Exploring Monitoring and Evaluation within a Good Governance perspective: A case study of Stellenbosch Municipality

by

Chrizelle Nelson

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Supervisor: Professor Pregala Pillay

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DECLARATION

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ABSTRACT

The focus of this dissertation was to explore the good governance and the monitoring and evaluation mechanisms within local government. The study adopted a qualitative exploratory research approach, which included the selection of the Stellenbosch Municipality in the Western Cape as the case study.

The literature study revealed, firstly, that the concept of good governance is largely influenced by strategy and policy direction within the field of public administration. Within the South African context, this is evident by the constant challenge to balance the political and administrative components of government towards ensuring positive synergy in the maintenance of good governance. Secondly, the literature study reflected on the theoretical aspects of monitoring and evaluation, and the application of monitoring and evaluation within the local sphere of government in South Africa. The literature highlighted the differing policy frameworks that exist between the three spheres of government in South Africa.

The empirical study investigated the case of Stellenbosch Municipality through a review of the current good governance practices and the extent to which monitoring and evaluation arrangements are in place. Semi-structured interviews were used as the basis for investigating views and practices with regards to good governance and monitoring and evaluation from the perspective of the municipal officials tasked with operational implementation. The study revealed that the municipal officials are not utilising the monitoring and evaluation system to its full potential within the municipality and that this creates a disabling factor in the pursuit of good governance.

The thesis calls for national government to implement processes within the local government environment that utilise aspects of monitoring and evaluation, as well as the newly developed national evaluation framework. It offers the opportunity to move in a direction of governance within local government that is perceived as being good, and the adoption of monitoring and evaluation systems that contribute to the pursuit of good governance. Ultimately, this dissertation seeks to contribute to learning and innovation in local government within South Africa, and highlights alternative and best practices to further the governance agenda.

OPSOMMING

Die fokus van hierdie verhandeling was om goeie bestuur en die meganismes vir monitering en evaluering binne plaaslike regering te verken. Die studie het 'n kwalitatiewe verkennende navorsingsbenadering met betrekking tot die Munisipaliteit Stellenbosch in die Wes-Kaap as gevallestudie behels.

Die literatuurstudie het eerstens aan die lig gebring dat die konsep van goeie bestuur grootliks deur strategie en beleidsrigting binne die gebied van openbare administrasie beïnvloed word. Binne die Suid-Afrikaanse konteks is dit duidelik in die voortdurende uitdaging om die politieke en administratiewe komponente van regering in balans te bring om positiewe sinergie in die handhawing van goeie bestuur te verseker. Tweedens, het die literatuurstudie die teoretiese aspekte van monitering en evaluering, en die toepassing van monitering en evaluering binne die plaaslike regeringsfeer in Suid-Afrika, in oorweging geneem. Die literatuur het klem geplaas op die verskillende beleidsraamwerke wat in Suid-Afrika tussen die drie regeringsfere bestaan.

Die empiriese studie het die geval van die Munisipaliteit Stellenbosch ondersoek deur die huidige goeie bestuurspraktyke en die mate waartoe reëlings vir monitering en evaluering in plek is, te hersien. Semi-gestruktureerde onderhoude is gebruik as basis vir die ondersoek van sienings en praktyke met betrekking tot goeie regering en monitering en evaluering vanuit die perspektief van die munisipale amptenare wat met die operasionele implementering daarvan belas is. Die studie het getoon dat die munisipale amptenare nie die monitering- en evalueringstelsel tot sy volle potensiaal binne die munisipaliteit gebruik nie en dat dit 'n belemmerende faktor in die nastrewing van goeie bestuur skep.

Die tesis doen 'n beroep op die nasionale regering om prosesse wat aspekte van monitering en evaluering gebruik, sowel as die nuut ontwikkelde nasionale evalueringsraamwerk, binne die plaaslike regeringsomgewing te implementeer. Dit bied die geleentheid om binne plaaslike regering in die rigting van bestuur wat as goed beskou word, te beweeg, en die aanvaarding van monitering en evaluering stelsels wat 'n bydrae lewer tot die nastrewing van goeie bestuur.

Ten laaste poog die verhandeling om 'n bydrae tot leer en innovasie in plaaslike regering in Suid-Afrika te lewer, en beklemtoon dit alternatiewe en die beste praktyke om die bestuursagenda te bevorder.

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LIST OF ABBREVIATIONS

COGTA	National Department of Co-operative Governance and Traditional Affairs
DPLG	Department of Provincial and Local Government
DPME	Department of Performance Monitoring and Evaluation
GDP	Gross Domestic Product
GWME	Government-Wide Monitoring and Evaluation
IDP	Integrated Development Plan
MAYCO	Mayoral Committee
MEC	Member of Executive Council
MED	Monitoring and Evaluation Directorate
M&E	Monitoring and Evaluation
MFMA	Municipal Financial Management Act
MM	Municipal Manager
MSA	Municipal Systems Act
NIMES	National Integrated Monitoring and Evaluation System
NPM	New Public Management
OECD	Organization for Economic Co-operation and Development
PALAMA	Public Administration Leadership and Management Academy
PMS	Performance Management System
PSC	Public Service Commission
RSA	Republic of South Africa
SASQAF	South African Statistical Quality Assessment Framework
SDBIP	Service Delivery and Budget Implementation Plan
UNDP	United Nations Development Programme

CHAPTER ONE:

OVERVIEW OF THE STUDY

"We're still committed to good governance ... Give us a year in which to demonstrate, clearly what we need is a new vision making sure basic functions work well."

(Minister Pravin Gordhan, in Nicolson 2014)

1.1 INTRODUCTION

The transition from apartheid served to bring immense changes and confirmed the vital role of the state in mediating social and economic relations in a highly fragmented society. The responsibility of extending basic services to all was delegated to the local sphere of government, where municipalities were made responsible for providing basic services to the general public. To achieve efficient and effective delivery of services, the local sphere of government is governed by a constitutional and legislative framework that aims to promote good governance and to monitor and evaluate programmes and processes.

In an attempt by government to sustain development through good governance, the public sector monitoring and evaluation (M&E) system is considered to be key. The Constitution of South Africa (1996), and public service and public finance related legislations are the foundation of the emerging M&E system. The aim of these vital documents is to provide an integrated framework and define the boundaries of M&E principles, and practices and standards to be used throughout the public sector. The most recent attempt for a cohesive framework is the National Evaluation Framework Draft Policy (2011).

This dissertation probes the issue of good governance principles from a public administration paradigm, and is aligned to questions relating to whether the appropriate M&E mechanisms and processes are in place.

1.2 STATEMENT OF THE RESEARCH PROBLEM

The African Union in its Agenda 2063 cite one of its aspirations being an Africa where good governance, characteristics of democracy, the rule of law is entrenched so that good governance becomes a universal culture on the continent. While in the South African context, the National Development Plan 2030 emphasises inclusive institutions to ensure transparency and active citizen participation so that government can be held accountable. The National Development Plan (2011) recognizes further that, in order to achieve the aspect of good governance, government must strengthen accountability, improve co-ordination and reduce corruption. These are vital elements for good governance to ensure that government is deemed efficient and effective within all three spheres of government.

To strengthen the promotion of good governance and achieve the aspect of good governance through the National Development Plan, the Department of Planning Monitoring and Evaluation (DPME) was established. This was government's attempt to not only promote good governance but also sustain development through this department ensuring effective implementation of public sector M&E.

According to Segone (in Govender 2011:815), the influence of M&E on governance within the public sector includes democratisation as effective citizen participation, de-bureaucratisation promoting public accountability and organisational learning enhancing transparency for better decision-making. While National Treasury (2007:3) state that M&E ought to improve governance through making findings and information publicly available; the utilisation of resources must be open to public scrutiny; and communities especially those previously marginalised to actively participate in government affairs.

It must be noted that within the South African context, M&E is an emerging concept within local government and not yet fully developed. However, the Department of Planning Monitoring and Evaluation has recently developed a self-assessment system called Municipal Assessment Tool which is a system designed for municipalities to assess their functionality and efficiency regarding the manner in which they operate based on Key Performance Areas (KPAs) which includes service delivery, finances, planning, governance, human resources and community engagement. It is against this

backdrop that this study explores M&E as forming a critical element in ensuring the success of good governance arrangements and ultimately the delivery of services.

1.3 AIMS AND OBJECTIVES OF THE STUDY

In the context of local government, the Local Government: Municipal Systems Act 32 of 2000 states that municipalities must manage their affairs in an economically efficient, effective and accountable manner. This is clearly specified in chapter six of the Act which stipulates that municipalities need to establish a municipal performance management system and promote a culture of municipal performance management among municipal officials and councillors.

Van der Waldt (2006:136) points out that the Municipal Systems Act provides municipalities with guidelines for establishing a performance management system in order to improve their efficiency, effectiveness and levels of accountability. Venter (2007:117-118) explains that within the local government sphere, performance measurement provide the basis for M&E, which is analysed in terms of the inputs, outputs achieved, and then outcomes achieved for each measure.

These guidelines, as described in section 38 of the Municipal Systems Act, are further explained by Van der Waldt (2006:136) as, requiring municipalities to establish a performance management system that is proportionate with its available resources, best suited to its circumstances, and in line with existing priorities, objectives and vision.

The study aims to improve good governance activities within local government through an M&E approach. In order to realise this aim, the following objectives have been identified:

- To identify the extent to which the local sphere of government in South Africa is utilising M&E towards the achievement of good governance;
- To examine practical implementation of M&E within local government and identify opportunities for improved municipal governance;
- To analyse the good governance, and M&E arrangements being implemented within Stellenbosch Municipality; and

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- To provide recommendations that can be implemented to enhance the existing good governance and M&E arrangements.

1.4 RESEARCH QUESTIONS GUIDING THE STUDY

Taking into consideration the legislative nature that governs the local government sphere, the proposed study will be guided by the following primary question:

- How can M&E as an approach be used to improve good governance within the local government sphere?

In order to fully explore the primary research question, the following secondary questions need to be addressed:

1   How effective is the South African local government sphere in using M&E to support efforts to promote good governance?

2   What are the lessons that can be learned from practice within South Africa to date, and how can these better inform the implementation strategy of M&E within municipal governance?

3   What are the current governance and M&E arrangements being implemented within Stellenbosch Municipality?

4   What recommendations can the study bring to the body of knowledge that exists in the fields of governance and M&E?

1.5 SIGNIFICANCE OF THE STUDY

The Auditor-General's report on South African municipalities for the financial period 2013-2014 indicates the following information. Sixty-nine per cent (69%) of municipalities have shown a slow response in actively addressing the root causes of poor audit outcomes. In the 2013-2014 financial periods, there was a fifty per cent (50%) inadequate consequences for poor performance and transgressions, compared to the previous Auditor-General's report of seventy-one per cent (71%).

Additionally, a lack of competencies of municipal officials in key positions was reported to be at sixty-three per cent (63%) compared to seventy three per cent (73%) the previous year.

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Whilst the Auditor General Report 2013-2014 (2014:1) details that there were improvements between the 2011-2012 and 2013-2014 financial periods, the major risk areas continue to relate to the quality of submitted financial statements which did not improve; the quality of annual performance reports, which were of a poor standard in terms of the usefulness and reliability of information; and the consequences for poor performance and transgressions, which is related to the accountability of municipal officials and lack of performance management and evaluation processes. This is seen in the fact that only fifty-eight (58) municipalities out of the total of 278 municipalities within South Africa improved on their audit outcomes, which according to the Auditor-General Consolidated General Report 2013-2014 (2014:6) is an indication that the internal controls are failing to detect and prevent non-compliance and errors.

This evidence reflects that, whilst relevant policies and legislation are in place to guide local government in South Africa, failure to formalise good governance and M&E efforts through appropriate policy results in slow progress towards a developmental state within the local government sphere of South Africa. Additionally, the high level of corruption and maladministration complicates the situation further. As a result, the good governance dimension within local government needs to be thoroughly addressed as a mechanism for improved service delivery.

The significance of this study is to:
- Contribute to the body of knowledge, scholarly research and literature regarding M&E within the South African public sector and its role in policy implementation from a good governance and public administration perspective;
- Provide information to municipal officials and practitioners within the local sphere of government, and policy makers regarding the promotion of good governance through M&E; and
- Provide useful insights into the implementation of M&E within local government.

1.6 DELIMITATIONS OF THE STUDY

This study will explore the theoretical perspectives that are the foundation to areas of good governance, and M&E within local government.

The problems investigated in this study will be restricted to the municipal officials within the Stellenbosch Municipality located in the Western Cape Province of the Republic of South Africa. However the findings can be used as a platform for learning and innovation by other municipalities in the Western Cape, and South Africa at large.

1.7 RESEARCH DESIGN AND METHODOLOGY

The proposed study is exploratory in purpose and qualitative in nature. Mouton (2001:55) defines the research design as the blueprint of how the researcher plans to conduct the proposed research. He explains further that research design is focused on the end product and on the logic of the research (Mouton, 2001:56). The design classification includes the following: empirical or non-empirical, numerical and textual, and hybrid data, and high to medium control. The empirical data, in the form of a literature review, will be used to provide an overview of the concepts of good governance and M&E. In terms of the hybrid data, it refers to the mixture of interview data and secondary data analysis of key indicators. In this design medium control will be achieved. Secondary as well as primary data will be collected throughout the study. Primary data will be generated through expert interviews and structured questionnaires, and secondary data through books, journals, municipal documents and internet searches.

1.7.1. Research Methodology

The methodology used for this study is directly in line with its aims, which are qualitative in nature, and include three research instruments, namely, secondary data analysis of key indicators; semi-structured interviews and document analysis.

The study focuses specifically on the Stellenbosch Municipality. The target population for this study is municipal officials that carry out good governance and, M&E activities within their units in the municipality.

Purposive sampling will be used in order to target those individuals working in the Office of the Municipal Manager and Directorate Corporate and Strategy services will be interviewed. Semi-structured interviews will be conducted with senior municipal officials working in the Office of the Municipal Manager and the Corporate and Strategy Services directorate as governance and M&E form part of their core activities.

The aim of the semi-structured interviews is to obtain in-depth views and thoughts of the senior municipal officials with regards to the implementation and execution of good governance and M&E within local government. The secondary data analysis of key indicators will be to determine if M&E supports good governance at the municipality. All the data will be analysed, interpreted and integrated according to the comparative research method procedures.

1.8 CONCEPTUAL FRAMEWORK

This study will be conceptualised in terms of, and based on, the following conceptual frameworks:

- Good governance; and
- Monitoring and Evaluation.

The following is a review of the available schools of thought on the concepts of good governance, and M&E. The South African municipal legislation, policies and guidelines that focus on good governance and M&E within local government will be discussed in detail in chapter three of the dissertation.

1.8.1 Good Governance

In 2006, the United Nations defined good governance as governance that is seen as good when resources are allocated and managed correctly or, put more simply, when government efficiently provides much-needed services and quality goods to citizens (2007:4).

The OECD defines good governance as "the management of government in a manner that is essentially free of abuse and corruption, and with due regard for the rule of law". The World Bank (1994) defines it as government that is "… epitomised by predictable, open and enlightened policy making; a bureaucracy imbued with professional ethos; an executive arm of government accountable for its actions; and a strong civil society participating in public affairs; and behaving under the rule of law". One can deduct from these international definitions that good governance encompasses various characteristics, dimensions and principles.

The concept of good governance has produced varying understandings and interpretations by scholars over what should be included in the overall definition. Leftwich (1993:46) provides a broader interpretation in which he includes the following features as being essential:

- An efficient public service;
- A judicial system that is independent;
- A legal framework that is enforceable;
- Management and administration that is accountable for public funds and to an independent public auditor; and
- Respect for human rights and the law in all spheres of government.

This definition suggests that legitimacy and authority is built on the separation of legislative, executive and judicial powers. Lloyd (2007:1) adds a further dimension where he focuses on the end result of good governance by referring good management, good performance, good accountability and overall good outcomes with regards to service delivery where good governance prevails.

1.8.2 Monitoring and Evaluation (M&E)

The first definition that the Organisation for Economic Cooperation and Development (OECD, 2002:27) used in its understanding of the concept of M&E is:

> *"Monitoring is seen as a continuous function that uses systematic collection of data on specified indicators to provide management and main stakeholders of an on-going development intervention with indicators of the extent of progress and achievement of objectives … allocated funds."*

"Evaluation is the systematic and objective assessment of an on-going or completed project, programme or policy ... the aim is to determine relevance and fulfilment of objectives, development, efficiency, effectiveness, impact and sustainability. It should involve incorporation of lessons learned into decision-making process ... it also should relate to the worth or significance of an activity, policy or programme."

The United Nations, within the subsection of the United Nations Development Programme (UNDP), concludes that the purpose of M&E is to measure the performance of projects or programmes so that the outcomes and outputs can be well managed (UNDP, 2002:5).   It defines M&E by separating the concept into 'monitoring' and then 'evaluation', with the result that monitoring is defined as:

"Monitoring is the continuing function that aims primarily to provide the management and main stakeholders of an on-going intervention with early indications of progress, or lack thereof, in the achievement of results. An on-going intervention might be a project, programme or other kind of support to an outcome."

And evaluation as:

"Evaluation is a selective exercise that attempts to systematically and objectively assess progress towards and the achievement of an outcome. Evaluation is not a one-time event, but an exercise involving assessments of differing scope and depth carried out at several points in time in response to evolving needs for evaluative knowledge and learning during the effort to achieve an outcome."

(UNDP, 2002:6).

Various authors within the public administration and management field have taken these definitions of M&E by leading international organisations and further developed them. One example is Gorgen and Kusek (2009:1) who state that M&E addresses the accountability fears of stakeholders, gives public sector officials information on progress on achieving specific goals, and provides findings for any corrections to policies, programmes, or projects. The view Mackay (2007:17) holds is that these systems of M&E are used to measure the quantity, quality, and targeting of service

delivery that government provides and to measure the outcomes and impacts. This is further explained by Kusek and Rist (2004:1) who state that M&E is a powerful public management tool that can be used to improve the manner in which government and developmental organisations achieve results.

In South Africa, the Public Service Commission (PSC 2008:11) defines the concept of monitoring and evaluation as follows:

> *"Evaluation is understood as a process of comparison between what occurred and what was expected while monitoring is understood as the continuous checking of progress towards the achievement of a particular objective". One can then say that the Public Service Commission is of the understanding that these monitoring and evaluation systems the means to provide understanding of the causes of good and poor performance within governments."*

It is important to note here that within the South African public sector, the first official government-centred policy document with regards to M&E efforts was the Government-Wide Monitoring and Evaluation (GWME) policy framework. The aim of this GWME policy framework was to encourage a management system within the public sector that supports and drives other management systems including planning, budgeting and reporting systems (Presidency, 2007:80). Part of the rationale for this policy framework, is to improve governance through transparency, accountability, participation and inclusion (Presidency, 2007:7). In addition, the National Evaluation Policy Framework, which is aimed at improving the effectiveness and impact of government by reflecting on what is and is not working and revising its programmes and policies accordingly, contributes further to the guidelines for M&E n the public sector (DPME 2011:1).

