

The development and assessment of the mayoral dashboard performance monitoring system in the City of Cape Town

by

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DECLARATION

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ABSTRACT

South Africa's negotiated transition to a democracy in 1994 was hailed by many as an exceptional example of a peaceful democratisation process. The Constitution adopted in 1996 was widely endorsed as a model for building an equitable and developmental state that strived to unite the diverse aspirations of citizens.

The institutionalisation and participation processes that form an inherent part of democratisation are challenging and complex. Whilst both these afore-mentioned processes were developed at a rapid rate and given the strong South African statutory governance framework within which the new democratic state was supposed to function, particularly the institutionalisation process was and is seriously challenged. Such threats are evident through political power greed, managerial incompetence and systemic corruption through the abuse of power and tender irregularities. Furthermore evidence of the realisation of human rights enshrined in the RSA Constitution and progress towards demographic equity in the post 1994 democracy through effective public service delivery remains a major and ongoing challenge.

Municipalities, as prominent providers of public goods and services to communities, were also subjected to major transformation since 1994, which required a new approach to municipal administration and management. Not only was the local government legislation environment completely overhauled and made more complex but the concept of an executive mayor was also introduced. Besides the challenge in becoming acquainted with the interpretation and implementation of the new Constitution and statutes, municipal administrations had to become accustomed to a new form of executive political leadership that has the statutory authority to direct the administration. This dramatically changed governance environment required a major adjustment to management approaches. A very significant change in administrative approach was the introduction of performance management and monitoring in the local government sector. New terminology was introduced such as Integrated Development Plans, Service Delivery Budget Implementation Plans, Key Performance Areas, Strategic Focus Areas, Key Performance Indicators, Measurable Objectives, Targets,

Inputs, Outputs, Outcomes and Impact became the basis for determining effective, efficient and economic application of resources and the achievement of pre-determined objectives.

In all of the afore-mentioned new management and leadership dispensation in local government, the executive mayor features prominently. The particular focus of the thesis is therefore on the performance monitoring role of executive mayors in South African municipalities and the success or not of the City of Cape Town's Mayoral Dashboard System. Within the current statutory regime executive mayors must among other manage the development of the municipality's performance management system. Very significant in this regard is section 56(3) of the Local Government: Municipal Structures Act, 1998, which obligates and specifically directs executive mayors in relation to performance monitoring.

It is common cause that municipalities are in certain instances struggling with the new way of working and performance management in particular remains problematic in the sector. The main reasons for this is probably because of resistance to accountability, the punitive approach followed by certain municipalities, the fear of possible financial loss where targets are not met by managers and poorly defined key performance indicators.

This study, albeit inconclusive in respect of the total context of performance measurement in South African municipalities, is part of a unending search for solutions towards making the statutory role of executive mayors in relation to performance management more clear by:

- Offering a literature review of performance monitoring in the public sector;
- Offering the learning experience within the City of Cape Town to avoid duplication of mistakes and to embrace sound practices;
- Developing an assessment model for performance measurement in local government against which municipalities can assess their respective performance measurement systems;

- Proposing a measurement tool that can assist executive mayors elsewhere in South African municipalities with performance monitoring in their respective municipalities; and
- Reporting on the contribution, if any, of the mayoral dashboard performance measurement system towards the overall enhancement of performance management in the City of Cape Town.

SAMEVATTING

Suid-Afrika se onderhandelde oorgang na 'n demokrasie in 1994 is deur menige as 'n uitsonderlike voorbeeld van 'n vreedsame demokratiserings-proses gehuldig. Die Grondwet wat in 1996 aanvaar is, is wyd ondersteun as 'n model vir die bou van 'n regverdige en ontwikkelingstaat wat gestrewe het na die vereniging van die veelvoudige aspirasies van burgers.

Die institusionaliserings- en deelname prosesse, wat 'n inherente deel van demokratisering speel, is uitdagend en kompleks. Terwyl beide voormelde prosesse teen 'n geweldige tempo ontwikkel is en gegewe die sterk statutêre Suid-Afrikaanse regeer-raamwerk waarin die nuwe demokratiese staat moes funksioneer, het veral die institusionaliserings-proses ernstig uitgedaag en bedreig dit nog steeds. Sulke bedreigings is waarneembaar deur politieke magsbeheptheid, gebrekkige bestuur en sistemiese korrupsie deur magsmisbruik en tender onreëlmatighede. Bewyse dui daarop dat die verwesenliking van menseregte, wat vervat is in die RSA Grondwet, en die vordering na demografiese billikheid in die post 1994 demokrasie deur effektiewe openbare dienslewering, 'n groot en volgehoue uitdaging bly.

Munisipaliteite, as prominente verskaffers van openbare goedere en dienste aan gemeenskappe, is ook onderwerp aan belangrike verandering sedert 1994 wat 'n nuwe benadering tot munisipale administrasie en bestuur vereis het. Nie alleen is die plaaslike regering statutêre omgewing totaal hersien en meer ingewikkeld gemaak nie, maar is die konsep van 'n uitvoerende burgemeester ook ingestel. Buiten die uitdaging om vertrouwd te raak met die vertolking en implementering van die nuwe Grondwet en wette, moes munisipale administrasies gewoond raak aan die nuwe vorm van uitvoerende politieke leierskap wat statutêre bevoegdheid gehad het om leiding aan die administrasie te gee. Hierdie dramatiese-veranderde regeer-omgewing het 'n groot aanpassing tot bestuurs-benaderings vereis. 'n Baie ooglopende verandering in administratiewe benadering was die bekendstelling van prestasiebestuur en monitering in die plaaslike owerheid-sektor. Nuwe terminologie soos Geïntegreerde Ontwikkelingsplanne, Dienslewering Begrotings-Implementeringsplanne, Sleutel Prestasieareas, Strategiese Fokusareas, Prestasie-indikatore, Meetbare Doelwitte,

Teikens, Insette, Uitsette, Uitkomste en Impak is bekend gestel wat die basis geword het vir die bepaling van effektiewe, doelmatige en ekonomiese aanwending van hulpbronne en die behaling van vooropgestelde doelwitte.

In die geheel van die voormelde nuwe bestuur- en leierskap bedeling in plaaslike regering vertoon die uitvoerende burgemeester prominent. Die spesifieke fokus van die tesis is derhalwe op die prestasiebestuursrol van uitvoerende burgemeesters in Suid-Afrika asook die sukses al dan nie van die Stad Kaapstad se Burgemeesters-Paneel-prestasiemetingstelsel. Binne die huidige statutêre stelsel moet burgemeesters onder andere die ontwikkeling van die munisipaliteit se prestasiebestuurstel bestuur. Artikel 56(3) van die Plaaslike Regering: Munisipale Strukturewet, 1998, is in hierdie opsig baie insiggewend omdat dit uitvoerende burgemeesters verplig en rig in verband met prestasie-monitering.

Dit is gemeensaak dat munisipaliteite in sekere gevalle suksel met die nuwe werkswyse en prestasiebestuur in die besonder bly problematies in die sektor. Die hoofredes hiervoor is waarskynlik weerstand teen rekenpligtigheid, die bestraffende benadering gevolg deur sekere munisipaliteite, die vrees vir moontlike finansiële verlies waar teikens nie deur bestuurders bereik word nie en swak gedefinieerde prestasie-indikatore.

Hierdie studie, al is dit onvolledig met betrekking tot die totale omvang van prestasiebestuur in Suid-Afrikaanse munisipaliteite, is deel van 'n nimmereindigende soeke na oplossings om die statutêre rol van uitvoerende burgemeesters ten opsigte van prestasiebestuur meer duidelik te maak deur die:

- Aanbied van 'n literatuursoorsig van prestasiebestuur in die openbare sektor;
- Aanbied van die leer-ervaring in die Stad Kaapstad om 'n herhaling van foute te verhoed en om goeie praktyke te omarm;
- Ontwikkel van 'n assesseringsmodel vir prestasiebestuur in plaaslike regering waarteen munisipaliteite hul onderskeie prestasiebestuur-stelsels kan toets ;
- Voorstel van 'n metingsinstrument wat uitvoerende burgemeesters elders in Suid-Afrika behulpsaam kan wees met prestasie monitering; en

- Verslag te doen oor die bydrae, indien enige, van die burgemeesters-paneelprestasiemetings-model tot die oorhoofse verbetering van prestasiebestuur in die Stad Kaapstad.

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LIST OF ACRONYMS

| | |
|-------|--|
| COGTA | Department of Cooperative Governance and Traditional Affairs |
| CEO | Chief Executive Officer |
| ED | Executive Director (Senior Manager reporting directly to MM) |
| FFC | Financial and Fiscal Commission |
| FMPPI | Framework for Managing Programme Performance Information |
| GWM&E | Government-Wide Monitoring and Evaluation |
| IDP | Integrated Development Planning |
| KM | Knowledge Management |
| KPA | Key Performance Area |
| KPI | Key Performance Indicator |
| LG | Local Government |
| MAYCO | Member of the Executive Mayoral Committee |
| M&E | Monitoring and Evaluation |
| MEC | Member of the Executive Council (Provincial Minister) |
| MFMA | Local Government: Municipal Finance Management Act |
| MM | Municipal Manager |
| NG | National Government |
| NPM | New Public Management |
| PG | Provincial Government |
| PI | Performance Information |
| PM | Performance Management |
| PMS | Performance Management System |
| PMU | Performance Management Unit |
| SALGA | South African Local Government Association |
| SDBIP | Service Delivery and Budget Implementation Plan |
| SDS | Skills Development Strategy |
| SEDS | Social, economic and demographic statistics |
| SFA | Strategic Focus Area (in IDP) |
| USA | United States of America |
| WSP | Workplace Skills Plan |

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CHAPTER 1

AN OVERVIEW OF STUDY

1.1 INTRODUCTION

The introductory chapter of this study serves as a project plan for the thesis. The study departs from the purpose thereof to identifying the research statement, which will be addressed through the different stages of the study, to reaching a conclusion and making pragmatic recommendations.

The reasons for embarking on this study are motivated in this chapter. Besides an assessment of the functionality and effectiveness of the system under scrutiny, it also visits and emphasises critical aspects associated with performance measurement in South African local government in general and the City of Cape Town in particular.

1.2 BACKGROUND TO THE STUDY

1.2.1 Rationale for the study

Halligan, in *Holy Grail or Achievable Quest* (2008:3), states that there is general acceptance and reliance on well-developed performance management systems in government. In fact, he is of the opinion that performance management has become a dominant force in public management internationally, particularly over the past three decades.

From preliminary readings and practical exposure at executive management level in local government, it has become evident that the topic of performance monitoring, and in particular in the context of mayoral performance monitoring, is relevant and requires further scrutiny. The Department of Cooperative Governance and Traditional Affairs (COGTA) in its document *Back-to-Basic – Serving our Communities Better* (2014:5), states that despite the government's significant delivery achievements, municipalities have been confronted by a series of problems. Institutional incapacity and widespread poverty have undermined the sustainability of the local government project, leading in some instances to a catastrophic breakdown in services. According to COGTA

(2014:6) a recent review of all South African municipalities showed that only 7% of municipalities were fully functional, 30% were doing reasonably well, 32% were almost dysfunctional and 31% were totally dysfunctional. Through preliminary research it could not be established that any dedicated performance monitoring and evaluation system specifically utilised by an executive mayor in the South African local government context had been the subject of research.

Although international and national literature and research is quite comprehensive on performance management in organisations in general and South African statutes are theoretically sound, pragmatic implementation of performance monitoring and evaluation remains a challenge in local government and more specifically through the offices of executive mayors. As recommended by Mouton (2011:31-33) a data search was done via the website of the Nexus database system of the National Research Foundation, which confirmed that the research topic is unique and represents no duplication of any sort.

It is universally accepted that performance measurement is as effective as the indicators that are developed for measurement and the targets that are set to be measured by such indicators. No single measure tells a whole story about the performance of an organisation (Ammons et al, 2008:3). The ongoing challenge within any organisation and also the City of Cape Town is to develop a set of measures that will provide a more complete picture of an organisation's performance and also the performance of its top management team.

Even more cumbersome is the assessment of evaluation outputs over a period of time to determine whether the desired outcomes (effectiveness measures) were achieved and whether programmes and its relevant objectives had the desired impact. The measurement of outcomes and impact is critical for decision-making in municipalities. Failure to timeously detect undesired outcomes or impact could negatively affect the effective application of resources, the sustainability of programmes and eventually the survival of the governing authority itself. Municipalities in South Africa appear to grapple with outcomes and impact monitoring and whilst National Treasury within the Department of Finance issue regular circulars and guidelines, local government performance measurement primarily continues to focus on input and output monitoring.

Whilst there has been an improvement on efficiency monitoring, (inputs and outputs) assessment of effectiveness (outcomes and impact) remains problematic.

Since the post 1994 democratic dispensation in South Africa, performance management has become extremely important in local government. Although the importance of performance management appears to be on an increasing trend, the practice implementation thereof remains a major challenge in local government in South Africa. One of the focus areas of this study is to address this challenge to determine selective normative criteria emanating from the literature review in Chapter 2 and statutory criteria in Chapter 3 of this study. The selected criteria may assist to determine a fairly relevant set of measures that will represent the performance monitoring responsibilities of executive mayors of municipalities in South Africa.

1.2.2 Contextualising the study

To better understand the context of this study it is necessary to understand the statutory responsibilities of the executive mayor in relation to performance monitoring within South African municipalities. Besides that this study will allude to the statutory responsibilities of the executive mayor of the City of Cape Town in relation to performance monitoring, it will also indicate the level of compliance with such responsibilities by the executive mayor.

The role and responsibilities of the executive mayor of the municipality is particularly pivotal in relation to performance monitoring in general in the municipality and very specific in respect of the performance monitoring of the municipal manager and senior managers reporting to the municipal manager. In this regard there is a contractual obligation by the employer to quarterly assess the performance of the municipal manager and the managers reporting to him.

A further focus of the study is to assess the development and institutionalisation of a specific performance monitoring tool within the office of the executive mayor of the City of Cape Town. Hopefully, if the performance monitoring tool is found to be useful, it can also find application within other municipalities in South Africa. Alternatively, if the tool is found to be of little value, the performance monitoring obligation of the executive mayor must be supported by an alternative approach.

The performance monitoring tool referred to in this study is known as the *mayoral dashboard system* in the City of Cape Town and was designed for the office of the executive mayor to monitor the performance of the line directorates of the municipality. Reference to a performance *dashboard* in this context therefore merely refers to the monitoring system utilised by the office of the executive mayor.

According to Eckerson in Jantjes (2008:44-45) a performance dashboard is a multi-layered application built on a business intelligence and data infrastructure that enables organisations to measure, monitor and manage business performance more effectively. Whilst a dashboard form of reporting is convenient and easy to understand, it cannot be the primary assessment and reporting tool for performance monitoring because of the varying nature of dashboards itself that can be operational tactical or strategic dashboards. Naturally the best case scenario would be to develop a dashboard that encompasses all three the afore-mentioned characteristics.

The mayoral dashboard monitoring tool described in this study was developed in 2012 and incrementally implemented from 2013. Prior to 2012 there was another form of a mayoral dashboard, which had its origin in 2007. The then executive mayor held assessment meetings on a quarterly basis with mayoral committee members and the executive directors of their respective line directorates where performance results on selected ad hoc issues were discussed and reported on.

The compliance and effectiveness of the mayoral dashboard system was since its implementation in its 2012 revised format never assessed or reviewed. This study will make such assessment by developing an assessment model in accordance with normative and statutory criteria emanating from a literature review and a summary of applicable legislation.

The concept of a mayoral dashboard as a performance measurement tool is not entirely new to local government. Edwards and Thomas in Leading Performance Management (2008:51) stated that mayor Shirley Franklin, a former mayor of the City of Atlanta in the United States of America, introduced a new operating model for municipal government in early 2002. A central component of the mentioned new operating model for the City of Atlanta was a performance management system, which was referred to as the Atlanta Dashboard. This performance measurement tool was

designed to assess various aspects of municipal performance with a view to improving the efficiency and effectiveness of municipal services delivery in the City of Atlanta.

Mayor Franklin was confronted with challenges such as a negative perception by the public of the administration of the City of Atlanta. Even more worrying, the Atlanta city administration and leadership had little idea how well its departments were doing (Edwards and Thomas, 2008:52). To illustrate this scenario, only 33 of some 8000 employees were rated less than effective, which meant that neither departmental nor individual performance was being evaluated seriously in the City Council of Atlanta in 2002. This extra-ordinary low quantum of poor performing employees must be understood in the context that the number of less effective employees are much higher in most municipalities.

The concept of a mayoral performance measurement dashboard was subsequently first introduced in the City of Cape Town by former executive mayor, Helen Zille in 2007. Former mayor Zille announced the system to the Top 500 managers at a meeting held in Cape Town on 16 August 2007. In her speech (2007:1) on that day she among other stated that *in order to ensure that we execute its (the City of Cape Town's) objectives well, we need to monitor the activities of our City departments. Our dashboard system is designed to make information about how the City's various departments are performing readily accessible to the administrative and political leadership.* This study intends to report on whether the dashboard system had indeed achieved what had been contemplated with the system.

Furthermore the government of prime minister Tony Blair in the United Kingdom took the planning process for public services delivery very serious in that he established a delivery unit consisting of people with experience in services delivery in both the private and public sector (Barber, 2012:102) to advise him on service delivery matters and specifically the progress thereof. Barber states that it was most remarkable how much time Blair continued to give to the delivery of public services in spite of the demand of the global agenda, which included a war against the Taliban at the time. It was within the mentioned Delivery Unit that each key area within Blair's government had to answer the question whether targets were being met (Barber. 2012:80). The benefit of setting targets and measuring outcomes was the ongoing driving motivation for Tony Blair's Services Delivery Unit.

Although the City of Cape Town mayoral dashboard has been implemented since 2007, the level of institutionalisation thereof within the mayoral committee and senior management remains a challenge. Besides having to report via the mayoral dashboard system on the municipality's performance, mayoral committee members were also required to report on a monthly basis against criteria that had very little institutional value as it was performance measurement aimed at them achieving their party political objectives. On the other hand the municipal manager and senior managers reporting directly to the municipal manager are subject to quarterly assessments in terms of their respective annually concluded statutory performance agreements.

In addition to the above-mentioned reporting on performance, the senior managers (executive directors or EDs) reported on the performance of their directorates on a quarterly basis to their respective portfolio committees regarding implementation progress on their directorates' statutory prescribed service delivery and budget implementation plans (SDBIPs). Zille (2007:2) required a system that did not overburden the administration yet she wanted a simplistic system without getting entangled in detail that could give her a birds-eye view of the municipality's performance when she said *the key to advanced and effective IT is simplicity. It is only by having an easy interface with performance management information that we will be able to identify clearly where we are doing things wrong, and learn and extrapolate from where we have done things right. This allows us to keep the big picture in plain sight, so that we do not drown in detail.* This study will also allude to the regulatory and reporting burden of municipalities in South Africa.

1.2.3 Key concepts relevant to this study

For the sake of uniformity of understanding and alignment with monitoring and evaluation from a South African public sector perspective, relevant key concepts are defined in accordance with the directives in The Presidency's Policy Framework for Government-wide Monitoring and Evaluation (2007:1-2 and 22). According to the afore-mentioned policy framework:

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 with implementation and results

as well as early indications of problems that need to be corrected. It usually reports on actual performance against what was planned or expected.

Evaluation is a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision-making by staff, managers and policy-makers. Evaluation may assess relevance, efficiency, effectiveness, impact and sustainability. Impact evaluation examine whether underlying theories and assumptions were valid, what worked, what did not and why. There are many definitions of evaluation in the literature and websites. The definition offered in the Cambridge Dictionary (2016), i.e. the process of judging something's quality, importance, or value, or a report that includes this information, confirms that the process of evaluation is a value assessment of something.

Inputs refer to all the resources that contribute to the production of service delivery outputs (what is consumed or expended to do the work) and includes finances, personnel, equipment and buildings.

Activities are the processes or actions that use a range of inputs to produce the desired outputs (what we do).

Outputs are the final products, goods and services produced for service delivery (what we produce or deliver).

Outcomes are the medium-term results as a consequence of a series of outputs.

Impact is the effect of specific outcomes over a period of time (the influence of the outcomes on the strategic goals of the organisation).

Policies are statements of what government seeks to achieve through its work and why.

Strategies are structured descriptions of how these policies will be enacted.

Programmes are high-level plans that indicate how strategies will be implemented.

Projects are specific sets of activities intended to achieve particular results that will lead to programme goals.

Results-based management encompasses four approaches, which are:

- Definition of strategic goals which provide a focus for action.
- Specification of expected results which contribute to the achievement of the defined goals (including the alignment of programmes, processes and resources in support of these expected results).
- On-going monitoring and assessment of performance and integrating lessons learnt into future planning.

- Improved accountability for results (to ascertain whether the programmes made an impact on the lives of the recipients of services).

Evidence-based decision-making is the systematic application of the best available evidence to the evaluation options and to decision-making in management and policy settings.

Data is any fact or figure.

Information consists of data presented in a context so that it can be applied or used.

Knowledge is when connections and links to other information items are analysed to facilitate critical thinking and reasoning.

Baselines represent a description of the status quo, usually statistically stated, that provides a point of comparison for future performance.

Performance indicator is a variable that is used to assess the achievement of results in relation to stated goals and objectives.

