

MONITORING AND EVALUATION MECHANISMS FOR SUSTAINABLE DEVELOPMENT IN SEDIBENG DISTRICT MUNICIPALITY

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DECLARATION

I declare that “MONITORING AND EVALUATION MECHANISMS FOR SUSTAINABLE DEVELOPMENT IN SEDIBENG DISTRICT MUNICIPALITY” is my work and that all the resources that I have used or quoted have been identified and acknowledged by means of complete reference.

.....

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DEDICATION

I dedicate this thesis
to
my late father Masoja Zwane

ACKNOWLEDGEMENTS

I would like to extend my sincere gratitude to the following persons who contributed towards the completion of this study:

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ABSTRACT

Key Words: Monitoring; evaluation; monitoring and evaluation (M & E); Government-wide Monitoring and Evaluation System (GWM&ES); municipality; Reconstruction and Development Programme (RDP); Integrated Development Planning (IDP); developmental local government; service delivery; Sedibeng District Municipality (SDM); sustainable development.

In South Africa, democracy has brought transformative improvement in the system of governance. The Constitution of the Republic of South Africa (1996) implemented in the post-apartheid era, has raised the status of the lowest sphere of government, by granting these authorities delegated responsibilities. This sphere of governance is known as local government (municipal government) and in the present context developmental local government is both democratically elected and decentralized. The restructuring of local governance requires municipalities to serve the communities within their areas of jurisdiction. This has brought capacity challenges for the municipalities. They are charged with delivering acceptable standards of services to the residents. The current lack of deliverance is evident in the widespread protests, with community members showing their dissatisfaction with sub-standard service delivery and backlogs. Furthermore, municipalities are required to formulate their own by-laws improve the lives of community members, and to implement their legislative mandates satisfactorily. In order for the municipalities to perform more effectively, a transformative model is necessary. The quality of services currently delivered at municipal level must be reviewed. Monitoring and evaluation are the key elements of assessment which must be undertaken. The rationale behind this monitoring and evaluation is to make the system of governance more effective through an even-handed assessment of policies, programmes, projects, strategies, performance of personnel, and the organization as a whole.

For the purpose of this study, the researcher explored the challenges regarding monitoring and evaluation and its impact on sustainable development in Sedibeng District Municipality utilizing the **quantitative research approach**. A model is proposed for improvement called as Monitoring and Evaluation for Sustainable Development (MESD).

TABLE OF CONTENTS

DECLARATION	i
DEDICATION	ii
ACKNOWLEDGEMENTS	iii
ABSTRACT	iv
TABLE OF CONTENTS	v
LIST OF TABLES	x
LIST OF FIGURES	xiv
LIST OF BOXES	xv
LIST OF ABBREVIATIONS	xvi
CHAPTER 1 ORIENTATION AND PROBLEM STATEMENT	1
1.1 INTRODUCTION	1
1.2 ORIENTATION AND BACKGROUND	2
1.3 PROBLEM STATEMENT	5
1.4 The monitoring and evaluation process is relevant to assess the following at municipal level:	6
1.5 MOTIVATION FOR THE RESEARCH.....	7
1.6 HYPOTHESIS.....	8
1.7 RESEARCH QUESTIONS.....	8
1.8 RESEARCH OBJECTIVES.....	8
1.9 RESEARCH METHOD	9
1.9.1 Literature Study.....	9
1.9.2 Empirical Research.....	9
1.9.2.1 Interviews.....	9
1.9.2.2 Questionnaires.....	10

1.10	RESEARCH ETHICS.....	11
1.11	OUTLINE OF CHAPTERS	11
1.12	CONCLUSION.....	12
 CHAPTER 2 THEORETICAL EXPOSITION OF THE CONCEPT MONITORING AND EVALUATION.....		
		13
2.1	INTRODUCTION	13
2.2	MEANING OF THE CONCEPTS MONITORING AND EVALUATION.....	13
2.3	OVERVIEW OF THE CONCEPT MONITORING AND EVALUATION.....	21
2.3.1	Performance management, monitoring and evaluation.....	24
2.3.1.1	Indicators	25
2.3.1.2	Steps in Selecting Performance Indicators	27
2.4	MONITORING AND EVALUATION IN SOUTH AFRICA	35
2.5	GOVERNMENT-WIDE MONITORING AND EVALUATION (GWM&ES) STRATEGY	38
2.6	CONCLUSION.....	44
 CHAPTER 3 OVERVIEW OF SUSTAINABLE DEVELOPMENT AT SEDIBENG DISTRICT MUNICIPALITY		
		46
3.1	INTRODUCTION	46
3.2	MEANING OF THE CONCEPT SUSTAINABLE DEVELOPMENT.....	46
3.3	SUSTAINABLE DEVELOPMENT IN SOUTH AFRICA.....	50
3.3.1	Sustainable Urban Development in South Africa	53
3.4	SUSTAINABLE (URBAN) DEVELOPMENT AT LOCAL GOVERNMENT LEVEL IN SOUTH AFRICA.....	55
3.4.1	Sedibeng District Municipality: an overview	56
3.4.2	Institutional development and transformation	57
3.4.3	Population of the Sedibeng District Municipality	58
3.4.4	Distribution of population per municipality and sub-area.....	58

3.4.5	Trends towards the Sustainable Development	60
3.4.6	Sedibeng District Municipality: composition of the staff establishment	61
3.4.6.1	Institutional arrangement	61
3.4.6.2	Composition of the staff establishment	62
3.4.6.3	Human Development Index (HDI)	63
3.5	CHALLENGES FOR SUSTAINABLE DEVELOPMENT IN SEDIBENG DISTRICT MUNICIPALITY	64
3.5.1	Migration	65
3.5.2	Human Development Index	65
3.5.3	Upliftment of the geographically scattered area	68
3.5.4	Commonly held views about Service Delivery in Sedibeng District Municipality	68
3.6	INDICATORS FOR SUSTAINABLE DEVELOPMENT	71
3.7	THE ROLE OF LOCAL ECONOMIC DEVELOPMENT	73
3.8	INTEGRATED DEVELOPMENT PLANNING (IDP)	74
3.8.1	Integrated Development Plan and sustainable development	75
3.8.2	Municipal Integrated Developmental Planning (IDP) and Intergovernmental Planning	78
3.8.3	Intergovernmental Relations (IGR) at Sedibeng District Municipality	78
3.9	GAUTENG INTERGOVERNMENTAL RELATIONS FRAMEWORK	79
3.10	LOCAL GOVERNMENT TURNAROUND STRATEGY (LGTAS)	81
3.11	PERFORMANCE MANAGEMENT, MONITORING AND EVALUATION; AND SUSTAINABLE DEVELOPMENT	82
3.12	CONCLUSION	91
	CHAPTER 4 RESEARCH METHODOLOGY	93
4.1	INTRODUCTION	93
4.2	PERMISSION TO CONDUCT THE STUDY AND DISTRIBUTE QUESTIONNAIRES	93

4.3	RESEARCH METHODOLOGY	93
4.3.1	Quantitative research approach	94
4.3.2	Qualitative research approach	95
4.4	DATA COLLECTION METHODS.....	95
4.4.1	Questionnaire	96
4.4.2	Interviews.....	97
4.4.3	Literature review	98
4.5	POPULATION AND SAMPLE.....	99
4.6	SAMPLING	101
4.6.1	Non-probability sampling	101
4.6.2	Probability sampling.....	102
4.7	STATISTICAL ANALYSIS	103
4.7.1	Reliability analysis.....	103
4.7.2	Validity analysis	104
4.8	RESEARCH ETHICS.....	106
4.9	CONCLUSION.....	107
	CHAPTER 5 PRESENTATION AND INTERPRETATION OF RESULTS.....	108
5.1	INTRODUCTION	108
5.2	SAMPLE DESCRIPTION	108
5.3	GROUPING OF QUESTIONNAIRE STATEMENTS	108
5.4	ANALYSIS OF QUESTIONNAIRE DATA FROM EMPLOYEES	110
5.4.1	The development of sustainable development goals, and key performance indicators	110
5.4.2	Development of key performance areas, critical success factors, and formulation of key job responsibilities	113
5.4.3	Development and implementation of programme of action.....	115
5.4.4	Training and development	118

5.4.5	Availability of resources	120
5.4.6	Monitoring and evaluation orientation and results.....	123
5.4.7	Establishing a link between monitoring and evaluation and sustainable development	126
5.5	ANALYSIS OF RESIDENTS' PERCEPTIONS.....	130
5.5.1	The development and implementation of monitoring and evaluation system .	130
5.5.2	Delivery of services.....	131
5.6	CONCLUSION.....	133
	CHAPTER 6 CONCLUSION AND RECOMMENDATIONS	134
6.1	INTRODUCTION	134
6.2	SUMMARY	134
6.3	FINDINGS.....	135
6.4	REALIZATION OF THE OBJECTIVES OF THE STUDY	136
6.5	TESTING THE HYPOTHESIS	137
6.6	RECOMMENDATION: A PROPOSED MODEL	137
6.7	SUGGESTION FOR FURTHER RESEARCH	145
6.8	CONCLUSION.....	145
	BIBLIOGRAPHY	146
	APPENDIX A EXTRACTS FROM RESEARCH BY NOMPI NTULI (2013)	176
	APPENDIX B QUESTIONNAIRES	187
	APPENDIX C LETTER OF PERMISSION	195
	APPENDIX D CERTIFICATE: LANGUAGE EDITING	198

LIST OF TABLES

Table 2.1:	Monitoring and Evaluation.....	19
Table 2.2:	Difference between monitoring and evaluation	20
Table 2.3:	Activities related to Monitoring and Evaluation.....	23
Table 2.4:	Performance indicators	25
Table 2.5:	Seven criteria for assessing performance indicators	29
Table 2.6:	Principles of monitoring and evaluation.....	31
Table 3.1:	Population and total household (CS2007) and indicating population shifts 2001-2007 (CS2007)	59
Table 3.2:	Distribution of Population per Municipality.....	60
Table 3.3:	Institutional arrangement at Sedibeng District Municipality	62
Table 3.4:	Number of indigent households in Sedibeng District Municipality	63
Table 3.5:	Human Development Index.....	66
Table 3.6:	Performance Monitoring: Do's and Don't.....	84
Table 3.7:	Mandates of the Department of Performance Monitoring and Evaluation	85
Table 5.1:	Empirical objectives and the corresponding questionnaire statements.....	109
Table 5.2:	Grouped statements from the community questionnaire	110
Table 5.3:	Employees' responses relating to clarification of objectives (B3)	110
Table 5.4:	Employees' responses relating to goals of sustainable development (B6)	111
Table 5.5:	Employees' responses relating to the mission of SDM (B10).....	111

Table 5.6:	Employees' responses relating key performance indicators (B14)....	111
Table 5.7:	Employees' responses relating to involvement of communities in IDPs (B17).....	112
Table 5.8:	Employees' responses relating to the understanding of APPs (5.8)..	112
Table 5.9:	Employees' responses relating roles and responsibilities of employees (B16)	114
Table 5.10:	Employees' responses to key performance area (B23).....	114
Table 5.11:	Employees' responses relating to responsibilities of employees with respect of monitoring and evaluation for sustainable development (B28)	114
Table 5.12:	Employees' responses relating to the development and implementation of programme of action (B11)	116
Table 5.13:	Employees' responses relating to common agreement about programme of action (B13).....	116
Table 5.14:	Employees' responses relating to service delivery-driven programme of action (B15).....	116
Table 5.15:	Employees' responses relating to number of programme of action (B19)	117
Table 5.16:	Employees' responses relating to requisite skills and knowledge (B4)	118
Table 5.17:	Employees' responses relating to implementation of proper training (B5).....	118
Table 5.18:	Employees' responses relating to the attitude of employees to monitoring and evaluation (B7)	119
Table 5.19:	Employees' responses relating to positive attitude instilled through training (B20).....	119

Table 5.20:	Employees' responses relating to support of information technology (B8)	121
Table 5.21:	Employees' responses relating to availability of sufficient resources (B2).....	121
Table 5.22:	Employees' responses relating to management style (B9).....	121
Table 5.23:	Employees' responses relating to data for monitoring and evaluation (B12)	122
Table 5.24:	Employees' responses relating to employee involvement in the development of monitoring and evaluation (B1)	123
Table 5.25:	Employees' responses relating to the link between monitoring and evaluation and performance management (B22)	123
Table 5.26:	Employees' responses relating to accurate handling of service delivery accounts (B31)	124
Table 5.27:	Employees' responses relating to timeous issuing of tax accounts (B27)	124
Table 5.28:	Employees' responses relating to the level of service delivery (B28)	124
Table 5.29:	Employees' responses relating to the convening of IPDs (B34)	125
Table 5.30:	Employees' responses relating to the link between monitoring and evaluation, and sustainable development (B29).....	126
Table 5.31:	Employees' responses relating to the confusion about monitoring and evaluation, and sustainable development (B21).....	127
Table 5.32:	Employees' responses relating to monitoring and evaluation as a mechanism for sustainable development (B24)	127
Table 5.33:	Employees' responses relating to improvement of annual performance plans (B26).....	127

Table 5.34:	Employees' responses relating to communication of sustainable development issue (B27).....	128
Table 5.35:	Employees' responses relating to employee involvement in sustainable development (B30).....	128
Table: 5.36:	Residents' responses to monitoring and evaluation	130
Table 5.37:	Residents' responses to service delivery	131

LIST OF FIGURES

Figure 2.1:	The process of monitoring.....	15
Figure 2.2:	The process of monitoring.....	15
Figure 2.3:	Government-wide Monitoring and Evaluation System.....	40
Figure 2.4:	The logic model.....	42
Figure 3.1:	Trends towards the Sustainable Development at Sedibeng District Municipality	61
Figure 3.2:	Photographic evidence of inefficient service delivery	67
Figure 5.1:	Employees' responses to sustainable development goals and KPIs.	113
Figure 5.2:	Employees' responses to KPAs, CSFs and key performance responsibilities.....	115
Figure 5.3:	Employees' responses to programme of action	117
Figure 5.4:	Employees' responses to training and development	120
Figure 5.5:	Respondents' responses to available resources	122
Figure 5.6:	Residents' perceptions of monitoring and evaluation	125
Figure 5.7:	Employees' responses relating the link\ between monitoring and evaluation and sustainable development	129
Figure 5.8:	Residents' responses to monitoring and evaluation	131
Figure 5.9:	Residents' responses to service delivery	133
Figure 6.1	A proposed model: Monitoring and Evaluation for Sustainable Development.....	138
Figure 3.3:	Performance Management Approach.....	186

LIST OF BOXES

Box 2.1:	The distinction between monitoring and evaluation and other oversight activities	178
Box 2.2:	Models of Monitoring and evaluation 01: Public Management Model	179
Box 2.3:	Distinguishing between monitoring and evaluation	181
Box 2.4:	Lessons learnt from other countries shed some light on the manner in which this system was ultimately implemented	182

LIST OF ABBREVIATIONS

AAPS	Approved Annual Performance Plans
AfrEA	African Evaluation Association
CFO	Chief Financial Officer
COGTA	Department of Cooperative Governance and Traditional Affairs
DEAT	Department of Environmental Affairs and Tourism
DFA	Development Facilitation Act
GDS	Growth and Development Strategy
GEAR	Growth, Employment and Redistribution
GPRA	Government Performance and Results Act
GWM&ES	Government-wide Monitoring and Evaluation System
IDP	Integrated Development Planning
LDO	Land Development Objectives
LED	Local Economic Development
LGTAS	Local Government Turnaround Strategy
M & E	Monitoring and Evaluation
MEC	Member of Executive Council
MMC	Member of Mayoral Committee
PALAMA	Public Administration Leadership and Management Academy
PMDS	Performance Management and Development System
PM&E	Performance-based Monitoring and Evaluation
PSC	Public Service Commission

RDP	Reconstruction and Development Programme
SAMDI	South African Management and Development Institute
SAMEA	South African Monitoring and Evaluation Association
SD	Sustainable Development
SDGP	Sedibeng Growth Development Strategy
SDM	Sedibeng District Municipality
SONA	State of the Nation Address
SUD	Sustainable Urban Development
UNECA	United Nations Economic Commission for Africa

CHAPTER 1

ORIENTATION AND PROBLEM STATEMENT

Key Words: Monitoring; evaluation; monitoring and evaluation (M & E); Government-wide Monitoring and Evaluation System (GWM&ES); municipality; Reconstruction and Development Programme (RDP); Integrated Development Planning (IDP); developmental local government; service delivery; Sedibeng District Municipality (SDM); sustainable development.

1.1 INTRODUCTION

In South Africa, democracy has brought transformative improvement in the system of governance. The Constitution of the Republic of South Africa (1996) implemented in the post-apartheid era, has raised the status of the lowest sphere of government, by granting these authorities delegated responsibilities. This sphere of governance is known as local government (municipal government) and in the present context developmental local government is both democratically elected and decentralized.

The restructuring of local governance requires municipalities to serve the communities within their areas of jurisdiction. This has brought capacity challenges for the municipalities. They are charged with delivering acceptable standards of services to the residents. The current lack of deliverance is evident in the widespread protests, with community members showing their dissatisfaction with sub-standard service delivery and backlogs. Furthermore, municipalities are required to formulate their own by-laws to improve the lives of community members, and to implement their legislative mandates satisfactorily. In order for the municipalities to perform more effectively a transformative model is necessary. The quality of services currently delivered at municipal level must be reviewed. Monitoring and evaluation, key elements of assessment must be undertaken. The rationale behind this monitoring and evaluation is to make the system of governance more effective by an even-handed assessment of policies, programmes, projects, strategies, performance of personnel, and indeed of the organization as a whole.

This monitoring and evaluation process should be implemented in all three spheres of government (national, provincial and local) because each of these has diffused forms of governance with disparate powers. This M&D process is particularly complex because an “intergovernmental structure [such as we have in South Africa]... requires strong

monitoring and evaluation systems to promote coordination and prevent fragmentation” (The Presidency, 2007: 1). The local government structure requires even more attention because of marked skill challenges. However, there is a need not only to enhance the performance of employees but also the quality of services provided and the effective management of municipalities as a whole. The focus area of this research is Sedibeng District Municipality (SDM), a Category C municipality in the Gauteng Province. The Sedibeng District Municipality incorporates the towns of Vereeniging, Vanderbijlpark, Meyerton and Heidelberg as well as the historic townships of Evaton, Sebokeng, Boipatong, Bophelong, Sharpeville and Ratanda.

1.2 ORIENTATION AND BACKGROUND

The public sector is striving to perform effectively in order to produce the desired outcome of adequate and timely service delivery. The monitoring and evaluation process must therefore be geared towards a sound choice of policy priorities and objectives. Furthermore, programmes must be designed to implement these policies and the services/products that are delivered [must have] their impression on communities. By means of these monitoring and evaluation processes, the departments/organizations must aim to gain an identification of problems and an understanding of how best to deal with challenges to ensure the wellbeing of resident communities.

The improved performance of employees, organizations, and services is required for sustainable development¹ in the country. According to Beckenstein *et al.* (1996: 9; also

1 *Sustainability and sustainable development are contestable concepts, like democracy, truth and justice (Jacobs, 1991 cited in Diesendorf, 1999: 3). They cannot be defined in the same way that physical scientists might define the standard metre. Indeed, discussion and debate about the concepts of sustainability and sustainable development provide a focus for contact between contending positions (Myerson & Rydin, 1996 cited in Diesendorf, 1999: 3), hence progressed towards sustainability. “Sustainability and sustainable futures are ... the goals or endpoints of a process called ‘sustainable development’. A sustainable society is considered to be a society that has reached sustainability through this process. So, it remains to define ‘sustainable development’” (Diesendorf, 1999: 3).*

refer to Holmberg, 1992; Reed, 1997; and Harris *et al.*, 2001), sustainable development² is “to meet the needs of the present without compromising the ability of future”). Sustainable development is “an on-going process that requires a particular set of values and attitudes in which economic, social and environment assets that society had at its disposal, are managed in a manner that sustain human well-being without comprising the ability of future generations to meet their own needs (Department of Environmental Affairs and Tourism [DEAT], 2008: 8).

The value of sustainable development is supported at the political level whereby the National Environmental Management Act 107 of 1998 defines the concept as “the integration of social, economic and environmental factors into planning implementation and decision making so as to ensure that development serves present and future generation”. Sustainable development therefore can be considered as “a concept that could be abstract and hard to relate to the priorities and problems of people in places where the environment, economy and community have all suffered from neglect, poverty, industrial decline, unemployment summarised in the policy-makers language as social exclusion” (Charley and Christie, 2000: 197).

According to Burke (2001:59) monitoring can be significant to provide the following for sustainable development of a community and the relevant society of a country at large. Monitoring involves:

- “Analysing the situation in the community and its project;
- Determining whether the inputs in the project are well utilized;
- Identifying problems facing the community or project and finding solutions;
- Determining whether the way the project was planned is the most appropriate way of solving the problem at hand; and
- Using lessons from one project experienced on to another”.

2 During the year 1987, the World Commission on Environment and Development (WCED) established a definition of sustainable development. The intention was to clearly deal with the issues vital to bring development. The definition was formulated as: “sustainable development is development which meets the needs of the present without compromising the ability of future generations to meet their own needs” (World Commission on Environment and Development, 1987 cited in Harris, 2003: 1).

Evaluation, on the other hand, is the “process of measuring or reviewing a subject, and determines how much or how little something is valued, on the arrival of the judgment on the basis of criteria that could be defined” (Noella *et al*, 1996: 36). The important objective of evaluation is “to focus on the process of implementation rather than on its impact. Since this would be minimal after such a short time, accessing in particular the participatory approaches used to identify project beneficiaries and the communities’ role in implementing and monitoring the project” (Du Toit *et al.*, 2001: 13). Evaluation is helpful in offering valuable suggestions and recommendations for improvement.

Municipalities also need to implement the monitoring and evaluation process to ensure that the communities in their areas have the basic services they need. The most important basic services provided by the municipalities are: water supply, sewage collection and disposal, refuse removal, electricity and gas supply, municipal health services, municipal roads and storm water drainage, street lighting, and municipal parks and recreation. The purpose of monitoring and evaluation process is to enhance the effective delivery of services, enhance sustainable development, to create an environment of good governance through transparency and accountability, improve the system of governance with enhanced performance. To make sure “that performance is implemented according to plans, it should be monitored. Such monitoring should not only focus on financial performance, but should also include non-financial performance. Reporting should be targeted at managers so that the data is useful and practical” (Van der Walddt, 2004: 95; Kgechane, 2013: 27). Local governments also need to ensure that the established vision, mission, goals, and objectives are achieved (or achievable). Effective monitoring and evaluation processes must therefore be in place. This may furthermore have a positive impact on improved service delivery with transformative outputs and outcomes. The aims of the monitoring and evaluation process should therefore include collecting and collation of information, followed by the “analysis, dissemination and the application of information on the progress and impact of programmes”. When properly followed this process should “ensure transparency and accountability, promote service delivery improvement” and be fully compliant with statutory and other requirements as laid down in the relevant legislation. Importantly it should also promote “a learning culture in the public sector” (The Presidency, 2007: 3). For the purpose of this study, the researcher explored the challenges of monitoring and

evaluation and its impact on sustainable development³ using Sedibeng District Municipality as a case-study.

1.3 PROBLEM STATEMENT

The municipalities in South Africa gained the status of developmental local government⁴ with decentralized powers that has imposed significant responsibilities to perform. It is now an obligation for municipalities to offer basic services to the community members; improve their social and economic standards of living; administer their own municipal affairs; prepare their own policies (by-laws); provide an acceptable environment for people to live; and offer economic opportunities for development. Shortly after taking over the reins of government in 1994, the newly formed ANC government in South Africa adopted the Reconstruction and Development Programme (RDP) which placed great emphasis on service delivery to meet basic needs. It is true to

3 *"The term 'sustainability' has been used in various forms and definitions. The earliest use of 'sustainability' or 'sustainable development' can be traced back to 1972. To cope with four decades of global economic, social, and environmental challenges, sustainable development was adopted as a mantra by international agencies, national and local governments, especially after Habitat II in the local level. On the other hand, new approaches in urban planning were put to use to achieve sustainable development." The concept of sustainable urban development was introduced to achieve these goals*" (Rasoolimanesh et al., 2011: 1). *Sustainable urban development implies a process by which sustainability can be attained, emphasizing improvement, progress and positive change (The University of Hong Kong, 2013: 1). Sustainable urban development has become a powerful framework for developing solutions that improve the quality of life on a local level and can also be an important component of responding to the broader global environmental crises (Heberle, undated: 1).*

4 *If the purpose of development is 'development of the individual as a social being aimed at his/her liberation and fulfilment, seeking to challenge poverty, ignorance and disease and attempting to reduce inequalities within and between groups by integrating the poor and alienated social groups into the mainstream of society (cited in Morgan, 2002: 23) "then in this context sustainable development at the local level can constructively be seen as development that starts by delivering basic services such as environmental, social and economic services to all, based on equity and social justice, without threatening the viability of the environmental, built and social systems upon which these services depend. Sustainable development must therefore also imply working towards limiting the depletion of the social, human and economic capital from which benefits that enhance the quality of life of citizens flow" (Morgan, 2002: 23).*

say that “great strides have been made to redress past social inequalities”. However, examination of the ambit of these successes reveals that they have been largely confined to the initiatives undertaken by national and provincial government structures rather than those in the local government sphere. And it is here, at grassroots level where “much of the responsibility for meeting the RDP commitment lies” (Krugell & van der Merwe, 2005: 3).

1.4 THE MONITORING AND EVALUATION PROCESS IS RELEVANT TO ASSESS THE FOLLOWING AT MUNICIPAL LEVEL:

- There is a “need for closer investigation of basic service delivery is clear from continuing protests over poor service delivery, i.e. on 27 October 2008, residents from different areas in Sedibeng District Municipality peacefully marched to the municipality offices, to hand over their grievances memorandum against the lack of service delivery and the non-removal of forty council officials and councillors identified by the commission of enquiry” (www.sedibeng.gov.za).
- There is “inefficiency and ineffectiveness in the Sedibeng District Municipality are relatively high, particularly in terms of the ability to deliver services that are responsive to the needs of the communities. Inefficiency and ineffectiveness create a Sedibeng District Municipality climate that has a destructive influence on positive ethics in the workplace. Inefficiency results, in part, from the miss-deployment of people in to position they do not qualify” (Mafunisa, 2005: 5-6).
- Almost all the “projects and programmes are facilitated from the service providers and the municipality’s perspective not involving the communities” (www.vaalmeander.co.za).
- At the municipal level, the “Integrated Development Planning was compliance driven, which fulfilled legal obligations and not meeting the communities’ needs” (Sedibeng District Municipality IDP, 2010: 175).
- There is a “lack of integration with the municipalities” (Sedibeng District Municipality IDP: 2010/11: 175).
- There is also a lack of building and (an even more dire need) of maintaining

the standards of RDP houses.

- In terms of staffing the senior managerial positions are not filled. The lack of personnel deal with service delivery portfolios has a negative impact of delivery of services at the Sedibeng District Municipality. This is complemented by a lack of job opportunities; poor infrastructure and capacity-building initiatives, all of which are hampering the development of Sedibeng District Municipality.
- However, “the Sedibeng District Municipality has covered some ground in improving roads in the area, but gravel roads in the some areas remains a major problem” (Kooiman, 1993: 63).

Against the background of all these challenges, municipalities must engage in working together with local communities to find innovative and sustainable ways of meeting the community’s needs and thereby improving the quality of life of the people on the ground. As Reddy, Sing and Moodley (2003: 37 and 198) put it “municipalities must provide a vision and leaderships for all those who have a role to play in achieving local prosperity”. Based on the above-stated challenges, the problem statement can be formulated as: there is a need of monitoring and evaluation mechanisms to provide sustainable development in Sedibeng District Municipality. The study aims to explore possible solutions with the objective of meeting these challenges.

1.5 MOTIVATION FOR THE RESEARCH

The motivation for this study lies in the need to:

- evaluate the effectiveness of monitoring and evaluation mechanisms in the Sedibeng District Municipality;
- assess to what extent the monitoring and evaluation mechanisms are implemented for sustainable [urban] development in Sedibeng District Municipality;
- identify challenges hindering the effective implementation of monitoring and evaluation mechanisms in Sedibeng District Municipality for sustainable [urban] development; and
- identify the areas that may contribute to further research regarding sustainable [urban] development.

1.6 HYPOTHESIS

The problem statement leads towards the formulation of an appropriate hypothesis. The hypothesis for this study is formulated as follows:

Effective monitoring and evaluation mechanisms can provide sustainable development in Sedibeng District Municipality with improved service delivery.

1.7 RESEARCH QUESTIONS

The researcher anticipated finding answers to the following questions in this research project:

- What is the meaning of the concept monitoring and evaluation?
- Which indicators can be applied to monitor and evaluate the sustainable development projects in Sedibeng District Municipality?
- What criteria are used for the sustainable development of urban areas in Sedibeng District Municipality?
- Which control measures and critical success factors are used for the achievement of the sustainable development in Sedibeng District Municipality?
- What steps are taken to reinforce effective sustainable development in Sedibeng District Municipality?
- What recommendations are suggested to improve the implementation of monitoring and evaluation mechanisms for sustainable development in Sedibeng District Municipality?

The research objectives were established in the search for answers for the research questions.

1.8 RESEARCH OBJECTIVES

Research may involve venturing into areas about which very little is known, or it may involve filling gaps in existing knowledge; also has self-correcting, functions, i.e. abandoning results that have been found to be incorrect. Sometimes research is undertaken in order to test hypothesis, i.e. a conjectural statement or proposition.

The following were the research objectives of the study:

- To present a theoretical exploration of the concept monitoring and evaluation.
- To give clarity regarding the indicators to monitor and evaluate sustainable development projects in Sedibeng District Municipality.
- To explore the criteria used for sustainable development in Sedibeng District Municipality.
- To investigate the control measures and the critical success factors for sustainable development in Sedibeng District Municipality.
- To examine the strategies regarding monitoring and evaluation mechanisms for sustainable development in Sedibeng District Municipality.
- To make recommendations for the improved implementation of monitoring and evaluation mechanisms for sustainable development in Sedibeng District Municipality.

The appropriate research methods were identified in order to collect data.

1.9 RESEARCH METHOD

The following research methods were utilized in the study:

1.9.1 Literature Study

A literature study on monitoring and evaluation mechanisms was conducted. This included review of subjected related books, government publications, as well as journals. Further references were based on the Internet website, Nexus, Dialog, Sabinet, and academic research file: EBSCO.

1.9.2 Empirical Research

Data was collected through questionnaires as well as interviews. The following method of the empirical investigation was tasked for data collection or sampling as conducted:

1.9.2.1 Interviews

In this research the quantitative method was used on data gathering, and the structured interviews were applied. The researcher utilized personal observation, interviews, written documents, audio-visual material, in order to receive relevant responses for in-depth understanding regarding relevant area of study.

Structured interviews were held with a number of people in the Sedibeng District Municipality. Mr Brendon Scholtz, chief financial officer (CFO), was asked questions concerning the budgeting process. The CFO was interviewed for the purpose of gathering information on the budget status, since the urban development is also based on financial implications. The second interviewee was Mr Greg Sitei, the development manager who was the appropriate person to interview on the development of SDM. He was also able to provide clarity on impact assessment in general and related problems in development. Ms Manana Kubheka, who is a member of Mayoral Committee (MMC) for Housing: Development and Planning was also interviewed to supply the researcher with the status on public housing as well as the future planning and development pertaining to households in Sedibeng District Municipality. Finally Mr Yunus Chamda the executive director of Local Economic Development (LED) was interviewed on the nature of local economic development particularly in the Sedibeng District Municipality, which in turn will impact on urban development.

1.9.2.2 Questionnaires

The target population of this research was the residents who are recipients of basic services at Sedibeng District Municipality. The respondents were given a questionnaire that covered the objectives of the study.

Sedibeng District Municipality comprises three regions, and using probability sampling, 40 respondents were randomly selected from each of the three regions. In this way all regions were represented and the total number of respondents was 120.

Thirty (30) programme / project managers were also requested to participate. In addition, residents and the managers from Sedibeng District Municipality were asked to give their opinion by completing the questionnaires. The questionnaires (see Appendices at the end of this thesis) were structured after a thorough literature review.

A workshop was attended regarding 'how to design a questionnaire' at the Vaal Triangle Campus to gain insight on structuring of a questionnaire. The Campus Statistician offered guidance on the structure and administration of questionnaires, analysis of the data and the responses captured during the data collection process.

1.10 RESEARCH ETHICS

Permission was received from the relevant authorities at the Sedibeng District Municipality to conduct research in its area of jurisdiction. The respondents were informed regarding the purpose of the study with an assurance that their confidentiality would be maintained.

1.11 OUTLINE OF CHAPTERS

The thesis includes the following chapters:

CHAPTERS	CONTENT
Chapter 1: Orientation and Problem Statement	Included in this chapter is an introduction and background of the study. The statement of the problem, the research questions and research objectives are also outlined. The research methodology used in the study is also discussed.
Chapter 2: Theoretical exposition of the concept monitoring and evaluation	The researcher explores the theoretical and conceptual details of the concept monitoring and evaluation and provides a comprehensive elaboration of monitoring and evaluation mechanisms.
Chapter 3: Overview of sustainable development at the Sedibeng District Municipality	The term sustainable development is comprehensively explained in this chapter. Furthermore, the implementation of monitoring and evaluation mechanisms and their impact on sustainable urban development at Sedibeng District Municipality is explored.

CHAPTERS	CONTENT
Chapter 4: Research design and methodology	In this chapter information is provided on the various methods that were used to collect data and how the collected data was analyzed to reach conclusions. The sampling method used to obtain units of analysis is discussed. Specific questionnaire statements are discussed and explanations provided on how these were formulated.
Chapter 5: Analysis and interpretation of data	Responses from questionnaires and structured interviews are analyzed and an interpretation of the data is presented in this chapter.
Chapter 6: Conclusion and recommendations	This chapter dwells on the findings taken from the analysis of questionnaires and structured interviews. Conclusions reached from the analysis of the questionnaires and interviews are presented. In the section on recommendations, a model is proposed for the effective implementation of monitoring and evaluation mechanisms for sustainable development at grassroots level. The chapter concludes with suggestions for further research.

1.12 CONCLUSION

This chapter has explored the foundational blocks established for the study. The problem statement was highlighted to explore the contextual challenges related to the field of study. The literature was reviewed to substantiate the existing challenges from conceptual understanding of terms monitoring, evaluation and sustainable development. The next chapter examines the theoretical exposition of the concepts monitoring and evaluation in detail.

CHAPTER 2

THEORETICAL EXPOSITION OF THE CONCEPT MONITORING AND EVALUATION

2.1 INTRODUCTION

Monitoring and evaluation, as a source of check and balance, require a uniform framework with measurable indicators in both public and private sectors. Because the use of M&E is comparatively new there is some variation on exactly what it involves. Diverse ideological and conceptual approaches can lead to confusion, so it is very important to standardise concepts and approaches in order to enhance service delivery. The role of the state is inevitably changing over time and it is now abundantly clear that [good] government measures are required to achieve sustainable development. States are under considerable pressure to meet the challenges of the world economy and seeking social, economic and technological equality in enhancing in democratic systems. Monitoring and evaluation is a device that can improve the way in which governments and other organizations are able to achieve positive results. Against this background, the chapter explores the meaning and nature of the concept monitoring and evaluation emphasizing its significance in South Africa.

2.2 MEANING OF THE CONCEPTS MONITORING AND EVALUATION

The United Nations Development Programme (UNDP) (2002: 6) defines monitoring as “a continuing function that aims primarily to provide the management and main stakeholders of an ongoing intervention with early indications of progress, or lack thereof, in the achievement of results. An ongoing intervention might be a project, programme or other kind of support to an outcome”. Kusek and Rist (cited in European Quality Assurance in Vocational Education and Training, 2012: 1) define monitoring as “a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated fund”.