In the sphere of local government there are various efforts for monitoring and evaluation within municipalities. These can be found in the White Paper on Local Government (1998), the Municipal Structures Act (1998), the Municipal Systems Act (2000) and the Municipal Finance Management Act (2003). Furthermore, the IDP (Integrated Development Plan) and the Performance Management Guide for Municipalities 2001, both provide direction for those individuals tasked with conducting, M&E activities that are a requirement for local government (DPLG

2001:5). Rabie (2011:5) also notes that the IDP as an M&E tool seeks to identify and prioritise the needs within municipalities with citizens in a hands-on manner and presents a strategy for addressing those needs and overcoming challenges. Additionally, Rabie and Cloete (2009:22) point out that changing developmental goals and objectives requires a shift in approach in the type of M&E approaches utilised within the public sector.

1.8.3 Legislative Frameworks Impacting on the study

In the following section the available legislative frameworks that guide good governance and, M&E within local government are discussed as it lays the foundation of the study.

1.8.3.1. Constitution of South Africa, 1996

Section 195 of the Constitution provides guidelines for governance by outlining principles of public administration which include a public administration that is representative; transparency that must be fostered; high standard of ethics by public servants; and public administration that is accountable. It must also be noted that "rule of law" is fundamental to the Constitution and the preamble. The ideals contained within the Constitution express the values that must guide the governance facet of service delivery.

Additionally, Section 195 makes provision for the promotion of good governance through certain principles which include:

- Professional ethics that must be instilled and maintained;
- A development-orientated public administration;
- Effective and efficient usage of resources;
- Public administration that is accountable;
- Provision of services that are impartial, fair and equitable;
- The public that must take part in policy making and the needs of the public must be taken into account;
- Transparency that is fostered through giving citizens access to information; and

- Maximizing human potential through human resource management and career development practices.

1.8.3.2 Local Government: Municipal Systems Act, 2000

The Municipal Systems Act was established to provide a framework for planning, performance management systems, effective use of available resources and organisational change. Thornhill (2008:502) notes that the Local Government: Municipal Systems Act promotes governance by encouraging municipalities to instil a culture of municipal governance that supplements the available formal arrangements through community development and participation.

In terms of the second theme of the study, namely; monitoring and evaluation, the *Municipal Systems Act* offers the most complete framework for M&E within the local sphere of government. The Municipal System Act, in Section 5, specifically stipulates that municipalities must regularly disclose their activities to the public; while section 11 requires municipalities to monitor the impact and of its programmes, plans and policies.

In addition, the Municipal Systems Act, in Section 38 and 41 of Chapter 6, compels municipalities to:

- Set targets to allow for the monitoring and review of performance based indicators which are linked to the IDP of the municipality; and
- Integrate and report on a set of general indicators that is prescribed by the Minister of local government;

 (RSA 2000: sections 38 and 41).

1.8.3.3 Local Government: Municipal Finance Management Act, 2003

The Municipal Finance Management Act, in terms of the second theme of this study, namely; good governance, also aims to strengthen the principle of transparency. In addition, the objective of the Municipal Finance Management Act is to therefore to ensure sound and sustainable management of the financial affairs of municipalities. The Act makes provision for norms and standards to be established so that transparency and accountability can be achieved. Nealer & Raga (2007:173) point

out that the Act aims to improve corporate governance and financial management practice.

1.9 CHAPTER OUTLINE OF THE THESIS

The study will consist of the following chapters:

Chapter One

Chapter one presents the background; research problem; aim and objectives of the study; research design and methodology; and the significance of the study. The chapter concludes by providing a conceptual framework, and a chapter outline.

Chapter Two

This chapter introduces the first theme of the study which is the concept of good governance, and good governance within South Africa. In addition, the chapter includes a policy overview of governance within the local sphere of government.

Chapter Three

Chapter three provides an examination of the second theme of M&E. It discusses the conceptualisation, development and application within the international as well as South African context.

Chapter Four

This chapter gives more detail pertaining to the research methodology and research design used. In addition, the chapter introduces the case of Stellenbosch Municipality.

Chapter Five

The fifth chapter provides a discussion of the research findings and analysis.

Chapter Six

The sixth chapter provides the discussion of key findings and summarises previous chapters. The chapter also includes recommendations in terms of the research findings and concludes the study.

CHAPTER TWO:

GOOD GOVERNANCE

"We have to do better to promote good governance and the functioning of municipalities and also in the delivery of services. These are the simple basic services that, when provided efficiently, will make our people's experience of local government a pleasant one."
(President of the Republic of South Africa, Mr Jacob Zuma. 2014)

2.1 INTRODUCTION

The purpose of any government is to ensure that free and fair democracy can exist within that particular government system in order that the rule of law can be applied, and service delivery can be provided to citizens. This purpose of government lays the foundation for the relationship between government and its citizens.

The term 'governance' is used to describe the dynamics and elements of this relationship between government and its citizens. This chapter explores a theoretical background to the first theme of this study, namely good governance. The discussion will conceptualise good governance by looking at its history, development and various elements. Overall the chapter aims to highlight and contextualise good governance in South Africa.

2.2 HISTORY AND DEVELOPMENT OF THE CONCEPT 'GOVERNANCE'

The concept of governance within the public sector domain has been at the core of many international and academic debates.   Kjær (2004:24) explains that the starting point of the governance debate was when, within the public sector, a shift occurred in the public administration field away from the traditional thinking. This movement identified inefficiency in service delivery as a major weakness in public administrations. The implication is that serious governance debates started at the fall of bureaucracy as the socio-economic landscape at the time in western countries were inefficient and ineffective in providing services to citizens (Kjær, 2004:2).

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This is highlighted by Leftwich (1993:366) who notes that the governance debate grew from several emerging circumstances, namely:

- The spread of neo-liberalism within governments in Western countries;
- The end of the Cold War; and
- Pro-democracy activities taking place in third world countries.

Matheson and Kwon (2003:42) state that this public sector reform saw many developed countries, especially Western developed countries, utilising private sector principles, practices and processes in the public sector. The result was privatisation of public sector institutions, decentralisation and a more managerial approach in delivering services and constitutional provisions. Cameron (2009:912) adds that New Public Management (NPM) reform has used private management approaches, which includes elements of provision of responsive and efficient services, performance agreements, flexibility of managers, and the use of market mechanisms within the public sector. The views presented by Matheson and Kwon (2003) and Cameron (2009) indicates that one of the repercussions was the public sector becoming more business orientated as privatisation efforts included cost-reduction activities, and decentralisation means that decision making is delegated to lower levels of staff.

From the above explanations by Kjær (2004) and Cameron (2009), it must be noted that the field of public administration experienced changes in its theoretical foundations; role of government; mechanisms for achieving policy objectives; approach to accountability; and the assumed organisational structure. This is evident in the Table 2.1 which illustrates the crucial differences between the old public administration and the New Public Management model.

Table 2.1: Comparison between Public Administration and Public Management models

	Old public administration	New public management
Theoretical foundations	Political theory, social science	Economic theory, positivist social science
Role of government	"Rowing", implementation focused on politically defined objectives	"Steering", serving as catalyst to unleash market forces.
Mechanisms for achieving policy objectives	Administering programmes through government agencies.	Creating mechanisms and incentives through private and non-profit agencies.
Approach to accountability	Hierarchical-administrators responsible to elected leaders.	Market-driven outcomes result from accumulation of self-interest.
Assumed organizational structure	Bureaucratic organisations with top-down authority and control clients.	Decentralized public organisations with primary control within agency.

Source: Adapted from UNDP (2015)

Vyas Doorgapersad (2011: 238) introduces the idea that the New Public Management is a public sector transformation reform that moves away from the traditional, autocratic and conservative paradigm within the public administration field which have included input and influence from Weber (1946), Wilson (1887) and Taylor's (1911).   However, Matheson and Kwon (2003:43) note that the New Public Management reforms have not been the solution for a better government, even though results such as the efficient production of outputs, improved fiscal control, and

responsive public sector delivering better services were experienced. This explanation given by Matheson and Kwon (2003) is an indication that New Public Management reforms were harmful to the public sector environment, as it was not understood that public management could not operate and function without the governance principles of accountability, democracy, ethics, rule of law and transparency. Furthermore, Basheka (2012:56) draws attention to the fact that the New Public Management reform creates confusion, as citizens are perceived as economic or business units as well as democratic participants within a country. This aspect of the New Public Management reform shows a disregard for citizens as the owners of government.

The public administration model shift noted by Kjær (2004) and the new public management reform highlighted by Matheson and Kwon (2003) and Vyas Doorgapersad (2011) has equally contributed to the change in governance principles. Louw (2012:88) further notes that a shift from New Public Management to governance is occurring due to the influence of global patterns and undercurrents. It can be noted that these issues, brought about by the New Public Management reform, were not able to solve the challenges that existed and in fact created the so-called "wicked problems" which will be discussed in detail later in the chapter. They also created confusion, as no common definition exists amongst scholars in terms of governance.

The conceptualisation of governance is required in order for commonalties to be drawn and a uniform foundation for understanding within the field of public administration.

2.2.1 Conceptualisation of the Term 'Governance'

The term of governance is defined and understood differently by various international bodies, such as the World Bank, United Nations and the Organisation for Economic Co-operation and Development (OECD). The World Bank (1992) defines governance as:

> *"The way power is exercised of economic, political and administrative authority to manage a country's affairs at all levels. It comprises mechanisms,*

processes, and institutions, through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations, and mediate their differences."

The United Nations (1997) defines governance as:

"The exercise of economic, political and administrative authority to manage a country's affairs at all levels. It comprises the mechanisms, processes and institutions, through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences."

However, the definition of the Organisation for Economic Co-operation and Development (OECD) in 2006 stated that, "governance is the exercise of political, economic and administrative authority necessary to manage a nation's affairs". The definitions given by these international organisations contain similar aspects, which include the exercising of power element. Only the United Nations definition includes the element of looking at how public functions are carried out and the importance of serving citizens in its definition.

These international organisations are joined by scholars who also have no common definition but share similar elements in defining the concept of governance. This can be seen by Sindane (2007:213) who sees governance in broader terms that refer to its normative nature and as a value-filled concept that looks strongly at what governance should be, as the concept of governance focuses on the processes, values and networks of various institutions. On the other hand, Huberts (2012:188) defines governance as "an authoritative policy-making process on a wide-ranging set of problems and the implementation of these policies".

Lloyd (2007:2) however, differs in his interpretation of the concept of governance. He focuses on governance within the field of public administration as "government ensuring that they do the right thing, in the correct manner for the citizens in an approach that is timely, open, honest and most importantly they are accountable for their actions".

Governance within the public administration context indicates "administering in a political context" as described by Green and Hubbell (1996:38). While Govender (2013:812) states that governance involves the following elements of decision making, compliance to rules and regulations, and stakeholder participation. However, Ewadlt (2001:9-11) lays the foundation for understanding the relationship between governance and administration and refers to the five principles as follows:

- Governance refers to institutions and key role players internally and externally to government;
- Governance identifies the distortion of certain boundaries and responsibilities for addressing social and economic issues;
- Governance identifies the power dependence involved in the relationships between institutions;
- Governance is about autonomous self-governing networks of the role-players; and
- Governance recognises the capacity to be self-sufficient and not rely on the power held by government.

Governance as described by Ewadlt (2001) and the elements of governance as highlighted by Govender (2013) essentially look at the conditions whereby various processes of government take place through administrative processes. Lloyd (2007:2) refers to the elements of governance which include accountability, democracy, ethics, rule of law and transparency as being relevant and linked to each other.

The various definitions provided by the international bodies have greatly impacted on the conceptualisation of the term governance within the South African context. Sindane (2007) and Huberts (2012) have defined governance from a normative and policy perspective. However, Lloyd (2007), and Green and Hubbell (1996) argue that the term governance must be defined from a public administration perspective. The above definitions of governance by international bodies and scholars as well as the related elements to governance which include accountability, democracy, ethics, rule of law and transparency gives an indication of what must be incorporated when referring to governance.

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From these arguments, governance in terms of this study include the complex range of administrative processes, policy making mechanisms and organisations and role players which must conduct their affairs in a transparent, accountable, ethical, democratic manner which abides by the rule of law.

2.3 THEORETICAL FRAMEWORK FOR GOOD GOVERNANCE

There are various interpretations and definitions from international bodies and scholars for the term 'good governance'. According to the World Bank (1994), good governance can be defined as "epitomized by predictable, open and enlightened policy making; a bureaucracy imbued with professional ethos; an executive arm of government accountable for its actions; and a strong civil society participating in public affairs; and behaving under the rule of law". The United Nations (2006:4) defines good governance "as governance being seen as good when resources are allocated and managed correctly but put more simply when government efficiently provides the much needed services and goods of quality to citizens". The Organization for Economic Co-operation and Development (OECD) (2006:4) has defined good governance as "referring to the management of government in a manner that is essentially free of abuse and corruption, and with due regard for the rule of law".

The abovementioned three international bodies' in their definitions of good governance have included resource allocation; the lawful management of governments with the absence of corruption; and there is open policy making as a result of bureaucracy founded on ethics, which allows for citizens to participate in public affairs.

There are various scholars who have interpreted the term of 'good governance' differently. According to Naidoo (2011:32) good governance is defined as "a governance system which requires processes in decision-making and policy formulation for the public, to be transparent and accountable". While Mohamed Sayeed & Pillay (2012: 3) have defined good governance as the levels of accountability, ethical standards and the extent to which the government is responsive to the needs of its citizens.

In addition, Dassah (2013:733) states that good governance is a "value-driven" approach and necessitates the development and implementation of policies geared towards the delivery of political and socio-economic outcomes that can be distinguished from bad governance.

It must be noted that various definitions and explanations exist for the term good governance, and the term is seen as vital to any foundation of a modern government. One can surmise that the term good governance has been used in different ways to describe the ideal conditions and elements of governance within a government. Cloete (1999a:8) reiterates this in his argument that governance has developed out of a particular public management school of thought. He argues that this 'good governance' thinking was aimed at giving new meaning to the traditional bureaucratic role of government within society. The argument by the Cloete (1999a:8) is depicted in the Figure 2.1 below.

Figure 2.1: Aspects of good governance

Source: Adapted from the World Bank (2010)

Ghaus-Pasha (2007:17) sees good governance as necessary for progress as its focus is on sustainable and equitable economic development. Ayee (2008:27) goes further, stating that good governance is a requirement for sustainable growth and development because it is related to the necessary creation of extra economic conditions as it refers to the adaptation and improvement of market-orientated systems in a certain social-economic context. This means it creates an environment that allows programmes to take place that are aimed at economic growth and structural adjustment. On the other hand Govender (2013:813) explains that good governance empowers the state to operate in an effective, efficient and sustainable manner by complying with the regulations, legislation, policies and processes which are aimed at improving accountability and legitimacy.

As highlighted in the various definitions of good governance, specific principles apply which Vyas Doorgapersad & Ababio (2010: 413) list as follows:

- Participation includes citizens exercising their right to express their opinion in decision making processes;

- Rule of Law refers to the enforcement of law which must be fair and impartial;

- Transparency includes the provision of government information which is accurate and adequate;

- Equality refers to establishing equal opportunities for all members of the society to improve their welfare;

- Responsiveness includes government administrators becoming sensitive to the needs of the public;

- Vision refers to government based on a clear vision and strategy, with participation of the citizenry in all the processes of development;

- Oversight ensures that increased efforts of supervision in the operation of government and the implementation of development by involving the private sector and the general public;

- Efficiency and Effectiveness includes service delivery to the public by utilizing all available resources optimally and responsibly; and

- Professionalism refers to enhancing the capacity and moral disposition of government administrators so that they are capable of providing accurate and affordable services.

These key principles of good governance often overlap and conflict with regards to context and application but are imperative in the enhancement of good governance within government. In addition, the abovementioned principles that have been identified are requirements of good governance conditions and priorities that need to be determined by government. However, the principles of good governance must not be examined in isolation as there are characteristics that are unique to good governance and which guide policy formulation and decision-making processes.

These characteristics suggested by Jonker (2001) and have been illustrated by Sheng (2010) in figure 2.2 to include good governance which is accountable; transparent; responsive; equitable and inclusive; effective and efficient; follows the rule of law; participatory; and consensus orientated.

Figure 2.2: Characteristics of good governance

Source: Good Governance characteristics by Yap Kioe Sheng (2010:3)

These characteristics of good governance as articulated by Sheng (2010) in Balkaran 2013:121) who believes that good governance is a state that institutions should aspire to be and involves two crucial aspects; namely, make tough strategic decisions, and

manage risk, and should be accountable to its shareholders. The definition of the term 'good governance' derived from international organisations such as the World Bank (1994), United Nations (2006) and the OECD (2006) have laid the foundation for explanations and descriptions provided for by scholars such as Naidoo (2011), Sayeed & Pillay (2012) and Dassah (2013).

Furthermore, the principles of good governance as introduced by Vyas Doorgapersad & Ababio (2010:413) and the characteristics of good governance as suggested by Sheng (in Balkan 2013:121) can be used to determine the extent of good governance efforts in a developing country like South Africa. These characteristics and the principles mentioned may guide policy makers and key decision-makers in efforts to eradicate the rampant corruption and overall bad governance culture found in the South Africa public sector.

The conceptualisation of good governance from international organisations and scholars in the discussion above ultimately depict the ideal conditions for good governance within a government system. From the above arguments, good governance in terms of this study has interconnected characteristics and principles which guide the processes and mechanisms within the public sector.

2.4 THE SOUTH AFRICAN PERSPECTIVE OF THE CONCEPT OF 'GOOD GOVERNANCE'

To gain a clear understanding of the current perspective of good governance within South Africa, an overview of developments in Africa is important to note. Olowu (2002:59) states that, by the end of the 1980s, it had become clear that African countries were experiencing a governance crisis, which was characterised by countries having a dominant authoritarian ruler, a breakdown of public institutions, state policy being guided by the wrong interests, the integration of the global economy being in a weak economic position; and the capacity to manage physical environment degenerating. Thornhill (2012:132) elaborates that the decade that followed saw a shift in governance reform on the African continent, as African countries in the twentieth century geared their policies and strategies towards development efforts, which included good governance, for the purpose of being

categorised as a development state. Ayee (2008:31) adds that these governance reforms called for the transformation of government institutions, and increased civil and political rights of citizens.

Phago (2013:694) warns that the governance issues within Africa need immediate attention, and need to become central to the functioning of governments on the continent, if developmental goals can be achieved. Furthermore, Olowu (2002:61) argues that the primary reason for the governance crises in Africa, is that there has been poor articulation of new and modern governance strategies. The result of the governance crisis as indicated by Olowu (2002) and Phago (2013) is that the African region experiences an ineffective public sector, with public officials being under-skilled to perform expected roles to provide crucial service delivery for citizens. Furthermore, Phago (2013:694) notes that the danger facing the African continent is that the governance crisis is complex, and requires governments on the continent to confront the reality of closely linked past, present and future structural inadequacies.