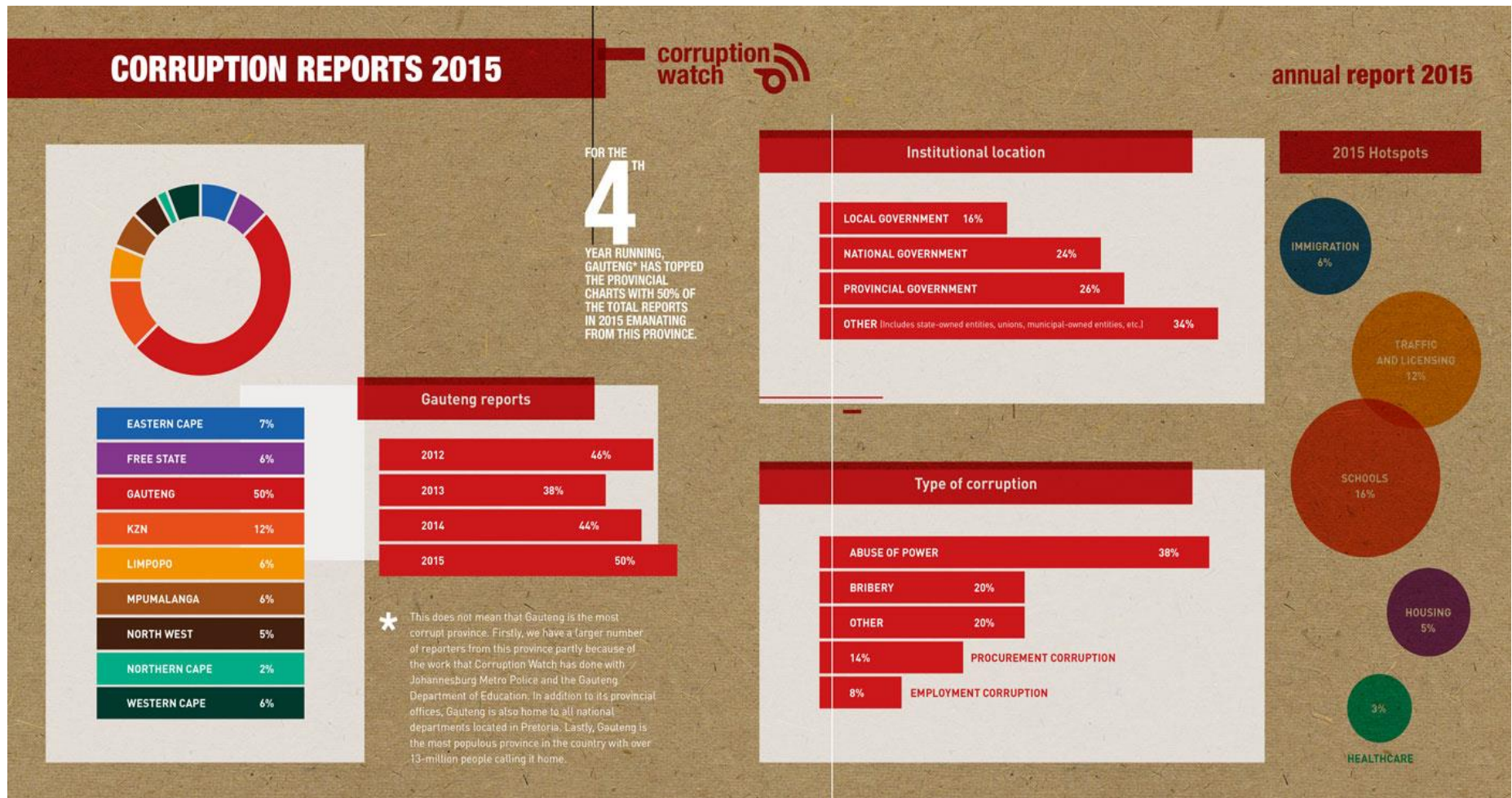
1.3 REASONS FOR SELECTING THE TOPIC

1.3.1 Maladministration within the South African local government environment

It is generally acknowledged that the South African public sector is contaminated with corruption and maladministration primarily as a result of shortage of managerial competencies, lack of accountability and ethics and failure to comprehensively monitor performance. It is extensively reported in the South African press and other publications that numerous municipalities are in financial distress as a result of the alleged mismanagement and the absence of performance monitoring often lies at the core of this dire situation.

An illustration of the severity of reported corruption in South Africa is illustrated in the summary of the Corruption Watch 2015 Annual Report depicted hereunder as Figure 1.1. The afore-mentioned cites local government as the fourth most corrupt environment in South Africa (2016:18). Alarming, municipalities are again mentioned under the most corrupt entities in the most corrupt category mentioned in the figure hereunder. The most common form of corruption appears to be the abuse of power followed by bribery.

Figure 1.1: Summary of Corruption Watch 2015 Annual Report



Source: Corruption Watch 2015 Annual Report

Provincial government in consultation with the National Council of Provinces and the National Minister for Cooperative Governance and Traditional Affairs have the statutory authority to intervene in municipalities that fail to discharge their executive obligations as stated in section 139 of the Constitution of the Republic of South Africa, 1996, or in the event of maladministration as stated in section 106 of the Local Government: Municipal Systems Act, No 32 of 2000. Such interventions are after the fact interventions. Situations that warrant the afore-mentioned interventions are usually preceded by serious and ongoing maladministration partly due to poor or no performance monitoring, which often results in the affected municipality being placed under administration. What follows under such circumstances is that the provincial government appoints an administrator to develop and implement a mandatory financial recovery plan in accordance with section 139 of the Local Government: Municipal Finance Management Act, No 56 of 2003. Performance monitoring measures are always form part of the financial and institutional recovery processes. Often these recovery plans are not diligently implemented or adhered to that results in the recurring problem of maladministration. The cases of maladministration at the Kannaland and Oudtshoorn Municipalities in the Western Cape are well-known throughout the South African local government environment. Eye Witness News reported as recent as 19 February 2016 that the Western Cape Legislature's Standing Committee on Local Government reported that *the Kannaland Municipality's executive has run it into the ground. The committee will now ask Cooperative Governance Minister David van Rooyen and Provincial Local Government MEC, Anton Bredell, to place the municipality under administration.*

The mayoral dashboard performance measurement system endeavours to propose a pragmatic part-solution to assist to prevent problems as cited above.

1.3.2 Lack of accountability

The perceived lack of accountability of local government globally has been an ongoing challenge (Rogers, 1999:21). In the British local government reform process, the perceived lack of accountability was addressed through regulations, which amongst other, resulted in stricter contracting of chief executives for local government and the introduction of time-limited performance contracts for top managers.

In response to the lack of accountability in the South African public service, Section 195(1)(f) of the Constitution of the Republic of South Africa Act, 1996, as amended (the RSA Constitution), determines the following:

Public administration must be governed by the democratic values and principles enshrined in the Constitution, including the following principles:

(f) Public administration must be accountable.

Although the RSA Constitution distinguishes between three spheres of government in South Africa, the principles depicted in the mentioned Section 195 of the RSA Constitution are applicable to all spheres of government. The requirement for the public sector to be accountable is emphasised by the word *must*, which makes the requirement peremptory and which leaves no discretion to both politicians and employees in the public sector.

Hoffman (2009:1) defined accountability as *to require of those in authority to reasonably explain their performance and properly justify their decisions. If those in authority are unable to satisfactorily do so, then remedial action is usually indicated.*

Hoffman's working definition of accountability for those in authority is elucidated by the BusinessDictionary.com (2014) definition, which defines accountability as *the obligation of an individual or organisation to account for its activities, to accept responsibility for them, and to disclose the results in a transparent manner.*

The afore-mentioned definitions of accountability include certain commonalities such as to explain or answer for one's actions, to accept responsibility for such, to be subjected to monitoring and to be transparent about the results one or the organisation achieves.

Primary causes of accountability failures include corruption and elite biases. In this regard Goetz and Jenkins (2005:46) argue that being unable effectively to demand accountability is a symptom of poverty and one of the reasons why poor people remain poor. As long as corruption and elite bias restricts the influence of the poor on the electoral system, the legislatures, the reporting structures within bureaucracies, oversight and regulatory agencies, public expenditure management systems and the judiciary, accountability as a tenet of democracy remains under threat. Du Preez

(2016:1) refers to the lack of accountability in the South African context as blank denial, which is no doubt seriously affecting democracy in South Africa.

The assessment of the mayoral dashboard system will also determine whether the above-mentioned accountability requirements are indeed met with its implementation.

1.3.3 Poor service delivery results of municipalities

Corporate results are a product of performance or non-performance by members as groups or units within the organisation, which have an influence and impact on the entire organisation. Results in relation to performance or non-performance are an indication of whether the plans that were implemented to achieve predetermined objectives, were indeed successful and therefore effective. Results are measured through monitoring and evaluation, which assists the organisation to:

- Assess and review progress;
- Identify problems in planning and/or implementation;
- Make adjustments so that one is more likely to make a difference (Shapiro. 2008:5).

Ammons et al (2008:4) argues that the logic of performance measurement is simple and compelling for the following reasons:

- It provides vital information for management and oversight.
- It focuses attention on priorities and results.
- It assists with the identification of successful strategies.
- It enhances accountability.

1.3.4 Effectiveness of the system

As indicated above the mayoral dashboard performance measurement system requires assessment to determine whether it is of value to the office of the executive mayor in particular and to the City of Cape Town in general. The main purpose with the mayoral dashboard system was for it was to offer a high-level view of the City of Cape Town's service delivery performance and to serve as an early warning system to enable the political leadership and senior management to adjust plans, projects and programmes timely to ensure that the direction indicated and demanded by the

municipality's strategic plan was being adhered to and where there was under-performance, to direct the required remedial action. In fairness to the organisation it is necessary to determine whether the mayoral dashboard system assists in such role, and if not, to adjust the system or to abort it.

1.3.5 Further reasons for selecting this research topic are:

- to assist with an explanation of the statutory performance monitoring requirements and roles of executive mayors in South African municipalities;
- to offer a strategic performance management tool for executive mayors to improve their performance monitoring responsibilities;
- to assist with the curbing of maladministration in municipalities through improved performance monitoring;
- to assist municipalities to achieve the objectives in their approved SDBIPs; and
- to improve the effectiveness of the City of Cape Town mayoral dashboard system.

1.4 RESEARCH PROBLEM AND QUESTION

1.4.1 The Research Problem

The hypothesis of this study is construed around the fact that before the development and implementation of the mayoral dashboard performance measurement system, monitoring by the then executive mayor was limited to the assessment of progress on self-selected ad hoc projects or issues that were added to a performance report list on an ad hoc basis. This haphazard approach was clearly not in accordance with the intent and clear prescription of relevant statutory determinations required for performance measurement in a municipality. The Local Government: Municipal Systems Act, No 32 of 2000, very specifically requires of an executive mayor to determine key performance indicators to measure progress with the implementation of strategies, programmes and services delivery and evaluate progress against such key performance indicators.

The research problem is that South African municipalities in general and the City of Cape Town specifically have difficulty in implementing a functional performance measurement system for executive mayors to monitor service delivery performance progress within the municipality that simultaneously serves as an early-warning system

to enable timely remedial action to be instituted. The City of Cape Town has been working with a mayoral dashboard system since 2007 and a new version since 2012, but is uncertain of its compliance and effectiveness.

1.4.2 The Research Question

The appropriate research question is therefore: *would an assessment of the mayoral dashboard system against an assessment model and a peer review resolve the uncertainty referred to in paragraph 1.4.1 above?*

1.4.3 Research Aim

The aim of the study is to assess the mayoral dashboard in terms of the research objectives outlined in 1.4.4 hereunder. The research aims to add value and understanding to the requirement for and understanding of the mayoral dashboard as a compulsory but practical and understandable performance measurement system. From the data collected and subsequently analysed, recommendations will be made to this effect.

1.4.4 Research Objectives

In assessing the following objectives will guide the research methodology:

- To examine and record literature and similar subject research in order to establish a normative set of criteria that could be relevant to a mayoral dashboard performance measurement system;
- To examine and record policy papers and legislation to create an understanding of the philosophy of government that led to the promulgation of peremptory statutory determinations in respect of the executive mayor's obligation to monitor service delivery performance in a municipality;
- To describe the nature and functioning of a mayoral dashboard performance monitoring system;
- To follow an inductive research approach to develop an assessment model against which the mayoral dashboard can be evaluated for compliance purposes;
- To evaluate through a qualitative deductive research approach the effectiveness of the mayoral dashboard; and

- To make recommendations on the improvement of the mayoral dashboard system emanating from this study.

1.5 SIGNIFICANCE OF THE STUDY

In addition to establishing the compliance and effectiveness of the mayoral dashboard system, this study will also make recommendations on the improvement of the mayoral dashboard system.

Organisational performance management at municipalities has developed in importance since the implementation of the Local Government: Municipal Systems Act, No 32 of 2000, and uniform practices in performance management are gradually being adopted by municipalities. According to Jessa in *An Assessment of Organisational Performance Management at the Drakenstein and Stellenbosch Municipalities* (2012:13) Bless and Higson-Smith (2004:142) state that it is necessary to give attention to the relevance of problems *in terms of its theoretical and practical implications* and thereby pursuing methods that would improve performance problems. This research study endeavours to contribute towards the improvement of performance monitoring related performance problems in municipalities by presenting an improved performance measurement system at least in respect of outputs monitoring.

1.6 RESEARCH DESIGN AND METHODOLOGY

1.6.1 Research design

The researcher will apply a combination of qualitative and quantitative measures in the assessment of the mayoral dashboard. According to Mouton in *How to succeed in your Master's & Doctoral Studies* (2011:158) this study is aligned to the description of an evaluation research, more specifically a process implementation evaluation.

Jessa (2012:15) further mentions that Leedy and Ormrod (2001:191) argue that a descriptive quantitative research examines a situation as it is while the qualitative aspects of the research serves to contribute to the understanding of the various perspectives of the phenomenon (Leedy and Ormrod. 2001:147). In qualitative

research, different knowledge claims, enquiry strategies, and data collection methods and analysis are employed (Creswell, 2003:12). Qualitative data sources include observation and participant observation (fieldwork), interviews and questionnaires, documents and texts, and the researcher's impressions and reactions. Mouton (2011:158) continues to identify performance measurement as a typical application within an evaluation research.

1.6.2 The survey population and size

The study population comprises of the eleven members of the mayoral committee (Mayco), the city manager and the nine executive directors (EDs) at the City of Cape Town. They were selected on the basis that they are the primary practitioners and stakeholders in the application of the mayoral dashboard system.

1.6.3 Data collection

The methodology for data collection in this study will be by means of a structured questionnaire based on the Linkert methodology comprising of thirty questions that will be sent to the study population for completion in their own time. Bhengu (2015) stated that according to Malhotra *et al* (2002), cited in Polonsky and Waller (2005:114), this method is appropriate for respondents since it gives participants an opportunity to complete the questionnaire during leisure time. The responses to the questionnaire will constitute the primary data to be utilised when evaluating the data. The review of literature, legislation, documents, speeches, guidelines and policies will provide the secondary data for this study.

1.6.4. The analysis process

The secondary data will be analysed in an inductive manner in order to develop the assessment model against which the mayoral dashboard will be evaluated. The primary data will be forthcoming from the responses to the questionnaire. This data will be analysed in a deductive manner in relation to the criteria selected for the assessment model in the study. Bhattacharjee (2012:4) states that in a deductive research approach, the goal of the researcher is to test concepts and patterns known from theory using new empirical data.

Jessa (2012:17) mentioned that Bless and Higson-Smith (2004: 137-143) state that inconsistencies, bias and error in the data should be carefully interpreted and presented in the findings. Due care will be taken to interpret the primary data objectively and consistently to formulate rational and meaningful findings. The conclusions and recommendations of this study will be outlined in the final chapter.

1.6.5 Study limitations

This study is not about presenting a new perspective on performance monitoring and evaluation in the South African local government environment. The scope and extent of the study is limited to the compliance assessment of a recently developed system against selected normative criteria that will emanate from the literature review in this study and the very specific statutory performance measurement requirements for a South African municipal executive mayor and more specifically, the effectiveness of such system.

This study is neither about performance as human behaviour nor the study of the managerial competencies of the municipal manager and the senior managers reporting directly to the municipal manager as required by the Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, 2006.

This study also will not endeavour to assess the effectiveness of the of the mayoral dashboard system against any criteria, other than the criteria selected in this study.

This study furthermore does not represent any comparison with similar practices in any other South African municipality and does not claim that the system under assessment and evaluation is the ultimate solution for mayoral performance monitoring.

1.7 OVERVIEW OF CHAPTERS

The chapters in this study are organised as follows:

Chapter 1: An overview of research study. The object of the study will be the assessment of the mayoral dashboard applied in the City of Cape Town. The introductory chapter of this study serves as a project plan for the thesis.

Chapter 2: A literature review of performance monitoring. This Chapter presents the literature reviewed on performance management and performance monitoring. The afore-mentioned closely related concepts will be defined and investigated to provide a clear basis for conducting the rest of this study. The chapter will also discuss the value of and theory around performance measurement as well as the positive and negative factors influencing performance measurement.

Chapter 3: Performance monitoring in the South African local government context. In this chapter the focus will be on the complex nature of the South African municipal statutory regime in relation to performance management in municipalities and the role of the executive mayor in this regard. A summary of the legal framework for the relevant to performance measurement in South African municipalities is presented in this chapter. A study will be made of the acts, regulations and policies to provide the reader with an understanding of the context of the mayoral dashboard and where it finds alignment within the City of Cape Town. An overview will be given on performance monitoring in the South African local government environment.

Chapter 4: The performance monitoring model utilised by the executive mayor of the City of Cape Town. This chapter will explain the nature of the mayoral dashboard performance measurement system developed in 2012. It will also describe its functioning in detail with specific reference to its compilation, the calculation and interpretation of performance results, the translation and meaning of results into the dashboard colour codes and the interpretation thereof, the mayoral dashboard assessment process and the consequences or actions emanating from the assessment process.

Chapter 5: Assessment of the mayoral dashboard and findings. This chapter will focus on the compilation of an assessment model against which the City of Cape Town's mayoral dashboard will be compared against. The study design and methodology described in detail in chapter 1 will be applied where-after a summary of the data analysed will be presented. This chapter will critically evaluate the analysed data and make findings in respect of the mayoral dashboard's compliance and effectiveness in relation to the assessment model. This chapter provides an answer to the research problem.

Chapter 6: Recommendations and conclusion. Based on the evaluation and findings in chapter 5 recommendations will be made that may improve the mayoral dashboard system or enhance the application thereof within the City of Cape Town.

1.8 SUMMARY

This chapter explained the purpose and rationale for selecting this topic, the research approach that the researcher will follow and outlined the structure of the research study. Besides that performance monitoring in any organisation is challenging in many aspects, it is essential to implement with a view to measuring results, which may be used by management and the leadership to timeously intervene when things are not going according to plan or reward the organisation's employees if an organisation performs well.

The next chapter will scrutinise literature associated with performance measurement, bring some clarity on the difference between performance management and performance measurement, identify generally accepted criteria based on the literature review for a performance measurement tool and caution about the negative effects of performance measurement.

CHAPTER 2

A LITERATURE REVIEW OF PERFORMANCE MONITORING

2.1 INTRODUCTION

In this chapter literature related to performance management and performance monitoring will be reviewed in order to clarify these closely related concepts. The aforementioned concepts will be defined and investigated to provide a clear basis for conducting the rest of this study.

Performance management and monitoring and evaluation have become very topical in the public service over the past three decades, which warrants a theoretical analysis thereof. Whilst performance management encompasses the total spectrum of performance management processes, performance monitoring and evaluation is an integral subset within the performance management science.

This chapter will reflect the views of respected authors on performance measurement, indicate the value thereof, highlight the risks associated with performance measurement, and give context to where this study fits in with the research undertaken by the mentioned scholars.

2.2 GENERAL OBSERVATIONS ON PERFORMANCE MONITORING

2.2.1 Defining performance monitoring and related concepts

According to Herholdt (2007:10-11) all the means of expressing performance have the same intended outcome, which is clarity about expectations. The overall philosophy of outputs and results can be described as goal setting. No performance measurement can be undertaken within an organisation without prior clear goal setting. Clear organisational goal setting contributes to the following:

- Goals focus attention on the activities of the organisation and provide a standard of performance;
- Goals provide a basis for planning and management control related to the activities of the organisation;

- Goals provide guidelines for decision-making and justification for actions taken. They reduce uncertainty in decision-making and offer defence against possible criticism;
- Goals influence the structure of the organisation and help determine the nature of technology employed. The manner in which the organisation is structured will affect what it attempts to achieve;
- Goals help to develop commitment of individuals and groups to the activities of the organisation. Goals focus attention on purposeful behaviour and provide a basis for motivation and reward systems;
- Goals provide an indication of what the organisation is really like for employees and for people outside the organisation;
- Goals serve as a basis for the evaluation of change and organisation development;
- Goals are the basis of objectives and policies of the organisation.

Kok (2008:222-223) utilises The Reader's Digest Oxford Complete Word-finder of Tulloch to define and explain the concepts monitoring, measurement and evaluation. According to Kok monitoring simply means various persons or devices checking or warning about a situation. It is further also described as to watch, oversee, observe, check up on, audit, superintend, scan, examine, study, follow, keep an eye on, survey, keep track of, trace, record, vet and keep tabs on. Formal monitoring involves the gathering of data about chosen indicators and targets and to keep track of the progress. It helps to keep the work on track and can let managers know when things go wrong.

Measurement is defined as the act or instance of measuring (determination, estimation, calculation, computation) or an amount determined by measuring (dimension, extent, size, area, volume, capacity, weight, elapsed time, period or distance).

Evaluation is defined as appraisal, valuation, assessment, judgment, rating and ranking. Evaluation also refers to the comparison of the impact of projects against a strategic plan.

Thompson (2002:134) argues that an organisation can only be regarded as successful if it meets the needs and expectations of its stakeholders. To establish whether an

organisation is successful, we need to measure and evaluate such success. He further argues that a strategically effective organisation cannot merely rely on managerial instinct to measure success. He is of the opinion that organisations should determine which are the competencies required by the organisation to be successful and then to continually measure and monitor such competencies.

According to Marr (2006:16) strategic performance management is about challenging strategic assumptions, refining strategic thinking, facilitating strategic decision-making and learning at all levels of the organisation. It is about engaging everyone in the strategy and its execution so that organisational performance becomes everyone's everyday job. Too many performance management approaches assume that the strategic context and business models are well understood by everyone in the organisation, which often not the case and often the cause of failure of performance management initiatives. Marr (2006:16) further argues that it is only when there is an understanding of the strategy of the organisation that there will be understanding that performance assessment is about the systematic collection of information to enable comparison of a given situation or status relative to known objectives or goals.

Ammons et al (2008:xiii) argues that performance management is not passive. According to him performance management is not just about putting a system in place and then to go through the motions. The results thereof must be interpreted by those in authority to either adjust their strategies with a view to improving on results or even to abort certain programmes in extreme cases of under-performance.