Monitoring can further be defined by Organisation for Economic Co-operation and Development [OECD]) as “a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an on-

going development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds” (The World Bank Group, 2009: 4). “Thus monitoring embodies the regular tracking of inputs, activities, outputs, outcomes and impacts of development activities at the project, program, sector and national levels. This includes the monitoring of a country’s progress against the millennium development goals (MDGs), or other national measures of development success” (The World Bank Group, 2009: 2).

According to the Food and Agriculture Organization of the United Nations (1985: 12) monitoring “is a continuous or periodic surveillance over the implementation of a project to ensure that input deliveries work schedules, targeted outputs and other required actions are proceeding according to plan”.

Based on above definitions, monitoring can thus be considered as a tool that constantly reviews the institutional policies and programmes, establish actions to assess the targets for identifying challenges, and provide strategies for improvement.

The whole process of monitoring is explained in Figure 2.1 below.

Monitoring is an essential tool for the successful implementation of a project. The process of monitoring identifies the “shortfalls, deviations and problems and causes” and provides guidelines on how to take the “appropriate remedial/corrective action” (National Institute of Agricultural Extension Management, 2008: 7).

Moreover, monitoring should be a collective effort involving all stakeholders to pave the way for more efficient outcomes. Gregersen *et al.* (2007: 112) define monitoring as “gathering of feedback information about practice components, processes, activities and outputs” as exemplified in Figure 2.2 below. It should provide a way forward for effective evaluation of management practices.

Figure 2.1: The process of monitoring

What?	Check, review, overview, keep track of, observe, control, guide, correct, inspect, supervise, verify, give feedback, follow up of the		Progress of programme implementation with reference to Action Plan
Why?	To ensure successful implementation of the project by identifying shortfalls, deviations, problems and the reasons thereof		Take appropriate corrective / medical action to keep the project on track
When?	During the implementation of the project continuously / periodically		From inception till completion of the project (concurrently with project implementation)
Who?	By the project management team at different levels		Including beneficiaries (Participatory Monitoring)

Source: National Institute of Agricultural Extension Management, 2008: 6.

Figure 2.2: The process of monitoring

Pre-project	Project	Post-project
What is existing (current socio-economic status) + Project Intervention = Project Benefits (expected outcomes)	Monitoring Input Output Effect Impact	Terminal evaluation (Implementation / Project Completion Report – ICR/ PCR) Ex-post evaluation (stabilized outcomes) Longitudinal Evaluation (Repeated evaluation to study sustainability)
Ex-anti Evaluation	Mid-term Evaluation Concurrent Evaluation Ongoing Evaluation Internal Evaluation	Ex-post Evaluation

Source: National Institute of Agricultural Extension Management, 2008:7.

Monitoring is therefore primarily concerned with the “ongoing collection and review of information on project implementation, coverage and use”. By regularly collecting all relevant information on a project, this data can be used to “assess the quality of project inputs and services”. Such a system can also determine whether the service delivery was on time and the extent to which the targeted individuals (i.e. all the relevant communities) have actually received these services. Furthermore a monitoring system should provide information on the “acceptability and actual use of services [and] the costs involved”. In addition, an assessment can be made on whether the implementation of the specific programme “coincides with the project’s implementation plan” (Levinson *et al.*, 1999: 3).

The definitions and information above confer that the monitoring process, as a control-driven instrument is significant to provide information on the time expended in completing specific tasks; the amount of material used and the financial expenditure involved. In addition, data on personnel performance (both individual and group accomplishments) is helpful in scheduling work activities, evaluating work performance, and can also provide records on accountability for the project administrator.

Monitoring of outcomes (results) can also be of practical benefit for future projects of a similar nature. For example, if a dam has been built with public funds, the resulting decrease in sedimentation and/or increase in agricultural production provide information that would be essential for operational planning of similar projects. Similarly, monitoring the welfare of people in the relevant community helps to determine the magnitude of gains and losses in health, education and income.

Another example is the monitoring of changes in the quantity and quality of natural resources. This feedback furnishes additional information about the impact of projects and their sustainability in the longer term.

The Presidency, SA (2007: 1–2) succinctly sums up what has already been discussed: “Monitoring involves collecting, analysing, and reporting data on inputs, activities, outputs, outcomes and impacts as well as external factors, in a way that supports effective management. Monitoring aims to provide managers, decision makers, and other stakeholders with regular feedback on progress in implementation and results and early indicators of problems that need to be corrected. It usually reports on actual performance against what was planned or expected”.

Turning to a discussion of evaluation it can be defined in one source as a process of “assessing as systematically and objectively as possible an ongoing or completed project, programme or policy. The object is to be able to make statements about their relevance, effectiveness, efficiency, impact and sustainability” (Toolkit on sport for development, 2012: 1) of “a project or programme performance, focusing on the analysis of the progress made towards the achievement of the stated objectives. In most cases, evaluation is not given emphasis in projects, as what is normally considered is monitoring” (Margoluis & Salafsky, 1998:9). Evaluation can be defined as “the determination of what needs to be monitored and how, what indicators are relevant ... what data need to be collected and [at] what levels, depends directly on the evaluation objectives”. It also estimates the value of the past accomplishment of an ongoing project; provides information about the achievements attributed to the project in the form needed by planners, managers, administrators and policy makers (Gregersen *et al.*, 2007: 113–114). Rossi *et al.* (2004:8) present the history of evaluation as dating back to the seventeenth century because it was applied in social research methods as well as determining ideological, political and demographic changes.

Dassah and Uken (2008: 174) define evaluation extensively as a modern term for a practice that dates back to time immemorial. They argue that it is diverse in application due to various approaches that impact on its elasticity. The history of evaluation was characterized by waves, which according to Dassah and Uken (2008: 175) are “located within the modernized, political and administrative formations for policy development and planning, implementation and evaluation”. They further locate it in economic and budgetary crises for policy evaluation to reduce expenditure and maximize input efficiency. Lastly, they locate evaluation in the discourse of the New Public Management era which was characterized by internal evaluative institutions and tools. According to the United Nations Children’s Fund [UNICEF] (2012: 1), “evaluation is a process which attempts to determine as systematically and objectively as possible the relevance, effectiveness, efficiency and impact of activities in the light of specified objectives. It is a learning and action-oriented management tool and organizational process for improving both current activities and future planning, programming and decision-making”.

Broughton and Hampshire (1997: 15) maintain that “evaluation has several purposes, which include assistance to determine the degree of achievement of the objectives and

identifying the problems associated with programme planning and implementation". They go on to say that evaluation also generates data that "allows for cumulative learning which, in turn, contributes to better designed programmes, improved management and a better assessment of their impact". In their view evaluations also offer assistance on how to reformulate "objectives, policies, and strategies in projects or programmes".

Evaluation, therefore, in the opinion of varied scholars and institutions, stated above can be substantiated as a mechanism that improves the relevancy of indicators, targets and above all the decision-making processes.

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

The comparison between monitoring and evaluation⁵ is indicated in Table 2.1.

5 One of the difficulties we face is the fact that M&E means different things to different people, and that they are disciplines that have been in a state of evolution over the past quarter century. Among the earlier attempts to define M&E, were the Guiding Principles for the Design and Use of Monitoring and Evaluation in Rural Development Projects and Programmes (1984). At that time, M&E were seen primarily as project-related activities. It defined monitoring as a continuous assessment both of the functioning of project activities in the context of implementation schedules and of the use of project inputs by targeted populations in the context of design expectations. It was seen as an internal project activity, an essential part of good management practice, and therefore an integral part of day-to-day management. Evaluation was presented as a periodic assessment of the relevance, performance, efficiency, and impact of the project in the context of its stated objectives. It usually involved comparisons in time, area, or population requiring information from outside the project (Edmunds & Marchant, 2008: 11-12).

Table 2.1: Monitoring and Evaluation

Monitoring	Evaluation
Conducted: on-going	Conducted: periodically
Focus: tracking performance	Focus: judgement, learning, merit
Conducted internally	Conducted externally or internally, often by another unit within the organization
Answers the question: "What is going on?"	Answers the question: Why do we have the results indicated by the monitoring data?"

Source: SAMDI, 2010: 16.

Monitoring and evaluation⁶ henceforth provide clear direction of assessing the implementation of a strategy. M & E offers significant indicators for successful review of strategies and suggestions for effective outcome. It alerts the policy-makers with potentially identified challenges that can hamper the process of achieving established outcome. Above all M & E offers corrective tactics to overcome the identified challenges.

6 Monitoring and evaluation are tools for quality assurance, and must not be confused with other oversight activities. The difference between monitoring and evaluation and other oversight activities is stated in Box 2.1 in the appendix.

The difference between monitoring and evaluation⁷ is explored further in Table 2.2.

Table 2.2: Difference between monitoring and evaluation

Monitoring	Evaluation
• Performed during implementation to improve project design and functioning • Ongoing data collection and analysis • Early indications of progress and achievement of goals • Measures project outputs • Undertaken more frequently than evaluation	• Studies the outcome of a project with the aim of informing the design of future projects • Examines longer-term results • Identifies how and why activities succeeded, failed, or were changed

Source: , 2012: 1.

Using the information provided in Tables 2.1 and 2.2, it can be deduced that monitoring is an on-going activity which can be used effectively to assess the progress being made in a planned project. Importantly it serves to provide “frequent access to information

⁷ After 1984, “almost 20 years later these terms were revised and updated by the DAC Network on Development Evaluation (2002) which defined monitoring as ‘a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds’. Thus, monitoring embodies the regular tracking of inputs, activities, outputs, outcomes, and impacts of development activities at the project, programme, sector, and national levels. This includes the monitoring of a country’s progress towards the MDGs or other national measures of development success. Evaluation is then defined by the DAC as ‘the process of determining the worth or significance of a development activity, policy or program ... to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors’” (Edmunds and Marchant, 2008: 14).

through an interaction with communities as well as between functional and managerial staff in an organization”.

In contrast, evaluation is a periodic activity, which accesses information from on-going reviews. While monitoring provides a useful overview of general progress, evaluation provides the achievement of outcomes. However, it is important to note that distinguishing between monitoring and evaluation is not to deny that they are closely interactive. These two concepts are explored comprehensively in the next section.

2.3 OVERVIEW OF THE CONCEPT MONITORING AND EVALUATION

An international review reveals that globally the processes of monitoring and evaluation were reformed to enhance the capacity of governments. The United States, in 1993, has passed the Government Performance and Results Act (GPRA) that emphasizes great apprehensions regarding good government elements viz. transparency, accountability, and performance of government departments. New Zealand has introduced the monitoring and evaluation process to perform an oversight role. Monitoring and evaluation (M&E) therefore is a vital function of management in any development programme and in any organization. The process should begin as early as the planning stage of the particular programme or project. M&E systems are particularly crucial in state programmes (at all three levels) that are aimed at addressing widespread social and economic issues.

Khan (2003:10) explains that a combination of macro and micro interventions call for a “comprehensive multi-level M&E system to ensure an effective policy implementation, efficient delivery of services with intended outcomes and sustainability of the program benefits”. These envisaged benefits must be provided to all the relevant communities and lead to the envisaged changes and improvements to the wellbeing of these communities. Shapiro (2010: 5) elaborates on this by explaining that in some organisations, M&E is considered a “donor requirement rather than a management tool” and adds that donors (those who pay for the services they receive) are “certainly entitled to know whether their money is being properly spent, and whether it is being well spent”. However, the use of monitoring and evaluation should primarily be to ensure the smooth-running of the organization or project itself and to establish whether it is meeting its original objectives. In other words, is it working efficiently and how could it do better?

Monitoring and evaluation helps in a general sense, to “improve performance and achieve results”. More precisely, it can be described as the “measurement and assessment of performance ... to more effectively manage the outcomes and outputs [that are] known [collectively] as development results. Performance would be progress towards and achievement of results” (United Nations Development Programme, 2002: 5). To put it differently, M&E focuses on “assessing the contributions of various factors to a given development outcome”. These factors could include “outputs, partnerships, policy advice and dialogue, advocacy and brokering/ co-ordination of programmes” (United Nations Development Programme, 2002: 5).

Based on the above-stated information, it can be stated that the key issues in monitoring and evaluation⁸ include the business plan of an organization emphasizing the established vision and mission. Monitoring process sets the performance targets to achieve that are aligned with the organizational strategic plan. The key performance areas and key performance indicators are the benchmark to measure performance. The evaluation process thereafter confirms that availability of resources (financial and human resources) required for the achievement of set targets. M & E is a management device to manage policies and programmes of an institution.

In conducting monitoring and evaluation efforts, the specific areas to consider will depend on the actual intervention, and its stated outcomes. Areas and examples of questions include, as discussed by Sera and Beaudry (2007: 1):

- *Relevance*: Do the objectives and goals match the problems or needs that are being addressed?
- *Efficiency*: Is the project delivered in a timely and cost-effective manner?
- *Effectiveness*: To what extent does the intervention achieve its objectives? What are the supportive factors and obstacles encountered during the implementation?
- *Impact*: What happened as a result of the project? This may include intended and unintended positive and negative effects.
- *Sustainability*: Are there lasting benefits after the intervention is completed?”

⁸ There are some significant models of monitoring and evaluation that can be considered in the public sector for improvement. These models are stated in Box 2.2 in appendix.

M & E is an empirical instrument to manage diverse resources within an organization. The instruments necessary to build up a good monitoring and evaluation are: clear guideline, logical flow of processes, effective understanding regarding the use of indicators, and strategically-inclined implementation of data captured.

This takes place at different levels for different activities within an organization, as illustrated in Table 2.3.

Table 2.3: Activities related to Monitoring and Evaluation

INPUTS The financial, human, and material resources used for the development intervention, including: Technical expertise Equipment Funds
ACTIVITIES Actions taken or work performed, including: Training workshops conducted
OUTPUTS The products, capital goods, and services that result from a development intervention, including Number of people trained Number of workshops conducted
OUTCOMES The likely or achieved short-term and medium-term effects or changes of an intervention's outputs, such as Increased skills New employment opportunities
IMPACTS The long-term consequences of the programme may be positive and negative effects, including Improved standard of living

Source: Sera and Beaudry, 2007: 2.

Monitoring and evaluation (M&E) of development activities, if correctly applied, will provide public and private sectors the ways to improve service delivery with available resources. In other words it is necessary to demonstrate positive results as an important part of accountability to all stakeholders. This is achieved through a realization that monitoring and evaluation is linked with performance management. This being so, their indicators need to be established to achieve the above outcomes.

2.3.1 Performance management, monitoring and evaluation

“Performance management uses performance information to manage organizational capacity and processes: for example, to review programs; assesses and revises goals and objectives; progress against targets; conduct employee evaluations; and formulate and justify budgets. Performance measurement is needed as a management tool to clarify goals, document the contribution toward achieving those goals, and the benefits received from the investment in each program” (Amjad, undated: 1). “Monitoring is a continuing function that uses systematic collection of data on specific indicators to provide the management and the main stakeholders of an ongoing intervention with indications of the extent of achievement of objectives and progress in the use of allocated funds” (<http://www.unodc.org/documents>). “Evaluation is the systematic and objective assessment of ongoing and/or completed projects, programmes or policies, in respect of their: design, implementation, results” (<http://www.unodc.org/documents>).

Based on the information stated above, it can be stated that due to the connectedness between performance management, and monitoring and evaluation⁹, a concept of performance-based monitoring and evaluation (PM&E) has emerged. The performance-

9 “The adoption of NPM occurred in different ways within a number of developed countries. New Zealand, British and Australian governments have been applying NPM principles without recognising its link to NPM. In Britain, though this was driven by the New Right as opposed to New Zealand and Australia where Labour governments took the lead. In the US, President Clinton was viewed to be the main supporter of NPM practice and as mentioned before, was very much inspired by the work of Osborne & Gaebler: Reinventing Government (Foster & Plowden, 1996). The strong focus on performance measurement in the UK and USA in the latter two decades of the previous century did not happen accidentally. The new public management movement can be viewed as a pivotal influence on programme evaluation via the emergence of the performance management paradigm” (Mouton, 2010: 48).

based monitoring and evaluation is an integration of conventional and modern approaches of checks and balance. Through conservative approach, the PM&E utilizes the implementation element of monitoring complemented with the review-inclined modern evaluation methods. The aim of integration is to assess the progress of policies/programmes phases, rectify, modify and correct the processes, and hence obtain desired outcomes. The concept moreover requires identification of appropriate indicators, explained in sub-sections below.

2.3.1.1 Indicators

“Performance indicators are measures of inputs, processes, outputs, outcomes, and impacts for development projects, programs, or strategies. When supported with sound data collection—perhaps involving formal surveys—analysis and reporting, indicators enable managers to track progress, demonstrate results, and take corrective action to improve service delivery” (World Bank, 2004: 6).

Performance indicators form the core of any performance monitoring system because they prescribe the type of information that must be collected to measure the level of progress and enable the assessor to compare the actual results achieved with the planned outcomes (USAID Center for Development Information and Evaluation, 1996: 1).

Performance indicators are henceforth the imperative instruments for rational decision-making processes in performance management system for measuring organizational policies, plans, programmes, and hence achieving desired results.

The performance indicators are explored in Table 2.4.

Table 2.4: Performance indicators

Performance area	Performance indicator
M&E practices (norms and standards) are prescribed and adhered to	• Comprehensiveness and rigour /quality of standards and their dissemination • Extent of compliance to national M&E requirements by government entities

Performance area	Performance indicator
Information on implementation processes (outputs) and impact (outcomes) is gathered and reported upon	• Frequency and quality of reports produced by government entities and transversal systems
Compliance to regulatory frameworks is measured	• Number and quality of compliance reports • Proportion of government on which compliance reporting is completed • Implementation of recommendations from compliance reports
Learning by doing leads to best-practice promotion and collaborative problem-solving	• Number of practice improvements resulting from learning from the system
Interventions are designed and implemented	• Number and quality of support interventions and their results
Evidence-based decision making supports policy adjustments	• Number of policy revisions resulting from system reports
• Transparency and accountability is improved • Service delivery is improved • Improved governance • Enhanced public service effectiveness	• Result and Objective Level Indicators to be developed through the National Indicator Initiative

Source: SAMEA, 2005: 16.

From Table 2.4, it can be deduced that indicators must be established in the project design phase, and be laid down as part of the project proposal. An indicator should always have a clearly defined unit of measurement. Indicators must be both relevant

and independent. They should show whether or not the stated objectives of the project have been achieved.

“Indicators enable project managers to track project progress, to demonstrate results and, if necessary, to take corrective action to improve the project” (Hunter, 2009: 24). In the process towards selection of performance indicators, a step-wise approach is required starting from an analysis of the management functions at each level, identifying their information needs according to those functions and deciding on performance indicators that cater to those information needs (Amjad, 2012: 4). This is furthermore confirmed by the Presidency’s Policy Framework for the Government-wide M&E System (2007; South African Management Development Institute, 2010: 38) which states that, “an indicator is a pre-determined signal that a specific point in a process has been reached or result achieved. The nature of the signal will depend on what is being tracked and needs to be very carefully chosen. In management terms, an indicator is a variable that is used to assess the achievement of results in relation to the stated goals/objectives”.

It is deduced that performance indicators need to be selected as programme *per se*, feasible to achieve, logical in implementation, able to measure and assess the strategies, and must be significant in alignment and achievement of monitoring and evaluation processes.

It is equally important to realize that an indicator must have practicality in monitoring results. In other words, how easy is it to obtain and analyze data for that particular indicator? Obtaining “valid” and “representative” data can be both highly complex and very costly. For example, asking everybody’s opinion by means of an extensive survey is impractical – it is easier to obtain a smaller but representative sample of respondents. “Indicators should therefore be as simple and few as possible, while demonstrating some measure of progress or magnitude of change. It will be difficult to understand or analyze the indicators if they are too complex” (UNDP, 2002: 69).

2.3.1.2 Steps in Selecting Performance Indicators

“Performance indicators ... define the data to be collected to measure progress and enable actual results achieved over time to be compared with planned results” and are therefore “an indispensable management tool for making performance-based decisions

about program strategies and activities” (USAID Center for Development Information and Evaluation, 1996: 1). According to the Capitalizing Knowledge, Connecting Communities [CK2C] Communities Manual (FRAMEWeb.org, 2012: 1), “selecting appropriate and useful performance indicators is a fairly straightforward process. It requires careful thought, iterative refining, collaboration, and consensus building”. The process includes the following steps:

Step 1 Clarify the results statements

“Good performance indicators start with good results statements that people can understand and agree on. [The assessor should] carefully consider the results desired [and then] review the precise wording and intention of the strategic objective, strategic support objectives, special objective, intermediate result, critical assumption or result supported by partners” (<http://www.info.gov.za>, 2006: 15).

Step 2 Develop a list of possible indicators

“There are usually many possible indicators for any desired outcome, but some are more appropriate and useful than others. In selecting indicators, don’t settle quickly on the first that come mostly conveniently or obviously to mind. A better approach is to start with a list of alternatives which can be assessed against a set of selection criteria.” (<http://www.info.gov.za>, 2006: 16).

Step 3 Assess each possible indicator

“Next, assess each possible indicator on the initial list. Experience suggests using seven basic criteria for judging an indicator’s appropriateness and utility.[See the seven criteria in Table 2.5]. When assessing and comparing possible indicators, it is helpful to use a matrix with seven criteria arrayed across the top and the candidate indicators listed down the left side. With a simple scoring scale, for example 1–5, rate each candidate indicator against each criterion” (<http://www.info.gov.za>, 2006: 16).

Table 2.5: Seven criteria for assessing performance indicators

SEVEN CRITERIA FOR ASSESSING PERFORMANCE INDICATORS 1. Direct: A performance indicator should measure as closely as possible the result it is intended to measure. It should not be pegged at a higher or lower level than the result being measured. If using a direct measure is not possible, one or more proxy indicators might be appropriate. For example, sometimes reliable data on direct measure are not available at a frequency that is useful to managers, and proxy indicators are needed to provide timely insight on progress. Proxy measures are indirect measures that are linked to the results by one or more assumptions. For example in rural areas of Africa it is often very difficult to measure income levels directly. Measures such as percentage of village households with roofs (or radios or bicycles) may be useful, if somewhat rough proxy. The assumption is that when villagers have higher income they tend to purchase certain goods. If convincing evidence exists that the assumption is sound (for instance, it is based on research or experience somewhere), then the proxy may be an adequate indicator, albeit second best to a direct measure.
2. Objective: An objective indicator has no ambiguity about what is being measured. That is, there is general agreement over interpretation of the results. It is both uni-dimensional and operationally precise. Uni-dimensional means that it measures only one phenomenon at a time. Avoid trying to combine too much in one indicator, such as measures of both access and operational precision means no ambiguity over what kind of data would be collected for an indicator. For example, a number of successful export firms is ambiguous; something like the number of export firms experiencing an annual increase in revenues of at least 5% is operationally precise.
3. Adequate: Taken as a group, a performance indicator and its companion indicators should adequately measure the result in question. A frequently asked question is “how many indicators should be used to measure any given result?” The answer depends on a) the complexity of the result being measured, b) the level of resources available for monitoring performance, and c) the amount of information needed to make reasonably confident decisions.
4. Quantitative, where possible: Quantitative indicators are numerical. Qualitative indicators are descriptive observations. While quantitative indicators are not necessarily more objective, their numerical precision lends them to more agreement on interpretation of results data, and are thus usually preferable. However, even when effective quantitative indicators are being used, qualitative indicators can supplement the numbers and percentages with a richness of information that brings programme results to life.

5. Disaggregated, where appropriate: Disaggregating a people-level programme by gender, age, location or some other dimension is often important from a management point of view. Experience shows that development activities often require different approaches for different groups and affect those groups in different ways. Disaggregated data help track whether or not specific groups participate in and benefit from activities intended to include them. Therefore, it makes good management sense that performance indicators be sensitive to such differences.

6. Practical: An indicator is practical if data can be obtained in a timely way and at reasonable cost. Managers require data that can be collected frequently enough to inform them of progress and influence decisions.

7. Reliable: A final consideration in choosing performance indicators is whether data of sufficiently reliable quality for confident decision-making can be obtained.

Source: <http://www.info.gov.za>, 2006: 17.

Step 4: Select the Best Performance Indicators

“The next step is to narrow the list to the final indicators that will be used in the performance monitoring system. They should be the optimum set that meets the need for management” (<http://www.info.gov.za>, 2006: 16).

From the above stated information, it can be stated that the performance indicators have their advantages and disadvantages. These need to be considered for an effective monitoring and evaluation process. The advantages of performance indicators lie in their significance for measuring, assessing and aligning the organizational goals, strategies, policies and programmes. On the other hand, performance indicators do have some disadvantages. The progress of programmes and policies cannot be measured accurately through poorly articulated indicators. Insignificant and non-feasible indicators are difficult means to achieve the desired outcomes of programmes and policies of an organization. Lack of proper selection of appropriate indicators can lead to insignificant outputs of performance –based decisions.

In order to utilize the advantages of performance indicators for improved performance and productivity, the Presidency of South Africa (2007: 3) has laid down the principles of monitoring and evaluation. These are shown in Table 2.6.

Table 2.6: Principles of monitoring and evaluation

1. M&E should contribute to improved governance	
• Transparency • Accountability • Participation • Inclusion	• All findings are publicly available unless there are compelling reasons otherwise • Use of resources is open to public scrutiny • Voice is provided to historically marginalized people. • Traditionally excluded interests are represented throughout the M&E processes
2. M&E should be rights-based	
• Bill of Rights	• A rights-based culture is promoted and entrenched by its inclusion in the value base for all M&E processes
3. M&E should be development-oriented – nationally, institutionally and locally	
• Pro-poor orientation • Service delivery and performance • Learning • Human resource management • Impact awareness	• Poverty's causes, effects and dynamics are highlighted and the interests of poor people are prioritized above those of more advantaged groups. • Variables reflecting institutional performance and service delivery are analysed and reviewed, links are identified and responsive strategies are formulated. • Knowledge and an appetite for learning are nurtured in institutions and individuals. • The skills required for deliberative M&E are available, fostered and retained while the knowledge needed for strategic HR utilization is available and used. • The possible impacts of M&E interventions are considered and reflected upon in plans and their actual outcomes are tracked and analyzed systematically and consistently.

4. M&E should be undertaken ethically and with integrity

• Confidentiality • • Respect • Representation of competence • Fair reporting	• Processes ensure the responsible use of personal and sensitive information. • Promises of anonymity and non-identifiability are honoured and relied upon. • Dignity and self-esteem is built amongst stakeholders and affected people. • There is skilful and sensitive implementation of M&E processes. • Those engaged in monitoring and evaluation fairly represent their competence and the limitations of their reports. • Reporting provides a fair and balanced account of the findings.
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5. M&E should be utilisation oriented

• Defining and meeting expectations • Supporting utilisation	• M&E products meet knowledge and strategic needs. • A record of recommendations is maintained and their implementation followed up. • An accessible central repository of evaluation reports and indicators is maintained.
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6. M&E should be methodologically sound

• Consistent indicators • Data/evidence based • Appropriateness • Triangulated	• Common indicators and data collection methods are used where possible to improve data quality and allow trend analysis. • Findings are clearly based on systematic evidence and analysis. • Methodology matches the questions being asked. • Multiple sources are used to build more credible findings.
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7. M&E should be operationally effective

• Planned • Scope • Managed • Cost effective • Systematic	• As an integrated component of public management, M&E is routine and regularized. • The scale of M&E reflects its purpose, level of risk and available resources. • Conscientious management of the function leads to sustained on-time delivery of excellence. • The benefits of M&E are clear and its scale is appropriate given resource availability. • Robust systems are built up that are resilient and do not depend on individuals or chance.
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Source: The Presidency, 2007: 3.

It would be of an idea that monitoring and evaluation may take place at the implementation phase, in the project, programme or policy life- cycle. In a result-based monitoring and evaluation of a project, programme or policies takes place during life-cycle of a given intervention as well as after completion. Monitoring and evaluation is vital at every stage of a policy, programme or life-cycle, from the design, through the implementation, and to the impact. In the public sector/governmental ministries and departments, monitoring and evaluation can be [must be] conducted at all the three national, provincial and local levels.

Particular indicators may vary depending on the information needs of the stakeholders at each level. In this case the information obtained by means of applying a monitoring and evaluation system may be beneficial for both internal and external stakeholders. Outside the public sector, monitoring and evaluation is an important tool to determine expected results from the community, indicate displayable impacts from government action and determine improvement of living condition for citizens (refer to Kusek & Rist, 2004: 19). Regenesys School of Public Management (2010: 22) further cites that an effective implementation of an M&E system can help stakeholders to clarifying the goals and objectives of organisations. In this way the M&E could be used for formulating and justifying budgetary requests.

Within a results-based M&E system, measuring results as a method of obtaining information pertaining to success of outcomes and output would be crucial. If results are not measuring, one cannot determine the reward related to it, and if success not determined, there would be inability to identify failures. Although the theory behind a result based system would be that a project manager would be able to measure results and would therefore also be able to correct failures and win stakeholder support (Talisayon, 2009: 20).

In this process, monitoring and evaluation systems assist the decision-makers to take rational decisions for improvement. To ensure the effective use of monitoring and evaluation system is imperative that there would be a clear alignment between the strategic plans, programme and projects in the department. Strategic policy or plan ought to provide a comprehensive plan of the department. Programmes attempt to ensure that the strategic plans could be addressed at a micro level. Projects are then developed to ensure that the programmes could achieve successfully. All plans would be interrelated and inform each other. An effectively implemented project assists in achieving the programme objectives and addressing the policy or strategic objectives.

There is confusion emerged between the concepts projects and programmes, although there are similarities, certain differences that should be recognised. According to the Project Management Institute (2013: 1), “every project has a definite beginning and a definite end. While projects are similar to operations in that both are performed by people, both are generally constrained by limited resources, and both are planned, executed and controlled, projects differ from operations in that operations are ongoing and repetitive while projects are temporary and unique”. A programme should have a portfolio of projects selected and planned in a co-ordinated way.

From the above information, it is clear that in defining the term monitoring, one needs to understand and utilise a number of important concepts. Monitoring involves the continuous assessment of a programme or project¹⁰ in relation to the agreed implementation schedule. If used correctly it can provide the assessor continuous feedback on the project implementation as well as assisting in the identification of potential successes and constraints. Unfortunately, in many projects, the role of

10 The significance of monitoring and evaluation in a programme or project is stated in Box 2.3 in the Appendix.

monitoring is barely understood and therefore negatively impacts on the success of these projects. Monitoring is not only concerned with the transformation of inputs into outputs, but also includes physical and financial monitoring. Used in this way, monitoring measures the progress of project or programme activities against established schedules and indicators of success. Process monitoring identifies factors that account for the progress of activities and/or success of output. Impact monitoring measures the initial responses and reactions to project activities and their immediate short-term effects. Monitoring also helps to assess the stakeholders' understanding of the project and can minimize the risk of project failure. It also promotes systematic and professional management. (Si Alhir, 2003: 5).

The role of various stakeholders in the monitoring process should be recognised. They may include the likes of financiers, implementing agencies, project teams, interested groups such as churches and so forth. It should also be recognized that to be an effective management tool, monitoring must take into account the risks inherent in the project/programme and its implementation.

2.4 MONITORING AND EVALUATION IN SOUTH AFRICA

“In South Africa¹¹ there have been several high level political pronouncements supporting monitoring and evaluation, and internationally the relationship between monitoring and evaluation and development has helped to put monitoring and evaluation in the forefront, as being more than a tool but also helping to concretely address development issues” (Naidoo, 2011: 51).

11 “The particular focus of the ANC leadership over the subsequent three election terms was very different. The first term under President Nelson Mandela’s leadership was characterised by policy development and rationalisation of the structure of government, while the second term with President Thabo Mbeki marked the implementation of new programmes. This is referred to as the Rationalisation and Policy Development Phase (1994-1999) and modernisation and implementation (1999-2004) phases respectively (PSC, 2008). The logical next step under the current reign of President Jacob Zuma is a critical assessment of what has taken place thus far: i.e. measuring service delivery at the level of outcomes and impact. In the third term the focus shifted to effectiveness and impact assessment. Performance management, and more recently the results-based approach, mark a change towards service delivery and reporting on non-financial information such as outcomes” (Mouton, 2010: 97).

This means that monitoring and evaluation have been reinforced at different levels and have become accepted countrywide as being acceptable in the political, administrative and social terrain as a tool to promote sustainable development. The pronounced nature of monitoring and evaluation in South Africa results from its use not only to assist management, but also to support the transformation agenda of the developmental state. Given the history of apartheid ... monitoring and evaluation could also bolster democracy by promoting activities that lead to greater transparency and accountability of government and its operations (Naidoo, 2011: 53–54). In this regard, according to The Presidency (2007: 7) “the government’s major challenge is to become more effective. Monitoring and evaluation processes can assist the public sector in evaluating its performance and identifying the factors which contribute to its service delivery outcomes ... [They are] uniquely oriented towards providing users with the ability to draw causal connections between the choice of policy priorities; the resourcing of those policy objectives; the programmes designed to implement them; the services actually delivered; and their ultimate impact on communities”.

In his 2004 State of the Nation address the president emphasized “the importance of monitoring, evaluation and reporting”. He explained that government was currently refining the monitoring and evaluation systems in an effort to improve performance and the quality of outputs. This was aimed at providing “an early warning system and a mechanism to respond speedily to problems”. This, he said would necessitate an improvement of government’s statistical and information base” (Public Service Commission, 2008: 4). The president’s statement indicates government’s commitment to carry out its obligations and there has since been an increased focus on monitoring and evaluation in South Africa. Several departments are improving their capacity for M&E or are developing monitoring and evaluation systems. (Public Service Commission, 2008: 4). Until 2005, only individual staff performance evaluations were institutionalised; these were regularly and systematically carried out. “Policy programme monitoring and evaluation, however, were not undertaken, managed and coordinated systematically” in the South African public service. These activities were only “undertaken sporadically by line function departments for purposes of their annual departmental reports [and] some departments were more rigorous than others in this process”, The Public Service Commission monitored and evaluated the “government’s adherence to a restricted number of principles of good governance” (Cloete, 2009: 6-7).

The literature review shows that M&E systems are often inadequate, although the basic building blocks are usually there because of the government's strategic/long-term planning complemented with appropriate and adequate budgeting systems. It is also evident from the literature that monitoring and evaluation is widely acknowledged as an important and useful management process that is strategically important. According to the same source there is a "preparedness to improve and enhance systems and practices, essential for long-term capacity and capability development. This willingness to improve is a major advantage that must be effectively used" (The Presidency, 2005: 8). The cabinet therefore decided to improve on monitoring and evaluation mechanisms for the following reasons (Cloete, 2009: 298):

- There is a need for regular national government report-backs to the International UN Millennium Goals Initiative on the progress with halving poverty in South Africa by 2014 (UNDP 2003).
- The fact that South Africa hosted the World Summit on Sustainable Development in 2002 and at the time had no national M&E system to assess sustainable development as required by the Rio Convention of 1992, was a major reason to make improvements in this area. This need was reiterated at the Johannesburg Summit where South Africa was again the host country.
- The undertaking by the South African president to inform citizens on a regular basis of progress made with the government's National Programme of Action (POA) was another incentive to improve on monitoring and evaluation systems (<http://www.info.gov.za/aboutgovt/poa/index.html>).
- Donors increasingly require systematic M&E of projects and programmes that they fund.
- Institutionalising national M&E systems has for the reasons summarised above, proved to be what can be described as international good governance practice.

In order to improve the challenges associated with skills, good governance and improved service delivery, a so-called Government-wide M&E (GWM&E) policy framework has been established.

2.5 GOVERNMENT-WIDE MONITORING AND EVALUATION (GWM&ES) STRATEGY

According to Dassah and Uken (2006: 705–720) monitoring and evaluation in Africa was still at the “budding” stage in 2006. They provide an analysis of the respective government-wide approaches on monitoring and evaluation systems (GWM&ES) used in Ghana and South Africa.

