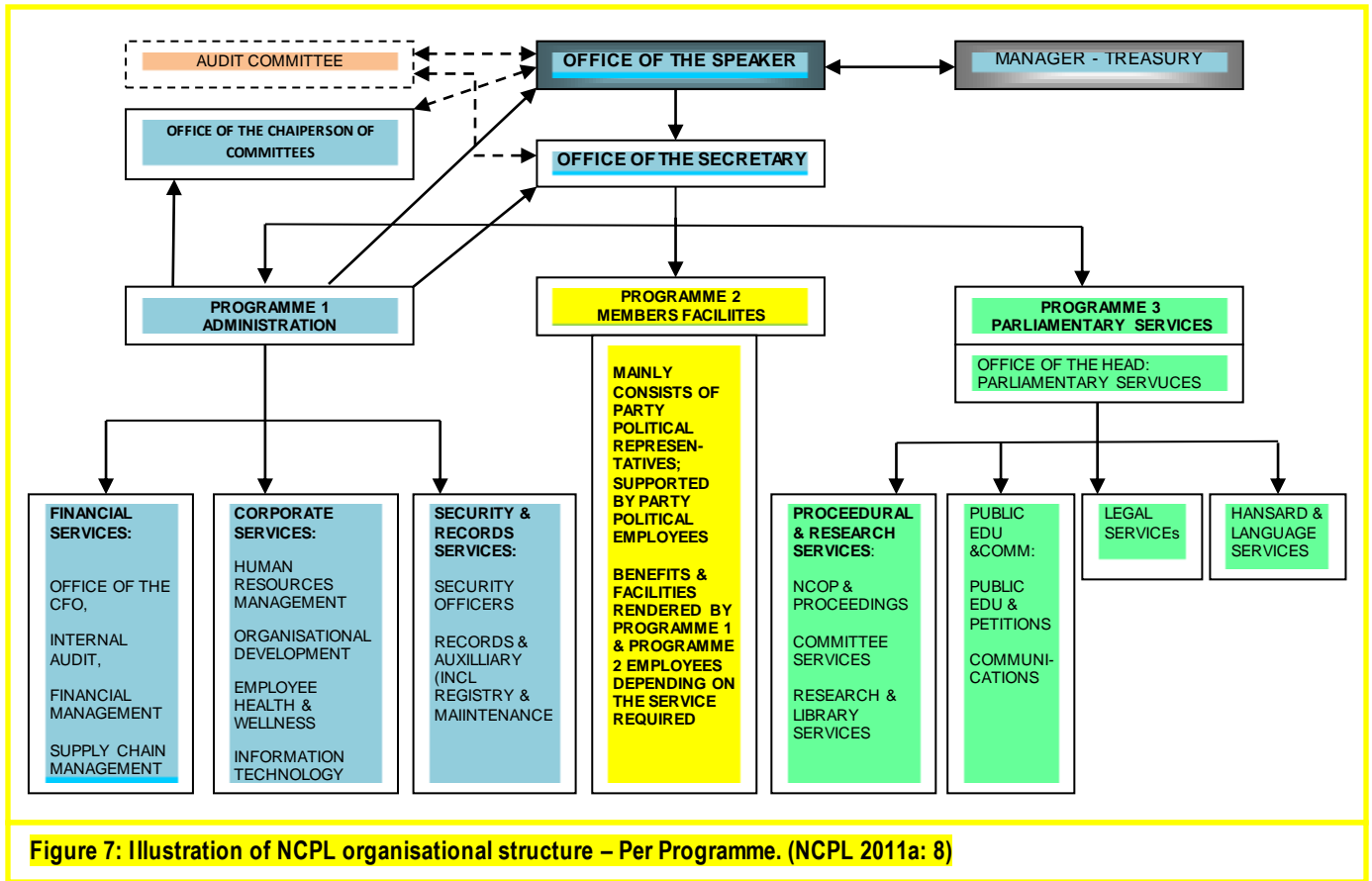
Figure 7: Illustration of NCPL organisational structure – Per Programme. (NCPL 2011a: 8)

4.2 Overview of the NCPL Administration

The NCPL administration is a budget programme that consists of a set of functions that delivers support services to the organisation and that contributes towards performance and the delivery of services by other programmes. The aim of the programme is to: "provide effective leadership, financial, human resource, legal support services and systems to the entire Legislature as well as strategic management of the administration" (NCPL, 2011a: 16).

*The Programme purpose is "*to establish an effective Legislature governance structure that will ensure that the organisation operates

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optimally" (NCPL, 2010a: 6).   The programme consists of six sub-programmes namely the

- Office of the Speaker;
- Office of the Chair of Chairs;
- Office of the Secretary;
- Office of the Chief Financial Officer;
- Corporate Services; and
- Security and Records

(NCPL, 2011c: 4).

4.3   Overview of the organisational performance

The description of the overall organisational performance has been compiled by making use of two sources, namely the Accounting Officer's overview as contained in the NCPL Annual Report for the year ending March 2011 and the Auditor-General's report as contained in the NCPL Annual Report for the year ending March 2011.

According to the performance overview by the accounting officer, the NCPL has spent its funds carefully and ended the financial year with an under-expenditure of R3,2 million. It is indicated that the Legislature budget does not address many of the bids submitted for the financial year resulting in selected projects suffering and thus not being implemented. "Areas that remain unattended include critical vacant positions…, procurement of the ERP (Enterprise Resource Planning) system, maintenance of audio and video equipment, building maintenance and the legislature's own internal audit committee and its support structure, as well as security infrastructure" (NCPL, 2011a: 12).

The Accounting Officer's overview highlights the following key challenges:

- Public hearings on service delivery issues were not held during the year;
- Labour Relations challenges linked to salary negotiations within an over-restrictive budget that has resulted in a wage dispute between the organisation and the union and subsequently has caused a strike;
- Selected components within the organisational structure is understaffed due to unfunded vacancies; and
- An inadequate budget / lack of resources

(NCPL, 2011a: 12-13).

Achievements included in the Accounting Officer's overview:

- Regular questioning of MPL during house sittings;
- Effective oversight of municipalities – NCPL considered 31 of 32 municipal annual performance reports;
- Public hearings held on 11 pieces of legislation;
- Consideration of all departmental budgets and annual reports in line with the NCPL oversight mandate;
- Successful public participation programmes; and
- Participation in the legislative sector activities and fora

(NCPL, 2011a: 12-13).

The Auditor-General's report (AG's report) is in agreement with the financial statements of the NCPL is so far as it has underspent its budget by R3.2 million during the 2010/11 financial year. The AG's report however indicates that the organization did not give due consideration to the principle of cost effectiveness and economy, as value for money was

not received with the procurement of a vehicle. The report further highlights the following matters:

- Unauthorized expenditure to the value of R783,000 was incurred;
- The objectives, targets and indicators reported on by the NCPI was inconsistent with the approved annual performance plan;
- The audit committee did not function throughout the year as required;
- The accounting officer did not take steps to collect all money due to the institution, as an amount of R1,218,000 has been outstanding for a period longer than three years;
- An updated and approved organizational structure was not in place;
- A human resource plan based on the plan of the legislature was not updated for the financial year;
- Appropriate management of vacancies did not occur;
- Leadership did not appropriately oversee performance and compliance to the policy framework;
- Deficiencies in governance and internal controls were mentioned.

(NCPL, 2011a: 69-74).

The information obtained from the Accounting Officers Accounting Officer's overview as contained in the NCPL Annual Report for the year ending March 2011 and the Auditor-General's report as contained in the NCPL Annual Report for the year ending March 2011 indicates a balanced view of the organisational performance. It is evident from the above information that the institution is functional and that it has managed to achieved some successes, despite various challenges.

4.4   Conclusion

This brief overview highlights the importance of the NCPL as a constitutional institution. The description of the nature of Programme 1 establishes that this programme forms the backbone of effective organisational operation and performance as this budget programme delivers support services to the NCPL overall and contributes to the performance and service delivery of the other NCPL budget programmes.

The overview does give brief information about the successes and challenges. Key challenges that threaten the achievement of organisational goals are highlighted by both the Accounting Officer's overview and the AG's report. These key challenges include

- insufficient support staff and inappropriate management of vacancies;
- labour relations challenges; and
- inadequate financial resources resulting in
  - o public hearings on service delivery issues not held;
  - o Enterprise Resource Planning(ERP) system not procured;
  - o equipment and the building not being properly maintained;
  - o lack of an audit committee and its support structure; and
  - o lack of security infrastructure.
- Inadequate and internal controls resulting in
  - o Unauthorised expenditure; and
  - o Poor revenue management;
- An updated and approved organizational structure not being in place;
- Lack of a human resource plan based on the plans of the legislature; and

- Leadership not appropriately overseeing performance and compliance to the policy framework.

A thorough evaluation of the performance of the NCPL Administration will assist the institution to come to grips with the actual successes and challenges faced by it. The practical implementation of the programme evaluation research theory in the next chapter will enable the organisation to understand and improve on its performance of the past three years.

Chapter 5:

RESEARCH DESIGN AND METHODOLOGY

5.1   Introduction

In this chapter the researcher provides an account of how the research methodology was implemented. The first part of the chapter briefly reintroduces the theory underlying the research design and methodology and provides details of how the theory was practically applied. The second part of the chapter reflects on a statement made in Chapter 1 of this report, which served as an hypothesis. The hypothesis indicated that the NCPL Administration does not function effectively. A survey was conducted to provide an organisational profile of the NCPL. The feedback received from the survey was used to support the hypothesis. The third part of Chapter 3 contains the actual evaluation of the programme, according to the evaluation tool.

In the main this chapter responds to the central research question of whether the service delivery and activities planned for Programme 1 (NCPL Administration) has been implemented effectively; as well as responding to the following sub-questions:

- What is the purpose of Programme 1?
- What is the programme plan and how does the programme plan link up to the programme purpose and rationale?
- What is the level of congruency between the planned programme performance and the actual performance as manifested?

The chapter addresses three of the four research objectives, namely

Objective 1:

To provide a detailed description of the organisational environment in which the programme exists (NCPL profile).

Objective 2:

To describe the overall purpose, strategic intent, performance targets, outputs and outcomes as well as the programme rationale and the programme plan of Programme 1: Administration.

Objective 3:

To investigate the level of congruency between the programme plan and the implemented programme performance.

Overall this chapter describes the implementation of the research design and methodology.

5.2   Research Design and Methodology

This study is qualitative in nature. According to Welman, Kruger and Mitchell (2010: 188) qualitative research can be described as a research approach rather than a design or a set of techniques. "Qualitative field studies can be used successfully in the description of groups, communities and organisations" (Welman, Kruger and Mitchell, 2010: 188). Qualitative research is an "umbrella" concept that covers a variety of interpretive techniques which describes, translates, decodes, and "otherwise come to terms with the meaning of" phenomena that naturally occurs in the natural world. (Van Maanen, 1979: 520 as cited in Wellman, Kruger and Mitchell, 2010: 188).

The research design represents the plan to be followed by the researcher to obtain research participants and collect information from these participants. In the research design the target population as well as the sample is specified (Welman, Kruger & Mitchell, 2010: 52).In turn the research methodology of a study "considers and explains the logic behind the research methods and techniques" (Welman, Kruger & Mitchell, 2010: 2).

The design of this study contains elements of a case study. According to Welman, Kruger & Mitchell (2010: 52) a case study is a type of research that intensively studies a limited number or only 1 unit of analysis. This study provides an in-depth description of 1 organisation, namely the NCPL, its organisational environment and the administration programme.

The main objective of this study is to evaluate the effective implementation of a budget programme (the administration) of the NCPL against guidelines and tools designed for evaluation purposes. The study is an evaluation research study and the research design used is programme evaluation.

The research design classification is empirical because it produces new findings as new performance information was created through this study. Hybrid data sources (primary data and secondary data) were consulted and analysed. Data was obtained by means of a survey and by analysing media reports and reports. The type of data used was mainly text. The degree of structure and control was medium as it was based on structured programme evaluation practices.

5.2.1   Programme Evaluation Method

As indicated in the literature review included in Chapter 2 of this report, there are different types of programme evaluation approaches and techniques. The chosen approaches, methods and techniques are however based on the reason why the evaluation is being undertaken and the overall purpose thereof. Chen (2005: 45) assists with the selection of programme evaluation approaches to suit a particular evaluator's need. The programme evaluation method that will be used in this study has been carefully selected from the available strategies and approaches as outlined by Chen (2005: 48). The preferred method selected was based on the aim and purpose of this research study and is as follows:

Table 3: Programme evaluation method (Chen, 2005: 48, 159-162)

Research Design	Programme evaluation
Selected research method	*Assessment oriented process – evaluates* the actual implementation process compared to its original programme plan and rationale
Programme stage	*Mature implementation stage (*A programme is in the mature implementation stage when resources with which to implement the programme have been committed by an organization, stakeholders have a clear understanding of the programme intent and Sufficient time has elapsed for the implementation to mature.)
	The NCPL Administration programme meets all of the above criteria as it has existed for a period exceeding five years; it is a budget programme, funds have been allocated for the effective functioning of the programme; beneficiaries and stakeholders understand the programme intent.
Evaluation purpose	Evaluating the effective of implementation of the programme
Evaluation strategy	Performance assessment
Evaluation approach	*Fidelity evaluation*: A process evaluation approach that ascertains congruency between service delivery as planned and as actually manifested. Types of fidelity evaluation include Intervention fidelity evaluation, Referral fidelity evaluation, Service delivery fidelity evaluation and Target population evaluation. Service delivery fidelity evaluation is used as it evaluates congruency between service delivery as planned and as implemented

The actual programme evaluation was conducted in three stages. Stage 1 included the description of the programme purpose and intention, stage 2 describes the programme infrastructure and stage three describes the level of congruency between planned versus implemented performance. The programme evaluation follows after the organisational profile and media overview of the NCPL.

5.2.2 Implementation of the research methodology

This study has four objectives. In order to address the *first objective*, which is to provide a detailed description of the organisational environment in which the programme exists, a survey was conducted to compile an organisational profile. In Chapter 1 of this study, statements are made that *a perception exist amongst selected NCPL employees that the institution is not functioning optimally* and that *these employees are of the opinion that the administration and institutional management of the NCPL needs improvement*. The organisational profile was compiled to prove or disprove the hypotheses that the NCPL Administration does not function effectively. The aim of the survey was to determine the organisational profile and provide an overview of how NCPL employees perceive the organisational work environment and its overall performance. The survey is based on the perceptions and opinions of the selected NCPL employees. A media survey was therefore also undertaken to supplement the organisational profile survey, thus providing a more balanced overview of the perceptions held about the NCPL.

5.2.2.1 <u>Survey construction</u>

In order to construct a survey that would determine perceptions held by employees of the organisation and its performance, the researcher consulted literature on organisational effectiveness, organisational behaviour and public sector assessments. The sources were used to construct a "hybrid" questionnaire that combined an organisational effectiveness survey, public sector assessment tool and organisational environment survey. According to Immordino (2010: 8) "organisational assessment is a systematic process for examining an organisation to create a shared understanding of the current state of the elements that are critical to the successful achievement of its purpose". This source provided a tool that was used as the basis for the questionnaire used in this survey. The survey questionnaire is attached as Annexure A.

5.2.2.2 <u>Survey implementation and sampling</u>

The survey took place at the premises of the NCPL and the project timeframe was three months (May to July 2012). The survey was conducted in the following manner:

- Random sampling was used. At the time the sample was compiled, there were 136 employees employed at the NCPL. Every fourth employee was selected from an alphabetical list, yielding a sample size of 34 employees (25%).

- Letters were written to all prospective respondents, indicating the purpose of the survey and the data collection process to be followed. Selected participants opted to fill in the questionnaire independently, a focus group session was held and three individual

discussions took place to explain the questionnaire to the respondents.

- 21 of the 34 targeted employees participated in the survey, yielding a 62% response rate and resulting in a total of 15.4%employees being surveyed from the 25% targeted.

5.2.2.3 <u>Data collection and analyses</u>

The information obtained from the questionnaire was recorded manually and electronically by making use of MS Word. The subsequent data analysis and interpretation was conducted manually due to a lack of data analysis software. The researcher captured all responses and highlighted recurring views. Responses were converted to percentages to meaningfully describe, compare and interpret the results and findings.

5.2.2.4 <u>Limitations and challenges experienced</u>

The following challenges impacted negatively on the completion of the survey within the initial timeframe:

- Lack of time to supplement all questionnaires with interviews as initially planned;
- Conflicting work priorities;
- Apathy / lack of interest from selected targeted respondents; and
- Unavailability of research analysis software.

5.2.2.5 <u>Programme evaluation conducted</u>

Objectives 2 and 3 were reached by means of the implementation of the programme evaluation theory. In this part of the study the researcher describes the programme rationale and the programme plan of Programme 1: Administration. The description includes the overall purpose, strategic intent, performance targets, outputs and outcomes of the programme as contained in relevant documentation.

A programme tool was constructed to investigate the level of congruency between the programme plan and the implemented programme performance. To construct the programme tool the researcher used the organisational five-year strategic plan and annual performance plans for 2009/10, 2010/11 and 2011/12. The planning documents were used to gauge the planned performance and extract performance indicators that were used to indicate performance outputs. Annual performance reports were used to evaluate whether planned performance was achieved. Outcome indicators were used to verify performance as actually manifested.

5.2.2.6 <u>Analysis of Results</u>

Methods of analyses included mainly content analysis.

5.3   Organisational profile: survey results

The organisational profile survey contains five sections. These include:

- overall organisational strategy and outcomes;
- measurement and analyses;
- leadership and management;
- workforce and workplace relations; and
- adaptable organisational indicators.