Ammons et al (2008:6-13) distinguishes between the following categories of assessment measures that comprise a comprehensive multidimensional set of measures:

- Output (workload) measures: These are the simplest of all measures that represent raw counts of activities or services;
- Efficiency measures: These measures relate to resources consumed (inputs) to produce such output;
- Outcome (effectiveness) measures: These measures relate to measures that gauge service quality and which reflect the extent to which programme objectives are being met;

- Productivity measures: These measures represent a combination of efficiency and effectiveness usually in a single measure as a cost-benefit ratio but are seldom used in local government.

Jann and Jantz in *Leading Performance Management in Local Government* (Halligan, J. 2008:12-13) shed further light in respect of these measures by adding the following:

- Input measures: These measures are usually well defined in the municipalities' budgets but merely reflect costs. It really tells us nothing about performance;
- Impact measures: These measures are more or less directly connected with outputs where it relates to the cumulative effect of outputs over time.

According to De Bruijn (2007:7) the central idea behind performance measurement is a simple one: an organisation formulates its envisaged performance and indicates how this performance may be measured by defining performance indicators. De Bruijn, however, limits his view of performance measurement as being primarily synonymous with concepts such as outputs or product measurement and to a lesser extent outcomes and then only if outcomes are the result of measurable effects.

Halligan (2008:16) cautions that government institutions often confuse performance measurement and performance management as having the same meaning. His view is that performance management aims to react to the outcome of performance measurement and in so doing aims to improve on the organisation's performance. According to him performance management and performance measurement are not the same but the two processes are mutually dependent.

To find an absolute and clear distinction between concepts such as performance management, measurement, monitoring and evaluation is indeed a challenge. Kok (2008:223), with reference to Kwapele, argues that there is no consensus about terminology in planning and monitoring and evaluation. According to him, if regular monitoring reveals that things are not going as planned or expected, a more thorough evaluation is to be undertaken to understand why and know what changes should be made to intervene and rectify the situation.

Kok (2008:223-224) further explains that the common ground between monitoring and evaluation is that they both are geared towards learning from what you are doing and how you are doing it by focussing on:

- Efficiency, which indicates whether the input (cost and effort) into the work is appropriate in terms of the output;
- Effectiveness, which indicates the extent to which a service delivery project or programme achieves the objectives set for it;
- Impact, which indicates whether the project or programme implemented made a difference to the problem situation it was planned to address. In other words, was the strategy you adopted useful? Before you decided to replicate the project or programme elsewhere, you needed to be certain that by replicating the project or programme it would make the required impact.

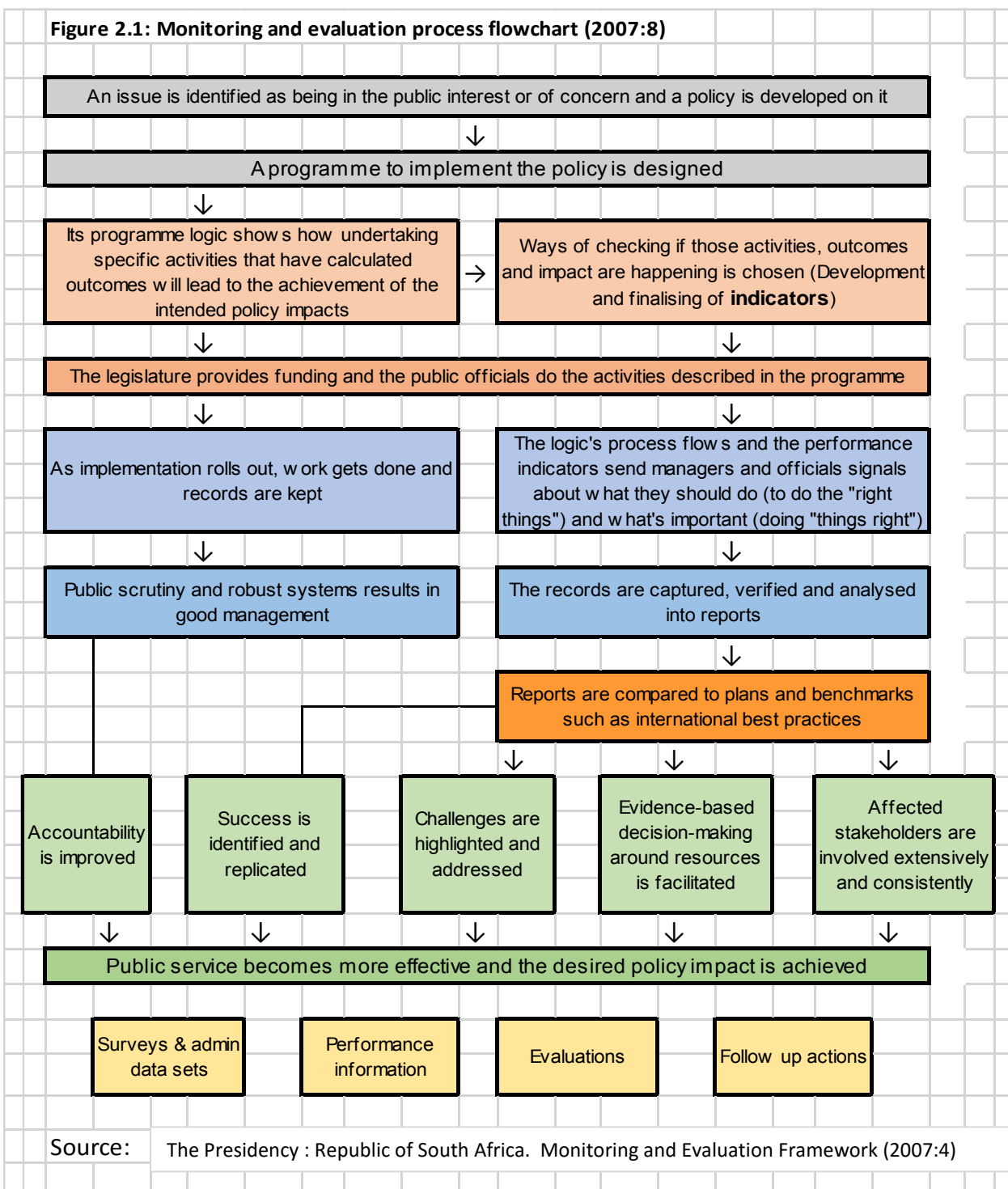
Rogers (1999:71) argues that the basic model of performance criteria which has been consistently applied in British local government since the early 1980's, has reference to the so-called 3 E's, i.e. economy, efficiency and effectiveness, which he defines as follows:

- Economy means ensuring that assets and services are procured and maintained at the lowest possible cost consistent with a specified quality and quantity (input).
- Efficiency means providing a specified volume and quantity of service with the lowest level of resources capable of meeting that specification (output).
- Effectiveness means providing the right services to enable a municipality to implement its policies and objectives (impact/outcome).

A further clarification of monitoring and evaluation is offered by the South African Presidency (2007:4), who defines *a monitoring and evaluation (M&E) system as a set of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships which enables national and provincial departments, municipalities and other institutions to discharge M&E functions effectively. In addition to these formal managerial elements are the organisational culture, capacity and other enabling or restricting conditions that will determine whether the feedback from the monitoring and evaluation function will influence the organisation's decision-making, learning and service delivery.*

In practical terms the above understanding means that monitoring and evaluation is intended to facilitate a clear sequence of activities based on critical reflection and managerial response to analysis of relationships between the application of inputs, the generation of service delivery outputs, their associated outcomes and impacts. The afore-mentioned process is illustrated in Figure 2.1 hereunder.

Figure 2.1: Monitoring and evaluation process flowchart (2007:8)



2.2.2 The value and use of performance monitoring

The logic of performance measurement according to Ammons et al (2008:4) is encapsulated in the following:

- Performance measurement provides vital information for management and oversight. Those with oversight responsibility should know what and how well the job is done;
- Performance measurement focusses attention on priorities and results. The progress towards achieving the predetermined objectives for programmes requires the focus and attention of those responsible for the programmes. Where required it prompts responsible managers to develop new strategies where there is under-performance;
- Performance measurement identifies successful strategies. Evidence of performance progress is indicative of successful strategies. Where there is performance decline or stagnation, strategies are not working and alternative service delivery approaches must be considered;
- Performance measurement enhances accountability. Public expenditure in respect of programmes must be accounted for to ensure effectiveness and efficiency.

If the above-mentioned principles are understood and accepted by those in authority and those responsible for public programmes, the resistance towards performance monitoring will diminish and the usefulness thereof will be embraced.

According to De Bruijn (2007:8) the functions of performance measurement are the following:

- Performance measurement creates transparency and enhances accountability;
- An organisation can use performance measurement to learn what it does well and where improvements are required;
- Objective performance appraisal by external parties can be given about the organisation where performance measurement has been implemented;
- Performance measurement can be followed by positive sanction where the performance was good and negative sanction where performance was inadequate;
- Performance measurement enhances intelligence in that it yields information that may be used to improve the service provision of the organisation.

Behn (2003:588) categorises the use for performance measurement to evaluate, control, budget, motivate, promote, celebrate, learn and improve. More specific applications, which should be construed as benefits of performance measurement, include:

- Performance reporting, both internal and external to and for the municipality, as a method of accountability for performance;
- Directing operations, to make adjustments where measured progress indicate patterns of efficiency;
- Testing new procedures or equipment, when comparing new measures with prior results or when applying pilot project results elsewhere in the organisation;
- Contract monitoring to ensure that obligations are met;
- Supporting planning and budgeting systems by providing objective information on the status of programmes;
- Programme evaluation, which includes the collection of the results from the initial performance measures and proceeds with the compiling of new measures that require more detailed analysis;
- Benchmarking, by comparing the organisation's results to professional standards or that of respected counterparts in local government.

Ammons et al (2008:5) concludes on the logic and uses of performance measurement that it is rare that organisational leaders simply report their performance. In fact, most leaders use performance measurement for more than one purpose, always as some form of accountability but also to improve in service delivery and public programmes.

Kok (2008:224) states that through monitoring and evaluation, which by definition includes performance measurement, we can:

- Review progress;
- Identify problems of planning and/or implementation;
- Make timely adjustments in order to improve service delivery.

Kok (2008:225), in addition to keeping track of progress, lists the following benefits of monitoring and evaluation:

- It helps to identify problems and their causes within projects and/or programmes;
- It suggests possible solutions to service delivery problems;

- It raises questions about assumptions and strategy;
- It forces one to reflect on where you're going with a programme and how you're getting there;
- It provides you with information and insight;
- It encourages you to act on the information and insight;
- It increases the likelihood that one will make a positive difference in the programme being assessed.

The value and application of monitoring and evaluation as per Kok (2008:224) is illustrated in Figure 2.2 hereunder.

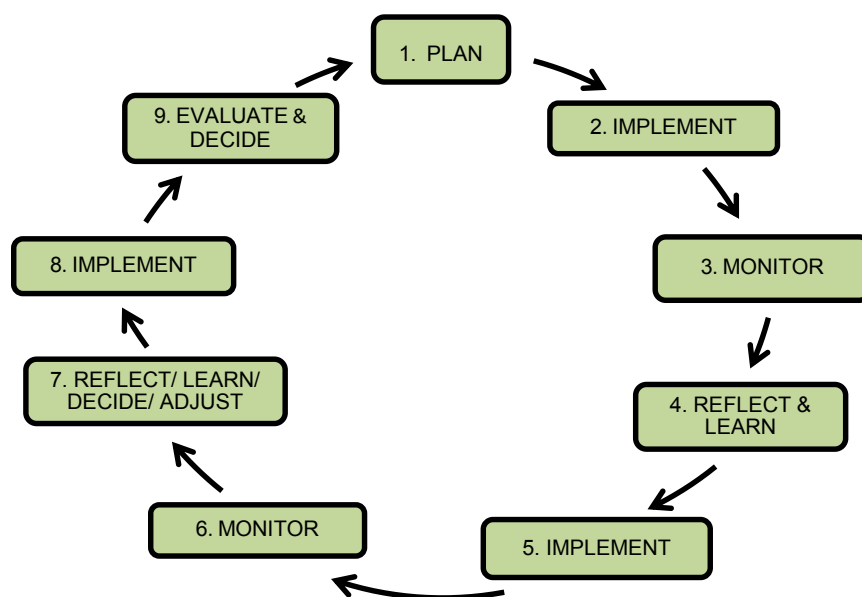


Figure 2.2: Kok's Monitoring and Evaluation Cycle:

Source: Kok, L. 2008 Practical Integrated Performance Management : Local Government Implementation (224)

2.3 THEORIES ABOUT AND EFFECTS OF PERFORMANCE MONITORING

Rogers (1999:64) states that Robert Eccles maintained in 1991 that there had been a measurement revolution in America and quotes the conclusion of the relevant Eccles' article, which states:

Finally, recognise that once begun, this is a revolution that never ends. We are not simply talking here about changing the basis of performance measurement from financial statistics to something else. We are talking about a new philosophy

of performance measurement that regards it as an ongoing, evolving process. And just in igniting the revolution will take special effort, so will maintaining its momentum and reaping rewards in the years ahead.

Even in the United Kingdom there had been some reference to the *revolution* in performance measurement, which, in the UK, was spearheaded by legislation and supported by a new breed of national and local politicians (Rogers, 1999:64) who became more target-orientated and insisted on results by government institutions. In essence the revolution in performance measurement encompassed the development of indicators and the setting of targets as tools for making government respond to political objectives in a way they had failed to do in the past.

According to Moynihan and Pandey (2010:851) the actual impact of performance measurement reforms is difficult to determine, save therefore that the use of performance information offers a more manageable measure of success.

2.3.1 Factors influencing performance measurement

Despite this positive development, Rogers (1999:65-70) and other commentators caution about certain broader issues around performance measurement that requires consideration. These issues are still relevant today despite major development and progress in performance measurement all around the globe.

According to Rogers (1999:65-66) like with many dynamic developments, the concept of performance measurement was and will continue to be confronted by different schools of thought. There is a group that see performance measurement as a political and managerial tool for directing and controlling the performance of policy but who are largely blind to its limitations and inconsistencies. For them the process of measurement is a logical and objective means to better government. They are the proponents of what gets measured gets done.

Moynihan and Pandey (2010:851-857) refer to internal and external factors that influence performance measurement.

The opposite group see only the problems and even dangers in any attempt to measure the performance of public services. They usually argue that all measurement is imperfect, incomplete, unreliable, lack validity and should be used with utmost caution. Measurement under such uncertainty will only distort the picture of performance.

Even Behn (2003:588) acknowledges that the public manager's real purpose with performance measurement is to improve performance and that any other purpose should be regarded as a sub-purpose that serves as means for achieving this ultimate purpose. The choice of how many sub-purposes is arbitrary and therein lies the danger. Public managers must be very careful in their selection of sub-purposes as it may create a distorted result of the measurement. Only by creating specific measures that are appropriate for each individual sub-purpose will an accurate and meaningful result of the measurement be achieved.

Both groups may have valid arguments and the solution probably lies in the development of quality meaningful indicators and measurable targets that are considerate and inclusive of contingencies.

A middle ground group support the implementation of performance measurement but recognises that it is an imperfect tool of management in the public sector. Performance, is multi-functional and complex and according to Jackson, Stewart and Walsh in Rogers (1999:66), is a slippery and elusive concept. Against such understanding it has to be understood that attempts to measure performance will be imperfect.

The factors that influence performance measurement discussed hereunder are by far not comprehensive and may differ from organisation to organisation, depending on the transparency, culture and appetite of the organisation for performance reporting.

2.3.1.1 Performance measurement and power

Stoney and Bellefontaine (2008:67) in Leading Performance Management identifies political interests, multiple stakeholders, competing values and conflicting objectives as some of the barriers to effective performance management and evaluation of programmes in the public sector. If performance information is misconstrued or

selectively interpreted, it could be used as a tool to either gain and maintain institutional or political power.

Rogers (1999:66-67) further argues that performance measurement can become a dangerous weapon between public sector managers and professionals, between councillors and officials, between politicians of the different spheres of government, between local authorities and government departments perhaps most crucially, between government institutions and communities. All contracts (internal and external) have now become subject to monitoring and evaluation and the use of performance indicators have subsequently proliferated. There is an increasing tendency of politicians to announce quantitative targets for new policy initiatives. Despite this tendency public sector managers retain considerable power in determining how the performance of their services is measured, which suggests that it is necessary to move beyond the managerial model of performance measurement. In this regard Chapter 5 of this study emphasises the importance of measurable performance targets and rational indicators. The measurement of senior management performance in South African local government is totally reliant on the quality of the performance targets and indicators.

2.3.1.2 More or less performance measurement

Ammons et al (2008:3) argues that it serves no purpose to do a single measure but rather a comprehensive set of measures, which is referred to as the metrics in the private sector. A good set of measures will provide a more complete picture of an organisation's performance.

Ammons et al further states that in order for the purposes of performance measurement to be achieved, the set of measures (metrics) must be multi-dimensional. It must not only focus on the quantity of services provided by a department or programme, but it must also measure the quality of services, the efficiency with which services are provided, and the extent to which objectives are being met. It is therefore important that municipalities develop comprehensive sets of multidimensional performance measures as opposed to focussing only on output (workload) measures.

According to De Bruijn (2007:19-20) creaming or cherry-picking is where organisations raise their performance by optimizing their input. Generally the selection criterion for input is that it demands the lowest possible process to obtain the desired output. An organisation needs less effort to achieve an output if it manipulates the quality or quantity of the input and in so doing, does it at the expense of the organisation's ambitions.

Rogers (1999:67-68) argues that if it is accepted that main purpose of measuring performance is to highlight those aspects of performance that are of importance to managers, politicians or the public, then a very limited number of performance indicators is needed in order to ensure that each one is suitably prominent. On the other hand, if it is accepted that local authority performance is a complex multi-dimensional concept, then a very large number of indicators is needed to obtain a complete picture of performance. The paradox this creates is that albeit that the greater the selectivity of indicators the greater the focus but, at the same time, the less likely it will be that the performance indicators reflect all the important dimensions of performance, which makes out a typical case of more does not equal better.

A possible solution to this paradox is to limit the number of performance targets in those areas where it is considered that performance needs to improve and to instead set performance standards for other significant dimensions of performance, thus reducing quantitative performance measurement and increasing qualitative measurement (Rogers.1999:68).

2.3.1.3 Targets and indicators

Castro (2011:1) holds the view that there is a large body of literature on performance management indicators in government. However, the said literature contains relatively few references to practical elements of successful government implementation of performance indicator systems. His view is that in government performance measurement it is important that the technical formulation of indicators takes cognizance of institutional arrangements, procedures for consultation and political validations well as the role of indicators in linking funding (budget) to results. The political validation of indicators are important to ensure that managers, who are responsible for achieving targets, are not undermined by poorly defined and

meaningless indicators that measure the results. It must also ensure that the validity of the indicators contribute to the achievement of the political objectives of the government institution. Castro (2011:6) also cautions that there is no perfect system of indicators for government institutions.

According to Castro (2011:2) each target should be accompanied by a performance indicator, which is a quantitative or qualitative expression of a program or policy that offers a consistent way to measure progress toward the stated targets and goals. He further argues that performance indicators, in order to be relevant, need to be of good quality.

Castro (2011:9) cautions that the developing of indicators and target systems is not simply a matter of compiling a comprehensive list of algorithms and benchmarks with a series of correspondent reference values. It follows strategic planning, important knowledge of the government's priorities and program base, intensive technical and operational work, and a significant understanding of the wide range of incentives, explicit or implicit, that can influence good or bad performance in government. Governments should, however, consider many issues before deciding to embark on a large-scale formulation of performance indicators, and even more so in the case of targets.

In this regard Rogers (1999:68) holds a slightly different view in that with the rapid development of performance measurement, the most dramatic shift has been in the use of individual measures of performance as targets rather than the use of indicators, which are used in the evaluation process. The potential power of targets is considerable in that they constitute public political and managerial promises of what will be achieved in future. Although indicators are theoretically important, they have less impact in practice, either because evaluation is not undertaken or because the indicators are not considered in the evaluation process. The increased use of quantitative targets is very important for public policy and management for three reasons:

- If it is used to as an attempt to change the balance of power between different stakeholder groups, targets can be used as control mechanisms and are even more powerful if they are used as part of a reward and punishment system.

- If it becomes more business orientated where results are more important than process, then public life becomes qualitative because it's what you do that counts and not the way you do it.
- If incorrect or limited targets are set and measured, extreme distortions of what is actually achieved may occur. Where performance measures are used as targets they must reflect, in a balanced way, the most important outcomes and effects of a policy.

Rogers is further of the view that targets are power instruments in that they focus organisational and individual thinking, effort and energy on their achievement. It tends to usurp or distract thinking, effort and energy from those things which are not expressed as targets. It is within this dilemma that lies both the power and the damage that can result from their use (Rogers.1999:68). Too few targets are likely to cause policy and service distortions while too many targets cause confusion, overload and lack of clear focus and direction. Whilst Rogers's assertion about targets may be valid, the argument of Castro, that indicators must be of good quality, is therefore even more important. After all targets are measured by indicators.

2.3.1.4 Poor or invalid performance reporting and validation of results

In the past local authority managers have made assertions to their elected councillors that the services they manage are economic, efficient and effective without providing evidence to such effect that could be subjected to testing. Without evidence councillors could accept or challenge such assertions with anecdotal evidence which did not give them the real performance situation of the organisation. In this context Rogers (1999:69) argues that by providing councillors with quantified and substantiated performance information the balance of power between manager and councillor begins to shift. The nature and extent of the performance information that was presented was the discretion of the manager whereas the changed situation now requires of such manager to get prior consensus with a councillor on targets and to submit evidence-based performance to the councillor during assessments. Whilst Rogers avers in this regard that it implies a shift in the balance of power between a senior manager and a councillor, the real effect is that it improves transparency, accountability and the overall quality of the performance measurement itself.

Atkinson (2007:69) in *State of the Nation: South Africa 2007* confirms this assertion with reference to various municipalities that provided performance information about themselves to the Development Bank of South Africa, which resulted in them being listed as runners-up in the prestigious Vuna Awards for South African municipalities. All these municipalities were evaluated according to a rigorous set of performance indicators based on unverified information given by the municipalities. Most of these municipalities were in fact unable to render the most basic municipal services to their respective communities, resulting in serious sustainability challenges and service delivery protests. It is therefore imperative that evidence of performance be submitted by senior managers in order for councillors to validate such performance.