Dassah and Uken (2006:707) provide a synopsis of the African attitude towards monitoring and evaluation. They explain that monitoring and evaluation in Africa initially tended to focus on random programmes and projects rather than evaluating progress towards meeting the Millennium Development Goals of 2002. However, they commend the development of the African monitoring and evaluation scene as having four positive advancements worth noting, namely i) advocacy for and the use of more participatory methods to develop policies, programmes and projects; ii) Africanization of evaluation systems; and iii) embarking upon development and gender and rights evaluation (Dassah & Uken, 2005: 707). Dassah and Uken (2005: 743) also commend the Constitution of the Republic of South Africa for mandating the evaluation of the public service. This was first initiated by the then President Thabo Mbeki and has subsequently led to the establishment of the Ministry of Monitoring and Evaluation under the leadership of President Jacob Zuma. Currently the Presidency in the Republic of South Africa is responsible for “the implementation programme of the Government-wide Monitoring and Evaluation System (GWM&ES)¹² at all spheres of government” (Cloete, 2009: 294).

The process of GWM&ES involves the recognition of stakeholders, and focuses on the planning and assessment of any policy as illustrated in Figure 2.3.

The establishment in 2005 of the GWM&ES in South Africa 2005 was a major innovation and one which led to improved governance in the country. It provided a co-ordinated framework of systematic M&E activities that will no doubt be institutionalized in future as one of the major components of South Africa’s public administration and management processes in the public sector.

12 Research was conducted at international levels, and lessons learnt from different countries assisted the South African policy-makers to establish the GWM&ES in the country. The summary of the lessons learnt is shown in Box 2.4 in the Appendix.

“These developments are in line with international good governance processes, and have interesting potential for improving the quality of governmental decision and implementation outcomes and impacts in this country” (Cloete, 2009: 18). The following are the principles that underpin South Africa’s GWM&ES, as adapted from Nieuwenhuyzen (2012: 10):

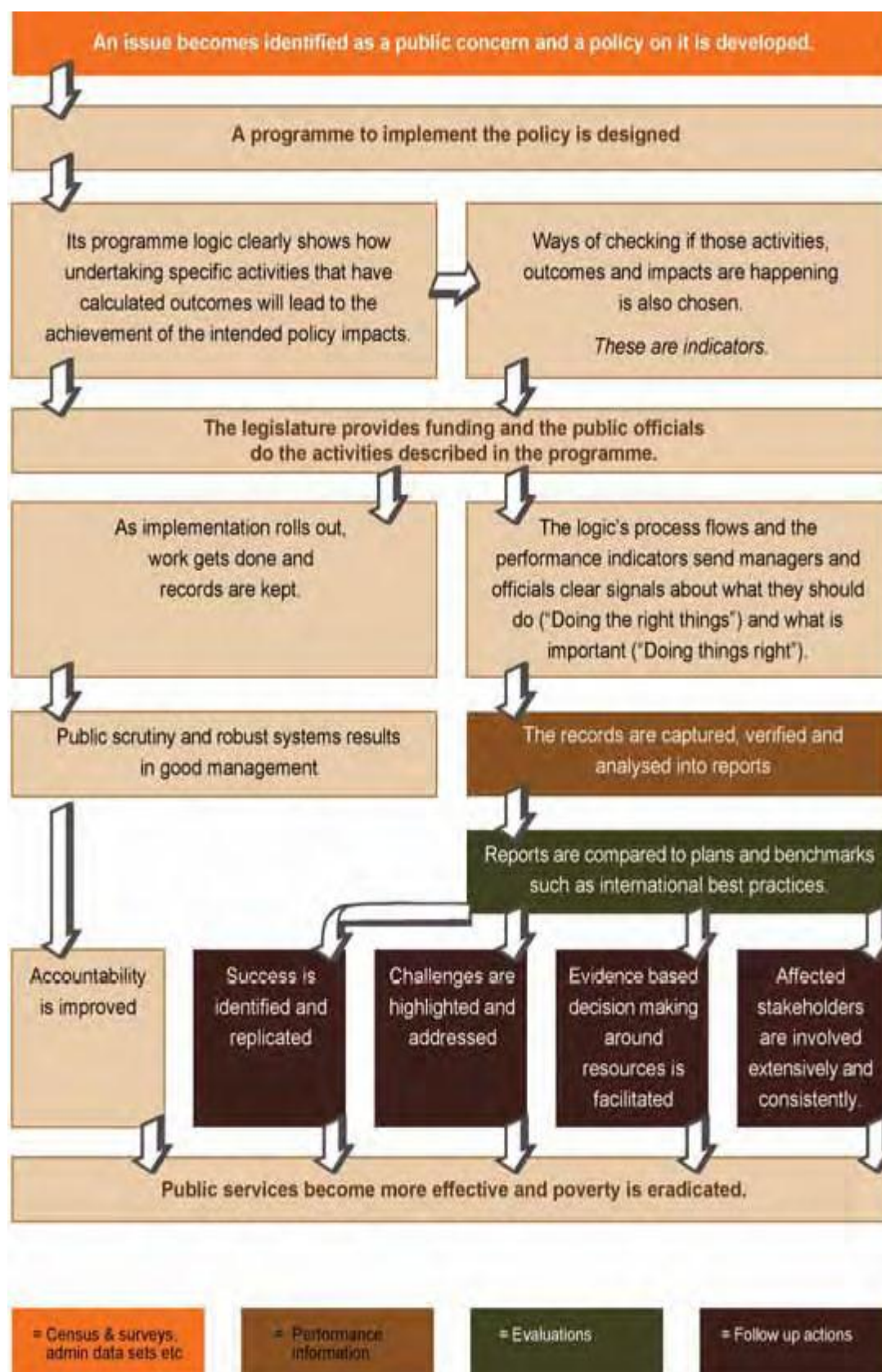
- It is characterized by improved governance, based on transparency, accountability, participation and inclusion
- It is rights-based
- It is development-oriented, in that it is pro-poor, has a service delivery, learning, and impact awareness focus
- The GWM&ES was undertaken ethically and with integrity, based on confidentiality, respect, fair reporting
- It is utilization-oriented because it defines and meets expectations and supports utilization
- The GWM&ES is methodologically sound, having consistent indicators, evidence-based findings, appropriate methodology and triangulation
- It is operationally effective, being planned, scoped, managed, cost-effective, and systematic.

The implementation of GWM&E strives to meet the following goals (adapted from Nieuwenhuyzen 2012: 12):

- Improved quality of performance information
- Improved monitoring of all outcomes and positive/negative impacts
- Sectoral and thematic evaluation
- Improved M&E of a wide variety of national outcomes
- Improved project performance
- Above all, it aims to foster a culture of sound governance

By way of summary, the objective of the GWM&ES is to provide an “integrated, encompassing framework of M&E principles, practices and standards” which should be implemented at all levels of government. It should function as a comprehensive information system for good governance (Ijeomah, 2010: 17).

Figure 2.3: Government-wide Monitoring and Evaluation System



Source: The Presidency, 2007: 6.

According to (and adapted from) the Presidency (2005: 14) the South African system is designed to achieve the following results:

RESULT 1: Accurate and reliable information on progress made in the implementation of government policies and other public sector programmes which has been collected and updated on a regular, thorough and ongoing basis.

RESULT 2: Information on the outcomes and impact achieved by government and other public bodies, which has not only been collected and analysed but also periodically presented.

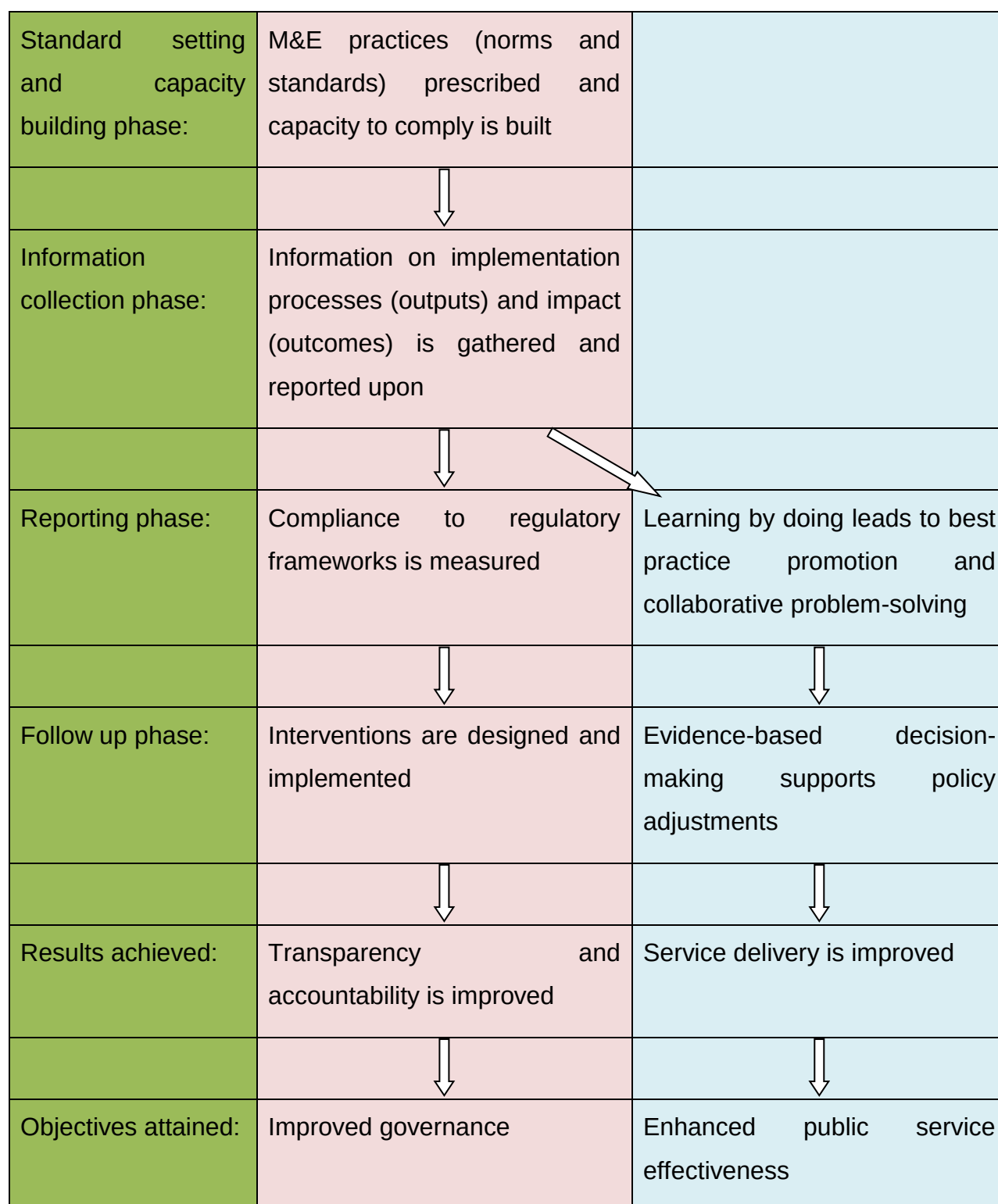
RESULT 3: The quality of monitoring and evaluation practices in government and public bodies is continuously improved.

These results can be achieved by following the logic model provided in Figure 2.4.

The logic model should be implemented by all departments at national, provincial and local levels. The respective departments are obliged to provide the following information to ensure improved implementation of monitoring and evaluation (as adapted from) The Presidency (2005: 18):

- Value for money must be assessed by a system managed by national Treasury
- Human Resource utilization must be assessed by the DPSA
- An early warning system should be managed by the DPSA drawing on data from Persal and Vulindlela
- Public administration of the GWM&ES must be assessed by the Public Service Commission
- Constitutional rights must be duly assessed by the Department of Justice
- Service delivery quality should be assessed by DPLG's system for monitoring the performance of provinces and local governments.

Figure 2.4: The logic model



Source: Mamabolo, 2009, <https://groups.yahoo.com>.

It can therefore be deduced that GWM&E “is the overarching policy framework for monitoring and evaluation in the South African government”. It lays down the policy context for other government support systems such as the Treasury’s policy on

managing Programme Performance information, and Statistics South Africa's Quality Assurance Framework. It is also complemented by the legislative mandates of the various stakeholders that have been tasked with its implementation. Importantly it also guides future implementation initiatives. This GWM&E framework is applicable to all spheres of government i.e. at the national, provincial and local spheres of government (The Presidency, 2007, <http://www.thepresidency.gov.za>). In order to further improve the M&E in South Africa, the following operational improvements¹³ and adjustment, as discussed by Cloete (2009: 19) must be made as soon as possible to its structure and operation:

- Government should adopt as a matter of urgency a coherent and feasible, integrated and holistic national vision to guide the content of M&E activity.
- A sectoral integration of policy indicators should be undertaken to accommodate environmental and sustainability indicators, and to explicitly distinguish output from outcome and impact indicators.
- The roll-out of the system to provincial and local government levels should be fast-tracked and better co-ordinated within realistic timeframes.
- The capacity of the M&E Coordinating Unit should be improved to implement improvements on an ongoing basis.
- More effective communication and marketing programmes should be implemented for the GWM&ES.

13 The values of public administration also need to be measured, monitored and evaluated for effective performance. "Before the values can be used to measure performance they need to be stated in measurable terms. Since the values are rich concepts they have many dimensions. Practically it is only possible to measure a few dimensions that say something important about whether the value is complied with. Compliance with the values can be measured by means of indicators. An indicator is either a measure of performance along a specified dimension of the value or a normative statement that expresses some aspect of the value that must be complied with. Another way to explain the measurement of compliance with values is to say that several criteria can be applied to measure compliance with a value and for each criterion a specific standard needs to be defined. This process of deriving standards from values can be illustrated by the examples" (Public Service Commission, 2008: 27). See Table 2.7 in the Appendix.

- The internal dissent and overlapping M&E mandates among its main stakeholders should be reduced to a single-point management responsibility. An organisation culture of network co-operation rather than hierarchical competition should be implemented.
- The GWM&ES should not be fully controlled by a single agency or hierarchy. It must rely for its success on the co-operation of a number of network stakeholders located across different governmental tiers and spheres.
- Its complex characteristics should not be forced into a top-down control straightjacket. This will paralyse the system and be to the detriment of its operations and potential.

According to Kgechane (2013: 59–60) very little guidance has been given on the role of the provincial premier's office as far as monitoring and evaluation are concerned. This means that a number of disparate practices have arisen in South Africa's nine provinces. However, Kgechane (2013) maintains that a number of best practices have evolved and that these could gainfully "be communicated to the entire provincial sector to stimulate learning and innovation". This implies that good province-wide M&E practices could be shared with other provinces while "bad practices (such as duplicating reports)" could be communicated with the aim of learning from one's own and others' mistakes.

Provincial governments are therefore challenged to ensure that provincial policies are aligned with national priorities. Furthermore, local governments have the daunting task of harmonizing their Integrated Development Plans to reflect provincial strategies and national priorities. Municipal governments are therefore obliged to implement Performance Management and Development Systems (PMDS) to align their objectives and services to the provincial premier's office.

2.6 CONCLUSION

Information gathered from monitoring and evaluation systems can significantly assist policy makers to take well-informed decisions. Monitoring and evaluation, when carried out correctly and at the right time and place, serve as the most important aspects of ensuring the success of any project. Unfortunately, these two concepts, although known to many project developers, tend to be given little priority. The monitoring and evaluation mechanisms are sometimes followed only for the sake of fulfilling of the

accountability requirements of funding agencies. Hence, in many instances, M&E mechanisms are not being fully utilized to ensure the success of projects.

Every programme calls for monitoring and evaluation to measure the performance and assess the effectiveness of the initiative. To meet the desired outcomes, capacity-building of the monitoring and evaluation system is imperative. A well-structured M&E system is also a source of knowledge capital that enables government entities on all three levels to develop a knowledge-base on the type of project, programme and policies that have the potential to succeed. This will facilitate a platform from which decision-makers are able to assess the outcomes and what still remains to be done to ensure success of the project and sustainable development.

The Sedibeng District Municipality needs to specify functional areas that are critical for service delivery and must implement a sound monitoring and evaluation system at the implementation phase. Chapter three will focus on an overview of sustainable urban development in the Sedibeng District Municipality (SDM).

CHAPTER 3

OVERVIEW OF SUSTAINABLE DEVELOPMENT AT SEDIBENG DISTRICT MUNICIPALITY

3.1 INTRODUCTION

Sedibeng District Municipality (SDM) has been mandated by the 2006 municipal election manifesto to establish an environment of good local government delivering services to the people. The fundamental purpose of this chapter is to explore the meaning, concept, and principles of the sustainable (urban) development in Sedibeng District Municipality. It further presents definitions on sustainable development based on different perspectives. The information presented in this chapter suggests improving monitoring and evaluation (M&E) mechanisms for sustainable development in Sedibeng District Municipality. Particular attention is given to Sedibeng District Municipality's five year plans which were adopted by council in the form of Integrated Development Planning (IDP) and the generational Sedibeng Growth Development Strategy (SDGP) of 2007, with a view to improving the wellbeing of people living in Sedibeng District Municipality. The 2011 Integrated Development Planning presents the Sedibeng District Municipality priorities, programmes and projects for the final year in the five year Integrated Development Planning period from 2007 to 2011. The 2011 Integrated Development Planning review puts emphasis on the infrastructure development projects and revitalisation of economic and social infrastructure to increase labour intensive job opportunities.

3.2 MEANING OF THE CONCEPT SUSTAINABLE DEVELOPMENT

To "sustain" means to keep going without interruption and "sustainability" therefore implies a strategy that "does not run into insurmountable obstacles" (Fox and Van Rooyen, 2004: 102). It is imperative to understand sustainability in terms of the adjective "adequate", given examples like political sustainability, economic sustainability, environmental sustainability and sustainable social development. According to Backer (cited in Lele, 1991: 610) sustainable development describes "societal changes that in addition to traditional developmental [have the] objective of maintaining ecological sustainability". Munasinghe (2004: 1) understands sustainable development as a process for enhancing varied forms of opportunities "that will enable individual human beings and communities to meet their needs, as well as to achieve

their aspirations and full potential over a sustained period of time, while maintaining the resilience of economic, social and environmental system”.

Another explanation is that by the World Bank (2004: 8–9): “Sustainable development is a term widely used by politicians all over the world, even though the notion is still rather new and lacks a uniform interpretation ... the concept ... is still being developed and the definition of the term is constantly being revised, extended and refined”. According to the classical definition given by the United Nations World Commission on Environment and Development in 1987, development is sustainable if it “meets the needs of the present without compromising the ability of future generations to meet their own needs” (World Bank, 2004: 9). According to Beckenstein *et al* (1996: 10 cited in Dixon & Pretorius, 2012: 3) “there are three interrelated elements in most definitions”. As applied to sustainable development the following can be identified.

- The first core objective of sustainable development is optimising human welfare. Welfare includes income and material consumption, along with education, health, equality of opportunity and human rights (Beckenstein *et al*, 1996: 10, cited in Dixon and Pretorius, 2012: 3).
- The second objective is that all physical and economic activity should be compatible with the surrounding biosphere. This element focuses on non-renewable resources, and emphasizes that these resources should not be used at a rate that exceeds that at which they can be substituted by sustainable renewable resources. Thus, there should be no net degradation of the wide range of indispensable services provided by the natural environment (Beckenstein *et al.*, 1996: 10 cited in Dixon and Pretorius, 2012: 3).
- The third element is the equitable distribution of bio-spherically compatible improvements in human wellbeing, both today and tomorrow. Sustainability, in this context, implies both intergenerational equity and intra-generational equity. Human betterment on the part of any group should not come at the expense of other groups today or generations in the future (Beckenstein *et al.*, 1996: 10, cited in Dixon and Pretorius, 2012: 3).

Charley and Christie, (2000: 197 cited in Dixon and Pretorius, 2012: 3) state that sustainable development is an abstract concept and difficult to relate to the “priorities and problems of people in places where the environment, economy and community

have all suffered from neglect, poverty, industrial decline and unemployment”, which can be summarised as “social exclusion”. “According to Groundwork, a British action network that connects environmental management and regeneration to economic and social renewal at local level, “sustainable development should not only address new technologies” and focus on reform in affluent economies. It should also protect the natural environments and be concerned about creating social equity. Furthermore, sustainable development should include “activities to improve the prospects and quality of life for the “worst off communities, run-down industrial economies and urban environments” (Charley & Christie, 2000: 197, cited in Dixon and Pretorius, 2012: 3–4).

It becomes clear that sustainable development “meets the needs of the present without compromising the ability of future generations to meet their own needs” (World Commission on Environment and Development (the Brundtland Commission) Report: “Our Common Future”, 1987 cited in World Bank, 2001: 1). According to UN-documents.net (2012: 1) sustainable development has two key concepts:

- The concept of “needs”, in particular the essential needs of the world’s poor, to which overriding priority should be given; and
- The idea of limitations imposed by the state of technology and social organization on the environment’s ability to meet present and future needs.

Sustainable development involves the satisfaction of human needs and aspirations on a wide canvas. It meets the needs of multitudes of people in developing countries for “food, clothing, shelter, jobs”, all of which are not being met. Even beyond these basic material needs, “these people have legitimate aspirations for an improved quality of life”. Furthermore, it is true to say that any society in which there is abject poverty will be “prone to ecological and other crises”. To sum up: “Sustainable development requires meeting the basic needs of all and extending to all the opportunity to satisfy their aspirations for a better life” (un-documents.net, 2012: 1).

Sustainable development remains elusive for many African countries.¹⁴ Poverty is an ever-present challenge and few African states have benefited from globalisation. “Efforts to achieve sustainable development have been hindered by conflicts; insufficient investment; limited market access opportunities and supply side constraints; unsustainable debt burdens; declining levels of official development assistance; and the impact of HIV/AIDS” (Strachan *et al.* 2005: 7). According to the Department of Environmental Affairs and Tourism (DEAT) (2008: 12) “since the advent of democracy in 1994, South Africa has made a decisive break with the past. Far-reaching political, economic and social changes have reversed many of the long-term trends set in motion by decades of colonialism, apartheid and inequality”. South Africa can now claim to have a growing economy and systematically increasing fiscal expenditures to address poverty. “Statutory racism has been replaced with a human rights-oriented constitutional and legal order. New democratic structures and processes have complemented the overhaul of public sector governance”.

“South Africa’s definition of sustainable development is influenced by the globally accepted definition provided by the Brundtland Commission and which is entrenched in the Constitution (1996). Section 24 (b) (ii) of the Constitution guarantees everyone the right to have “the environment protected, for the benefit of present and future generations, through reasonable legislative and other measures that secure ecologically sustainable development and use of natural resources while promoting justifiable economic and social development”. Furthermore, South Africa has formalized its

14 The status of sustainable development in Africa is variable. The findings on social and economic sustainability reveal that some countries have experienced notable progress while others are still lagging behind. Existing evidence points to stagnant and sometimes declining levels of quality of life and a poor social environment. This points to the need for concerted efforts to implement policies, programmes, and strategies that have been formulated to facilitate sustainable development. Where such policies are inadequate, the need to formulate, adopt and implement them is urgent. This is an imperative if African countries are to achieve the targets set in the MDGs, JPOI and other related internationally agreed development goals. In doing so, African countries will need to treat all the three dimensions of sustainable development equally and take an inter-sectoral approach in dealing with identified challenges. There is also a need to establish and build the capacity of national and regional institutions to implement, monitor and evaluate sustainable development goals (UN Economic Commission for Africa. Undated).

definition of sustainable development by passing it into law. (Department of Environmental Affairs and Tourism (DEAT) (2008: 14). Sustainable development, is defined in the National Environmental Management Act (NEMA), Act No. 107 of 1998, as “the integration of social, economic and environmental factors into planning, implementation and decision-making so as to ensure that development serves present and future generations” (Department of Environmental Affairs and Tourism (DEAT) (2008: 14).

In South Africa and the African continent as a whole,¹⁵ the term sustainable development is still rather new and thus lacks a uniform interpretation. Important as it is, the concept is still being developed and its full meaning is currently being “revised, extended, and refined” (The World Bank Group, 2004: 2).

3.3 SUSTAINABLE DEVELOPMENT IN SOUTH AFRICA

Sustainable development is a process designed to meet the needs of society in the present, with the proviso that natural resources should not be compromised. These resources must also be conserved for future generations so that they too can meet their needs, i.e. there must be “intergenerational equality”. We must use the Earth’s natural resources sparingly, keeping in mind that they should still be available for future generations. This being so, “while we can use a certain amount of the planet’s resources, we should never entirely deplete a natural resource” (saep.org, 2012: 1). Sustainable development relies as much as possible on “renewable resources (the kind that can be replenished) by getting power from the sun rather than power from fossil fuels such as oil, coal, and natural gas, which take millions of years to form”. Besides this careful use and preservation of natural resources, “sustainable development promotes the eradication of poverty and extreme income and wealth inequalities; the

15 South Africa has been given last place in a study measuring the long-term sustainable development of 31 countries, despite three African countries making it into the top 10. Global banking and investment company Standard Chartered Bank this week launched its Standard Chartered Development Index which that makes use of a number of measures including gross domestic product (GDP) per capita, education, life expectancy, environmental health and the sustainability of the environment to assess the long-term development potential of a country. South Africa received the lowest score overall, based largely on a fall in life expectancy over the review period 2000-2012 and the long-term sustainability of its environment (Benjamin, 2013: 1).

goal of full employment; the provision of access to quality and affordable basic services to all South Africans; and the fostering of a stable, safe, and just society” (saep.org, 2012: 2).

In order to achieve the above aims, the South African government has initiated a national framework for sustainable development. This framework is based on following international signposts (adapted here from DEAT, 2008: 17):

- The United Nations Conference on the Human Environment, held in Stockholm in 1972, where the environment was recognized as a development concern.
- The 1992 Rio Earth Summit, where Agenda 21 was agreed upon as a blueprint for sustainable development, reflecting global consensus and political commitment to integrate environmental concerns into social and economic decision-making processes.
- A decade of UN summits and conferences between 1992 and 2002, which focused on the social, economic and environment related fields and widened the concept of sustainable development.
- The 2000 United Nations Millennium Summit where the Millennium Development Goals (MDGs) were adopted.
- The World Summit on Sustainable Development, held in Johannesburg in 2002, which reaffirmed the commitment to sustainable development, placed poverty eradication at the centre of efforts to achieve sustainable development, and reinforced the notion of development that aims for equity within and between generations.

The commitment to develop strategies for sustainable development was captured in the Johannesburg Plan of Implementation (JPOI) which reads as follows: “States should take immediate steps to make progress in the formulation and elaboration of strategies for sustainable development and begin their implementation by 2005”. In post-democratic South Africa a number of steps have been taken which indicate that a sustainable development strategy is in place. These include initiatives such as the Reconstruction and Development Programme (RDP); the Integrated Sustainable Rural Development Strategy (ISRDS); the Urban Renewable Programme (URP); and the process to develop a National Sustainable Development Strategy, led by the

Department of Environmental Affairs and Tourism (The Western Cape Provincial Development Council, 2005: v).

In 2007 these development projects culminated in the National Framework for Sustainable Development. This strategy document defines sustainable development as a process which enhances “human wellbeing and quality of life for all time, in particular those most affected by poverty and inequality”. It goes on to explain that “resource use efficiency and intergenerational equity are the core principles. If this generation leaves the next generation with degraded economic, social and environmental assets and less wealth, then the result will be an unsustainable future” (entrepreneurstookskit.org, 2009: 1).

The National Framework for Sustainable Development embodies South Africa’s national vision. It indicate the strategic interventions designed to re-orientate South Africa’s development path in a more sustainable direction. It does not present precise details on strategies or actions, but rather proposes a “national vision, principles, trends, strategic priority areas and a set of implementation measures that will enable and guide the development of the national strategy and action plan” (entrepreneurstookskit.org, 2009: 1). It provides an overview of how the “existing activities of government and its social partners will be strengthened, refined and realigned in a phased manner to achieve inter-related sustainable development goals”. The strategy envisages the promotion of sustainable development in the economy, society and the environment, and indicates how governance systems will be capacitated to facilitate this process (entrepreneurstookskit.org, 2009: 1). Effective tools are required to promote sustainable development. Some of the important government tools can use (adapted below from the website saep.org, 2012: 2), include:

- **Taxes:** The government can levy taxes on industries or practices that are unsustainable. For example, the government can (and does) tax petrol to encourage people to drive less or use public transport to cut down on pollution.
- **Tax breaks:** The government can reduce the taxes it demands from industries or individuals that act sustainably. For instance, the government can reduce taxes on companies that install solar panels to generate renewable power.
- **Subsidies:** The government can create incentives for sustainable behaviour by providing the financial backing to start up sustainable projects. It is also able to

create or update infrastructure to make industries more sustainable. For example, the government can provide a subsidy for farmers to improve their irrigation systems so that they use less water.

- **Legislation and regulations that control environmental pollution and regulate development:** Examples here include measures that limit the amount of water or air pollution caused by factories; those that prevent development on environmentally sensitive land; those that protect the constitutional right to a healthy environment; and those that encourage communities to become involved in decisions that affect them (such as what type of development should take place).
- **Providing good environmental services:** The government currently does not do enough to deliver quality environmental services (such as water and sanitation, effective waste collection and disposal systems, good drainage to prevent flooding, safe and convenient transport, parks and other recreation facilities, and effective planning for urban communities) to all people.
- **Environmental education and awareness** Government can do much to educate the public about environmental issues that affect the country as a whole and their communities in particular.

These indicators are vital to ensure sustainable development; they are explored at the local level in the next section.

3.3.1 Sustainable Urban Development in South Africa

Næss and Vogel (2012: 37) explain that a substantial amount of research has been conducted in the field of sustainable urban development. These research projects “have investigated transition toward sustainable urban development from the perspective of transition theory”. In recent decades, several studies have investigated the performance of different urban spatial structures against sustainability criteria (e.g. Næss, 1993; Tjallingii, 1995; Newman & Kenworthy, 1999; Williams *et al.*, 2000; Næss, 2001; and Schremmer, 2011). Other studies have addressed conditions for implementing more sustainable patterns of urban development (e.g. Næss, 1993; Banister, 1998; Næss *et al.*, 2011; Schremmer, 2011). All these research works and studies support the notion of sustainable development initiated by the UN World Commission on Environment and Development in 1987.

In terms of sustainable urban development in developed (wealthy) nations, there are several challenges, including the mitigation of climate change; the need to “limit energy consumption; reduce pollution; protect natural areas and arable land; and provide a safe and healthy environment for its citizens”, particularly those groups that are most vulnerable (UN/ECE, 1998 in Næss and Vogel, 2012: 37). Different systems for monitoring and evaluating the performance of urban development projects are currently practiced around the world. Abu Bakar and Cheen (2013: 486) indicate that progress has been made in environmental performance assessment methods for new construction projects and that this has promoted sustainability practices. Assessment tools have also been developed making use of various “evaluation criteria based on conditions to suit the countries for which the tools are designed”. They then explain that the most widely used assessment tools [include the particular] site used, the indoor environment, energy, material resources and water. In other words “the sustainable urban assessment tools, which include measurements of economic and social sustainability in the development of the designated area [should be] based on [the] local conditions of each country”.

In South Africa, to fulfil the objectives mentioned above, sustainable development must be complemented by combating poverty and providing equity and equality in the distribution of resources. To address this issue, soon after coming to power the government introduced the Reconstruction and Development Programme (RDP) as a foundation block for rural development. This was followed later by the implementation of the Growth, Employment and Redistribution (GEAR) project. These policy documents paved the way for rural and urban development frameworks.

According to Vellem (2013: 1) South Africa’s urban development framework was the counterpart of the rural development framework. It “was developed in 1997 and was also guided by the basic framework provided by the RDP. Its purpose was to outline the urban initiatives necessary to drive the views of GEAR”. The urban development framework had specific goals, namely “to promote a consistent urban development policy approach for effective urban reconstruction and development; to guide development policies; to guide the strategies and actions of all stakeholders in the urban development process; and to steer them towards the achievements of a collective vision” (cited in Vellem, 2013: 1). Those who support the urban development framework maintain that the emphasis on the urban “does not seek to reinforce and divide urban

and rural”. For them “rural” and “urban” areas are instead parts of an interactive regional, national and international system “interrelated through a web of economic, social, political and environmental linkages”. This implies what is needed is an “inclusive urban development framework that complements the emerging rural development strategy within the broader frame of the national ... perspective (NUDF, 2009)”, cited in Vellem, 2013: 1).

At the municipal level, the whole approach of urban development is challenged by the following four criticisms, identified by Pycroft (1998: 157–158) and cited in Donaldson (2001: 2):

- In the first place, the fluidity of the municipal environment creates a gap between the identified needs in the Land Development Objectives (LDOs) and the changing needs of the community.
- Secondly, the timing of the LDO process is ill-considered because it coincides with the reorganization and restructuring of municipalities and the boundary demarcation according to the new Demarcation Act.
- The third criticism is that the flexibility of implementation of the LDOs is questionable.
- Finally, the limitations of the DFA¹⁶ in providing a planning framework are acknowledged by the fact that Integrated Development Plans for municipalities have to be incorporated into an Integrated Planning Framework.

These issues are explored in the next section.

3.4 SUSTAINABLE (URBAN) DEVELOPMENT AT LOCAL GOVERNMENT LEVEL IN SOUTH AFRICA

This section deals with the issues regarding sustainable development at South African local government level, with the emphasis on Sedibeng District Municipality as a case study.

16 DFA stands for Development Facilitation Act.

3.4.1 Sedibeng District Municipality: an overview

The SDM Council's Progress Report for the 3rd Quarter (2010: 3; and Kaliwise Capital, 2013: 1) indicate that the Sedibeng District Council is an "innovative, dynamic, developmental government that consistently meets and exceeds the expectations of the communities and the various stakeholders it serves. Its mission is the creation of a local government dedicated to the provision of quality services in an effective, efficient and financially sound manner". The claim is that the SDM:

- Promotes the Batho Pele Principle.
- Ensures that there is cost effective and affordable service delivery.
- Monitors and develops staff to ensure a consistently high work output.
- Adheres to good governance and sound management practices.
- Is actively developing a culture of accountability and transparency.

The Sedibeng District Municipality is a Category C municipality in the Gauteng Province. It is situated on the banks of Vaal River and Vaal Dam in the southern-most part of the province, covering the area formerly known as the Vaal Triangle. It includes the towns of Nigel, Heidelberg, Vereeniging, Vanderbijlpark, and Meyerton as well as the historic townships of Evaton, Sebokeng, Boipatong, Bophelong, Sharpeville, and Ratanda, which have a rich political history and heritage.

With the N1, N3, and R59 highways intersecting the district, it is seen as one of the most accessible regions in the country and in southern Africa. With the massive improvements to the road network, accessibility has improved, making the district an ideal site for investors. Export routes are available via (i) the N3 and Durban harbour; and (ii) the N1 and R59 and O.R. Tambo International Airport. The R59-corridor and the northern parts of the Midvaal Local Municipality are primary areas of overflow from central Gauteng and further afield into the district (Sedibeng District Municipality, 2010: 16).

The jurisdiction of Sedibeng District Municipality covers the entire southern area of Gauteng Province, extending along a 120km axis from east to west. The total area of the SDM is 4630km², of which Emfuleni takes up 1276km² (27,6%); Midvaal takes up 2312km² (49,9%), and Lesedi takes up 1042km² (22,5%). The area can be described as

mostly agricultural/rural, especially in the eastern parts. The main urban areas, namely Vereeniging and Vanderbijlpark in the western part of the SDM, and the Evaton/Sebokeng residential complex to the north, in Emfuleni. Lesser urban concentrations are found in Meyerton in Midvaal, and Heidelberg/Ratanda in Lesedi.