In the South African context, good governance has undergone many changes that reflect the impact that the political history of the country has had on the public administration environment. Cloete and Auriacombe (2007:193) allude to this fact and state that the difficulties resulting from the constraints imposed by the apartheid government called for the strengthening of the rule of law and other democratic principles in the post-1994 South African public sector. On the other hand, Samaratunge and Pillay (2011:394) highlight that the South African experience of good governance is designed and managed with archaic principles, which has led to poor governance as the public sector has reinforced the inequality that threatens democracy. Currently, corruption and maladministration within the public sector of South Africa gives the impression that the functioning and contribution of governance mechanisms are non-existent.

However, Dlalisa (2009:61) expands this view by adding that an increased awareness by citizens and civil society about poor governance and the governance agenda stems from the realization that public officials have certain duties towards citizens. The conclusion is that more needs to be done towards efforts of good governance.

Edwards (2007: 29) supports this argument by explaining that the ethical and moral decay being experienced within the public sector needs to be identified and treated in order to prevent the collapse of the public service and so that efforts of good governance cannot be undermined.

Mantzaris & Munnik (2013) highlight that governance is affecting the organisational culture within the public sector in South Africa. Agere (2000) is in agreement with this view and describes the various consequences of poor governance. The consequences of poor governance, according to Agere (2000:8) includes corruption which undermines revenue-collection capacity; bribery increases the costs of government spending on development programmes; kickbacks undermine the allocated priority of public service delivery; and poor financial management distorts the formulation of public policy and diversion of public resources. This contributes to the deduction given by Mantzaris & Pillay (2013) who have described the current reality as having reached a critical point.

When looking at the South African experience of good governance, even though there are various codes of conduct for public servants in guiding their behaviour and upholding the Batho Pele Principles, this unfortunately cannot be seen as the only solution in eradicating bad governance. The argument by Edwards (2007) suggests that any viable solution for eradicating bad governance needs to start with recognising the negative consequences of poor governance within the public service.

The White Paper on Local Government (RSA, 1998) sets out particular goals that Ncholo (2000:88) states are embedded within the Constitution through values and principles for government to become progressive and participative. This provides guidelines for the public service in terms of public administration and the management thereof, which is denoted within the Batho Pele Principles.   Steemla (2009:14) explains that, within the public service of South Africa, the various regulations, processes and procedures in terms of good governance are made by the legislature, the executive and the judiciary where authority exists. Legislation can therefore make available the essential recommendations for decision making to be in line with ethical conduct, which Heinrich, Hill and Lynn (2004:4) comprehend as a system of accountability and control that are referred to as authority, and provide

formal structures and systems of control. This implies that legislation allows for behaviour and decision making to be measured with the overall aim of legislation as a control mechanism.

The overview of good governance within the broader South Africa public sector has highlighted that good governance structures are available. However, as a control mechanism, the challenge that still persists is the effective implementation of these mechanisms across all three spheres of government within South Africa, especially the local sphere of government which is the focus of this study.

The following section will firstly discuss governance within local government. In addition, the discussion will also review legislation available that supports good governance within the local sphere of government. The discussion will conclude with a debate on the current realities of good governance within local government.

2.5 GOVERNANCE WITHIN LOCAL GOVERNMENT

Pollitt and Bouckaert (2011:21) explain that the concept of governance has, since the 1990s, become the popular alternative to government, as the concept governance includes moving away from the traditional hierarchical structures of organisations and embraces a network form that focuses on participatory interactions and emphasises regulation and implementation. One view is that this shift from government to governance can be attributed to the strengthening of the political influence within local government, which Sefala (2009:1161) argues is due to the growing role of politics in local developmental government and the need to uphold governance tenets.

Sefala (2009) and Olowu and Wunsch (in Siddle & Koelble, 2012:34) believe that the change from government to governance has been influenced by the political dimension within local government, while Atkinson (2002) differentiates between government as an institutional structure and governance as the move towards a developmental governance system. Olowu and Wunsch (in Siddle & Koelble, 2012:34) point out that effective local governance can only be possible if a working political outcome exists.

In addition, Atkinson (2002:2) argues that government refers to the institutional structures and governance discusses the environment and therefore the result is a move towards a developmental governance system, which contains an institutional environment. This notion is reiterated by Reddy (2010:83), who maintains that local governance can be modelled to include aspects of legislation that adhere to international standards to enhance service delivery and facilitate good governance, while local government looks at the stakeholders' need to involve communities so that democracy and public accountability can be fostered.

In the South African context, Madzivhandila and Asha (2012:371) argue that the motivation for local governance is based upon the need to address inequality; empower of communities; improve living conditions; alleviate poverty; and create opportunities for better access to resources. Thus, it can be deduced that local governance can be a solution to the maladies and deficiencies that exist within the local sphere of government, which Robinson (in Madzivhandila & Asha, 2012: 371) state results in the following:

- Employment of evaluation criteria;
- Enhanced participation; and
- Increased accountability to stakeholders.

This view is supported by Du Plessis (2012:10-11) who argues that local governance refers to the environment of local government and comprises key dimensions, which include the following:

- Local autonomy;
- Revenue raising capacity and financial viability;
- Service delivery; and
- Community involvement.

From the above it is evident that by taking on a local governance approach the local sphere of government can be strengthened. By viewing local governance as the environment, a clearer understanding of the failures of the past and present transformations and shifts can be examined. In examining the environmental aspects the opportunity will arise to address the myriad of institutional deficiencies that exist within municipalities across the local government landscape of South Africa and

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move towards local government being a developmental state, with governance as its foundation.

2.5.1   Good Governance arrangements within Local Government

The Freedom Charter of 1955 and the Constitution of 1996 as discussed earlier, indicate that there are mechanisms that facilitate and promote good governance. These principles embedded in these legislative pieces of good governance are applicable to the local sphere of government and must be encouraged in municipal officials and councillors. Naidoo (2012:663) mentions that in order for a culture of good governance to exist the municipality must be governed by the principles highlighted within the Constitution. However, Dlalisa (2009: 46) explains that whilst these are the basic values and principles of public administration, they also apply to the local government context. Dlalisa (2009: 46) explains further that is the responsibility of the political leadership as well as the municipal management that must ensure that these values and principles are inculcated within the municipality.

Fourie (2011:157) highlights that competing good governance theories contend that governance and democracy are the key foundations for developing societies. In the context of local government, one can then assume that governance and democracy are important for good governance to exist.

As the local sphere of government is highly regulated by legislation, Dlalisa (2009:50) notes that legislation can provide a guideline by which decision-making can be tested as it allows for decisions taken to be quantified and measurable.

Good governance arrangements within local government, which include community participation; corporate governance and intergovernmental relations, will be assessed in terms of this study and discussed later in this chapter.

2.5.1.1. Community Participation

According to Du Plesis (2012:22) community participation is a constitutionally entrenched requirement underpinned by Section 152(1)(e) which states that

municipalities must strive towards including communities and community organisations in the affairs of the municipality. In addition, the White Paper on Local Government of 1998 explains that the development of an effective service delivery depends on good governance which includes the level of accountability and transparency that prevails. For the purpose of this study, community participation is seen as a good governance arrangement. Ntshakala and Nzimakwe (2013:114) view community participation as the expectation that communities will be directly involved in decision-making. Through this process, it is expected that their interests will be represented through legitimate structures and in so doing, their human right to participate in decisions regarding their futures is possible.

Auriacombe and Silima (2013: 45) state that community participation is important and has a good governance role to:

- Ensure that government is actively addressing the real needs of communities in the most appropriate manner;
- Improve infrastructure and services in the community;
- Assist with building an informed and responsible community; and
- Permit municipalities to get buy-in from the citizens they serve and develop partnerships with stakeholders.

Madzivhandila & Asha (2012:374) are of a similar view, and highlight that community participation is a vehicle which instil and promote a culture of good governance; and enhance accountability and transparency in the local sphere of government. Du Plesis (2012:24) stresses that municipalities must include communities in decision-making processes for service provision.

From the arguments above, community participation within local government is founded on principles entrenched within the Constitution of South Africa, and supported by policy frameworks such as the White Paper on Local Government. In addition, the arguments above have highlighted that community participation is a vehicle for good governance to be inculcated within municipalities supported by accountability and transparency principles, through actively including the community in decision-making processes.

2.5.1.2. Corporate governance

For the purpose of this study, corporate governance is founded on the various policy documents which include Constitution of the Republic of South Africa 1996; White Paper on Transforming the Public Service (Batho Pele White Paper) of 1997; White Paper on Local Government of 1998; Municipal Finance Management Act (MFMA) 56 of 2003; Municipal Systems Act (MSA) of 2000; and Integrated Planning and Performance Management Regulations of 2001. According to Visser (2013:2), corporate governance goes beyond management and that corporate governance is essentially determining if the municipality is effective and efficient in its service provision.

According to Govender (2011:22), citing Fourier (2006), the aim of corporate governance is to ensure that organisations within the public sector undertake public accountability and that its activities are conducted according to ethical standards. It must be noted that corporate governance includes the following measures:

- Risk management;
- Anti-corruption and anti-fraud; and
- Audit committee.

In addition, Bekker (2009:7) proposes that corporate governance which is effective must include municipal officials with the necessary knowledge and skills; understand their purpose and role as municipal officials; work towards achieving the vision and mission of the municipality; and report on the municipal activities in achieving its strategy. Furthermore, Govender (2011: 24) states that corporate governance can be deemed as good firstly, when it would enable the municipality to operate in an effective and efficient manner; and secondly, when compliance with relevant legislation are achieved. Thus corporate governance from the above arguments, are founded on various policy frameworks and legislation, which has seen the development of measures such as risk management; anti-corruption and anti-fraud; and audit committees. In addition, the arguments presented highlight that, for corporate governance to be effective and efficient, it must go beyond management practices.

2.5.1.3. Intergovernmental relations

The Constitution in Section 41(1), and the Intergovernmental Relations Framework Act (Act 13 of 2005), provide specific guidelines for the three spheres of government in terms of intergovernmental relations which include:

- Implementation of policy and legislation;
- Establishment of intergovernmental structures;
- Management of the conduct of intergovernmental relations;
- Settlement of disputes; and
- Monitoring and reporting.

Intergovernmental relations as a good governance arrangement, is defined by Govender (2011:28), as the vertical and horizontal interactions between governmental institutions, which are affected by the level of government, fiscal relations and administrative considerations. In addition, it must be noted that intergovernmental relations, according to Edwards (2008:68), pertains to the political, financial and institutional mechanisms within local government governing the interactions between the three spheres of government and government entities within each sphere.

While Mathebula (2011:839) explains that intergovernmental relations can broadly be understood as the negotiation and consultation processes that exist between spheres of government which are aimed at harmonising the execution and decision-making activities which go beyond mere structures. Edwards (2008:68) describes intergovernmental relations as a good governance arrangement conducted within a public administration environment, specifically local government, and that it must subscribe to specific norms and values, such as the conduct of intergovernmental relations, and provide for intergovernmental fiscal arrangements.

Thus it can be deduced from the discussion that intergovernmental relations form part of the good governance arrangement within local government, as it is aimed at harmonising the conduct and interactions between the three spheres of government for transparency and accountability purposes. From the above, it is clear that there are arrangements within local government which are aimed at strengthening the good governance processes and mechanisms carried out by a municipality.

These arrangements ultimately seek to find the balance between citizens and development, and serve the requirements for development within the local sphere of government.

2.6 SUMMARY

Chapter two has dealt with the concept of good governance, its history and development, which has indicated that reform within the field of public administration greatly influences strategy and policy direction. When looking at the various conceptualisations of the term governance, it is highlighted that for governance to exist, the other related elements of transparency, accountability, democracy, ethics and rule of law must be present.

Good governance was analysed from various international and academic perspectives and within South Africa, from the level of both the national and the local sphere of government. The analysis of the South African good governance experience indicates that development and capacity challenges within the local sphere of government are greatly hampering good governance efforts even though a myriad of specific legislative pieces are available. In addition, local government good governance is supported by various arrangements which include community participation, corporate governance with its applicable measures and intergovernmental relations were discussed. Therefore, the discussion of good governance within local government indicates that mechanisms are available within the local sphere of government.

The analysis of the South African good governance experience indicates that capacity within the local sphere of government is greatly hampering the promotion of good governance. An attempt by government to sustain development especially good governance has been through M&E within the public sector which in the South African context is an emerging concept and is currently experience "teething" problems. The growing trend within the South African public and development sector is the concept "monitoring and evaluation". The following section looks at the second theme of this study which is M&E.

CHAPTER THREE:

MONITORING AND EVALUATION IN SOUTH AFRICA

"What gets measured gets done. If you don't measure results, you can't tell success from failure. If you can't see success, you can't reward it. If you can't reward success, you are probably rewarding failure. If you can't see success, you can't learn from it. If you can't recognise failure, you can't correct it. If you can demonstrate results, you can win public support."
(Osborne & Gaebler. 1992. *Reinventing Government*)

3.1 INTRODUCTION

The concept of M&E has become popular and is increasingly being used by public servants within the South African public sector towards transformation of the state. The GWME System, the Constitution of South Africa (1996), and various public service and public finance related legislation provide the foundation for public sector M&E in South Africa. These provide an integrated framework; define the boundaries of M&E principles; and define M&E practices and standards to be used throughout the public sector. The most recent attempt at a cohesive framework is the National Evaluation Policy Framework Draft Policy (2011). The result has been the state aligning available resources to achieve numerous goals through M&E.

The focus of this chapter is on the second theme of this study, which is M&E. The first objective of the chapter is to determine the nature of M&E within the South African context. The second objective is to highlight the South African local government context of M&E in terms of the current practices and legislation, and the gaps that exist. An in-depth analysis is required in order to gain an understanding of how M&E influences the good governance theme, and how these concepts have shaped and influenced the South African context.

3.2 ORIGINS AND DEVELOPMENT OF THE CONCEPT 'MONITORING AND EVALUATION'

In the field of public administration and policy analysis M&E is different in practice and approach. Rabie (2011:20) states that the establishment of evaluation practises and approaches in the field of policy analysis changed from opinion-based policy choices to evidence-based policy making and social research. An overview of evidence-based policy analysis and how it influences M&E is provided below. This evidence-based policy analysis, specifically the policy cycle, is illustrated in Figure 3.1 below.
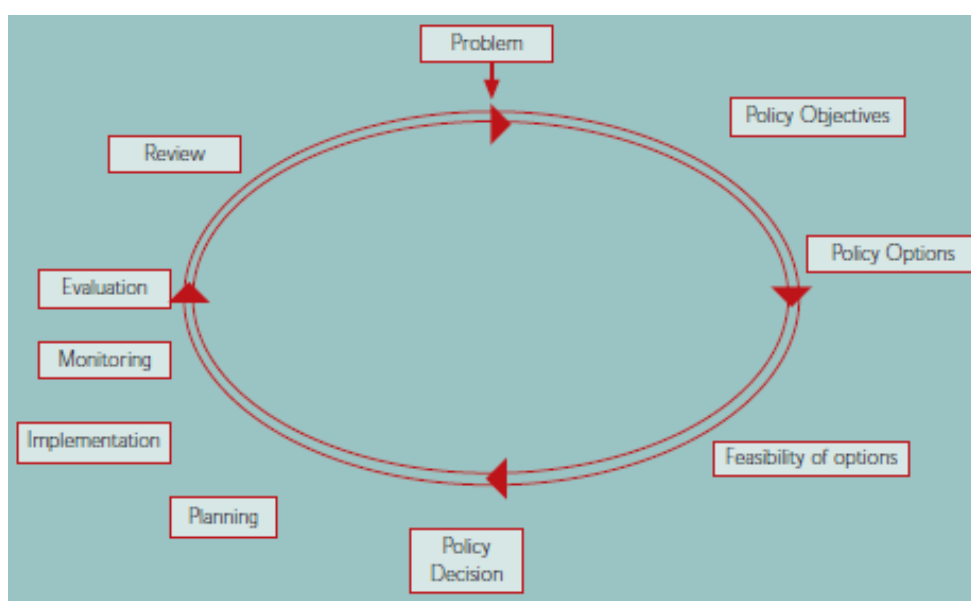
Figure 3.1: The policy cycle

Source: Public Service Commission (2008:9)

Dunn (2012:35) states that policy analysis can be traced back to before the Industrial Revolution, but that the major developments in this field have occurred in the twentieth and twenty-first centuries. Cloete (2008:2) adds that the start of the information age of the 1980s saw the development of more serious approaches to research and allowed for improved decision-making, which influenced the field of policy analysis.

When looking at policy analysis, Dunn (1981:35) defines the term as "an applied social science discipline, which uses multiple methods of inquiry and argument to produce and transform policy-relevant information that may be utilised in political

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settings to resolve policy problems." It must be noted that certain approaches to policy analysis exist as indicated by Wissink (2006:77):

- Policy content analysis that focuses on the interpretation of policy content, comparative policy analysis, policy dynamics and policy pathology;
- Policy systems analysis looks at policy behavioural studies, policy institutional studies and policy process studies;
- Policy issue analysis delves into policy problem structuring and policy recommendation;
- Policy value analysis focuses on the community values and general moral guidelines followed by society; and
- Policy outcome analysis looks at the continuous monitoring of a policy and the evaluation of the policy impact.

Rabie & Goldman (in Cloete, Rabie & de Coning 2014: 7) state that the first reforms in public policy introduced evaluation theory in terms of the final results from an intervention but this notion expanded to include evaluation which assesses the unanticipated and anticipated outcomes of an intervention.

While Segone (2008:28) argues that the interest in policy analysis, specifically evidence-based policy analysis, is due to the aspect of bringing impartial evidence to the policy-making process as per the need by governments to improve the quality of decision-making. Bamberger (2008:128) reiterates this, but adds that evidence-based policy analysis has the ability to improve the quality of decisions and actions as it provides facts that can be utilised in arguments either positively or negatively and provides a foundation for debates. Davies (2008:3) agrees with the argument made by Segone (2008:28) that evidence-based policy will eventually assist people in making well-informed decisions about policies, programmes and projects, resulting in the best evidence that is available being used in policy development and policy implementation.

Segone (2008:34-35) expands his previous argument to include that policy making must not only focus on what works, but what works at a specific cost and the particular outcomes.

Chelimsky (2006:229) agrees, adding that information and evidence derived from evaluation must inform policy formation, implementation and execution so that accountability can be evident in public decision-making.

Thus evidence-based policy making forms the foundation of M&E however; every policy decision requires a different approach to M&E. The following section delves into the conceptualisation of the term 'monitoring and evaluation'.