Respondents Profile:

Table 4: Respondents per occupational category

Occupational Categories	Respondents per category
Lower / Semiskilled	10
Higher skilled	6
Supervisory / Managerial	5
Senior management	0

Figure 8: Respondents per occupational category
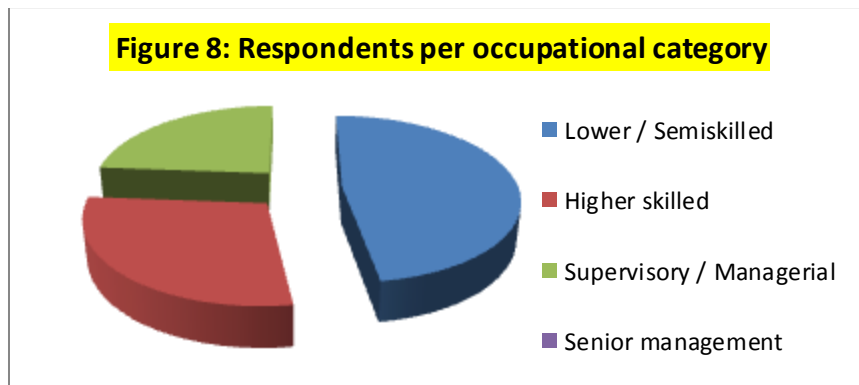
Table 5: Demographic profile of respondents

Demographic categories	Male	Female
African	3	4
Coloured	6	3
Indian	1	0
White	0	4
Total	**10**	**11**

Figure 9: Respondents per race category

- African
- Coloured
- Indian
- White

Figure 10: Respondents - Gender breakdown

- Male
- Female
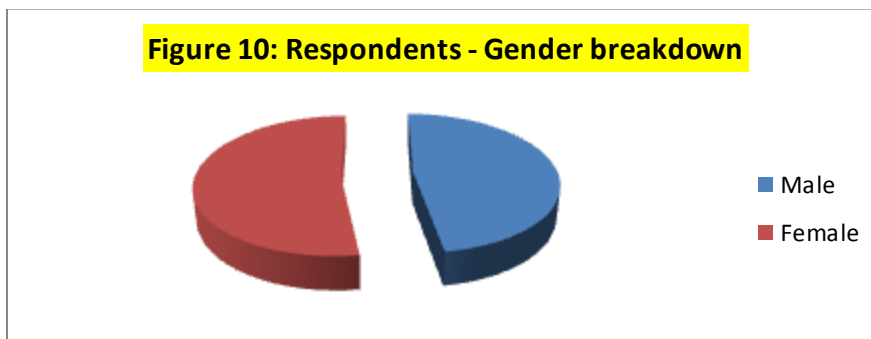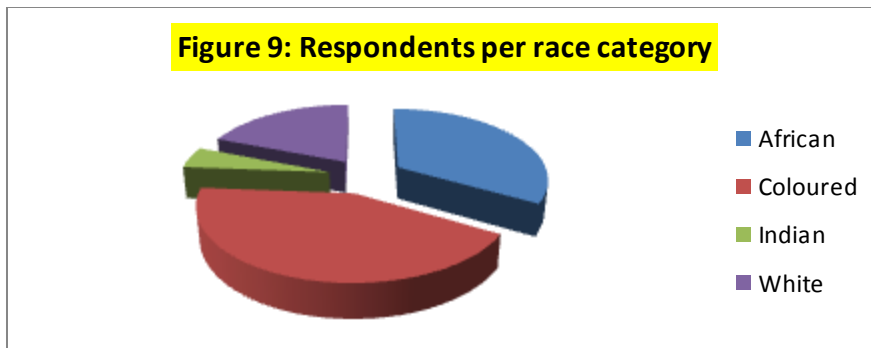
The results of the survey are as follows:

Overall organisational strategy and outcomes
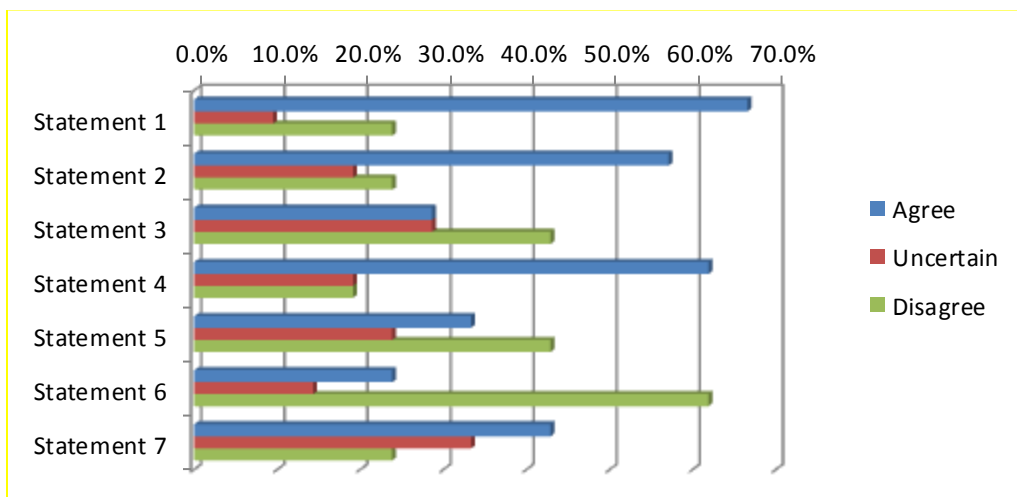
Figure 11: Distribution of respondents' views - Overall organisational strategy and outcomes

Statement 1: The NCPL has a vision and mission which has been clearly communicated amongst MPLs, managers, staff and stakeholders.

The majority of respondents (66.6%) are aware of the NCPL vision and mission and agree that it has been clearly communicated amongst MPLs, managers, staff and stakeholders. 23.8% of the participants disagreed with this statement and 9.5% of respondents were uncertain. In the main most respondents felt that communication and visibility of the vision and mission could be improved.

Statement 2: The core values of the NCPL have been defined and communicated to MPLs and all staff.

Most of the respondents (57.1%) agree that the NCPL's core values have been defined and have been communicated to MPLs and staff. 23.8% of respondents disagreed with the statement and 19.1% of the respondents were uncertain. Comments varied in terms of this statement. Some comments confirmed the statement while other statements indicated a need for improved communication and improved visibility of the values.

Statement 3: The NCPL is living up to its organisational values.

The majority of the respondents (42.9%) were of the opinion that the NCPL does not live up to its organisational values. 28.6% of respondents agreed with the statement and 28.6% of respondents were uncertain. Comments made were related to uncertainty and failure in this regard.

Statement 4: There is a formal, documented strategic planning process and a strategic plan that guides the operations of the NCPL.

Most of the respondents (61.9%) confirmed awareness of the NCPL's documented strategic planning process and plan. 19.1% of employees disagreed that the NCPL has a documented strategic planning process and plan, while 19.1% of the respondents were unsure. Comments

included views to the effect that employees had never seen the plan although they were aware that it existed. In general respondents want to see the plan being formally communicated by means of a work-shop with employees.

Statement 5: NCPL staff is afforded the opportunity to make input into the organisational planning process.

The majority of the respondents (42.9%) were of the opinion that staff are not afforded an opportunity to participate in the formulation of the NCPL strategic plan. 33.3% agreed with the statement while 23.8% were uncertain. Generally employees felt that management devises the plan without proper consultation and that the plan is not appropriately communicated.

Statement 6: The strategic plan is communicated throughout the organisation.

Most respondents (61.9%) disagreed that the strategic plan is communicated throughout the organisation. 23.8% of respondents agreed with the statement and 14.3% were uncertain. Comments were indicative of the fact that the strategic plan is mostly known to and discussed amongst management and that employees are not informed of the content of the plan.

Statement 7: The NCPL employees understand their role and responsibilities in regard to the achievement of the organisational strategic objectives.

The majority of respondents (42.9%) agreed with this statement. A third of the respondents (33.3%) were however unsure of their role and responsibilities in terms of the achievement of the strategic objectives and 23.8% of respondents disagreed with the statement completely.

Comments indicated an increased need to communicate with / brief employees on the role they should play in order to contribute to the achievement of strategic objectives.

Organisational performance measurement and analyses
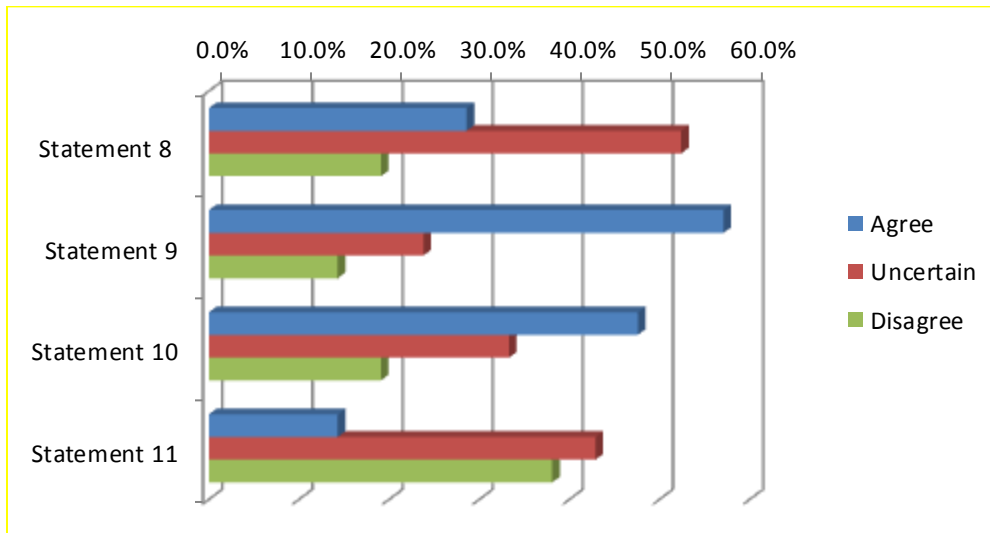
Figure 12: Distribution of respondents' views – Organisational performance measurement and analysis

Statement 8: Procedures / systems are in place to measure programme performance and organisational outputs and outcomes.

The majority of respondents (52.4%) were uncertain about the procedures and systems in place in the organisation to measure programme performance. 28.6% of employees however agreed that performance measurement systems were in place and 19.1% of employees disagreed with the statement. Respondents who agreed with the statement indicated that such systems / procedures exist, but that they were not managed correctly or sufficiently.

90

Statement 9: Safeguards are in place to protect data security and MPL/employee privacy.

Most respondents (57.1%) were in agreement that data security and MPL/ employee privacy is safeguarded. 23.8% of employees were uncertain about the statement and 14.3% disagreed with the statement. One respondent did not answer the question resulting in missing values of 4.8%. Only 1 comment was made in terms of this statement, indicating the existence of CCTV cameras and protectors on the NCPL premises.

Statement 10: Performance measures/targets are used to determine progress against the mission, plans and goals.

The majority of respondents (47.6%) agreed with the statement and most comments supported the statement. A third of respondents (33.3%) were unsure about the use of performance targets to measure progress against plans and 19.1% of respondents disagreed with the statement. Comments on why respondents disagreed with the statement indicated that systems were in place, but not managed sufficiently; and that the application of the performance measures was problematic.

Statement 11: The organisation reviews the quality of services from time to time to generate improvements that will benefit staff and clients.

Most respondents (42.9%) were uncertain about the validity of this statement. 38.1% of respondents disagreed that the quality of services are reviewed from time to time and only 14.3% of respondents agreed with the statement. One response was omitted resulting in missing values of 4.8%. Most comments were in support of the statement.

Leadership and Management
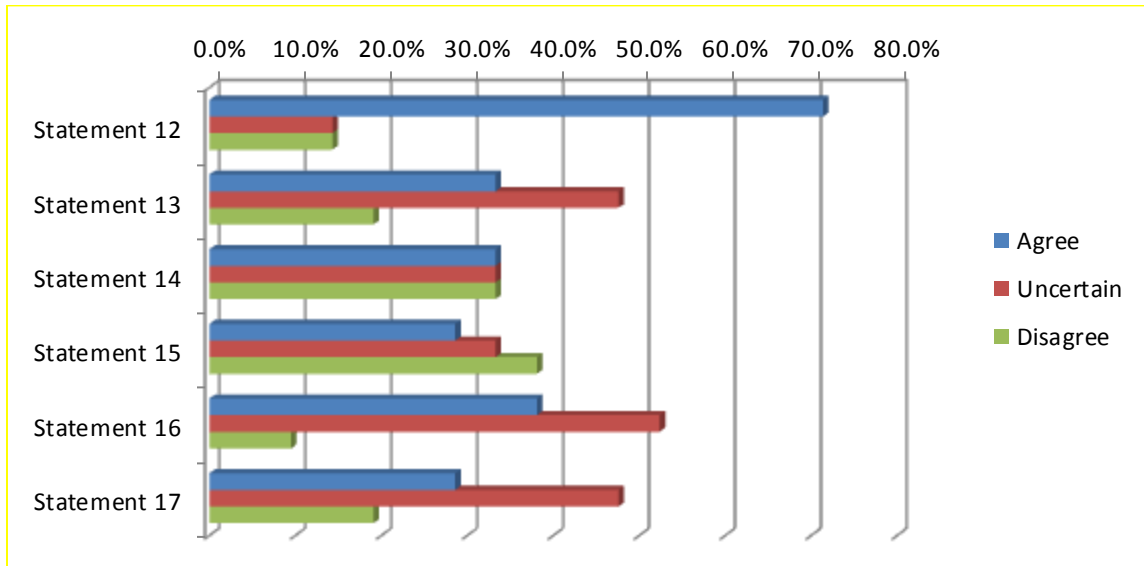
Figure 13: Distribution of Respondents views – Leadership and Management

Statement 12: Managers are visible and accessible to MPLs and employees of the organisation.

The majority of respondents (71.4%) agreed with the statement that managers are visible and accessible to MPLs and employees. While 14.3% of respondents were uncertain and 14.3% disagreed. Comments supported the result indicating that most managers are visible and accessible while just a few are not.

Statement 13: Managers have made their priorities clear throughout the organisation.

In response to this statement the majority of respondents (47.6%) were uncertain about the statement, while only a third of respondents (33.3%) agreed and 19.1% disagreed. The comments indicated that respondents could only talk about the priorities made clear by the managers in their own sections and departments.

Statement 14: Managers are committed to ethical behaviour.

There was a divided response to this statement. A third of respondents (33.3%) agreed, a third of respondents (33.3%) were uncertain and a third of respondents (33.3%) disagreed. Most comments (3 of the 4 received) disagreed with the statement indicating that only a few managers are committed to ethical behaviour while most managers are not.

Statement 15: Managers ensure the consistent application of policy.

A slight majority of respondents (38.1%) disagree that managers are consistently apply policy in the organisation. A third of respondents (33.3%) were uncertain about the statement and 28.6% of respondents agreed with the statement. As part of the comments, reference was made to the inconsistent application of policy by some managers and that policies are not "owned" by managers. The statement that managers do not "own" policies was clarified by the explanation that the behaviour of selected managers was not in line with the policy prescripts / requirements.

Statement 16: Financial Management controls are established and followed within the organisation.

Most of the respondents (52.4%) were uncertain about the establishment and application of financial management controls in the organisation. 38.1% of respondents agreed with the statement and 9.5% of respondents disagreed with the statement. As part of the comments 1 of the respondents interpreted the annual audit of the legislature's finances by the office of the Auditor-General as part of the NCPL Financial Management Controls while the other comment indicated that different financial controls are in place for financial transactions such claims, advances and acquisitions, depending on who you are in the organisation.

Statement17: Expenditure is monitored and controlled in line with organisational policy and applicable Legislation.

The majority of respondents (47.6%) were uncertain about this statement, while 28.6% of employees were in agreement and 19.1% of respondents disagreed with the statement. 1 respondent did not answer the question resulting in missing values of 4.8%. Comments related to expenditure control not being done "well" (properly) and to the existence of loopholes in terms of the monitoring and control of spending.

Workforce and workplace relations
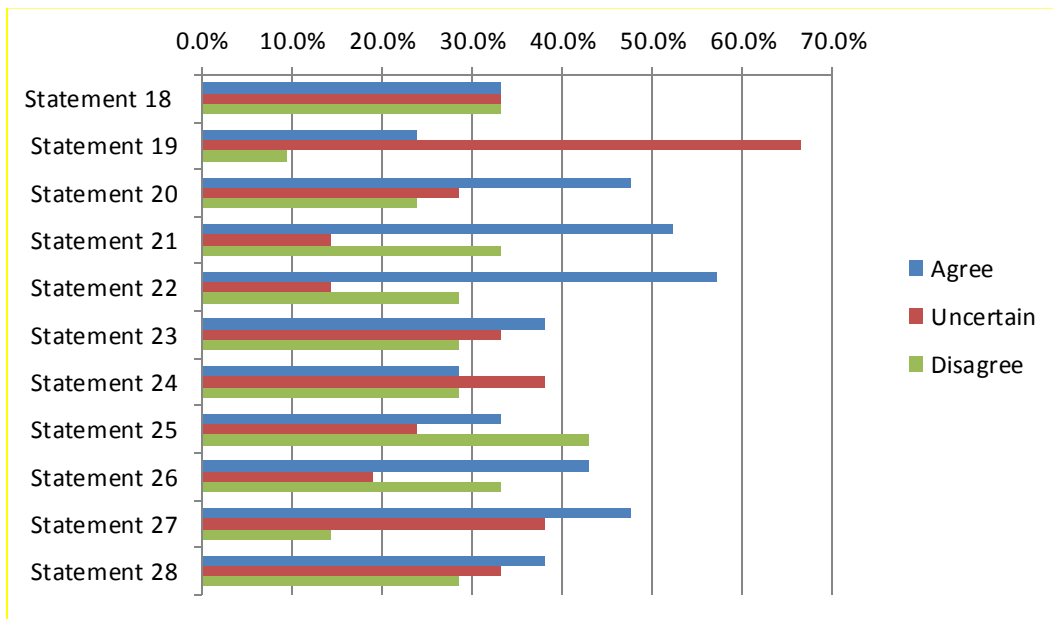
Figure 14: Distribution of respondents views – Workforce and workplace relations

Statement 18: A process exists to identify current and future workforce needs.

This statement yielded a divided response. A third of respondents (33.3%) agreed, a third of respondents (33.3%) were uncertain and a third of respondents (33.3%) disagreed with the statement. It was indicated as part of the comments received that all identified workforce needs do not appear on the organisational structure.

Statement 19: Core competencies have been identified for all employee categories.

Two thirds of respondents (66.6%) were unsure about this statement. 23.8% of respondents agreed that core competencies have been identified for all employee categories, while 9.5% of respondents disagreed with this statement. Comments from respondents indicated a lack of consultation in determining their individual competencies as well as an opinion that some managers do interact with employees to identify the core competencies required for their positions.

Statement 20: Recruitment processes support diversity.

The majority of respondents (47.6%) agreed that recruitment processes support diversity, while 28.6% of respondents were uncertain and 23.8% disagreed with the statement. The only comment made in terms of this statement was that senior managers are male-dominated and that the organisation does not employ any disabled person.