3.4.2 Institutional development and transformation

The Sedibeng District Municipality Integrated Development Plan for 2011/2012 (2012: 38), section 2.3.2 explores the institutional development and transformation aspects of the Sedibeng District Municipality emphasizing that the municipality “was born out of the new system of local government, which, came into being between 1998 and 2000, when the Parliament of South Africa enacted a number of statutes which entirely transformed the systems, institutions and processes of local government”. For most of the residents, empowered since the introduction of democracy in 1994, it was the dawn of a new era, in which they enjoyed a voice and could make inputs into government activities for the first time.

The post-1994 government put municipal structures in place that would be both democratic and developmental, and strove to fulfil government’s constitutional mandates. The entire system of governance was overhauled, including the processes of local government, to ensure that municipalities, the sphere of government closest to the grassroots communities (especially those who had been previously disadvantaged) would have easy access to services and have people-oriented administrative structures and political office bearers (Sedibeng District Municipality Integrated Development Plan 2011/2012, 2012: 38). While addressing the vast service delivery challenges and backlogs created by the legacy of the past, the new municipal structures also had to face the challenges posed by rapid urbanization. They also had to contend with the high levels of migration that were sparked by the collapse of apartheid’s “separate development” vision and the increasing expectations among the black majority for a better life for all (Sedibeng District Municipality Integrated Development Plan 2011/2012, 2012: 38).

The post-democratic government had to create new organizational structures. The municipalities were charged with the delivery municipal services among other delegated duties. “On the basis of empirical studies on local government’s achievements and challenges, institutional development and transformation are identified as strategic

challenges that municipalities have to address now and in the future” (Sedibeng District Municipality Integrated Development Plan 2011/2012, 2012: 38).

3.4.3 Population of the Sedibeng District Municipality

According to Sedibeng District Municipality Spatial Development Framework (2009: 8) Sedibeng is “moderately populated” and the statistics and comparative analysis mentioned below provide a base on which an assessment of the “development within the municipality’s area of jurisdiction can be made”. The 2007/2011 Integrated Development Plan (IDP) estimates that the total population in the SDM is 843 006 (Kwaledi, 2011: 29; Sedibeng District Municipality Spatial Development Framework, 2009: 8).

According to Development Bank of Southern Africa (DBSA) (2007) projections which are based on the Statistics South Africa 2001 census, the total population of the Sedibeng District Municipality is 908 107. According to Statistics South Africa’s Community Survey of 2006, with its limitations, the total population of the SDM is 800 819 (Sedibeng District Municipality Spatial Development Framework, 2009: 8). The data on population statistics are indicated in Table 3.1.

3.4.4 Distribution of population per municipality and sub-area

Emfuleni Local Municipality represents 80.9% of the entire Sedibeng District Municipality population, which effectively means that more people reside in Emfuleni. Although Emfuleni represents the largest population of SDM, it is Midvaal that has the biggest land area of 41.3% followed by Lesedi at 35.6%. Areas that were previously dominated by whites are experiencing population shifts. More white people are leaving the area and people from other races are entering the area. Table 3.2 below illustrates the population distribution by gender and population groups in Sedibeng (Sedibeng District Municipality Integrated Development Plan 2011-2012, 2012: 28).

Table 3.1: Population and total household (CS2007) and indicating population shifts 2001-2007 (CS2007)

NDB Name	Name	Population	Population as %		Households		
			District	Province	No	As % District	As % Province
DC42	SDM	800 819	100	738	241223	100	7.5
DT421	Emfuleni Local Mun	65 887	81.2	6.2	196480	81.4	6.1
GT422	Midvaal Local Mun.	83 445	10.4	0.7	24265	10	0.7
GT423	Lesedi Local Mun	66 507	8.3	0.6	20476	8.4	0.8

Population shifts 2001-2007 (CS2007)

NDB Name	Name	Total Population 2001	Total Population CS 2007	Population change 2001-2007	% Growth 2001-2007
DC42	Sedibeng District Municipality	796 746	800 819	4 073	0.5
DT421	Emfuleni Local Municipality	658 417	650 887	-7 550	-1.2
GT422	Midvaal Local Municipality	64 640	83 445	18 805	22.5
GT423	Lesedi Local Municipality	73 689	66 507	-7 182	-10.8

Source: SDM Integrated Development Plan, 2009: 27; Sedibeng District Municipality Spatial Development Framework, 2009: 8; Kwaledi, 2011: 30-31.

Table 3.2: Distribution of Population per Municipality

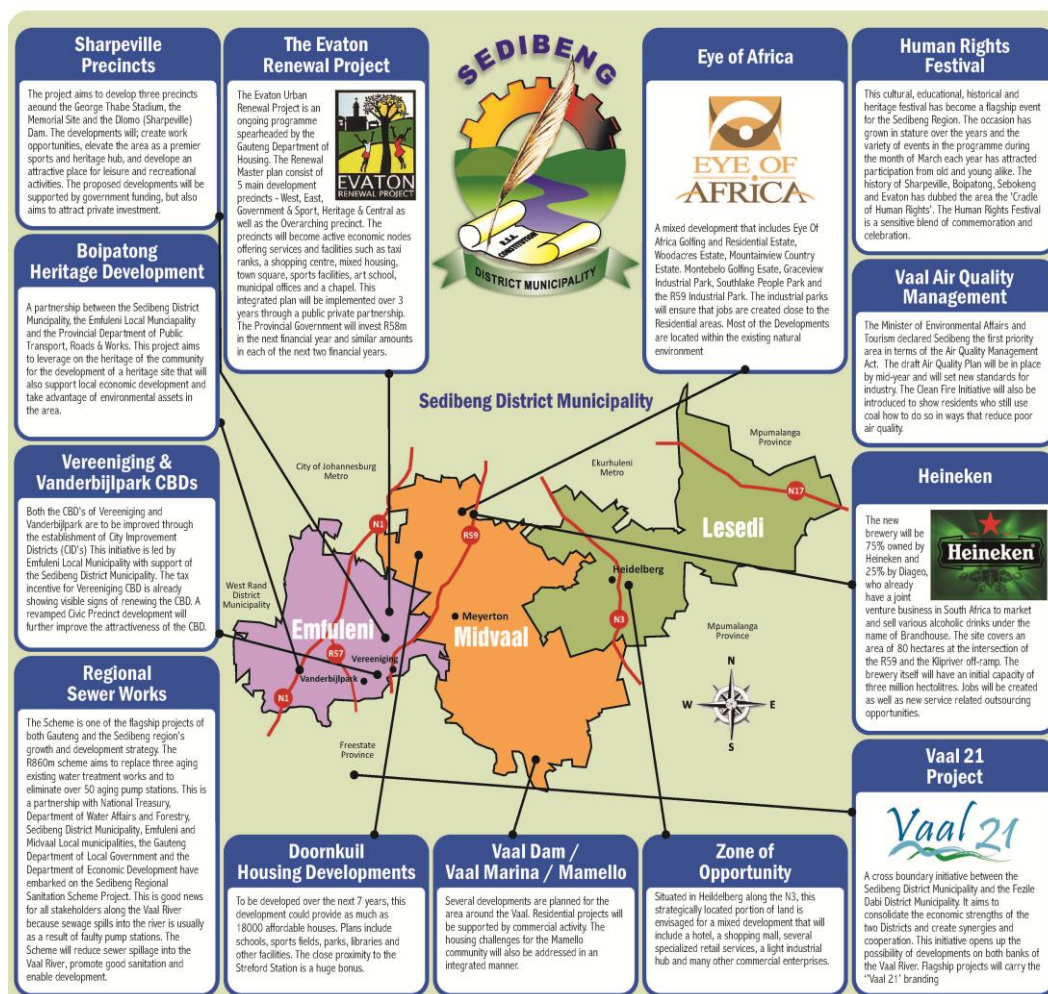
Race and Gender	DC42: Sedibeng District Municipality	GT422: Emfuleni Local Municipality	GT423: Midvaal Local Municipality	GT423: Lesedi Local Municipality
African				
Male	336, 118	276, 709	26, 520	32, 890
Female	331, 255	287, 309	26, 040	31, 473
Coloured				
Male	5,007	3, 713	652	641
Female	5,176	3, 924	673	578
Indian/Asians				
Male	3, 892	3, 325	188	379
Female	3, 818	3, 264	168	385
White				
Male	59, 603	42, 934	11, 642	5, 027
Female	60, 302	44, 102	11, 073	5, 126
Grand Total	805, 168	651, 713	76, 957	76, 498

Source: Sedibeng District Municipality Integrated Development Plan 2011/2012, 2012: 28.

3.4.5 Trends towards the Sustainable Development

According to the Sedibeng District Municipality Integrated Development Plan Report (2011: 29) Sedibeng District Municipality operates largely on grants received from the national and provincial governments. In certain instances some projects are funded through donor funding, as shown in Figure 3.1.

Figure 3.1: Trends towards the Sustainable Development at Sedibeng District Municipality



Source: Sedibeng District Municipality, 2011: 29.

3.4.6 Sedibeng District Municipality: composition of the staff establishment

This section covers the following issues:

3.4.6.1 Institutional arrangement

In order to fulfil the demands of effective and efficient delivery of services, the Sedibeng District Municipality realizes that it is imperative that both human and non-human capacities must be synergised as follows (Table 3.3):

Table 3.3: Institutional arrangement at Sedibeng District Municipality

Cluster	Staff Complement
Office of the Speaker	09
Office of the Executive Mayor	10
Office of the Chief Whip	06
Municipal Manager's Office	08
Corporate Services	263
Treasury	32
Community Services	309
Strategic Planning & Economic Development	44
Transport Infrastructure & Environment	177
Total	858

Source: Sedibeng District Municipality, 2012: 42.

The Sedibeng District Municipality has successfully overcome the challenge of restructuring the organisation in the post-democratic dispensation. This process was concluded in 2008 and the new organogram was adopted and approved by the Council. The organizational structure was amended to ensure effective service delivery as well as accommodate new functions that the municipality is expected to perform in line with the implementation of the Growth and Development Strategy (GDS) as well as other flagship projects such as the Vaal 21 and Precincts development scheme (Sedibeng District Municipality Integrated Development Plan 2011/2012, 2012: 39).

3.4.6.2 Composition of the staff establishment

According to the Sedibeng District Municipality Integrated Development Plan 2011/2012 (2012: 39), “the staffing establishment of the Municipality consists of officials appointed on full time basis in terms of the Conditions of Employment negotiated at SALGBC”.¹⁷ These are “fixed term contract employees appointed on conditions of employment negotiated at the workplace and those appointed in terms of the Municipal Systems Act 32 of 2000”. The total number of SDM staff is 831 employees (Sedibeng District Municipality Integrated Development Plan 2011/2012 (2012: 40).

17 South African Local Government Association Board of Control

3.4.6.3 Human Development Index (HDI)

The Sedibeng District Municipality Annual Report 2010/11 (2011: 20), section 1.9 explores the issue of the Human Development Index, stating that “it is a composite, relative index that attempts to qualify the extent of human development of the community. It is based on measuring of life expectancy, literacy and income, it is thus seen as a measure of people’s ability to live a long healthy life to communicate, participate in the life of the community and to have sufficient resources to obtain a decent living. The HDI assumed a maximum level of 1, indicating a high level of human development and minimum value of 0, indicating no human development”. The HDI shows the human development levels by population group in the period 2009/2010 for Sedibeng District and its local municipalities. Whites are the highest at 0.88 followed by Asians at 0.75, Coloureds at 0.6 and Blacks at 0.52. The overall development level of Sedibeng District has remained constant in the period 2009 to 2010 at 0.60 (Sedibeng District Municipality 2011/2012 IDP, 2012: 31).

Of the factors affecting sustainable development, the high level of poverty in Sedibeng District Municipality is a major issue. Table 3.4 shows where the highest number of indigent households in the SDM is located. These households have no income at all. Most of these poverty-stricken people are located in the former townships of SDM, namely Sebokeng and Sharpeville.

Those who live in conditions of extreme poverty are also found in Evaton, Bophelong, Boitumelo, Sharpeville, Ratanda, Meyerton (Sicelo and Silahlwe). Because these households have no form of income, they are unable to pay for basic services which mean that the municipality has to allocate them free basic services.

Table 3.4: Number of indigent households in Sedibeng District Municipality

Area	Number of households	Percentage	Ranking
Evaton Central	5329	10.159	1
Bophelong 1	4313	8.222	2
Evaton	4157	7.925	3
Sharpeville 1	2435	4.642	4
Sebokeng Hostel/Unit1	2465	4.127	5

Area	Number of households	Percentage	Ranking
Evaton Small Farms	2043	3.895	6
Boitumelo	2041	3.891	7
Tshepiso	1920	3.660	8
Sebokeng Unit 7	1705	3.250	9
Sebokeng Unit 17	1537	2.930	10
Sebokeng Unit 13	1382	2.635	11
Sebokeng Unit 12	1229	2.343	12
Sebokeng Unit 3	1174	2.238	13
Sebokeng Unit 6	1174	2.238	14
Beverly Hills	1121	2.137	15
Stretford	1087	2.072	16
Sebokeng Unit 14	1028	960	17
Meyerton Park	784	495	18
Sebokeng Unit 11	783	493	19
Bonanne	772	472	20

Source: Global Insight, 2010: 17.

Of necessity, the reduction of poverty has become a major focus of development policy. Research on poverty has focused on the measurement of income- and/or consumption-based poverty. It is now increasingly realized that poverty is multidimensional, encompassing all important human requirements. Poverty is now widely viewed in terms of capability deprivation (Sedibeng District Municipality 2011/2012 IDP, 2012: 32).

3.5 CHALLENGES FOR SUSTAINABLE DEVELOPMENT IN SEDIBENG DISTRICT MUNICIPALITY

This section explores the challenges that are associated with sustainable development in the Sedibeng District Municipality.

3.5.1 Migration

Change (either an increase or decrease) in population levels is influenced by a triangulation of fertility (babies that are born); mortality (deaths); and migration (people moving into and out of an area). Migration plays an important role, especially in Gauteng, which is the largest recipient of (in) migration in South Africa. Yet, unlike Gauteng as a whole, Sedibeng is no longer a major recipient of new migrants and there are indications that young people are leaving the area to look for better work opportunities elsewhere in the Gauteng Province and the other provinces (Sedibeng District Municipality 2011/2012 ID, 2012: 29). “Historical patterns of migration into Sedibeng District came from Free State in the main, as the district is the first stop into Gauteng”. Major migration ... comes primarily from farm dwellers and poor people from rural areas, who tend to migrate to the urban areas because of the lure of improved economic prospects, jobs, better wages, improved amenities and housing. The current migration trends show that the majority of people coming into the SDM are students who come to further their studies (Sedibeng District Municipality 2011/2012 IDP, 2012: 29-30). Tertiary education is available at the Vaal University of Technology, North-West University’s Vaal Campus and the Sedibeng Colleges. The Sedibeng Colleges offer tertiary education for those who do not qualify immediately after matriculation, or those whose parents cannot afford university fees. The influx of student migration into the SDM has had a positive impact on the regional and provincial economy, because the national trends indicate that after successful completion or even drop-out from their studies, students do not tend to return to their respective homes in the rural areas but remain in the SDM area to seek employment (Sedibeng District Municipality 2011/2012 IDP, 2012: 30). The strategic and competitive advantage of this migration is that scarcity of skills is not a major concern in the SDM area because there are diverse skills provided by institutions of higher learning to grow the economy. Furthermore, investors are able to attract professionals into the area because property and accommodation is cheaper than elsewhere in the Gauteng Province SDM IDP (2010: 25).

3.5.2 Human Development Index

The Human Development Index (HDI) is a composite, relative index that attempts to quantify the extent of human development of a community. It is based on measures of life expectancy, literacy and income. It is thus seen as a measure of people’s ability to live a long and healthy life, to communicate, to participate in the life of the community

and to have sufficient resources to obtain a decent living. The HDI assume a maximum level of 1, indicating a high level of human development, and a minimum value of 0, indicating no human development (Sedibeng District Municipality 2011/2012 IDP, 2012: 31). As already indicated above the HDI composition by population group in the period 2009 to 2010 for Sedibeng District and its local municipalities is whites at 0.88, followed by Asians at 0.75, coloured people at 0.6 and Africans at 0.52. The overall HDI of Sedibeng District has remained the same (0.6) in the period from 2009 to 2010.

Table 3.5: Human Development Index

Population group	Sedibeng District Municipality	Emfuleni Local Municipality	Midvaal Local Municipality	Lesedi Local Municipality
African	0.52	0.53	0.45	0.47
White	0.88	0.87	0.89	0.89
Coloured	0.57	0.60	0.52	0.46
Asian	0.75	0.75		
Total	0.60	0.60	0.63	0.56

Source: SDM IDP Report, 2011: 31.

The *Sowetan* newspaper of 19 May 2011: 9 states the obvious when it reports that local government is the channel for delivery of the basic needs of the citizenry. Given South Africa's history and the disparate levels of development, municipalities face a major challenge. As President Jacob Zuma pointed out, the effects of apartheid are most acutely felt at this level – where race continues to blatantly coincide with inequality. The challenge for those in power is to work hard toward creating conditions in which those who are still marginalized will be able to enjoy the fruits of the democracy. It is crucial for those in governance to assess and quantify the challenges that local government faces as part of the national agenda to build an equitable democratic society. The *Sowetan* of 19 May 2011 goes on to cite a previous report which revealed unequivocally that many municipalities are dysfunctional, lack effective financial control mechanisms and are plagued by corruption, the lack of necessary skills, have poor levels of accountability and narrow revenue bases.

In his speech at the ANC's Siyanqoba rally in Johannesburg on 15 May 2011, President Jacob Zuma outlined the party's strategy to redress the situation. He announced that the government planned among other things, to embark on the following strategies:

- Build systems to improve and enhance the delivery of services at local government level;
- Deal with dishonesty leading to corruption and financial misconduct;
- Ensure that councillors are more accountable to communities;
- Professionalize municipalities by employing a specialized and skilled work force;
- Improve co-operative governance, enhancing support from other spheres of the government; and
- Strengthen collaboration between different stakeholders drawing together all levels of government, the community and the market into beneficial partnerships.

These are indeed noble interventions that, if effectively implemented, will go a long way on dealing with some of the inefficiencies in municipalities (refer Figure 3.2).

Figure 3.2: Photographic evidence of inefficient service delivery



Source: <http://www.sowetanlive.co.za>, 2011: 11.

According to the *Sowetan*, of Wednesday 11 2011: 11 the image above shows one of the 1 600 free-standing, unenclosed toilets which were built by the Moqhaka Municipality in Free State Province. This is an indication of the complete lack of sustainable service delivery. In a similar example, while visiting the SDM (Midvaal), the premier of Gauteng, Ms Nomvula Mokonyane released a report on the performance of the local management from 2006 to 2011. She indicated that for a period of almost 10 years, the relevant authorities were completely unaware that there were no toilets with water-borne sewage systems in the Midvaal Local Municipality.

3.5.3 Upliftment of the geographically scattered area

The Sedibeng Integrated Development Plan for 2010 makes reference to the Spatial Development Framework, emphasizing that “there are a number of informal settlements, which vary in extent, situated in Sedibeng District. Because of the predominantly rural environment, various small, scattered settlements occur throughout the area” (Sedibeng Intergrated Development Plan, 2010: 65). In the extensive rural areas that are under Sedibeng’s jurisdiction there a number of existing rural settlement areas which were ignored in the delineation of the previous urban edge. These settlements (including Devon/ Impumelelo, Vischkuil, Jameson Park, Uitvlucht, Barrage and Kaydale) provide housing opportunities for rural dwellers, social facilities and economic opportunities. There are existing townships and new housing projects are also under way in Impumelelo Ext 2 and Kaydale (Sedibeng Integrated Development Plan 2010: 67).

3.5.4 Commonly held views about Service Delivery in Sedibeng District Municipality

The SDM IDP Report (2011: 35) states that there have been irregular outbreaks of service delivery unrest in SDM, especially in Ratanda, Sebokeng, Rustervaal and Evaton. On 13 September 2012, the executive mayor of the Sedibeng District Municipality, Councillor Mahole Simon Mofokeng delivered a public lecture on service delivery. It was held at North-West University (Vaal Triangle Campus) as part of a series of seminars presented by NWU. The initiative was part of a programme run by the School of Basic Sciences in the Faculty of Humanities. At the lecture it was decided to launch a research entity called Public Affairs for Service Delivery (PARSED) (Sedibeng District Municipality, 2012: 1). In his address, Mayor Mofokeng explored the issue of

service delivery dating back to the Roman Empire and the need for services during the Industrial Revolution in Great Britain. In a captivating presentation, issues of human needs and the desire for better services were explored in detail. Statistical analysis of the national, provincial and local overview of basic services showed that significant strides have been made in the provision of basic services (Sedibeng District Municipality, 2012: 1). However, the mayor emphasized that the statistics could not disguise the fact that many residents still do not enjoy the services they deserve and that service delivery must be accelerated and improved. In his concluding remarks the mayor placed the burden of accelerated delivery firmly on the shoulders of the government and public officials in particular. He also called for an integrated partnership between municipalities and academic institutions. This, he said, would emulate the Gauteng Global City Region Observatory and generate credible statistics and academic research on all aspects of Sedibeng. Such studies would enrich the local IDP's as well as the Growth and Development Strategy (GDS-02) (Sedibeng District Municipality, 2012: 1).

From the above discussion of the challenges that face the Sedibeng District Municipality it seems that the major hurdle to overcome is that of poverty. In this, the SDM is not unique. Indeed poverty is a common problem countrywide and underlies many other social problems. Emfuleni residents feel that their situation is desperate and they see no visible signs that it will improve in the near future. Their poverty excludes them from society, leaving them without access to economic and social opportunities. Poverty is also closely linked with a second trigger, whereby small business owners and aspiring entrepreneurs feel that they are being systematically excluded from business opportunities in the SDM. They feel that the municipal procurement system could be used to improve their lot and cannot understand why this does not happen. A second trigger is the lack of local economic development (LED). Residents feel that the absence of LED perpetuates the cycle of poverty because opportunities are not being created for them to lead meaningful lives.

Other factors that compounded these triggers are the visibly poor state of municipal roads (the current backlog of exceeds R5 billion); and incorrect billing information being sent to customers because of antiquated technology. The situation has become so bad that a number of customers have threatened to stop paying their rates to the municipality and say they will pay them into a privately run fund instead. Another

complaint is that the decrepit municipal wastewater system is in such a poor condition that raw sewerage is running above ground and spilling into the local rivers.

In an attempt to address these concerns the municipality has identified a number of mitigating steps. These are:

- Drawing up of a Human Resources Development Plan.
- Decentralization of support HR functions to line departments, e.g. recruitment, labour relations and training.
- Restructuring of revenue management functions including establishment of service centres in the regions and among local communities.
- Capacitating of the Municipal Manager's office to enhance compliance, reporting and governance, e.g. risk management, information systems, etc.
- Establishing planned asset management and project management clusters.
- Establishing a monitoring and evaluation office in the Mayor's office to include service delivery monitoring as well as management of the so-called Presidential Hotline.
- Implementation of a 90-day service delivery programme to speed up service delivery.
- Implementation of a forensic audit to determine integrity of service delivery projects.

Specific steps to mitigate against poverty also included a budget restructuring. There was a specific budget designated for social development programmes (R15m) and for LED pilot projects (R15m).

Specific support was also provided for informal traders and rural development cooperatives, whereby:

- Tenders were established on service centres.
- Tenders were accepted for the contracting of a dedicated EPWP management service provider to ensure that the EPWP maximises job creation.
- The development of SMME forums to enable programmes to include small businesses in procurement.

A long-term plan to build a sewerage treatment plant that incorporates Johannesburg, Mid-Vaal and Ekurhuleni is in place. The feasibility study has been concluded, the EIA is in progress and the institutional model has been developed. The project has been adopted as one of the premier's priority projects and funding of R3.5b has been secured.

3.6 INDICATORS FOR SUSTAINABLE DEVELOPMENT

To achieve the desired level of sustainable development, the following issues need urgent consideration:

- **Governance and integration for sustainable development:** To ensure that the national vision for sustainable development is pursued across all levels of government and to promote the successful implementation of interventions and actions that support the vision, it is important that the use of sustainable resources is embedded in the working of all clusters and intergovernmental structures in all three spheres, including through the actions of the
 - President's Coordinating Committee (PCC)
 - The Premiers' Coordinating Committees in the provinces and other inter-governmental forums envisaged in the Intergovernmental Relations Framework Act,
 - The Finance and Fiscal Commission and the Forum of South African Directors General (FOSAD).

Consideration should also be given to how parliament can exercise its oversight role in the implementation of sustainable development (Adapted from The National Framework for Sustainable Development in South Africa, 2008: 34).

- **Planning for sustainable development:** This must be done to ensure greater alignment of sustainability criteria of integrated and spatial planning, as well as in project formulation and selection checklists by public and private funders. Specific planning frameworks that should strengthen integration of sustainability criteria are the provincial Growth and Development Strategies; the Integrated Development Plans; the local economic development strategies and associated Spatial Development and Environmental Management Frameworks (Adapted from the National Framework for Sustainable Development in South Africa, 2008: 34).

- **Monitoring and evaluation for sustainable development:** This will be necessary to formulate an appropriate set of indicators to measure progress towards sustainability and to integrate these over time into the Government-wide Monitoring and Evaluation System (GWM&ES) (Adapted from the National Framework for Sustainable Development in South Africa, 2008: 34).
- **Policy integration:** Policy integration will serve to improve the integrated nature of general public policy problem identification; policy design; implementation and evaluation capacity in government (Adapted from the National Framework for Sustainable Development in South Africa, 2008: 34).

Significant advancement has therefore been made in the SDM and elsewhere to restructure state organisations and build governance capacity. This is especially so for social development (notably welfare, education and health), local governance, economic policy and environmental governance. However, there is general consensus that there is still a long way to go in building the capacity required by a developmental state. The government is committed to increase fiscal expenditures, lead economic growth, and to do this in a way that is ecologically sustainable (Department of Environmental Affairs and Tourism, 2009: 1). According to a treatise found on the government website (<http://www.environment.gov.za>, 2009: 1) “There is much agreement that cross-departmental coordination and policy integration across sectors is very weak, and policy may even be contradictory at times. This was driven both by strong vertical flows of information within particular sectors with weak flows across sectors, and by the consequences of professional disciplinary education which does not equip professionals in leading positions to analyse and think in trans disciplinary ways”. To this the (Department of Environmental Affairs and Tourism, 2009: 1) adds: “Significant political and economic interests that succeed in lobbying support for particular policy positions can reinforce fragmentation. Taken together, these trends suggest that economic policy making has occurred parallel to rather than integrated with the wide and impressive range of environmental and resource use policies that have been adopted since 1994”. Similarly, social policies are often been formulated in accordance with a “welfarist and developmental ethos, while environmental policies have been conservationist and economic policies have been premised on what the Macro-Social Report described as the individualistic logic of the market” (<http://www.environment.gov.za>, 2009: 1). Housing is a good case in point. It is widely agreed that housing plays an important economic role in any economy and its

environmental impact is well known. It is argued that as long as policy formulation processes remain institutionally fragmented and under-capacitated, sustainable development will remain merely a rhetorical commitment with no force or effect” (Department of Environmental Affairs and Tourism, 2009: 1).

3.7 THE ROLE OF LOCAL ECONOMIC DEVELOPMENT

The National Framework for LED in South Africa has been developed as a guide to advance an understanding of LED. It has put forward a strategic implementation approach that municipalities, provinces, national government, state-owned enterprises and communities take cognisance of to improve local economic development (<http://www.capetown.gov.za>). This framework also seeks to guide the implementation of the LED Key Performance Indicator of the 5-year Local Government Strategic Agenda through the suggested actions. The framework was launched for discussion at the national conference on “Developing Local Economies” opened by Minister Mufamadi on 15 August 2006. It was presented to the President’s Coordinating Council meeting of 8 September 2006. It was also endorsed by Local Government Minmec on 26 September 2006 (<http://www.capetown.gov.za>). “This introductory chapter describes the latest thinking and practice on LED. Its purpose is not to make a policy statement on LED but rather to understand the evolving approaches to LED and how this may interact with practice in South Africa (<http://www.capetown.gov.za>).

According to Bartik (2003: 1) local economic development can be defined as “increases in the local economy’s capacity to create wealth for local residents”. These increases occur if available local resources (such as labour and land) are used more productively. Then too, “economic development also occurs by shifting employed labor and land to more productive uses, for example better jobs ... local economic development is arguably affected by all local government activities. However, local economic development policy is usually defined more narrowly as special activities, undertaken by public or private groups, to promote economic development”. Bartik goes on to argue that activities collectively called “economic development programmes” fall into two broad categories:

- 1) Those which provide customized assistance targeted at individual businesses that are thought to provide greater economic development benefits; and

- 2) Strategic initiatives in which more general tax, spending, and regulatory policies of government are changed to promote local economic development.

Even without these efforts on the part of government, local economic development may occur. However, local economic development programmes do increase the quantity and/or quality of local economic development (Bartik, 2003: 1)

3.8 INTEGRATED DEVELOPMENT PLANNING (IDP)

“Integrated development planning (IDP) is a process through which municipalities prepare a strategic plan containing short, medium and long-term development objectives, strategies and programmes for the municipal area. The IDP is a principal instrument that guides and informs budgeting, management and decision making related to service delivery and development in a municipality” (Department of Provincial Local Government, DPLG, 2009: 8). “The IDP process enables municipalities to work together with communities and other stakeholders to find innovative and cost effective ways of eradicating poverty and growing the local economy” (Department of Provincial Local Government, DPLG, 2009: 8-9). In terms of Section 25 of Chapter 5 of the Municipal Systems Act (32 of 2000) the Integrated Development Plan (IDP) is defined as a “single inclusive and strategic plan that links, integrates and co-ordinates a municipality’s sector specific plans; aligns the resources and capacity of the municipality to the overall development objectives of the municipality; forms the policy framework on which annual budgets rests; informs and is informed by similar development plans at national and provincial level” (Mkhambathini Local Municipality, 2012: 1; <http://www.mkhambathini.gov.za>).

The Sedibeng District Municipality five-year IDP that is aligned with the 5 year Local Government Strategic Agenda is the last of the five annual IDPs issued from 2007 to 2011) and 2011/2012 is regarded as a bridging year that seeks to put forward an IDP that was approved by the outgoing council and implemented by the newly-elected council. According to the SDM IDP Report (2011: 02) the IDP assists the municipality to utilize the available resources effectively; quicken the pace of service delivery; raise additional finances; and augment organizational transformation by upgrading the policies for improved local democracy with enhanced intergovernmental relations. This requires the implementation of an Integrated Development Process Framework Plan. “The function of the Framework Plan is to ensure that the process of the District IDP and local IDP’s are mutually linked and can inform each other, ensuring co-operative

governance as contained in Section 41 of the Constitution” (Mkhambathini Local Municipality, Integrated Development Plan 2011/2012, 2013: 8).

The aim of the framework is to identify the plans and planning requirements laid down in the national and provincial legislation; to identify aspects omitted from the IDP process; to specify the principles to be applied; to co-ordinate the approach to be adopted; to determine procedures for consultation between the district municipality and the local municipalities; and to incorporate comments from the MEC (http://www.mkhambathini.gov.za/governance/idp/2011/idp_11.pdf).

3.8.1 Integrated Development Plan and sustainable development

In terms of sustainable development, the Integrated Development Plan considers “the use of resources to meet the needs of present generations in such a way as to ensure that the needs of future generations can also be met; and to achieve sustainability as an outcome of the planning process, all dimensions of development (social and economic) as well as the natural environment within which it occurs needs to be considered when planning” (Cogta, undated: 13). Integrated development planning is the local response to ensure sustainability through the planning process. According to the White Paper on Local Government (1998), “integrated development plans are planning and strategic frameworks to help municipalities fulfil their developmental mandate”. In this respect, these plans will “assist municipalities to focus on the environmental sustainability of their delivery and development strategies”. The White Paper goes on to explain that “sustainable development is development that delivers basic social and economic services to all, without threatening the viability of the ecological and community systems upon which these services depend” (<http://www.cogta.gov.za>).

Integrated development planning as a process is more comprehensively defined as “a participator planning process aimed at integrating sectoral strategies, in order to support the optimal allocation of scarce resources between sectors, geographic areas and the population in a way that promotes sustainable growth and equitable development and the empowerment of the poor and marginalized” (Forum for Effective Planning and Development, 1998, cited in Cogta, undated: 14). The sustainability and sustainable development can only be achieved when the aims of the Integrated Development Plan are aligned with the vision, mission and objectives of the municipality. It is therefore crucial that an Integrated Development Plan should incorporate the following (adapted

from Mkhambathini Local Municipality, Integrated Development Plan 2011/2012, 2013: 8):

- It should encapsulate the municipal council's vision for the long term development of the municipality with special emphasis on the municipality's most critical development and internal transformation needs.
- It should include an assessment of the existing level of development in the municipality, such as the identification of communities which do not have access to municipal services.
- The council's development priorities and objectives for its elected term must be delineated, including its local economic aim and internal transformation needs.
- The council's development strategies must be identified and should be aligned with any national or provincial sectoral plans and planning requirements binding on the municipality.
- The IDP should incorporate the spatial development framework and must include the provision of basic guidelines for a land use management system for the municipality.
- It should also outline the council's operational strategies.
- The IDP must include applicable disaster management plans.
- It should also incorporate a financial plan, which must include a budget projection for at least the next three years.
- Key performance indicators and performance targets must be provided in terms of Section 41.

The elements of developmental local government hence play a vital role in social, economic and infrastructure sustainability at grassroots level. Municipalities, according to DPLG (Municipal Integrated Development Planning, 2011: 1) "no longer only have the task of providing basic local administration. They are now expected to play an important role in the country's struggle against poverty and underdevelopment". Government policy makes it clear that municipalities are expected to play a developmental role, placing the local sphere of government "in the forefront of a national effort to put right the political, social and economic wrongs of apartheid".

According to the White Paper (1998), available on the internet at <http://www.dplg.gov.za> “Developmental local government means that a local government must be committed to work with citizens and groups within the community to find ways to meet their social, economic and material needs and improve the quality of their lives. It should target ... those members and groups within communities that are marginalized or excluded, such as women, disabled people and very poor people”. It is clear that “municipalities face great challenges in promoting human rights and meeting human needs; addressing past backlogs and problems caused by apartheid planning; and planning for a sustainable future. They can only meet these challenges by working together with local citizens, communities and businesses, and adopting a developmental approach” (DPLG, Municipal Integrated Development Planning, 2011: 1; <http://www.dplg.gov.za>). A municipality can only be considered developmental when it has appropriate and adequate resources to deliver basic services and maintain sustainability of these services.

The Local Economic Development and Integrated Development Plans of a municipality therefore play a vital role in enhancing sustainable development to communities through incorporation of needs-based projects. This has a base from the White Paper (1998; and the National Treasury, 2007: 53) that stipulates that “ local government must play a ‘developmental role’ which is to take reasonable steps, within available resources, to ensure that all South Africans have access to adequate housing, health care, education, food, water and social security. Developmental local government means a local government omitted to ‘work with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives’”.

The apartheid era in South Africa “disfigured the make-up of its cities, towns and rural areas”. Municipalities have to be prepared to commit resources to uplift the poor in their areas of jurisdiction. Local economic development (LED) must “play a leading role in job creation and advancing the local economy” (<http://www.dplg.gov.za>). By providing adequate and cost-effective services and by making the local area a desirable one in which to live and work, the municipality will contribute positively to the enhancement of sustainable local economic development. In sum, municipalities must create an environment for local economic development and job creation (<http://www.dplg.gov.za>).

3.8.2 Municipal Integrated Developmental Planning (IDP) and Intergovernmental Planning

Officially, the Department of Provincial and Local Government [presently known as Cogta] (2011: 5) prescribes the processes of aligning Integrated Development Planning with Intergovernmental Planning to foster sustainable development at grassroots level. “The core driving force of the Developmental State initiative is coordination as reflected in decentralized development planning and integration between the three spheres of government. Both these ideas are in line with the 1996 Constitution of South Africa which,

- 1) enshrines the notion of co-operative governance, and government as one entity consisting of three interdependent spheres, and
- 2) endows local government with a novel and specific developmental role (<http://www.dplg.gov.za>).