2.3.1.5 Defining indicators before proceeding with measurement

In determining indicators organisations usually take a pragmatic approach. Organisations would look at what data they currently have and perhaps what data they could easily produce and develop indicators around such data. This approach often results in incomplete and confusing indicators. The alternative approach is to first identify the criteria that should be used to judge a policy or a service. This premise assumes that performance measures, targets or indicators are simply quantified expressions of performance that we wish to use. In this regard Rogers (1999:69) proposes a rational model process as follows:

- Establish the criteria of performance to be used.
- Identify different ways of measuring each criteria.
- Where more than one measure has been identified for each criteria, select the most important.
- Where a large number of measures have been identified for a policy or a service, select a limited number which are deemed to be the most significant and important but also ensuring that each criteria still has one measure related to it.
- Examine the existing data systems to establish whether it contains the data needed to construct the measures that were selected.
- If it is not possible to produce the measures that is needed with your existing data systems, improve, redesign or replace them with measures that will.

Despite Rogers (1999:70) referring to the above process as the purist approach to measurement perfection, he acknowledges that the process much rather creates the kind of information that organisations require to survive.

Castro (2011:7-8) refers to six success factors from lessons learnt in various government in defining performance indicators, which are as follows:

- There is no perfect system of indicators and indicators have practical limits on the degree that it can capture the precise picture of performance. Governments should utilise evaluations in support of indicators to enhance performance information;
- Governments must from the inception of its performance measurement system clearly define what for and how managers should use performance indicators;
- Complex performance indicators should be avoided and cognisance should be taken of performance needs of every organisation and the correct performance information should be used finalise indicators;
- Quality control measures for performance indicators must be developed and continuously reviewed to ensure that indicators produce credible performance information;
- Do not try to measure everything in government. Limit the number of indicators to a manageable size and rather focus on the quality of the developed and implemented indicators;
- Ensure that there is a clear differentiation between performance indicator- and target-setting systems. Indicators do not necessary require targets to be meaningful, especially when its focus is on quality management.

Rogers (1999:70) expresses concern about the inability in finding the most relevant and appropriate indicators, which has led managers into a search characterised by both randomness and inconsistency. This search is compounded by the tendency of some commentators to produce extensive lists of indicators such as Ammons' *Municipal Benchmarks* in the USA. Because these indicators are poorly explained the purpose thereof is not exactly clear and it must be assumed that it represents a menu from which municipal managers may randomly select measures for their particular use.

Both Rogers and Castro therefore emphasise the importance of rational performance indicator development. The importance of the quality of the performance information on which the development of the indicators is based, is critical to the effectiveness of

the indicator to produce credible measurements. Castro furthermore emphasises the continued review of indicators with a view to improving same. Both authors however stress the importance of setting criteria for the use of indicators first before performance indicators are actually developed. Rogers' purist approach to measurement perfection is to a large degree supported by Castro in his summary of the success factors of performance indicator development and review.

2.3.1.6 Indicators should never be developed and implemented without buy-in from managers

According to Rogers (1999:70) there is a notion amongst certain employees in local government that the development of performance indicators had the effect of reducing the totality of their expertise, skill, dedication, experience, energy and application (all the attributes by which they define the value of their work to themselves and their organisation) to a single number. Although it may be true that organisations have other mechanisms to value and reward staff, the experience of many staff with performance measurement was what counts is what is counted. If the performance indicator was an efficiency indicator, or a volume indicator, or a speed of response indicator, then in reality that was the criteria by which employees were being judged.

Moynihan and Pandey (2010:862) came to the conclusion that the use of performance information by government managers is more likely to be driven by altruism. It is therefore important that the intrinsic motivations of managers are not excluded with the development of indicators and that the necessary buy-in is secured before its implementation.

Castro (2011:7) in this context states that one of the factors required for successful performance measurement is that it must be clearly defined what for and how managers should use performance indicators. If indicators are forced onto managers, the chances are good that the performance measurement system will not be conducive to foster performance-driven behaviour. To assume that numbers, statistics, targets and indicators can merely be forced onto professionals responsible for performance measurement will undoubtedly be detrimental to the success of the said performance measurement process. De Waal and Nhemachena (2006:4) in this regard state that the absence of trust in an organisation is not conducive to change. If a

performance management system, the success of such implementation will be dependent on the trust relationship between management and employees. Trust helps employees understand the need for change in an organisation and that they can contribute towards the implementation of new performance measures.

De Bruijn (2007:29-31) furthermore suggests that the shaping of a performance measurement process requires special expertise, which is difficult to standardise. Organisations have to rely on their own employees' expertise who are reliant on institutional knowledge to develop and manage the process. Professional expertise and skills are difficult to transfer. It is therefore safe to deduce that the quality of performance measurement is to a large extent dependant on human behaviour and more specifically the skills levels, education and experience levels of the relevant professionals.

2.3.1.7 Performance measurement is unfair

From a rational perspective performance management should reward productivity. De Bruijn (2007:26-29) argues that the effect of performance measurement may also be that productivity is punished when everybody performs better and therefore receives financial sanction (more people share in the same size rewards budget and more gets done with less). De Bruijn refers to the perverse (negative) effects of performance measurement where it must be acknowledged that the performance measurement process within an organisation is complex and knowledge-intensive. It is therefore reasonable to argue that those organisations that use a poor system of performance measurement often treat professionals unfairly and invite opportunistic self-serving behaviour, which substantiates De Bruijn's argument that performance measurement may have perverse results.

Davila et al (2011:331) takes a slightly different view on why and when performance measurement becomes unfair. He refers to the economic approach to performance measurement, which centres around the controllability principle, i.e. that the weight assigned to an indicator reduces when the controllability of the measure applied increases. Fairness would require a supervisor to reduce the weighting of uncontrollable measurement factors and to increase the weight of indicators measuring the functions and activities with less dependencies over which the employee has more

control over. According to Davila et al performance measurement will in this context become unfair if the supervisor randomly changes the weight of indicators, for instance because the employee is achieving excellent results.

2.3.2 The negative effects of performance measurement

Gligorea (2014:2) alludes to negative side effects caused by unethical target-setting in the USA Department of Veterans Affairs, which led to target achievement and the payment of higher bonuses to staff. For purposes of this study emphasis will be placed on De Bruijn's (2007:17) summary of perverse (negative) effects emanating from performance measurement, which include the following:

2.3.2.1 Performance measurement is an incentive for strategic behaviour

Where performance measurement is linked to rewards, it encourages strategic behaviour from those business units that are being measured. In this context De Bruijn (2007:18-19) refers to a concept that is referred to as gaming the numbers, which he argues is a form of negative and manipulative strategic behaviour. Gaming the numbers occurs where professionals increase their output on matters of no real significance for the organisation albeit that the organisation's performance management system's criteria menu permits for such insignificant matters to be selected for measurement. The increased numbers look good on paper but have limited to no social or productivity value.

The negative strategic behaviour associated with gaming the numbers vary from innocent to fraudulent. With reference to the building of the much-beleaguered Ford Pinto within a very limited budget that cut safety requirements, Gligorea (2014:2) indicates the afore-mentioned as a good example of gaming the numbers. In cutting out the safety requirements, the completion of the car within budget was measured as being on target, only for it to cost the company vast amounts of money to have to comply with safety requirements at a later stage. The manufacturing workers received their manipulated production bonuses at the cost of serious reputational damage and the after the fact compliance cost to the company.

According to Bevan and Hood (2010:517) a cynical but real testimony of gaming the numbers prevailed for some 60 years in the Soviet Union of Russia where the communist czars combined a hanging-the-admirals approach with production targets for all state enterprises. The system was only aborted in 1991, allegedly because not enough admirals were hanged to counter the gaming that was produced by the ill-fated target system. Bevan and Hood (2010:518) cautions against governance by targets and performance indicators as it leads to gaming if targets are not measurable, indicators not well defined and performance evidence not verified. Governance by targets assumes that targets change the behaviour of individuals and organisations.

2.3.2.2 Performance measurement blocks innovation

If all things within an organisation function according to the positive effects of performance measurement, such organisation will optimise its production process towards efficiency, particularly if the performance measurement is linked to financial reward. De Bruijn (2007:19) argues that where rewards are at stake, the incentive is to think in terms of cash cows, which are targets that are easy to achieve and that will generate the maximum rewards. Thinking in cash cows terms is where innovation is deemed to negatively reflect on an organisation's output and the organisation sticks with what is really easy to produce. In such scenarios virtually no innovation is undertaken as the performance measurement rewards the constant reproduction of the existing practices.

2.3.2.3 Performance measurement blocks ambition

According to De Bruijn (2007:19-20) creaming or cherry-picking is where organisations raise their performance by optimizing their input. Generally the selection criterion for input is that it demands the lowest possible process to obtain the desired output. An organisation needs less effort to achieve an output if it manipulates the quality or quantity of the input and in so doing, does it at the expense of the organisation's ambitions.

2.3.2.4 Performance measurement veils actual performance

De Bruijn (2007:20-22) argues that performance measurement may veil an organisation's performance. According to De Bruijn, the higher the extent to which

information is aggregated, the more remote it is from the primary process where it was generated. His concern is that insight is may be lost into the causal connections between effort and performance that exist at the level of the primary process. Non-professional users of the performance information (managers, board members, ministers of parliament, councillors) see only the aggregated data and run the risk of making their on deductions and interpretations. Aggregated data tends to blur the insight between effort and performance at the level of the primary process that actually generates the results and which gives meaning to statistics. An output figure that produces a result on the level of the whole (macro) is always an average and therefore cannot simply be applied to the separate parts (micro). If conclusions are nevertheless construed on the basis of the aggregated data, or if macro-pictures are directly translated to the micro-level, the risk is that injustice will be done to performance. Anyone who asks for the reality behind the results or statistics or for the assumptions and aggregation rules used will draw suspicion and be accused of not wanting to face the facts. A measured performance can therefore have two meanings, which is the meaning of the professional doing the work or the meaning of external actors. If these meanings differ, the risk is that professionals may try to make the figures less ambiguous by *game-playing* in order to prevent wrong interpretations.

2.3.2.5 Performance measurement drives out the professional attitude: no quality, no system responsibility, more bureaucracy

Products and services are always a trade-off between numbers of values. Performance indicators primarily measure quantities and will therefore mainly be applied to measurable and clearly definable interests. For example for museums these will be the number of visitors as opposed to cultural and social value associated with the observation of art. De Bruijn (2007:22) cautions that this phenomenon poses a risk to the professional attitudes of museum staff if the museum concentrates too much on measureable tasks as opposed to value-based tasks. It further poses the risk that if the primary focus is on measurable results, the underlying system that produces the results stands to be overlooked and shortcuts will be taken to produce such results. De Bruin's (2007:23) opinion is that in such instance performance measurement may force out system responsibility, which all public sector organisation ought to have.

2.3.2.6 Performance measurement leads to copying, not learning

De Bruijn (2007:24) acknowledges that one of the primary advantages of performance measurement is that it brings about a learning process. The availability of output figures allows comparisons between different organisations, which are usually referred to as bench-marking. In the ordinary sense of its meaning bench-marking means that the standards set by organisations serves as examples to other organisations. However, the danger of bench-marking is that it may degenerate into silly copying under the auspices of transplanting best practices. It is never exactly clear what is the best practice that has to be imitated. De Bruijn (2007:25) lists the following as problematic in relation to the transplanting of best practices:

- Reduction of complexity
The circumstances, culture and systems within the recipient organisation may be different to the organisations that were responsible for the benchmarking. The complexity of the recipient organisation may be ignored and reduced in the interpretation of measurement results.
- Rationalisation of success
There are always additional or alternative explanations for results. A particular business unit within an organisation may be disastrous in terms of service delivery but overall the results indicate that the organisation is successful. The reality may be that the disastrous unit within the organisation is managed with all sorts of makeshift measures but that the organisation as a whole is portrayed as successful.
- Poor copy of reality
Sometimes it is doubtful whether a recipient organisation is able to copy a best practice. If the best practice is not clearly understood in its entirety by the recipient organisation, the copying thereof will be poor and deficient.
- Success is not always transplantable
The transfer and acceptance of a best practice from one organisation to another is not as straight-forward as it may seem in theory. An important factor of a successful transplant of a best practice would be similarity of organisational structure, in other words, to have more or less the same number and quality of employees within the recipient organisation as was the case within the bench-marking organisation.

2.3.3 The measurement trap

Marr (2006:7) argues that it is common reality that often certain organisations have way too many metrics that are being monitored, to such extent that no one really understands why they are collected and agree that the measures that are used are not measuring what they are supposed to measure or what really matters in the interest of the organisation. He continues by stating that organisations have become obsessed with measuring everything that walks and moves. In such cases measurement has become an administrative burden where a lot of time is spent on data collection and reporting, whilst we know that such is of very little strategic value.

Marr is furthermore of the view that many organisations resort to measuring everything that is easy to measure (efficiency matters) without really assessing whether their assumptions and decisions in relation to service delivery programmes were correct. A perfect example is the metric used by most local authorities, which is the call centre. It is easy to measure the number of calls received because the telephonic system automatically produces such data. What is not so easy to measure is the number of complaints resolved. The number of calls that goes through a call centre can be fictitiously increased as a result of referrals or mid-discussion terminations of calls, which necessitates a new call on such occurrence. Marr's argument above certainly aligns with De Bruijn's theory that measuring for the sake of measurement generates negative strategic behaviour by professionals.

According to Marr (2006:8) a further example of inadequate measuring is that of measuring human intelligence. Human behaviourists would normally use what is referred to as the IQ test (intelligence quotient) to measure human intelligence.

The question in this context is what intelligence is and what do IQ scores actually measure? It is generally accepted that IQ scores mainly represents one's analytical and mathematical reasoning. Studies at Harvard University however, have shown that there are eight different forms of intelligence, of which IQ is but a small subset. The other forms of intelligence are:

- Linguistic intelligence (word smart);
- Logical-mathematical intelligence (number/reasoning smart);
- Interpersonal intelligence (people smart);

- Bodily/kinaesthetic intelligence (body smart);
- Spatial intelligence (picture smart);
- Musical intelligence (music smart);
- Naturalist intelligence (nature smart); and
- Intrapersonal intelligence (self smart).

The above implies that someone with great emotional intelligence can connect with people and become a good leader, someone with great musical ability can become composers or good musicians and someone with great hand-eye coordination and awareness of space may become a good sportsman. All these people would not necessarily score high on IQ, since IQ would only measure their linguistic and logical-mathematical skills. With the afore-mentioned examples Marr illustrates that measures cannot capture the entire truth when it deals with multiple intangibles. What measurement can do, is to indicate the level of performance.

According to Marr organisations fall into the measurement trap when they don't link their indicators to the strategy of the organisation and when they attempt to quantify the unquantifiable or everything that is easy to measure without focussing on the relevant and meaningful indicators in order to use them for strategic decision-making or learning.

2.4 PERFORMANCE MONITORING IN THE CONTEXT OF THIS STUDY

2.4.1 Meeting normative criteria

This study will endeavour to assess the extent to which the mayoral dashboard system meets with the criteria set by the researchers referred to in this study for performance measurement or not, that is whether it meets or is aligned with the following:

- Kok's (2007:222) explanation of measurement, which he defined as the act or instance of measuring, determination, estimation, calculation, computation or determining quantum by measuring dimension, extent, size, area, volume, capacity, weight, elapsed time, period or distance;
- Kok's (2007:223) explanation of evaluation, which he defined as the task of appraisal, valuation, assessment, judgment, rating and ranking. Evaluation in the

context of performance measurement, refers to the comparison of the impact of projects against a strategic plan;

- Marr's (2006:16) concern as to whether everyone in the organisation (particularly senior management) understands the strategic context of the organisation and therefore ensure that the strategic assumptions included in the mayoral dashboard are challenged or confirmed;
- To establish whether or not the mayoral dashboard is but another performance management system as argued by Ammons et al (2008:xiii).

2.4.2 Positive aspects of performance monitoring that may be considered as measurement criteria

Performance measurement is critical for steering the organisation on a successful path. The correct measurement portfolio (right combination of indicators and targets) will provide the necessary indication regarding the status of performance and enable to spot areas that needs attention. The general saying in performance management terms of what gets measured gets done is very appropriate in public organisations. The quest for an ideal monitoring and evaluation system remains a challenge, especially in view thereof that there is no exact model or system that fits all municipalities.

The ongoing challenge remains that there is a lack of understanding of performance management and that resulted in too much insignificant performance measurement. The latter will only be addressed if the most suitable performance management procedure with the minimum criteria is followed that applies to that particular organisation.

There is also the challenge to provide a high level performance picture in order to support rapid decision-making without having to analyse detail. This kind of measurement is often subjective and is open to manipulation and causes or results in the gaming of the numbers to ensure that the decision-makers hear what is good within the organisation but which is really insignificant in terms of its service delivery and satisfying its stakeholders.

2.4.3 Matters of caution in respect of performance measurement

Despite the positive aspects pertaining to performance measurement, this research refers to numerous negative aspects of performance measurement. By its very nature institutional performance requires positive output by the participants within the performance management system because the results generated from performance measurement may have either rewarding or punitive consequences. It is generally accepted that the majority employees in any given organisation understand the implicit contractual obligation of their employment contracts, that is to render their best services to the employer, failing which the employer shall have the right to institute remedial action both in respect of the employee or the control environment within which the employee works. The fear of reprisal from the employer's side in response to poor performance by the reasonable employee is real and should not be underestimated and has in the past affected employees negatively, which resulted in irrational and unpredictable behaviour by affected employees. In this regard it is again worth noting De Bruijn's (2007:17) reference to the perverse effects of performance measurement. In summary some of these negative effects are:

- Performance measurement is an incentive for strategic behaviour by gaming the numbers;
- Performance measurement blocks innovation by focussing on the cash cows;
- Performance measurement blocks ambition by creaming or cherry-picking;
- Performance measurement veils actual performance where managers see and interpret only high level aggregated data;
- Performance measurement drives out the professional attitude: no quality, no system responsibility, more bureaucracy – it's all about numbers;
- Performance measurement leads to copying, not learning – transplanting best practices is often just a silly copying exercise;
- Performance measurement leads to punishment of performance;
- Everybody performs better and therefore receives financial sanction if the incentive budget to be divided remains the same;
- Performance measurement is poor and unfair.

A further matter of caution hinges around the measurement trap, which refers to organisations that become obsessed with measuring everything that walks and moves. In such cases measurement has become an administrative burden where a lot of time

is spent on data collection and reporting, whilst we know that the bulk of what is being gathered is of very little strategic value. The research highlighted a particular example of inappropriate measuring, which is the so-called measuring of human intelligence, the so-called IQ tests (intelligence quotient).

Whilst it is generally accepted that IQ scores mainly represents one's analytical and mathematical reasoning, studies at Harvard University have shown that there are eight different forms of intelligence. The above examples confirms that measures, unless specifically qualified, cannot capture the entire truth when it deals with multiple intangibles. What measurement can do, is to indicate the level of performance.

It must accordingly be understood that performance measuring ought to measure performance and not all sorts of other non-quantifiable matters such as IQs and value-systems. In there lies its limitation in the it measures numbers.

2.5 SUMMARY

The literature study in this chapter explained the normative approach to performance measurement. It furthermore confirmed the complexity of performance measurement and that a one size fits all approach is impractical. It also suggests that most organisations find it very difficult to determine a comprehensive set of criteria to include in its measurement model and therefore most models merely produce results or aggregated data, which if not assessed with the necessary qualification of the results or data, may be interpreted incorrectly to the detriment of the organisation and with punitive results to top management. The literature study also confirms an important fact, that is that performance measurement as a management tool is limited in that it measures numbers.

The next chapter will undertake a study of the statutory regime that governs performance measurement in the South African local government environment. The aim is to produce a conclusive statutory framework for performance measurement in South African municipalities and to highlight the statutory responsibilities of executive mayors in this regard. Indication will also be given of the statutory determinations that influenced the development of a mayoral dashboard performance measurement system.

CHAPTER 3

PERFORMANCE MONITORING IN THE SOUTH AFRICAN LOCAL GOVERNMENT CONTEXT

3.1 INTRODUCTION

In this chapter the focus will be on the complex nature of the South African municipal statutory regime in relation to performance management in municipalities and the role of the executive mayor in this regard. The views stated in this chapter, save for those that are acknowledged by referencing or statutory by nature, are those of the researcher, who has extensive local government practitioner and senior managerial experience. The researcher is also the developer of the mayoral dashboard system of the City of Cape Town.

3.2 THE NEW LOCAL GOVERNMENT DISPENSATION POST 1994

Venter et al (2007:110) explains that after the transition to democracy in South Africa in 1994, the immediate emphasis was on policy development. This phase was later followed by an implementation phase of the developed policies. As the new democratic local government dispensation developed, it became crucial that the monitoring and evaluation of the implementation of these policies be undertaken, which resulted in the further development of performance management science in local government.

A further emphasis of the new democratic municipal dispensation is that it subscribed to the philosophy of developmental local government, which meant that municipalities have an obligation to render its services in collaboration with the local communities they serve. In this regard the preamble to the Local Government: Municipal Systems Act, 32 of 2000, (Systems Act) among other states the following:

- *Whereas there is a need to set out the core principles, mechanisms and processes that give meaning to developmental local government and to empower municipalities to move progressively towards the social and economic upliftment of communities and the provision of basic services to all our people, and specifically the poor and the disadvantaged;*

- *Whereas a fundamental aspect of the new local government system is the active engagement of communities in the affairs of municipalities of which they are an integral part, and in particular in planning, service delivery and performance management;*
- *Whereas the new system of local government requires an efficient, effective and transparent local public administration that conforms to constitutional principles;*
- *Whereas there is a need to ensure financially and economically viable municipalities;*
- *Whereas there is a need to create a more harmonious relationship between municipal councils, municipal administrations and the local communities through the acknowledgement of reciprocal rights and duties.*

In trying to understand the intent of the legislature in regard to developmental local government as determined in the Systems Act, reference is made to the core principles, mechanisms and processes that will utilise community resources (rates, taxes and levies paid by consumers of municipal goods and services) efficiently, effectively and transparently. Gone were the days where municipalities had absolute discretion in respect of the application and use of resources because a new and fundamental aspect of the new local government system is the active engagement of communities in the affairs of municipalities of which they are an integral part, and in particular in planning, service delivery and performance management. Of importance for purposes of this study is the emphasis on performance management.