Statement 21: Excellence in individual and team performance is supported and recognized.

Most respondents (52.4%) agreed with this statement. a third of the respondents (33.3%) however disagreed that team performance is supported and recognized. 14.3% of respondents were uncertain. In their comments respondents indicated that managers support employee performance and outlined the manner in which performance is recognized within the NCPL.

Statement 22: Professional development opportunities are available to all employee groups.

The majority of respondents (57.1%) agreed that professional development opportunities were available to all employee groups. 28.6%

of   respondents disagreed with this statement while 14.3% of respondents were uncertain. Comments confirmed that workshops and training were available but indicated that skills development initiatives do not cater for semi-skilled employees.

Statement 23: Workplace safety and security are assessed on a regular basis.

The majority of respondents (38.1%) agreed that workplace safety and security were assessed regularly. A third of respondents (33.3%) were uncertain about the statement while 28.6% of respondents disagreed. No comments were made regarding this statement.

Statement 24: Practices are in place to ensure the workplace is free from discrimination.

The majority of respondents (38.1%) were unsure about this statement. 28.6% of employees agreed with the statement and 28.6% of employees disagreed with the statement. 1 respondent did not answer the question resulting in missing values of 4.8%. Only 1 comment was made in agreement with the statement which indicated that perceptions of discriminatory practices could be curbed by interactive cultural and diversity programmes.

Statement 25: Management and employees treat each other with mutual respect and courtesy.

Most respondents (42.9%) disagreed with this statement. A third of respondents (33.3%) agreed that management and employees treat each other with mutual respect and courtesy while 23.8% were uncertain. Generally comments substantiated the reasons given by respondents for their dissenting views in regard to the statement. Respondents indicated that there was a lack of professionalism and no respect amongst

employees and managers, that there was much to be done to build respect and goodwill. One respondent indicated that the current frame of mind and climate in the workplace was characterized by unhappiness, lack of trust and no confidence in management.

Statement 26: Facilities provided for staff are well maintained.

The majority of respondents (42.9%) agreed that staff facilities are well maintained. A third of respondents (33.3%) disagreed with this statement while 19.1% were unsure. One respondent did not answer the question resulting in missing values of 4.8%. Comments indicated that the lack of a staff canteen or shop nearby was problematic.

Statement 27: There are well-established, readily available and well communicated feedback channels through which MPLs, employees and the community are able to express their opinions and concerns.

Most of the respondents (47.6%) agreed with this statement. 38.1% of employees were uncertain about the availability of feedback channels and 14.3% disagreed with the statement. Comments made in disagreement indicated the need for improved availability of feedback mechanisms such as open discussions and communication forums.

Statement 28: The organisation communicates candidly with organisational staff, MPLs, stakeholders and the community.

The majority of respondents (38.1%) agreed with the statement. A third of respondents (33.3%) were uncertain whether or not the organisation communicates candidly with employees, MPLs, stakeholders and the community. 28.6% disagreed with the statement. Comments made in disagreement indicated that the public and other stakeholders were not well informed.
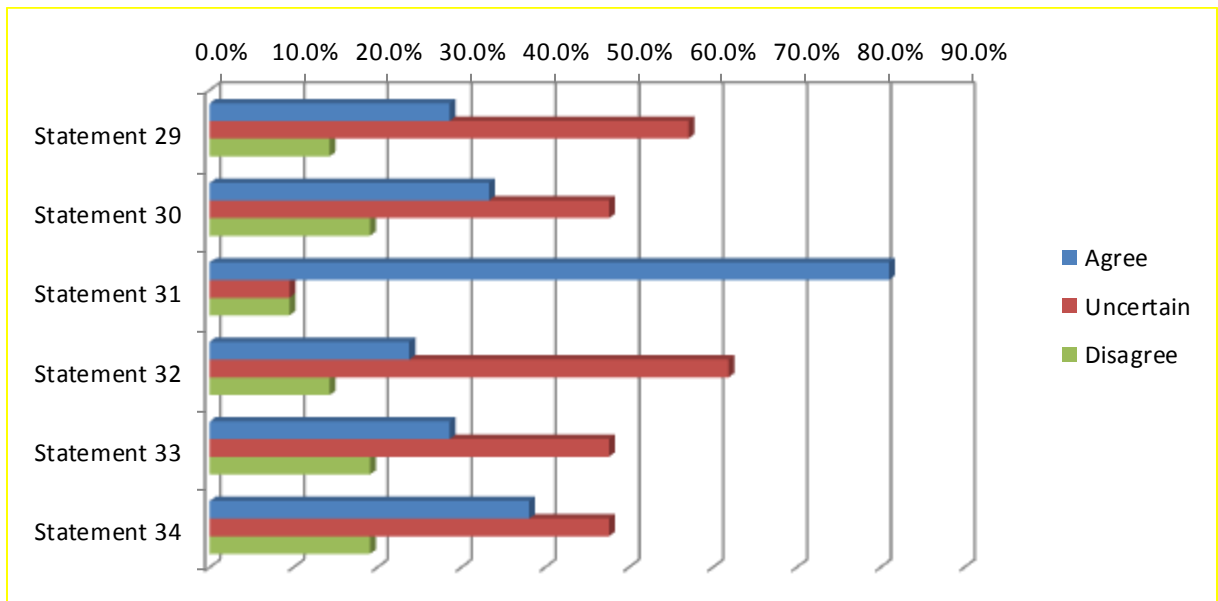
Adaptable organisational indicators

Statement 29: The organisation can identify major changes it has made within the past three years to adapt to changing needs and a changing environment.

The majority of respondents (57.1%) were uncertain about the NCPLs ability to identify and adapt to changes. 28.6% of respondents agreed with this statement while 14.3% disagreed. Comments indicated that the NCPL is in need of a strategic change management strategy to chart change proactively.

Statement 30: Continuous innovation and learning prevail throughout the organization.

Most of the respondents (47.6%) were uncertain about the statement. A third of respondents (33.3%) agreed that continuous innovation and learning prevail at NCPL while 19.1% disagreed. Only 1 comment was received. The comment indicated that "Continuous innovation is highly dependent on the ability of the organisation to change the culture of the

organisation in becoming a learning organisation. This is evidently not the case in the Legislature. Strategies need to be developed to break down the barriers to organisational learning, for example, supporting the training function through budget, encouraging open communication, innovation and change; create a learning culture through line manager support, mentoring and coaching, structured on-the-job training, job enlargement, job rotation. The training function need strategic organisational and management support.

Statement 31: Technology used by NCPL is current and appropriate to organisational services provided.

A large majority of respondents (81%) agreed that the technology used by NCPL is current and appropriate for the organisational services provided. 9.5% of respondents were uncertain about the statement and 9.5% disagreed. Comments indicated that while NCPL technology and systems were not the most updated, they do meet the organisational needs.

Statement 32: Programmes are reviewed on a regular basis to ensure that the current needs of clients are met.

Most of the respondents (61.9%) were uncertain whether NCPL programmes are reviewed periodically to ensure that client needs are met. 23.8% of respondents agreed with the statement and 14.3% of employees disagreed. The only comment received in terms of this statement indicated that there was a lack of communication resulting in employees merely being informed of changes and not consulted as part of the review processes.

Statement 33: The organisation uses partnerships, strategic alliances and collaboration to leverage opportunities.

The majority of respondents (47.6%) were uncertain about this statement. 28.6% of respondents agreed that the NCPL uses strategic partnerships

and collaboration to leverage opportunities, while 19.1% of respondents disagreed with the statement. One missing response resulted in missing values of 4.8%. Only 1 comment was received but the comment was unrelated to the statement.

Statement 34: The organisation acknowledges its links to the past, its responsibility to look to the future and the changes it has made in response to community needs.

Most of the respondents (47.6%) were uncertain about this statement. 38.1% of respondents agreed that the NCPL acknowledges its past, its responsibility to look to the future and effect changes in response to community needs, while 19.1% of respondents disagreed with the statement. The only comment received referred to the slow pace of lawmaking at the NCPL.

5.3.2.1 Summary and interpretation of survey results

The NCPL profile supports the statements made in Chapter 1 that "a perception exists amongst selected NCPL employees that the organisation is not functioning optimally".

Findings are as follows:

5.3.2.1.1 Overall organisational strategy and outcomes
- There is general awareness within the NCPL of its vision and mission but the communication and visibility within the organisation can be improved by prominently displaying the vision and mission at strategic locations.
- The NCPL core values have been defined and communicated to MPLs and employees, but the NCPL does not live up to its

organisational values. The communication and visibility of the NCPL values can be improved within the NCPL.

- A formal, documented organisational strategic plan and process exist, but employees are not afforded the opportunity to make an input into the plan and the plan is not communicated throughout the organisation. A more inclusive strategic planning process should be embarked upon in future. The plan should be made available and be communicated by means of a work-shop with all employees.

- NCPL employees generally understand their role and responsibilities in regard to the achievement of the organisational strategic objectives. There is however a need to improve communication in respect of the roles and responsibilities of employees in terms of the organisational strategy.

5.3.2.1.2 Measurements and analysis

- It is alarming that the majority of respondents were uncertain about the procedures and systems in place to measure programme performance. Selected respondents agreed that performance targets were being used to measure performance against plans. Views indicated that while performance measurement systems and procedures exist, these were not managed correctly indicating a problem in regard to the application of performance measurement.

- NCPL employees generally agree that data security and MPL privacy were safeguarded.

- Generally respondents were uncertain whether the organisation reviews the quality of its services with a view to generate improvements. The organisation might look into improving on this area.

5.3.2.1.3 Leadership and management

- Generally managers are seen as visible and accessible to MPLs and employees. It is alarming however that the respondents were uncertain about managers making their priorities clear throughout the organisation and that opinions were divided about the ethical behaviour of managers. The general perception about managers was that they did not ensure the consistent application of policy.

- Mainly respondents were uncertain about organisational financial management controls and the monitoring / control of expenditure in line with policy and the legislative framework. Once again these uncertainties are alarming as proper financial management practices are an indicator of effective management. Financial management is one of the key components of good public administration.

5.3.2.1.4 Workplace and workplace relations

- Overall there was a divided response in terms of whether a process does indeed exist to identify current and future workforce needs.

- Two thirds of respondents were unsure whether core competencies had been identified for all employees. This finding was supported by views that employees were not consulted in determining their individual competencies and only a few managers interact with employees to identify the core competencies required for their positions. These results can be interpreted as indicative that not all employees were aware of the core competencies required for their positions.

- Generally respondents think that recruitment processes support diversity, notwithstanding the fact that the organisation employs no disabled person and that employees in the senior management category are male-dominated.

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- According to the majority views of respondents, the NCPL supports and recognizes individual and team performance.

- The overall view of respondents was that professional development opportunities were available to all employee groups. A dissenting view however indicated that skills development initiatives are not inclusive of semiskilled employees.

- Workplace safety and security were assessed regularly according to the views of the majority of respondents.

- The fact that the majority of respondents were uncertain whether organisational practices ensure a workplace free from discrimination was unsettling. The organisation of cultural and diversity programmes was viewed as a possible solution to improve perceptions in this regard.

- Generally respondents were of the view that management and employees do not treat each other with mutual respect and courtesy. Views indicated a lack of professionalism, respect and goodwill.

- Respondents were generally satisfied that facilities for staff were well maintained. The lack of a staff canteen or facility to provide for the basic needs of staff was highlighted.

- Feedback channels were perceived as well maintained, readily available and well communicated thus allowing opinions and concerns to be expressed.

- The majority of respondents perceive the organisation as being able to communicate candidly with staff, MPLs, stakeholders and the community.

5.3.2.1.5 Adaptable organisational indicators
- Generally the respondents were unsure about the organisation's ability to identify major changes in the past three years and adapt to

a changing environment. This is an indicator that the organisation does not clearly communicate its vision in terms of adapting to the changing environment to all stakeholders in the organisation. Once again, this is a cause for concern as employees and other stakeholders need to be taken onboard when the organisation makes changes to its approach or changes the manner in which it pursues its vision. It was indicated that the organisation was in need of a strategic change management strategy.

- Only a third of respondents agreed that continuous innovation and learning prevailed throughout the organisation, while the majority of respondents were uncertain about this statement. There is an indication that the NCPL lacked a strategy to promote knowledge-sharing and organisational learning.

- Technology utilized by the organisation was perceived as current and appropriate to support the organisational services provided.

- Respondents were uncertain whether the NCPL reviewed its programmes regularly, whether the NCPL used strategic partnerships and alliances to leverage opportunities and whether the organisation acknowledged its responsibility to look at past practices in order to affect changes in response to community needs. This is an indicator that the organisation does not review its past performance adequately and does not use information that could be gained as part of review processes to improve and adapt in order to meet community needs. Furthermore the NCPL does not make a concerted effort to use partnerships and strategic alliances to leverage opportunities for the benefit of the organisation.

5.4   Media overview of the NCPL administration

In order to obtain another view of how the NCPL is perceived, a print media scan was undertaken where articles from local papers for the period under review were obtained in order to obtain an external, independent and unbiased view of perceptions that are held of the NCPL.

In the past three years (April 2009 to March 2012), the newspaper media has painted the NCPL as a legislature that engages robustly in matters related to oversight and public accountability. Only articles from the two main regional papers, namely the *Diamond Fields Advertiser (DFA)* and the *Volksblad* were retrieved for the purposes of this study. The information search yielded 86 newspaper articles that relate directly to the management of the institution. The articles describing the organisational management indicate that the NCPL experiences labour relations problems as well as financial management and budgetary challenges. Allegations of fraud and poor management of House (parliamentary) sittings are also mentioned. The article details are listed below.

5.4.1   Reported labour relations problems

During the period under review, 10 newspaper articles (Van Wyk, 2009; Kwon Hoo, 2009 (b); Beangstrom, 2010 (a) and (b); Kwon Hoo, 2010 (a), (b) and (c); Van der Merwe, 2010 (h); Evans, 2010 (d); and Evans 2011 (o)) reported that the NCPL experiences labour relations problems from time to time. During the 2009/10 and the 2010/11 financial year NCPL employees went on strike due to dissatisfaction relating to their salary increases and due to unresolved labour relations matters. During the

August 2010 strike, striking employees blocked the NCPL entrance by burning tyres. The NCPL therefore requested the police to arrest striking employees, claiming that the strikers were violent and that they were causing damage to the workplace infrastructure. Most of the strikers were indeed arrested and detained for several hours. In November 2009, 5 employees took legal action against the legislature due to alleged unfair and unprocedural disciplinary measures instituted against them. In addition the newspaper articles indicate a breakdown in the relationship between the National Health and Allied Workers Union (NEHAWU) (the representative trade union) and the NCPL leadership, specifically the Speaker.

5.4.2 Management of House Sittings and Committee Meetings

Numerous newspaper articles (Staff reporters, 2010; Botha, 2010; Van der Merwe, 2010 (a), (f), (g) and (i); Evans, 2010 (a), (b) and (e); Kwon Hoo, 2010 (d) and (e); Beangstrom, 2010 (c); Evans, 2011 (a), (b), (c), (d), (f), (i) and (w); Van der Merwe, 2011 (a); Evans, 2012 (a) and (c); Van der Merwe, 2012 (a), (b) and (d); and Staff reporters, 2012 (a), (b) and (c)) indicate that the political parties represented at the NCPL have engaged robustly in House debates and public meetings over the past three years.

The opposition parties represented in the NCPL are generally dissatisfied with the manner in which the organisation conducts its House sittings. In February 2010 and February 2011 the opposition walked out of the debate on the Premier's Annual Address, claiming that the Legislature did not conduct its House sittings in line with its own House rules. In February 2012 opposition boycotted the debate on the Premier's Annual Address. The opposition obtained a court interdict preventing the debate from continuing, claiming that the length of time allocated to the political party representatives was not in line with the NCPL House rules. The ruling

party has in turn accused the opposition of misusing the media and the court to score political points.

5.4.3 Oversight and public participation

In terms of oversight and public participation 9 articles (Van der Merwe, 2010 (e) and (i); Evans, 2011, (e), (u) and (v); Kwon Hoo, 2011 (e); Evans 2012 (b) and (d); and Merten, 2012) provide an indication that very few challenges are experienced in terms of oversight and public participation. Of the 9 articles listed only 4 articles are negative.

5.4.4 Financial management

Articles on financial management (Kwon Hoo, 2009 (a); Van der Merwe, 2010 (b), (c) and (d); Kwon Hoo, 2011 (d); Evans, 2011 (n); Staff reporters, 2011 (b) and (d); and Van der Merwe, 2012, (c)) provide a brief overview of the organisational budget and financial management practices. In the main, the articles indicate that

- NCPL faced budget constraints;
- NCPL funds were not applied appropriately, with specific reference to party political funding; and
- Decisions taken in terms of previous NCPL salary increases were flawed resulting in disciplinary proceedings being instituted against the three top NCPL officials. The Accounting Officer, Chief Financial Officer and Senior Manager: Corporate Services were suspended pending the results of an investigation and disciplinary hearing.

5.4.5 Cargate Matter

The NCPL story that made the most headlines during 2011 was the "Cargate" matter. In March 2011 it was discovered that a Mercedes Benz ML was procured for the ANC's Provincial Secretary from the NCPL budget. Opposition parties alleged that the purchase of the vehicle by the NCPL was a fraudulent transaction and the allegations resulted in an investigation being undertaken by a special task team consisting of Senior Politicians (including the opposition) led by the Speaker. Subsequent to the task team's investigation, the matter was also investigated by the Northern Cape Hawks (Provincial Directorate for Priority Crime Investigations) and the Office of the Auditor-General. While the media reported that the Auditor-General's office found that the transaction was poor value for money, the transaction was not deemed as irregular and therefore did not result in a audit query (Kwon Hoo, 2011 (a), (b), (c), (f), (h), (g), (i), (j), (k) and (l); Evans 2011, (g), (h), (j), (k), (l), (m), (p), (q), (r), (s), (t) and (x); Saul, 2011; Van Wyk, 2011; Van der Merwe, 2011 (b); Beangstrom, 2011).

5.5   Objective 1: Findings and interpretation

Objective 1 sought to provide a detailed description of the organisational environment. The findings obtained from the organisational profile survey and media overview indicate that the NCPL is not a dysfunctional organisation but that there are some serious organisational problems.