In accordance with this “new intergovernmental development planning ethos”, local government has become the foremost planning arm of government. Provinces support and monitor this activity, while national government creates the framework of norms and standards within which these developmental actions take place. “Collectively, and with each sphere fulfilling its specific mandate, the actions of the three spheres dovetail into a joint intergovernmental effort aimed at achieving its key developmental objective” (<http://www.dplg.gov.za>).

3.8.3 Intergovernmental Relations (IGR) at Sedibeng District Municipality

According to the SDM IDP Report (2011: 36) there are intergovernmental structures in place, whereby the political-based portfolio holders are the Speaker, the Executive Mayor and the Chief Whip. These political office-bearers are responsible for enhancing community participation and improving intergovernmental relations for sustainable development in their areas of jurisdiction.

According to the Gauteng Provincial Government (GPG) (2010: 9) intergovernmental relations are part of a constitutional, statutory process to facilitate integrated and cooperative governance. IGR is also addressed by national, provincial and local policy and strategic planning processes. This approach has been informed by the need to ensure cohesive policy planning processes and implementation with the purpose of

achieving service delivery outcomes. Among the national strategic initiatives followed are the State of the Nation Address (SONA); the respective State of the Province Addresses (SOPA); the national and provincial budget process and tabling at the provincial Executive Council Extended Lekgotla. The provincial Executive Council Extended Lekgotla is an initiative by provincial premiers (in this case the Gauteng Provincial Government premier) to bring together members of the Executive Council (MECs) and members of the Municipal Executive Councils (MME's) and mayors to discuss a provincial mutual policy programme of action and its implementation, with the purpose of achieving strategic outcomes.

This is an overall executive engagement process amongst executive leadership, that is, the premier and MECs in the province; members of the Municipal Executive Councils (MMEs) and the mayors from local governments within the province. The procedures receive support from senior government officials including the provincial director general; heads of departments and municipal managers. The support process includes consolidating departmental and local government strategic plans in line with the approved annual performance plans (AAPS) with the purpose of achieving strategic outcomes for the province.

The policy and strategic consideration of consolidating departmental and local government strategic plans issued by the premier and MECs in the province, the MMEs and mayors in the spheres of government in the province is then translated into a provincial intergovernmental relations programme of action. The Gauteng Intergovernmental Relations (IGR) Framework therefore facilitates intergovernmental relations and co-operative government within the above broader policy and strategic context and mandate. It also aims to provide pragmatic guidelines that will shift co-operative governance from theory to focusing on service delivery and ensuring responsiveness to citizens' needs at both macro and micro level. The implementation of the framework will strengthen relations between the three spheres of government and also link and synergize provincial sector IGR forums, including the premier's Coordination Forum, inter-municipal and inter-provincial forums.

3.9 GAUTENG INTERGOVERNMENTAL RELATIONS FRAMEWORK

According to the GPG (2010: 12) the basis of the development framework relies on the principle that unless a coherent approach to address the challenges of governance is

undertaken, the spheres of government and departments will continue to plan and implement policies and programmes in isolation of each other. Poor co-operation will lead to inappropriate or inefficient service delivery. Co-operative governance is a constitutional imperative and the enabling IGR Framework Act (2005) provides a framework for all the three (national, provincial and local) spheres of government to facilitate IGR and also presented mechanisms to settle IGR disputes. The provincial IGR Framework guides all spheres of government to act in unison. It provides a platform for a coherent medium to long term integrated development planning, monitoring and evaluation. Furthermore, co-operative governance is imperative in giving effect to the electoral mandate of the province as encapsulated in the Medium Term Strategic Framework (strategic priorities) in order to achieve political outcomes through integrated intergovernmental relations programme of action.

In Chapter 3 of the Constitution of the Republic of South Africa (1996), the basic value of a co-operative government system and intergovernmental relations are set out. The Constitution of South Africa (1996), Section 41(1) (h) lays down that “all spheres of government and all organs of the state within each sphere must cooperate with one another in mutual trust and good faith by fostering friendly relations; assisting and supporting one another; informing one another of, and consulting one another on, matters of common interest; coordinating their actions and legislation with one another; adhering to agreed procedures and avoiding legal proceedings against one another” (RSA: Department of Social Development, 2008: 7).

Moreover, Chapter 3, Section 41 of the Constitution (1996) stipulates the need for “adequate structures, procedures, mechanisms, and institutions to foster intergovernmental relations and resolve intergovernmental disputes”. In support of the legislative obligation, the Intergovernmental Relations Framework Act, No. 13 of 2005 was implemented to serve the stated norms. The provisions set out in the Framework Act provide an overall legislative framework that is obligatory to all government entities and states the significance of values regarding co-operative governance. The Framework Act aims to provide for limited legislative intervention to allow for the organic maturation of intergovernmental relations and allow for it to respond to the dynamic system of government. The Framework Act specifically looks into providing the principles and regulations related to IGR, guidelines to govern the internal procedures of IGR and a framework for resolving disputes related to IGR.

3.10 LOCAL GOVERNMENT TURNAROUND STRATEGY (LGTAS)

The aim of the Local Government Turnaround Strategy (2009: 12) is to weaken the causes and factors destabilizing the South African local governance. Weak intergovernmental support, oversight, and accountability systems are some of the root causes of problems experienced by municipalities. IGR is identified as one of the five strategic areas where intervention is vital to regain the majority support and confidence in local government.

To turn around local government “all three spheres of government will improve Inter-Governmental Relations (IGR) in practice: IGR structures must be tasked with addressing the forces undermining the Local Government system. There must be a review of all IGR structures across government. IGR structures must meet regularly and be effective in supporting and monitoring the overall LGTAS including the municipal turnaround strategies” (DPLG, 2010: 2; <http://www.dplg.gov.za>).

The framework is therefore based on transparency and democracy; public participation in government processes; inclusivity and equality. All spheres of government are equal stakeholders and should participate in the development of the province’s priorities and developmental agenda. To achieve this vision the following need to happen: i) community needs should form the basis of provincial annual plans and ii) Integrated Development Plans (IGRs) should facilitate coordination, integration and alignment of planning, budgeting, implementation and reporting across the three spheres of government.

It is important to identify and clearly define the challenges that are impediments to the seamless co-ordination of intergovernmental relations (IGR) in the province for initiating the appropriate policy interventions to address them. Various mediums and forums were engaged to identify these challenges and formulate responses to them. These included, but were not limited to assessments on the current state of IGR in the province conducted by both the Office of the Premier and the Department of Local Government and Housing (refer www.gautengonline.gov.za).

The IGR Conference convened in November 2009 provided an opportunity to discuss these challenges and deliberate on the appropriate interventions needed to address them. The IGR Framework Act provides the general principles for co-operative governance and the regulation of IGR forums by providing the framework for managing

internal procedures, and the settlement of disputes related to IGR. While the Framework Act provides for the above, it has limited the scope of government to exclude independent institutions and public agencies to form part of the three spheres of government, because parliament and provincial legislatures have been excluded from the Act.

In the case of local government, however, municipal councils, performing both legislative and executive actions, are bound by the Framework Act. The IGR Framework Act is not mandatory and provides no penalties for non-compliance, so the decisions taken in IGR Forums are not binding. The IGR Forums are there to provide a place for discussion and consultation on areas requiring cooperation between government spheres. Linkages between so-called “metros” were not legislated except where one voluntarily approaches another; and IGR Forums at Sector Department level are not explicitly catered for in the Act.

However, the IGRF Act allows for flexibility in addressing the provincial specific challenges of co-operative government. It is an enabling Act that provides space for flexibility and negotiations within certain broad parameters. Another key challenge is the lack of a Gauteng Provincial IGR Framework that unpacks the current bottlenecks in the IGR System of the province and formulates appropriate interventions. This framework seeks to address the latter challenge by aligning IGR systems to be responsive to the provincial developmental agenda.

3.11 PERFORMANCE MANAGEMENT, MONITORING AND EVALUATION; AND SUSTAINABLE DEVELOPMENT

Osborn and Gaebler (1992: 02; <http://www.analytix.co.za>) stated that “the White Paper on local government sets out a broad vision for the development of South Africa’s local government. This is a vision that calls on municipalities to find a means of confronting the legacy of underdevelopment and poverty in their local areas”. The White Paper further “recognized integrated planning, performance management and community participation as crucial mechanisms to this. These mechanisms reinforce each other to bring about change, transformation and improved service delivery at local level” (Mufamadi 2001:2; Radebe, 2013: 2).

The Department of Provincial and Local Government (2009: 2) further adds that the “Batho Pele White Paper notes that the development of a service- orientated culture

requires the active participation of the wider community. Municipalities need constant feedback from service-users if they are to improve their operations. Local partners can be mobilised to assist in building a service culture. For example, local businesses or non-governmental organisations (NGOs) may assist with funding a help line; providing information about specific services; identifying service gaps; or conducting a customer survey” (<http://www.dplg.gpg.gov.za>).

The White Paper on Local Government (1998) proposed the introduction of performance management systems at local government level as an effective tool to ensure developmental local government. It concludes that: “Integrated development planning, budgeting and performance management are powerful tools which can assist municipalities to develop an integrated perspective on development in their area.” This makes it possible for local governments to focus on priorities in an “increasingly complex and diverse set of demands”. It also enables them to modify resource allocations and institutional systems to meet a new set of demands and development objectives (<http://www.dplg.gpg.gov.za>).

Performance management, and monitoring and evaluation¹⁸ are therefore efficient means to manage government programmes. They promote transparency and accountability in the system giving rise to sustainable development as a whole. Due to

18 There are challenges associated with performance management and M&E at municipal level. “Lack of performance management systems both at organizational and individual level has resulted in poor performance. There have been examples of poor oversight by municipal councils provincial legislatures and the National Council of Provinces. Most municipalities have not established effective performance management systems and do not have performance and financial audit committees. The establishment of Internal Audit Units has become a malicious compliance wherein there is only one person appointed at a very low level. The assessment revealed that in some municipalities this unit is staffed by officials who have no knowledge of what Internal Audit and Risk Management is” (Mabidilala, 2010: 10) The system of monitoring, reporting and evaluation is weak due the fact that most departments see M&E as an add-on rather than a tool for effective management of resources and accountability. This has resulted in poor management of information and knowledge management that can enable provinces to develop support plans for vulnerable municipalities. Coupled with this is a weakness in early identification of problems in municipalities due to lack of properly established performance, management systems (Mabidilala, 2010: 10).

their significant traits, the concept performance monitoring and evaluation is coming to fore.

Performance monitoring should be implemented with absolute procedures as illustrated in Table 3.6.

Table 3.6: Performance Monitoring: Do's and Don't

Do	Don't
Encourage ownership and 'champions' at all management levels.	Don't neglect the need for visible backing from key agency and/ or mission officials.
Train agency staff not accustomed to using performance data	Don't overwhelm managers; each point of management responsibility should focus on a key-results area
Use a small number of meaningful indicators to keep the system simple. Focus on the vital few.	Don't create a data bureaucracy; programme managers should be involved in developing data-gathering efforts.
Use presentations that are understandable to both internal and external audiences	Exclude any stakeholders or partners

Source: Levine and Bland, 2000.

Successful monitoring and evaluation “require clearly articulated results against which performance will be assessed. Results provide a basis for collecting data on the need for a service, the inputs to that service, the service outputs, and the results. Indicators of these results can be used to measure important dynamics such as the quality of governance or effectiveness” of services (Levine and Bland, 2000).

The South African government established a Department of Performance Monitoring and Evaluation (DPME) in the Presidency in 2010. The following mandates (refer to Table 3.7) were given to the DPME that was established by the cabinet and officially announced by the president Jacob Zuma in his annual State of the Nation Address in 2010 and 2011:

Table 3.7: Mandates of the Department of Performance Monitoring and Evaluation

M&E of national priorities	• Plans for the 12- priority outcomes (delivery agreements) • Monitoring (i.e. tracking) progress against the plans • Evaluating to inform improvements to programmes, policies, plans • Presidential hands-on monitoring
Management performance M&E	• Focus on quality of management practices in individual departments • Moderated self-assessment • Drive a process of continuous improvement • Link results to assessment of HoDs
M&E of front-line service delivery	• Focus on monitoring of experience of citizens when obtaining services • Presidential hotline • Unannounced visits • Citizen-based monitoring
GWM & ES	• Develop capacity of national and provincial departments and municipalities to carry out M&E themselves • Develop a management culture of continuous improvement based on M&E • Address problems with data quality and information management • National Evaluation System

Source: Department of Performance Monitoring and Evaluation, 2013: 1.

The Outcomes Monitoring and Evaluation (OME) is responsible for the co-ordination and management of the government's strategic priorities through the outcomes-based approach. The outcomes approach entails the development and monitoring of the delivery agreements and the performance agreements that are signed by the president with the relevant ministers. Further, the branch facilitates appropriate support for

effective and timely corrective action to improve delivery performance. The Presidential Monitoring Visits (Siyahlola) are supported by this branch. The Evaluation and Research unit (ERU) is responsible for establishing the national evaluation system. The ERU co-ordinates the development of the National Evaluation Plan and provides support to national departments and Offices of the Premier in this regard (Department of Performance Monitoring and Evaluation, 2013: 1; <http://www.thepresidency-dpme.gov.za>)

It can be deduced that for improved performance, it is vital to have an effective monitoring and evaluation system in place. This is particularly significant at the local level where many municipalities are struggling to cope up with the challenges of mal-administration; lack of accountability; and financial misconduct, complemented by serious capacity blockages. According to De Visser (cited in Gopane, 2012: 1), monitoring and evaluation of municipal government is very necessary in order to “protect the development agendas of the national and provincial government, and to identify early signs of problems in municipalities that might require some form of intervention”. Fookes (Gopane, 2012: 1) describes monitoring in local government as a means whereby municipal councils can assess their performance, adjust their approach if necessary and generally move closer to achieving their objectives.

“Measuring performance in local government¹⁹ is not a simple task because various qualitative and sometimes unquantifiable variables have to be considered.” These qualitative aspects may well be complex and even intangible, such as the general wellbeing of a particular community. Making “performance improvement and productivity measurement extremely difficult” (Mpumalanga Branch Symposium, 11 and 12 September 2003; <http://www.imfo.co.za>). Performance Management is typically a mechanism to enhance internal and external accountability. However accountability is

19 “The publication of reports by the Auditor-General on financial statements and the performance of municipalities shows that municipalities in South Africa are still struggling to perform efficiently and effectively. The root cause of this is the lack of internal controls and of governance principles, and the mismanagement in municipalities” (Local Government Turnaround Strategy, 2009:11, Molofo, 2012: 70). Therefore municipalities should establish a comprehensive way of measuring and managing performance, since it would not serve any purpose to only assess the end product or service. Monitoring and evaluation of processes towards the outcomes are critical (Molofo, 2012: 77).

just one function of performance measurement. Performance measurement must be considered a “feedback loop to improve institutional performance, not just a mechanism for assigning ‘praise or blame’”. It should serve to improve employees’ understanding of the municipality’s core business and its commitment to achieving developmental goals. The South African Government is currently developing a Performance Monitoring System to measure service delivery and the state of national and provincial departments and municipalities (Collins Chabane, the Minister in the Presidency responsible for Performance Monitoring and Evaluation, 2011:1; <http://www.sanews.gov.za>).

The South African Government’s Medium Term Strategic Framework (MTSF) of 2010 proposed the following 12 priority outcomes. These were duly approved by Cabinet in 2010 and are summarised below, adapted from Phillips (2012: 13):

- Education: Provision of quality basic education for all.
- Health: Ensuring a long and healthy life for all South Africans.
- Safety: Making sure that all people in South Africa are and feel safe,
- Employment: There should be decent employment through inclusive economic growth.
- Skills: Recognition that a skilled and capable workforce is necessary to support an inclusive growth path.
- Infrastructure: There should be an efficient, competitive and responsive economic infrastructure network.
- Rural development: It is government’s responsibility to ensure that there are vibrant, equitable, sustainable rural communities who contribute towards food security for all.
- Human settlement: Sustainable human settlements must become a priority and there should be an improved quality of household life.
- Local government: Municipalities must be responsive, accountable, effective and efficient.
- Environment: The environment must be protected in order to enhance our environmental assets and natural resources.

- Internal and external relations: The aim is to create a better South Africa; a better Africa; and a better world.
- Public service: The public service should be efficient, effective and development-oriented to promote an empowered, fair and inclusive citizenship.

These 12 national outcomes were devised and implemented “to shift focus from the management of outputs to the monitoring of outcomes. It became policy to not only manage and account for service delivery, but also to monitor the consequences or impact of service delivery on society. These outcomes are aimed at improving the standard of citizens’ living and enable government to make more efficient and effective use of limited resources. More systematic monitoring and evaluation is being established, and relevant indicators that can be regularly measured or monitored have been introduced. Government intends to carry out periodic evaluations of the impact of its service delivery on society, analyse the effectiveness of monitoring and evaluation to continuously improve government programmes and promote evidence-based policy-making” (Mogaswa and Moodley, 2012: 19). Monitoring and evaluation is a vital component for all outcome-based local governance because it serves the following vital purposes, adapted from SAS Institute (2013: 1):

- Monitoring and Evaluation (M&E) plays a vital role in assisting municipalities in the management, alignment, communication, and implementation of their integrated development plans to promote accountability and accelerate service delivery.
- M&E integrates outcomes in the key performance areas (KPAs) in accordance with COGTA regulations and the Results-Based Management methodology.
- M&E provides a comprehensive view of local government’s performance and its progress towards achieving its set goals which are aligned to national outcomes.

The areas of endeavour stated above are discussed in detail in chapter four. To improve the challenges at grassroots level, municipal governments need to conduct their own performance-based monitoring and evaluation assessment(s), hence requiring the following, adapted from RSA: Department of Cooperative Governance (2010: 15):

- i. Municipal councils should be stable and have visionary and accountable leadership.

- ii. Local governments must undertake an appropriate set of powers and functions, and should identify and establish relevant agency arrangements with national and provincial government within the current policy framework.
- iii. There must be professional administration that supports the political vision outlined in the electoral mandate.
- iv. Corporate services should be properly constituted. Technical services and financial management functions, including recruitment and skills retention policies must ensure that the “right people are in the right job”.
- v. Provision of basic services must be adequate and every cent spent should be spent only if well considered and accounted for – there must be “value for money”.
- vi. Through the municipal Spatial Development Frameworks, each municipality should be fully aware of and able to guide land use activity on every square metre and kilometre of its area of jurisdiction.
- vii. There must be optimised revenue collection with improved billing and customer care. Indigent and credit control policies must be sound – the books must be balanced.
- viii. Municipalities should work towards sustaining clean audit outcomes by 2014. Those that can achieve the target earlier must do so.
- ix. There must be improved public participation and communication, including effective complaint management and feedback systems.

To achieve the objectives stated above and ensure that there be improved performance and enhanced delivery of services at grassroots level, it is recommended that “the Department of Cooperative Governance and Traditional Affairs (COGTA)²⁰ should develop policies to measure the extent to which communities benefit from government initiatives. It is thus important to strengthen monitoring and evaluation in provinces and municipalities by submitting quality information to assist in strategic planning, decision-

²⁰ *In this regard the Department has developed a Framework for Monitoring and Evaluation in Support of Cooperative Governance. The framework was developed within the overall government context as informed by the Presidency’s document on Improving Government Performance, which has as some of its guiding principles: · Strengthening our ability to cooperate across the three levels of government and work as a single delivery machine; and to build a partnership between government and civil society so that we can work together to achieve our goal of a better life (Mabidilala, 2010: 16).*

making and shaping policy direction” (Kgechane, 2013: 61). To achieve these goals requires the effective implementation of performance monitoring and evaluation at municipal level. Dr Sean Phillips, director-general of the Department of Performance Monitoring and Evaluation in the Office of the Presidency, has stated that the department which he heads, in collaboration with other centres of government departments, has developed a Management Performance Assessment Tool (MPAT). The primary objective of this tool is to measure the efficiency and effectiveness of management practices used in the various state departments and municipalities. The theory behind this is that if management practices are effective and efficient, they should lead to the achievement of the desired outcomes. The Department of Performance Monitoring and Evaluation will lead the performance assessments of national departments using the MPAT. Offices of the Premiers will undertake the performance assessments of provincial departments, while Offices of the Premiers and provincial departments of local governments will carry out the assessment of municipalities (Phillips, 2012: 14).

The performance of the Sedibeng District Municipality²¹ can “be assessed on the basis of institutional development and transformation. Performance Management Systems (PMS) for the institution and staff should be aligned to the strategic objectives of the organization as this will also form part of the assessment of each municipality. (<http://www.sedibeng.gov.za>; SDM, 2011: 76).

For many municipalities the lack of an effective service delivery system is a major impediment to job creation, poverty alleviation, access to health facilities, and economic development in local communities. Each municipality has adopted Performance Management (PM) to fit its particular circumstances and needs. The connectivity and the relation between performance management, M&E, and sustainable development, require the setting of clear monitoring and evaluation measurements to deliver the expected levels of communities’ satisfaction. For this reason, Sedibeng District Municipality should be committed to its vision and mission; it must work towards its common objectives. To implement monitoring and evaluation principles effectively

²¹ *An extensive study was conducted in 2013 by Ntuli Nompoti to investigate the performance of Sedibeng District Municipality. The findings were published in the form of a mini-dissertation. Extracts of the research are provided in the Appendix. Nompoti’s research supports existing studies which link performance management with M&E at Sedibeng District Municipality.*

should to be identified to ensure that there is an appropriate interaction between M&E and development sustainability. Therefore the essential objective of this study is to challenge and portray the best level of suitability between M&E and sustainable development in Sedibeng District Municipality. In order to portray this suitability, this chapter has focused on M&E inventiveness at Sedibeng District Municipality. Questions must be asked whether this meets (and perhaps exceeds) the needs of communities living in the Sedibeng District Municipality area of jurisdiction who deserve to have efficient and effective sustainable development. Finally, by adopting M&E as a guiding principle Sedibeng District Municipality can strive towards improving the wellbeing of its residents and a satisfactory level of sustainable development. Chapter four provides an overview of the research methodologies used to conduct an empirical examination of the interaction between monitoring and evaluation and sustainable development at Sedibeng District Municipality. The impact of monitoring and evaluation on sustainable development, explored in the section above, is concluded with the opinion held by Oumoul Khayri Ba Tal, Chair of the African Evaluation Association (AfrEA) (2006: 10). He maintains that monitoring and evaluation “can only play an effective role in the development of a nation if they are carefully designed to serve the goals of development”. M&E, he says “must be nationally owned, and they must address issues and questions that are in line with local development needs and priorities”. In addition, he feels that they should be applied at the general policy level, rather than at the level of individual programmes or projects. “Last, but not least, evaluations should contribute to decision-making processes, and serve as instruments for holding policy makers accountable for their choices” (Capacity.org).

3.12 CONCLUSION

To offer services in a sustainable manner, a municipality should have an effective system of and monitoring and evaluation and sufficient financial resources to carry the process through. However, it is possible that a municipality may have sufficient administrative and financial resources and yet fail to make a significant impact on the community it serves. The management of resources is importantly linked to the quality of services.

This chapter analysed and discussed the role of sustainable development and performance management systems in the local government sector in general, and the the Sedibemg District Municipality in particular. Various tools for planning, co-ordinating

and implementing sustainable service delivery at local government level were explored. The M&E system and progress towards sustainable development in Sedibeng District Municipality were examined.

At local government level there are many legislative measures that monitor performance. This is evident in Section 72 of the Municipal Finance Management Act, which explains the role that should be played by the accounting officer in the assessment of performance reflected in the mid-year budget and performance assessment. Improvements in service delivery can be made if there are efficient monitoring and evaluation systems and this also applies in the case of the Sedibeng District Municipality. Inadequate service delivery will result in dissatisfaction among resident and have a negative impact on the entire community of the SDM.

Chapter 4 will provide an overview of the research methodologies used to make an empirical examination of the link that exists between M&E and sustainable development in Sedibeng District Municipality.

CHAPTER 4

RESEARCH METHODOLOGY

4.1 INTRODUCTION

This chapter deals with research methodology, the data collection process and the data analysis procedures utilized in the study. The responses were analyzed and interpreted to obtain valuable insight regarding monitoring and evaluation for urban sustainable development at Sedibeng District municipality.

4.2 PERMISSION TO CONDUCT THE STUDY AND DISTRIBUTE QUESTIONNAIRES

The researcher submitted a letter of request at the Sedibeng District Municipality (Appendix). Two questionnaires were designed for the study; the first was distributed to the Sedibeng District Municipality employees, and the second questionnaire was distributed to the communities residing in the local municipalities of Sedibeng District Municipality, namely: Midvaal, Emfuleni, Lesedi local municipalities.

4.3 RESEARCH METHODOLOGY

Research involves the application of a variety of standardised methods and techniques in pursuit of valid knowledge. The methodical dimension is concerned with the questions: How do we attain knowledge? How do we ensure that we reach our research objective or goal? The choice of the most appropriate methodology is largely determined by the epistemic ideal or goal that is set for science (Mouton, 1996: 35; Nhlapo, 2010: 58; Kwaledi, 2010: 53). “Research methodology is a way to systematically solve the research problem. It may be understood as a science of studying how research is done scientifically” (<http://www.newagepublishers.com>). This definition is moreover supported by Hart (cited in Sefuli, 2012: 58) stating that research methodology is “a system of method and rules to facilitate the collection and analysis of data. It provides the starting for choosing an approach made up of theories, ideas, concepts and definition of the topic; therefore, the basis of a critical activity consisting of making choices about the nature and character of the social world assumption”. The following are practical examples of research methodology:

- Which decision(s) need to be taken as the research progresses?

- Which methods and techniques for data collection and data analysis should be selected?
- Which factors play a role in the design of a research project?
- What influence does the particular purpose of the research project have on the selection of methods and techniques?
- Which factors play a role in the process of research and how do these factors influence the researcher? (Brynard & Hanekom, 1997: 28-29).

The researcher utilized research methodology in investigating the implementation of the monitoring and evaluation for sustainable development in the Sedibeng District Municipality (SDM). Under research methodology, the quantitative research approach was employed. This approach is compared with qualitative research approach in the following sub-sections:

4.3.1 Quantitative research approach

Quantitative research is a means for testing objective theories by examining the relationship among variables. These variables, in turn, can be measured, typically by instruments, so that numbered data can be analyzed using statistical procedures. The final written report has a set of structure consisting of introduction, literature, theory, method, results, and discussion (Creswell, 2009: 4; Sefuli, 2011: 59). The approach was furthermore supported with the fact that quantitative research “is explaining phenomena by collecting numerical data that are analyzed using mathematically based methods, in particular statistics” (Muijs, 2004:1-3). The quantitative approach, as expanded by Leedy (1993: 139; also refer Struwig and Stead, 2001: 19) is “that approach to research in the social science that is more highly formalised as well as more explicitly, controlled with a range that is more exactly defined and which, in terms of method used”. Quantitative research methodologies collect numerical data. Quantitative research “is based on observations that are converted into discrete units that can be compared with one another using statistical methods.” Quantitative studies try to simplify what they observe (Leedy & Ormonde, 2001: 147). It is therefore deduced by academics that “a quantitative research approach focuses on objectively observable, measurable and calculable phenomena and employs a narrow range of technical statistical and mathematical approaches and techniques to gather and process research data” (Welman *et al.*, 2005: 8; Webb and Auriacombe, 2006: 593; Cloete, 2007: 513).

4.3.2 Qualitative research approach

The aim of the qualitative research approach is to describe the meanings and challenges experienced as result of utilising and implementing certain programs, practices or processes (Mertens, 2010:225). Qualitative researchers “emphasise the socially constructed nature of reality” as their point of departure. To qualitative researchers the close relationship what is studied is the crux of quantitative studies. In pursuit of qualitative inquiry, qualitative researchers accord due consideration to situational constraints that shape the very same inquiry. By its very nature, qualitative research is a value-laden inquiry. In short, qualitative research investigates s the reality of participants as they experience it by using narrations and descriptions of their experiences (Repko, 2008:202; also refer Machobane, 2008: 126-129). It can be deduced that “qualitative research typically studies people or systems by interacting with and observing the participants in their natural environment and focusing on their meanings and interpretations” (cited in Nieuwenhuis, 2010: 51; Nompoti, 2012: 47).

The difference between quantitative and qualitative research designs lies in the former searching for causes and the latter searching for occurrences (Stake, 1995:37). In other words, quantitative research seeks to explain and control the relationship between variables whereas the qualitative research professes for the understanding of the interrelationship among the variables with no manipulation of any variable. In the words of Denzin and Lincoln (2011:14) “quantitative research deals with an inquiry for *making explanations* whilst qualitative research focuses on inquiry for *promoting understanding*.” The qualitative research strategy differs inherently from the quantitative research design in that it does not usually provide the researcher with a step-by-step plan or a fixed recipe to follow. In quantitative research the design determines the researcher’s choice and action, while in qualitative research the researcher’s choice and action will determine the design or strategy. Put more simply, the qualitative researcher will, during the research process, create research project around the strategy selected (De Vos *et al*, 2002: 272; Skosana, 2010: 66-67; Kwaledi, 2010: 54).

The study utilized the quantitative research approach to gather data, incorporating the structured interviews, and closed-ended questionnaire, explained in the section below.

4.4 DATA COLLECTION METHODS

The data for the study utilized the following approaches:

4.4.1 Questionnaire

Adams and Schvaneveldt (in Machobane, 2008: 137) define a questionnaire as a list or grouping of written questions which a respondent answers. A questionnaire is a means of eliciting the feelings, beliefs, experiences, perceptions, or attitudes of some sample of individuals. As a data collecting instrument, it could be structured or unstructured. "The questionnaire is most frequently a very concise, pre-planned set of questions designed to yield specific information to meet a particular need for research information about a pertinent topic. The research information is attained from respondents normally from a related interest area" (Kwaledi, 2010: 58). According to Dalton (1991: 121: also refer Wilkinson & Birmingham, 2003:10) the questionnaire is "a quantitative data collective technique is generally acknowledged to be the most popular technique for surveying the opinion of individuals" (Tsuari, 2010: 82). The questionnaire is a document normally distributed through the post to be filled out by the respondent him/herself in his/her own time. On occasion questionnaires are completed by the respondents under the supervision of the investigator. While many questionnaires seek factual information, others are concerned with determining opinions, attitude and interest (Behr *et al.*, 1983: 149-150; also refer Fox and Bayat, 2007: 88). Blaxter, Hughes and Tight (2010: 201; also refer Vermeulen, 1998: 64) state that there are numerous ways of administering the questionnaires.

- They could be sent by post to the intended respondents who then complete the questionnaires and return them.
- The questions can be asked over the telephone or face to face.
- They can be sent over the internet.

Closed questions, multiple choice or ranking questions, scale questions, and open ended questions are the different approaches that could be used to develop a questionnaire, according to Martella, Nelson, Marchand-Martella (1999: 452). "Multiple choice questions could be a different approach to be used on developing a questionnaire, "includes questions which provide a number of predefined responses from which the respondents have to choose. The construction and piloting of multiple questions usually require careful thought to ensure that all or most possible responses are covered" (Creswell, 2009:179).

Likert scales are also used by researchers, whereby the respondents are presented with a closed-type question with an option to choose the answer from the stated five categories: strongly agree, agree, do not know, disagree, or strongly disagree. This “is where multiple modification of the wording of the responses are used by a researcher” (Martella, Nelson, Marchand-Martella, 1999:457). The merits of questionnaires are: it is economical; it allows adequate time for reply; more samples can be observed. The demerits of using the questionnaire are: persons may not be interested in filling out the questionnaire; replies may not be accurate; and it is time consuming (cited in Radebe, 2013: 118).

4.4.2 Interviews

An interview has a direction and a shape it serves a specific purpose and it involves both the interviewer and the respondents in a dynamic relationship. The dynamic nature of interview is true of all the different kinds of interview, but the difference in the way in which the relationship is allowed to (Keats, 2000: 72; Poopa. 2012: 31). “Interviewing provides access to the context of people behaviour and thereby provides a way for researchers to understand the meaning of that behaviour (Seidman, 2006: 2-4)” (Sefuli, 2011: 43). According to Guthrie and Brown (2010: 118), interviews have been “probably the most common data collection technique in social science, and virtually impossible to do a research project without”. Interview is a “conversation between two or more people where one or more of the participants takes the responsibility for report the substance of what is said” (Leedy & Ormonde, 2001: 2003). “An interview yields rich insights into people’s experiences, opinions, aspiration, attitudes and feelings. Social researchers need to understand the dynamics of interviewing sharpen their own use of method and understand the different methods of conducting interviews and analysing the data” (May, 1997: 109). An interview is a “research strategy that involves one person asking questions of another, the question may be open-ended; closed-ended or both” (refer Teddlie & Tashakkori (2009: 229). Precisely Guthrie and Brown (2010:119-122) further state that interviews could be in form of three types, which are semi structured interviews “uses guides so that information from different interviews is directly comparable. Structured interviews “uses formal standardised questionnaires, all interviews are conducted the same way to generate reliability using set questions and set response codes. Finally uses unstructured, which generate qualitative data by raising issues in conversational form”.

Interviews are significant tools for gathering responses and have the following advantages, namely that “interviews allow for the concurrent use of other methods such as observations, visual cues etc.; procedures are appropriate for eliciting cooperation from respondents; and the interviewer is afforded the opportunity to answer respondents’ questions, probing for adequate answers” (Creswell, 2009: 140). Some of the notable disadvantages of interviews include the following: it is an uneconomical method of data collection; the researcher needs to be adept at the interviewing technique, which is normally not the case; and some samples (those in “high-rise buildings or high crime areas, elites, employees, students”) may be less accessible thus making difficult to interview research participants (Fowler, 2009:80). This method of data collection has not been used to collect data from the units of analysis. The types of interviews include: semi-structured, unstructured, and structured interviews. These are explained in brief below.

“A semi-structured interview is a qualitative method of inquiry that combines a pre-determined set of open questions (questions that prompt discussion) with the opportunity for the interviewer to explore particular themes or responses further” (Evaluation Toolbox, 2010: 1). “Unstructured interviews are more like an everyday conversation. They tend to be more informal, open ended, flexible and free flowing. Questions are not pre-set, although there are usually certain topics that the researchers wish to cover” (History Learning Site, 2013: 1). The study utilized structured interviews as these “are the types used most often by quantitative researchers. The style is most useful when looking for very specific information. The benefits are that it keeps the data concise and reduces researcher bias” (Santiago, 2013: 1).

4.4.3 Literature review

A literature review is defined as “a critical summary and an assessment of the current state of knowledge or current state of the art in a particular field” (<http://www.studymode.com>). A literature review is a “critical analysis of a segment of a published body of knowledge through summary, classification, and comparison of prior research studies, reviews of literature, and theoretical articles” (Duke University, 2010: 1). The significance of literature review is explained by May (1997: 4; Molaoa, 2011: 88) stating that a “successful research depends on a well-planned review of the available literature. A review of the literature is the way information about what is already known and not known is learned. It is important for the researcher to organize the search of

literature around the key concepts to be studied”. The purpose of the literature review includes the following: to familiarize the researcher with the late development in the area of research; and to identify gaps in knowledge, as well as weakness in previous studies; and to study the advantage and disadvantage of the research method used by others (compiled from Bless & Smith, 2011: 24). For the study, the literature is review for the following reasons (adapted from De Wet *et al*, 1981: 39-41; Ballies, 2009; and Twala, 2012: 69):

- To obtain perspective on the most recent research findings related to the topic of the research.
- To obtain an indication of the best methods, instruments for measurement and statistics can be used.
- To improve the interpretation of one’s own research results.
- To help determine the actuality of research on a particular topic.