In accordance with Section 16 of the Systems Act stakeholders are to be engaged in the finalisation of the municipality's strategic plan, which is the Integrated Development Plan (IDP) and which was completely strange to any local government practitioner at the time. The new statutory dispensation furthermore determined in terms of section 42 of the Systems Act, and more detailed in section 15 of the Local Government: Municipal Planning and Performance Management Regulations, GN 796 of 24 August 2001, communities must also be involved in the development, implementation and review of the municipality's performance management system. The statute very specifically determines that communities were also to participate in the setting of appropriate key performance indicators and performance targets for the municipality.

The concerns that followed from within the ranks of the largely inherited local government administrations to afore-mentioned statutory determination were obvious during the local government transition phase largely because the skills set required to adapt to this new developmental approach differed dramatically from traditional approaches to management and even more so in relation to performance measurement. No longer was the focus on individual professionals only but the organisation in its entirety was being assessed, a practice that was prior to the post 1994 dispensation associated with the private sector and which is generally referred to as the so-called bottom line (of the balance sheet) approach.

The question arose as to how was it conceivable that communities were be allowed to be involved with complex issues such as the setting of appropriate key performance indicators and performance targets for a municipality were questions asked at time? What followed and what is now law is that the Constitutional Court of South Africa in the judgments *Doctors for Life International v Speaker of the National Assembly and Others* (CCT12/05) [2006] ZACC 11; 2006 (12) BCLR 1399 (CC); 2006 (6) SA 416 (CC) (17 August 2006) and *Matatiele Municipality and Others v President of the Republic of South Africa and Others* (1) (CCT73/05) [2006] ZACC 2; 2006 (5) BCLR 622 (CC); 2006 (5) SA 47 (CC) (27 February 2006), expressed itself very strongly against public bodies that fail to consult communities on matters affecting their rights and well-being. The afore-mentioned Constitutional Court rulings have no doubt contributed to diminish resistance that there may have been against public participation. Consequently public participation in most important municipal matters affecting the external environment of municipalities is now standard practice.

To add to the complexity of anew local government environment, an additional new statutory requirement was the introduction of Service Delivery Budget Implementation Plans (SDBIPs) as defined in the Local Government: Municipal Finance Management Act, 56 of 2003, (the MFMA). In terms of section 53(1)(c)(ii) of the MFMA the executive mayor must approve the SDBIPs within twenty eight (28) days after the council approves the municipality's annual budget. The SDBIPs and the performance plans of the municipal manager and the managers reporting to the municipal manager form an integral part of what will eventually be measured by the mayoral performance management system.

If the SDBIPs and performance plans of the municipal manager and managers reporting to the municipal manager are superficial and irrelevant to the approved budget and completed merely for compliance purposes, such municipality has a situation of what De Bruijn (2007:20-22) refers to as the veiling of the performance of the municipality as a result of cash cowing, creaming or cherry-picking and gaming of the numbers (De Bruijn.2007:19-20). It is therefore essential that SDBIPs represent a true reflection of how management envisages spending the approved budget of the municipality. In other words, if SDBIPs are completed without the detailed prior planning required, it will be reduced to a useless instrument that will tell the organisation nothing about its performance.

The most complex part of the SDBIPs remains the setting of meaningful performance indicators. The National Treasury discussion document on the Guidelines for Framing Performance Indicators for Metros in South Africa (2013:8) acknowledged that all metros already measure their performance in delivering services, infrastructure and housing through extensive existing indicators. Most metros do this as part of their established internal performance management and monitoring functions, which themselves have been rapidly evolving and improving. These systems are based in a legislatively mandated set of instruments, including Integrated Development Plans (IDPs), Medium Term Revenue and Expenditure Frameworks (MTREFs), and Service Delivery and Budget Implementation Plans (SDBIPs).

The key point is that new priorities are emerging that require an inter-governmental response. National, provincial or local government cannot achieve transformation on their own. A system of indicators can assist the process by defining essential features of the current situation, clarifying the goals and objectives of spatial transformation, specifying the actions required of key organisations to achieve them, measuring trends over time, and recognising and rewarding progress. The goal of urban integration requires a new, more outcomes-focused approach to the definition and measurement of indicators. The National Treasury is seeking to establish a more comprehensive set of indicators that are of general applicability and that will help the task of bringing about more efficient, inclusive and resilient cities through the concerted efforts of different spheres of government and other stakeholders, led by the metros.

More systematic monitoring and evaluation of the performance of the metros in relation to urban integration and spatial and sustainable built environment transformation is critical to all partners in the City Support Programme (CSP). According to Turok et al in National Treasury's Guideline for Framing Performance Indicators for Metros in South Africa (2014:5) the CSP was announced by national government in 2012 and seeks to accelerate the process of spatial transformation in South African cities and towns by influencing where and how public funds are invested in the urban environment in order to promote more functional, productive, inclusive and sustainable cities. It seeks to coordinate funding programmes, to link these to national regulatory reforms in the built environment, and to support enhanced capacity in the metros themselves. The CSP has four components: Core City Governance Implementation Support; Human Settlements Support; Public Transport Support; and Climate Resilience and Sustainability Support. All CSP components work with the metros to identify the relevant performance indicators through which to set priorities and measure progress towards achieving a more compact urban form and built environment which results in more efficient use of resources.

Continuous feedback and learning from the indicators of performance will help them to refine their interventions and tools over time. It will also reward good performance. In Framing Performance Indicators (2014:11) there are three fundamental reasons offered why municipalities need a refined performance management system with appropriate indicators:

- To provide accountability: This can mean public accountability between government and citizens, or internal accountability between spheres of government, or between department heads and elected politicians, or between senior managers and other officials. Monitoring the detailed allocation and effects of public spending is a crucial feature of transparency in a democratic system;
- To improve planning and performance: This means improving the policies, programmes and processes used to provide services, including their quality, quantity and value-for-money. Devising suitable indicators can assist in spelling out some of the tasks involved in achieving spatial change and a sustainable built environment (the process of how to design and configure urban restructuring), as well as in identifying what changes and outcomes are desired, and measuring success in due course. Where performance is inadequate, the question of how the functions are implemented can be addressed, including issues of authority,

supervision and quality control. Where there are gaps in implementation (either through lack of skills, personnel or appropriate operational systems) capacity support plans can be put in place;

- To help determine spending priorities: A results-based budgeting approach connects resource allocation to specific, measurable results. Evidence of the impact and effectiveness of public investment can provide vital information to influence and amend strategic priorities. Budget procedures and decisions should be influenced by the impact of previous spending in order to provide feedback and close the loop. The MFMA specifically requires municipalities to consider the future operational costs and revenues of planned projects before approving them.

3.3 PERFORMANCE MONITORING IN SOUTH AFRICAN LOCAL GOVERNMENT

It is repeatedly stated in this study that the new democratic South African local government legislation regime is comprehensive and elaborate to the extent which makes performance monitoring and reporting peremptory. Performance monitoring is intended to constantly monitor performance of municipalities in fulfilling their developmental and service delivery mandate. If developed and implemented properly performance monitoring can become a powerful tool for building a high performance municipality and bridging the gap between planning and implementation.

Craythorne (2006:120) states that performance management is most commonly thought of as a technique applied to the performance of staff, which is to a certain extent still the understanding in certain municipalities. While that may be true, performance management remains a powerful tool that can be applied to the performance of an organisation and thereby indirectly to the political figures who are responsible for that organisation. This statement by Craythorne requires further attention in that the primary focus of performance measurement in municipalities appears to be on the administrations of municipalities and in the case of the City of Cape Town, the senior management. The point that performance measurement measures numbers and produces numerical or statistical results is repeated in the context of Craythorne's statement that there should also be performance measurement of political figures in local government. If not, a situation of master and slave may well be at the order of the day where the politicians, under the auspices of

political oversight, lambasts senior management irrespective of whether the performance measurement is a comprehensive assessment or not. In such scenario performance measurement can easily be misused by political masters to lynch the administration for performance failures without accepting accountability themselves.

On the negative side the current local government performance management statutory regime lends itself to manipulation in that management can merely go through the motions and deliver an SDBIP with easily measurable indicators and even more achievable targets, which ties in with De Bruijn's (2007:19) claim of negative strategic behaviour and gaming of the numbers. The SDBIP is acceptable in the assessment of the adjudicators yet same is non-compliant with legislation. In this regard it is well worth noting that the completion of the annual SDBIPs, which have a clearly defined statutory format, requires detailed prior planning before completed. The general practice from first-hand experience in the City of Cape Town with the finalisation of the SDBIPs however, is that it is often reduced to a cut and paste exercise from year to year just to get the SDBIP submitted to the executive mayor within the statutory determined fourteen (14) days after the approval of the council's annual budget. The executive mayor in turn must approve the SDBIP within fourteen (14) days after receipt thereof from the city manager in order to comply with the statutory period of twenty eight (28) days period after approval of the council's annual budget within which the SDBIP must be approved as depicted in Section 53 of the MFMA (2003:72). This is often tantamount to process over substance. The need for proper SDBIP planning prior to the finalisation and approval of the council's annual budget cannot be emphasised enough and the inclusion of project plans and detailed cash flow forecasts are essential to make SDBIPs meaningful.

Venter et al (2007:111) continues to describe performance management as a multidimensional construct, the measurement of which varies depending on a variety of actors that compromise it. It is the outcome of work because it provides the strongest linkage to the strategic goals of the institution, customer satisfaction and economic contributions. It was therefore also recognised in the South African public sector that performance management assisted government to determine what policies and processes work and why they work. An effective performance management system provides meaningful information to assist stakeholders that may be utilised for improvements in the service delivery processes.

Performance management, as an instrument for good governance, must ensure that it reaches the local sphere's developmental objectives. Chapter 7 of the Constitution of the Republic of South Africa, 1996, deals with the local sphere of government and lists the objectives and developmental duties of municipalities. Section 152(1)(a) specifically speaks to good corporate citizenship, that is to provide democratic and accountable government for local communities. According to the Institute of Performance Management (2012) good corporate citizenship is all about how the municipalities set their priorities through the performance management system as per the IDP, conduct their business as per the SDBIP and relate to the community they serve through community input and public participation. This developmental approach to public service delivery is enshrined in the Batho Pele Principles (2008) to ensure better services are delivered to the communities they serve.

The Policy Framework for the Government Wide Monitoring and Evaluation (GWM&E) System, published in 2007 by the Presidency, also emphasised the importance of monitoring and evaluation in realising a more effective government. The GWM&E identifies the National Treasury as the lead institution responsible for programme PI. This is in line with its statutory authority for performance information and responsibility for prescribing measures to ensure transparency and expenditure control in each sphere of government as outlined in sections 215 and 216 the Constitution. In 2007 the National Treasury issued the Framework for Managing Programme Performance Information (FMPPI). The aims of the FMPPI are to:

- Define roles and responsibilities for performance information;
- Promote accountability to national parliament, provincial legislatures and municipal councils and the public through timely, accessible and accurate publication of performance information;
- Clarify standards for performance information, supporting regular audits of non-financial information where appropriate; and
- Improve the structures, systems and processes required to manage performance information.

The document outlines key concepts in the design and implementation of management systems to define, collect, report and utilise PI in the public sector. Sound governance in the local government context can also be referred to as an integrated performance management system that regularly conducts planning, measuring, budgeting,

implementing, monitoring, assessing, reporting, evaluating and reviewing in a systematic way to ensure sustainable methods of meeting governance requirements, legislative compliance and community needs and demands. The measurement instruments in the City of Cape Town used for these purposes are the corporate scorecard, the organisational performance management system, the individual performance management system, the SDBIP and the individual performance plans of the city manager and the senior managers reporting to the city manager.

Ultimately, for the sake of certainty and consistency, legislation, policies and guidelines form the basis for local government performance management and the following acts and policies have the most impact on the performance of South African municipalities:

- The Constitution of the Republic of South Africa, 1996;
- The White Paper on Transforming Public Service Delivery, 1997;
- The White Paper on Local Government, 9 March 1998;
- The Local Government: Municipal Structures Act, Act 117 of 1998 (Structures Act);
- The Local Government: Municipal Systems Act, Act 32 of 2000 (Systems Act);
- The Local Government: Municipal Finance Management Act, Act 56 of 2003 (MFMA);
- The Local Government: Municipal Planning and Performance Management Regulations, 2001. Published under Government Notice R796 in Government Gazette 22605, dated 24 August 2001.
- Local Government: Municipal Performance Regulations for Municipal managers and Managers directly accountable to Municipal Managers, 2006. Published under Government Notice R805 in Government Gazette 29089, dated 1 August 2006;
- The Local Government: Municipal Finance Management Act: Municipal Budget and Reporting Regulations, 2009. Published under Government Notice 393 in Government Gazette 32141 dated 17 April 2009;
- National Treasury: Framework for Managing Programme Performance Information;
- Department of Finance MFMA Circulars and Guidelines (NT);
- Circulars from the Department of Co-operative Government and Traditional Affairs (COGTA).

A more detailed summary of all the local government performance management related legislation is attached as Annexure A. The more important legislation and guidelines are alluded to hereunder.

3.3.1 The Constitution of the Republic of South Africa, 1996 (Constitution)

The 1996 Constitution, which is also the supreme law of the country, gave municipalities the status of a third sphere of government. Chapter 7 of the Constitution deals with local government matters and provides for the establishment of different kinds of municipalities, the powers and functions to be executed by such municipalities as well as the effective performance of such functions. The constitutional mandate in respect of powers and functions of local government is enacted in Schedules 4(b) and 5(b) of the Constitution (1996:144-147), whilst any other matter appearing in Schedules 4(a) and 5(a) may be assigned to local government by the national or provincial government, depending with whom the authority vests.

Section 152 of the Constitution determines the objectives or aims of a municipality and guides each municipality in all its activities, including its planning and service delivery process. More specifically it states that the objectives of local government are to (1996:89):

- (a) to provide democratic and accountable government for local communities;*
- (b) to ensure the provision of services to communities in a sustainable manner;*
- (c) to promote social and economic development;*
- (d) to promote a safe and healthy environment; and*
- (e) to encourage the involvement of communities and community organisations in the matters of local government.*

It is generally accepted that reference to accountable government in the Constitution implies monitoring and reporting. Section 155 of the Constitution provides for provincial government to establish municipalities and to monitor local government with a view to supporting them to discharge their statutory obligations.

3.3.2 The White Paper on Transforming Public Service Delivery, Published in General Notice 1459 on 1 October 1997

According to the White Paper on Transforming Public Service Delivery the purpose of this White Paper (1997:11) was to provide a policy framework and a practical implementation strategy for the transformation of public service delivery. This White Paper is primarily about how public services are provided, and specifically about improving the efficiency and effectiveness of the way in which services are delivered. It is not about what services are to be provided - their volume, level and quality. However, decisions about what should be delivered will be improved as a result of the Batho Pele approach, for example through systematic consultation with users of services, and by information about whether standards of service are being met in practice.

The White Paper, in paragraph 1.2.2 (1997:10), further reaffirmed the constitutional determinations and principles that public administration should adhere to, including that:

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

Whereas the focus of this White Paper was more customer centric, it also addressed the way in which the new public service had to approach the utilisation of scarce resources with a focus on efficiency and effectiveness in an accountable manner.

3.3.3 The White Paper on Local Government, 9 March 1998

The White Paper on Local Government formed the policy framework on which ensuing local government legislation was based upon. Paragraph 3.2 of Section B of the White Paper on Local Government (1998:33) deals with the aspect of integrated development planning, budgeting and performance management in municipalities. It specifically

states that these *are powerful tools which can assist municipalities to develop an integrated perspective on development in their area*. It acknowledged that *performance management is critical to ensure that plans are being implemented, that they are having the desired development impact, and that resources are being used efficiently*. In stating the importance of performance management upfront, the intention of the legislature was clear that it valued performance management sufficiently to incorporate the necessity for such to the extent to make it a peremptory requirement in local government law.

In paragraph 3 of Section H of the White Paper (1998:98) the policy framework stated that part of the local government process should include the development of performance management systems. These systems were being developed in partnership with local government and will have the following aims:

- To enable realistic planning;
- To allow municipalities to assess the impact of their administrative reorganisation processes and development strategies; and
- To enhance local government accountability.

As stated earlier in this study, the challenge to develop the ideal performance management system for local government requires ongoing research into finding the right indicators (De Bruijn. 2007:7) and the system under scrutiny in this study is offered as a limited solution to the much wider complex issue of performance management in local government. There are numerous performance measurement systems available but in local government any system implemented will be as good or as bad as the quality of the municipality's SDBIP.

3.3.4 The Local Government: Municipal Structures Act, No 117 of 1998 (the Structures Act)

The Structures Act provides for the establishment of municipalities in accordance with the requirements relating to categories and types of municipality, to establish criteria for determining the category of municipality to be established in an area, to define the types of municipality that may be established within each category, to provide for an appropriate division of functions and powers between categories of municipality, to

regulate the internal systems, structures and office-bearers of municipalities to provide for appropriate electoral systems. The Structures Act also determines the obligation of municipalities to achieve the objects set in section 152 of the Constitution.

Section 56 of the act deals with the powers and functions of an executive mayor. The specific determinations are highlighted in Annexure A hereto.

3.3.5 The Local Government: Municipal Systems Act, No 32 of 2000 (The Systems Act)

The Systems Act provides for the core principles, mechanisms and processes that are necessary to enable municipalities to move progressively towards the social and economic upliftment of local communities and to ensure universal access to essential services that are affordable to all. It is important to note that it establishes an understandable and enabling framework for the core processes of planning, performance management, resource mobilisation and organisational change which underpin the notion of developmental local government. As an extension to the Municipal Structures Act, the Systems Act gives very specific attention to performance management. The entire chapter 6 (2000:56-60) is devoted to performance management which indicates the priority and focus on local government accountability for service delivery.

Section 38 of the Systems Act is peremptory in that it determines that a municipality must establish a performance management system and promote a culture of performance management among its political structures, political office bearers and councillors and in its administration.

Chapter 6 of the Systems Act also directs municipalities to incorporate and report on a set of general indicators prescribed nationally by the Minister for Co-operative Government and Traditional Affairs and to involve the community in setting indicators and targets and reviewing municipal performance. Municipalities are furthermore obliged to have their annual performance report audited by the Auditor-General and to publish an annual report on performance.

It is important to note that performance management in this context does not refer to the performance management of employees. While the two are related and the act requires that the city manager and senior officials reporting to the city manager are appointed subject to the concluding of performance contract within ninety (90) calendar days after assumption of duty, there is no legal requirement that a municipality should have an individual performance management system for its employees. Whilst section 38(b) of the Systems Act does refer to the promotion of a culture of performance management within the administration, performance management in referred to in Chapter 6 of the Systems Act implies the management of performance of the municipality as a whole and speaks to what is referred to in the City of Cape Town as the Corporate Scorecard.

3.3.6 Local Government: Municipal Finance Management Act, No 56 of 2003 (the MFMA)

The MFMA is very important legislation in relation to performance management as it establishes a strict framework for the financial performance management of municipalities and other institutions in the local sphere of government. It provides norms and standards for performance measurement and reporting and provides for action against responsible persons for non-compliance.

The MFMA's requirements in relation to performance management starts with the budgeting process as the annual budget is one of the most important management tools of any municipality. Section 17(3) of the MFMA starts off the whole process by requiring the setting of measurable performance objectives in the early stages of the budgeting process. While the other legislation prescribes the procedures and requirements for a performance management system, the MFMA focuses heavily on reporting on financial issues and performance with guidelines in respect of roles and responsibilities of the mayor, the accounting officer other senior officials of the municipality.

Section 52 of the MFMA also assigns general responsibilities to the executive mayor that include general political guidance over the fiscal and financial affairs of the municipality, may monitor and oversee the exercise of responsibilities assigned in

terms of this Act to the accounting officer and the chief financial officer, but may not interfere in the exercise of those responsibilities.

The above-mentioned statutory responsibilities of the executive mayor includes the authority to monitor and to take all reasonable steps associated with the performance of the municipality. Section 53, as depicted hereunder, compels the executive mayor to take all reasonable steps that the municipality's budget is approved in time, that the SDBIPs are signed within twenty eight (28) days after the approval of the budget and that the annual performance contracts of the municipal manager and the managers reporting to him are aligned to the SDBIPs and signed in time.

The duty to co-administer and accept accountability for the financial administration is determined by sections 77 and 78 of the MFMA that requires of senior managers to not only assist the accounting officer but also to act diligently, economically, effectively and efficiently with the financial and other resources of the municipality. Section 171 of the MFMA deals with the aspect of financial misconduct, which among other, includes misleading or incorrect reporting on the municipality's performance.

Section 121 of the MFMA deals with the very important issue of the preparation and adoption of the municipality's annual report. In this regard the statutory determination among other is to provide a report on performance against the budget of the municipality or municipal entity for that financial year and to promote accountability to the local community for the decisions made throughout the year by the municipality or municipal entity. The municipality's annual report must include a performance report of the municipality in accordance with of section 46 of the Municipal Systems Act. The annual report is therefore a summary of the municipality's performance during a particular financial year.

3.3.7 Local Government: Municipal Planning and Performance Management Regulations, 2001. Published under Government Notice R796 in Government Gazette 22605, dated 24 August 2001

Whilst the objectives of these regulations are to describe the process to be followed with the finalisation of the municipality's IDP, regulation 7 of the said regulations describes the nature of a municipal performance management system, the roles and

responsibilities of all role-players and the processes to be followed in developing, implementing, measuring and reporting performance.

Whilst the Regulations provide details on the requirements for a municipal performance management system, they do not propose exactly how the system should function which means that the best suited for local circumstances approach within the confinements of the law prevails.

3.3.8 Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, 2006. Published under Government Notice R805 in Government Gazette 29089, dated 1 August 2006.

These Regulations seek to set out how the performance of municipal managers will be uniformly directed, monitored and improved. The regulations address both the employment contract of a municipal manager and the managers directly accountable to the municipal manager (Section 57 managers). In terms of section 57 of the Systems Act a person to be appointed as a municipal manager or manager directly accountable to the municipal manager may only be appointed in that position in terms of a an employment contract and a separate performance agreement.