According to the media overview of the NCPL the organisation functions actively as a parliamentary organisation. The majority of the articles published in the two local papers (138 of 224 – 61.6%) provide evidence

that committee meetings, House debates and public meetings take place regularly. Articles however indicate that the NCPL opposition parties are generally dissatisfied with the manner in which the NCPL conducts its House sittings and has staged a public walkout at least twice during the three year review period. News media indicate that oversight and public participation is taking place without major challenges in those functional areas. 86 of 224 - 39.4% of newspaper articles describe the management of the NCPL. The media overview indicates that the NCPL has faced substantial labour relations challenges during the period under review as NCPL employees embarked on strike action for two consecutive years during the 3-year review period. The media also paints a picture of an organisation which faces budget constraints and applies its funds inappropriately, with articles relating to fraud allegations dominating the media during the period March to December 2011.

The organisational overview provides an opinion poll on how NCPL employees perceive the organisational effectiveness. The survey indicates that employees are generally aware of the NCPL strategic plan and the planning process but that employees do not form part of the process nor do they have access to the Organisational Strategic Plan. The survey indicates that the NCPL does not live up to its organisational values.

The NCPL is not doing well in terms of performance measurement and review. Employees indicate that performance measurement systems and procedures exist but that these were not consistently applied and managed. Most respondents were uncertain whether the NCPL reviews the quality of its services and these responses were interpreted as an indication that the organisation as a whole does not formally review its performance or the quality of its services.

The section on leadership and management indicates that NCPL management is visible and accessible but that managers are not making their priorities clear. 5 of the 21 (24%) survey respondents represented the supervisory / managerial occupational category. Unethical behaviour by managers could not be proved and employees mainly indicated that managers do not apply policy consistently. Much uncertainty was expressed regarding financial management controls and practices. This uncertainty, combined with the media overview which indicates challenges with regard to financial management is interpreted as an indication that the organisation's financial management controls and practices need to be improved.

With regard to the facilities available in the workplace not many challenges were experienced. Challenges however exist in relation to employees not being aware of the competencies required for their positions, uncertainty regarding the ability of organisational practices to ensure a workplace free from discrimination, a lack of respect and professionalism between managers and employees and the lack of a staff canteen facility. The main challenge relating to the workplace environment as reported in the media is the challenges relating to labour relations.

In term of its ability to change course and adapt to a changing environment the organization is not doing very well. Generally respondents were unaware (unsure) of the strategies and initiatives put in place by the organisation to remain current and adapt in line with sectoral and environmental trends. The main findings in terms of the adaptable organisational indicators indicate a lack of innovation, weak / no organisational learning, inadequate knowledge-sharing, inability to adequately review its organisational performance and use information gained to improve performance.

5.6   Objective 2 results: programme purpose, rationale and plan

The second objective of this study is to describe the overall purpose, strategic intent, performance targets, outputs and outcomes of the programme being evaluated. Officially published NCPL planning documents and reports were utilised to complete this part of the study.

5.6.1 Stage 1: Describing programme purpose and intention

5.6.1.1 <u>Programme purpose</u>

The purpose of the programme is highlighted in the NCPL five-year strategic plan which is as follows: "To establish an effective legislature governance structure that will ensure that the organisation operates optimally" (NCPL, 2010a: 9).

5.6.1.2 <u>Programme intention</u>

The aim of the NCPL as a budget vote is: "To provide administrative, logistical information, legal and procedural services to the Legislature of the Northern Cape in fulfilling its constitutional mandate of law-making and oversight of the executive and organs thereof" (NCPL, 2012: 12).

The aim of Programme 1: Administration is "to provide effective leadership, financial, human resource, legal support services and systems to the entire legislature as well as strategic management of the administration" (NCPL, 2012: 12). Programme 1consists of a set of functions which deliver support services to the entire organisation.

The functions of the programme are organised by way of the following sub-programmes:

- Office of the Speaker;
- Office of the Chair of Chairs;
- Office of the Secretary;
- Office of the Chief Financial Officer;
- Corporate Services; and
- Security and Records Management.

The administration is managed by a designated programme manager being the Senior Manager Corporate Services (NCPL, 2012: 18-32).

5.6.2   Stage 2: Describing the and infrastructure.

The programme infrastructure consists of the programme rationale and programme plan. The programme rationale is the call for action while the programme plan is the blueprint for that action (Chen, 2005: 73-75).

5.6.2.1   Programme purpose and target population

The programme purpose is "to establish an effective Legislature governance structure that will ensure that the organisation operates optimally" (NCPL, 2012a: 9). The target population of the programme includes the Members and employees of the NCPL.

5.6.2.2   Programme goals, objectives and interventions

In line with the programme purpose, the NCPL Administration supports the organisation to enable it to operate effectively. In order to achieve this

programme purpose the administration pursues the following broad organisational goals over the period April 2009 to March 2014:

STRATEGIC GOAL 1:	To deepen and entrench a people-centered democracy in the Northern Cape.
GOAL STATEMENT:	To deepen public participation in the programmes of the Legislature.
STRATEGIC GOAL 2:	To strengthen organisational capacity to render support to members and committees in order to fulfill the Legislature's constitutional mandate.
GOAL STATEMENT:	To ensure the organisation operates optimally.
STRATEGIC GOAL 3:	To ensure that the Legislature optimally carries out its mandate.
GOAL STATEMENT:	To ensure executive and municipal accountability to achieve quality service delivery in the Northern Cape.

This research study evaluates the performance of the NCPL Administration over a three year period, April 2009 to March 2012. The strategic objectives for this period are depicted in the tables below. Due to the detailed nature of the activities and targets included in the NCPL Strategic and Annual Performance Plans, all objectives, targets and performance indicators for the NCPL Administration are however summarized in the Programme Performance Evaluation Tool attached as Annexure A.

Strategic objectives - Programme 1: Adminstration

Table 6: Strategic objectives - Sub-programme: Office of the Speaker

April 2009 to March 2010	April 2010 to March 2012
Ensure effective oversight	Providing strategic planning and administrative support to presiding officers
Effective law-making at Provincial and National levels	Build an effective and efficient Legislature
Ensure public participation and education	Broaden public participation and representation in the Legislature
Promote good governance and Accountability to the public	
Effective cooperative Governance in the Province	

The Office of the Speaker exists to provide strategic leadership to the NCPL as a whole. This sub-programme planned to implement the abovementioned eight objectives by way of 20 interventions expressed as targets. 48 Performance Indicators (PI's) were extracted to indicate desired performance in terms of the planned targets.

Table 7: Strategic objectives - Sub-programme: Office of the Chairperson of Committees

April 2009 to March 2010	April 2010 to March 2012
No plans included for Financial Year 2009/10	Conduct oversight visits once every quarter to priority areas
	Conduct public hearings focusing on issues of public importance and the level of service delivery
	Reintroduce fortnightly question time in the House for questions to the Premier and the Members of the Executive Council
	Ensure all committee meetings are held as scheduled

The Office of the Chairperson of Committees provides leadership to the Standing and Portfolio Committees of the NCPL. This sub-programme has been planned to implement the abovementioned four objectives by way of

five targets / interventions. A total of 12 performance indicators were extracted to indicate desired performance in terms of the planned targets.

Table 8: Strategic Objectives - Sub-programme: Office of the Secretary

April 2009 to March 2010	April 2010 to March 2012
Efficient and effective performing Legislature that works towards the vision & mission of the entire organisation	Providing strategic planning, management and administrative leadership to the organisation
Play a key role in liaison with National, International Legislatures and other stakeholders.	Provide quality support in respect of international relations
Gender mainstreaming in the Legislature	
Disability mainstreaming in the Legislature	

The Office of the Secretary leads the administration of the NCPL. This sub-programme has been planned to implement the above-mentioned 6 objectives by way of 17 targets / interventions. 51 Performance Indicators were extracted to indicate desired performance in terms of the planned targets.

Table 9: Strategic objectives - Sub-programme: Financial Management

April 2009 to March 2010	April 2010 to March 2011	April 2011 to March 2012
To have a sound financial management department		
	To have an ERP (Enterprise Resource Planning) system that caters for efficient execution / maintenance and reporting	
Align organisational financial risk management and internal control systems with the best practices		

The financial management sub-programme exists to ensure sound financial management practices throughout the entire NCPL. This sub-programme has been planned to implement the abovementioned 3 objectives by way of 18 targets / interventions. 47 Performance Indicators were extracted to indicate desired performance in terms of the planned targets.

Table 10: Strategic objectives - Sub-programme: Corporate Services

April 2009 to March 2010	April 2010 to March 2012
To manage all aspects of human resources management with possible direct and indirect financial implications as thoroughly as possible	Effective & efficient human resources capacity in place
To develop and improve effective and efficient human resources capacity	Create systematic Information and Communication Technology management planning and data security systems
To improve the management of members facilities including training.	To have functional network and electronic communication systems
To create systematic and planned IT management and acquisition	
To have professional and modern systems and network management	
Software and data management improved	

The Corporate Services sub-programme provides substantial support to the organisation as a whole by way human resources management and technological system support. This sub-programme has been planned to implement 9 objectives by way of 63 targets / interventions. 173 Performance Indicators were extracted to indicate desired performance in terms of the planned targets.

Table 11: Strategic objectives - Sub-programme: Security and records management

April 2009 to March 2010	April 2010 to March 2012
Provide strategic security management to the Legislature	To ensure an effective and efficient security service for the Legislature stakeholders and assets
To provide a sound records management system to the organisation	
To provide sound facilities management	

The Security and Records Management Services sub-programme provides a variety of services to the NCPL as a whole. Services include, securing the building, its assets and resources, including employees; managing the records of the organisation as well as managing and maintaining the facilities and services of the NCPL. This sub-programme planned to implement 4 objectives by way of 25 targets / interventions. 44 Performance indicators were extracted to indicate desired performance in terms of the planned targets.

5.7   Objective 2: Findings and interpretation

Objective 2 aimed to describe the overall purpose, strategic intent, performance targets, outputs and outcomes of the programme being evaluated.

The findings can be summarized and interpreted as follows:

5.7.1   Findings: Stage 1

The overall *programme purpose* is to provide the NCPL with a governance structure that will enable the entire organisation to function effectively. The content of the entire programme indicates that services and objectives of this programme are geared towards this purpose.

The *strategic intent* of programme 1 is to provide leadership and support services to the entire organisation. According to the aim of the programme, support services should include financial, human resources, legal and systems support. The support function provided in programme 1 should enable strategic management of the NCPL Administration. A review of the programme services and objectives indicates that generally the support functions contained in this programme are in line with the strategic intent of this programme. However, Chapter 4 of this report indicates that the Legal Services department is not located in Programme 1: Administration but rather in Programme 2: Parliamentary Services. The organisation should review whether or not the Legal Services Department is appropriately placed.

5.7.2 Findings: Stage 2

The NCPL Administration consists of 6 sub-programmes. The number of objectives, performance targets and outputs is summarized in Table 13 and Figure 16 below.

Table 13: Objectives, targets and outputs per sub-programme

Sub-programme	Objectives	Targets	Output indicators
Office of the Speaker	8	20	48
Office of the Chair of Chairs	4	5	12
Office of the Secretary	6	17	51
Financial Management	3	15	47
Corporate Services	9	63	173
Security and Records Management	4	25	44
PROGRAMME TOTAL	**34**	**141**	**375**
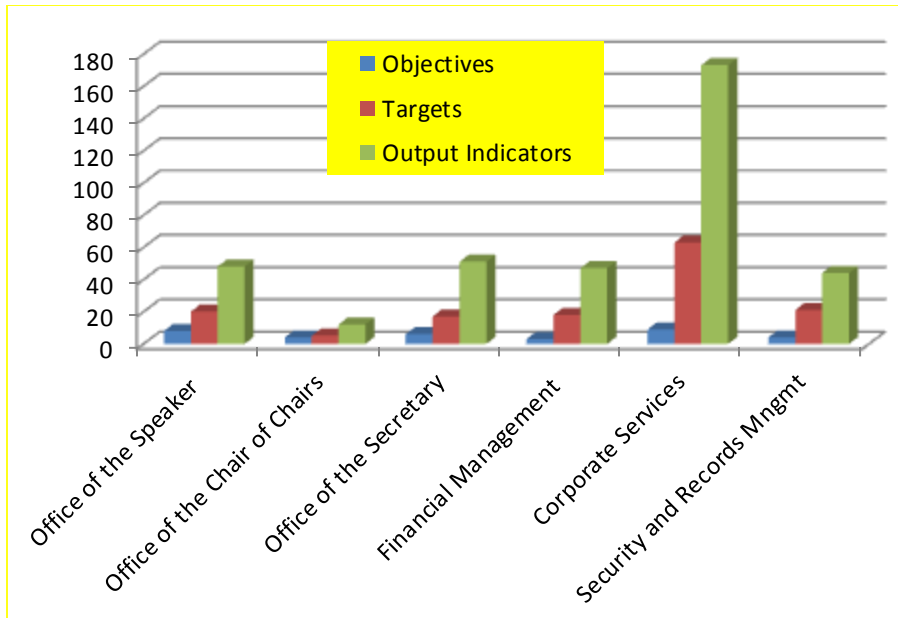
Figure 16: Objectives, targets and outputs per sub-programme

The content of the objectives, targets and output indicators are outlined in Section 5.6 of this chapter. Mainly the objectives, targets and output indicators are in line with the programme purpose and strategic intent of the programme.

5.8 Objective 3 results: Congruency between the planned and actual performance

In order to measure the level of congruency between the planned performance and performance as actually manifested, a programme evaluation tool was constructed. The tool included the objectives, targets and interventions planned by the NCPL for the 3-year review period. The researcher used these objectives and targets to extract performance indicators. A variety of reports, including the organisational Annual Reports for the period April 2009 to March 2012; were used to evaluate the programme performance by way of verifying the achievement of performance indicators. The Programme Evaluation Tool (attached as

Annexure B) contains the detail of the strategic objectives, targets, outputs and performance indicators. Indicators that have been achieved are highlighted green while those not achieved are highlighted in red. For ease of reference, the indicators contained on Annexure B are numbered. The results of the evaluation are as follows:

5.8.1 Performance - Office of the Speaker

The Office of the Speaker is charged with providing overall leadership to the organisation. This Sub-programme is the best performing sub-programme as it has achieved 34 of the planned 48 performance indicators, a congruency level of 71%. The Office of the Speaker has successfully reached objectives that ensure effective oversight; provide strategic planning and administrative support to presiding officers; promote good governance and accountability to the public; promote effective cooperative governance in the Province, and broadening public participation and representation in the legislature. Performance can be improved in terms of law-making (passing more laws) as well as gender and disability mainstreaming.

Table 13: Performance- Office of the Speaker

Objectives	8
Targets / interventions	20
Total performance indicators to be achieved	48
Performance Indicators achieved / verified	34
Performance indicators not achieved / not reported on	14
Overall sub-programme rate of effectiveness / Congruency	**71%**

5.8.2   Performance - Office of the Chairperson of Committees

The office of the Chair of Chairs is the second best performing sub-programme. Over the 3-year review period, it has managed to achieve 8 of the 12 planned performance indicators, a congruency level of 67%. The sub-programme has managed to ensure regular and effective oversight, report on public hearings, conduct House sittings to allow for questions to be posed to the Premier and hold committee meetings. Performance can be improved by developing and implementing structured public feedback mechanisms.

Table 14: Performance: Office of the Chairperson of Committees

Objectives	4
Targets / interventions	5
Total performance indicators to be achieved	12
Performance indicators achieved / verified	8
Performance indicators not achieved / not reported on	4
Overall sub-programme rate of effectiveness / Congruency	**67%**

5.8.3   Performance - Office of the Secretary

The Office of the Secretary is not performing well as the level of congruency between planned and actual performance is only 41%, an achievement of 20 out of 51 indicators. This sub-programme is performing well in relation to strategic planning and reporting as well as liaison with national and international organisations in the legislative sector. The performance of the sub-programme can be improved with regard to gender and disability mainstreaming, ensuring that adequate levels of the organisational staff complement is in place, regular management and staff meetings, the implementation of legislative sector policy, the development and implementation of a stakeholder relations management plan, improving the employer / employee relationship as well as MPL /

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employee relationships by means of team-building exercises and developing a Legislature funding framework.

Table 15: Performance: Office of the Secretary

Objectives	6
Targets / interventions	17
Total performance indicators to be achieved	51
Performance indicators achieved / verified	20
Performance indicators not achieved / not reported on	31
Overall sub-programme rate of effectiveness / Congruency	**41%**

5.8.4   Performance – Financial Management

The level of congruency between planned and actual performance in the Financial Management sub-programme is very low at only 21%, an achievement of 10 out of 47 performance indicators. Performance achievements include the implementation of a budget and expenditure management system, system generated monthly expenditure reports, regular risk management workshops, risk assessments and the development of a risk register.

The following targets were not achieved and deferred over the past 3 years:

- Implementation of a computerized transport system;
- Purchase, installation and implementation of a travel management system;
- Revision and approval of policies relating to supply chain management and assets management;
- Development and implementation of strategies relating to assets management as well as fraud and corruption management.

Other targets that were not achieved include:

- Updated financial management policies – e.g. the Internal Budgeting policy and the Travel and Subsistence policy;
- The implementation of an Enterprise Resource Management system;
- Appointment of an Internal Auditor.

Table 16: Performance: Financial Management

Objectives	3
Targets / interventions	18
Total performance indicators to be achieved	47
Performance indicators achieved / verified	13
Performance indicators not achieved / not reported on	34
Overall sub-programme rate of effectiveness / Congruency	**28%**

5.8.5 Performance – Corporate Services

The Corporate Services sub-programme is also not performing well. This sub-programme is responsible for most of the activities within the programme and over the 3-year review period it has only managed to achieve 58 of the 173 planned performance indicators, a congruency level of 33%.

Performance achievements include:

- Quarterly management compliance reports;
- The continuous implementation of the Employee Assistance Programme (EAP) / Employee Health and Wellness Programme (EH&WP);
- An impact assessment of the EAP / EH&WP proposed expansions to the programme;
- The development of a draft revised organisational structure;

- The development of plans such as the Occupational Health and Safety plan, the Recruitment and Selection plan, the skills development plan, career management plan, Members' training plan, Information and Communications Technology (ICT) acquisition plan;

- The development of an induction manual and programme;

- Reports on employee training needs and the review of Members' facilities;

- The development of an ICT strategy;

- ICT systems inventory and systems management, launch of an ICT helpdesk and NCPL own e-mail system, development of an automated active directory of clients, updating of ICT infrastructure and ICT shared service concept document developed;

- A report was compiled on the assessment of the telecommunications system and the network, technical and electronic communications systems were upgraded to industry standards;

- In terms of the proposed implementation of the ERP system, the ERP project team was trained and the ERP specifications were developed and approved.