It has long been a tradition in educational research that a literature review should be conducted prior to actually planning a new piece of research. This helps the researcher and the reader clarify the current state of research, what has gone before, and what pieces are missing. It then provides a framework for the current research. It also helps the reader to understand what has come before a complete literature review might help to understand the theory on which a particular research is based (Lichtman, 2007: 105: Tsuari, 2011: 81). A literature study on monitoring and evaluation mechanisms was conducted. This included review of subjected related books, government publications, internet as well as journals. Further references were based on the Internet website, Nexus, Dialog, Sabinet, and academic research file: EBSCO.

4.5 POPULATION AND SAMPLE

Any group of, say, individuals, events or objects that share a common characteristic and represent the whole or sum total of cases involved in a study is called the universum or population. The separate individuals or objects belonging to the population are called the elements of that population. A population can be finite, i.e. all the elements can be ordered and counted (Fox and Bayat, 2007: 52; also refer Babbie, 1998: 20; Burger and Silima, 2006: 657). The “population is typically a total of individuals that the researcher intends to learn about” (McBride, 2010:114; Radebe, 2013: 110). It “is the larger group, whether individuals, objects, of events which could

also be referred to as the target population” (McMillan, 2004:107; Radebe, 2013: 110). The population furthermore means “totality of responders who would meet the researcher’s criteria”. It has to be carefully determined, because it would be probably have to draw a sample from it. If the sample would be drawn, it would also be important to determine the population accurately (Fox and Bayat, 2007: 145). A target population refers to the “entire group of individuals or objects to which researchers are interested in generalizing the conclusions” (<http://www.experiment-resources.com/research-population.html#ixzz24k23aV8T>; Nompoti, 2013: 48).

In order to determine the sample frame from the target population, Remler and Van Ryzin (2011: 148; also refer Line, 1982: 31; Sapsford and Jupp, 2000: 26) found that the sample frame as “to obtain study participants and a list or enumeration to sample form”. The sampling frame “is the list of units that constitute a population from which a sample is drawn”. To ensure representativeness of the population it is imperative that the sampling frame should comprise all elements of the population (Babbie, 2001:492; Radebe, 2013: 111). To make certain representativeness of the population it is imperative that the sampling frame should encompass all essentials of the population.

The sample frame is a way forward to decide upon the sample for the study. “Although a subject of population, the sample must have properties which make it representative of the whole. To follow up the example of the students, selecting a sample of very dull, brilliant or mature students would be wrong because they would not represent the whole of the student body. Thus one of the major issues in sampling is to determine samples that best represent a population so as to allow an accurate generalization of results. Such a group is called representative sample” (Bless & Smith 2001:86; Skosana, 2010; Twala, 2012: 66). “The sample is described thoroughly in terms of clinical and demographic characteristics in the methods section of a research article so that others can draw conclusions, apply the results, and compare one investigation with another” (<http://www.ajronline.org/content/177/5/993>; Kazerooni, 2001: 2; Nompoti, 2013: 48). According to Fox and Bayat (2007: 54) sample could be “any detachment of the population that was obtained for the purpose of being studied. The course of action by which elements are drawn from the population”. To select a sample that should be representative of the population a number of probability and non-probability sampling methods can be utilized. A sample is representative when it has the similar attributes of the target population from which it was selected (McMillan & Schumacher, 2006:122;

Greener, 2011:60-63). Sample could also conceptualize “taking a portion of the population, making observation on the very smaller group and generalize the finding to the large population” (Burns, 2000:83).

4.6 SAMPLING

A sample may be drawn in provisions of range of systems, all those techniques falls into probability or non- probability sampling. These techniques may be implicated, described and explained from an analysis of the sample considered to represent those of the targeted population. Sampling “is the process of selecting units from the population of interest so that by studying one may fairly generalize results back to the population from which they were chosen” (Trochim, 2006: 1; also refer Fox and Bayat, 2007: 52). Neuman and Kenworthy (1999: 208) defines sampling as “the process of systematically selecting cases for inclusion in a research project. According to Peil *et al.* (1982: 3) sampling is the selection of a part to represent the whole. Sampling is “studied in an effort to understand the population from which it was drawn” (Barker, 2003: 380). Sampling is a relatively sophisticated procedure it is only possible to provide a concise, broad line. Thus sampling “is undertaken after the actual investigation has commenced. Sampling is the process of selecting units (e.g., people, organizations) from a population of interest so that by studying the sample we may fairly generalize our results back to the population from which they were chosen” (<http://www.socialresearchmethods.net>; also refer Terre Banche *et al.*, 2006: 49; Flick, 2009:118; Kwaledi, 2011 :42).

4.6.1 Non-probability sampling

According to Fox and Bayat (2007: 54; also refer Poopa, 2012: 33), non-probability sample is a sample in which each element in the population has a known and not-zero probability (chance) of being involved in the sample. Some cases researchers draw samples to calculate population parameters such as averages proportions and variance. These techniques yield a valid estimate of the population parameters and produce valid deductions about the population. It’s a “sample that has not been selected using a random selection method. Essentially this implies that some units in the population are more likely to be selected than others” (Bryman & Bell, 2003:182). The types of non-probability sampling includes Convenience sampling (also known as Haphazard or

Accidental sampling), Snowball sampling, Judgmental sampling (also known as Purposive sampling) and ad hoc quotas. These are explained in brief below.

The convenient sampling method is a commonly used method by Flyvbjerg (2006) in Mertens (2010: 214) whereby he identifies the two basic strategies, which are random selection and the theoretical. Convenience sampling means that “the researcher or evaluators collect data from anyone who can be accessed conveniently”. According to Bowling (1999:167) “this is a sampling of subjects for reasons for convenience e.g. easy to recruit, near hands likely to responds. This method is usually used for exploring complex issues for example in economic evaluation in complex valuation” (also refer Fink, 2005; 84-85). “A snowball sample is a non-probability sampling technique that is appropriate to use in research when the members of a population are difficult to locate. A snowball sample is one in which the researcher collects data on the few members of the target population he or she can locate, then asks those individuals to provide information needed to locate other members of that population whom they know” (Crossman, 2013: 1). “Purposive sampling, also known as judgmental, selective or subjective sampling, is a type of non-probability sampling technique. Non-probability sampling focuses on sampling techniques where the units that are investigated are based on the judgement of the researcher” (Lund Research, 2012: 1). Under quota sampling, “a quota is established (say 65% women) and researchers are free to choose any respondent they wish as long as the quota is met” (Sasikumar, 2013: 1).

4.6.2 Probability sampling

A probability sampling method is any method of sampling that utilizes some form of *random selection*. In order to have a random selection method, you must set up some process or procedure that assures that the different units in your population have equal probabilities of being chosen (Trochim, 2006; also refer Mcneill, 1990: 36; Clark and Creswell, 2008:200; Herek, 2009, Twala, 2012: 67).

Probability sampling methods include random sampling (each member of the frame has an equal chance of selection) systematic sampling (known as the Nth name selecting technique, every Nth record is selected), and stratified sampling (where an enumerator of all elements from which a stratum can then be defined) (Dooley, 1990: 140). These are explained in brief below.

Random sampling refers to a variety of selection techniques in which sample members are selected by chance, but with a known probability of selection. “Most social science, business, and agricultural surveys rely on random sampling techniques for the selection of survey participants or sample units, where the sample units may be persons, establishments, land points, or other units for analysis” (Harter, 2008: 1). Systematic sampling is “a method of choosing a random sample from among a larger population. The process of systematic sampling typically involves first selecting a fixed starting point in the larger population and then obtaining subsequent observations by using a constant interval between samples taken. Hence, if the total population was 1,000, a random systematic sampling of 100 data points within that population would involve observing every 10th data point” (BusinessDictionary.com, 2013: 1). Stratified sampling is whereby “the population is divided into subpopulations called strata. Strata should be internally homogeneous and should differ very much from each other. Every stratum has its own sample size nh ” (Kitambara, undated: 1).

4.7 STATISTICAL ANALYSIS

Both reliability analysis and validity are discussed in this section.

4.7.1 Reliability analysis

Reliability refers to the extent to which “the study of some phenomenon yields approximately the same results across repeated trials” (Saville, 2008:74). “Reliability is the degree to which an assessment tool produces stable and consistent results” (Phelan and Wren, 2006: 1). Denscombe (2008:100) relates that reliability generally relates to methods and techniques used to collect the information. This information must be aligned with the areas of exploration and provides consistency. “Joppe (2000:1) defines reliability as: ...The extent to which results are consistent over time and an accurate representation of the total population under study is referred to as reliability and if the results of a study can be reproduced under a similar methodology, then the research instrument is considered to be reliable” (Golafshani, 2003: 2). “Reliability analysis allows you to study the properties of measurement scales and the items that compose the scales. The Reliability Analysis procedure calculates a number of commonly used measures of scale reliability and also provides information about the relationships between individual items in the scale. Intra-class correlation coefficients can be used to compute inter-rater reliability estimates” (IBM Incorporation, 2011: 1). In essence,

reliability eludes that replicability or producibility of the findings resulting from the study. There are various types of reliability, viz. test-retest reliability, equivalent form reliability, split-half reliability, and internal reliability explained in brief below.

“Test-retest reliability is a measure of reliability obtained by administering the same test twice over a period of time to a group of individuals. The scores from Time 1 and Time 2 can then be correlated in order to evaluate the test for stability over time” (Phelan and Wren, 2006: 1). This type of reliability of an instrument is determined by administering the instrument to the same subjects on two (or more) instances. The first set of scores is then compared with the second set by calculating a correlation coefficient. If the value of the coefficient resulting from the calculation is close to zero the research instrument can be considered as having low reliability. On the other hand, if the coefficient value is close to one, it can be concluded that the research instrument has a high reliability (Pietersen & Maree, 2007:215). Durrheim and Painter (2006:153) caution that the problem with the test-retest reliability method occurs when the units of analysis simply respond in the same way on both on both occasions. This could occur as a result of the shorter time that is taken between the two occasions within which the tests are administered” (Durrheim & Painter, 2006:153). Equivalent form reliability “denotes that reliability test is administered on two occasions measuring the same construct to the same objects of study, though on the second instance the researcher uses an instrument that is equivalent to the one used in the first occasion.” The researcher then compares two sets of scores by means of a correlation coefficient. The usage of the equivalent researcher instrument is aimed at reducing the risk of respondents having to simply repeat their responses of the first test to the second test (Welman & Kruger, 1998: 140). This model splits the scale into two parts and examines the correlation between the parts (IBM Incorporation, 2011: 1). Internal reliability “which is also called internal consistency implies that the number of formulated items to measure the same construct should in all probability show similarity” (Welman & Kruger, 1998:141). If these items reflect as high degree of similarity the research instrument has internal consistency (refer Leedy & Ormrod, 2001: 134).

4.7.2 Validity analysis

Validity concerns the accuracy of the questions asked, the data collected and the explanation offered. Generally, it relates to the data and the analysis used in the research (Denscombe, 2008:100) (<http://uir.unisa.ac.za>; Nyuswa, 2009; Nompoti, 2013:

51). Bouma (1993:47) agrees that data and information obtained from literature and interview and interviews were used in a combined fashion to establish patterns and trends to ensure trustworthiness and validity of data and information. In order to ensure validity, the researcher used numerous sources of information (literature review and semi-interviews) as cited by Mouton (2001:100; also refer NOMPI, 2013: 51). The different kinds of validity, viz. face validity, content validity, criterion validity, construct validity, descriptive analysis, frequency analysis, and correlation analysis are briefly discussed below.

Face validity is an estimate of the degree to which a measure is clearly and unambiguously tapping the construct it purports to assess. Thus, face validity refers to the “obviousness” of a test – “the degree to which the purpose of the test is apparent to those taking it. Tests wherein the purpose is clear, even to naïve respondents, are said to have high face validity; tests wherein the purpose is unclear have low face validity” (cited in Bornstein, 2004: 1). Content validity connotes “the extent to which the research instrument sufficiently or completely covers the content of an obstruct which it intends to measure” (Gibson & Brown, 2009:60-61). If the research instrument, by way of example, is developed to measure emotional intelligence let it measure emotional intelligence by covering sufficiently and strictly the dimensions of emotional intelligence. Criterion validity is conceptualized as “criterion validity because a measure has some relationship with some outcome or criterion. Once an outcome has been reasonably established it should be possible to predict future behaviour of other units of analysis using the same known measures” (Goodwin, 2008:126). “Construct validity poses the question whether the measure relate to other measures in a way that makes sense. Statistical techniques used here are factor analysis and item analysis” (Mook, 2001:90). The relationship between the independent variable and the dependent variable can better be understood when the raw data is organized into frequency distribution. There are several different ways to organize the data in terms of a frequency distribution.

The first approach is the frequency table, and is also the starting point for each of the three other ways...Once organized into frequency table, the data can be displayed as a grouped frequency table, a frequency histogram, or a frequency polygon (Gravetter & Wallnau, 2011:36). In his study, data gleaned from employees and residents by means of the questionnaires will be organized through the frequency tables and bar charts in order make it meaningful. Coefficient of correlation (r) can be used to test strength of

the correlation. A coefficient of correlation is the number that is utilised to indicate extent of the relation between two continuous variables. This could mean “that as the values of the correlation get higher, the stronger the correlation shall be (Howitt & Cramer, 2005:225). Correlations range from -1 to +1. If two variables vary together, they have a positive correlation, meaning that as the value of one variable increases, so does the other. The sign of correlation represents the direction of the relation and has nothing to with its strength. So, for example, $r = -.85$ is a stronger correlation than $r = +.41$ because the sign merely indicates whether the variables are varying in the same or opposite direction (Hoy, 2010: 59-60).

4.8 RESEARCH ETHICS

Research ethics “concern the responsibility of researchers to be honest and respectful to all research participants. This means providing research participants with complete information and their role in the research. The information provided to participants should enable them to participate or not. This also implies that before they take part in research the to-be respondents should understand the nature and value of research they are to engage into” (Gravetter & Forzano, 2006:89 &97). Ethics in research further means that “data should be legitimately obtained and credit accorded to those who contributed to the research. The fabrication of data is unacceptable since future researchers may unknowingly base their research on false data. The danger herein lies with later research projects being spurious” (Bazeley, 2010:439). Research ethics also “require researcher to present ideas in their own words without forgetting to make appropriate references. This will, in essence, obviate plagiarism. Plagiarism ‘is scientific theft’- stealing the ideas of others” (McBurney & White, 2010: 59-60). For research to be ethical researchers should at all costs avoid:

- misreporting sources, inventing data, or faking results;
- submitting data if they do not believe they are truthful;
- caricaturing or distorting opposing views; and
- destroying empirical evidence or hiding sources of data for other interested researchers (Creswell, 2007: 141-142; Booth, Colomb & Williams, 2008:274; Radebe, 2013: 121).

The researcher had to apply the following methods to deal with the above issues (Coolican, 1994: 37; Nhlapo, 2010: 67):

- Consent was obtained before the start of the research or interview with the respondents.
- Sensitive issues were not explored and a good relationship was established with the respondents.
- Confidentiality of data was ensured.

The researcher was calm, friendly and treated participants with dignity and respect. The researcher also provided clarity on questions in order for participants to fill the questionnaire with appropriate responses. The participants sacrifice their time to take part in the research therefore ethical issues like confidentiality, truth and honesty should be ensured (Mmapulana, 2010: 81; Kwaledi, 2010: 60).

4.9 CONCLUSION

It also became apparent in this chapter that the researcher used the quantitative research approach. In respect of quantitative research design, questionnaires were utilized to collect data and the employed data was analyzed using statistical methods such as the correlation analysis and frequency analysis. The researcher delineated the significance of ethics in research. In the imminent chapter, data is analyzed and interpreted in relation to the hypotheses and research questions stipulated in Chapter 1.

CHAPTER 5

PRESENTATION AND INTERPRETATION OF RESULTS

5.1 INTRODUCTION

The previous chapter discussed the research methodology. In this chapter research data will be presented, analysed and interpreted. The responses of employees and residents will be subjected to frequency grouped into constructs to facilitate analysis. The questionnaire for employees solicits information on the development of monitoring and evaluation mechanism to determine if that mechanism leads to the attainment of the goals of sustainable development. On the other hand, the questionnaire to the residents will attempt to glean information in relation to the quality of service delivery they receive. In the discussion of data, the researcher will indicate points of agreement and disagreement between employees and residents regarding the application of monitoring and evaluation, and service delivery at the municipality.

5.2 SAMPLE DESCRIPTION

The study sample consists of the junior and senior managers of different directorates in Sedibeng District Municipality across gender, race, and work experience. Only permanent managers formed part of the study. The employees and communities of Sedibeng District Municipality included those in Lesedi, Emfuleni, and Midvaal local municipalities which jointly make up Sedibeng District Municipality.

5.3 GROUPING OF QUESTIONNAIRE STATEMENTS

The statements in the questionnaire that was distributed to the employees of the Sedibeng District Municipality (SDM) are grouped in relation to the dimensions of monitoring and evaluation, and sustainable development. This grouping can be viewed in Table 5.1. Furthermore, the grouped questionnaire statements are linked to empirical research objectives cited in chapter 1. These objectives can still be viewed in Table 1.

Table 5.1: Empirical objectives and the corresponding questionnaire statements

Empirical research objectives	Key dimensions of monitoring and evaluation system, and sustainable development	Questionnaire statement number
Research objective 2 To give a clarity regarding the indicators applied for monitor and evaluate as sustainable development projects in Sedibeng District Municipality	Development of the goals of monitoring and evaluation; the development of key performance indicators	B3, B6, B10, B14, Q17, B18
Research objective 3 To determine if monitoring and evaluation is linked to sustainable development at Sedibeng District Municipality	Establishing a link between monitoring and evaluation, and sustainable development	B21, B24, B26, B27, B30
Research objective 4 To investigate the controlling measures and the critical success factors for sustainable development in Sedibeng District Municipality	The development of key performance areas; the development of critical success factors and the formulation of key job responsibilities	B16, B23, B28
Research objective 5 To examine the strategies regarding implementation of monitoring and evaluation mechanisms for the sustainable development in Sedibeng District Municipality	Development and implementation of POA The training of managers and the subordinates in the design and implementation of the monitoring and evaluation system The role of resources support to the monitoring and evaluation Monitoring and evaluation orientation and results	B11, B13, B15, B19 B4, B5, B7, B8, B20 B2, B9, B12 B1, B22, B25, B29, B31, B32, B33, B34

The statements in the questionnaire that was distributed to the community members are grouped to correspond with constructs such as the development and implementation of monitoring and evaluation mechanisms and delivery of services. Table 5.2 indicates these constructs and their corresponding questionnaire statement numbers.

Table 5.2: Grouped statements from the community questionnaire

Constructs from the questionnaire	Questionnaire statement number
The development and implementation of monitoring and evaluation mechanism	B1, B2, B6, B7, B16
Delivery of services	B3, B4, B8, B9, B10, B11, B13, B14, B15

5.4 ANALYSIS OF QUESTIONNAIRE DATA FROM EMPLOYEES

In this section, the questionnaire feedback from the employees of the Sedibeng District Municipality is subjected to frequency analysis. In the next section, the researcher presents the raw statistical data for each questionnaire statement under the relevant construct.

The “**agree**” and “**disagree**” are utilised to indicate cumulative frequencies for “**agree and strongly agree**”, and “**disagree and strongly disagree**”, respectively. The data resulting from this exercise is presented in the diagrams (tables/figures), followed by the interpretation of the responses. This procedure is followed for the frequency analysis in respect of the residents’ questionnaire feedback.

5.4.1 The development of sustainable development goals, and key performance indicators

In this section of the study, the purpose is to establish if sustainable development goals are set and key performance indicators formulated at the Sedibeng District Municipality. The data relating to this purpose is presented in tables 5.3 – 5.8.

Table 5.3: Employees’ responses relating to clarification of objectives (B3)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid 1	5	100.0	100.0	100.0

All the respondents (100% cumulative percentage) agree that the managers' and employees' objectives are clarified (see Table 5.3).

Table 5.4: Employees' responses relating to goals of sustainable development (B6)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	1	20.0	20.0	20.0
Valid 2	4	80.0	80.0	100.0
Total	5	100.0	100.0	

Table 5.4 shows that the majority (100% cumulative percentage) of the employees agree with the questionnaire statement that managers and subordinates have a clear understanding of the goals of sustainable development.

Table 5.5: Employees' responses relating to the mission of SDM (B10)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	2	40.0	40.0	40.0
Valid 2	3	60.0	60.0	100.0
Total	5	100.0	100.0	

Table 5.5 revealed that the majority of respondents (100% - cumulative percentage) agree that the mission of the SDM is well understood by the managers and subordinates.

Table 5.6: Employees' responses relating key performance indicators (B14)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	4	80.0	80.0	80.0
Valid 2	1	20.0	20.0	100.0
Total	5	100.0	100.0	

Table 5.6 explains that all employees (100% - cumulative percentage) agree with the questionnaire statement that key performance indicators involve finances.

Table 5.7: Employees' responses relating to involvement of communities in IDPs (B17)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	4	80.0	80.0	80.0
Valid 2	1	20.0	20.0	100.0
Total	5	100.0	100.0	

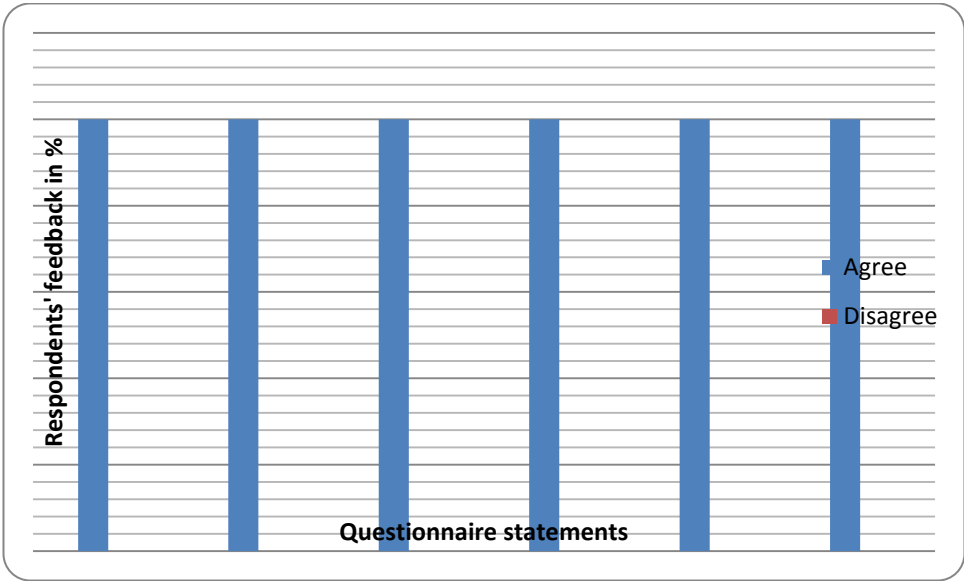
All the respondents (100 % - cumulative percentage) agree that the SDM involves the communities in their Integrated Development Plannings (IDPs) (see Table 5.7).

Table 5.8: Employees' responses relating to the understanding of APPs (5.8)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	4	80.0	80.0	80.0
Valid 2	1	20.0	20.0	100.0
Total	5	100.0	100.0	

In similar vein, all the respondents (100% - cumulative percentage) agreed that the annual performance plans (APPs) are understood by the line function managers and the subordinates (see Table 5.8). The results for table 5.3 to 5.8 are graphically illustrated in Figure 1.

Figure 5.1: Employees’ responses to sustainable development goals and KPIs



From figure 5.1 it is generally clear that the employees are of the opinion that goals of sustainable development are developed. The practice of setting goals upfront has the potential of providing direction to individual and collective efforts of employees. Goal setting has the advantage of measuring performance against preset goals and taking corrective action in respect of deviant performance.

The employees involve communities in the development of IDPs so that the objectives to be achieved bear relevance to community needs. The goals sustainable development and IDPs are translated into annual performance plans to harness the performance activities across the municipality towards the attainment of the goals of sustainable development. As figure 1 illustrates, key performance indicators involve finances which have the spin-off of determining the financial implications of the set goals, that is, whether the goals are financially achievable or not.

5.4.2 Development of key performance areas, critical success factors, and formulation of key job responsibilities

The key objective at this juncture is to determine whether the key performance areas, critical success factors are developed and job responsibilities of both managers and subordinates are formulated. Data in respect of this objective is found in Tables 5.9 to 5.11.

Table 5.9: Employees' responses relating roles and responsibilities of employees (B16)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid 1	5	100.0	100.0	100.0

All the units of analysis (100% - cumulative percentage) corroborate that the roles and responsibilities for line function managers and their subordinates are clarified (see Table 5.9)

Table 5.10: Employees' responses to key performance area (B23)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid 1	5	100.0	100.0	100.0

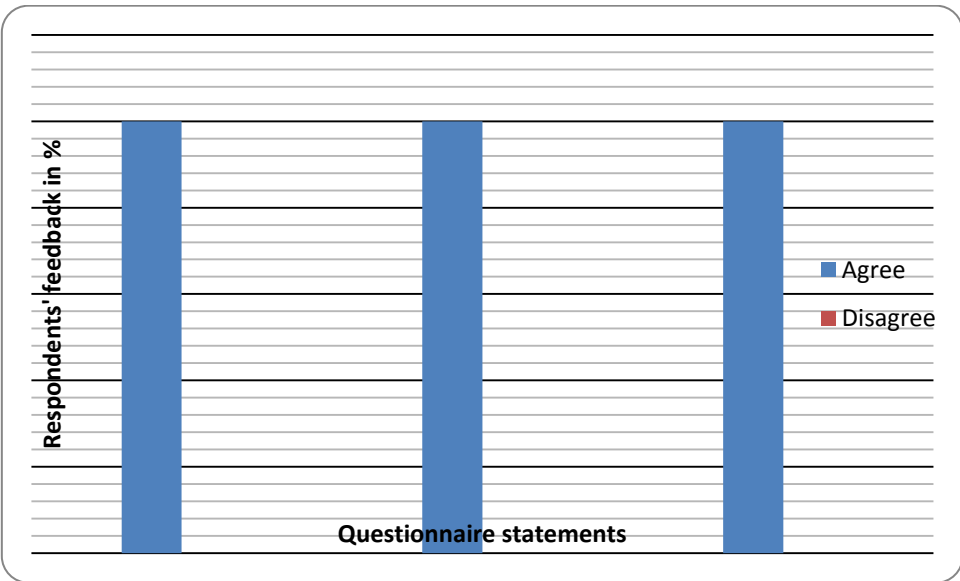
Similarly, all the employees (100% - cumulative percentage) agreed that the performance management at the municipality is fair and the appropriate key performance area measured (see Table 5.10)

Table 5.11: Employees' responses relating to responsibilities of employees with respect of monitoring and evaluation for sustainable development (B28)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	3	60.0	60.0	60.0
Valid 2	2	40.0	40.0	100.0
Total	5	100.0	100.0	

All the respondents (100% cumulative percentage) (questionnaire statement B12) agreed that monitoring and evaluation as a mechanism for sustainable development could be the responsibility for line function managers and their subordinates (see Table 5.11). The results for Table 5.9 to 5.11 are shown in Figure 5.2.

Figure 5.2: Employees’ responses to KPAs, CSFs and key performance responsibilities



In Figure 5.2, the employees agreed that key performance areas are identified ensuring that the resulting performance is geared towards the KPAs which are linked to sustainable development. The employees agreed that their roles and responsibilities are clarified. The performance management system is used as a tool to measure the linkages between the roles and responsibilities with the KPAs.

The evidence gathered that the performance management system is fair is indicative of the validity of the performance management system and also in the manner that it is administered to employees. Where everybody becomes a participant in monitoring and evaluation, as in the Sedibeng District Municipality, the monitoring and evaluation gets accepted by employees, hence an acceptance of its results.

5.4.3 Development and implementation of programme of action

The key objective relating to this section is to investigate whether the programme of action is developed and implemented. Data pertinent to this objective is captured in Tables 5.12 to 5.15.

Table 5.12: Employees' responses relating to the development and implementation of programme of action (B11)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	1	20.0	20.0	20.0
2	3	60.0	60.0	80.0
Valid 5	1	20.0	20.0	100.0
Total	5	100.0	100.0	

It can be deduced from Table 5.12 that the huge cumulative percentage (80%) of the respondents agrees with the questionnaire statement that the programmes of actions are well understood whereas a low cumulative percentage (20%) of the units of analysis disagrees with the questionnaire statement.

Table 5.13: Employees' responses relating to common agreement about programme of action (B13)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	4	80.0	80.0	80.0
Valid 2	1	20.0	20.0	100.0
Total	5	100.0	100.0	

Illustrated in Table 5.13 is the large cumulative percentage (100%) of the respondents who agreed that the programmes of actions are agreed upon by the line function managers and subordinates.

Table 5.14: Employees' responses relating to service delivery-driven programme of action (B15)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid 1	5	100.0	100.0	100.0

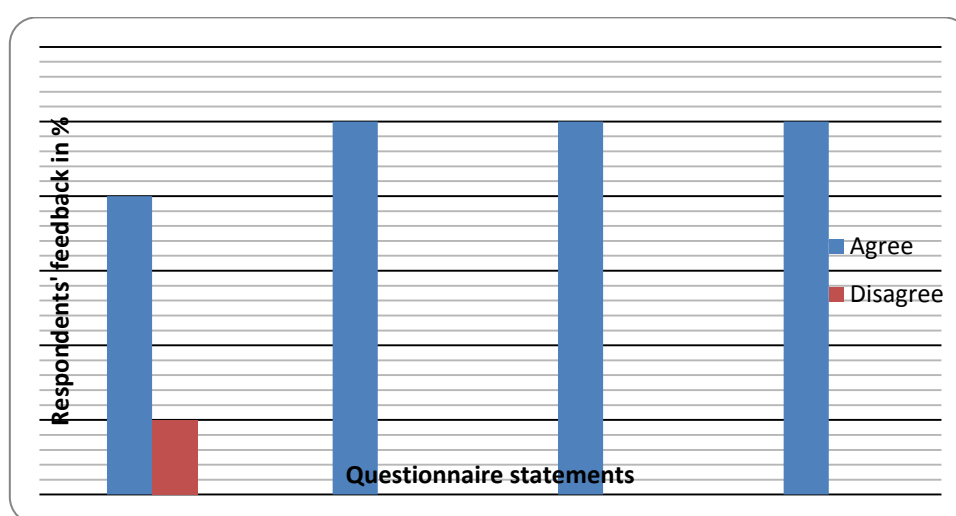
All sampled employees (100% cumulative percentage) agreed that the programme of action is about delivery.

Table 5.15: Employees' responses relating to number of programme of action (B19)

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	4	5	100.0	100.0	100.0

Deducing from Table 5.20 all respondents (100% - cumulative percentage) agreed that there are too many programmes of actions defined in the Sedibeng District Municipality. Figure 5.3 is a graphic illustration of data in Tables 5.12 to 5.15.

Figure 5.3: Employees' responses to programme of action



Highlighted in Figure 5.3 is that the programme of action is understood thereby creating sense of purpose for employees. The fact that they understand the programme of action ensures that their respective roles and responsibilities are aligned to the programme of action. The compatibility of the programme of action with service delivery ascertains the achievement of sustainable development milestones in which community needs are taken account of. However, employees have the opinion that there are many programmes of actions. The multitude of these programmes does not assist in the achievement of sustainable development goals but serve only to distract employees from such goals. The danger of many programmes of action is that available time and resources will have be evenly spread and deployed to activities that do not really matter to effective service delivery, thereby hampering the attainment of sustainable and development milestones.

5.4.4 Training and development

The researcher intends to establish the implementation of training and development required for acquisition of appropriate skills and knowledge. These skills and knowledge acquired are determined for their relevance with the effective implementation of monitoring and evaluation mechanism. Data relating to the objective is illustrated in Tables 5.16 to 5.19.

Table 5.16: Employees' responses relating to requisite skills and knowledge (B4)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	1	20.0	20.0	20.0
Valid 2	4	80.0	80.0	100.0
Total	5	100.0	100.0	

Table 5.16 illustrates that many (100% cumulative percentage) of the elements of the study agreed with the statement that the managers and subordinates have skills and knowledge to carry out monitoring and evaluation.

Table 5.17: Employees' responses relating to implementation of proper training (B5)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	2	40.0	40.0	40.0
Valid 2	3	60.0	60.0	100.0
Total	5	100.0	100.0	

A high cumulative percentage (100%) of subjects of study agreed with the statement that proper training is carried out to ensure that the managers and subordinates are able to work towards the sustainable development (see Table 5.17).

Table 5.18: Employees' responses relating to the attitude of employees to monitoring and evaluation (B7)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	2	40.0	40.0	40.0
Valid 2	3	60.0	60.0	100.0
Total	5	100.0	100.0	

In Table 5.18 a high cumulative percentage (100%) of sampled employees agreed that the managers and subordinates have a positive attitude towards monitoring and evaluation.

Table 5.19: Employees' responses relating to positive attitude instilled through training (B20)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	2	40.0	40.0	40.0
Valid 2	1	20.0	20.0	60.0
4	2	40.0	40.0	100.0
Total	5	100.0	100.0	

Table 5.19 highlights that the majority of respondents (60 % - cumulative percentage) agreed that management implements training to instil positive attitude towards sustainable development whereas a lower cumulative percentage (40% - cumulative percentage) of the respondents disagreed with questionnaire statement B20. The data for Tables 5.16 to 5.19 are shown in Figure 5.4.

Figure 5.4: Employees' responses to training and development

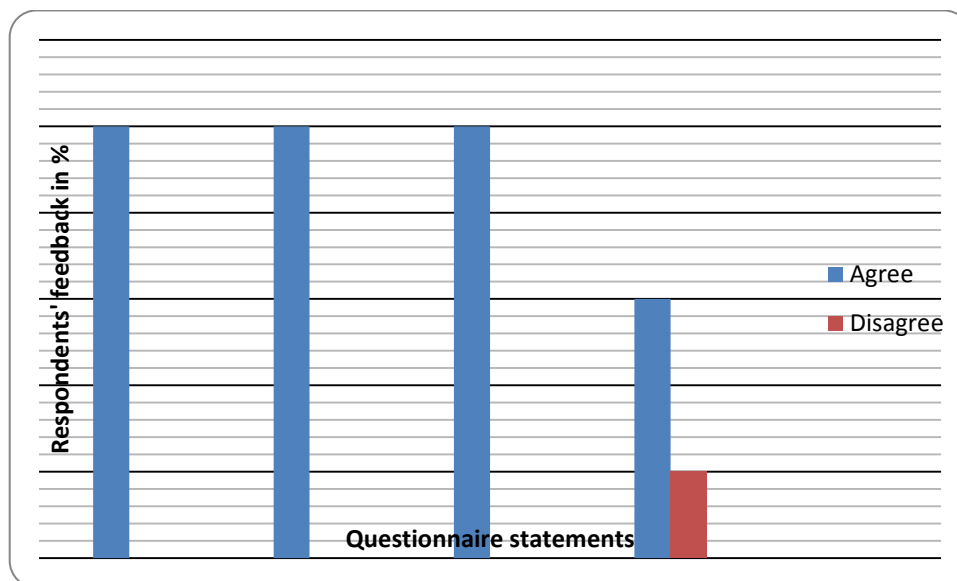


Figure 5.4 revealed that the employees have the required skills and knowledge to implement monitoring and evaluation at the municipality. Where employees have deficiencies training and development is carried out. Empirical evidence from this study indicates that the training and development at the municipality is carried out with the goals of sustainable development in mind. Such training is bound to leverage efforts targeted at attainment of the goals sustainable development.

It therefore does not become training for its own sake. Coupled with relevant training and development on is the fact that training and development that is carried out at the municipality imbues employees with a positive attitude for monitoring and evaluation as well as sustainable development.

5.4.5 Availability of resources

For the effective implementation of monitoring and evaluation resources are required to support that process. To this effect, the objective is to found out if resources are deployed to meet the challenge at the Sedibeng District Municipality. Relevant data can be viewed in Tables 5.20 to 5.23.