3.3 CONCEPTUALISATION OF THE TERM 'MONITORING AND EVALUATION'

The United Nations, within the subsection of the United Nations Development Programme (UNDP), concludes that the purpose of M&E is to measure the performance of projects or programmes so that the outcomes and outputs can be well managed (UNDP, 2002:5).

Whereas the World Bank Group (2014) highlights that monitoring represents the regular tracking of inputs, activities, outputs, while evaluation determines the importance of objectives, the efficiency or resource use, and the sustainability of results. The United Nations, in its definition of the concept of M&E, separates the concept into monitoring and then evaluation. The result is that monitoring is defined as (UNDP, 2002:6):

> *"Monitoring is the continuing function that aims primarily to provide the management and main stakeholders of an on-going intervention with early indications of progress, or lack thereof, in the achievement of results.*
> *An on-going intervention might be a project, programme or other kind of support to an outcome".*

And evaluation is defined as:

> *"Evaluation is a selective exercise that attempts to systematically and objectively assess progress towards and the achievement of an outcome. Evaluation is not a one-time event, but an exercise involving assessments of differing scope and depth carried out at several points in time in response to*

evolving needs for evaluative knowledge and learning during the effort to achieve an outcome."

Various authors within the public administration and management field have taken these definitions of M&E given by leading international organisations, and further developed the definitions. Gorgen and Kusek (2009:1) argue that M&E addresses the accountability fears of stakeholders, it gives public sector officials information on progress in achieving specific goals, and provides findings for any corrections in policies, programs, or projects. This allows for use of M&E to become part of the planning process within public sector organisations, as suggested by Boyle and Lemaire (1999:94) when they state that a relationship can exist between planning and management processes being linked to the M&E process.

The view Mackay (2007:17) holds is that these systems of M&E are used to measure the quantity, quality, and targeting of the service delivery that government provides, and to measure the outcomes and impacts resulting from these outputs. This is connected to Kusek and Rist's (2004:1) understanding of the concept M&E, which brings in the aspect that M&E is a powerful public management tool that can be used to improve the manner in which government and developmental organisations can achieve results as they also need good performance feedback systems. M&E in Africa, as explained by Porter and Goldman (2013:1), has been greatly conceptualised and influenced by non-governmental organisations and international donors requesting reports on the programmes and projects that stimulated government-led demand. However, in recent years M&E has grown in popularity on the African continent, which Chouinard and Cousins (2013:2) describe as being a response by African countries to address changing community and organisational needs as countries on the African continent become independent of international assistance.

It must be noted that the African continent government-led M&E systems, according to Porter and Goldman (2013:2), operate within an intricate environment as there are forces which drive for the appropriation of the benefits of government, but at the same time forces exist that want the improvement of government performance through M&E.

The South African conceptualisation of the term 'monitoring and evaluation' according to the Public Service Commission of the Republic of South Africa is the following:

> *"Evaluation is understood as a process of comparison between what occurred and what was expected while monitoring is understood as the continuous checking of progress towards the achievement of a particular objective".*

(PSC, 2008:11).

From the above, one can deduce that the Public Service Commission understands M&E as systems that can provide a clear understanding of the causes of good and poor performance within governments. This is further supported by the strong legislative foundation emanating from the Constitution of the Republic South Africa, 1996 (Act 108 of 1996) and the White Paper on Transforming Public Service Delivery (Batho Pele White Paper, 1997) and most recently, the National Evaluation Policy Framework (2011).

However, the implementation of M&E and the results-based approach is explained by Mouton (2010:100), in the South African public sector context, as a slow process that only gained momentum due to the adoption of the Millennium Development Goals (MDGs), which was an international effort towards alleviating poverty and promoting development. In addition, Mouton (2010:133) states that M&E in the South African public sector has been applied in the following examples:

- Government bodies at the national and provincial level have established monitoring and evaluation units.
- Employees within the public sector have been appointed and tasked with being responsible for monitoring and evaluation.
- The establishment of the National Planning Commission and the subsequent DPME.
- The introduction of the Outcomes Approach, which involves twelve (12) specific outcomes areas with accompanying evaluation studies.

Stolyarenko (2014:7) details the establishment of the DPME at the national sphere of government in the South African context, which has the mandate to ensure the following:

- Development of plans for the outcomes of government and the monitoring as well as evaluation of the implementation of these plans;

- Monitoring the performance of government national and provincial departments and municipalities;

- Monitoring frontline service delivery;

- Managing the presidential hotline;

- Implementation of evaluation in conjunction with other government departments; and

- The promotion of good M&E practices.

These various initiatives, highlighted above, have ensured that M&E is practically applied within the South African public sector at the national and provincial spheres of government. These initiatives also indicate that government is in the process of reforming its activities so that better service delivery can be experienced. It must be noted that these initiatives ultimately contribute to the availability of information for improved policy- and decision-making.

3. 5 THE SOUTH AFRICAN MONITORING AND EVALUATION SYSTEM: AN ANALYSIS

In the public sector of South Africa, M&E prior to 1994 and from 1994 to 2005 was generally conducted in an isolated manner and took place in national departments. Latib and Goldman (2012:148) argue that this has resulted in an uncoordinated and complex range of activities in M&E.

The GWME Policy Framework was introduced in 2007 with subsequent policy documents, such as the Framework for Managing Programme Performance Information, the South African Statistical Quality Framework and, with the new administration in 2009, the 'Improving Government Performance: Our Approach'.

In addition, the development of the policy documents was followed by the establishment of the DPME in January 2010, which was decided upon by the President of South Africa and, in 2011, the National Evaluation Policy Framework. Mouton (2010:101) contends that results-based management that was introduced in the South African public sector was regarded as a public management tool that allowed policy makers to review the outcomes and impact of a particular policy or programme even though in the South African context measuring performance was the norm. Dassah and Uken (2006:711) are of the opinion that the late response of introducing public sector M&E in South Africa is due to the lack of transparency and accountability existing at all spheres of government. However, Stolyarenko (2014:5) highlights that the pivotal moment of the M&E context shifting within South Africa was after the national elections of 2009, as a result of:

- Service delivery protests becoming rife at municipal level;
- Decrease in voter support for the ruling party in the 2009 elections; and
- Detrimental results of Fifteen Year Review of Government, which acknowledged weaknesses such as poor education, and health results relative to expenditure per capita, frequent quality problems with services and corruption.

It must be noted that the incoming administration of 2009, according to Goldman *et al* (2015:1), viewed M&E as a tool for the improvement of government performance which would address issues around delivery of services to citizens. The result was, as noted by Goldman *et al* (2015:1), a policy decision to create the Ministry in the Presidency for Performance Monitoring and Evaluation in 2009 and a DPME in 2010 which was a defining moment for M&E in South Africa.

Since 2009 and 2010 there have been key role players which Stolyarenko (2014:6) has identified are directly involved with M&E in South Africa and have specific legal mandates as illustrated in the Table 3.1.

Table 3.1: South African institutions and their mandates in conducting monitoring and evaluation

INSTITUTION	MANDATE
The Department of Performance Monitoring and Evaluation	Constitution (1996) – section 85. President's State of the Nation addresses (2010/2011). Minister for Performance Monitoring and Evaluation – Policy Framework on Performance Monitoring and Evaluation – Our Approach.
National Treasury	Constitution (1996) – sections 215 and 216
The Department of Public Service and Administration	Public Service Act (1999).
The Auditor-General	Public Audit Act (2004) – sections 20(1c) and 25.
The Department of Co-operative Governance	Constitution (1996) – Chapters 3 and 7, Municipal Structures Act (1998) and Municipal Systems Act (2000).
Statistics South Africa	Statistics Act (No. 6 of 1999) – section 14.6 (a), (b) and (c). January Cabinet Legkotla (2002) and State of the Nation Addresses (2004/ 2005).
The Public Service Commission	Constitution (1996) – sections 195 and 196.

Source: Stolyarenko (2014:6)

When analysing the M&E system of the public sector in South Africa the institutional stakeholders which Cloete (2006:8) maintains are:

- National Treasury responsible for measuring the 'value for money' aspects of governmental policy programmes;

- Department of Public Service and Administration is responsible for staff performance evaluations;

- Statistics South Africa who is responsible for data collection, storage and quality control;

- Public Service Commission is responsible for interdepartmental evaluations of those few constitutional process principles that the PSC has decided to measure, and who has published a set of guidelines about M&E in an attempt

to synchronise the different perspectives of all the main governmental agencies involved in this venture ;

- Department of Cooperative and Governance (formally the Department of Local Government who is responsible for assessing the policy programme performances of provinces and local authorities; and

- National School of Government (previously called PALAMA) who will be responsible for M&E capacity-building through so-called "massified" training exercises to improve M&E skills among thousands of officials who will be responsible for the implementation of the system.

The South African public sector M&E system is described by Latib and Goldman (2012:165) as having quality systems in place that encompass an outcomes approach, frontline service delivery monitoring, management level performance tools and a national evaluation system. Additionally, the draft Standards of Evaluation (2012) is aimed at encouraging the use of findings, and the consideration of standards in terms of the five stages of evaluation, which are: considerations before evaluation; planning the evaluation; the evaluation process; the evaluation findings; and the use of the findings.

Currently, the South African M&E system has the following characteristics which according to Goldman *et al* (2015:8) are:
- The National Evaluation Policy Framework gives clear direction to the system from the beginning;
- The system has developed very quickly, as it was able to build systematically from previous experience and has maintained strong links to other exponents;
- It is led from the Presidency – so is very central;
- It has a demand-driven approach, stimulating departments to ask for evaluations and to encourage them to use evaluation results; and
- It is working with national departments and provinces.

The strengths of M&E in the South African public sector, according to Rabie (2011), are that is it championed from the Office of the President; the national sphere of government created a specific Ministry of Performance Monitoring and Evaluation

and there are legislation and policy frameworks. While Goldman *et al* (2014: 373) highlight that within South Africa some emerging successes include:

- There has been an increase on the strategic focus by government on achieving a limited number of outcomes;
- Introducing a whole-government planning which is linked to outcomes, inputs and activities to outputs and outcomes;
- Greater coordination between departments and spheres of government;
- Efficient use of the limited resources; and
- Emphasis on measuring results.

However, the University of Witwatersrand in its African Monitoring and Evaluation Systems Workshop report (2012:11) highlight the key challenges as:

- A culture of compliance but not the full implementation of M&E to reflect on and improve performance;
- Duplication of reporting;
- Poor planning system which is fragmented with different institutions playing different roles; and
- A lack of effective theories of change.

In addition, Goldman *et al* (2014: 3374-375) detail the challenges to be:

- Avoiding duplication of reporting;
- Weak integration of planning systems;
- Limited use of budget analysis in the implementation of plans; and
- No incorporation of monitoring as part of the management function.

Govender (2013:815) contends that M&E within the public sector has the ability to provide information that can be used for evidence-based policy assessment for the improvement of governance purposes and the overall performance of the public sector. This view is supported by Dassah and Uken (2006:718) who explain that within the South African context of the public sector, the findings from the implementation of M&E could potentially provide useful feedback for improving the sector.

The South African public sector M&E system can be described as having quality systems that encompass the outcomes approach, frontline service delivery monitoring, a management level performance tool and a national evaluation system (Latib & Goldman, 2012:165). Furthermore, it must be noted that the South African public sector M&E system greatly differs from international and other African countries, due to it involving all three spheres of government. The result is that the M&E system in the South African public sector is complex and unique. Despite the available network of institutional capacities, the various agencies involved in the overlapping scope of activities and control is quite a challenge for the Department of Performance M&E. It can be deduced that government in South Africa is increasingly looking towards streamlining activities to bring about improved service delivery, which has seen M&E training and capacity building gaining acceptance.

Whilst the reality is that the South African public sector M&E system is far from the ideal, it is progressive within the national and provincial spheres of government. Efforts to develop the system have been underway as indicated by the numerous policy and legislative frameworks. There is a need for government to be proactive to develop and test the public sector M&E, but to do this utilising the best practices from the international experiences. The final section looks at M&E in the local sphere of government.

3. 6 MONITORING AND EVALUATION WITHIN THE SOUTH AFRICAN LOCAL GOVERNMENT CONTEXT

Within the local sphere of government the legislative authority over the M&E of local government performance resides with the National Department of Cooperative Governance and Traditional Affairs (COGTA) and provincial departments of local government. In addition, Sections 47 and 48 of the Local Government: Municipal Systems Act 32 of 2000 respectively requires the MEC for local government and the Minister to collect annual reports of municipal performance. Furthermore, National Treasury has, through the Local Government: Municipal Finance Management Act 56 of 2003, the responsibility to promote good budget and fiscal management by municipalities.

The Municipal Systems Act specifies that municipalities must manage their affairs in an economic, efficient, effective and accountable manner. Specifically chapter 6 of the Municipal Systems Act stipulates that municipalities need to establish a system that monitors and evaluates municipal performance and also promote a culture of M&E of municipal performance among municipal officials and councillors.

Van der Waldt (2006:136) states that the Municipal Systems Act provides municipalities with guidelines for establishing a system that monitors and evaluates the performance of municipalities. On the other hand, Venter (2007:117-118) contends that within the local government sphere, M&E takes place through various performance driven measures (the quantifiable terms in the form of performance measures) and targets, of how well the municipality is doing by looking at the inputs; outputs achieved; and then the outcomes achieved.

Rabie (2011:29-30) notes that within the South African public sector especially the local government context, M&E policies must capture the extensive objectives and principles that must be provided for government to be viewed as effective against its mandate so that these policies and their supportive programmes and projects become the foundation for the development of M&E strategies.

The Department Performance Monitoring and Evaluation (2013: 2) acknowledges that it is mandated within the local government sphere to undertake the following:

- Monitor the performance of individual municipalities; and
- Promote good M&E practices in government.

Furthermore, Govender (2011: 22) states that governance within the local government context with regards to M&E can be defined as the quality of decisions; accountability; compliance and community participation resulting in local municipalities having to comply with legislation, regulations and corporate governance aspects. While the Department of National Treasury (2007:3) states that M&E should improve governance through transparency; accountability; participation; and inclusion. However, Mackay (2007:9) notes that M&E supports governance through:

- Policy decisions based on available evidence when allocating resources to a project or programme;
- Policy development and analysis;
- Assists government in the management of activities at sectorial, programme and project levels; and
- Improving transparency and accountability relationships.

Govender (2011:32) deduced that M&E improves governance through advocating community participation, improving accountability and transparency, decision making based on evidence so that resources can be allocated in an effective and efficient manner for the sole purpose of service delivery and improving service delivery. Thus, it can be deduced that M&E improves good governance which enhances service delivery.

The Presidency (2010:13) drafted 12 (twelve) outcomes which were based on the Medium-Term Strategic Framework (MTSF). The Medium-Term Strategic Framework (MTSF) was finalised by the DPME in 2014 (2014:1) and outcome 9 (nine) which focuses on local government aims for a responsive, accountable, effective and efficient developmental local government system. The Medium Term Strategic Framework according to the DPME (2014:7-13) plans to achieve the above outcome by developing an M&E system that will cover the following actions:

- Establish integrated monitoring system for tracking the implementation of the pipeline of projects;
- Developing, monitoring and implementing a Development Planning Strategy to guide sector support to municipalities;
- Monitoring and reporting on the SDBIPs that are submitted in line with the prescribed framework; and
- Monitor, assess and guide municipalities to comply with all the legislative requirements relating to municipal revenue, financial management and sustainability.

From the above, it must be noted that the local sphere of government is fundamentally responsible for outcome 9 with the support of key national departments such as the Department of Performance Monitoring and Evaluation, and the Department of Cooperative Governance and Traditional Affairs. Additionally, once the outcomes have been stated, delivery agreements are compiled for each of the twelve outcomes (DPME 2014).

According to Engela and Ajam (2010:12), COGTA is the champion of the local government five-year reform agenda, which consists of three main priorities, namely:

   a) mainstreaming hands-on support for improving municipal governance, performance, and accountability in both crosscutting issues and five key performance areas;
   b) addressing structural governance and public participation; and
   c) focusing on strengthening policy, regulatory, and fiscal environment and enforcement measures.

Currently, according to Govender (2013:816) the government within South Africa has no management spirit towards performance and value for accountability for results. If local government is serious about furthering its quest of becoming a developmental state, Asmah-Andoh (2009:212) suggests that the envisioned local government M&E programme needs to look at mainstreaming and integrating performance management, linking policies, defining service delivery programmes and managing outputs and outcomes. Thus, if an effective effort towards the development of M&E within local government is to be achieved, Pearse and Williams (2009:30) propose that, an appropriate organisational culture will have to be developed for the M&E system to be effective in improving local government.

When looking at the above-mentioned review, a common thread is found that highlights that M&E, within the local sphere of government, is supported by national departments, but that emphasis has been on compliance with legislation. In addition, the review highlights that M&E of municipal performance in local government must be coordinated to make sure that implementation has taken place according to the predetermined goals.

The following section will review the implementation of M&E within local government in South Africa.

3.6.1 Municipal Assessment Tool in Local Government in South Africa

According to the Department Performance Monitoring and Evaluation (2012: slide 4) the Monitoring and Assessment Tool has the following current mandates:

- Assist with the development of plans for the cross cutting priorities or outcomes of government and monitor and evaluate the implementation of these plans (delivery agreements);

- Monitor performance of individual national and provincial government departments and municipalities;

- Monitor frontline service delivery;

- Manage the Presidential Hotline, and

- Carry out evaluations in partnership with other departments.

The Department Performance Monitoring and Evaluation (2013:1) developed the draft Municipal Assessment Tool (MAT) which is heralded as an intervention to monitor and evaluate municipal performance within local government in South Africa. The Municipal Assessment Tool (2012) is aimed at providing: an integrated information base on the institutional performance of municipalities against key indicators to enable strategic leadership over the local government sector; a comprehensive and robust evidence base for providing tailored support and/or intervention measures to municipalities in a coordinated and differentiated manner, and guidance to national and provincial departments by means of the performance information obtained through the assessments to enable them to better support municipalities in identified areas of underperformance.

In addition, the Department of Performance of Monitoring and Evaluation (2013: slide 8) notes that the Municipal Assessment Tool (MAT) is not a reporting tool but is intended to reflect on management practices and operational processes; identify areas where improvements are needed and the nature of the improvements; development of an improvement plan; focus for management on a set of key operational processes that are regularly measured, monitored and improved.

The Municipal Performance Areas that will be assessed by this tool fall into the following 6 categories which are namely: planning; human resources; financial; service delivery; community engagement; and governance.

Furthermore, the Municipal Assessment Tool as explained by the Department Performance Monitoring and Evaluation (2013:2) has the following objectives:

- Develop a performance assessment tool that provides integrated information on the institutional performance of municipalities against key indicators to enable strategic leadership over the local government sector which can potentially inform policy reform initiatives;

- To provide for a comprehensive and robust evidence base for providing customized support through intervention measures to municipalities in a coordinated and differentiated manner; and

- Guide national and provincial departments by means of the performance information obtained through the assessments to enable them to improve support municipalities in identified areas of underperformance.