Several targets were not achieved and were deferred over the 3-year review period. These include

- The development or revision and approval of strategies such as the Labour Relations Strategy, the Human Resources Management (HRM) strategy, the Human Resources Development (HRD) strategy, the Employee Health and Wellness (EH&W) Strategy, the Disability Strategy Framework and the Organisational Development (OD) Strategy;

- Reports such as the Policy audit report, Enterprise Resource Planning (ERP) readiness report, Remuneration Management Evaluation report, Report on the impact of the EAP / Wellness programme on

employees and MPLs, Training Needs Analysis report 2010/11, Report on the review and evaluation of training implemented, Report on the evaluation and review of the induction manual; Report on the review and effectiveness of systems; Report on the review of automated backup systems, Organisational culture / climate report.

- A Benchmarking exercise on Occupational Health and Safety standards;

- A Benchmarking exercise on Legislature sector salaries and benefits within the Legislative Sector Framework;

- Filling of vacant funded positions and critical vacant positions;

- Implementation of the employment equity (EE) plan and the training programme / workplace skills plan (WPSP), Development of the career management plan;

- Approval and implementation of the revised organisational structure;

- Development, review and approval of corporate services policies;

- Change and diversity management workshops;

- Audio visual (AV) systems functional and regularly maintained, systems upgrade acquired and implemented;

- Software assurance and management system developed and implemented, software asset register established.

Table 17: Performance: Corporate services

Objectives	9
Targets / interventions	63
Total performance indicators to be achieved	173
Performance indicators achieved / verified	58
Performance indicators not achieved / not reported on	115
Overall sub-programme rate of effectiveness / Congruency	**33%**

5.8.6   Performance – Security and Records Management Services

The level of congruency between planned and actual performance for the Security and Records Management sub-programme is also low at only 34%, an achievement of 15 out of 44 performance indicators. Performance achievements include security awareness programmes, development of security compliance guidelines, security service level agreements with security stakeholders, regular security forum meetings, compliance reports, appointment of security personnel, file plan revised annually, registry contingency plan developed and implemented.

Performance deficiencies include

- The implementation of an integrated security management system;
- Procurement and implementation of an electronic records management system;
- Securing additional funding to attend to the structural defects of the building;
- Appointment of critical records management employees;
- Development of documented file retrieval timeframes and standards;

Table 18: Performance: Security and records management

Objectives	4
Targets / interventions	25
Total performance indicators to be achieved	44
Performance indicators achieved / verified	15
Performance indicators not achieved / not reported on	29
Overall sub-programme rate of effectiveness / Congruency	**34%**

5.9   Objective 3: Findings and interpretation

The third objective of this study aimed to investigate the overall effectiveness of the programme by determining the level of congruency between the planned performance against the actual performance achieved.

Overall Programme 1 aimed to achieve a total of 375 performance indicators over the 3-year review period. The performance indicators to be achieved per sub-programme are illustrated in Figure 17 below. It is clear from the illustration that the Corporate Services Sub-programme is responsible for the majority of support functions of the administration.
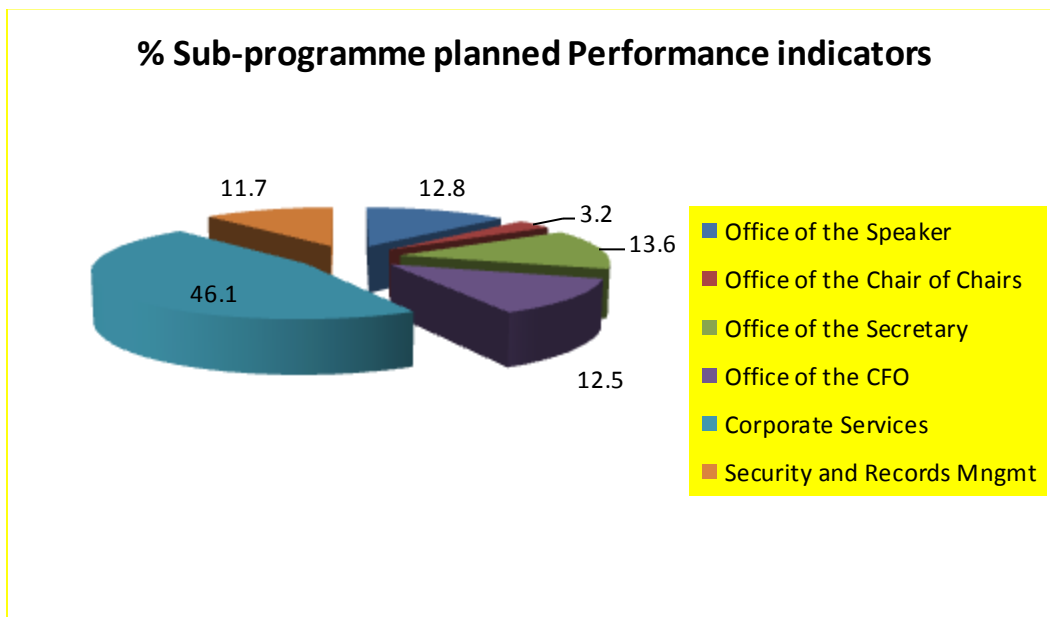

Figure 17: Distribution of programme performance indicators

The overall programme performance is depicted in Table 20 and Figure 18. Overall the congruency between planned programme performance and actual performance is low, as only 145 of the 375 planned targets were achieved. The programme faces many performance deficiencies as

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discussed in each sub-programme. The main performance deficiencies are related to the lack of approved plans, strategies and policies; inadequate funding to purchase and implement electronic systems and a lack of critical employees. The overall evaluation indicates that the NCPL Administration is not functioning effectively as the rate of effectiveness is only 39%. Recommendations on how the Administration can improve its performance are included in Chapter 6.

Table 20: Summary of Overall performance

Objectives	34
Targets / interventions	141
Total performance indicators to be achieved	375
Performance indicators achieved / verified	148
Performance indicators not achieved / not reported on	227
Overall programme rate of effectiveness / Congruency	**39%**
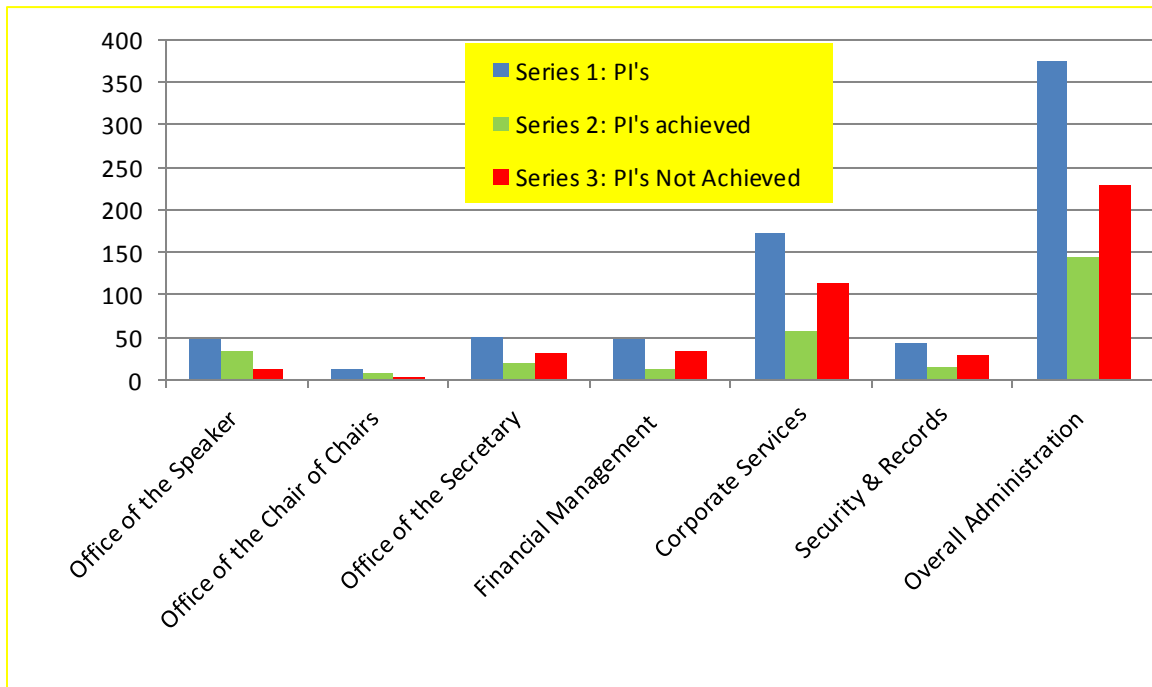
Figure 18: Programme performance chart

Table 21: Rate of effectiveness / level of congruency per sub-programme

Sub Programme	Level of congruency	PI's achieved
Office of the Speaker	71%	34 of 48
Office of the Chair of Chairs	67%	8 of 12
Office of the Secretary	41%	20 of 51
Financial Management	28%	13 of 47
Corporate Services	33%	58 of 173
Security and Records Management	34%	15 of 44

Figure 19: Level of congruency between planned and actual performance

5.10   Conclusion

This chapter has reported how the planned research design and methodology were implemented. It has linked the practical implementation of the research to the relevant research theory. The chapter indicates how well the NCPL administration is functioning and it provides information on the performance achievements and

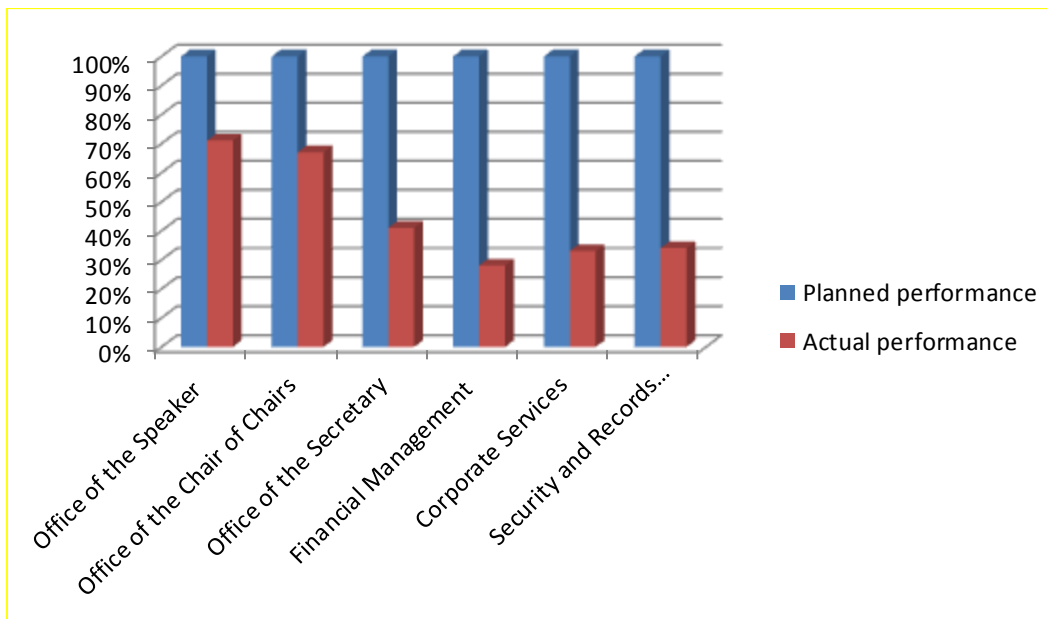challenges experienced by the administration. The findings of the evaluation indicate that the services delivered and the activities planned for Programme 1: NCPL Administration is not being implemented effectively, as the majority of performance output indicators (61%) have not been reached. A number of performance deficiencies are highlighted through this evaluation. The performance deficiencies are mainly ascribed to the lack of approved plans, strategies and policies; lack of appropriate management processes and systems; inadequate funding and a lack of critical employees.

The key findings include:

- The organisation functions actively as a parliamentary organization - committee meetings, house debates and public meetings take place regularly;
- Oversight and public participation is taking place without major challenges in those functional areas;
- The NCPL is faced with substantial labour relations challenges;
- The organisation faces budget constraints and applies its funds inappropriately;
- The organisation's financial management controls and practices is inadequate;
- Strategic planning takes place regularly and a strategic plan is in place but generally employees do not form part of the process nor do they have access to the organisational strategic plan;
- The NCPL does not live up to its organisational values;
- Managers do not apply policies consistently;
- Challenges exist in relation to employees not being aware of the competencies required for their positions;

- There is uncertainty regarding the ability of organisational practices to ensure a workplace free from discrimination;

- There is a lack of respect and professionalism between managers and employees;

- The need for a staff canteen facility was expressed;

- Performance measurement systems and procedures exist but that these are not consistently applied and managed;

- A lack of strategies and initiatives put in place by the organisation to remain current and adapt to a changing environment and in line with sectoral trends is indicated.

- Generally there is a lack of innovation, weak / no organisational learning, inadequate knowledge-sharing;

- The organisation as a whole does not formally review its performance or the quality of its services and do not use review information to improve performance.

The following chapter contains recommendations for improving the performance of the programme in line with the key findings.

CHAPTER 6:

CONCLUSION AND RECOMMENDATIONS

6.1   Introduction

In general this research study allowed the researcher to apply technical academic programme evaluation techniques in a real life situation. It enabled the researcher to understand the theory applicable to monitoring and evaluation, performance management, evidence-based policy analysis and programme evaluation. This chapter presents the end results of the study by providing conclusions drawn in support of the research findings. The chapter commences with a summary of the contents of each chapter contained in this research report and proceeds to reach conclusions on each of the four research objectives. The last part of the chapter is dedicated to making recommendations on how the programme performance can be improved and makes recommendations for possible further research.

6.2   Summaries of Chapters

Chapter 1 is an introductory chapter. It provides the background, motivation and rationale for the research undertaken. It indicates that the origins of the research idea is in the public policy analysis field and states how the study is linked to the public management and administration field. This introductory chapter clarifies the fact that the study is in essence a performance evaluation study undertaken to evaluate effective organisational performance through the evaluation of a programme. The central research problem statement and research sub-questions are contained in the first chapter as well as the research objectives and an

overview of the research design and methodology. Chapter1 is concluded with a chapter outline setting the tone of what can be expected throughout the research report.

Chapter 2 contains the literature review of the study. The theoretical framework commences with a clarification and definition of concepts relevant to this study. These include concepts and theory from the public management, public policy, performance management, monitoring and evaluation, as well as programme evaluation fields. The last part of chapter 2 reviews selected academic research on programme evaluation to gain an overview of how fellow students went about conducting their research.

Chapter 3 provides an overview of the regulatory policy framework for monitoring and evaluating the performance of organisations in the South African Government. It lists and provides an overview of the policy initiatives put in place by the South African Government to assess and improve on its own performance. This chapter contains an overview of the following Acts and policy documents relative to performance monitoring and evaluation:

- The Public Finance Management Act (Act 1 of 1999);
- The Financial Management of Parliament Act (Act 10 of 2009);
- Treasury Regulations, guidelines and practice notes;
- The Policy framework for the Government-wide Monitoring and Evaluation system;
- The Role of Premiers' offices in Government-wide Monitoring and Evaluation: A good practice guide;
- Improving government performance: our approach;
- The Framework for Strategic Plans and Annual Performance Plans; and

- The National Evaluation Policy Framework.

The third chapter provides evidence that the South African Government is attempting to create a performance based public management culture.

Chapter 4 provides detailed background information on the organisation and programme being studied. It describes the organization which is the NCPL, its mandate, vision, mission, general background information and its strategy. The chapter contains a detailed overview of the NCPL Administration.

Chapter 5 outlines the research design and methodology followed in this research which included an organisational profile survey, a media overview and a programme performance evaluation exercise. These 3 methods generated data that was used to assess the overall performance of the programme in line with the following research objectives:

- *Objective 1:* To provide a detailed description of the organisational environment in which the programme exists;
- *Objective 2:* To describe the overall purpose, strategic intent, performance targets, outputs and outcomes of the NCPL Administration, as well as to create an understanding of the programme rationale and the programme plan;
- *Objective 3:* To investigate the overall effectiveness of the NCPL Administration by comparing the programme performance to the programme plan;

The findings of the research indicate that the planned services and activities of the NCPL Administration are not implemented effectively, overall the programme is ineffective and in need of an improvement in performance.

Chapter 6 contains the conclusion reached by this study and addresses the fourth objective of the research as it makes recommendations for the improvement of the programme performance.

6.3   Conclusions

The research was conducted in order to answer the central research question which was whether or not the services delivered and activities planned for the NCPL Administration were implemented effectively. The question is answered by drawing conclusions per research objective:

Objective 1: To provide a detailed description of the organisational environment in which the programme exists.

Objective 1 was reached by describing the nature, structure and composition of the NCPL as an organisation, by conducting a survey to yield an organisational profile and by conducting a media overview describing perceptions held about the NCPL . The NCPL is described as a public organisation established in terms of the Constitution of the Republic of South Africa (Act 108 of 1996). The constitutional mandate of the NCPL is that of law-making, oversight and the facilitation of public involvement in the legislative processes.

While the organisational profile survey and media overview was effective in providing an overview of the type and function of the NCPL, it further described the functionality of the organization thus strengthening the findings made in terms of the third objective (investigating the overall organisational effectiveness)

Objective 2: To describe the overall purpose, strategic intent, performance targets, outputs and outcomes of the Administration, as well as to create an understanding of the programme rationale and the programme plan.

This objective was descriptive. The conclusion reached in terms of this objective is that programme structure and activities are mainly in line with the programme purpose, strategic intent, programme rationale and infrastructure. The programme aim however includes the provision of legal services as a support service. The NCPL programme structure and plans indicate that legal support services are not rendered as part of the support services provided by the Adminstration.

Objective 3: To investigate the overall effectiveness of the NCPL Administration by comparing the programme performance with the programme plan.