The annual performance agreement provides assurance to the municipal council of what should be expected from its municipal manager and managers directly accountable to the municipal manager. The purpose thereof is to:

- comply with the provisions of Sections 57(1)(b), (4A), (4B) and (5) of the Act as well as the employment contract entered into between the parties;
- specify objectives and targets defined and agreed with the employee and to communicate to the employee the employer's expectations of the employee's performance and accountabilities in alignment with the IDP, SDBIP and the budget of the municipality;
- specify accountabilities asset out in a performance plan, which forms an annexure to the performance agreement; monitor and measure performance against set targeted outputs;
- use the performance agreement as the basis for assessing whether the employee has met the performance expectations applicable to his or her job; and

- in the event of outstanding performance, reward the employee; and give effect to the employer's commitment to performance excellence.

It is worth noting that the performance plans of the municipal manager and senior managers reporting to the municipal manager must be aligned to the IDP, SDBIPs and budget of the municipality. The challenge with this is that the Key Performance Areas (KPA's) set out in regulation 26 and the Core Competency Requirements referred to in regulation 28, adopt different wording to the wording that appears in the municipality's IDP and SDBIP, which makes meaning and understandable alignment difficult.

3.3.9 The Performance Information Handbook. Framework for Managing Programme Performance Information. Published by National Treasury in April 2011

The Performance Information Handbook published by National Treasury (2011:4) states that the Policy Framework for the Government Wide Monitoring and Evaluation (GWM&E) System, published in 2007 by the Presidency, emphasised the importance of monitoring and evaluation in realising a more effective government. It identified three data terrains that together comprise the sources of information on government performance:

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

It assigned to accounting officers the accountability for the frequency and quality of monitoring and evaluation information, the integrity of the systems responsible for the production and utilisation of the information and it requires prompt managerial action in relation to monitoring and evaluation findings.

The GWM&E identified the National Treasury as the lead institution responsible for programme performance information. This is in line with its constitutional authority for performance information and responsibility for prescribing measures to ensure transparency and expenditure control in each sphere of government as outlined in sections 215 and 216 of the Constitution.

In 2007 the National Treasury issued the Framework for Managing Programme Performance Information (FMPPI). The aims of the FMPPI were to:

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

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

3.3.10 National Treasury: Service Delivery Budget Implementation Plan, Circular 13 dated 31 January 2005 (the SDBIP)

Circular 13 (2005:2) describes the SDBIP as a management, implementation and monitoring tool that will assist the mayor, councillors, municipal manager, senior managers and community. A properly formulated SDBIP will ensure that appropriate information is circulated internally and externally for purposes of monitoring the execution of the budget, performance of senior management and achievement of the strategic objectives set by council. This particular point is also repeated in chapter 4 where the importance of detailed, understandable and measurable SDBIPs speak to the core of municipal performance measurement. If the SDBIPs are merely a gaming of the numbers (De Bruijn.2007:19) exercise where professionals increase their output on matters of no real significance for the organisation albeit legal, the measurement of SDBIPs hold no strategic value for the organisation. The increased numbers look good on paper but have limited to no social or productivity value.

Circular 13 also provides guidance and assistance to municipalities in the preparation of the SDBIP as required by the MFMA. In summary it can be argued that the budget gives funding effect to the municipality's Integrated Development Plan (IDP) and the Service Delivery Budget Implementation Plan (SDBIP) gives effect to the budget of the

municipality. Circular 13 further states (2005:4) that Section 1 of the MFMA defines an SDBIP as:

a detailed plan approved by the mayor of a municipality in terms of section 53(1)(c)(ii) for implementing the municipality's delivery of municipal services and its annual budget, and which must indicate -

(a) projections for each month of—

(i) revenue to be collected, by source; and

(ii) operational and capital expenditure, by vote;

(b) service delivery targets and performance indicators for each quarter; and

(c) any other matters that may be prescribed, and includes any revisions of such plan by the mayor in terms of section 54(1)(c).

Circular 13 (2005:4) further advises that whilst the SDBIP is largely a one-year detailed plan, it should include a three-year capital plan. Municipalities are encouraged to also include three-year (by quarter) service delivery targets, to the extent that this is possible and feasible. Municipalities may also want to include past and current year information, in order to facilitate comparisons and outline the remedial steps it is taking in terms of past problems.

According to Circular 13 (2005:4) the budget funds the strategic priorities of the municipality and is not a management or implementation plan. The SDBIP therefore serves as a tacit agreement between the administration, council and community translating the goals and objectives set by the council as quantifiable outputs that should be implemented by the administration during a particular financial year. The SDBIP to a large extent provides the basis for measuring performance in service delivery against end-of-year targets by implementing the budget as the funding resource for such outputs.

Circular 13 further confirms that the following are the five components of a proper SDBIP:

- Monthly projections of revenue to be collected for each source;
- Monthly projections of expenditure (operating and capital) and revenue for each vote;
- Quarterly projections of service delivery targets and performance indicators for each vote;

- Ward information for expenditure and service delivery; and
- Detailed capital works plan broken down by ward over three years.

From the above it should be clear that the SDBIP is regarded as one of the most important management tools of the municipality, hence the obligation on the accounting officer to submit the SDBIP within fourteen (14) days from the approval of the annual budget to the executive mayor who must approve the annual SDBIP within 28 days from date of approval of the budget. The statutory timeline for the approval of the annual municipal budget is 31 May of each year, which means that the annual SDBIP must be approved by not later than 28 June of every year (depending of course on the specific date that the budget was approved). The approval of the SDBIP is therefore scheduled to be prior to the commencement of the new financial year, which is 1 July in the case of South African municipalities.

3.3.11 The City of Cape Town's System of Delegations of Power

The City of Cape Town's Delegations of Powers (Version 13.2015:13-40) delegated a range of powers to the executive mayor. In terms of Part 1 delegation 8(2) of the Executive Mayor's Delegations of Powers from Council the executive mayor must adopt a mechanism for monitoring and review of the municipality's performance management system, as required in terms of section 40 of the Systems Act (2015:23).

More importantly in the context of this study, executive mayor delegation 8(3) authorises the executive mayor to exercise all of the powers relating to the Core Components as provided for in section 41 of the Systems Act (2015:23).

The City of Cape Town delegations of power to the executive mayor per delegations 8(2) and 8(3) (2015:23) requires the following actions in regard to performance measurement from the executive mayor:

- To adopt a mechanism for monitoring and review of the municipality's performance management system, which must serve as an early warning system for under-performance;
- To set appropriate key performance indicators as a yardstick for measuring performance, including outcomes and impact;
- To set measurable performance targets;

- To monitor performance;
- To measure and review performance at least once per year;
- To take steps to improve performance with regard to those development priorities and objectives where performance targets are not met;
- To establish a process of regular reporting on performance of the municipality.

The view expressed by National Treasury in Circular 13 (2005:2) that the SDBIP should form the core of the performance monitoring tool for the municipality read with the above-mentioned delegation to the executive mayor, forms the basis of the mayoral dashboard.

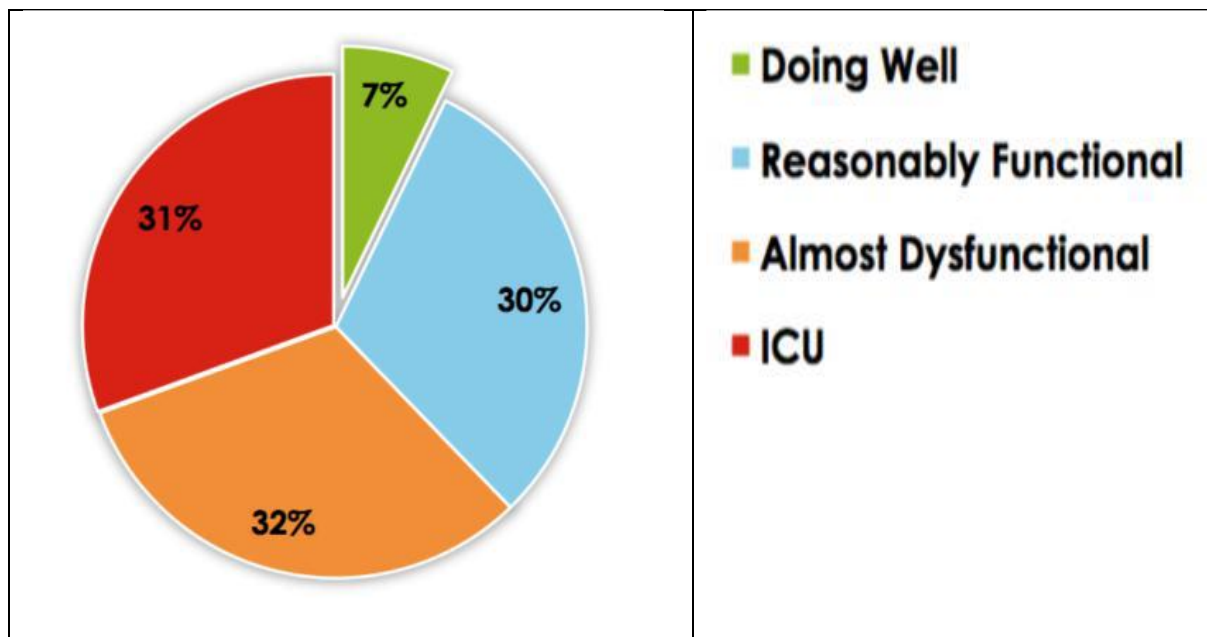
3.3.12 Back-to-Basics

The Department of Cooperative Government and Traditional Affairs (COGTA), after a recent review of South Africa's 278 municipalities, stated in its document *Back-to-Basics – Serving our Communities Better* (2014:6) that local government is still some way away from transformed municipal practices. The review established three groups of municipalities. The first group, of some 37% of all municipalities, comprise cases where municipalities have got the basics right, even though they still have much to do. Within this group, only 7% of municipalities could be regarded as municipalities doing well. In these municipalities the basics are in place, and there are innovative practices to ensure sustainability and resilience. This small core represents the desired (ideal) state for all our municipalities.

The second group of some 32%, are almost dysfunctional and need assistance to get the basics right. Overall performance is barely average. While the basics are mostly in place and the municipalities can deliver on the traditional functions of local government, areas of degeneration and collapse were found that are worrying signs.

The third group of some 31% are dysfunctional and significant work is required to get them to get the basics right. Among others in this category endemic corruption, dysfunctional councils, no structured community engagement and participation systems, and poor financial management leading to continuous negative audit outcomes, were found. All these municipalities had a poor record of service delivery and service management functions such as fixing potholes, collecting refuse, maintain

public places, fixing street lights, etc. While most of the necessary resources to render the functions or maintain the systems are available, the basics are not in place. It is in these municipalities that communities are being failed dramatically, and where urgent intervention is required in order to correct the decay in the system. The functionality status of South African municipalities as at 18 September 2014 is depicted in Figure 3.1 hereunder.



Source: Department of Cooperative Governance and Traditional Affairs. Back to Basics – Serving Our Communities Better (2014:6)

Figure 3.1: Functionality Status of South African Municipalities

According to COGTA (2014:9) the primary problem faced in the local government system is that it does not recognise and reward good performance adequately, nor are there sufficient consequences for under-performance. COGTA is therefore going to institutionalise a performance management system to effect the changes that is required in the system. A set of indicators as per the pillars of the Back-to Basics approach will be developed and implemented. These indicators will measure whether municipalities are performing in terms of the basics, namely:

- Putting people first;
- Delivering basic services;
- Good governance;
- Sound financial management; and
- Building capacity

COGTA's aim is give all South Africans a basic set of tools by which they can hold their municipalities to account and measure whether they are living up to their promises. COGTA will also follow up non-performance and enforce compliance with legislative and regulatory provisions. The Back-to-Basics indicators will be included in the performance contracts of the senior managers. We will also introduce reforms to strengthen the system of performance management, for example, to regulate or influence the payment of performance bonuses.

COGTA will not rely on audits to measure performance as these are done after the fact. Instead real-time monitoring systems must be put in place and we will require brisk responses to problems and challenges. Collectively all spheres of government will need to be actively involved.

3.4 PERFORMANCE MONITORING IN THE CITY OF CAPE TOWN

There are two dimensions to performance management that are sometimes respectively referred to as *organisational* or *corporate* and *employee* or *Individual* performance management. Although mentioned separately it is an acknowledged fact that the two are inseparable because of their dependency and reliance on each other.

3.4.1 Corporate Performance Monitoring

The City uses performance management to improve service delivery and to successfully translate vision and strategies into implementable action. In other words, the performance management processes are used for managing the municipality through measures that lead to the successful implementation of the organisation's strategies and business plans.

The City of Cape Town developed an Organisational Performance Management System (OPMS) as a tool to monitor performance in relation to service delivery progress. The system consists of a framework that describes and represents how the City's cycle and processes of performance planning, monitoring, measurement, evaluating, review and reporting is conducted, organised and managed. It also sets out the roles and responsibilities of the different role players. The OPMS assists the

City's administration in the translation of strategic direction determined by its political leadership into operational plans for each directorate and department.

The City's performance management framework consists of the six (6) documents depicted hereunder as Figure 3.2

| Performance Management Policy Framework | | | | | |
|---|--|---|--|----------------------------------|--|
| Organisational Performance Management System Guidelines | Municipal Entities Business Planning Framework | Section 57 Appointee's Performance Policy | Individual Performance Management Policy | Recognition and Rewards Policy * | Mayoral Dashboard Performance Measurement System * |

Source: City of Cape Town Performance Management Policy (Compliance) (2011:5) * Adapted to include Recognition and Rewards Policy and Mayoral Dashboard

Figure 3.2: Performance Policy Framework for the City of Cape Town

The City's OPMS Implementation Guidelines describe and represent how the City's cycle and processes of the OPMS are conducted and organised. It is informed by Regulation 7 of the Local Government: Municipal Planning and Performance Management Regulations, 2001, which in summary determines that:

- A municipality's performance management system must entail a framework that describes and represents how the municipality's cycle and processes of performance planning, monitoring, measurement, review, reporting and improvement will be conducted, organised and managed, including determining the roles of the different role-players;
- In developing its performance management system, a municipality must ensure that the system-
 - Complies with all the requirements set out in the Act;
 - Demonstrates how it is to operate and be managed from the planning stage up to the stages of performance and reporting;
 - Clarifies the roles and responsibilities of each role-player, including the local community, in the functioning of the system;
 - Clarifies the processes of implementing the system within the framework of the integrated development planning process;

- Determines the frequency of reporting and the lines of accountability for performance;
- Relates to the municipality's employee performance management processes;
- Provides for the procedure by which the system is linked to the municipality's integrated development planning processes.

The OPMS Implementation Guidelines set out the procedures for performance management at corporate, directorate and departmental levels. These guidelines are not applicable to the implementation of Municipal Entities, Section 57 appointees or individuals (employees).

3.4.1.1 The Phases of Corporate Performance Monitoring in the City of Cape Town

Each component of the OPMS guidelines is accompanied by a step-by-step guide and templates outlined in detail under the following phases:

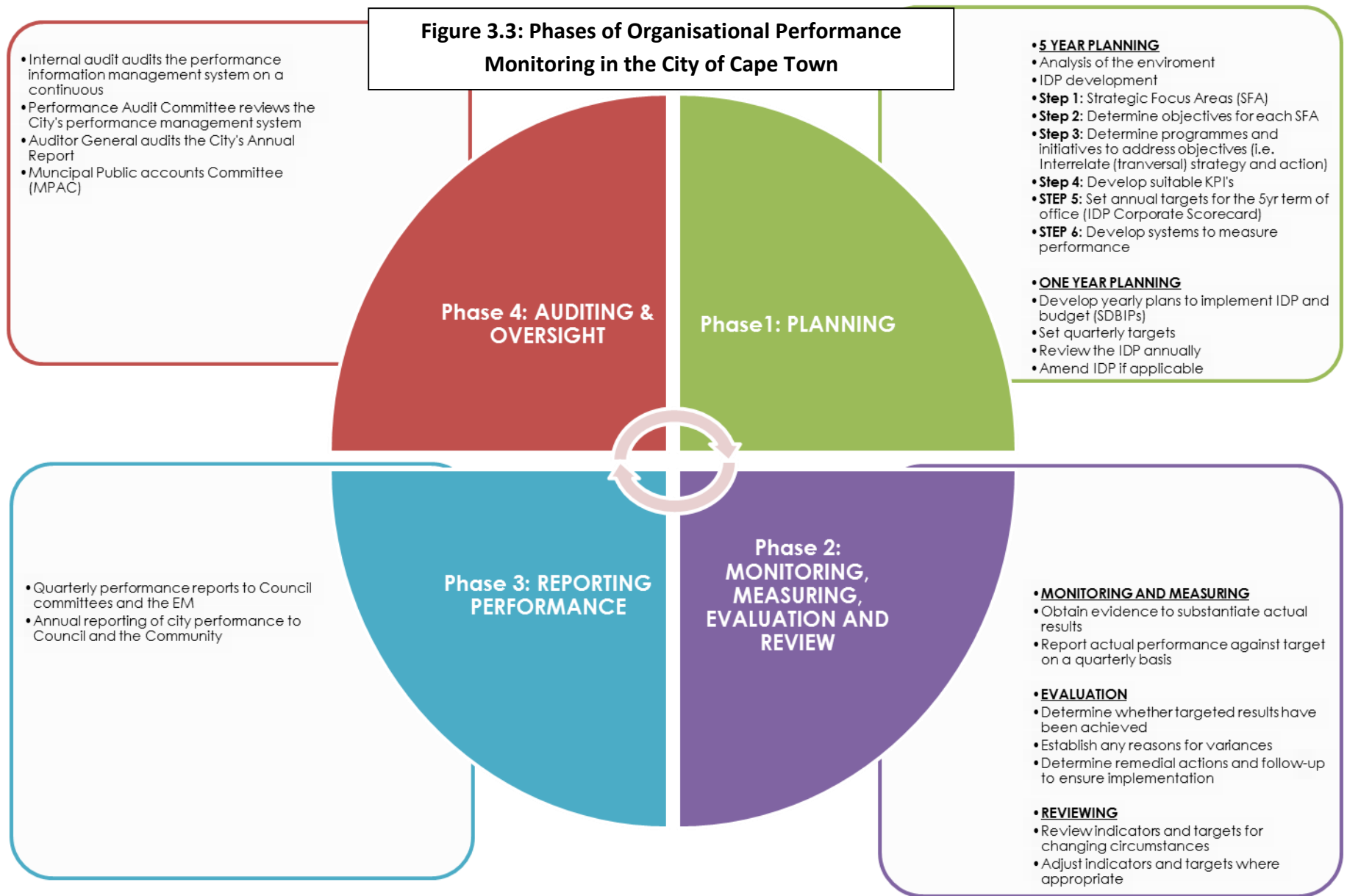
Phase 1: Planning for Performance Monitoring;

Phase 2: Monitoring, Measuring, Evaluation, and Review;

Phase 3: Reporting performance; and

Phase 4: Auditing and oversight

A schematic layout that summarises each of all the phases is indicated hereunder as Figure 3.3. Timeframes aligned to each of these phases are statutorily determined and also approved annually by the Council of the City.



Source: City of Cape Town. OPMS Guidelines (2014:9)

Performance planning is seamlessly integrated and forms part of the IDP strategic planning processes fulfilling the implementation, monitoring, measuring, evaluation and review of the IDP process. The five-year planning cycle delivers a five year and annually reviewed IDP, which includes a Corporate Scorecard with supporting definitions.

The steps indicated in Figure 3.4 hereunder are followed in the planning for performance monitoring phase in respect of the Corporate Scorecard.

Figure 3.4: The Planning Phase within the City of Cape Town's Performance Monitoring Cycle



Source: City of Cape Town. OPMS Guidelines (2014:13)

3.4.1.2 Alignment between the budget and plans

Critical to the success of meaningful implementable service delivery budget implementation plans (SDBIPs) is proper alignment to budget. It is often the case that the administration misaligns the SDBIPs and the municipality's budget because is fearful to speak truth to power in cases where senior politicians made unrealistic undertakings to its electorate. Needless to say there must be a close correlation between available budget and the SDBIPs particularly in respect of the output targets.

3.4.1.3 The Corporate Scorecard of the City of Cape Town:

The corporate scorecard lies at the heart of the OPMS and forms the basis for the performance measurement model used in the City. Performance measurement involves determining the extent to which objectives are achieved through the development of indicators and linking them to targets and related standards. The Five Year Corporate Scorecard forms part of the IDP and is taken to the community, the mayoral committee, portfolio committees and the executive management team for consultation and input before it is approved by the council of the City of Cape Town.

The corporate scorecard process starts within the IDP phase of analysing the City and forming a long term vision of where the City sees itself in the future. This long term vision is strategically broken down into overarching SFAs/Pillars which contain specific corporate strategies as articulated in the IDP. In identifying strategies, it is important that the City identifies what its challenges are and how they should be remedied. The City assesses what it would look like to its stakeholders after its strategies are implemented. The process allows the City to define clear impacts and outcomes which are articulated as strategic objectives in the IDP.

After the strategies have been identified a basis for testing efficiency and effectiveness is developed. To this end the City develops key performance indicators to measure progress made against the objectives and targets that specifies the exact performance standards or levels expected in terms of the objective. There are two Corporate Scorecards i.e. the Five Year (reviewed annually) and the One Year Corporate Scorecards (developed annually).

The Five Year Corporate Scorecard measures the strategic direction of the City, reflecting what the City wants to achieve over the next five years as articulated in the IDP. The indicators identified are reflected under the applicable Strategic Focus Areas in the text of the IDP. The corporate scorecard and definitions describing each indicator are attached as an annexure to the IDP. The procedures for developing the corporate scorecard are set out in Section 1 of the OPMS Guidelines document.

3.4.1.4 Performance Indicators

Performance indicators measure how objectives identified in the IDP are being measured. It also describes performance in relation to outcomes, outputs, activities and inputs. In identifying corporate indicators it is important to consider whether, the performance indicators are:

- Of significant interest to the public;
- Of significant risk to the public.