The results from the assessments according to the Department of Performance and Monitoring and Evaluation (2012) will be used as a management tool for the Executive Mayor and Municipal Manager to reflect on the holistic performance of the municipality, and to take corrective steps to address areas of underperformance; a tool for coordinating the support and intervention programmes of provincial departments of local government & national departments and to tailor and integrate the support and intervention programmes according to the specific performance gaps for each municipality; and nationally, as a tool providing critical integrated municipal level information to enable strategic leadership over the local government sector and guide local government policy.

The stakeholders consulted, as noted by the Department of Performance and Monitoring and Evaluation (2013: slide 15), are the National Department of Cooperative Governance (DCoG), National Treasury, Department of Environmental Affairs, Department of Water Affairs, Department of Education, SALGA, North West Provincial Department of Cooperative Governance and Traditional Affairs, Gauteng

Provincial Department of Cooperative Governance and Traditional Affairs, South African Cities Network. While the Steering Committee according to the Department of Performance Monitoring and Evaluation (2013: slide 15) consists of DPME, national Department of Cooperative Governance, SALGA, Cities Network, and National Treasury Technical Assistance Unit established to oversee the programme.

The Standing Committee on Appropriations for the Municipal Assessment Tool and Summary Outcomes Report: Department of Performance Monitoring & Evaluation briefings (2013) details that the purpose of the pilot phase was to test the functionality of the tool and identify areas of improvements. In addition, the Standing Committee on Appropriations for the Municipal Assessment Tool and Summary Outcomes Report: Department of Performance Monitoring & Evaluation briefings (2013) indicated that the participating municipalities were selected from keen initiatives at the formulation stages of the tool, particularly in the North West and Gauteng, coupled with considerations of inclusivity and balance.

3.6.2 Implementation of Monitoring and Evaluation in Local Government

The implementation of M&E frameworks within local government as envisaged by the National Department of Performance Monitoring and Evaluation has been executed by the City of Johannesburg, the City of Cape Town and eThekwini Municipality, which are metropolitan municipalities.

3. 6.2.1 City of Johannesburg

The City of Johannesburg (2012:5) has aligned its Monitoring and Evaluation (M&E) framework to that of the National Department of Performance Monitoring and Evaluation Outcomes Approach (2011) and the GWME System of 2007 as the principles contain elements of good governance.

In addition, the City of Johannesburg (2012: 73) states that the envisioned M&E framework is directly linked to the short and medium-term planning, delivery, M&E mechanisms, and the associated reporting of the municipality. Furthermore, if implemented, according to the City of Johannesburg (2012:74), and utilised and supported appropriately, the M&E Framework will provide:

- A sound foundation for planning – and a mechanism to aid decision-making relating to resource usage, activities, projects and programmes;

- A framework through which to gather meaningful information that supports reflection, learning, adaptation and/or improvements;

- An approach which identifies issues or challenges timeously, where these may otherwise hamper delivery – and to adjust plans accordingly;

- A tool through which to assess delivery against plans, and to build greater understanding of causality and assumptions in project delivery, to support future replications of effective service provision;

- The means to support informed communication and engagement with stakeholders;

- A mechanism to enhance accountability in terms of the manner in which resources and public funds are put to use;

- A system through which to promote the principle of public participation – with input from members of the public aiding identification of challenges, new needs and/ or solutions, thereby supporting improved delivery; and

- Ultimately, a mechanism to improve the achievement of outcomes defined within the City's strategic plans and developmental objectives.

3. 6.2.2 City of Cape Town

According to the City of Cape Town (2011:5) the Urban Renewal Programme (URP) department of the City of Cape Town Municipality in 2011 commissioned a project to develop Urban Renewal Programme (URP) M&E mechanisms that were being implemented. The M&E mechanisms are applicable generally to urban development initiatives with similar objectives.

The aim of the Urban Renewal Programme (URP) M&E framework, as highlighted by the City of Cape Town (2011:5), was as follows:

- Developing M&E mechanisms and indicators for the programme as well as for the Urban Renewal Programme (URP) projects;

- M&E outcomes should assist in assessing whether the Urban Renewal Programme (URP) is achieving its intended objectives or not; and,

- Areas of weakness and strength.

Furthermore, the City of Cape Town (2011:8) notes that the formulation of Urban Renewal Programme (URP) in terms of the M&E mechanisms and project specific M&E are based on the GWME framework of 2007.

3. 6.2.3 eThekwini Municipality

At eThekwini Municipality, M&E occurs via the Organisational Performance M&E system which according to the eThekwini Municipality (2011) is specifically designed to determine whether the eight point plan as outlined in its IDP is implemented effectively.

M&E, according to eThekwini Municipality (2011), takes place in the form of the institutional scorecard which measures the strategic outcomes as set out in the Integrated Development Plan. In addition, eThekwini Municipality (2011) explains that this is done by quarterly monitoring and periodically evaluating predetermined key performance indicators linked to the Strategic Focus Areas (SFAs) in the IDP. The eThekwini Municipality (2011) clarifies that the Service Delivery and Budget and Implementation Plan (SDBIP) is the operational tool used to determine whether project targets for the various programmes which are linked to the institutional scorecard, are achieved.

Furthermore, eThekwini Municipality (2011) details that the fundamental elements of Organisational Performance M&E to realise its IDP are:

- Consultation with all its stakeholders;
- Strategic planning;
- Adhering to pre-determined standards to ensure quality;
- Accountability;
- Proper reporting lines; and
- Effective relationships between the other two spheres of government (national and provincial)

In terms of Reporting, the eThekwini Municipality (2011) highlights that M&E takes place on a quarterly basis through the submission of the Scorecard and SDBIP reports.

Thus, Organisational Performance M&E process not only monitor's performance within eThekwini Municipality, but adds value to short to long term planning and implementation.

3. 7 SUMMARY

The theme of M&E in the study was analysed in terms of the development of the concept, and the conceptualisation of the term. The analysis of the South African M&E system highlighted that the system is government-led and supported by numerous policy documents, frameworks and initiatives that have seen this rapidly evolving system gaining support.

The aim of the framework at the national and provincial level of government is to inculcate an efficient and synchronised public sector M&E programmes and policies that focus on performance outcomes. The ultimate goal is for decision-making to be based on evidence and data so that financial management and good governance principles are upheld, which was discussed by highlighting the good governance principles which can be supported by M&E. In addition, an overview of M&E within local government in South Africa highlighted the design, coordination and implementation gaps that exist and areas that need attention so that this sphere of government can reach its true developmental state status. However, pockets of excellence are evident as discussed in the implementation of M&E frameworks in local government section as highlighted in the three examples of M&E at three metropolitan municipalities, namely, the City of Cape Town, City of Johannesburg and eThekwini Municipality. Furthermore, Chapter three has shown the various legislative pieces which form the foundation, within the sphere of local government. These include the Municipal Systems Act, Municipal Structures Act and Municipal Finance Management Act.

This is an indication that these legislative pieces also shape the environment and context that needs to be created within municipalities for M&E to exist within local government. However, in comparing the number of national and provincial frameworks, the discussion draws attention to the local government sphere where policy and frameworks which speak directly to its environment are lacking.

In the next chapter, chapter four, the discussion will firstly look at the research methodology, research design and introduce the Stellenbosch Municipality as the case study.

CHAPTER FOUR:

RESEARCH DESIGN AND METHODLOGY

4.1 INTRODUCTION

Research, specifically scientific research according to Bless and Higson-Smith (2000:11), is the translation into practice of the relationship between facts and theory. Welman, Kruger and Mitchell (2005:2) expand on this definition by arguing that research is the process which includes obtaining scientific information by means of different methods and procedures.

This study focuses on the good governance and the M&E arrangements within Stellenbosch Municipality. The international conceptualisation for good governance is used as a point of departure for this inquiry. This study is useful as it can improve good governance within local government through the implementation of M&E arrangements.

This chapter will outline the research design, research methodology, and incorporate the main objectives of the study, the sampling techniques and data collection techniques.

4.2 KEY OBJECTIVES OF THE STUDY

In chapter one, the following key objectives were highlighted:

- To identify the extent to which the local sphere of government in South Africa is utilising M&E towards the achievement of good governance;

- To examine practical implementation of M&E within local government and identify opportunities for improved municipal governance;

- To analyse the good governance, and M&E arrangements being implemented within Stellenbosch Municipality; and

- To provide recommendations that can be implemented to enhance the existing good governance and M&E arrangements.

4.3 KEY QUESTIONS TO BE ANSWERED IN THIS RESEARCH

The following highlights the primary and secondary research questions which guides the study.

4.3.1 Primary Research Question

Taking into consideration the various legislation; mechanism; and arrangements within local government, the study will be guided by the following primary question:

How can the M&E arrangements be used to enhance good governance within the local sphere of government?

4.3.2. Secondary Research Questions

The following are the key secondary questions which were identified:

1. How effective is the South African local government sphere in using M&E to support efforts to promote good governance?
2. What are the lessons that can be learned from practice within South Africa to date, and how can this better inform the implementation strategy of M&E within municipal governance?
3. What are the current governance and M&E arrangements being implemented within Stellenbosch Municipality?
4. What recommendations can the study bring to the body of knowledge that exists in the fields of governance and M&E?

4.4 LIMITATIONS OF THE STUDY

After an initial informal discussion with the Performance Management Officer at Stellenbosch Municipality it became clear, due to the limited capacity within the municipality that conducting an extensive randomized survey as initially envisaged would not be viable.

The research took cognizance of the challenge that limited capacity within the Stellenbosch Municipality resulted in a small sample size and that more data could be generated by including the municipal council and conducting interviews with the municipal council. It must be noted that contact was made with the municipal council of Stellenbosch Municipality but due to their unavailability and busy schedules this unfortunately could not be arranged. In order to address this, the researcher decided to conduct semi-structured interviews with selected municipal officials within the Office of the Municipal Manager and the Directorate Strategy and Corporate Services.

4.5 RESEARCH DESIGN

Babbie and Mouton (1998:74-75) explain that the type of research design needs to be guided by the intended result it aims to achieve. Mouton (2001:55) further defines research design as the blueprint of how the researcher plans to conduct the proposed research. He explains the term by stating that the research design is focused on the end product and on the logic of the research (Mouton, 2001:56).

Within this conceptualisation, the study adopts an exploratory research design. Bless *et al.* (2006:47) notes that the aim of an exploratory study is to gain a comprehensive understanding of a situation or phenomenon. In this study, the concepts of good governance and, M&E will be explored. Methodological triangulation will be achieved through the use of a quantitative method (in the form of key indicators) and a qualitative research method (semi-structured interviews). In terms of the qualitative research method of this study, Webb and Auriacombe (2006: 600) note that the case study analysis allows for an exploratory approach. The case study in this research endeavour was Stellenbosch Municipality.

 In addition, Mouton (2001:149) contends that a case study approach is appropriate as Stellenbosch Municipality falls within one of the three spheres of government, specifically local government. The case study approach, according to Welman, Kruger & Mitchell (2005:25), allows the researcher to conduct in-depth analysis of complex issues or exploratory research.

4.5.1. Research Instruments

This study, which is qualitative in nature, made use of key indicators, semi-structured interviews and various documents to investigate the key objectives of this study.

4.5.1.1 Key indicators secondary data analysis

Bertram and Christiansen (2014:97) note that the researcher does not always have to collect new data for the study topic, as an alternative secondary data can be utilised and incorporated into the research. This research focuses on the South African local sphere of government, particularly the good governance principles. The data for the key indicators was gathered from published municipal documents. Secondary data analysis was selected to firstly provide evidence of the good governance principles being achieved through M&E. In addition, the secondary data analysis aimed to answer the research objective of improving good governance activities within local government through a M&E approach and specifically answer the research the primary research question of: *How can the M&E arrangements are used to enhance good governance within the local sphere of government?*

The indicators selected for this particular study include:

- engagement with the portfolio committees;
- audit outcomes; and
- functionality of ward committees.

4.5.1.2 Semi-Structured interviews

An interview is described as the direct personal contact with the participant and takes on the form of a conversation between the researcher and the respondent, according to Bertram and Christiansen (2014: 80). The researcher is responsible for setting the tone of the interview by asking questions.

Semi-structured interviews were conducted with the administration component of Stellenbosch Municipality, specifically the municipal manager and the senior managers within the Office of the Municipal Manager and the Directorate Corporate and Strategy. It must be noted that the researcher was able to schedule and conduct separate interviews with the individuals at a convenient date and time.

These semi-structured interviews were based on seven (7) questions to gain opinions on the key themes of this study, refer to addendum A. It must be noted that those municipal officials interviewed were assured of their confidentiality to foster objectivity in their responses. The semi-structured interviews consisted of 20-30 minute sessions with each participant.

The questions and themes that were covered during the semi-structured interviews were aligned to the key objectives of the study, and covered three main themes, namely, the municipal environment; good governance within the municipality; and M&E within Stellenbosch Municipality. The themes were covered in a specific order which started with the municipal environment to examine the internal and external influences of Stellenbosch Municipality; good governance within the municipality to determine the effectiveness of current governance arrangements; and M&E within Stellenbosch Municipality to investigate the extent of implementation of M&E mechanisms.

It must be noted that probing and follow up questions were asked so that the respondents could provide sufficient information.   The researcher made comprehensive written notes during the interviews held with the municipal officials.

Additionally, further information required for responding to the research questions, which was not solicited during the interviews, was sourced through the exchange of emails and phone calls shortly after the interviews.

4.5.1.3 Documents

Nieuwenhuis (2007:82) refers to primary sources as data that is unpublished but can be in a published form and which is gathered from participants, while secondary sources, refer to any material that is based on previously published works.   Secondary data (quantitative) will be sourced from previous research reports, annual reports, the IDP and the various policies of the municipality were used.

In this study, documentation is vital as numeric data such as the number of meetings held by the portfolio committees, audit outcomes and ward committee meetings is required.   In addition, documentation on other aspects related to good governance, and M&E arrangements were collected.   It must be noted here that, the selection of this research tool was due to the numeric data only be available from secondary sources.

4.5.1.4 Reliability and Validity of the Study

According to Welman, Kruger and Mitchell (2005:4), reliability is ensuring there is a consistent and stable measurement of data, while validity is important because the objective of the study must be representative of the research study.   In addition, Maree and van der Westhuizen (in Maree 2007:37) note that validity is concerned with ensuring quality, assurance and reliability in ensuring that the data collected is consistent.

The reliability of the data collection instruments, items contained in the questions used at the interviews and the secondary data analysis of indicators selected, were established during the initial study undertaken at Stellenbosch Municipality.   This

initial study included meeting with the performance management official and the manager of performance management, and discussing the current state of good governance, and M&E within the municipality, the aim of the intended research and the approach that would best suit the study.

The reliability of concepts, concerns and issues were established, as well as that there was consistency in the responses from respondents and interviewees during the data collection period. The validity of the data was established and related accurately to the topic under investigation. All data-collection sources are verifiable. In must be noted that objectivity was maintained during the recording of data in order to preserve data integrity, construct and content validity.

4.5.1.5 Data Analysis

Marshall and Rossman (in Berg 2009:53-54) note that data analysis is concerned with documentation of any analysis that was conducted by the researcher. Mouton (2001:108) explains that data analysis involves deconstructing the data retrieved into appropriate themes, patterns, trends and relationships with the aim of understanding the collected data. While secondary data analysis, which is utilised in this study in the form of the municipal reports, government publications, books and articles , according to Welman, Kruger and Mitchell (2005:149), who define secondary data as information collected by other organizations other than the researcher.

The qualitative data will be analysed from the notes collected during the semi-structured interviews conducted at Stellenbosch Municipality. While the quantitative component of the research utilised key indicators based on secondary data in the form of municipal documents. The indicators for the study are audit outcomes; functionality of ward committees, and engagement of portfolio committee.

The analysis will involve looking at the possible relationships that exist between the main themes of the study, namely good governance, and M&E. The collected data will be analysed in order to ascertain whether M&E supports good governance within local government, specifically municipalities. The link between M&E and good governance will be drawn from the experiences and responses of individuals.

Attention will be paid to trends and themes evolving from the qualitative data collected. The study will then formulate general conclusions.

4.6 RESEARCH METHODOLOGY

The word 'research', according to Welman, Kruger and Mitchell (2005:2), refers to the practise of obtaining scientific knowledge through various techniques and processes. Brynard and Hanekom (1997:4) define research as a systematic, multidimensional process through which data on a specific issue is collected and analysed to make scientific conclusions that will allow knowledge to be increased on a subject matter or issue.

This research utilised an exploratory research approach by implementing both qualitative and quantitative research methods in order to explore and describe the influence of M&E on good governance within local government. Creswell (2003:22) notes that an exploratory design is beneficial for the advantages of using both quantitative and qualitative approaches. The quantitative data will be collected by means of key indicators implementing secondary data analysis. The data for key indicators was gathered from published South African municipal documents, specifically Stellenbosch Municipality. In addition, qualitative data will be collected by means of the case study, which will implement semi-structured interviews.

4.6.1 Target Population

Bryman and Cramer (2001:96) define population as a discrete group of units of analysis. The sample is drawn from this population. Nichols (1991:50) suggests that in any research attempt, the researcher must clearly define the group of people or units that he or she is interested in studying. This group of people or units is the target population.

The main population for the study is the Stellenbosch Municipality, in the Western Cape of South Africa. The population area was selected due to the location being in close proximity to the researcher, and due to the Auditor-General's latest findings.

For practical reasons, the study will sample individuals working and concerned with good governance, and M&E activities within the municipality.   These individuals include senior municipal management officials, specifically within the Office of the Municipal, and the Directorate of Corporate and Strategic Services. It must also be noted that the rural municipality units that are responsible for conducting M&E cannot be compared with a metro municipality which has fully fledged M&E units.

4.6.2. Sample Definition and Size

Brynard and Hanekom (1997:44) state that a sample must be representative of the larger group or population and must include all elements of the population.   The sample size therefore depends on the purpose of the study and the population being studied.   Neuman (2003:232) notes that the sample size is directly influenced by the degree to which the sample can possibly represent the larger population.

The semi-structured interviews were directed and undertaken with the relevant municipal officials at Stellenbosch Municipality to gain more insight into the M&E and governance practices found in these municipalities.   In addition, the semi-structured interviews were conducted with the following participants: senior managers within the Directorate of Corporate and Strategic Services (Stellenbosch Municipality), performance management official (Stellenbosch Municipality).

The sample size of this study can be defined as the minimum prerequisite number of staff within the unit.   Due to the capacity within the Performance, IDP and Public Participation unit and the qualitative nature of this study, purposive sampling was selected.