By means of the survey and media overview it is concluded that the NCPL is not functioning effectively and is experiencing some serious organisational problems. The main organisational challenges include:

- Labour relations challenges;
- Budgetary constraints;
- Weak financial management controls and practices;
- The organisation not living up to its organisational values;
- The strategic planning process is not inclusive and there is a lack of access to the organisational strategic plan;
- Uncertainty regarding the ability of organisational practices to ensure a workplace free from discrimination;
- There is a lack of respect and professionalism between managers and employees;

- Management / leadership problems relating to the organisational priorities of managers, ethical behaviour, inconsistent application of policy and employee roles not clearly defined;

- Lack of an employee canteen facility;

- A lack of strategies and initiatives put in place by the organisation to remain current and adapt to a changing environment and in line with sectoral trends is indicated;

- A lack of innovation, weak / no organisational learning, inadequate knowledge-sharing; and

- Inability of the NCPL to formally review its performance and the quality of its services and to use review information to improve performance.

The study reveals that the the level of congruency between planned programme performance and actual performance is only 39%. The Administration only achieved 145 of the 375 planned targets. The programme has many performance deficiencies that are closely linked with the challenges outlined in findings on the organisational environment. The main performance deficiencies are related to:

- Lack of approved plans, strategies and policies;

- Lack of appropriate management processes and systems;

- Inadequate funding; and

- Lack of critical employees.

6.4   Recommendations

The fourth objective of this study is to make recommendations for the improvement of programme performance. Based on the findings and conclusions of the study the following recommendations are made:

Labour relations challenges - an investigation could be conducted into the nature and magnitude of labour relations challenges, with a view to resolve labour relations problems. The investigation should ideally be dealt with by an external party. It is also important to fill the vacant position of the Labour Relations Officer and improve organizational labour relations capacity through training initiatives.

Budgetary constraints and Inadequate funding - The budget and expenditure of the legislature could be scrutinized to ensure careful budgeting in line with priority areas and avoid wasteful expenditure. The establishment of the treasury function in the office of the Speaker and the appointment of an Internal Auditor could assist in this regard. Once these functions are in place and positions have been filled these individuals must be tasked with the activity of scrutinizing the budget and expenditure and the ongoing monitoring and evaluation in this regard with a view to improving budgeting and expenditure. The organisation must investigate ways in which to obtain additional funding.

Weak financial management controls and practices - Financial management controls and practices must be improved. This may be achieved by ensuring adequate financial management policies, strategies and systems are developed, approved and implementation. Reports from the Office of the Auditor-General could be used to improve financial policies and procedures with a view to improving financial practices and internal controls.

The strategic planning process is not inclusive and there is a lack of access to the organisational strategic plan – The organization could document its strategic planning process and build stakeholder (employee) participation into the strategic planning process. Managers must be held

responsible for soliciting the views of their subordinates in the review and compilation of strategic objectives. It is recommended that at least one annual session is held where the strategic plan is discussed with all employees.

The organisation not living up to its organisational values – the office of the Secretary with the assistance of the key sections such as the Human Resources, Organisational Development and Communications must embark on a concerted effort to create awareness of the organisational values and the code of conduct. Personnel (including managers) who do not conform to the organisational values must be disciplined in line with the disciplinary framework and managers should lead by example.

There is a lack of respect and professionalism between managers and employees and Uncertainty regarding the ability of organisational practices to ensure a workplace free from discrimination – The organizational code of conduct must be communicated to all employees in order to create awareness of acceptable and unacceptable behavior.

Management / leadership problems relating to the organisational priorities of managers, ethical behaviour, inconsistent application of policy and employee roles not clearly defined – It is recommended that an investigation be conducted into the nature and magnitude of the Management / leadership problems experienced by the organisation with a view to improving leadership and management practices at the NCPL as a whole.

Lack of an employee canteen facility - the NCPL must ensure the availability of staff facilities to increase productivity and organisational performance. A designated space must be identified and allocated where

employees could have their meals and interact informally with one another.

A lack of strategies and initiatives put in place by the organisation to remain current and adapt to a changing environment and in line with sectoral trends is indicated and A lack of innovation, weak / no organisational learning, inadequate knowledge-sharing - Keeping abreast of trends and developments within the legislative sector environment as well as the respective professions and industry could be build into the job descriptions of all employees. Managers could be evaluated on aspects relating to adaptable organisational indicators, innovation, mentoring, coaching, knowledge-sharing and skills transfer.   A Knowledge Management strategy must be developed and implemented.

Inability of the NCPL to formally review its performance and the quality of its services and to use review information to improve performance - The office of the Secretary must ensure that the NCPL conduct a formal review of its performance and the quality of its services on an annual basis. It is recommended that the vacant position of Manager in the Office of the Secretary be filled and that this individual be tasked with this activity. Knowledge Management should form an integral part of the duties of this incumbent.

Lack of approved plans, strategies and policies - Two dedicated units should be established within the Office of the Secretary and within the Corporate Services department respectively to assist with the coordination, development, and implementation of organisational plans, strategies and policies. As the majority of these plans, strategies and policies reside within the corporate services sub-programme. The bulk of the administrative objectives and responsibilities (46% of the

administrative workload) are vested in the corporate services department. It is therefore advisable to ensure that the corporate services department is adequately staffed co carry out these objectives and responsibilities.

<u>Lack of appropriate management processes and systems</u> - The NCPL should embark on a process of identifying the required organisational management processes and systems. The Office of the Secretary must take the lead in conducting this survey. Knowledge Management responsibilities should be relocated to the Office of the Secretary to facilitate the establishment and implementation of appropriate organisational management processes and systems.

<u>Lack of critical employees</u> - A concerted effort should be embarked upon by management to identify all critical positions and work towards funding and filling these positions. The NCPL management must finalise the review of the organizational structure and agree on a long term recruitment and selection plan.

<u>Other</u> – the organizational documentation indicates that the Legal Services department forms part of the administration (Programme 1). In practice however the Legal Services Department forms part of Parliamentary Services (Programme 3). The location of the Legal Department in terms of the organisational structure should be reviewed.

6.5   Recommendations for further investigation

This study provides an evidence-based performance review of the performance of the NCPL Administration. Key challenges are raised by

the findings of the study. It is therefore recommended that 3 of the above-mentioned recommendations be pursued as areas for further research:

- An investigation into the nature and magnitude of NCPL labour relations challenges;

- A budget and expenditure review indicating budget priorities and expenditure trends – a financial performance study;

- An investigation into the nature and magnitude of the management / leadership problems experienced by the NCPL with a view to improving organisational leadership and management practices.

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Annexure A: Survey to determine the organisational profile

PURPOSE

This survey is being undertaken to determine perceptions held by employees of the organisation and its performance in general.

INSTRUCTIONS TO PARTICIPANTS

Please read the following statements and indicate your opinion thereof by placing an X in the box that best describes your response. Please feel free to comment and explain your responses.

QUESTIONNAIRE

Details of Respondent:

Occupational level: _____**Gender:** Male / Female   **Race:** _____

OVERALL ORGANISATIONAL STRATEGY AND OUTCOMES

1. The NCPL has a vision and mission which has been clearly communicated amongst MPLs, managers, staff and stakeholders.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

2. The core values of the NCPL have been defined and communicated to MPLs and all staff.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

3. The NCPL is living up to its organisational values.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

4. There is a formal, documented strategic planning process and a strategic plan that guides the operations of the NCPL.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

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5.   NCPL staff are afforded the opportunity to make input and into in the organisational
        planning process.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

6.   The strategic plan is communicated throughout the organisation.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

7.   The NCPL employees understand their role and responsibilities towards the achievement
        of the organisational strategic objectives.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

MEASUREMENT AND ANALYSIS

8.   Procedures / systems are in place to measure programme performance and organisational
        outputs and outcomes.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

9.   Safeguards are in place to protect data security and MPL/employee privacy.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

10.   Performance measures/targets are used to determine progress against the mission, plans
        and goals.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

11. The organisation reviews the quality of services from time to time to generate improvements that will benefit staff and clients.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

LEADERSHIP AND MANAGEMENT

12. Managers are visible and accessible to MPLs and employees of the organisation.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

13. Managers have made their priorities clear throughout the organisation.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

14. Managers are committed to ethical behaviour.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

15. Managers ensure the consistent application of policy.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

16. Financial Management controls are established and followed within the organisation.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

17. Expenditure is monitored and controlled in line with organisational policy and applicable Legislation.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

WORKFORCE AND WORKPLACE RELATIONS

18. A process exists to identify current and future workforce needs.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

19. Core competencies have been identified for all employee categories.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

20. Recruitment processes support diversity.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

21. Excellence in individual and team performance is supported and recognised.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

22. Professional development opportunities are available to all employee groups.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

23. Workplace safety and security are assessed on a regular basis.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

24.   Practices are in place to ensure the workplace is free from discrimination.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

25.   Management and employees treat each other with mutual respect and courtesy.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

26.   Facilities provided for staff are well maintained.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

27.   There are well-established, readily available and well communicated feedback channels through which MPLs, employees and the community can express their opinions and concerns.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

28.   The organisation communicates candidly with staff, MPLs, stakeholders and the community.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

ADAPTABLE ORGANISATIONAL INDICATORS

29.   The organisation can identify major changes it has made within the past 3 years to adapt to changing needs and a changing environment.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

30. Continuous innovation and learning prevail throughout the organisation.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

31. Technology used by NCPL is current and appropriate to organisational services provided.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

32. Programmes are reviewed on a regular basis to ensure that the current needs of clients are met.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

33. The organisation uses partnerships strategic alliances and collaboration to leverage opportunities.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

34. The organisation acknowledges its links to the past, its responsibility to look toward the future and changes it has made in response to community needs.

Strongly Agree	Agree	Uncertain	Disagree	Strongly disagree
Comments:				

Annexure B: Programme evaluation tool

EVALUATING THE PERFORMANCE OF THE ADMINISTRATION PROGRAMME OF THE NORTHERN CAPE PROVINCIAL LEGISLATURE

Stage 1: Clarify / describe programme intentions

1.1   Programme purpose

2009/10 Strategic plan and Annual Performance Plan (==APP -done by outgoing Speaker for one year only==**)**

- **To provide political leadership to the organisation in terms of law-making and oversight as well as ensuring the delivery of services by the administration.**

Five year strategic plan to 2010 to 2015 (==new politicians==**) & APP 2010/11**

- **To establish an effective Legislature governance structure that will ensure that the organisation operates optimally.**

Review period: April 2009 to March 2012 (First 3 years of the 5-year term)

1.2   Programme intention

Vote Name: Northern Cape Provincial Legislature

Vote Aim: To provide administrative, logistical, information, legal and procedural services to the Legislature of the Northern Cape in fulfilling its constitutional mandate of law-making and oversight of the executive and organs thereof.

Programme Name: Administration

- Programme 1 is a set of functions that deliver support services to the organisation; it contributes towards the performance and service delivery of other programmes.
- **The aim of the programme is to provide effective leadership, financial, human resource, legal support services and systems to the entire Legislature as well as strategic management of the administration.**

Stage 2 – **Describing the programme's infrastructure:** The programme infrastructure consists of the programme rationale and programme plan. The programme rationale is the call for action while the programme plan is the blueprint for that action.

Describing the programme's infrastructure: program rationale and plan

- Which problem will be alleviated or resolved? **To establish an effective Legislature governance structure that will ensure that the organisation operates optimally.**
- What goals are to be achieved by the program? **Listed in the tables below.**
- Which interventions will be used and how will these interventions lead to achieving the goals? **Listed in the tables below.**
- Who the target population is that will be served? **NCPL MPLs and employees.**

Comments on the overall plans
- Strategic objectives are not specific, measurable, attainable, realistic and time-bound (SMART).
- Targets and actions are not clearly stipulated – it is therefore not in all instances how objectives will be achieved.
- Outputs are vague. In some instances output indicators are used as targets and vice versa.

Programme Plan[1]

2.1.1 Intervention to be used (OBJECTIVES)	2.1.2 Actions / TARGETS	2.1.3 Outputs / outcomes
NCPL Sub-programme: Office of the Speaker April 2009 to March 2010		
1. Ensure effective oversight	1. Annual oversight plan for all committees	Annual oversight plan Have a strategic oversight
2. Effective law making at provincial and national levels	2. Qualitative &quantitative Legislation passed at both spheres of government	Set target for laws passed
3. Ensure public participation and education	3. Effective public participation programme / plan 4. Workshop to develop a plan	Public participation and education annual performance plan
4. Promote good governance and accountability to the public	5. Provide proper political oversight over the administration: Quarterly assessment plan; and 6. consultative meeting with officials	Leadership and empowerment to all NCPL officials
7. Effective cooperative governance in the province	7. Effective co-operative governance with all organs of state: Meeting with the Premier and Judge President; 8. Launch of Northern Cape Speakers' Forum; and 9. Co-operative governance seminar	Co-operative governance annual plan
NCPL Sub-programme: Office of the Speaker April 2010 to March 2011 & April 2011 to March 2012		
8. Providing strategic planning and administrative support to presiding officers	10. Audited report for performance: 11. Strategic plan developed, Implemented and support mechanisms enhanced	Strategic plan and support mechanisms are fully implemented
9. Build an effective and efficient legislature	12. Committees and House executes their mandate	Committees and House executes their mandate
	13. Functional Budget Committee: develop budget committee Terms of Reference (TOR), 14 Establish the committee and ensure its effective functioning	Functional Budget sub committee
	15. Adequately capacitate political parties: Identify areas of training and development, 16. Implement a training programme and evaluate needs for additional training	Well functioning political parties
10. Broaden public participation and representation in the legislature	17. Maintenance of social networks	Effective social networks
	18. Develop and implement a sectoral parliament plan	Effective sectoral parliament programs implemented
	19. Develop and implement a gender framework	Gender mainstreaming framework in place
	20. Develop and implement a disability framework	Disability framework in place

[1] Interventions, strategic objectives, actions, targets, outputs and outcomes have been extracted **verbatim** from the organisational plans. Some information listed in the above columns does not conform to the criteria for strategic objectives, actions, targets, outputs or outcomes. Some targets in recent financial years still have deadlines for the previous financial year(s). The Information was however used to generate performance indicators for each action.

Identification of performance INDICATORS by means of predetermined objectives: Office of the Speaker

April 2009 to March 2010	April 2010 to March 2011	April 2011 to March 2012
1. Annual oversight plan developed 2. Annual oversight plan implemented – a report 3. Number of public hearings held 4. Number of mandates submitted for passing of national bills 5. Number of provincial laws passed	15. Organisational strategic plan developed; 16. Organisational strategic plan implemented – a report; audited annual performance report	32. Organisational strategic plan developed; 33. Organisational strategic plan implemented – a report; audited annual performance report
6. Workshop to develop a public participation programme plan 7. Public participation programme / plan developed Public participation plan implemented – a report	17. Number of portfolio, standing and sub-committee meetings held; 18.Number of public hearings held 19. Number of House sittings held	34. Number of portfolio, standing &sub Committee meetings held; 35. Number of public hearings held 36. Number of House sittings held
8. Quarterly consultative meetings held with officials 9. Quarterly performance assessments	20. Terms of reference for Budget Sub-committee developed 21. Terms of reference for Budget Sub-committee approved 22. Number of Budget Sub Committee meetings held	37. Terms of reference for Budget Sub-committee developed 38. Terms of reference for Budget Sub-committee approved. 39. Number of Budget Sub Committee meetings held
10. Meeting with the Premier & Judge President 11. Co-operative governance annual plan developed 12. Co-operative governance annual plan implemented 13. Launch of the Provincial Speakers Forum 14. Cooperative governance seminar	23. Report on MPL training needs 24. Training programme developed 25. Training programme implemented – a report	40. Report on MPL training needs 41. Training programme developed 42. Training programme implemented – a report
	26. Sectoral parliament plan developed 27. Number of sectoral parliaments implemented – a report	43. Sectoral parliament plan developed 44. Number of sectoral parliaments implemented – a report
	28. Gender mainstreaming framework developed 29. Gender mainstreaming framework implemented – a report	45. Gender mainstreaming framework developed 46. Gender mainstreaming framework implemented – a report
	30. Disability framework developed 31. Disability framework implemented – a report	47. Disability framework developed 48. Disability framework implemented – a report

Areas highlighted in Green – indicates the indicators not achieved / not reported on
Areas Highlighted in Red – indicates the indicators not achieved

Programme plan – sub-programme: Office of the Chair of Chairs - April 2010 to March 2011 & April 2011 to March 2012 (No plans included for Financial Year 2009/10)

2.1.1 Intervention to be used (Planned interventions = strategic OBJECTIVES	2.1.2 Actions / Targets	2.1.3 Outputs / outcomes
1. Conduct oversight visits once every quarter to priority areas	1. Conduct four oversight visits to priority areas (education, health, local government and economic development organisations) to ascertain levels of service delivery and the implementation of departments strategic objectives according to Batho Pele Principles	Oversight visits, reports and debates
2. Conduct public hearings focusing on issues of public importance and the level of service delivery	2. Conduct public hearings (2010/11: 4 & 2011/12: 2) on issues of public importance. 3. Communities are given feedback on the issues raised during public hearings	Public Hearings & feedback to the public
3. Reintroduce fortnightly question time in the House for questions to the Premier and the Members of the Executive Council (MEC's)	4. A considerable number of questions put to the Premier & MEC's	24 question instances per financial year
4. Ensure all committee meetings are held as scheduled	5. Ensure that committee meetings are held to consider issues of service delivery in the Province	228 Committee meetings held

Identification of performance INDICATORS by means of predetermined objectives: Office of the Chair of Chairs

April 2009 to March 2010	April 2010 to March 2011	April 2011 to March 2012
N / A	1. 4 Oversight visits / reports	7. 4 Oversight visits / reports
	2. 4 Oversight debates in the House	8. 4 Oversight debates in the House
	3. 4 Public hearings / reports	9. 2 Public hearings / reports
	4. Public feedback mechanism in place	10. Public feedback mechanism in place
	5. 24 House sittings for question time	11. 24 House sittings for question time
	6. 228 Committee meetings held – minutes and meeting documentation	12. 228 Committee meetings held – minutes and meeting documentation

Areas highlighted in Green – indicates the indicators not achieved / not reported on
Areas Highlighted in Red – indicates the indicators not achieved

Programme plan – sub-Programme: Office of the Secretary - April 2009 to March 2010