The indicators measured are indicators that reflect the impact of services delivery in the City of Cape Town. Targets set the level of performance to be achieved within a defined period of time. The actual achievement of targets set for the objectives is reported on a quarterly basis except where targets are annual targets. This forms the basis for the quarterly and annual performance reports in the City of Cape Town.

All statutory prescribed national KPIs are included in the relevant directorate scorecards. Proxy indicators are used where procedures and relevant databases for national KPI's are still being developed. The national indicators are determined by section 43 of the Systems Act and regulation 10 of the Municipal Planning and Performance Management Regulations.

3.4.2 Individual Performance Monitoring

Within the City of Cape Town's context, performance management is the co-ordinated effort to achieve Integrated Development Programme (IDP) goals and to ensure service delivery to all citizens of the City.

The purpose of the Individual Performance Management and Development Policy Framework is to provide guidelines and standards for monitoring, measuring and rewarding performance of employees in order to enhance efficiency, effectiveness and improve service delivery. The objectives of this policy are therefore to:

- Provide for the establishment of an integrated system for the management and development of individual performance;

- Provide for standards and procedures according to which employees' performance shall be managed, namely, performance planning, performance monitoring, performance assessments and managing poor performance;
- Provide for mechanisms to ensure the development of employee performance; and outline key roles and responsibilities of various stakeholders involved in the processes for managing individual performance;
- Provide for granting rewards to employees for achievements on specific agreed objectives, outcomes or targets provided such objectives, outcomes or targets are clearly identified in a performance agreement or performance scorecard.

3.4.3 Mayoral Performance Monitoring

3.4.3.1 Introduction

It is emphasised in this study that the major role-player in municipal performance management is the executive mayor. It is however important to note that the other important role-players in the system are the municipal manager (the statutory accounting officer of the municipality) and managers reporting directly to the municipal manager. In Annexure A hereto the governing and directing legislation specifically applicable to mayoral performance monitoring is set out in items 22 to 34, read together and in context with items 1 to 21 of the said annexure.

3.4.3.2 The elements of a municipal manager performance measurement system

The difference between a mayoral dashboard performance measurement system and a performance management system for senior municipal managers lies therein that the mayoral dashboard measures the overall performance of the organisation whereas the performance management system for senior managers measures the individual performance of senior managers. The performance management of senior managers is directed by the Local Government : Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, 2006. These regulations are very prescriptive and comprise of two sections, which are the key

performance areas (weighting 80%) and core managerial and occupational competency requirements (weighting 20%).

The weighting allocations in respect of key performance areas *vis a vis* core managerial and occupational is interesting in so far as the difference is concerned. Whilst it is not within the ambit of this study to examine the rationale behind the obvious difference in weightings between KPAs and CCRs, it is interesting that a far lesser weighting is allocated to managerial and occupational core competencies, which perhaps contributes to the management vacuum in local government administration.

3.4.3.3 Comparison of the mayoral dashboard system with the performance monitoring system for senior municipal managers

The thought process with the development of the mayoral dashboard system was not to substitute the performance monitoring process of the municipal manager and the managers reporting to the municipal manager (executive directors). Whilst it had similarities to the executive directors' performance plans, its scope was wider in that it attempted to offer a high level monitoring tool that would enable the executive mayor to get a status report on the overall performance of the City of Cape Town as envisaged by Zille (2007:2).

3.4.3.4 Rewards and Recognition System

The City of Cape Town had a particular arrangement with the municipal manager and senior managers reporting to the municipal manager that irrespective the statutory enablement for the payment of performance bonuses subject to certain conditions having been met and irrespective whether the above category of employees met the required criteria, the City of Cape Town would not pay performance bonuses.

The City of Cape Town, however, approved a general reward system for which employees of all categories could qualify and benefit if they rendered excellent service to the employer, which system includes the municipal manager and senior managers.

3.5 THE IMPORTANCE OF THE ANNUAL SERVICE DELIVERY BUDGET IMPLEMENTATION PLANS (SDBIPs)

The SDBIP is a detailed annual plan that gives effect to the IDP and the budget and is effective if the IDP and budget are aligned to each other. The budget gives effect to the strategic priorities and is not a management or implementation plan. The SDBIP therefore serves as a contract between the administration, council and the community expressing the goals and objectives set by the council as quantifiable outcomes that can be implemented by the administration over the next twelve months. This provides the basis for measuring performance in service delivery against end of year targets and implementing the budget.

According to National Treasury Circular 13 of 2005 (2005:2) the SDBIP provides the vital link between the mayor, council (executive) and the administration, and facilitates the process for holding management accountable for its performance. The SDBIP is a management, implementation and monitoring tool that will assist the mayor, councillors, municipal manager, senior managers (EDs) and community. The SDBIP should determine (and be consistent with) the performance agreements between the mayor and the municipal manager and the municipal manager and EDs determined at the start of every financial year and approved by the mayor.

Circular 13 (2005:2) states that the SDBIP is essentially the management and implementation tool which sets in-year information, such as quarterly service delivery and monthly budget targets, and links each service delivery output to the budget of the municipality, thus providing management information and a plan for how the municipality will provide such services and the inputs and financial resources to be used.

Circular 13 (2005:3) continues to describe the SDBIP as a layered plan, with the top layer of the plan dealing with consolidated service delivery targets (corporate scorecard). Only the tip of the information pyramid is published as the corporate SDBIP. Once the top-layer targets are set, the EDs are then expected to develop the next(lower) layer of detail of the SDBIP, by providing more detail on each output for which they are responsible for, and breaking up such outputs into smaller outputs and

linking these to each middle-level and junior manager. Much of this lower layer detail will not be made public or tabled in council. The municipal manager nevertheless has access to such lower layer detail of the SDBIP but it will largely be the ED in charge who will be using such detail to hold middle-level and junior-level managers responsible for various components of the service delivery plan and targets of the municipality. Only the highest layer of information of the SDBIP is made public or tabled in the council. Such high-level information should also include per ward information, particularly for key expenditure items on capital projects and service delivery as this will enable each ward councillor and ward committee to oversee service delivery in their wards.

A summarised layout of the City of Cape Town's SDBIP content is outlined in Figure 3.5 hereunder:

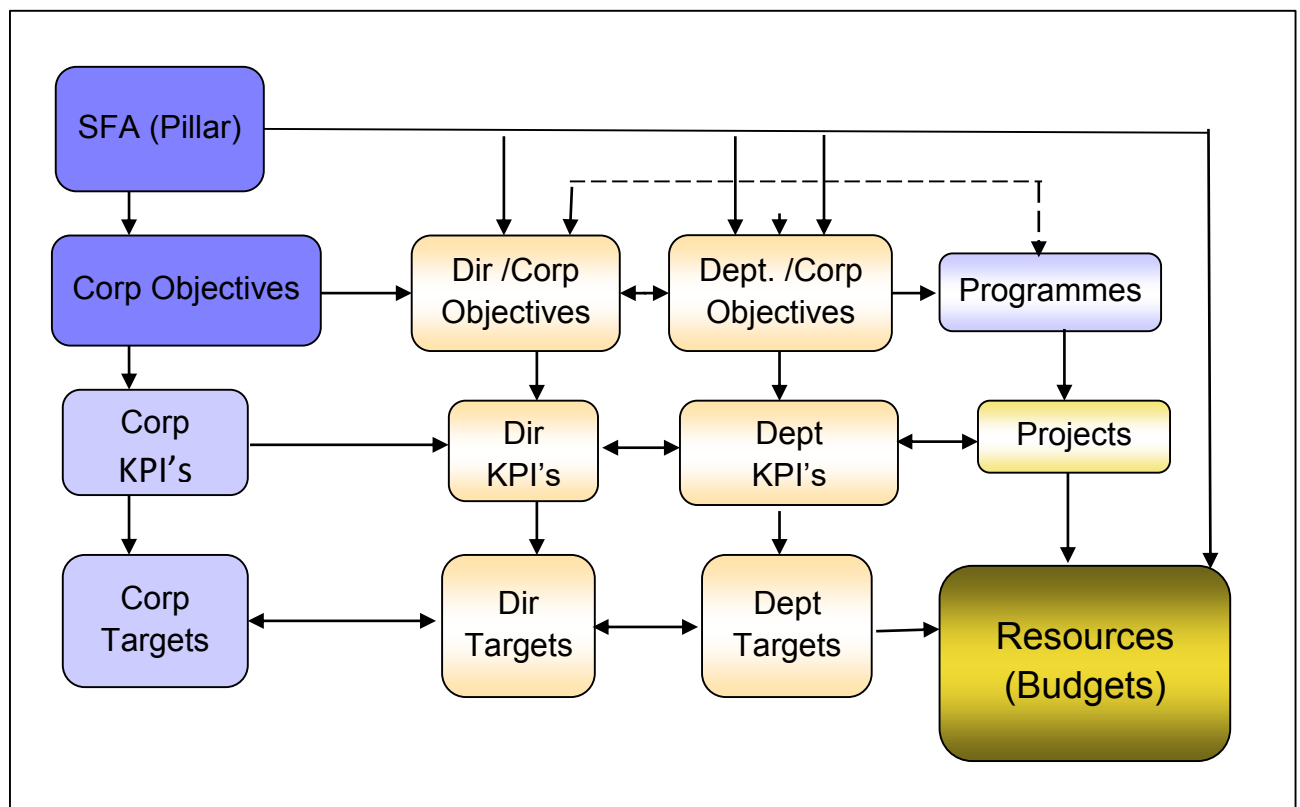
| CHAP- TER | DESCRIPTION | PAGE NO |
|----------------------|---|--------------------|
| 1 | Introduction | |
| 2 | Legislative Imperative | |
| 3 | Linking the IDP to the Budget | |
| 4 | Reporting | |
| 4.1 | Monthly Reporting | |
| 4.2 | Quarterly Reporting | |
| 4.3 | Mid-year Reporting | |
| 4.4 | Annual Reporting | |
| 5 | Measurable Performance Objectives and Indicators | |
| 6 | One Year Corporate Scorecard | |
| 6.1 | Quarterly Corporate Scorecard | |
| 6.2 | Targets for Corporate Scorecard | |
| 7 | Three Year Capital Spend Plan | |
| 8 | Capital Budget Spending per IDP Strategic Focus Area | |
| 9 | Revenue and Expenditure Projections | |
| 9.1 | Monthly Revenue Projections by Source | |
| 9.2 | Monthly Operating Expenditure Projections by Vote (Directorate) | |
| Annexure A | Corporate Scorecard Indicator Definitions | |
| Annexure B | Capital Budget for 2014/2015 to 2016/2017 by Sub-council and Ward | |

Source: City of Cape Town IDP Department (2015)

Figure 3.5: SDBIP Template Index of the City of Cape Town

The IDP of the City of Cape Town includes five Strategic Focus Areas (SFAs). Each of the SFAs are cascaded down in objectives. Each objective is translated into a programme or programmes. Projects are developed and implemented in accordance with the economic and social strategies of the City to support the programme or programmes. KPIs are developed for each objective and once there is consensus on KPIs, targets are set. Naturally targets are aligned to resources and great care is exercised to set realistic targets.

Figure 3.6 hereunder provides a graphic depiction of how the budget is linked to the IDP and the SDBIP.



Source: City of Cape Town. OPMS Implementation Guidelines (2014:26)

Figure 3.6: Alignment between objectives, key performance indicators, targets and budget

3.6 REGULATORY BURDEN OF LOCAL GOVERNMENT IN SOUTH AFRICA

Ammons et al (2008:3), in the literature review of this study, argues that it serves no purpose to do a single measure but rather a comprehensive set of measures, which is

referred to as the metrics in the private sector. A good set of measures will provide a more complete picture of an organisation's performance. De Bruijn (2007:29-31) in this context argues that the successful implementation of a performance measurement process requires special expertise, which is difficult to standardise. Organisations have to rely on their own employees' expertise who are reliant on institutional knowledge to develop and manage the process. If government is to follow the logic proposed by Ammons et al, which it in practice seems to be pursuing, then the very limited specially skilled employees will be responsible for performance measurement. The South African local government is already hamstrung as a result of compliance and performance requirements.

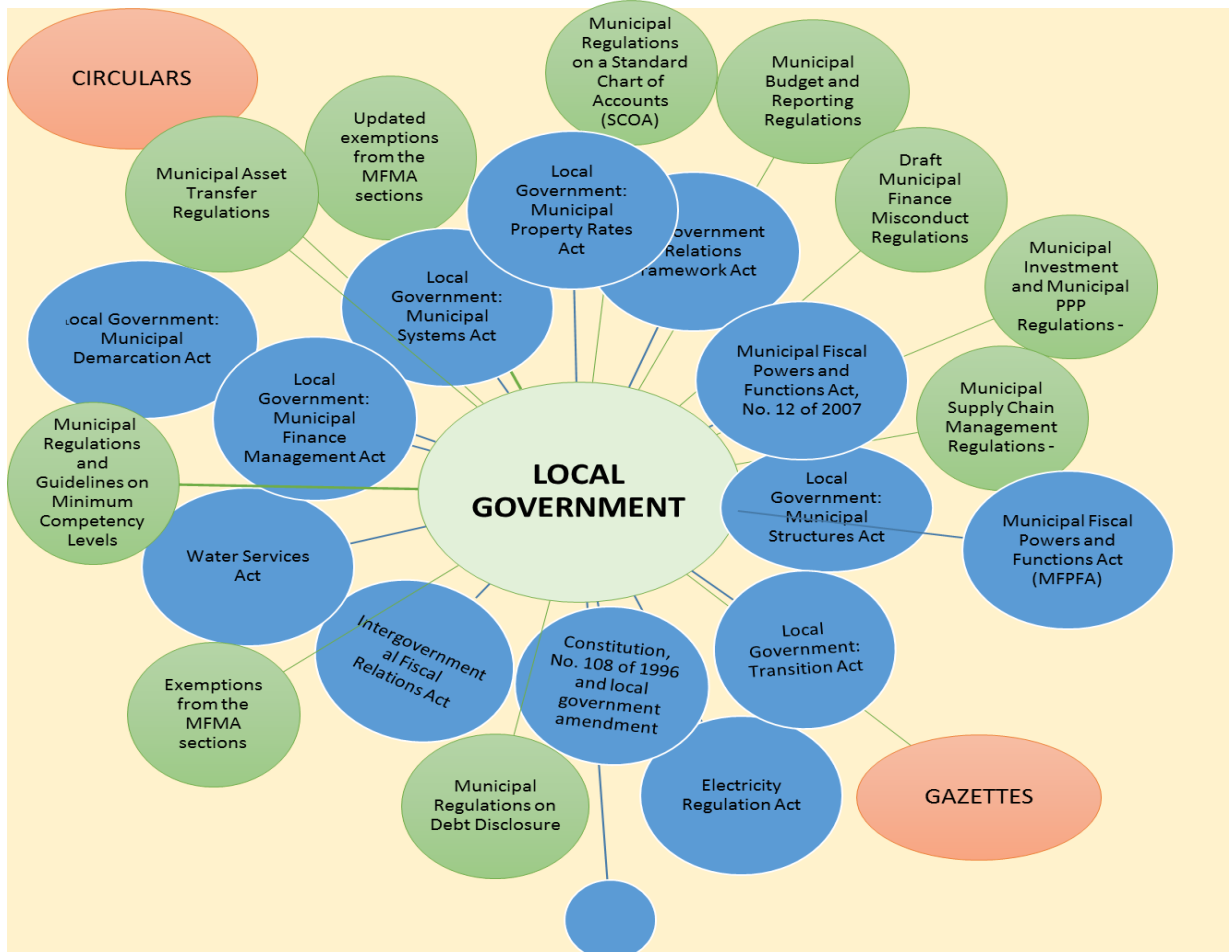
To illustrate the complicated nature and extent of municipal reporting and the added burden that additional performance measurement reporting, which is primarily the non-financial performance reporting, will have on an already overloaded compliance reporting regime in the South African local government environment, the Financial and Fiscal Commission (FFC) made presentation to the Department of Cooperative Governance and Traditional Affairs (COGTA) Technical Ministers and Members of Provincial Executive Committees (MinMec) Policy Seminar on 6 February 2014 about the regulatory burden faced by local government in South Africa (2014:11-19). In what the FFC cited as issues with regulation, it highlighted matters that increased the regulatory burden as indicated hereunder.

- Increased regulation in the local government sector with poor capacity (human, financial, technical) resulted in a vicious cycle of increased regulations and circulars with more non-compliance and poor service delivery;
- Allegations of corruption and general mismanagement is still rife in local government;
- Local government is by far more accountable to national government than to local communities. The quest for increased regulation is indicative of greater centralisation;
- The impact of regulations on municipal administration is cumulative and municipalities struggle to prioritise core municipal mandates. Many fail to balance regulatory compliance with their core delivery mandates;

- Regulations tend to be inversely related to municipal size: the smaller the municipality the greater the impact (in terms of time and proportion of budgets);
- The uniform requirements of regulations are problematic. Municipalities differ markedly in terms of capacity (urban/rural; revenue capacity) and consequently municipalities have varying ability to comply;
- The design of regulations are problematic to municipalities in that different national departments are custodians of different pieces of legislation;
- Enforcement of regulations does not consider resources to comply to regulations.

The statutory and regulatory reporting requirements of South African municipalities against the limited resources undoubtedly puts performance monitoring in municipalities at risk. Instead of implementing a preventative early-warning mechanism that can assist with timeous management interventions when things go wrong, many of the less resourceful municipalities may game numbers merely for compliance sake that offers no assistance to management and the councils of municipalities.

Figure 3.7 hereunder illustrates the complexity of municipal reporting.



Source: Financial and Fiscal Commission presentation to COGTA MinMec (2014:9)

Figure 3.7: Complexity of local government regulatory framework

3.7 SUMMARY

This chapter gave an overview of the complex legislative environment within which municipal performance measurement has to be undertaken and it emphasised the ongoing challenges in developing meaningful and measurable key performance indicators. It further explained the various performance management systems within the City of Cape Town and the objectives of each system. It also highlighted the statutory criteria that is required for a compliant performance measurement system. Very specific reference is also made to the reporting burden of municipalities in South Africa, which, albeit it necessary, to a certain extent defeats the objective of

developmental local government in that regulatory compliance becomes more important than the utilisation of management information that can assist services delivery.

The next chapter will describe the mayoral dashboard system and explain the functioning of the system itself and the process followed by the office of the executive mayor to secure the required information from the line directorates, to complete the dashboard, to present the dashboard, the assessment of the results by the executive mayor, the close-out report and the further assessment of both the dashboard and the close-out report by the relevant portfolio committee.

CHAPTER 4

THE PERFORMANCE MONITORING MODEL UTILISED BY THE EXECUTIVE MAYOR OF THE CITY OF CAPE TOWN

4.1 INTRODUCTION

This chapter will explain the nature of the mayoral dashboard performance measurement system developed in 2012. It will also describe its functioning in detail with specific reference to its compilation, the calculation, meaning of the dashboard colour codes and its interpretation, the assessment process and the consequences or actions emanating from the results. It will also explain the simplicity of the mayoral performance dashboard system yet its statutory compliance, given the regulatory burden experienced by municipalities.

Wherever reference is made to EDs and Mayco members in this chapter it shall, in the case of EDs, mean the executive directors or senior managers reporting directly to the city manager, and in the case of Mayco members, mean members of the mayoral committee established in terms of Section 60 of the Local Government: Municipal Structures Act, No 117 of 1998.

4.2 THE MAYORAL DASHBOARD

4.2.1 Background to the mayoral dashboard

The mayoral dashboard within the City of Cape Town was an initiative of former executive mayor Helen Zille in 2007, who became executive mayor in 2006 when the Democratic Alliance took control of the governance of the City of Cape Town together with a coalition of smaller political parties. In a speech delivered to the Top 500 managers within the City of Cape Town (2007:1) Zille among other stated that *the new system will package performance data in a user-friendly dashboard system. It will be automated where possible to ensure that we spend more time acting on information rather than collating data. It will allow the City's decision makers to assess service delivery at a glance, and take appropriate action more quickly.*

It is argued and confirmed through the qualitative assessment done as part of this study that corporate performance reporting at the level of senior management and their respective mayco members in the City of Cape Town was done in a manner that had little strategic value for the municipality primarily because of the simplistic key performance indicators selected for measurement in the Corporate Scorecard. The EDs report on the performance of their directorates on a quarterly basis to their respective portfolio committees in respect of the implementation of their directorates' limited service delivery budget implementation plans (SDBIPs).

With the introduction of the mayoral dashboard performance system, the approach in the municipality in respect of performance measurement and monitoring changed. One of the initial aims of the mayoral dashboard performance monitoring system was to increase accountability within the administration. In this regard Zille (2007:1) stated that *various IT solutions for staff performance and attendance monitoring will help to ensure that those individuals who excel are rewarded, and those who are not meeting their responsibilities are managed appropriately*. Chapter 5 of this study reports as to whether accountability from within the administration did indeed improve as a result of the implementation of the mayoral dashboard and whether the mayoral dashboard had strategic value.