4.7 ETHICAL CONSIDERATIONS

Maree and van der Westhuizen (in Maree 2007:41-42) state that it is important to include the ethical considerations, especially confidentiality in the research study.   In addition, Welman, Kruger and Mitchell (2005:181) highlight that ethical behaviour is vital and includes aspects of plagiarism and honesty in reporting in the research study. Objectivity was maintained when recording and collecting data.   The confidentiality

of interviewees and respondents were upheld throughout the research process. Within the research collection process or during the fieldwork phase objectivity was upheld when recording and collecting data. The privacy of interviewees was maintained during the research process.

In addition, regardless of the fact that the information utilised within this study is accessible to the public, ethical aspects were still considered in terms of:

- The protection of the documents of the municipality and department;
- There was no unnecessary interference with the working environment of the staff; and
- The study would not be used to abuse the nature of the information collected by the researcher.

4.8 SUMMARY

This chapter provided an outline of the overall planning of this study. The chapter highlighted the key objectives and the primary and secondary questions of this particular study. In addition, the chapter focused on the selected research design which is exploratory in purpose and qualitative in nature.

The research instruments selected are semi-structured interviews, key indicators of secondary data analysis and documentation. The case study which included the selection of Stellenbosch Municipality allowed for an in-depth analysis aimed at achieving the key objectives of this study and answering the primary and secondary questions of the study. Furthermore, chapter four highlighted the research methodology in terms of the target population sample definition and size.

The following chapter, chapter five, will focus on the presentation and analysis of the data collected. The presentation and analysis will be through the use of figures and tables. The emerging commonalities and differences will assist the researcher in giving meaning to the data collected within the research study.

CHAPTER FIVE: RESEARCH FINDINGS, PRESENTATION AND ANALYSIS: A CASE STUDY OF STELLENBOSCH MUNICIPALITY

5.1 INTRODUCTION

In chapter two the first theme of the study, good governance and in chapter three the second theme of the study, M&E was discussed. The literature chapters highlighted the South African experience and application of good governance and, M&E. By using Stellenbosch Municipality as the case study, the aim of this chapter, chapter five, is to link the empirical data collected with the available theory in highlighting the implementation of the good governance and, M&E mechanisms within local government. This chapter presents an analysis and presentation of the insights of employees with regards to their experiences with good governance and M&E. In so doing, the chapter provides an illustration of opinions on the implementation within the local government context. These findings have the potential to make M&E more effective in supporting good governance, especially within the local sphere of government. Furthermore, the chapter also introduces the good governance indicators selected which reflects M&E within local government.   The links between the indicator and M&E are now described.

5.2 GOOD GOVERNANCE AND MONITORING AND EVALUATION ARRANGEMENTS WITHIN STELLENBOSCH MUNICIPALITY

As seen in chapter two, Govender (2011: 22) has noted that governance can be defined as the quality of decisions; accountability; compliance and community participation resulting in local municipalities having to comply with legislation, regulations and corporate governance aspects. The following section is a discussion of the good governance, and the M&E arrangements within the Stellenbosch Municipality.

5.2.1. Corporate governance

In chapter two, Govender (2011:22) citing Fourier (2006), argued that, the aim of corporate governance is to ensure that organisations within the public sector undertake public accountability and that its activities are conducted according to ethical standards. The Stellenbosch Municipality, in its Annual Report (2012/2013), views corporate governance as a set of processes, practices, policies, laws and stakeholders affecting the way an institution is directed, administered and controlled. Corporate governance also encompasses the relationships between the many stakeholders involved and the goals for which the institution is governed. The Stellenbosch Municipality Integrated Development Plan (2014:40) details the following measures which forms part of its corporate governance:

a) Risk Management

In terms of Section 62 of the Municipal Finance Management Act (MFMA), No. 56 of 2003, the Accounting Officer (which is the Municipal Manager of a municipality) should take all reasonable steps to ensure that the municipality has and maintains effective, efficient and transparent systems of financial and risk management and internal control, as well as the effective, efficient and economical use of the resources of the municipality.

b) Anti-Corruption and anti-fraud

The Municipal Systems Act in Section 83(c) of the MSA, refers to the implementation of effective bidding structures to minimise the possibility of fraud and corruption, while the Municipal Finance Management Act (MFMA), section 112(1) (m) (i), identifies supply chain measures to be enforced to combat fraud and corruption, favouritism and unfair and irregular practices. Section 115(1), of the MFMA, further states that the accounting officer must take steps to ensure mechanisms and separation of duties in a supply chain management system to minimise the likelihood of corruption and fraud.

c) Audit Committee

The Municipal Audit Committee, appointed in terms of Section 166 of the MFMA, has also been appointed as the Performance Audit Committee.

In addition, Section 166(2) of the MFMA states that an audit committee is an independent advisory body that must:

(a) advise the municipal council, the political office-bearers, the accounting officer and the management staff of the municipality, on matters relating to –

- internal financial control and internal audit;

- risk management;

- accounting policies;

- the adequacy, reliability and accuracy of financial reporting information;

- performance management;

- effective governance;

- compliance with this Act, the annual Division of Revenue Act and any other applicable legislation;

- Performance evaluation; and any other issues referred to it by the municipality.

5.2.2. Community participation

Mle & Maclean (2011: 1377) note that the local sphere is the nearest sphere of government to citizens which makes it the ideal platform for interaction with citizens and a channel for citizens to communicate their needs to government. While Nzimakwe (2012:150), citing Ababio (2004), explains that community participation as the involvement of the community members in a wide range of administrative policy-making activities, including the determination of levels of service, budget priorities and other issues that affect the welfare of the community. From the above, Nzimakwe (2012:50) deduces that community participation is essentially local government allowing many people to be involved in the decision-making process, since communities are customers of local government. The legislation which addresses community participation within the local sphere of government includes; the Local Government: Municipal Systems Act of 2000 which states in Section 42 that a municipality, through appropriate mechanisms, processes and procedures established in terms of Chapter 4, must involve the local community in the development, implementation and review of the municipality's performance management system. Additionally, Chapter 4 allows for the community to participate

in the setting of appropriate key performance indicators and performance targets for the municipality.

Further, it must be noted that Stellenbosch Municipality implements the Ward Committee system to ensure community participation. The Stellenbosch Municipality Integrated Development Plan (2014:41) details that the objective of a ward committee is to enhance participatory democracy in local government which results in ward committees being part of local governance and an important way of achieving the aims of local governance and democracy mentioned in the Constitution of 1996.

The Stellenbosch Municipality Integrated Development Plan (2014:41) states that Ward committees provide the following structures for communities:

- representatives of a particular ward;
- members who represent various interests within the ward;
- chaired by the ward councillor;
- institutionalized channel of communication and interaction between communities and municipalities;
- community members given the opportunity to express their needs and opinions on issues that affect their lives, and
- be heard at the municipal level via the ward councillor.

Ward committees according to Stellenbosch Municipality (2014:41) must have the following features:

- Be elected by the community they serve;
- May not have more than 10 members and women should be well represented;
- Ward councillor serves on the ward committee and acts as the chairperson; and
- These committees play a very important role in the development and annual revision of the IDP of the area.

5.2.3. Intergovernmental relations

In chapter two, Govender (2011:28) citing Du Toit, Van der Waldt *et al* (1998), defines intergovernmental relations as the vertical and horizontal interactions between

governmental institutions which are affected by the level of government, fiscal relations and administrative considerations.

The Stellenbosch Municipality (2014:42) notes that effective inter-governmental relations structures are particularly significant to the developmental role of municipalities which can only be fulfilled through the active involvement of all spheres of government in the setting of priorities, resource allocation and development planning. However, Kuye and Ile (2007:70) note that intergovernmental relations require the following critical elements to be effective:

- Commitment;
- Communication;
- Capacity;
- Planning;
- Policy management;
- Project management, and
- Leadership.

The following outlines the intergovernmental structures at the various spheres of government, namely, national; provincial and local which Stellenbosch municipality is aligned to as detailed in the Stellenbosch Municipality Integrated Development Plan (2014:42):

- *National Intergovernmental Structures*

The national Department of Cooperative Governance and Traditional Affairs facilitates a national forum for all municipal managers in South Africa. This national forum is called the National Forum or the Municipal Managers Forum which meets twice a year to discuss new legislation and its implications, as well as the various challenges within local government.

- *Provincial Intergovernmental Structures*

Stellenbosch Municipality actively participates in the MINMAY which includes Provincial Ministers, Provincial Heads of Departments, Mayors and Municipal Managers and the Premiers Coordinating Forum which take place at the provincial

sphere of government. These provincial forums provide a platform for stimulating and networking opportunities to discuss the challenges and cooperation opportunities within local government. The provincial led forums are facilitated by the Western Cape Department of Local Government. Additionally, Stellenbosch Municipality also participates includes the Provincial IDP Managers Forum; Provincial Public Participation and Communication Forum; and the Provincial Predetermined Objectives (PDO) Forum.

The Western Cape Department of Local Government in its *Consolidated Annual Municipal Performance Report 2013/2014*, details that in terms of Municipal performance monitoring will provide the following for municipalities:

- Assistance with the development of Standard Operating Procedures (SOPs) in regard to Indicators;
- Support with the standardisation of reporting to National Treasury and National Department of Cooperative Governance and Traditional Affairs;
- Support with the Annual Report template;
- Support with the development of an Integrated Reporting System; and
- The development of an indicator database (PDOs) for all municipalities.

- *District Intergovernmental Structures*

In complying with the Intergovernmental Relations Framework Act, No. 13 of 2005, the Cape Winelands District Municipality has established the District Coordinating Forum which is chaired by the Executive Mayor of the Cape Winelands District Municipality. The aim of the forum is to promote and facilitate intergovernmental relations between the district municipality and the local municipalities within the District.

The Stellenbosch Municipality participates in this forum and the Cape Winelands District Municipal Managers Forum and as a result benefits from this involvement by being exposed to good practices in other municipalities, and strengthening the relationship with the district municipality in forging joint partnerships in the interest of good governance and service delivery.

5.2.4. Municipal Assessment Tool implementation within Stellenbosch Municipality

The researcher notes that the MAT has not been implemented within Stellenbosch Municipality. The Department of Performance Monitoring and Evaluation (2013: slide 16) explains that the draft Municipal Assessment Tool is in the pilot phase and the aim of the pilot phase is to test the tool in terms of functionality, application, relevance within the local sphere of government targeting metro municipalities, district municipalities and local municipalities i.e. Category A, B and C municipalities to identify areas of improvement in the tool through lessons learned. In addition, the Department of Performance Monitoring and Evaluation (2013: slide 16) notes that the municipalities which were chosen to be part of the pilot were selected on the merit of a mix of large and small and urban and rural.

Participating municipalities in the pilot phase include: City of Tshwane, Msunduzi, Buffalo City, Cape Town, Moretele LM, Moses Kotane LM, Rustenburg LM, Naledi LM, Lekwa-Teemane LM, Dr Ruth Segomotsi Mompati DM, Bojanala Platinum DM and most of these municipalities are found in the North-West and Gauteng provinces in particular.

5. 3 SELECTED GOOD GOVERNANCE INDICATORS THAT REFLECT MONITORING AND EVALUATION

The following section provides an explanation of how the good governance indicators selected is influenced by Monitoring and Evaluation. As confirmed in Chapter three by Govender (2011) and Mackay (2007), the good governance principles of transparency, accountability and participation are influenced by M&E. The aim of the section is to highlight the link between good governance and, M&E as indicated in chapter three. By highlighting the link, we are able to answer the research question which is how effective is the South African local government sphere in using M&E to support good governance efforts? The section discusses each indicator and the related indicators.

Therefore, the following section introduces and explains the relevance of the three principles of good governance and the selected indicators which reflect these good governance principles.

5.3.1. Accountability

Ntshakala and Nzimakwe (2013:114) define accountability as the quest for decision-makers in the private, public and community sectors to be held accountable to the general public and institutional stakeholders.

While Fox (2010: 140) states that accountability needs to be conceptualised according to the following:

- The responsibility of government towards the public to achieve the predetermined goals and objectives and to held accountable;
- The commitment required from public officials to accept public responsibility for either action or inaction; and
- The understood obligation of the sub-ordinates active in the public sector to keep senior managers informed of their execution of duties.

Therefore, accountability is then the duty of the executing organization to provide disclosure about information that impacts on individuals aligned to the executing organisation. Accountability is influenced by M&E by making resources readily available and the municipality being open to scrutiny from the community they serve. From the above definitions of the good governance principle of accountability, the indicator chosen is audit outcomes.

5.3.1.1 Audit outcomes

An audit outcome in terms of the study is an indicator by the municipality on the outcomes achieved when the Auditor-General measures the financial performance of the municipality. Audit outcomes was selected as a key outcome factor, as the feedback received from the Auditor-General provides a reflection of the level of accountability within the municipality, specifically with regards to the management of public finances.

5.3.2. Community participation

In chapter two Ntshakala and Nzimakwe (2013:114) explain that community participation is the expectation that communities will be directly involved in decision-making within municipal affairs. Furthermore, Silima and Auriacombe (2013: 45) stated that community participation is important for:

- The needs of the community is addressed;
- The community becomes informed and educated about municipal; and
- Cooperation from the community and relevant stakeholders.

Thus, as noted in chapter two, community participation is the platform used to educate communities and interaction by municipalities to ensure their community is actively involved in decisions that directly affect service delivered to the community. Community participation also allows opportunity for communities to monitor if municipalities are delivering services. The community participation principle will be represented by the functionality of ward committees as an indicator.

5.3.2.1 Functionality of Ward Committees

Functionality of ward committees was selected as an indicator as this refers to how well the specific ward is working. This indicator will show how often meetings are held, whether a committee was established or not, the number of reports submitted, and whether the committee is functioning effectively or not.

5.3.3. Transparency

Fox (2010:137) defines transparency as all activities pertaining to public management and administration taking place in public and not under the guise of secrecy or confidentiality. In addition, Ntshakala and Nzimakwe (2013:114) explain that transparency can be understood as the free flow of information. M&E influences the good governance principle of transparency, as all information in the possession of government must be made publically available. From the definitions of the good governance principle transparency, the indicator Engagement of Portfolio Committees was selected.

5. 3.3.1 Engagement of Portfolio Committees

In the context of this study which is local government, engagement of portfolio committees is an indicator related to transparency because portfolio committees play an oversight role within municipalities, and portfolio committees discuss and debate municipal policy depending on the portfolio. This indicator highlights whether or not the municipality has adopted Section 79 and 80 of the Municipal Structures Act, 1998.

5.4. PRESENTATION OF RESULTS OF GOOD GOVERNNACE INDICATORS

The following section utilised data from the Annual Report 2013/2014 of Stellenbosch Municipality.

The results are presented according to the three good governance principles selected for this study which is accountability, community participation and transparency.

5.4.1. Accountability indicator 1: Audit outcomes

Method of collection

The audit outcome from the audit done by the Auditor-General for Stellenbosch Municipality as detailed in the Stellenbosch Municipality Annual Report 2013/2014 indicates an unqualified audit report as illustrated in Table 5.1. The purpose of an unqualified report indicator ensures that auditing within the municipality is operating correctly without any errors.

Table 5.1: Stellenbosch Municipality Audit outcomes, 2009 to 2014

Year	2009/10	2010/11	2011/12	2012/13	2013/14
Status	Unqualified	Unqualified	Unqualified	Unqualified	Unqualified

Source: Stellenbosch Municipality Annual Report 2013/2014

Analysis

Stellenbosch Municipality has for the past five years received an unqualified audit report.

This is an indication that in terms of accountability, as a good governance principle, the audit outcomes of an unqualified report highlights that Stellenbosch Municipality has good operational activities in terms of correct representation of their financial statements and reports. In addition, the Stellenbosch Municipality Annual Report (2013/2014) state that the unqualified report means that its financial statements, financial position, financial performance are according to the relevant regulations and standards.

5.4. 2. Public participation indicator 1: Functionality of Ward Committees

Method of Collection

The Local Government: Municipal Structures Act, 1998 in terms of Section 72 (3), gives effect to the role and importance of ward committees within local government in key municipal processes, such as the IDP, municipal budgeting, and municipal performance and monitoring processes. Silima and Auriacombe (2013:46) detail that the key role of ward committees is to facilitate community participation and other governance matters such as planning, implementation and municipal M&E.

From the above, the functionality of the ward committees, as an indicator, involves determining if the ward committee system utilised for a particular municipality, is effective. The Functionality of Ward Committees data as illustrated in Table 5.2 was derived from the Stellenbosch Municipality Annual Report 2013/2014.

Table 5.2: Functionality of Ward Committees

Ward Number	Committee established	Number of reports submitted to Speaker/IDP Office	Number of meeting held during the year
1	Yes	7	9
2	Yes	3	4
3	Yes	8	10
4	Yes	3	3
5	Yes	10	14
6	Yes	8	9
7	Yes	9	9
8	Yes	1	1
9	No	0	0
10	Yes	6	7
11	Yes	8	8
12	Yes	8	8
13	Yes	8	8
14	Yes	4	5
15	Yes	4	4
16	Yes	9	10
17	Yes	10	11
18	Yes	5	5
19	Yes	9	10
20	Yes	8	10
21	Yes	8	10
22	Yes	8	8

Source: Stellenbosch Municipality Annual Report 2013/2014

Analysis

From the above data presented in Figure 5.1, the Stellenbosch Municipality is implementing an active and effective ward committee system.
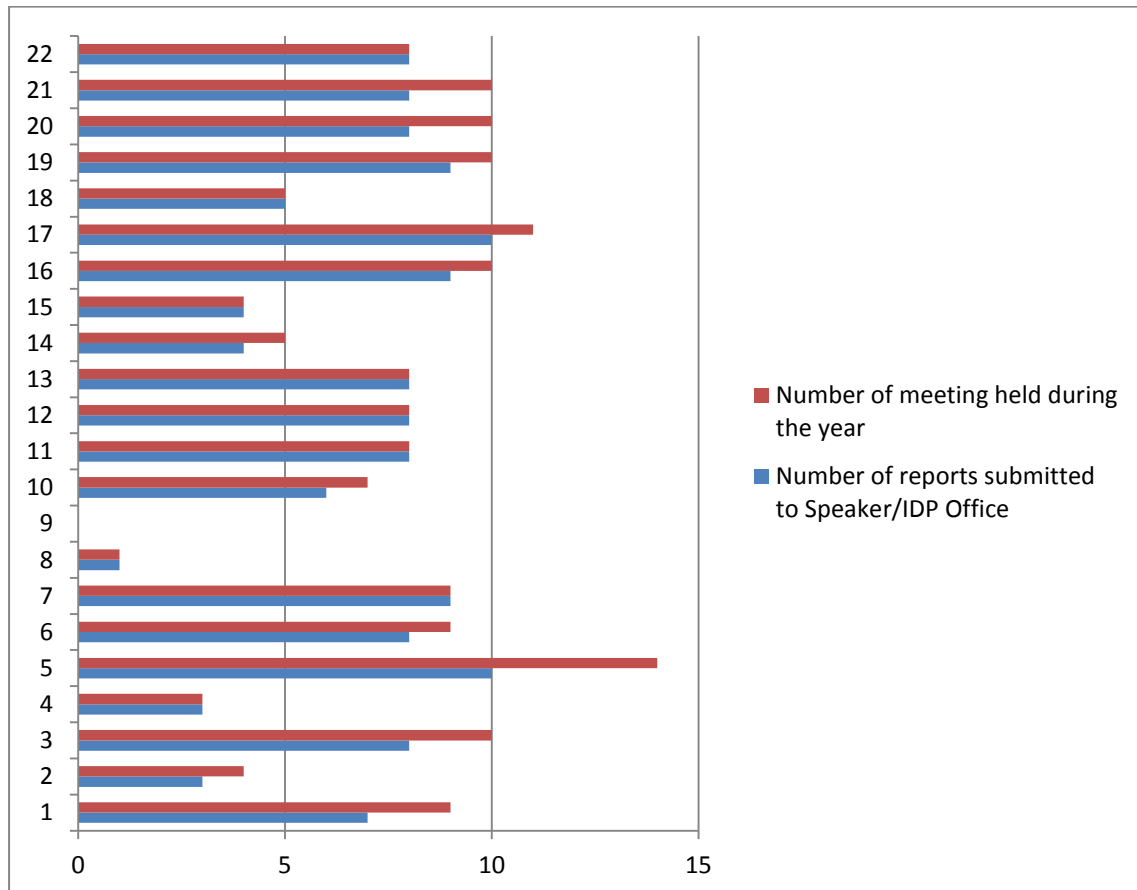
Figure 5.1: Functionality of Ward Committees

This is further supported by the number of reports submitted to the Speaker or IDP office, and the number of meetings held for the financial year 2013/2014. Success here could be due to the municipality having developed a policy and procedure for Ward Committees which guides, stipulates the functioning of the ward committees and the legislative arrangements pertaining to Ward Committees.