Table 5.20: Employees' responses relating to support of information technology (B8)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	4	80.0	80.0	80.0
Valid 2	1	20.0	20.0	100.0
Total	5	100.0	100.0	

A substantially high cumulative percentage (100%) of the respondents agreed with the questionnaire statement that the current information technology supports the monitoring and evaluation (see Table 5.20).

Table 5.21: Employees' responses relating to availability of sufficient resources (B2)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	1	20.0	20.0	20.0
Valid 2	4	80.0	80.0	100.0
Total	5	100.0	100.0	

It can be viewed from Table 5.21 that a huge cumulative percentage (100%) of units of analysis agreed with the questionnaire statement that there are sufficient resources available for the implementation of monitoring and evaluation.

Table 5.22: Employees' responses relating to management style (B9)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	1	20.0	20.0	20.0
Valid 2	4	80.0	80.0	100.0
Total	5	100.0	100.0	

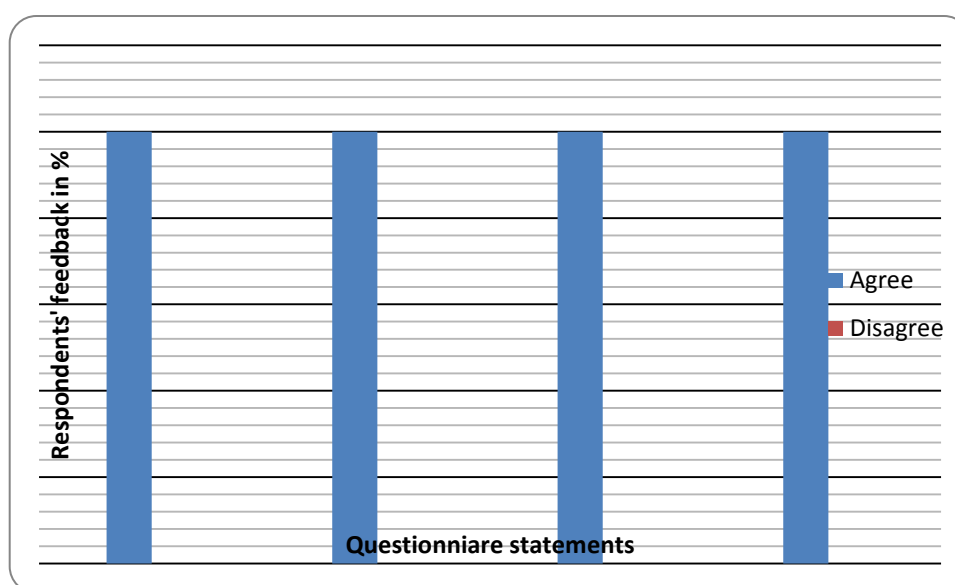
Table 5.22 indicates that a high cumulative percentage (100%) of the employees agreed that the SDM management style is appropriate for the implementation of monitoring and evaluation mechanism for sustainable development.

Table 5.23: Employees' responses relating to data for monitoring and evaluation (B12)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	2	40.0	40.0	40.0
Valid 2	3	60.0	60.0	100.0
Total	5	100.0	100.0	

In Table 5.23 it is apparent that all (100% - cumulative percentage) the respondents disagreed with the questionnaire statement B12 that the data used to carry the monitoring and evaluation is well defined. The results for Tables 5.20 to 5.23 are captured in Figure 5.5.

Figure 5.5: Respondents' responses to available resources



It is apparent from Figure 5.5 that the management at Sedibeng District Municipality commits resources to the implementation of monitoring and evaluation. The information technology, in particular supports the implementation of monitoring and evaluation. The support of information technology is made more relevant because that data captured through information technology is well defined. Management, through their relevant management style, ensures that monitoring and evaluation is focused on sustainable development. Management further ensure that resources are sued efficiently deployed

towards the implementation of monitoring and evaluation that is in tune with sustainable and development goals.

5.4.6 Monitoring and evaluation orientation and results

Critical at this point is to test whether the employees are involved in the development and implementation of monitoring and evaluation. The idea is to assess whether the developed and implemented monitoring and evaluation is linked to performance management and whether enhanced service delivery results from the implementation of the monitoring and evaluation mechanism. The results pertaining to these objectives are presented in Tables 5.24 to 5.29.

Table 5.24: Employees' responses relating to employee involvement in the development of monitoring and evaluation (B1)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	1	20.0	20.0	20.0
Valid 2	4	80.0	80.0	100.0
Total	5	100.0	100.0	

It can be seen in Table 5.24 that the majority of the respondents (100% cumulative percentage) agreed with the questionnaire statement that management and subordinates are involved in the development and implementation of monitoring and evaluation.

Table 5.25: Employees' responses relating to the link between monitoring and evaluation and performance management (B22)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid 1	5	100.0	100.0	100.0

Table 5.25 exhibits that all the respondents to the questionnaire statement B22 agreed that there is a link between monitoring and evaluation, and the municipality's performance management system.

Table 5.26: Employees' responses relating to accurate handling of service delivery accounts (B31)

	Frequency	Percent	Valid Percent	Cumulative Percent
2	2	40.0	40.0	40.0
Valid 5	3	60.0	60.0	100.0
Total	5	100.0	100.0	

The bulk of the respondents (60% - cumulative percentage), as in Table 5.26, disagreed that the SDM service delivery accounts are accurately handled whereas of cumulative percentage (40%) of the respondents agrees with questionnaire statement B31.

Table 5.27: Employees' responses relating to timeous issuing of tax accounts (B27)

	Frequency	Percent	Valid Percent	Cumulative Percent
2	2	40.0	40.0	40.0
Valid 3	1	20.0	20.0	60.0
5	2	40.0	40.0	100.0
Total	5	100.0	100.0	

In Table 5.27, an equally split percentage (40% agree category and 40% disagree category) of the respondents agree/ disagreed that the SDM accounts are sent to the residents in time.

Table 5.28: Employees' responses relating to the level of service delivery (B28)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid 2	5	100.0	100.0	100.0

All (100% cumulative frequency) of the sampled employees agreed that the SDM service delivery is excellent (see Table 5.28).

Table 5.29: Employees' responses relating to the convening of IPDs (B34)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	3	60.0	60.0	60.0
Valid 2	2	40.0	40.0	100.0
Total	5	100.0	100.0	

Table 5.29 shows that a 100% cumulative percentage of the employees at the SDM agreed that SDM's IDPs are convened. The data for Tables 5.24 to 5.29 are graphically represented in Figure 5.6.

Figure 5.6: Residents' perceptions of monitoring and evaluation

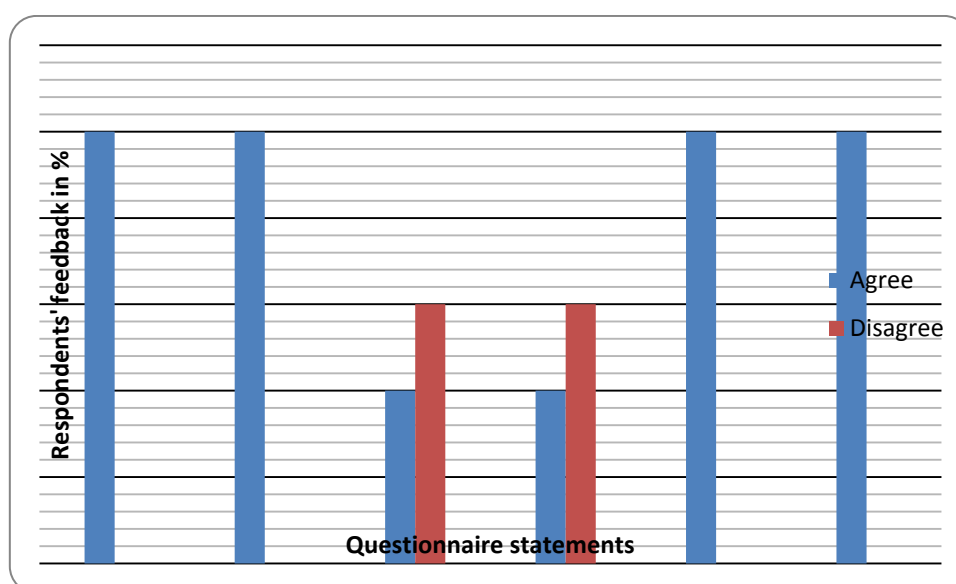


Figure 5.6 highlights a number of issues:

- B1 – managers and subordinates are involved in the development and implementation of monitoring and evaluation mechanism
- B22 – there is a link between municipality's performance management system and monitoring and evaluation
- B31 – tax and rates accounts are not accurately handled
- B27 – tax and rates accounts are not issued out in time
- B28 – service delivery is excellent

- B34 –SDM IDPs are convened

Employees express the view that monitoring and evaluation mechanism is developed and implemented effectively although there may be a problem with the handling and issuing of tax accounts. This seems to be an isolated challenge because employees contend that, generally, service delivery is excellent.

5.4.7 Establishing a link between monitoring and evaluation and sustainable development

The crux of the research is to determine the existence of a link between monitoring and evaluation as well as sustainable development, and establishing there is clear understanding of the two concepts among employees. The results for these objectives are found in Tables 5.30 to 5.35.

Table 5.30: Employees' responses relating to the link between monitoring and evaluation, and sustainable development (B29)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	2	40.0	40.0	40.0
2	2	40.0	40.0	80.0
3	1	20.0	20.0	100.0
Total	5	100.0	100.0	

Following from Table 5.30 the majority of respondents (80% cumulative percentage) agreed that monitoring and evaluation as a mechanism for sustainable development is being used by SDM. Only few employees (20%) disagreed with the questionnaire statement B29.

Table 5.31: Employees' responses relating to the confusion about monitoring and evaluation, and sustainable development (B21)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	2	40.0	40.0	40.0
Valid 3	2	40.0	40.0	80.0
4	1	20.0	20.0	100.0
Total	5	100.0	100.0	

In Table 5.31, the respondents (40%) agreed that there is confusion about monitoring and evaluation, and sustainable development.

Table 5.32: Employees' responses relating to monitoring and evaluation as a mechanism for sustainable development (B24)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	4	80.0	80.0	80.0
Valid 2	1	20.0	20.0	100.0
Total	5	100.0	100.0	

In Table 5.32 all the employees agreed (100% - cumulative percentage) that monitoring and evaluation would be easy to be the mechanism for the sustainable development.

Table 5.33: Employees' responses relating to improvement of annual performance plans (B26)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	2	40.0	40.0	40.0
Valid 2	3	60.0	60.0	100.0
Total	5	100.0	100.0	

It is clear from Table 5.33 that all of the subjects of analysis (100% - cumulative percentage 40%) contended that sustainable development improves performance plans.

Table 5.34: Employees' responses relating to communication of sustainable development issue (B27)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	1	20.0	20.0	20.0
Valid 2	4	80.0	80.0	100.0
Total	5	100.0	100.0	

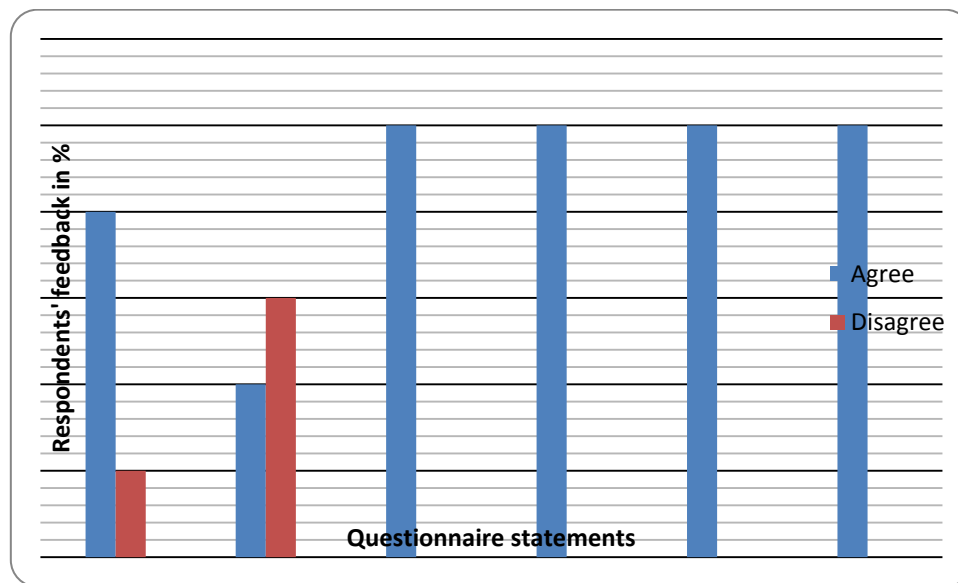
In the same vein, all the respondents (100% cumulative percentage) agreed that sustainable development is being communicated constantly (see Table 5.34).

Table 5.35: Employees' responses relating to employee involvement in sustainable development (B30)

	Frequency	Percent	Valid Percent	Cumulative Percent
1	4	80.0	80.0	80.0
Valid 2	1	20.0	20.0	100.0
Total	5	100.0	100.0	

In Table 5.35, it is shown that all the respondents (100% cumulative percentage) agreed that they are involved in sustainable development in SDM. The results shown in Tables 5.30 to 5.35 are illustrated in Figure 5.7.

Figure 5.7: Employees' responses relating the link between monitoring and evaluation and sustainable development



On the basis of Figure 5.7 it can be safely concluded that:

- B29 – there is a link between monitoring and evaluation, and sustainable development
- B21 – there is a confusion between monitoring and evaluation, and sustainable development
- B24 – monitoring and evaluation would be an easy mechanism to use to implement achieve sustainable development goals
- B26 – sustainable development improves performance plans
- B27 – sustainable development is being communicated constantly
- B30 – employees are involved in sustainable development at Sedibeng District Municipality

These findings clearly indicate that monitoring and evaluation mechanism is geared towards the attainment of the goals of sustainable development. These goals are communicated constantly, hence employees believe that they are directly involved in realising the goals of sustainable development. However, employees battle to distinguish between monitoring and evaluation, and sustainable development. The next section of the study analyses the residents' feedback.

5.5 ANALYSIS OF RESIDENTS' PERCEPTIONS

This section appraises the perceptions of residents with regard to the development and implementation of monitoring and evaluation and service delivery at the Sedibeng District Municipality.

5.5.1 The development and implementation of monitoring and evaluation system

The objective is to assess whether, through residents' lenses, the monitoring and evaluation is effectively implemented. The data helping such a process is presented in table 5.36.

Table: 5.36: Residents' responses to monitoring and evaluation

QUESTIONNAIRE STATEMENT	CUMULATIVE % FOR "AGREE"	CUMULATIVE % FOR "DISAGREE"
B1	4.3%	96 %
B2	2.2%	98%
B6	6.5%	93.5%
B7	1.1%	98.9%
B16	1.1%	98.9%

The majority of respondents disagreed with the following questionnaire statements:

- B1 - SDM has monitoring and evaluation system in place (96 % - cumulative percentage).
- B2 I am being made aware of the IPDs' meetings by the SDM (98 % - cumulative percentage).
- B6 SDM calls for the community meetings regularly (93.5 % - cumulative percentage)
- B7 SDM communities know their ward councillors (98.9 % - cumulative percentage).
- B16 SDM communities are being involved in the Annual Performance Plans agreement (98.9. % - cumulative percentage).

The data for Table 5.36 is graphically represented in Figure 5.8.

Figure 5.8: Residents' responses to monitoring and evaluation

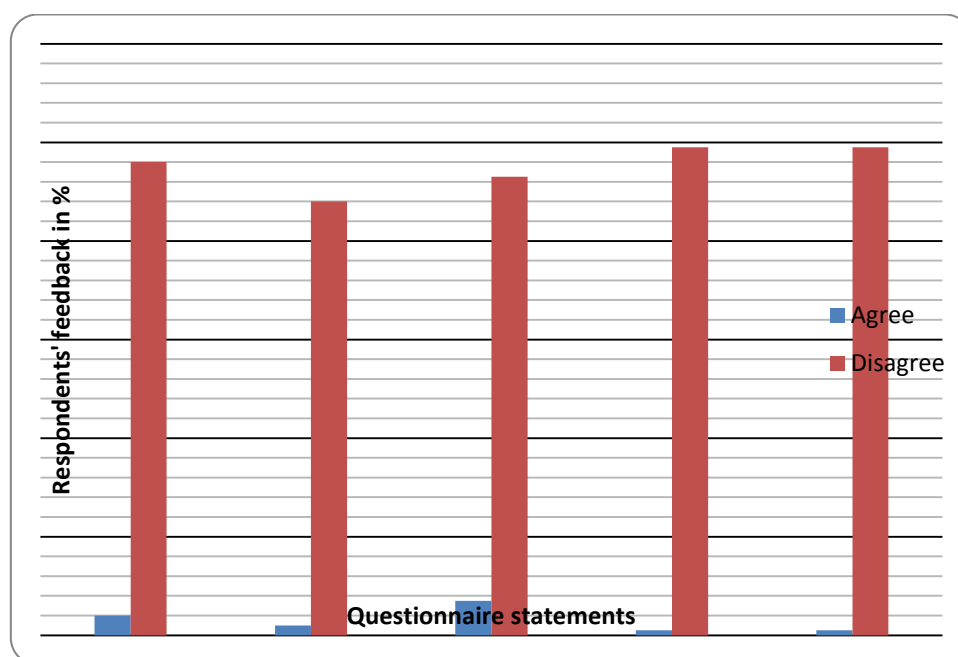


Figure 5.8 clearly shows that the residents are not convinced that there is monitoring and evaluation at Sedibeng District Municipality. They are also of the view that they are not informed when meetings are called to deliberate on IDPs, hence they do not know their councillors. Residents contend that the annual performance plans are developed without the consultation of communities. The view of community involvement in respect of the development of IDPs conflicts with the employees who, conversely have indicated that communities are consulted.

5.5.2 Delivery of services

The assessment of residents' perceptions of service delivery at the Sedibeng District Municipality is conducted in this section with pertinent results found in Table 5.37.

Table 5.37: Residents' responses to service delivery

QUESTIONNAIRE STATEMENT	CUMULATIVE % FOR "AGREE"	CUMULATIVE % FOR "DISAGREE)
B3	1%	99%
B4	14%	86%
B8	6.5%	93.5%
B9	12.9%	87.1%

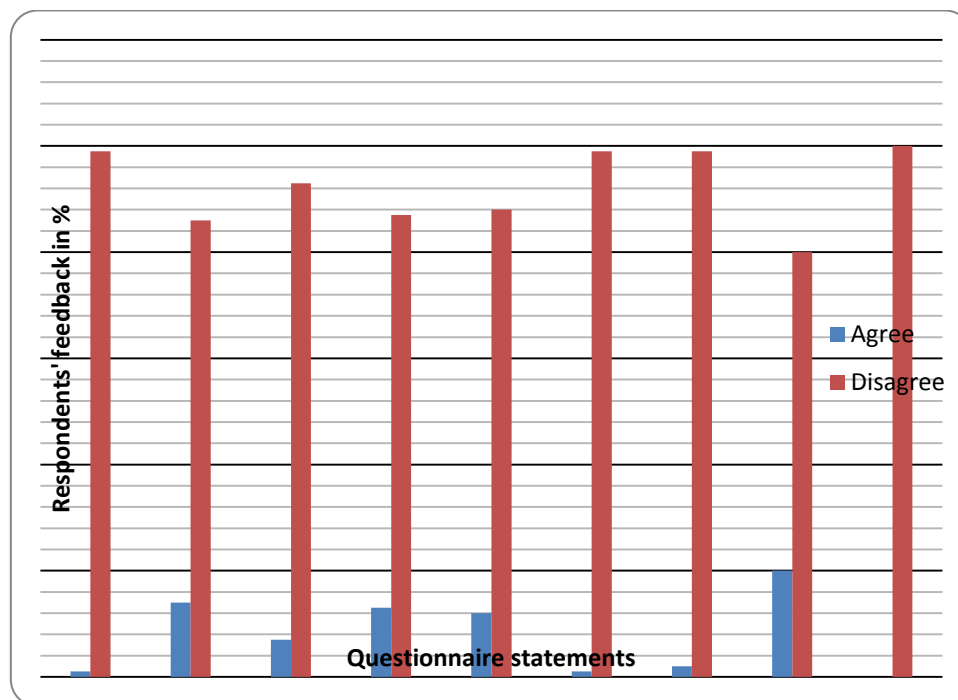
QUESTIONNAIRE STATEMENT	CUMULATIVE % FOR “AGREE”	CUMULATIVE % FOR “DISAGREE”
B10	11.8%	88.2%
B11	1%	99%
B13	2.2%	97.8%
B14	20.	80%
B15	0%	100%

From Table 5.37 it can be seen that residents disagreed that:

- B3 - SDME issues accurate tax rate accounts (99% - cumulative percentage)
- B4 -The tax rates accounts are being issued in time (86% - cumulative percentage)
- B8 - SDM renders sustainable service delivery to the community constantly (93.5% - cumulative percentage)
- B9 - SDM health facilities are up to standard (87.1% - cumulative percentage)
- B10 - Waste is being monitored closely (88.2% - cumulative percentage)
- B11 - SDM libraries are up to scratch (99% - cumulative percentage)
- B13 - SDM is allocating houses to the families staying in the shacks (97.8% - cumulative percentage)
- B14 - SDM is maintaining sewages system regularly (80% - cumulative percentage)
- B15 - SDM has allocated poor families electricity and water on lower cost (100% - cumulative percentage)

The data captured in Table 5.37 is illustrated in Figure 5.9.

Figure 5.9: Residents' responses to service delivery



Looking at Figure 5.9 it can be seen that the residents are generally unhappy with the quality of service they receive. It can be concluded that service delivery rendered to communities in the Sedibeng District Municipality is poor. This is in contradiction to employees' view that the municipality's provision of services was effective. This view of communities shows that the monitoring and evaluation at SDM is focused on improving the monitoring and evaluation mechanism without the consideration of the effects it will have to of communities. Because it is geared towards improvement of internal processes, the monitoring and evaluation process cannot be said to have a sustainable development outlook

5.6 CONCLUSION

In this chapter data is analysed using the frequency analysis. The results show that employees are convinced that monitoring and evaluation mechanism is established at the municipal level. They are also of the firm belief that the manner in which monitoring and evaluation is carried out culminates in the attainment of sustainable development goals. Conversely, the residents assert that service delivery remains at its lowest indicating that monitoring and evaluation efforts are not driven by the goals of sustainable development. The next chapter focuses on conclusions and recommendations.

CHAPTER 6

CONCLUSION AND RECOMMENDATIONS

6.1 INTRODUCTION

This chapter dwells on the findings from the analysis of questionnaires and structured interviews. The conclusions drawn from the analysis of the questionnaires and interviews are presented. Recommendations for the effective implementation of monitoring and evaluation mechanisms are outlined. The chapter concludes with suggestions for further research.

6.2 SUMMARY

Chapter 1 provided a theoretical and contextual background to the study. The area discussed was monitoring and evaluation systems, and their impact on sustainable development at Sedibeng District Municipality. The problem statement was provided and the focus then moved to the challenges faced by Sedibeng District Municipality regarding its monitoring and evaluation system. In the search for solutions to these challenges, research methods were outlined as a framework for conducting the research.

Chapter 2 explained the term monitoring and evaluation (M&S) in detail. This was followed by an exploration of the concept performance management as a background to establishing a monitoring and evaluation system. The chapter then moved on to explain the difference between the terms “monitoring” and “evaluation”; the necessary steps in the utilization of monitoring and evaluation systems; and the performance indicators required for effective monitoring and evaluation.

Chapter 3 provided a detailed examination, at a theoretical level, of the concept monitoring and evaluation system. It then turned to a case study of the Sedibeng District Municipality, discussing the impact of the monitoring and evaluation system on sustainable development at the SDM. Chapter 4 began by providing details of the appropriate research methodology to make an empirical analysis of the status of the monitoring and evaluation system for sustainable development at Sedibeng District Municipality. Chapter 5 provided a detailed presentation and interpretation of the results of the research.

6.3 FINDINGS

Using empirical research techniques, the following findings were identified:

- Clarity was established on the objectives of managers and employees.
- It was established that managers and subordinates have a clear understanding of the goals of sustainable development.
- The mission of the SDM is well understood by managers as well as subordinates.
- The key performance indicators involve finances.
- The SDM involves the communities in its Integrated Development Planning (IDP) process.
- The annual performance plans (APPs) in the SDM are well understood by the line function managers and the subordinates.
- The roles and responsibilities of line function managers and their subordinates are well understood.
- The level of performance management at the municipality is fair and measures the appropriate key performance areas.
- Monitoring and evaluation as a mechanism for sustainable development is the responsibility of line function managers and their subordinates.
- The performance management system is used as a tool to measure the linkages between the roles and responsibilities with the key performance areas (KPAs).
- The programmes of action are well understood.
- The programmes of action are agreed upon by line function managers and subordinates.
- The programme of action is essentially one of delivery.
- The programme of action is well understood, thereby creating a sense of purpose for employees.
- Managers and subordinates have the necessary skills and knowledge to carry out monitoring and evaluation.
- Proper training is carried out to ensure that managers and subordinates are able to work towards sustainable development.

- SDM managers and subordinates have a positive attitude towards monitoring and evaluation.
- Employees have the required skills and knowledge to implement monitoring and evaluation at the municipality.
- The current information technology supports the monitoring and evaluation process.
- There are sufficient resources available for the implementation of monitoring and evaluation.
- The SDM management style is appropriate for the implementation of the monitoring and evaluation mechanism for sustainable development.
- Management and subordinates are involved in the development and implementation of monitoring and evaluation.
- There is a link between monitoring and evaluation, and the municipality's performance management system.
- Monitoring and evaluation as a mechanism for sustainable development is used by SDM.
- There is confusion about the interrelation of monitoring and evaluation, and sustainable development.
- Residents are not convinced that there is monitoring and evaluation at Sedibeng District Municipality.
- Residents are generally unhappy with the quality of service they receive.

6.4 REALIZATION OF THE OBJECTIVES OF THE STUDY

The first objective of this study was to give a theoretical exploration of the concepts monitoring and evaluation. Chapter two described the conceptual meaning of the term monitoring and evaluation in detail. The second objective was to give clarity regarding the indicators to monitor and evaluate sustainable development projects in Sedibeng District Municipality. Chapter two explained the indicators of monitoring and evaluation. Chapter three explored the applicability of indicators for sustainable development at Sedibeng District Municipality. The third objective was to explore the criteria used for sustainable development areas in Sedibeng District Municipality. The fourth objective was to investigate the control measures and the critical success factors for sustainable

development in Sedibeng District Municipality. Both these objectives were covered in chapters three and four. Chapter three explored the implementation of the concept monitoring and evaluation system and its impact on sustainable development at Sedibeng District Municipality, which was selected as a case-study. Chapter four utilized appropriate research methods to explore the impact of monitoring and evaluation systems, and investigated the control measures and the critical success factors for sustainable development at Sedibeng District Municipality, while chapter five provides relevant recommendations with the aim of minimizing the challenges associated with the implementation of an M&S system and its impact on sustainable development at Sedibeng District Municipality.

6.5 TESTING THE HYPOTHESIS

The hypothesis for the study was formulated as:

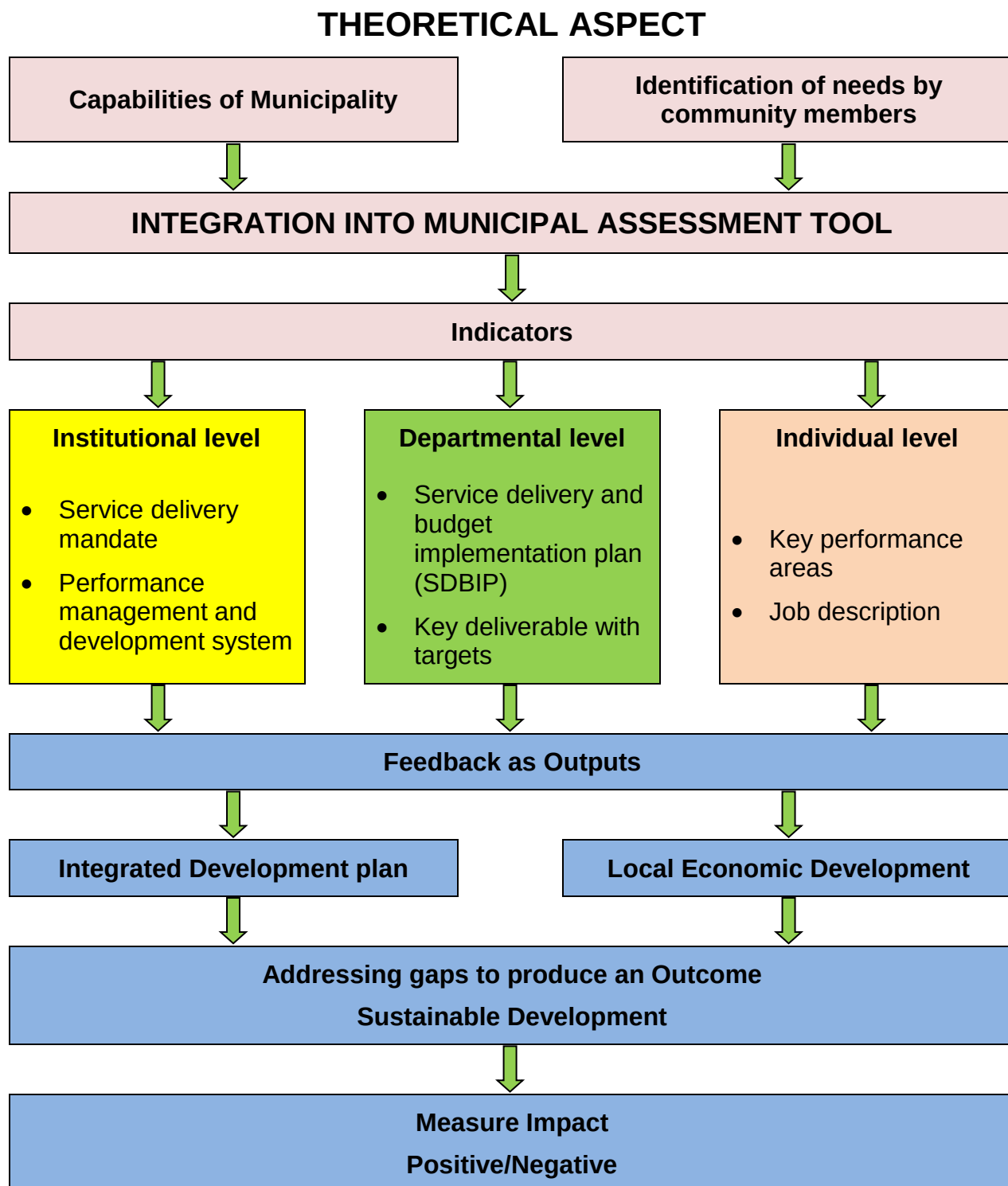
Effective monitoring and evaluation mechanisms can provide a more sustainable urban development in Sedibeng District Municipality with improved service delivery.

The findings from the literature review and the empirical research supports the hypothesis.

6.6 RECOMMENDATION: A PROPOSED MODEL

The following model is proposed for an improved Monitoring and Evaluation for Sustainable Development (MESD):

Figure 6.1 A proposed model: Monitoring and Evaluation for Sustainable Development



APPLICATION SIGNIFICANCE (a sample)

APPLICATION TOOL

MUNICIPAL APPLICATION TOOL					
Indicators			Output	Outcome	Impact
<i>Institutional</i>	<i>Departmental</i>	<i>Individual</i>			<i>Positive/ Negative</i>
Health and social development	Establishment of health facilities	Facilitate events on breast cancer, human trafficking and health related issues	Improved Health Care facility in the region	Investment in social capital	To be measured by the assessment tool
Community safety	Establish support programmes for safe and secure living	Implement community safety strategy	Improved Events Safety and Security Planning	Enabling environment for Community Policing Forum structures	To be measured by the assessment tool
Education	Establish schools and FET colleges	Implement vocational strategy for self-employment, link it to LED	Improved social-economic standards with sustainable livelihood	Investment in social capital	To be measured by the assessment tool
Housing	Construction of more houses	Facilitate funding, prepare monitoring reports, coordinated project management	Development of Spatial Development Strategy	Sustainable living with acceptable standards of houses	To be measured by the assessment tool
Water and sanitation	Establish infrastructure for water and sanitation	Prepare master plans for water and sanitation	Improved functionality of IGR structures for basic services	Coordinated and speedy implementation of water and sanitation services	To be measured by the assessment tool
Electricity	Establish infrastructure for electricity	Prepare master plan for electricity	Improved functionality of IGR structures for basic service	Speedy implementation of electricity services	To be measured by the assessment tool

MUNICIPAL ASSESSMENT TOOL

Notes: A gap is an impediment within the Municipality structure to implement service delivery themselves. Community needs are basic elements of service as prioritised by the Community themselves Weighting : 1. is the level of urgency by the community (highest 10;lowest 0) 1. is the level of capability of the municipality (highest 10;lowest 0)				Community Needs															
				health gaps		safety and security gaps		education gaps		housing gaps		water and sanitation gaps		electricity gaps					
community weighting on priority items				6		6		6		8		10		6					
Municipalities Capabilities																			
Institutional	Corporate Strategic planning (IDP) {what do we deliver?}			Score out of 10															
	Is this community need covered by IDP?			10		0		10		0		10		0		10		0	
	Is there a clear phasing plan into the medium term for this service delivery?			10		0		10		0		10		0		10		0	
	Do we require reliance on subsidy and skill from other spheres of Govern?			5		5		10		0		5		5		3		7	
	weight																		
	GAP Sum			5		0		5		7		6		7		7		7	
GAP ANALYSIS			score		(weight x GAP sum) 30		0		30		56		60		42		42		
Commentary: Water and sanitation lacks Institutional skill with the highest score of 60 points; followed by housing with 56 points; thereafter electricity by 42 and education and health by 30 points. Safety and security are best handled internally by Municipality.																			
Departmental	Business planning, implementing and monitoring {How do we deliver?}			Score out of 10															
	Do we have the skill to programme service delivery against IDP objectives?			7		3		10		0		6		4		7		3	
	Is there sufficient budget to meet the current financial years target?			5		5		10		0		3		7		3		7	
	weight																		
	GAP Sum			8		0		11		10		9		10		10		10	
	score			(weight x GAP sum) 48		0		66		80		90		60		60		60	
Commentary: Water and sanitation lacks Institutional skill with the highest score of 90 points; followed by housing with 80 points; thereafter education by 66, electricity by 60 points and health by 48 points. Safety and security are best handled internally by Municipality with no major gaps.																			
Individual	Internal human resources {How do we improve productivity?}			Score out of 10															
	Are our job description aligned to business objectives?			7		3		10		0		6		4		7		3	
	Is there a performance development programme for each individual?			5		5		10		0		3		7		5		5	
	How do we measure job satisfaction in the PD programme?			6		4		6		4		6		4		6		4	
	Is there growth opportunities for individuals?			5		5		5		5		5		5		5		5	
	weight																		
GAP Sum			17		9		20		19		18		10		10		10		
GAP ANALYSIS			score		(weight x GAP sum) 102		54		120		152		180		60		60		
Commentary: Water and sanitation lacks Institutional skill with the highest score of 180 points; followed by housing with 152 points; education by 120; health by 102 points and electricity by 60 points. Safety and security are lowest at 54 points which is best handled internally by Municipality.																			

The study tried to identify gaps within municipal capabilities to assess community needs. The quantitative study has revealed gaps in infrastructure delivery related to lack of capability mainly in primary resources, viz. financial, technical and human. The capabilities of Sedibeng District Municipality require effective utilization of these primary resources, resulting in acceptable standards of service delivery to satisfy community needs. The municipal performance to address community needs can be identified, reviewed, prioritized and strategized through a Municipal Assessment Tool, discussed in a proposed model.