2.1.1 Intervention to be used (OBJECTIVES)	2.1.2 Planned interventions / actions / Targets	2.1.3 Outputs / outcomes
1. Efficient and effective performing Legislature that works towards the vision and mission of the entire organisation	1. Management strategies and activities that empower the organisational mandate as translated in the organisational strategic plan are pursued	80% of organisational staff complement in place
	2. Strategic planning software procured	Implementation of Annual Performance Plan
	3. Development and implementation of NCPL strategic plan	Implementation of oversight and public participation
	4. Unqualified audit opinion – on audited annual report: 5. quarterly expenditure budget review	Budgeted and approved strategic plan and Annual Performance Plan
	6. Funding agreement between Legislature and treasury exist in the interest of the Legislature and government: meeting with treasury, 7. Legislature funding framework and implementation of the budget allocation	Improvement of the baseline budget of the legislature by April 2010
2. Play a key role in liaison with national, international Legislatures and other stakeholders.	8. Legislature is integrated within the South African Legislature sector and implements all sector decisions and guidelines: sector governance model	The legislature adopts and implements the Legislative sector policy
	9. Legislature actively participates in Commonwealth Parliamentary Association (CPA) programs and other relevant forums: identify relevant stakeholders, Memorandum of Understanding (MOU) signed where necessary, implementation and review of a stakeholders plan	Legislature adopt and implement sector policy and strategic framework
3. Gender mainstreaming in the Legislature	10. Enabling environment for gender mainstreaming strategy is created: develop Terms of Reference (TOR) and commission technical experts; develop draft policy; consultation, awareness and training; adoption of the policy	Processes for gender mainstreaming determined
4. Disability mainstreaming in the Legislature	11. Enabling environment for disability mainstreaming is created in the legislature: assessment of existing capacity within legislature; drafting and adopting policy, develop implementation plan assessment	Sectoral disability implementation plan

Programme plan – sub-programme: Office of the Secretary - April 2010 to March 2012

2.1.1 Intervention to be used (strategic objectives)	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
5. Providing strategic planning, management and administrative leadership to the organisation	12. Implementation of strategic plan and annual plan for the organisation; Updated organisational policies	Quality Service to members and committees to achieve oversight, lawmaking and public participation plan
	13. Motivated and productive Legislature staff: members and staff team building exercise; 2 staff team building workshops	Effective leadership and governance of organisation
	14. Ensure relevant systems and processes are in place to deliver the strategy: Annual strategic planning workshop, tabling and approval of NCPL budget, strategic plan and APP; tabling of quarterly performance reports	
	15. Effective financial management of the organisation Quality human resources management	Legislature receives a positive audit outcome
	16. Effective communication service is provided: monthly communication forum with staff, monthly meetings with the Speaker; monthly management meetings	Legislature staff adhere to the principles of Batho Pele
6. Provide quality support in respect of international relations	17. Advice on Legislature international relations and coordinate legislative international affairs	Functional Commonwealth Parliamentary Association (CPA) branch in attending CPA Programs

Identification of performance INDICATORS by means of predetermined objectives: Office of the Secretary

April 2009 to March 2010	April 2010 to March 2011	April 2011 to March 2012
1. Documented management strategy / year plan developed and implemented – a report	30. Annual strategic planning workshop	41. Annual strategic planning workshop
2. 80% of organisational staff complement in place	31. Organisational strategic plan developed;	42. Organisational strategic plan developed;
3. Strategic planning software identified	32. Organisational strategic plan approved by NCPL (Portfolio Committee)	43. Organisational strategic plan approved by NCPL (Portfolio Committee)
4. Strategic planning software procured and implemented – a report	33. Organisational strategic plan implemented – reports	44. Organisational strategic plan implemented – reports
5. Implementation reports on the Annual Performance Plan	34. 1 MPLs and staff team building exercise	45. 1 MPLs and staff team building exercise
6. Organisational strategic plan developed;	35. 2 staff team building workshops	46. 2 staff team building workshops
7. Organisational strategic plan approved by NCPL (Portfolio Committee)	36. Unqualified audit opinion – indicating effective organisational financial management	47. Unqualified audit opinion – indicating effective organisational financial management
8. Organisational strategic plan implemented – reports	37. Monthly communication forum meetings with staff	48. Monthly communication forum meetings with staff
9. Audited annual performance report	38. Monthly meetings with the speaker	49. Monthly meetings with the speaker
10. Quarterly budget review reports	39. Monthly management meetings	50. Monthly management meetings
11. Unqualified audit opinion	40. Reports on successful international relations exchanges	51. Reports on successful international relations exchanges
12. Meetings with Treasury		
13. Funding agreement entered into between NCPL and Treasury		
14. Legislature funding framework		
15. Budget implemented – Annual Financial Statements (AFS)		
16. NCPL adopted the Legislative Sector Policy		
17. Legislative Sector Policy implemented – report		
18. Number of CPA programs attended		
19. Number of MOU's signed with national, international Legislatures and other stakeholders		
20. Stakeholders plan – developed, reviewed, implemented (report)		
21. Gender mainstreaming - TOR developed		
22. Outsourcing / commissioning of gender mainstreaming to technical experts		
23. Gender mainstreaming policy developed		
24. Gender mainstreaming policy approved		
25. Gender mainstreaming policy implemented		
26. Assessment of existing NCPL capacity – report on disability mainstreaming capacity		
27. Disability mainstreaming policy developed		
28. Disability mainstreaming policy approved		
29. Disability mainstreaming policy implementation plan developed		

Programme plan – sub-programme: Financial Management (CFO & SCM – including fleet / transport management) - April 2009 to March 2010

2.1.1 Intervention to be used / strategic OBJECTIVES	2.1.2 Planned interventions / actions / targets	2.1.3 Outputs / outcomes
1. To have a sound financial management department	1. Computerised transport system: review and upgrade of the system by September 2009; Ensure that the usage of vehicles are monitored; random checking by Supply Chain Management (SCM) manager.	A tracking and monitoring system to better control vehicle usage and maintenance
	2. Travel management system: review and upgrade the travel management system by September 2009; Train MPLs and staff on the system; ensure maximum usage of the system by MPLs and staff.	Bookings of travel are done on-line through an in-house system accessible extensively
	3. Alignment of SCM with Broad Based Black Economic Empowerment (BBBEE). Increased accommodation needs addressed by Historically Disadvantaged Individuals (HDI's)	40% of accommodation spending is on HDI's by January 2010
	4. Align budgeting and expenditure management systems, asset management processes with the best accounting practices: work-shopping MPLs and staff on budget issues; monthly expenditure reports.	Budgeting is meticulously done and expenditure carefully aligned to strategy
	5. The Legislature is aware of its complete asset portfolio and has a medium to long term strategy on the management thereof: approved policy and quarterly assets reports	Asset management strategy by 30 June 2009
2. Align organisational financial risk management and internal control systems with the best practices	6. Risk tolerance is formalised and measures / tools established to measure compliance with the code for financial administration. Risk is identified and assessed: Workshop all staff on risk tolerance guide; compliance to rules and regulations and applicable prescripts and legislation; to have a co-source agreement by June 2009.	To have a risk tolerance guide, compliance to rules and regulations and applicable prescripts and legislation. To have a co-source agreement by June 2009.
	7. Proper management of fraud: workshop the finance staff in fraud and corruption management. Conduct a risk assessment for the entire organisation; develop a draft strategy to combat fraud and corruption	To have a structured system to monitor policies and procedures, investigate corruption and mitigate risks system by July 2009.

Programme plan – sub-programme: Office of the CFO- April 2010 to March 2011

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
1. To have a sound financial management department	8. 5. To revise the financial management structure and attract qualified and motivated staff: Fill critical management positions – appoint and internal auditor by June 2010	Present the revised, costed and aligned structure to the Management Committee (MANCOM) and Rules Committee by October 2009
	9. To have a travel management system that bookings are done on-line through an in house system accessible extensively: Training and implementation of the system	Review and upgrade the travel management system by September 2009
	10. Have the strategy of monitoring risk in the Legislature by July 2010: Conduct risk assessments and review the risk strategy	Have the strategy of monitoring risk in the Legislature by July 2010
3. To have an ERP (Enterprise Resource Planning) system that caters for efficient execution / maintenance and reporting	11. To have the Oracle system in place and smoothly functioning: All financial management services staff trained on the Oracle system, piloting of the system and full implementation	An Oracle system is in place and smoothly functioning

Programme plan – sub Programme: Financial Management (CFO & SCM) - April 2011 to March 2012

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	4.1.3 Outputs / outcomes
1. To have a sound financial management department	12. Improved internal budgeting process: Draft policy developed and circulated; Comments considered and second draft developed and circulated; Final draft submitted for approval; Electronic template developed	Development of revised internal budgeting policy and user friendly template
	13. Improve internal monitoring of budget	To conduct monthly budget review meetings at senior management level
	14. Updated financial management policies	Development of updated S&T (Subsistence and Travel) and electronic communications policies
	15. To align SCM with Broad Based Black Economic Empowerment (BBBEE)	60% of all procurement done through HDI's
	16. To have a travel management system that bookings are done on-line through an in-house system accessible extensively: Training and implementation of the system.	Review and upgrade the travel management system
	17. To align asset management processes with the best accounting practices: Develop and implement an asset management strategy	Asset management strategy
	18. To install a tracking and monitoring system on the pool vehicles of the NCPL for better control.	Computerised transport system:

Identification of performance INDICATORS by means of predetermined objectives: Financial Management / Office of the CFO

April 2009 to March 2010	April 2010 to March 2011	April 2011 to March 2012
1. Computerised transport system installed 2. Sport checks conducted by the SCM manager 3. Implementation reports	21. Revised finance management structure; 22. appointment of critical management staff: Internal Auditor	30. Computerised transport system installed 31. Implementation reports
4. Travel management system installed 5. Training on the system 6. Implementation reports (trends of use)	23. Travel management system installed 24. Training on the system 25. Implementation reports (trends of use)	32. Travel management system installed 33. Training on the system 34. Implementation reports (trends of use)
7. Revised SCM policy – in line with BBBEE framework 8. Policy implementation – report	26. Enterprise Resource Planning system installed (Oracle) 27. Oracle system training	35. Revised SCM policy – in line with BBBEE framework 36. Policy implementation – report
9. Budget and expenditure management system implemented 10. Monthly expenditure reports 11. Documented assets management process; 12. asset management strategy by 30 June 2009; 13. Asset management policy; 14. asset register maintained; 15. Quarterly assets reports 16. Risk Management workshop; 17. Risk assessment and risk register 18. co-source agreement by June 2009 19. Fraud and corruption management workshop 20. Draft fraud and corruption management strategy	28. Risk management strategy by July 2010 29. Risk assessment and risk register	37. Internal budgeting policy; 38. electronic budgeting template developed and implemented; 39. monthly expenditure reports, 40. monthly budget review meetings with senior managers 41. Documented assets management process; 42. asset management strategy; 43. asset management policy; 44. asset Register maintained; 45. quarterly assets reports 46. Updated financial management policies: S&T policy; 47. Electronic communications policy

Programme plan – sub-programme: Corporate Services - April 2009 to March 2010

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
1. To manage all aspects of human resources management with possible direct and indirect financial implications as thoroughly as possible	1. Management plan implemented resulting in no audit queries	No substantive audit queries in HRM
	2. Analyse any audit queries for reason and adapt plan accordingly. 3. Monitor implementation and assess impact	Prepare and compile a recruitment plan
	3. Human resources process chart and management and employee contact points established with measures put in place to make "customer" participation easier: 4. Quarterly management compliance reports; 5. Workshops and information sessions arranged.	HRM processes chart and contact points; Reason and purpose of information established, Measures taken to ease participation communicated;
	6. Compile a report on all HR processes requiring inputs from other Managers to assess impact of measures: 7. Internal service level agreements concluded; 8. HR workshops scheduled for the financial year.	Managerial compliance increased; Compliance with HR processes achieved.
	9. Performance management audit performed to assess real impact of Performance Management and Development System; 10. Training needs extracted from PMDS per employee communicated to employees for their information; 11. Performance management workshop for managers	Performance management is well managed and information used strategically for the Legislature
	12. Labour relations strategy and plan established and policies are up to date and communicated: Policy audit; Labour relations strategy and implementation plan established approved and communicated; Implement and report on progress; workshop on Labour relations; Effectiveness of strategy assessed and reviewed	Labour relations are functioning and dynamic.
	13. Annual Occupational Health and Safety (OHS) plans exist and are implemented; OHS plans expanded and reviewed annually; OHS plan established, approved, implemented and monitored; OHS workshops; A benchmarking exercise.	To establish well planned structured OHS.
	14. Annual health and wellness programmes and plans exist: Impact assessment and programme expansion and amendment: Employee Assistance plan and programme established, iscussed, approved, implemented and monitored; Proposal on expanded employee health and wellness programme established, discussed, approved, implemented and monitored; New Programmes developed and approved by September 2009.;	To establish a logical well planned and professional health and wellness strategy for employees and Members through a service provider.
	15. Review existing organisational structure in line with proposal, interrogating each decision; budget accordingly; 16. Approve proposed strategy and plan: Management training in organisational development and job design by September 2009; Recruitment plan developed and implemented; Information sessions with staff.	Organisational development and job design is clearly defined and systemised by June 2009.

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
	17. A career management plan, including succession planning and career growth, Career management policy established, discussed and approved. Meetings with employees and their managers regarding career management every 3rd quarter	To improve career management in the organisation

Programme Plan – Sub Programme: Corporate Services - April 2009 to March 2010

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
2. To develop and improve effective and efficient human resources capacity	18. Skills development plan: Training programme commences in August 2009; Extensive management training on organisational development and job design; Training formalised and runs as scheduled based on curriculum and programme; review and evaluate the training that was provide.	Skills development processes is streamlined, systematic and geared towards organisational growth. Improved training programmes Skills gaps addressed
3. To improve the management of Members facilities including training.	1. To manage members benefits including training, pension, medical aid, housing, etc; Review Members facilities guide with a view to budgeting.	Members facilities guideline established indicating responsibilities of HR, finance and Members; Guideline approved and communicated; joint committee on Members benefits established. Determine Members training plan – discuss, approve.
2. To create systematic and planned IT management and acquisition	20. Review and improve Information and Communication (ICT) acquisition plan; ICT strategy is part of sector policy ; Review effectiveness and appropriateness of systems and make recommendations	ICT strategy established, approved and implemented. Implementation monitored; acquisition plan established, approved, implemented and monitored.
3. To have professional and modern systems and network management	21. Systems inventory function and responsibilities and help structure established. Own email system launched; Website used, updated regularly, and used for marketing; Help desk implemented; Scheduled regular meetings with systems service providers.	Systems and network management is modern, professional and transparent.
4. Software and data management improved	22. Software and data management plan established and implemented: Software assurance and management system implemented, automated backup systems reviewed.	Software asset register established; automated back-up systems proposal made, discussed and approved; data storage and off site data storage system implemented.

Programme plan – sub-programme: Corporate Services - April 2010 to March 2011

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
5. Effective and efficient Human Resources capacity in place	23. Occupational Health and Safety (OHS) strategy and policy developed and approved by 31 March 2010	Occupational Health and Safety (OHS) strategy and revised and policy implemented by 1 April 2010
	24. Wellness strategy and programmes to include employees and members: Implementation of wellness strategy	Wellness strategy implemented by 1 April 2010; Wellness policy revised by July 2010; HIV/AIDS policy approved and implemented by April 2010
	25. Disability framework / strategy developed by 31 March 2010	Disability framework and policy developed with guidance from legislative sector by 30 June 2010
	26. Revised Human Resources Management (HRM) Strategy: Implementation of HRM strategy; Presentations/ workshops to staff, management & employee union; ERP (ORACLE) readiness & training; remuneration management evaluation; Benchmarking exercise within	Revised HRM strategy implemented by 1 April 2010

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
	Legislative Sector Framework;	
	27. Four year recruitment & selection plan implemented: 25% of vacancies filled; attention to Employment Equity (EE) targets and critical positions;	
	28. HRM policies developed, revised and amended (25% HRM policies revised & approved by 30 June 2010)	
	29. Labour relations strategy developed by 31 March 2010: Recognition agreement agreed on by union & employer by April 2010; Salary negotiations completed by 30 April 2010; Labour relations strategy developed and finalised by June 2010.	Labour relations strategy approved and implemented by 1 July 2010.
	30. Organisational Development (OD) strategy developed by 31 March 2011: Benchmarking exercise; Development of an OD strategy; Rolling out the implementation of the OD strategy	Organisational Development (OD) Strategy developed by 31/03/11
	31. Human Resources Development (HRD) strategy developed and approved by 30 June 2010: Benchmarking exercise; development of HRD strategy; Rolling out of the implementation of the HRD strategy	Human resources development Strategy developed and approved by 30 June 2010
	32. Develop and implement the Employment Equity (EE) plan	Draft plan presented to Mancom by 30 June 2010.
	33. Development & implementation of training programme for staff by 31 May 2010: Assess existing capacity in Legislature / training needs analyses	Integrated and career oriented learning & development programme for staff by 31 May 2010
	34. Implementation of standardised training programme for Members by 31 March 2010.	Implementation of a sector developed training programme by 31 March 2010.
	35. Induction manual and programme distributed and work shopped by 31 March 2010	Develop a well-structured induction manual and programme for Members and staff
	36. Development of career management policy and programme	To have an approved career management policy and programme
	37. Conduct culture and climate / wellness assessment by 31 May 2010	Change and diversity management strategy developed and approved by 30 November 2011: Draft plan presented to Mancom by 30 June 2010
	18. Revise and align the organogramme to the strategic objectives of the legislature	Present the revised and aligned structure to Mancom and Rules Committee by 31 March 2010
2.1.1 Intervention to be used (Planned interventions = strategic objectives)	**2.1.2 Planned interventions / Actions / Targets**	**2.1.3 Outputs / outcomes**
6. Create systematic Information and Communication Technology (ICT) management planning and data security systems	39. Implement 5-year ICT strategy aligned with organisational goals by December 2012, review ICT strategy annually.	Include framework and policy additions in ICT strategy
7. To have functional network and electronic communication systems	40. Infrastructure and technical readiness for Enterprise Resource Planning (ERP) System (ORACLE) and data security by June 2010. Implemented ERP system in 2011-2012 budget cycles: Oracle training; updated groupware for office collaboration	Oracle training; Automated active directory of clients ;
	41. By October 2010. Audio Visual (AV) systems functional and regularly	Service level Agreement signed for maintenance of Audio Visual

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
	maintained	(AV)
	42. Upgraded systems in terms of standards set in sector policy framework	Updated ICT infrastructure for the admin building; ERP readiness
	43. Appointment of AV staff	Appointment of AV staff