5. 4.3. Transparency indicator 1: Engagement of Portfolio Committees

Method of Collection

The indicator of engagement of portfolio committees is relevant to the good governance principle of transparency, as portfolio committees provide an oversight and a M&E role for municipalities in the various specific functional areas. The

portfolio committee will monitor and evaluate whether the specific functional area is effective, and that delivery of services is taking place.

Table 5.3: Engagement of Portfolio Committees

Portfolio Committee	Number of Meetings held	Number of reports submitted
Planning and Economic Development	11	67
Engineering Services and Human Settlements	9	82
Finance and Strategic and Corporate Services	9	71
Community Services and Public Safety	8	45

Source: Stellenbosch Municipality Annual Report 2013/2014

Analysis

The data presented in figure 5.2, the engagement of portfolio committees indicate that the portfolio committees at Stellenbosch Municipality are efficient and effective as there are regular meetings being held with the various specific functional areas.

Figure 5.2: Engagement with Portfolio Committees 2013/2014

In addition, the portfolio committees for th various functional areas submit reports consistently. This is aligned to the *Roles and Responsibilities of Political Structures, Political Office Bearers and the Municipal Manager Policy (2013)* document of Stellenbosch Municipality, which details the role that portfolio committee, plays in the municipality.
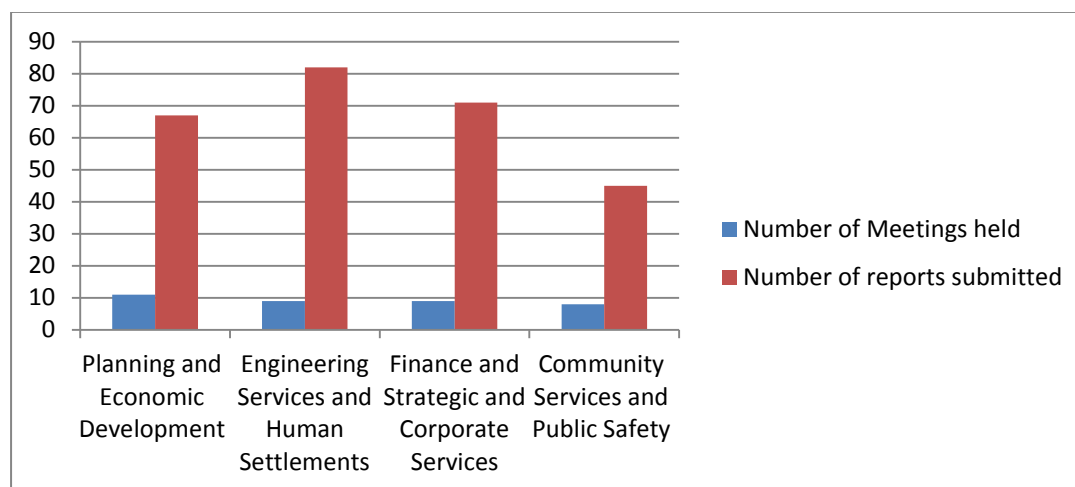
5.5. PRESENTATION OF RESPONSES TO SEMI-STRUCTURES INTERVIEWS

In the following section the responses by the municipal officials to the semi-structured interviews will be discussed. These are based on the semi-structured interviews conducted with the Performance Management Officer (Directorate Strategic and Corporate Services); Department Head: Document Management (Directorate Strategic and Corporate Services); Manager: Communications (Directorate Strategic and Corporate Services); Acting Information and Communication Technology Manager (Directorate Strategic and Corporate Services), and the Municipal Manager (Office of the Municipal Manager). These semi-structured interviews were conducted with the municipal officials to determine the status of good governance and M&E within Stellenbosch Municipality. The questions were based on the whether or not good governance and M&E mechanisms were being implemented within the municipality.

Table 5.4: Number of responses received through the semi-structured interviews

Responsibility within Stellenbosch Municipality	Number of responses
Office of the Municipal Manager	1
Directorate Strategic & Corporate Services	4

5.5.1 Municipal environment

Ayee (2008:27) states that good governance is a requirement for sustainable growth and development because it is related to the necessary creation of extra economic conditions as it refers to the adaptation and improvement of market-orientated systems in a certain social-economic context. This means that good governance creates an environment that allows programmes to take place that are aimed at economic growth and structural adjustment.

However, as Phago (2009:489-490) explained in Chapter two, the IDP is presently failing due to challenges found in the local government environment. These include aspects such as lack of community participation; the legislative frameworks are broad and do not speak directly to service delivery; socio-economic conditions such as unemployment and historical underdevelopment; and the state of the national economy.

After the information was gathered from the semi-structured interviews and evaluated, it was clear that the municipal environment with regards to the elements of political, social, economic greatly impacted on good governance principles. According to the Communications Manager (Directorate Strategic & Corporate Services) the political environment is unpredictable yet very active.

The economic environment is challenging as departments often do not have enough resources. The Acting Information and Communication Technology Manager (Directorate Strategic & Corporate Services) reflected that the economic environment relates to procurement issues and stunts service delivery. Further, it was found that the political environment impacts on the functionality of the municipality, thus resulting in good governance and poor service delivery. In addition, the social environment impacts the work environment.

The Performance Management Officer (Directorate Strategic & Corporate Services) notes that the political environment creates tension within the municipality as ward councillors looking at interest of community and the economic environment creates a dependent environment within community. While according to the Municipal Manager (Office of the Municipal Manager), the political environment is stable at the moment as there is just one party in council and the social environment is dynamic directly related to the economy. The Municipal Manager notes that within the municipality there is a stark contrast between rich and poor as this makes balancing service delivery demands difficult. In addition, the economic environment is currently experiencing a positive growth rate with high rate of investment.

The Departmental Head of Document Management (Directorate Strategic & Corporate Services) highlights that within local government there ought to be clear

lines or understanding by politicians, and that the rule is that politicians should not interfere with the administrative operations of a municipality. In terms of the socio-economic environment, the Departmental Head of Document Management (Directorate Strategic & Corporate Services) notes that this particular environment has a great influence as it has a direct impact on affordability of services. While the economic environment is in a good financial state as the municipality is one of few municipalities' not struggling financial resources, as it has a good base to generate rates and taxes.

5.5.2 Good governance

Samaratunge and Pillay (2011:394) highlighted in Chapter two that the South African experience of good governance is designed and is being managed with archaic principles, which has led to poor governance as the public sector has reinforced the inequality that threatens democracy. As mentioned in Chapter two, the IDP in conjunction with the various legislative pieces must act as the foundation of good governance within local government.

Based on the semi-structured interviews conducted with the Performance Management Officer (Directorate Strategic & Corporate Services) and the Municipal Manager (Office of the Municipal Manager), both indicated that the governance processes are implementing the available legislation especially the Municipal Financial Management Act and the Municipal Systems Act. On the other hand, the governance mechanisms involve legislation and engagement between managers and municipal council. In addition, according to the Acting ICT Manager (Directorate Strategic & Corporate Services), the Municipal Financial Management Act is a good governance guide. While the Departmental Head of Document Management (Directorate Strategic & Corporate Services), further notes that governance processes and mechanisms take place in the form of Structure municipal council and committees; public participation processes; council meetings and the Integrated Development meetings or sessions. This view is supported by the Communication Manager (Directorate Strategic & Corporate Services), who notes that Committees of Council; Public Participation and Supply Chain Management form part of the governance mechanisms and processes.

5.5.3 Monitoring and Evaluation

In Chapter three, Govender (2013:815) noted that the M&E in South Africa, within the public sector, has the ability to provide information that can be used for evidence-based policy assessment for the improvement of governance purposes and public sector performance. This view was supported by Dassah and Uken (2006:718) who in Chapter three explained that within the South African context of public sector, the findings from the implementation of M&E provide useful feedback for improving the sector.

The semi-structured interviews established that, according to the Performance Management Officer (Directorate Strategic & Corporate Services), M&E within Stellenbosch Municipality, is a fairly new concept, and that M&E essentially looks at seeing if what is promised is delivered, and that improvements have been made where goals are not met. The Municipal Manager (Office of the Municipal Manager), notes that monitoring is seeing if service delivery is happening according to the targets and agreed standards of the public, and that evaluation is seeing if what they are doing is effective, specifically with regards to the implementation of the IDP, and to question whether the delivery of services is taking place within an environment of creating co-operation. According to the Communications Manager (Directorate Strategic & Corporate Services), monitoring can be defined as simply meaning tracking the progress or lack of progress in reaching a set target while evaluation could be defined as measuring whether a set target has been met and to what degree. The Acting ICT Manager (Directorate Strategic & Corporate Services) notes that the challenges related to M&E include the uptake, utilisation and mind-set changes in people who are set in their ways as the system is a new system. In addition, according to the Departmental Head of Document Management (Directorate Strategic & Corporate Services), challenges with regards to M&E are that there is no proper structure in place, there is a lack of qualified staff in Performance Management positions to implement the Performance Management System within the municipality. According to the Performance Management Officer (Directorate Strategic & Corporate Services), M&E can be improved within Stellenbosch Municipality by all the directors becoming involved in motivating their staff. While the Municipal Manager (Office of the Municipal Manager) notes that a better understanding by councillors and the implementation must be done in a phase-in approach with the help of team work.

5.6. SUMMARY

The aim of this chapter, chapter five was to present and analyse the findings of this study. The study focused on Stellenbosch Municipality as a case study; the chapter aimed to link the empirical data collected with the available theory in highlighting the implementation of the good governance and, M&E mechanisms within local government. This chapter also presented the insights of employees with regards to their experiences with good governance and, M&E, in this manner, provided an illustration of opinions on the implementation within the local government context. This has the potential to make M&E more effective in the promotion of good governance, especially within the local sphere of government.

For the purposes of the study, semi-structured interviews and observations were used (see Annexure A and B). In the current study, five (5) semi-structured interviews and three (3) observations were conducted with municipal officials in the Directorate Corporate and Strategic Services and Office of the Municipal Manager at Stellenbosch Municipality. This provided information on how good governance and, M&E were implemented within the municipality.

Chapter five aims to link the empirical data collected with the available theory in highlighting the implementation of the good governance and, M&E mechanisms within local government. This chapter is also a presentation of the insights of employees with regards to their experiences with good governance and, M&E, in this manner, provides an illustration of opinions on the implementation within the local government context. This has the potential to make M&E more effective in the promotion of good governance, especially within the local sphere of government.

CHAPTER SIX:

CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

The purpose of this study was to enhance the understanding of good governance and, M&E within local government; understand the link between good governance and M&E; review existing M&E policies that responded to the threats against good governance; and contribute to new policy knowledge so that good governance guidelines and mechanisms can be improved. The overall aim of this study was to determine the effectiveness and existence of good governance arrangements relating to the implementation of M&E activities within local government, specifically the Stellenbosch Municipality.

Chapter one provided an introduction, and a background was given in terms of the concept of good governance that can be promoted through M&E. The focus of the study was local government, specifically the case study of Stellenbosch Municipality located in the Western Cape Province, South Africa. In addition, a motivation, the research objectives, research design and methodology were discussed to specify the direction of the study. It must be noted that the key themes were briefly discussed and a chapter outline was provided.

The second chapter, Chapter two concentrated on the first theme of this study, which is good governance. The aim of chapter two was to allow for an in-depth understanding with regards to the theory of the key variable of good governance. The literature review discussed the concept of good governance, as well as its history, development and application in the international environment and in South Africa. It analysed the schools of thought relating to the concepts while describing the local sphere of government application of the concept in South Africa.

Chapter three was an examination of the second theme for the study, which is M&E. It discussed the conceptualisation, development and application of M&E within African, as well as the South African context.

In addition, the chapter highlighted the application of the concept of M&E within the local sphere of government. The application also drew attention the various M&E mechanisms available within the local sphere of government. In addition, the implementation of M&E was highlighted with examples illustrated.

Chapter four provided an outline of the overall planning of this study. The chapter highlighted the key objectives and the primary and secondary questions of this particular study. In addition, the chapter focused on the selected research design which is exploratory in purpose and qualitative in nature. The research instruments semi-structured interviews, key indicators secondary data analysis and documentation.

Chapter five discussed the good governance and, the M&E arrangements in terms of the case of Stellenbosch Municipality. The chapter provided an in-depth analysis and evaluation of the data collected. The research findings and results were analysed and discussed within the framework of the particular research aims and variables. In addition, the analysis of the findings was discussed in terms, which utilised the semi-structured interviews and observation to collect data. This data was analysed and presented.

The purpose of chapter six – the concluding chapter – is to present conclusions and to provide recommendations emanating from the study. Chapter six therefore draws from the previous chapters to make sense and provide direction in terms of possible solutions through recommendations. It must be noted that the conclusions form the foundation for the recommendations that ensue, which can be practically applied or provide the background for further research in the field of public administration.

6.2 CONCLUSIONS

In alignment with the main objectives of the study and the key themes identified in chapter one, the conclusions from the study will now be presented. These key themes are public administration and good governance; local government; and M&E.

6.2.1 Conclusions from the Literature Review

6.2.1.1 Public Administration and Good governance

The field of Public Administration is changing and adapting in theory, with parallel global dynamic changes occurring in the social, political, technological and economic environments. There is an attempt within the field of public administration to constantly balance the various contradicting views and experiences about the current social problems within the developed and developing contexts, and the role and responsibility of government in overcoming these social problems. This is particularly evident in the local sphere of government in the South African context as there is a constant challenge to balance the political and administrative components and ensure positive synergy between these components that have a direct impact and influence on governance.

Good governance, as a concept within the field of public administration, is currently being referred to as the method in which policies and strategies are developed; the level of effectiveness and efficiency achieved; the level of legitimacy so that cooperation is achieved; and the focus on innovative processes and arrangements to overcome the plethora of socio-economic issues being experienced. However, whilst good governance is seen as good only when characteristics of participation, rule of law, ethics, transparency, accountability and democracy can be identified, issues such as deviations in the form of corruption, and the extent to which governments are able to serve their citizens, remain a challenge.

In the local sphere of government, good governance is about complying with the regulations and norms set out by the Auditor-General and adhering to the processes rather than being inculcated within the leadership of the political and administrative governance components and structures of municipalities that are vital to achieving good governance. Thus, the concept of good governance and its history and development indicate that reform within the field of public administration greatly influences strategy and policy direction.

In order to achieve good governance, public administrators must adopt an integrated framework, which includes values such as ethics, accountability and transparency underpinning planning and decision-making processes. The result is that good governance principles will then be demonstrated and displayed in order for government to function and achieve success.

6.2.1.2 Monitoring and Evaluation

The literature review shows that M&E is continuously adapting to the current contexts in which it is implemented and utilised. The literature review highlighted that the South African M&E system has been rapidly developed and implemented due to it being a government-led system that is founded on the principles contained within the Constitution and the Batho Pele Paper. This system is moving away from being classified as an emerging system due to the numerous policy documents, frameworks and initiatives that have seen this rapidly evolving system gaining support.

The literature has highlighted stark contrasts between the three spheres of government in South Africa in the M&E policy frameworks. At the national and provincial sphere of government is well guided by the numerous policy frameworks, however, the local sphere has not had the same experience. This can be attributed to no formal policy of M&E within the local sphere of government which guides its successful institutionalisation. The challenge is for M&E policy to be transformed into strategies that can be translated into development outcomes and public sector performance deliverables and hence lead to achieving governance. M&E policy needs to focus on creating processes for public administrators to become results-based and performance orientated. Strategies must also be formulated that will allow policy to become inculcated within public administrator processes. This is especially necessary within the local sphere of government, as a gap exists in converting and transforming the available legislation, specifically the Municipal Systems Act, into a municipal institutional M&E system.

6.2.2 Conclusions from the Case Study

There are a number of conclusions that can be drawn from the comparative study, which are in line with the objectives of this study.

Objective One: To identify how effective the local sphere of government in South Africa is utilising M&E for good governance efforts.

It must be noted that local government is a complex and highly legislated environment coupled with the differing contexts in terms of the category a municipality falls, which determines the financial and capacity components, and obligations, which impact on the local sphere of government. This needs to be addressed, as this impacts and influences the good governance arrangements within the municipality. However, it is evident that the arrangements for good governance as discussed in the case study are adequate at Stellenbosch Municipality. The problem arises out of the disjuncture between the legislative guidelines, the policy frameworks, and the abilities of the implementers.

In terms of the M&E arrangements, the study revealed that capacity within the three municipalities was inadequate in relation to the massive workloads of employees and required duties and tasks in job descriptions. This was preventing M&E arrangements such as the MAT being formalised within the municipality.

Objective Two: To explore the extent of practical implementation within South Africa and how this can improve M&E strategies within local government.

This study revealed that M&E takes place within the local sphere of government through good governance arrangements which monitor and evaluate the organisational and institutional performance. Whilst the Municipal Systems Act has mandated municipalities to formulate performance management systems, the coordination and implementation of these systems must be addressed. In terms of capacity, it was indicated in this case study, that all municipal officials, including senior management, should undergo M&E policy-specific training and development. The respondents at the municipality were of the opinion that by undergoing training and development the result will be more knowledgeable and competent officials who will guide their roles and responsibilities.