At Sedibeng District Municipality, there is a need for closer investigation to avoid continuing dissatisfaction over poor service delivery (refer chapter three, sub-section 3.5.4), inefficiency and ineffectiveness create a climate that has a destructive influence on workplace productivity, municipality's perspective not involving the communities, and a lack of building and maintaining acceptable standards of essential services. This is complemented by a shortage of job opportunities; poor infrastructure and capacity-building initiatives, all of which are hampering the development of Municipality (refer chapter one, section 1.3). There is a number of existing rural settlement areas ignored in the delineation of the previous urban edge (refer chapter three, sub-section 3.5.3). There are current inadequacies of basic service delivery and the dissatisfaction of communities. The challenge is to raise the level of performance standards at the municipal level.

These challenges demand the establishment of an appropriate municipal assessment tool to measure the organizational performance of the municipality through established key indicators. The model suggests that the municipal assessment tool need to incorporate development indicators. Development indicators are quantified in municipal assessment tool revealing gaps between the municipal capability and level of outcome which is expressed as a weighting. Development indicators are significant in that they are able to guide municipalities in the formulation their spatial planning as well as to align their development plans with infrastructure required for sustainable urban development. This will assist policy makers/ relevant authorities to measure the efficiency of the tool. Indicators must incorporate the Key Performance Areas (KPAs); Key Performance Indicators (KPIs) and the targets to achieve. These indicators must be utilized to monitor the levels of performance at institutional, departmental and individual levels.

At institutional level, these indicators should monitor and evaluate organizational structures; processes; business plans; communication plans; and overall objectives. Corporate strategic planning (IDP) at institutional level needs to be reviewed, emphasizing 'what do we deliver'? Some of the critical questions need vital consideration, exploring namely: Is this community need covered by IDP? Is there a clear phasing plan into the medium term for this service delivery? Do we require reliance on subsidy and skill from other spheres of Government? This assessment will assist the strategic leaders/ policy-makers to identify the challenges in the formulation and/or implementation of related programmes and policies. Indicators can assess the organizational performance as a whole and identify areas where improvement is needed. At Sedibeng District Municipality, the institutional performance is associated with the Integrated Development Plan (IDP), whereby performance of the municipality is measured and managed against the service delivery by achieving the strategic objectives as set out in the integrated development plan (IDP) of the municipality. Given that an Integrated Development Plan has a five-year time span, the measures set at this level should be of a strategic and mostly long-term nature.

At departmental level, indicators are used to monitor and evaluate the departmental goals and objectives; as well as to assess their alignment with the institutional (municipal) vision and mission. At Sedibeng District Municipality, the departmental performance is linked to the Service Delivery And Budget Implementation Plan (SDBIP) in order to coordinate the performance planning and measurement of the municipal effectiveness. Each department can be allocated a key deliverable with targets, and captured in the annual SDBIP of the municipality. At departmental level, issues surrounding business planning, implementing and monitoring need to be discussed emphasizing 'how do we deliver'? Some of the critical questions need vital consideration, exploring: Do we have the skill to programme service delivery against IDP objectives? Is there sufficient budget to meet the current financial year target?

At individual level, indicators can assess the levels of employees' performance. The institutional programmes and policies, departmental goals, and individual productivity are areas of activity in the organization (municipalities) which require effective monitoring and evaluation to achieve the perceived outputs. At Sedibeng District Municipality, at individual level the performance can be linked to individual key performance areas and job descriptions. The performance of individuals can be

measured against personal/individual performance targets which are set in accordance with job descriptions. The roles of these employees are linked to the strategy of the municipality and the business plans (SDBIP) of the operational units (departments) at a municipality. At individual level, issues surrounding internal human resources need consideration, emphasizing 'how do we improve productivity'? Some of the critical questions need vital consideration, exploring: Are our job description aligned to business objectives? Is there a performance development programme for each individual? How do we measure job satisfaction in the performance development programme? Are there growth opportunities for individuals?

Through municipal assessment tool, the institutional, departmental and individual performance can be measured and assessed. The municipal assessment tool can designate clearly the delegated tasks at institutional, departmental and individual levels whereby the stipulated output and outcome can be measured and impact can be assessed. The application tool [reference to the proposed model], indicates the municipal responsibilities (aligned with the municipal IDP), are health; safety and security; education; housing; water and sanitation; and electricity. Municipal capabilities (institutional, departmental and individual) state the clearly stipulated tasks per delegated responsibility. The indicators vary at these levels. At institutional level, the indicator emphasize on 'what do we deliver'? At departmental level, the indicator evaluates 'how do we deliver'? At individual level, the indicator assesses 'how do we improve productivity? The municipal assessment tool thereafter measures the impact (positive/negative) by identifying the gaps in delegated tasks²². A gap is an impediment within the municipality structure to implement service delivery mechanisms. At institutional level, the gap analysis indicates that water and sanitation lacks institutional skill with the highest score of 60 points; followed by housing with 56 points; thereafter electricity by 42, and education and health by 30 points. Safety and security are best handled internally by municipality. At departmental level, the gap analysis indicates that water and sanitation lacks institutional skill with the highest score of 90 points; followed

²² *The municipal assessment tool indicates weighting that is the level of urgency by the community (highest: 10; lowest 0).*

** The weightings stated in the model and explanation, are hypothetical. This proposed model suggest that weighting can differ based on the municipal community survey, performed at any given time and place.*

by housing with 80 points; thereafter education by 66, electricity by 60 points and health by 48 points. Safety and security are best handled internally by municipality with no major gaps. At individual level, the gap analysis indicates that water and sanitation lacks institutional skill with the highest score of 180 points; followed by housing with 152 points; education by 120; health by 102 points and electricity by 60 points. Safety and security are lowest at 54 points which is best handled internally by municipality.

Municipality, moreover, must formulate and implement the projects listed in the Integrated Development Plan (IDP), and execute the Local Economic Development (LED) programmes efficiently. Continuous monitoring and evaluation of Integrated Development Plans and Local Economic Development programmes is therefore required. The activities of any municipality should be aligned with the envisaged outputs of that municipality. At Sedibeng District Municipality, it is suggested that IDP should incorporate the municipal vision for organizational transformation, need assessment to identify communities which do not have access to municipal services, consider local economic aim, integrate spatial development framework, operational strategies, disaster management plans, a financial plan, key performance indicators and performance targets (refer chapter three, section 3.8). With reference to LED programmes, the Sedibeng District Municipality should provide customized assistance targeted at individual businesses that are thought to provide greater economic development benefits. There is a need to plan strategic initiatives in which more general tax, spending, and regulatory policies of government are changed to promote local economic development (refer Chapter three, section 3.7), and development of SMME forums to enable programmes to include small businesses in procurement (refer chapter three, sub-section 3.5.4). At Sedibeng District Municipality, Monitoring and Evaluation (M&E) can play a vital role in assisting organizational effectiveness with reference to implementation of their integrated development plans to promote accountability and accelerate service delivery. It can integrate outcomes in the key performance areas (KPA's) in accordance with COGTA regulations. It can provide a comprehensive view of municipal performance and its progress towards achieving its set goals (refer chapter three, section 3.11).

Once the above model is in place the municipality may well achieve a level of efficiency towards sustainable development. For sustainable development, an environmental assessment, spatial assessment, social impact assessment, and sustainability

assessment are recommended. These should reflect the Integrated Development Plan and Local Economic Development programme and may well have a positive impact on the delivery of service to the community.

Data obtained from a needs analysis/ social impact assessment (at community level), and capability analysis (at municipal level) need to be identified, analysed, interpreted and reported for continuous improvement in the system. This data source is significant to assess whether there is any improvement in the standard of basic service delivery.

6.7 SUGGESTION FOR FURTHER RESEARCH

This study provides scope for further research in which the implementation of monitoring and evaluation systems can be subjected to detailed exploration. The following topics are suggested for research in related fields:

- **Topic 1:** the implementation of monitoring and evaluation systems in South Africa. This topic could provide a comparative study of selected local municipalities in South Africa.
- **Topic 2:** the impact of monitoring and evaluation system for improved organizational performance. This topic could be explored in selected metropolitan municipalities.
- **Topic 3:** analyzing the effectiveness of monitoring and evaluation systems, and organizational culture in South African local municipalities. This topic could focus on a discussion of the significance of monitoring and evaluation systems and their impact on the organizational ethics required for good governance. This type of comparative study could be conducted at a macro, district and local government levels.

6.8 CONCLUSION

This research project investigated the impact of monitoring and evaluation systems on sustainable development using the Sedibeng District Municipality as a case study. The findings offer significant recommendation(s) to mitigate the challenges identified in the study. This research certainly offers possibilities for further research in this and other related fields.

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APPENDIX A

EXTRACTS FROM RESEARCH BY NOMPI NTULI (2013)

Performance Management and Development Approach at Sedibeng District Municipality (pp 40–42)

According to the Sedibeng District Municipality's Performance Management and Development System and Policy (2010: 3), performance management is a system that is used to ensure that all parts of the municipality work together to achieve the objectives and targets as set out by the municipality and the community. This means that the municipality is required to realize business objectives as encapsulated in the integrated development plan (IDP). The service delivery and budget implementation plan (SDBIP) therefore must have clear goals and specific targets of what has to be done to ensure that the objectives are achieved. Clusters are moreover required to: clarify their business targets, specify how these targets will be realized, and ultimately contribute towards the achievement of the municipality's vision and mission. The process of attaining the above-stated goals is divided into four categories, including planning, monitoring; reviewing; and rewarding/corrective action.

During Phase One of Performance Planning, the municipality systematically identifies the reason for existence by setting its long term objectives. This includes articulating clearly the strategic priorities, vision and mission by identifying both organizational and individual measurable performance targets through a consultative process both internally and externally. Following the identification of business objectives at an organizational level, Sedibeng District Municipality Clusters and Directorates develop the business plans in the form of integrated development plan and service delivery and budget implementation plan, which are also translated into performance contract. These business plans stipulate what, when, why and how activities will be conducted.

During Phase Two of Performance Monitoring, Sedibeng District Municipality performance monitoring plays an integral part of organization performance management and development system. Clusters are compelled to submit their monthly and quarterly reports to the Municipal Manager.

During Phase Three of Performance Reviewing, employees are given an opportunity to score themselves against the set and agreed key targets and this is followed by a

meeting where both the employee and supervisor conclude on the final score. The intent of the review by supervisors helps to identify unacceptable performance at any time and immediately recommend an intervention. At an organizational level and on a quarterly basis, the Executive Mayor, Municipal Manager and the community sit in a panel and assess the performance of the municipality.

During Phase Four of Performance Rewarding and Correcting, the annual and final appraisals are conducted; and a decision to correct behaviour or to reward an excellent performance is identified. The recognition of outstanding performance is done through monetary and non-monetary awards. The monetary awards are in the form of cash and non-monetary awards ranges from certificates, trophies, to the receipt of thank you notes. The payment of performance bonuses is depended on the availability of the budget. In terms of the policy, after receiving the final scores from the Performance Management Division, the Performance Management Steering Committee meets for final adjustment if any.

Box 2.1: The distinction between monitoring and evaluation and other oversight activities

Like monitoring and evaluation, **inspection, audit, review** and **research** functions are oversight activities, but they each have a distinct focus and role and should not be confused with monitoring and evaluation.

Inspection is a general examination of an organizational unit, issue or practice to ascertain the extent it adheres to normative standards, good practices or other criteria and to make recommendations for improvement or corrective action. It is often performed when there is a perceived risk of non-compliance.

Audit is an assessment of the adequacy of management controls to ensure the economical and efficient use of resources; the safeguarding of assets; the reliability of financial and other information; the compliance with regulations, rules and established policies; the effectiveness of risk management; and the adequacy of organizational structures, systems and processes. Evaluation is more closely linked to MfDR and learning, while audit focuses on compliance.

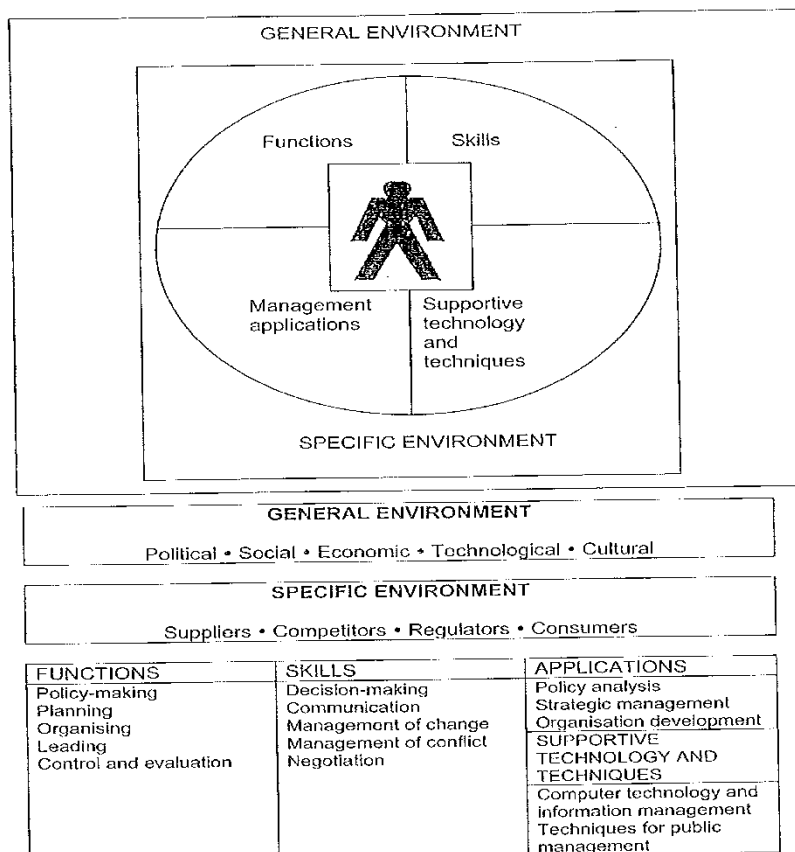
Reviews, such as rapid assessments and peer reviews, are distinct from evaluation and more closely associated with monitoring. They are periodic or *ad hoc*, often light assessments of the performance of an initiative and do not apply the due process of evaluation or rigor in methodology. Reviews tend to emphasize operational issues. Unlike evaluations conducted by independent evaluators, reviews are often conducted by those internal to the subject or the commissioning organization.

Research is a systematic examination completed to develop or contribute to knowledge of a particular topic. Research can often feed information into evaluations and other assessments but does not normally inform decision making on its own.

Source: UNEG, 'Norms for Evaluation in the UN System', 2005. Available at: <http://www.unevaluation.org/une gn norms>; [http://www.undg.org/docs/11653/UNDP-PME-Handbook-\(2009\).pdf](http://www.undg.org/docs/11653/UNDP-PME-Handbook-(2009).pdf)

Box 2.2: Models of Monitoring and evaluation 01: Public Management Model

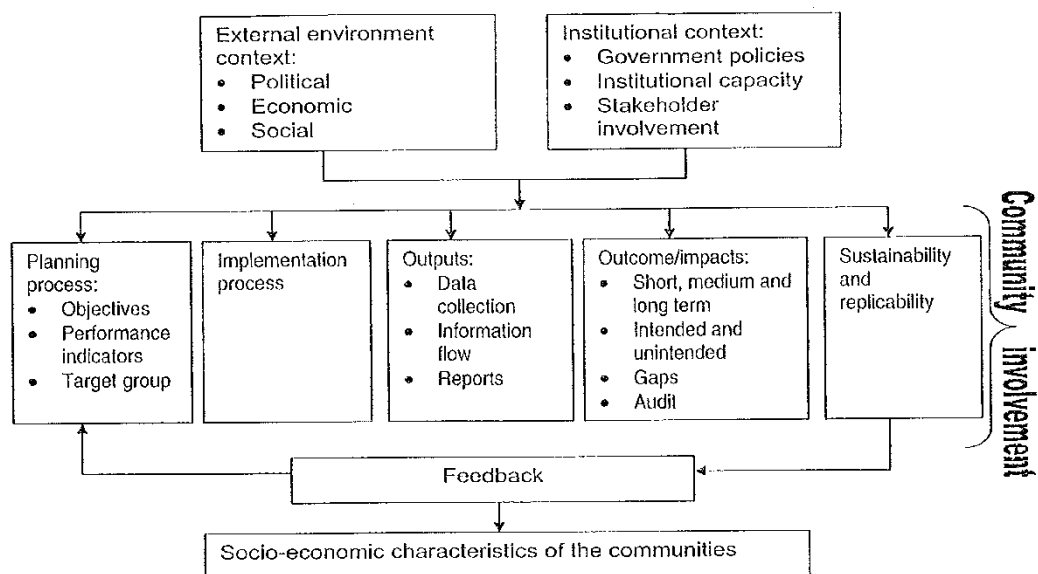
Source: obtained from TSATSIRE, 2008: 310.



(Source: Fox, Schwella and Wissink, 1990)

02: NORMATIVE MODEL FOR MONITORING AND EVALUATING SERVICE DELIVERY AND DEVELOPMENT

Source: obtained from TSATSIRE, 2008: 310



Box 2.3: Distinguishing between monitoring and evaluation

Timing	Monitoring is a continuing function that takes place throughout the implementation of a project/programme.	Evaluation assesses the entire project cycle
Depth and purpose	Monitoring is a regular part of project or programme management. It focuses on the implementation of the project, comparing what is delivered with what was planned.	Evaluation reviews the achievements of the project/programme and considers whether the plan was the best one to achieve the outcomes. Evaluation measures achievements as well as positive/ negative and intended/ unintended effects. Evaluation looks for lessons to be learned from both success and lack of success, and also looks for best practices which can be applied elsewhere.
Who conducts it	Monitoring is usually done by people directly involved in implementing the project/programme.	Evaluation is best conducted by an independent outsider who can be impartial in consulting with project/programme staff.
Relationship between monitoring and evaluation	Data collected and insights gained in the course of monitoring are then fed into and used by the evaluation process.	

Source: http://www.unodc.org/documents/human-trafficking/Toolkit-files/08-58296_tool_10-1.pdf

Box 2.4: Lessons learnt from other countries shed some light on the manner in which this system was ultimately implemented

- Political leadership is crucial. The joint leadership by National Treasury, Statistics SA and The Presidency as well as other agencies have ensured longevity of the GWM&E system
- Incentives should be provided for carrying out effective M&E, ideally at the departmental and individual level by means of performance agreements
- The integration of M&E across all levels of government remains one of the biggest challenges. An embedded M&E function is reliant on a firm place in the planning, budgeting, in-year reporting and auditing processes.
- Many countries have firstly focused on monitoring – putting the “M” before the “E” and South Africa has followed suit. With monitoring systems in place the next step would be to enhance data quality in order to conduct meaningful evaluations.
- Linked to the limited focus on data collection, the construction of baselines has fallen by the wayside. A renewed focus is however placed on this aspect by means of raising awareness on the importance of building national data repositories.
- The implementation of an M&E system requires a variety of skills such as social and economic research, statistics, data management and project management. The supply of such individuals will have to be created internally to keep up with the demand
- Change management is crucial in ensuring civil servants maintain a positive attitude towards M&E. Instead of viewing this function with suspicion and as a “policing system” officials should be encouraged to use the data and findings in a critical manner to improve practice
- • Ownership of M&E system at all levels is necessary to ensure proper application of the GWM&E system. Locally, ministries have realised that M&E is not just an accountability mechanism but can add great value to managerial decisions.

Source: cited in Mouton, 2010: 104.

Table 2.7: Deriving indicators and standards from values

Value	Criteria/Indicators	Standards
Efficient, economic and effective use of resources must be promoted.	1. Expenditure is according to budget. 2. Programme outputs are clearly defined and there is credible evidence that they have been achieved.	1. Expenditure is as budgeted and material variances are explained. 2. More than half of each programme's service delivery indicators are measurable in terms of quantity, quality and time dimensions. 3. Outputs, service delivery indicators and targets are clearly linked with each other as they appear in the strategic plan, estimates of expenditure and the annual report for the year under review. 4. Programmes are implemented as planned or changes to implementation are reasonably explained. 5. A system to monitor and evaluate programmes/ projects is operative
Public administration must be development oriented.	The department is effectively involved in programmes/ projects that aim to promote development and reduce poverty.	1. Beneficiaries play an active role in the governance, designing and monitoring of projects. 2. A standardised project plan format is used showing: a) All relevant details including measurable objectives. b) Time frames (targets). c) Clear governance arrangements. d) Detailed financial projections. e) Review meetings. f) Considering issues such as gender, the environment and HIV/AIDS. 3. Poverty reduction projects are aligned with local development plans. 4. Organisational learning takes place. 5. Projects are successfully initiated and/or implemented.

Source: Public Service Commission, 2008: 27-28.

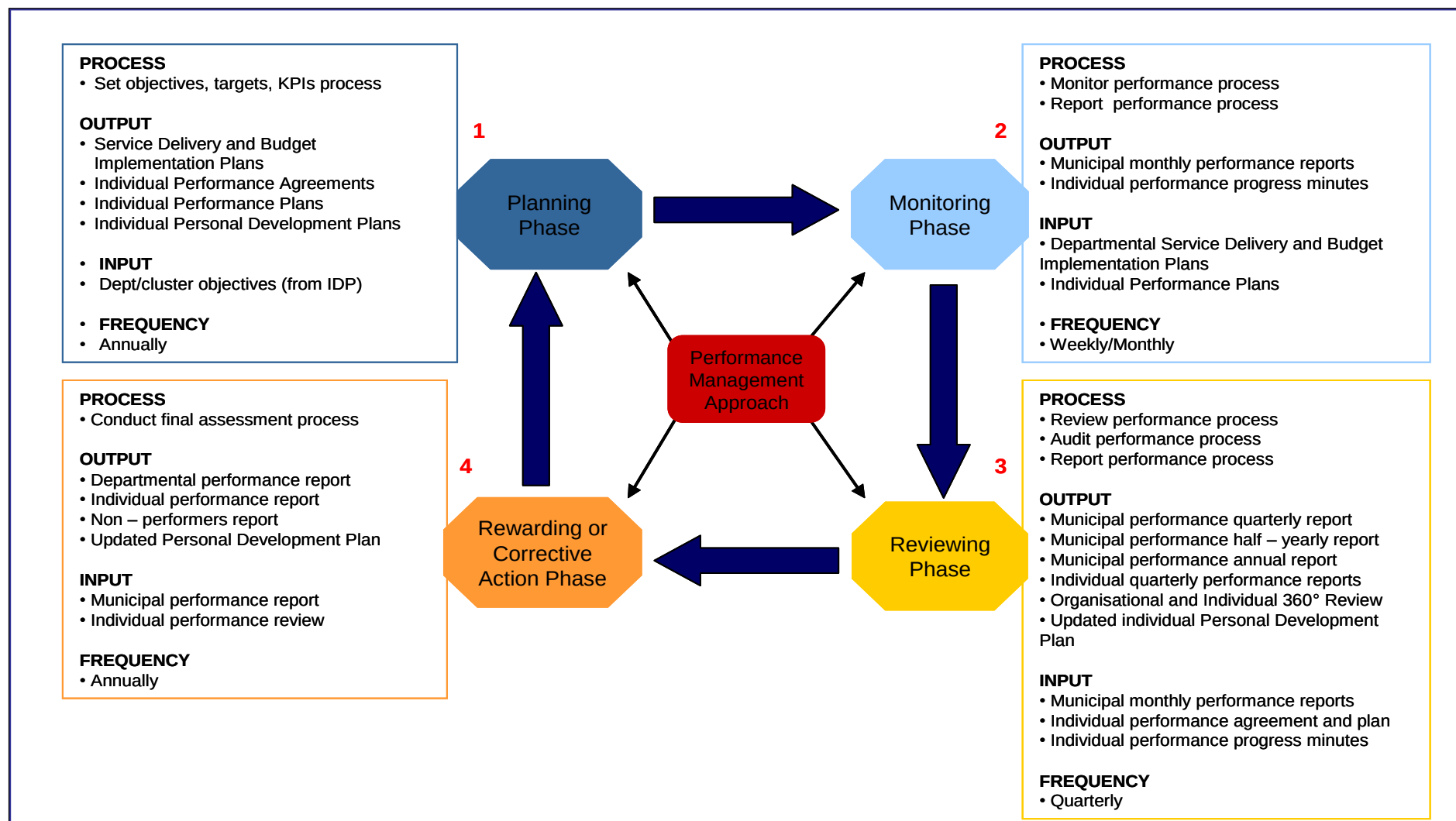
Table 3.8: Performance Management Principles

Situation/Issue	Design Principles
Performance management was reduced to submitting “results” (performance information) in for the sake of compliance in the old system (SAMS).	Performance management must be a way of working, self-evaluation and reflection streamlined and/or institutionalised in all aspects of the Council.
There is no validation of performance information supplied to the current system.	Implement a performance management and development system that is unquestionable in its rigor, objectivity and consistency.
There is no link between individual training needs and the workplace skills plan. Staff is sent to training for a mere sake. “Sometimes you go to the same training twice”.	It must link personal development plans to workplace skills plans for streamlined and targeted training (relevance to job needs).
There is no clear link between performance areas and the IDP, Budget and SDBIP.	It must link individual employee activities and performance to the organisation’s strategies, IDP, GDS, Budget and SDBIP.
There are no incentives to encourage good performance across the municipality.	It must link performance to reward and recognition (incentives). It must reward those employees whose performance exceeds the output criteria as well as establish ways of managing poor performance.
Performance management in the old performance management system (SAMS) revolved around a person.	It must be owned by the whole organisation and must apply to all employees.
Performance management (SAMS) was seen as a means to reprimand individuals.	Performance management shall be used as a tool to encourage performance of all staff members.
Current performance management system does not support reporting on general key performance indicators.	It must clearly track organisation’s performance in relation to the general key performance indicators.
Individuals assessed themselves. “You put what you want on the system as your performance.”	Performance assessments shall be conducted in a consultative, objective and non-discriminatory manner.
Current performance management system does not support reporting requirements of the municipality.	It must support monthly, quarterly and annual reporting of departmental heads and municipal manager thus contributing to reducing the administrative burden of reporting.

Situation/Issue	Design Principles
No effective relationships existed between Managers/Supervisors and Employees. One just had to keep on feeding the system with “results” (performance information).	It must foster a sound working relationship between Managers/ Supervisors and Employees through the development of agreed objectives, promoting the culture of feedback (mentoring and coaching) and learning.

Source: SDM Performance Management Policy 2010.

Figure 3.3: Performance Management Approach



Source: SDM Performance Management Policy, 2010.

APPENDIX B

QUESTIONNAIRES

SECTION A:

BIOGRAPHICAL INFORMATION (MUNICIPALITY PERSONNEL)

Please answer the questions by providing the relevant information in the block beside each question

1. In what level of management are you employed? (e.g. strategic management; middle management; lower management)	
2. What is your job title? (e.g. chief financial officer; development manager; MMC)	
3. Number of years in this current position	
4. What is your race?	
5. Do you live in a suburb/ town/city?	
6. Give the name of the suburb/town/city in which you live	

SECTION B: QUESTIONS ON THE MONITORING AND EVALUTION MEACHANISM FOR SUSTAINABLE DEVELOPMENT

A Likert Scale questionnaire will be used, i.e. please choose between the alternatives for each statement by ticking the appropriate box under the following headings:

Strongly Agree; Agree; Do not Know; Disagree; Strongly Disagree

1. Management and subordinates are involved in the development and implementation of the M&E	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
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2. There are sufficient resource available for the implementation of the M&E	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
3. Managers and employees objectives are clarified	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
4. Managers and subordinates have skills and knowledge to implement M&E	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
5. Proper training is carried out to ensure managers and subordinates are able to work towards the sustainable development	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
6. Managers and subordinates have a clear understanding of the goals of sustainable development	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
7. Managers and subordinates have a positive attitude towards the M&E	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
8. The current information technology supports the M&E	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
9. SDM management style is appropriate for the implementation of the M&E mechanism for sustainable development	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
10. Mission of the SDM is well understood by managers and subordinates	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree

11. Programme of action (POA) is well understood	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
12. The data used to carry out the M&E is well defined	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
13. Programme of action (POA) are agreed upon by the line function managers and the subordinates	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
14. Key performance indicators involves finances	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
15. The POA is about service delivery in SDM	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
16. Roles and responsibilities for the line function managers and their subordinates are clarified	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
17. SDM involves the communities in their IDPs (Integrated Development Planning)	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
18. The APP's (Annual Performance Plans) are well understood by the line function managers and the subordinates	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
19. There are too many POA's defined in SDM	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
20. Management implement training to instill positive attitude towards sustainable development	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
21. There's confusion on M&E and sustainable development	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree

22. There is a link between M&E and the municipality's performance management	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
23. The performance management is fair and measures the appropriate key performance areas	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
24. M&E would be easy to be the mechanism for the sustainable development	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
25. SDM does not have M&E	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
26. Sustainable development improves the Annual Performance Plans	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
27. The issue of sustainable development is being communicated constantly	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
28. Monitoring and Evaluation (M&E) as a mechanism for sustainable development is the responsibility of line function managers and their subordinates	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
29. M&E as a mechanism for sustainable development is being used by the SDM	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
30. I am involved in the sustainable development management for the SDM	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree

31. SDM service delivery accounts are being accurately handled	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
32.SDM tax accounts are being sent through to the community in time	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
33.SDM service delivery is excellent	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
34. SDM IDP's commitments are being convened	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree

SECTION A: BIOGRAPHICAL INFORMATION (TO BE COMPLETED BY COMMUNITY MEMBERS)

CONFIDENTIAL: PERSONAL DATA

1. Indicate your category below

Youth	Elderly	Disabled	Unemployed	Employed

2. How old are you?

16-20 years	21-30 years	31-40 years	41-50 years	50 and above

3. Please indicate your current marital status

Single	Married	Divorced	Widow	Never married

4. What is the total income of your combination household per month?

No income	R200-300	R500-1 000	R2 000–7 000	R8 000 plus

5. Do you live in a suburb/ town/ township or informal settlement?

Suburb	Town	Township	Informal settlement

6. What is the name of the place where you live?

Suburbs	Town	Township	Informal settlement

7. How long have you lived in the place you have named above?

Weeks	Months	Years

QUESTIONNAIRE ON M&E AS A MECHANISM FOR SUSTAINABLE DEVELOPMENT

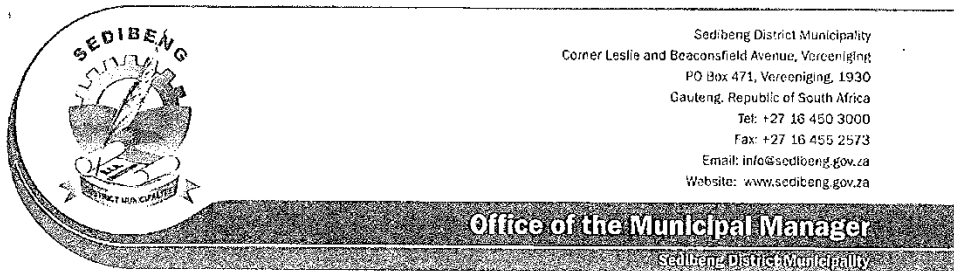
Kindly mark the appropriate box to indicate whether you Strongly Agree; Agree; Do not Know; Strongly Disagree; or Disagree.

1.SDM has Monitoring and Evaluation (M&E) system in place	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
2.I am informed of the IDP meetings held by the SDM	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
3.SDM issues accurate monthly municipal accounts	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
4.The municipal accounts are issued on time	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
5.SDM developments are sustainable	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
6.SDM regularly calls community meetings	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
7.SDM communities are aware of who their ward councillors are	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
8.SDM renders sustainable service delivery to residents on an ongoing basis	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
9.SDM health facilities are up to standard	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
10.Waste is being monitored appropriately	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
11. SDM libraries are well stocked and in good running order	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
12. The safety of the SDM residents is of high importance	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree

13.SDM allocates houses to the families who live in makeshift shacks	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
14.SDM maintains a fully operational sewage system	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
15.The SDM allocates water and electricity to poor families at lower rates	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree
16. Communities are involved in the Annual Performance Plans agreement	Strongly Agree	Agree	Do not Know	Strongly Disagree	Disagree

APPENDIX C

LETTER OF PERMISSION



29 May 2014

TO WHOM IT MAY CONCERN

This is to confirm that Ms E Zwane (student number: 10803866) is granted permission to conduct research in the premises of Sedibeng District Municipality.

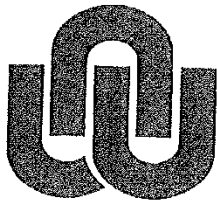
Thank you.

A handwritten signature in black ink, appearing to read 'TL MKAZA', is written over a horizontal line.

TL MKAZA
ACTING MUNICIPAL MANAGER

SEDIBENG DISTRICT MUNICIPALITY
PO BOX 471
VEREENIGING - 1930

DATE: 29.04.14



NORTH-WEST UNIVERSITY
YUNIBESITHI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
VAAL TRIANGLE CAMPUS

TO WHOM IT MAY CONCERN

This certifies that Ms E Zwane (student number: 10803866) is a Ph.D. student in Development and Management at the North-West University. Ms Zwane is conducting a research for her Doctoral Degree entitled "Monitoring and evaluating mechanisms for sustainable urban development in the Sedibeng District Municipality".

It would be appreciated if permission would be granted to Ms Zwane in order to conduct research on the matter. The purpose of the research is mainly academic.

Yours sincerely

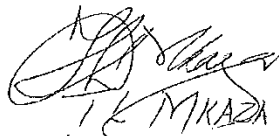
Prof. Shikha Vyas-Doorgapersad

Promoter

Tel: 016 910 3455

Fax: 016 910 3449

Email: Shikha.VyasDoorgapersad@nwu.ac.za


I. E. MKHAZA
ACTING MUNICIPAL MANAGER

SEDIBENG DISTRICT MUNICIPALITY
PO BOX 471
VEREENIGING - 1930

DATE: 29.04.2014



NORTH-WEST UNIVERSITY
YUNIBESITHI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
VAAL TRIANGLE CAMPUS

CONSENT FORM: RESEARCH

Request: Ms E Zwane (student number: 10803866) is a Ph.D. candidate in Development and Management at the North-West University. It would be appreciated if permission would be granted in order to conduct research on the matter through signing the consent form. The nature of research is purely academic.

Title of research project: Monitoring and evaluating mechanisms for sustainable urban development in the Sedibeng District Municipality

Telephone: .0828427839

Email: zwane.ntombi4@gmail.com

PARTICIPANT INVOLVEMENT:

CONSENT: I hereby confirm the following:

*I agree to participate in this research project.

*I have read this consent form and the information it contains and had the opportunity to ask questions about them.

*I agree to my responses being used for education and research on condition my privacy is respected, subject to the following:

-I understand that my personal details may be included in the research/will be used in aggregate form only, so that I will not be personally identifiable

*I understand that I am under no obligation to take part in this project.

*I understand I have the right to withdraw from this project at any stage.

Name of the participant:

TL MKAZA

Designation:

ACTING MUNICIPAL MANAGER

Signature of researcher/person who sought consent:

Date:

SEDIBENG DISTRICT MUNICIPALITY
PO BOX 471
VEREENIGING - 1930

DATE: 29.04.2014

APPENDIX D
CERTIFICATE: LANGUAGE EDITING

Dr Bridget Theron-Bushell

Academic Editing & Text Care
P.O. Box 101460, Moreleta Plaza, Pretoria, 0167
Email: bridget.edit@telkomsa.net
Cell: (+27) 083 6593 947
Tel: (012) 997 0947

24/02/2014

To whom it may concern:

This is to certify that I have done a full professional edit of the language in the following thesis:

Engenine Zwane, **Monitoring and Evaluation Mechanisms for Sustainable Development in Sedibeng District Municipality**
(Student number 108 803 866)

I am satisfied that from a language point of view, the thesis to be submitted in fulfillment of the requirements for the degree of PhD in Management and Development (North-West University), is fully acceptable.

Yours sincerely
Bridget Theron-Bushell
Pretoria