Programme plan – sub-programme: Corporate Services - April 2011 to March 2012

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
8. Effective and efficient human resources capacity in place	44. Occupational Health and Safety (OHS) strategy and policy developed and approved by 31 March 2012: Finalisation of OHS strategy and annual OHS programme; Implementation of OHS programme; workshops on strategy and annual OHS programme; staff training; monitoring and control; Review and evaluate implementation.	OHS roll out completed
	45. Wellness Strategy developed and approved by 31 March 2011: Advocacy of annual programmes to staff, management and members: Implementation of wellness strategy; 2 team building exercise; Annual VCT testing; Wellness day; monitoring; Review and evaluation of annual programmes; Planning annual programmes for 2012/13; monitor and review effect of EAP for employees and members	Wellness strategy roll out completed
	46. Disability framework / strategy developed by 31 March 2012: Disability framework / strategy finalised; advocacy of disability framework / strategy; implementation by means of workshops and information sessions; Monitoring and annual reporting; Disability policy finalised and communicated to staff and management; monitoring & evaluation of the impact of policy;	Disability framework / strategy implemented
	47. Implementation of HRM strategy: Revision of HRM strategy finalised; workshops to management, and employee union; monitoring and control; review and evaluate implementation process and impact thereof on NCPL administration; in house training of HRM staff; Enterprise Resources Planning (ERP) training and preparation; remuneration management evaluation; Benchmarking exercise within legislative sector framework; remuneration management revised / improved; monitoring and evaluation.	Advocacy of HRM Strategy & implementation
	48. Four year recruitment and selection plan implemented: 10% of vacancies filled; Attention to employment equity targets and critical positions.	
	49. HRM policies developed, revised and amended (25% HRM policies revised and approved): implementation via information sessions and workshops on revised policies; monitoring and control of application of policies and procedures.	
	50. Labour Relations strategy developed by 31 March 2011: LR strategy communicated to staff, employees, unions, management; LR strategy implemented; monitoring and control; review and evaluate effect of strategy	Labour relations strategy implemented

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
	implementation; recognition agreement finalised and agreed to by employer and registered trade union in place; advocacy of recognition agreement to management and staff; monitoring and control; review and evaluate effect of recognition agreement on employee – employer relationship.	
	51. Organisational Development (OD) Strategy developed and approved: Benchmarking exercise; development of OD strategy	Development of an OD Strategy
	52. HRD strategy developed and approved: Benchmarking exercise; within Legislative sector	Implementation of Human Resources Development Strategy
	53. Development & implementation of training programme for staff: Assess existing capacity in Legislature / training needs analyses; training takes place as per work place skills plan; monitor and evaluate the training programme	Integrated and career oriented learning & development programme for staff
	54. Implementation of standardised training programme for members: coordinate, monitor and review.	Implementation of a sector developed training programme.
	55. Induction manual and programme distributed and work shopped: workshop; evaluate and review.	Evaluation and review of existing induction programme and manual
	56. Development of career management policy and programme: benchmarking, career management policy and programme approved	To have an approved career management policy and programme
	57. Conduct culture and climate / wellness assessment; change diversity management workshops held; assessment of results considered and first draft report with recommendations developed.	Change and diversity management strategy developed and approved: draft plan presented to Mancom by 30 June 2010.
	58. Present the revised and aligned structure to Mancom and the Rules Committee for approval; implementation of approved structure; monitor the implementation	To have an approved and aligned organisational structure
2.1.1 Intervention to be used / strategic objectives)	**2.1.2 Planned interventions / Actions / Targets**	**2.1.3 Outputs / outcomes**
9. Create systematic Information and Communication Technology management planning and data security systems	59. Implement five year ICT strategy aligned with organisational goals by December 2012, review ICT strategy annually: TOR and specifications of the 2nd phase and ERP; submit approved Terms of Reference to parliament for ERP phase 2 consideration; approval of project plan; implementation of phase 2.	Implement 2nd phase of ICT strategy
	60. Develop ICT shared services concept within legislative sector framework	
	61. Implement IT risk and internal controls: complete / update risk register; Implement updated risk register; monitor and maintain risk register; Assess IT risk register and internal control.	
	62. 1st phase of ERP system fully functional: training of ERP project team; complete skills transfer and training; monitor and evaluate ERP support; Assess ERP functionally.	

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
10. To have functional network and electronic communication systems	63. Functional areas for network, technical and electronic communications systems upgraded to industry standards: Final assessment of telecommunications systems for upgrade; submit acquisitions for upgrade of systems; implement upgrade solution for systems.	Network, technical and electronic communications systems are updated.

Identification of performance INDICATORS by means of predetermined objectives: Corporate Services

April 2009 to March 2010	April 2010 to March 2011	April 2011 to March 2012
1. Management plan to address audit queries developed 2. Management plan implemented - Implementation reports 17. Review Management plan as required by audit queries; 18. Monitor and evaluate implementation of the plan (M&E Reports) 19. implementation reports 20. HRM process chart produced and displayed 21. Quarterly management compliance reports 22. Number of workshops / information sessions held	3. Revised HRM Strategy developed 4. Revised HRM Strategy implemented; 5. Presentations/ workshops to staff, management & employee union; 6. ERP (ORACLE) readiness report; 7. ERP training; 8. Report on remuneration management evaluation; 9. Report on benchmarking exercise within Legislative Sector Framework.	10. Revised HRM strategy developed 11. Revised HRM Strategy implemented; 12. Presentations/ workshops to staff, management & employee union; 13. Evaluation report on the implementation process and impact of HRM strategy on NCPL administration 14. HRM training; ERP training; 15. Report on remuneration management evaluation; 16. Report on benchmarking exercise within Legislative Sector Framework.
23. Report on HR processes requiring inputs from other managers 24. Internal service level agreements signed / concluded 25. Number of HR Workshops	3 year recruitment and selection plan developed and implemented; 26. 25% of all vacant funded posts filled 27. Employment equity plan developed and implemented 28. 25% of HRM policies revised, and approved by 30 June 2010	4 year recruitment & selection plan implemented; 29. 10% of all vacant funded posts filled 30. Employment equity plan 31. 25% of HRM policies revised, and approved 32. Workshops and information sessions on revised policies; 33. Implementation of policies and procedures
34. Report on impact of performance management and development system (PMDS); 35. Training needs extracted from PMDS 36. PMDS workshops for managers		
37. Labour relations strategy and implementation plan developed; 38. Labour relations strategy approved 39. Labour relations strategy communicated 40. Implementation reports 41. Report on effectiveness of LR strategy 42. Policy audit report	43. Labour relations strategy developed by 31 March 2010 (June 2010); 44. Recognition agreement agreed on between Union and employer by April 2010; 45. Salary negotiations completed by 30 April 2010 46. Labour relations strategy implemented by 1 July 2010 - reports 47. Report on effectiveness of LR strategy 48. Policy audit report	49. Labour Relations strategy developed by 31 March 2011 50. Workshops and information sessions on labour relations strategy 51. Recognition agreement agreed on between union and employer by April 2010;Salary negotiations completed by 30 April 2010 52. Labour relations strategy implemented 53. Report on effectiveness of LR strategy 54. Report on the impact of recognition agreement on

April 2009 to March 2010	April 2010 to March 2011	April 2011 to March 2012
		employee- employer relationship
55. OHS plan developed, approved, implemented and monitored 56. Implementation / monitoring reports; 57. Number of OHS workshops; 58. Benchmarking (OHS)	59. OHS strategy developed and approved by 31 March 2010; 60. OHS policy developed, approved and implemented by 1 April 2010	61. OHS strategy developed and approved by 31 March 2012; 62. OHS policy developed, approved and implemented by 1 April 2010 63. Annual OHS programme finalised and implemented; 64. Workshops on OHS strategy annual OHS programme 65. Staff OHS training 66. M&E reports
67. Annual EAP (Employee Assistance Programme / EH&W (Employee Health & Wellness) programmes developed implemented 68. Implementation reports; 69. Impact assessment of EAP / EH&W programmes for possible programme expansion; 70. Proposal on expanded EAP / EH&W programmes developed and approved by Sept 2009	71. Wellness strategy developed 72. Wellness strategy implemented by 1 April 2010 73. Wellness policy revised by July 2010 74. HIV/AIDS policy developed 75. Implementation reports	76. Wellness strategy developed 77. Wellness strategy approved by 31 March l 2011 78. Implementation of Wellness strategy 79. Information sessions to staff 80. 2 Team building exercises; 81. Report on the impact of the EAP / Wellness programme on staff & MPLs
82. Identification of Performance INDICATORS by means of predetermined objectives: Corporate Services		
83. Revised organisational structure – proposal developed 84. Management training in organisational development and job design 85. Recruitment plan developed and implemented 86. Staff information sessions	87. Revised and aligned organisational structure developed	88. Revised and aligned organisational structure presented to Mancom & Rules Committee Revised and aligned organisational structure; 89. Revised and aligned organisational structure Implemented
90. A career management plan developed and approved 91. A career management policy developed and approved 92. Meetings with managers and staff regarding career management	93. A career management plan developed and approved 94. A career management policy developed and approved	95. A career management plan developed and approved 96. A career management policy developed and approved
97. Skills development plan developed 98. Training programme implemented from August 2009 99. Report on the review and evaluation of the training implemented	100. HRD strategy developed and approved by 30 June 2011; 101. Benchmarking exercise; 102. Implementation of the HRD strategy 103. Staff training programme Developed 104. Report: training needs analyses 105. Induction manual and programme developed and workshopped by 31 March 2010	106. HRD strategy developed and approved; 107. Benchmarking exercise; 108. Implementation of the HRD strategy 109. Staff training programme Developed and implemented; 110. Report: training needs analyses 111. Workplace skills plan developed and approved 112. Induction manual and programme developed and workshopped 113. Report: evaluation and review of the Induction manual and programme
114. Review Members facilities – produce guideline	116. Standardised MPL training programme implemented by 31	117. Standardised MPL training programme implemented;

April 2009 to March 2010	April 2010 to March 2011	April 2011 to March 2012
document and budget; Establish joint committee on Members benefits 115. Members training plan developed	March 2010	118. M&E reports
119. Reviewed and improved ICT acquisition plan developed approved and implemented; 120. ICT strategy developed, approved and implemented 121. Report on the review of effectiveness and appropriateness of systems	122. Reviewed ICT strategy developed; 123. 5 year ICT strategy implemented 124. Report: Infrastructure requirements and readiness for ERP implementation; Oracle training; 125. Groupware updated for office collaboration 126. Automated active directory of clients developed	127. Reviewed ICT strategy developed 128. Five year ICT strategy implemented 129. 1st phase of ERP fully implemented 130. Training of ERP project team 131. ERP 2nd phase TOR &specifications approved and submitted to Parliament; ERP 2nd phase implemented
132. Report on systems inventory function and responsibilities; 133. IT help desk structure established; 134. NCPL (own) email system launched; 135. NCPL website updated regularly; 136. Report / statistics on Website use; IT help desk implemented; 137. Quarterly meetings with systems service providers.	138. ICT infrastructure updated in Admin building 139. AV systems functional and regularly maintained 140. AV staff appointed	141. ICT shared service concept document developed; 142. Network, technical and electronic communications systems upgraded to industry standards; 143. Report: Final assessment of telecommunications system; 144. System upgrades acquired; 145. Upgrade solution for systems implemented.
146. Software and data management plan developed 147. Software and data management plan implemented; 148. Software assurance and management system developed 149. Software assurance and management system implemented; 150. Software asset register established; 151. Report on automated backup systems reviewed; 152. Data storage system implemented		153. ICT risk register completed 154. ICT risk register updated / maintained quarterly; 155. IT risk register and internal controls implemented;
	156. Disability strategy framework developed by 31 March 2010 157. Disability policy developed by 30 June 2010	158. Disability strategy developed by 31 March 2012; 159. Information sessions on disability matters; 160. Disability strategy Implemented; 161. Disability policy finalized 162. Disability policy communicated to staff; 163. Report on the impact of the disability policy
	164. OD strategy developed by 31 March 2011; 165. Benchmarking exercise; 166. Implementation of the OD strategy;	167. OD strategy developed; 168. Benchmarking exercise; 169. Implementation of the OD strategy; 170. Report: Organisational culture / climate by 31 May 2010
	171. Report: organisational culture / climate by 31 May 2010	172. Report: organisational culture / climate; 173. Change and diversity management workshops

Programme plan – sub-programme: Security & Records - April 2009 to March 2010

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
1. Provide strategic security management to the Legislature	1. Approved security policy	A safer and secure working environment
	2. Security awareness programmes to Members and staff	
	3. Completed threat and risk assessment reports discussed and filed	
	4. An established and improved relationship with security stakeholders: Attend security forums monthly; convene NCPL security forum	
	5. Vetting and screening of identified employees	
2. Sound records management	6. Achieved MISS (Minimum Information Security Standards) and archive compliance at registry	A fully functional filing system; National Archive compliance
	7. Minimum reports of security breaches within the section	Enhanced document information and parcel security
	8. An approved and tested registry compliance plan in place	Minimised risk and threats in records department
	9. Finalised cost analysis on the implementation of the ERMS	Improved MISS compliance by staff.
3. Sound facilities management	10. Engineering report pertaining to structural defects obtained	Minimised structural defects; reduced maintenance costs
	11. Occupied buildings declared habitable and safe	Compliance with SANSA (South African National Standards Authority) standards
	12. No outstanding minor repairs and maintenance to legislature	Increased accessibility at the NCPL
	13. Research and development of proposed visitor centre and main security control point completed and presented.	Provision of additional facilities to accommodate extra programs

Programme plan – sub-programme: Security & Records – April 2010 to March 2011

1.1.3 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
4. To ensure an effective and efficient security service for the Legislature stakeholders and assets	14. To have a working and well maintained integrated electronic security system in place: appoint a service provider to repair and maintain the security equipment.	Repair and upgrading of CCTV and access control equipment with a 178 maintenance contract
	15. To have a staff compliment in accordance with the guidelines for national key point Installations: to appoint and train 8 security officials by December 2010	Permanent appointment of 8 security officials
	16. Guidelines in place to add value and direction to security compliance	To have an approved security policy in place supported by compliance monitoring tool.
3. To provide a sound records management system to the organisation	17. Sustenance of a sound records management as well as compliance of all relevant legislation: attendance of quarterly meetings and participation; to fill critical positions within the records unit: appoint 4 filing clerks, in registry officer, and 1 switchboard operator by June 2010. .	Attendance of all sectoral forum activities (Records and Knowledge Management Forum Meetings)

	18. Establish and development of an electronic management system within the organisation: ERMS readiness assessment and ongoing awareness; development and approval of the facilities management policy	ERMS and change management awareness
3. To provide sound facilities management	19. Ensure sustaining of sound facilities management within the organisation as well as compliance with all relevant legislation: attend to structural defects within all wings in the precinct	Compliance of all relevant legislation and funding to address major structural defects within the organisation.

Programme plan – sub-programme: Security & Records – April 2011 to March 2012

2.1.1 Intervention to be used / strategic objectives	2.1.2 Planned interventions / Actions / Targets	2.1.3 Outputs / outcomes
4 To ensure an effective and efficient security service for the Legislature stakeholders and assets	20. To have a working and well maintained integrated electronic security system in place.	Repair and upgrading of CCTV and access control equipment with a 179 maintenance contract
	21. Guidelines in place to add value and direction to security compliance	To have an approved security policy in place supported by compliance monitoring tool.
2. To provide a sound records management system to the organisation	22. Sustenance of a sound records management as well as compliance of all relevant legislation; ensure timeous retrieval of documents; implementation of a registry contingency plan.	Annual update and amendments file plan and records control schedule. Filing backlog addressed
	23. Development of the pilot electronic records project	An effective and efficient records management system in place
3. To provide sound facilities management	24. Sustenance of sound facilities management as well as compliance with all relevant Legislation: Follow up on structural defects report	Compliance of all relevant legislation and funding to address major structural defects within the organisation.
	25. All minor maintenance repairs to NCPL regional & NCOP offices: tenders for maintenance and repairs to be in place	Reduction in complaints with regard to maintenance and repairs.

Identification of performance indicators by means of predetermined objectives: Security & Records

April 2009 to March 2010	April 2010 to March 2011	April 2011 to March 2012
1. Approved security policy	2. Integrated electronic security system implemented; 3. Signed contract: appointment of a service provider to repair and maintain the security equipment; 4. Signed contract: repair and upgrade of CCTV and access control equipment	5. Integrated electronic security system implemented; 6. Signed contract: repair and upgrade of CCTV and access control equipment
7. Security awareness programmes to Members and staff	8. Permanent appointment of 8 security officials	
9. Completed threat and risk assessment reports discussed and filed	10. Security compliance guidelines developed 11. Security policy developed 12. Security policy approved	13. security compliance guidelines developed 14. Security policy developed 15. Security policy approved
16. Service level agreement established with security stakeholders;;	18. Quarterly records and Knowledge Management meetings attended;	

17. NCPL security forum convened & Monthly security forums attended	19. 4 filing clerks, 1 registry officer and 1 switchboard operator appointed by June 2010;	
20. Identified employees vetted and screened	21. Report: Electronic Records Management system (EMRS) readiness assessment within the organisation; 22. ERMS implemented; 23. EMRS and change management awareness sessions; 24. Facilities management policy developed and approved.	25. Report: Pilot electronic records project; Effective and efficient Records management system implemented; 26. Report: Compliance to applicable legislation; 27. Document retrieval timeframes and standards developed and implemented 28. Registry contingency plan developed and Implemented 29. File plan revised annually 30. Filing backlog cleared
31. Report on MISS (Minimum Information Security Standards) and archive compliance by Registry	32. Facilities management policy developed and approved; 33. Report: Compliance to applicable legislation; 34. Additional funding secured (Adjustment Appropriations Act) to attend to major structural defects of NCPL building	35. Facilities management policy developed and approved; 36. Report: Compliance to applicable legislation; 37. Additional funding secured (Adjustment appropriations act) to attend to major structural defects of NCPL building
38. Reports of security breaches within the security and records section		
39. Registry compliance plan developed, approved and piloted		
40. Documented cost analysis on the implementation of the ERMS		
41. Engineering report pertaining to structural defects obtained		
42. Certificate: declaring occupied buildings habitable and safe		
43. Report: minor repairs and maintenance of building conducted		
44. Feasibility report: proposed visitor centre and main security control point; presentation of report.		

Areas highlighted in Green – indicates the indicators not achieved / not reported on
Areas Highlighted in Red – indicates the indicators not achieved