From the case study the MAT was not implemented within Stellenbosch Municipality. In addition, it must be noted that the MAT is only in its pilot phase.

Objective Three: To analyse the good governance, and the M&E arrangements being implemented within Stellenbosch Municipality.

The study highlighted that within local government, the various good governance arrangements which include accountability, transparency and public participation, laid the foundation for the practical implementation of M&E within local government. The study draws attention to the appearance of an inability by the current system to work from a bottom-up approach, where the needs of local government are the starting point. This study revealed that municipal officials find this challenging. This issue arises out of the tendency of municipal officials to focus on complying with numerous mandates. If M&E strategies are set to improve, local government municipal officials need to have a better understanding of their role and impact of M&E on the governance mechanisms.

Taking the above conclusions on the case study into account, as well as the results obtained in chapter five, the following section discusses recommendations that can be utilised and implemented within the local sphere of government.

6.3 RECOMMENDATIONS

With the above conclusions as a point of departure, this section offers recommendations stemming from the literature review and the comparative study. These recommendations are made in terms of the objectives of the key concepts of this study. The following are recommended to assist in making the municipalities functional and for good governance to be promoted through M&E.

Formulation of an M&E policy framework specifically for local government i.e. Municipal Wide Monitoring and Evaluation (MWM&E)

The Department of Performance Monitoring and Evaluation in collaboration with the COGTA should become responsible for formulating a policy framework guideline for M&E to be implemented within municipalities.

The aim of the policy framework should be to offer municipalities a guideline and platform which implements, assesses, monitors, measures and evaluates the institutional performance within municipalities. The institutional local government M&E policy should entail a framework that describes and addresses how the municipality's processes and cycles can be organised and managed.

The institutional local government M&E policy must, through a systems approach, be implemented so that municipal officials can develop a systems thinking guided by norms and standards. This will allow for M&E to be seen as a catalyst and instrument for achieving good governance.

Implementation of the Department of Performance Monitoring and Evaluation Municipal Assessment Tool

The Department of Performance Monitoring and Evaluation must complete the pilot phase of the draft MAT so that corrective measures and improvements can be drafted to overcome possible challenges that were experienced. The following phase should be to the second pilot phase which tests the MAT on a wider scale to selected municipalities this must be a combination of metro, district and local municipalities within South Africa. This needs to be done so that the current state of local government can be assessed by looking beyond the reports of the Auditor-General, and to test the corrections that were introduced can be tested. The municipal assessment tool must, in its key performance area of governance, include aspects of democracy with standards for public participation, and transparency, as well as standards for reporting mechanisms and accountability.

Training and development for municipal officials utilising intergovernmental relations structures

COGTA are to take responsibility and seriously invest in training and development through increasing budgets available within municipalities so that a uniform human resource development framework is in place. This will allow municipalities to bi-annually train and develop their municipal administration, including the municipal manager and municipal council, which are to include the mayor and councillors, in the areas of good governance and M&E.

The applicable skills and training must include theoretical and practical knowledge for all role players within the local sphere of government. This will enable municipal officials to clearly understand their roles and responsibilities and also allow them to articulate themselves so that the common goals of the municipality can be achieved.
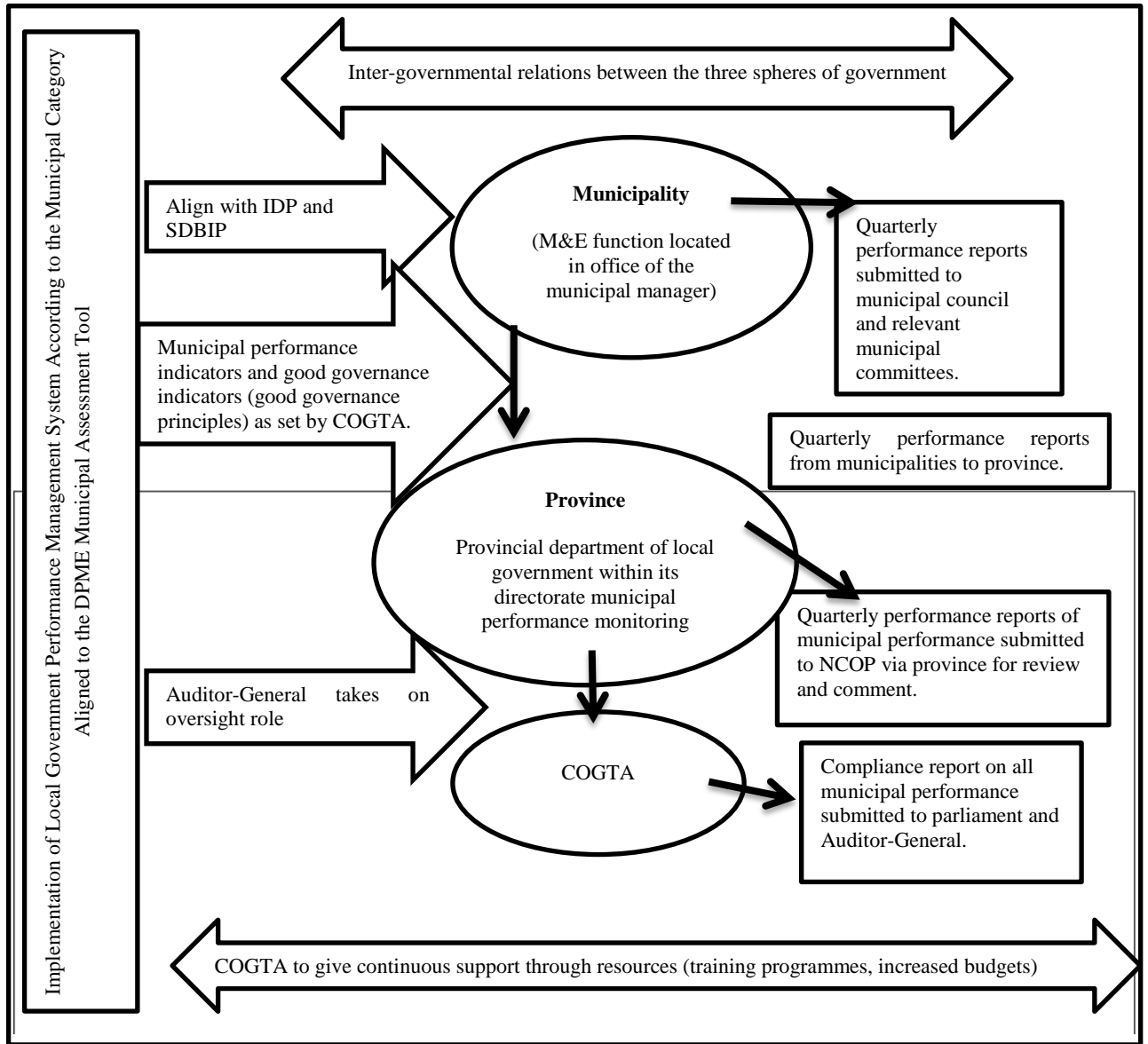
Implement a uniform municipal good governance framework

To inculcate a culture of good governance, COGTA are to be responsible for formulating a municipal good governance integrated framework. The municipal good governance framework is a tool based on the key pillars of leadership, governance, institutional capacity and financial management.

COGTA needs to therefore take on the role of the champion and lend capacity through the provincial departments that have the necessary structures in place. The purpose of a uniform municipal good governance framework is to instil the same framework in all municipalities, regardless of organisational size and geographical location, in order to achieve a clean audit report, effective service delivery and ultimately inculcate a culture of good governance.

The Municipal Good Governance Integrated Framework is to comprise of various strategies aimed at instilling good governance. The various strategies should include anti-corruption, leadership strategies aimed at senior management and capacity strategies, including human capacity development and financial management strategies that include National Treasury guidelines.

The framework must detail the clearly defined roles and responsibilities of the municipal manager as the accounting officer, the municipal council and all municipal officials. The role of provincial government, besides for lending capacity, is as the oversight body so that objectivity and no political influence can be maintained. Thus, the recommendations above resulted into the following proposed model with integrated structures and role-players that need to drive good governance through an M&E approach within local government.

Implementation of Local Government Performance Management System According to the Municipal Category Aligned to the DPME Municipal Assessment Tool

Inter-governmental relations between the three spheres of government

Align with IDP and SDBIP

Municipal performance indicators and good governance indicators (good governance principles) as set by COGTA.

Municipality

(M&E function located in office of the municipal manager)

Quarterly performance reports submitted to municipal council and relevant municipal committees.

Quarterly performance reports from municipalities to province.

Province

Provincial department of local government within its directorate municipal performance monitoring

Quarterly performance reports of municipal performance submitted to NCOP via province for review and comment.

Auditor-General takes on oversight role

COGTA

Compliance report on all municipal performance submitted to parliament and Auditor-General.

COGTA to give continuous support through resources (training programmes, increased budgets)

6.4 CLOSING REMARKS

This concluding chapter ends an inquiry that aimed to establish whether M&E can be utilised as an approach to promote good governance within the local sphere of government.

In conclusion, it must be highlighted that good governance is a critical issue within the public sector of South Africa and especially the local sphere of government. The purpose of this study was to identify and assess the current mechanisms that are available to improve good governance in local government through a M&E perspective. This study has shown that government needs to implement processes that utilise aspects of M&E and the newly developed national evaluation framework within the local government environment.   Furthermore, whilst no one measure can be seen as the solution to the current governance challenges, M&E offers the opportunity to move into a direction of governance within local government that is also perceived as good. The measures that need to be adopted must be seen as an integrated and inclusive approach to achieve success in order to improve the efficiency and effectiveness of the local sphere of government. This can only be done through a commitment of improved human and resources capacity; the up-skilling and re-skilling of municipal officials; the service-orientated motivation and attitude of role players; and continuous support from the various stakeholders indicated in the proposed model.

Thus, this research characterised an innovative approach to promoting and instilling good governance within the local sphere of government in South Africa. This research study can be utilised by practitioners, researchers, policymakers within the field of public administration, and municipal officials that can implement the highlighted recommendations. In addition, the study can inform the knowledge base for further research in developed and developing contexts that seek to investigate the good governance, as well as M&E agenda.

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ADDENDUM A

SEMI-STRUCTURED INTERVIEW QUESTIONS GUIDELINE

GOOD GOVERNANCE AND MONITORING AND EVALUATION WITH PARTICULAR REFERENCE TO STELLENBOSCH LOCAL MUNICIPALITY

Position:

SECTION A: MUNICIPAL ENVIRONMENT

1. Describe the political, economic and social environment of the municipality.

2. What role do stakeholders have within the municipality?

SECTION B: KNOWLEDGE OF GOOD GOVERNANCE

3. What are the governance mechanisms and processes that the municipality undertakes?

4. What are the main challenges in ensuring good governance mechanisms within the municipality?

SECTION C: KNOWLEDGE OF MONITORING AND EVALUATION

5. What is your understanding or definition of monitoring and evaluation within local government?

6. What are the challenges in implementing the organisational performance (M&E) in your municipality?

7. How can organisational performance (M&E) be improved in your municipality?

8. What are the reporting mechanisms within the municipality?

ADDENDUM B

RESPONSES TO THE SEMI-STRUCTURED INTERVIEW QUESTIONS GUIDELINE

Position: Performance Management Officer

SECTION A: MUNICIPAL ENVIRONMENT

1. The political environment creates tension within the municipality as ward councillors looking at interest of community. The Economic environment creates a dependent environment within community. While the technological is not growing as funds diverted to social and political environment. The information environment is difficult with municipalities and tense environment due to service delivery.

2. Greater Community are the participants in process through ward committees/ward councillors as per Integrated Development Plan.

SECTION B: GOOD GOVERNANCE WITHIN STELLENBOSCH MUNICIPALITY

3. Governance processes are implementing the available legislation especially MFMA and MSA.Governance mechanisms involve legislation and engagement between managers and municipal & MAYCO meeting.

4. Compliance with legislation
    Create own policies and by-laws
    Request co-operation and feedback from community

SECTION C: MONITORING AND EVALUATION WITHIN STELLENBOSCH MUNICIPALITY

5. The concept is fairly new to Stellenbosch municipality. Monitoring and Evaluation is seeing if what was promised is delivered and improvements if goals are not met.

6. Challenges include the performance reporting on goals both positive and negative. This is a new system so it is difficult to evaluate.

7. The online system, called Ignite. It is an online system and it allows for online reporting

8. The directors need to become involved in motivating their staff. In addition, the Performance Management officer must endure staff is reporting on aspects.

Position: Acting ICT Manager

SECTION A: MUNICIPAL ENVIRONMENT

1. The economic environment relates to procurement issues stunts service delivery. While the political environment there is too much involvement in function resulting in good governance being lost, stunts growth and impacts on service delivery. In addition, the social environment impacts the work environment.

2. Community are the stakeholders and are actively involved through the requests for services and the municipality is accountable and need to ensure that service levels are achieved. The community also acts as guide in terms of performance.

SECTION B: GOOD GOVERNANCE WITHIN STELLENBOSCH MUNICIPALITY

3. The Municipal Financial Management Act is a good governance guide.

4. There is a lack of understanding in terms of conduct (behaviour of municipal officials).

SECTION C: MONITORING AND EVALUATION WITHIN STELLENBOSCH MUNICIPALITY

5. Monitoring and evaluation is based on services, specifically service delivery.

6. The utilisation and mind-set changes are a challenge. There is also stigma present that procurement and funding not properly done.

7. Memos/emails/forms/notices
    Collaborator-document management system

8. Improvement in the key performance indicators where there is an alert on a monthly or even quarterly basis. Creating awareness as there is a lack of awareness and the full usefulness of the system is not being utilized.

Position: Department Head Document Management

SECTION A: MUNICIPAL ENVIRONMENT

1. In the political environment there is supposed to be clear line or understanding by politicians that they should not interfere with the administrative operations of the municipality. The socio-economic environment has an influence as it has a direct impact on affordability of services. The economic environment, the municipality is in a good financial state as it is one of few municipalities' not struggling financial resources as it has a good base to gain rates and taxes.

2. The stakeholders include the community, businesses and Service providers as well as government departments who play a pivotal role in the functioning of the municipality.

SECTION B: GOOD GOVERNANCE WITHIN STELLENBOSCH MUNICIPALITY

3. The governance mechanisms in terms of structure consist of the municipal council and committees. While the governance processes include the public participation processes, council meetings and Integrated Development Plan meetings/sessions/complaints.

4. The implementation of the Access to information Act allows community to request information which allows for accountability. In addition, the appointment of qualified and experienced staff

SECTION C: MONITORING AND EVALUATION WITHIN STELLENBOSCH MUNICIPALITY

5. Monitoring and evaluation includes various systems which allow for external monitoring in the form of the Auditor-General and includes the monitoring of budget, projects completed and asset management.

6. While the internal monitoring includes the internal auditor with activities such as risk management and internal auditing who test current processes and report on the shortcomings.

7. There is no proper structure which is required and the lack of qualified staff in Performance Management and the Performance Management System. In addition, there is little

8. The electronic system called Ignite which is done on a monthly basis.

9. Monitoring and evaluation can be improved by proper communication and training; addressing micro-structural challenges; alignment of functions and positions and the need for qualified staff.

Position: Municipal Manager

SECTION A: MUNICIPAL ENVIRONMENT

1. The political environment is currently stable as there is just one party in council. The social environment is dynamic as it is directly related to the economy. In addition, within the municipality there is a stark contrast between rich and poor make balance service delivery demands. The economic environment is good with growth rate and a high investment rate.

2. There is a need to deepen the relationship among established structures and sector engagements. These will assist with innovation and delivering services

SECTION B: GOOD GOVERNANCE WITHIN STELLENBOSCH MUNICIPALITY

3. The governance structures are equivalent to the daily governance process. This includes the planning process with ward committees & sectors & interest groups & business planning & mayoral committees which ties into the various project proposals.

4. There is an over monitoring by national and provincial government. The result is the over-regulation of the municipal environment as legislation is too stringent. In addition, the challenge of public participation as communities do not know how to participate as there is a lack of understanding from councillors.

SECTION C: MONITORING AND EVALUATION WITHIN STELLENBOSCH MUNICIPALITY

5. Monitoring is related to service delivery happening at certain targets and agreed standards of public. While evaluation is related to if what we doing is effective; the implementation of the IDP; the delivering of services and creating co-operation.

6. The Auditor-General and how much do you stretch or expand the Key Performance Indicators or should the municipality just comply. Therefore, the problem of over-compliance.

7. Monthly ignite reports as per section 79; quarterly reports that need to be submitted to the mayoral committees. Reporting done through the council structures.

8. There needs to be better understanding of monitoring and evaluation by the councilors. In addition, there should be a phased approach to the implementation as needs to be achieved through all staff working as a team

Position: Manager: Communications

SECTION A: MUNICIPAL ENVIRONMENT

1. The political environment is unpredictable yet very active. The economic environment is challenging as departments often do not have enough resources. The information environment is scattered and in a disarray and lacks strategic intent and direction.

2. Stakeholders are important partners in decision making and may form part of various forums, catering for health and social issues, infrastructure, strategic decision making and active participation.

SECTION B: GOOD GOVERNANCE WITHIN STELLENBOSCH MUNICIPALITY

3. Committees of Council
   Public Participation
   Supply Chain Management

4. Capacity
   Resources
   Training and Understanding of the PMS Systems
   Compliance and legislative training

SECTION C: MONITORING AND EVALUATION WITHIN STELLENBOSCH MUNICIPALITY

5. Monitoring simply means tracking the progress or lack of progress in reaching a set target. Evaluation would measure whether a set target has been met and to what degree.

6. To a large degree change management and training and inculcating a culture of performance management.

7. The Managers report via the Ignite system and also through the portfolio committee system through written reports.

8. Through training and sharing information as to why we do what we do. Introducing an incentive PMS scheme. Having clearly defined goals that are simply stated, measurable, achievable, realistic and time bound.

ADDENDUM C

STELLENBOSCH
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REQUEST TO CONDUCT RESEARCH - ORGANISATIONAL PERFORMANCE

File number : 9/1/2/1

Report by : Manager: Manager IDP & Performance Management

Compiled by : Performance Management Officer

Delegated Authority : Municipal Manager

PURPOSE OF REPORT

To obtain approval in exploring monitoring and evaluation within the Cape Winelands District - and Stellenbosch Municipalities.

BACKGROUND

Ms. Nelson is a post graduate student at the University of Stellenbosch. In order to complete her thesis she needs to explore the role of organisational performance within the Cape Winelands District - and Stellenbosch Municipalities.

DISCUSSION

Ms. Nelson would like to have discussions with managers and observe the organisational performance in order to arrive at a comparative conclusion pertaining to the role of monitoring and evaluation while addressing service delivery.