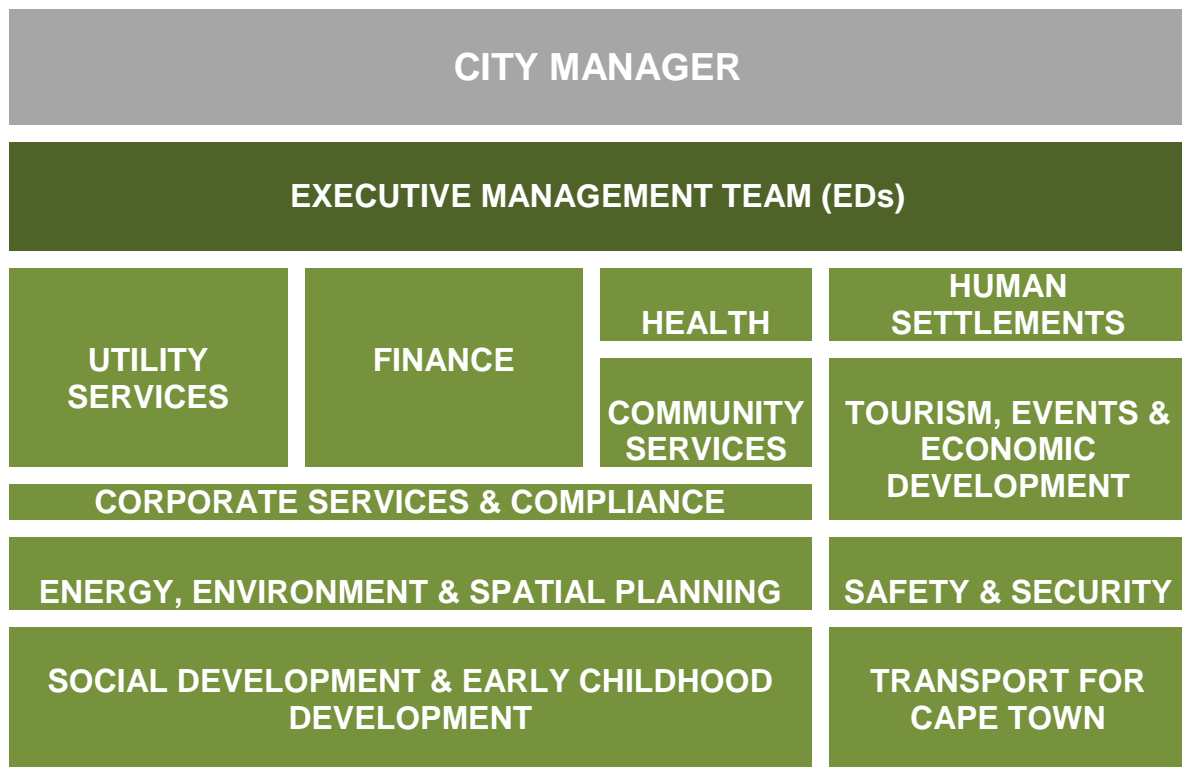
The purpose of the mayoral dashboard stems from its initial intention, which was to monitor the performance of the various directorates within the City of Cape Town with a high level dashboard tool (Zille. 2007:1). This statement was followed by a change in reporting methodology that required senior management to report on the performance of their directorates on a quarterly basis to the executive mayor via the mayoral dashboard. The executive mayor of the City of Cape Town furthermore elected to use the mayoral dashboard system to hold mayoral committee members co-accountable for directorate performance.

Besides the responsibility to report quarterly to the executive mayor in respect of directorate performance, the EDs in the City of Cape Town also report on the performance of their directorates on a quarterly basis to their respective portfolio committees in respect of the implementation of their directorates' performance plans or directorate scorecards. Zille's (2007:1) statement that the new dashboard system

The administrative management structure of the City of Cape Town that is directly involved with the mayoral dashboard is depicted in Figure 4.2 hereunder. The executive mayor features prominently in both the political and administrative structures in that the council of the municipality delegated, under Part 1 per Delegations 8(1) to 8(3) of its Delegations of Power (2015:23), the following authority to the executive mayor:

- (1) To adopt a strategy for the promotion of a culture of performance management among the municipality's political office bearers, political structures and Councillors and the administration, as required in terms of section 38 of the Systems Act;*
- (2) To adopt a mechanism for monitoring and review of the municipality's performance management system, as required in terms of section 40 of the Systems Act;*
- (3) To exercise all of the powers relating to Core Components as provided for in section 41 of the Systems Act.*

Section 41 of the Systems Act assigns wide authority to the executive mayor that requires numerous actions to be exercised directly by the executive mayor. It would also be fair to argue that the executive mayor and the city manager should achieve consensus on the application of section 41 before the roll-out of the performance measurement system to ensure that the EDs buy-in to the agreed system.



Source: Retrieved from City of Cape Town website 2015

Figure 4.2: Top Management Structure of The City of Cape Town (2015)

The Financial and Fiscal Commission, in its presentation to the Department of Cooperative Governance and Traditional Affairs Minister's meeting with provincial Ministers for local government (2014:10), stated that besides that local government is over-regulated, a serious tendency towards centralisation was obvious by national government in relation to local government. It appears that a similar situation prevails within the City of Cape Town by virtue of delegation 8(3) above. The executive mayor attends to every dashboard meeting herself, which sessions last between one to two hours per quarter per directorate. This practice has the risk that important complex data or results are not considered with the required detail in order to fully understand the meaning and implications of such complex data. The mayoral committee members, as the delegates of the executive mayor, should be performance monitoring the EDs on behalf of the executive mayor in accordance with sub-delegations of power and oversight responsibilities derived from the executive mayor.

A further point of note is that the city manager also includes the mayoral dashboard progress reports when doing the monthly performance assessments of the EDs as the performance agreements of the EDs include some of the mayoral dashboard performance information.

4.3 THE MAYORAL DASHBOARD AS A PERFORMANCE MONITORING TOOL

Performance monitoring is multi-functional and complex and we remain reminded by Rogers (1999:66) that it is a slippery and elusive concept. Against such understanding it has to be understood that attempts to measure performance will be imperfect.

In order to understand what forms the basis for performance measurement in the City of Cape Town, a five (5) step approach to develop and derive a performance plan or a SDBIP scorecard (Organisational Performance Management System (OPMS) Implementation Guidelines, 2014:14-19)) is as follows:

4.3.1 Step 1: Define and understand the meaning of the strategic focus areas (SFAs)

The SFAs articulate the areas of strategic focus which describe the ideal environment the City would like to achieve in the long term. The idea is to translate the meaning of each of the focus areas in the context of the overall Integrated Development Plan (IDP) of the municipality so that there is a nexus between the focus areas with a view to managing the strategic focus areas holistically and transversally. It is only with a clear understanding of the meaning of the focus areas that the context of the IDP can be understood (OPMS Implementation Guidelines. 2014:14-15).

4.3.2 Step 2: Formulate corporate strategic objectives to unpack the SFAs

Once the SFAs have been understood throughout the municipality, a set of corporate objectives can be developed that sets out the outputs, outcomes and impact the municipality wants to achieve through the implementation of its IDP. The IDP objectives must encompass the statements of intent of the results

required and should avoid overly broad results statements (OPMS Implementation Guidelines. 2014:15).

4.3.3 Step 3: Determine programmes and projects to address objectives

In addition to the IDP the City of Cape Town developed transversal strategies such as the Economic Growth Strategy and the Social Development Strategy. The actions required to achieve the objectives within these primary strategies also need to be translated into programmes and projects that support the objectives of the IDP read with the Economic and Social Strategies of the municipality(OPMS Implementation Guidelines. 2014:15-16).

4.3.4 Step 4: Develop suitable Key Performance Indicators (KPIs)

It is necessary to develop KPIs which define what needs to be measured in order to gauge progress towards achieving the strategic objectives of the municipality. National general key performance indicators must also be included (OPMS Implementation Guidelines. 2014:16-19).

The OPMS Implementation Guidelines (2014:16-17) describes a good performance indicator to be:

- Reliable: the indicator should be accurate enough for its intended use and respond to changes in the level of performance;
- Well-defined: the indicator needs to have a clear, unambiguous definition so that data will be collected consistently and be easy to understand and use;
- Verifiable: it must be possible to validate the processes and systems that produce the indicator;
- Cost-effective: the usefulness of the indicator must justify the cost of collecting the data;
- Appropriate: the indicator must avoid unintended consequences and encourage service delivery improvements and not give managers incentives to carry out activities simply to meet a particular target;

- Relevant: the indicator must relate logically and directly to an aspect of the municipality's mandate and the realisation of strategic goals and objectives. It should measure only those dimensions that enable the municipality to measure progress on its objectives. It should measure performance on areas falling within the powers and functions of the municipality. It measure performance for the year in question;
- Measureable: indicators should be easy to calculate from data that is easy to generate at a reasonable cost;
- Simple: it should measure one dimension of performance (quality, quantity, efficiency, effectiveness and impact) at one given time. Combining too many dimensions in one indicator must be avoided; and
- Precise: it should measure only those dimensions that the municipality intends to measure.

4.3.5 Step 5: Setting scorecard targets for the five-year term of office and reducing annual targets to quarterly targets

Performance targets express planned levels of performance that the municipality is aiming to achieve for each objective identified within a given time period. It is the milestones the City sets for itself. Targets must be realistic and within the affordability parameters of the municipality's budget as unrealistic targets will create false expectations with stakeholders and set individuals up for failure. Effective target setting requires detailed planning in respect of each key performance indicator. Targets are reviewed on an annual basis to ensure realistic target setting and adjust to available budget and possible changed plans by the municipality. The baseline for the future year is the previous financial year's actual performance that the municipality aims to improve or reduce, depending on the nature of the indicator. If a baseline has not been established the baseline column is completed as new (OPMS Implementation Guidelines. 2014:19).

The One Year Corporate Scorecard breaks the implementation year's targets from the five year corporate scorecard into quarterly targets and indicates and

identifies lead and contributing directorates for in-year implementation. Lead directorates must co-ordinate the process of planning with the contributing directorates (transversal management), clarify their supporting role, identify indicators and coordinate reporting on achievement of objectives. Contributing and supporting directorates must indicate to and agree with lead directorates what their roles are to achieve the objectives. The plans are captured as part of a statutory plan or a programme that supports the implementation of the strategy (OPMS Implementation Guidelines. 2015:27).

Lead directorates must have the same wording as the corporate scorecard for the objective and the indicator on directorate scorecards. Lead directorates will be accountable for the monitoring and reporting of the indicators that involve more than one directorate.

Examples of the City of Cape Town's Five (5) Year and One (1) Corporate Scorecards templates are depicted hereunder as Figures 4.3 and 4.4:

| Alignment & Linkage | | Objective and Indicator Detail | Tracking and Monitoring | | | | | |
|--|---|--|--------------------------|------------------|----------|----------|---------|---------|
| REVIEWED FIVE YEAR CORPORATE SCORECARD 2012/13 TO 2016/17 (2013/14 Year) INCLUDING PROPOSED ADJUSTMENTS | | | | | | | | |
| SFA | Objective | Key Performance Indicator | * Baseline 2011/12 | Proposed targets | | | | |
| | | | | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| SFA 1 - Opportunity City | 1.1 Create an enabling environment to attract investment that generates economic growth and job creation | 1.A Percentage of Building plans approved within statutory timeframes (30-60 days) | 69.32% | 80% | 82% | 85% | 87% | 90% |
| | 1.2 Provide and maintain economic and social infrastructure to ensure infrastructure-led growth and development | 1.B Percentage spend of capital budget | 92.8% R4 233 bn | 90% | 91% | 92% | 93% | 94% |
| | | 1.C Rand value of capital invested in engineering infrastructure | R1,309 bn | R 1,9 bn | R 1,8 bn | R 1,8 bn | - | - |
| | | 1.D Percentage of operating budget allocated to repairs and maintenance | 6.33% | 7.5% | 7.6% | 7.7% | 7.8% | 7.9% |

Strategic Focus Areas- overarching areas to group strategic objectives into logical categories

Corporate Objective - What do we have to do to achieve the Strategic Focus Area?

Corporate Indicators -measures to gauge progress towards achieving the objective

Base-Line-previous year's actual performance

Targets -Targets are set for a five year period. These targets are reviewed annually to accommodate changing circumstances in both the internal and external

Source: City of Cape Town OPMS Guidelines (2014:23)

Figure 4.3: Draft Five Year Performance Scorecard of the City of Cape Town

Figure 4.4: Draft One Year Performance Scorecard of the City of Cape Town

| DRAFT ONE YEAR CORPORATE SCORECARD 2014/15 (2014/15 Year) INCLUDING PROPOSED ADJUSTMENTS | | | | | | | | | | | |
|---|---|--|--------------------|------------|------------------|----------|--------------------------------------|-----------|-----------|-----------|------------|
| SFA | Objective | Key Performance Indicator | Actual 2011/12 | * Baseline | Proposed targets | | Proposed Quarterly targets 2014/2015 | | | | Motivation |
| | | | | 2012/13 | 2013/14 | 2014/15 | 30-Sep-14 | 31-Dec-14 | 31-Mar-15 | 30-Jun-15 | |
| SFA 1 - Opportunity City | 1.1 Create an enabling environment to attract investment that generates economic growth and job creation | 1.A Percentage of Building plans approved within statutory timeframes (30-60 days) | 69.32% | 80.7% | 82% | 85% | | | | 85% | |
| | 1.2 Provide and maintain economic and social infrastructure to ensure infrastructure-led growth and development | 1.B Percentage spend of capital budget | 92.8% R4 233 bn | 92.91% | 91% | 92% | | | | 92% | |
| | | 1.C Rand value of capital invested in engineering infrastructure | R1,309 bn | R 2,1 bn | R 1,8 bn | R 1,8 bn | | | | R 1,8 bn | |
| | | 1.D Percentage of operating budget allocated to repairs and maintenance | 6.33% | 7.8% | 7.6% | 7.7% | | | | 7.7% | |

Strategic Focus Areas- overarching areas to group strategic objectives into logical categories & aligning objectives with strategic

Corporate Indicators - measures to gauge progress towards achieving the objective

Annual Targets - Are set for a one year period. These targets are reviewed quarterly to accommodate changing circumstances & reported on for early intervention where & when required

Corporate Objective - What must be done to achieve objective & define the indicator for purposes of consistency

Base-Line - previous year's actual performance or better if it realistically achievable. If budget decreases the baseline must be adjusted accordingly

Quarterly Targets - Are set for every quarter for a one year period. These targets are reviewed every six months if there are valid reasons to adjust.

Source: City of Cape Town OPMS Guidelines (2014:28)

The OPMS Implementation Guidelines (2015:15) further suggest that the combination of the objectives, indicators and targets should meet the so-called SMART criteria as far possible, that is:

- Specific : state exactly what is to be achieved;
- Measurable : should be capable of measurement;
- Achievable : realistic, given the circumstances and resources;
- Relevant : achievable to those responsible; and
- Time-bound : deadlines within a realistic time-frame.

4.4 THE NATURE AND EXTENT OF THE MAYORAL DASHBOARD

Abdelfattah (2013:40) states that *the use of performance dashboards is a new technology widely studied in recent years. There are numerous ways to architect a performance dashboard. How to understand and use these architectures is a big issue. Each has its trade-offs, and many companies use multiple approaches to support their performance dashboards.* In such context the architecture of the mayoral dashboard is unique and was designed for the specific use in the office of and by the executive mayor of the City of Cape Town. However, whilst the mayoral dashboard was customised for the City of Cape Town, it can be adapted for other municipalities with little effort.

Section 16 of the Municipal Systems Act requires the municipality, in finalising its IDP, to consult various stakeholders and organs of state to advise Council on the best method of aligning the municipality's planning, development plans and strategies with strategic plans of provincial and national government. After the IDP is approved by council, the objectives and strategies of the IDP have to be realised through annual budget allocations in accordance with Section 24 of the MFMA, or in respect of multi-year projects, through medium term revenue and expenditure framework (MTREF) budget allocations. Once the annual budget is approved by council, the implementation of the budget is utilised to achieve the objectives and strategies of the municipality. Objectives have to be translated into programmes and projects that are incorporated in service delivery budget implementation plans (SDBIPs) as required in terms of Section 53 of the MFMA. SDBIPs have to include specific information on the

methodology, resources application, timelines and outputs in relation to the municipality's approved budget. Measurement of the successful SDBIPs implementation is undertaken through defined key performance indicators (KPIs) that describes the methodology (the how) of the execution plan. Once the KPIs are finalised, it is necessary to set achievable and realistic targets.

As soon as possible after the SDBIPs are approved by the executive mayor in accordance with section 53(1)(c)(ii) of the MFMA, a draft dashboard template in the form of Annexure C hereto is compiled and submitted to the senior manager and the mayoral committee member of the relevant line directorate in order to complete Section C (Additional Matters or Special Projects) of the said draft dashboard template. Once the senior manager and the mayoral committee member are satisfied that the information on the template is correct, the draft template (with the necessary amendments) is returned to the office of the executive mayor whereupon the information is transferred onto an Excel spreadsheet (the dashboard). The dashboard is split in the following three sections:

- Section A: Political oversight reporting;
- Section B: General management reporting; and
- Section C: Additional issues or special projects.

The mayoral dashboard was from thereon deemed to be active and performance monitoring commenced.

According to the Implementation Guidelines for the Mayoral Dashboard Performance and Issues Monitoring System, 2013, attached hereto as Annexure D, the intention with the dashboard template is positive, that is *to achieve progress towards completion and to serve as an early-warning system when things are not going according to plan*. A further objective of the dashboard monitoring tool was *to address non-performance, delays and deviations*. The dashboard monitoring tool furthermore endeavoured to enhance participation and transparency as post-assessment findings were to be submitted and considered by portfolio committees to recommend remedy to deficiencies to indicators or to recommend remedial action to the executive mayor through the mayoral committee member and to monitor the required remedial action.

4.4.1 Roles and responsibilities of participants in the mayoral dashboard system

The responsibilities of the executive mayor's office and the relevant directorate are determined in the Dashboard Implementation Guidelines (2013).

The Dashboard Implementation Guidelines (2013) furthermore provide a detailed explanation of the meaning and interpretation of the indicators reflected in the mayoral dashboard. The afore-mentioned explanations follow the same sequence as the indicators as per the mayoral dashboard, etc. from A.1. to C.10 or until the end of the sequence in the mayoral dashboard.

4.4.2 Assessment and interpretation of mayoral dashboard results

The Dashboard Implementation Guidelines (2013) form part of the secondary data utilised in this study that gives a detailed step-by-step explanation of the assessment process and interpretation of results. The explanation hereunder highlights the important steps, measures and processes associated with the mayoral dashboard performance measurement system.

4.4.2.1 The mayoral dashboard assessment process

The quarterly assessment of the completed dashboard templates is undertaken by the executive mayor in the presence of the relevant mayoral committee member, the portfolio chairperson and the executive director of the relevant directorate. Besides the afore-mentioned persons, the only other officials that are in attendance during the assessment sessions are the Director Strategy and Planning and the Manager Performance Monitoring in the office of the executive mayor. The role of the two officials during the assessment meeting is to offer advice on clarity and they do not participate in the assessment in a manner that may influence the executive mayor's assessment and interpretation of the information contained in the dashboard template. At the assessment meeting the executive mayor discusses the results of the relevant directorate and probes, encourages and cautions where there is under-performance.

The Manager Performance Monitoring records all remedial action directives given by the executive mayor, after having considered explanations from the directorate that have bearing on under-performance. In addition to the above, the Manager Performance Monitoring also records all issues that the executive mayor requires the directorate to attend to under Section C (special or high profile projects) of the dashboard template.

4.4.2.2 Description and meaning of the mayoral dashboard template

The dashboard template is in Excel format and the resultant dashboard colour code responds to a formula of which all the possible results are formatted to produce a certain colour. There is also an important manual component to the functioning of the dashboard, specifically in column G of the spreadsheet. Symbols varying from A to T are manually included after the results of the respective indicators are translated into particular symbols depending on the score of the result. A logical @if formula, which appears in column H of the dashboard template, is prompted by column G of the template where-after the formula converts the result into a results narrative each with its specific colour code. The said formula is depicted hereunder:

```
=IF(G62="A","OnTarget",IF(G62="B","Below",IF(G62="C","Under",IF(G62="D","Behind",IF(G62="E","WellBelow",IF(G62="F","WellUnder",IF(G62="G","WellBehind",IF(G62="H","Above",IF(G62="I","Over",IF(G62="J","Ahead",IF(G62="K","WellAbove",IF(G62="L","WellOver",IF(G62="M","WellAhead",IF(G62="N","Finalised/Complete",IF(G62="O","MinorDeviation",IF(G62="P","MajorDeviation",IF(G62="R","NoTargetIndicated",IF(G62="S","UnrealisticKPI",IF(G62="T","NoReportSubmitted"))))))))))))))))
```

The above-mentioned formula is aligned to a performance legend similar to the performance legend in the City of Cape Town's SAP integrated computer technology system, which is indicated hereunder:

A. On Target = 99→100%; B. Below/ C. Under/ D. Behind = 98→90%; E. Well Below/ F. Under/ G. Behind = 89%→Less; H. Above/ I. Over/ J. Ahead =

101→110%; K. Well Above/ L. Over/ M. Ahead = 111%→higher; N. Finalised/ Complete; O = Minor Deviation; P = Major Deviation; R = No Target Indicated; S = Unrealistic KPI; T = No Report Submitted

All the City of Cape Town's performance data is stored and drawn from SAP. However, it is important for an actual result to be accurately converted to the correct alphabetical symbol (formula trigger) and transferred to column G of the Excel template in order for the dashboard to reflect the result correctly in column H.

Besides that the formula in column H of the dashboard responds by reflecting the result description associated with a particular alphabetical symbol in column G, every different narrative response is also colour-coded differently, which is described and depicted in Table 4.1 hereunder:

Table 4.1: Mayoral Dashboard Colour Codes and Meaning of Colours

| NO | THE LOGIC @IF FORMULA OF THE MAYORAL DASHBOARD | DASHBOARD VALUE AND MEANING PER THE LEGEND | COLUMN G PROMT INDICATOR | COLUMN H DASH-BOARD COLOUR | COLUMN H COLOUR APPEARANCE |
|----|---|--|--------------------------|----------------------------|----------------------------|
| 1 | =IF(G62="A","OnTarget" | On Target = 99→100% | A | Dark green | |
| 2 | IF(G62="B","Below",IF(G62="C","Under",IF(G62="D","Behind" | Below/ Under/ Behind = 98→90% | B, C, D | Pink | |
| 3 | IF(G62="E","WellBelow",IF(G62="F","WellUnder",IF(G62="G","WellBehind" | Well Below/ Under/ Behind = 89%→Less | E, F, G | Bright red | |
| 4 | IF(G62="H","Above",IF(G62="I","Over",IF(G62="J","Ahead" | Above/ Over/ Ahead = 101→110% | H, I, J | Faded yellow | |
| 5 | IF(G62="K","WellAbove",IF(G62="L","WellOver",IF(G62="M","WellAhead" | Well Above/ Over/ Ahead = 111%→higher | K, L, M | Bright yellow | |
| 6 | IF(G62="N","Finalised/Complete" | Finalised/ Complete | N | Blue | |
| 7 | IF(G62="O","MinorDeviation" | Minor Deviation | O | Dark pink | |
| 8 | IF(G62="P","MajorDeviation" | Major Deviation | P | Bright red | |
| 9 | IF(G62="R","NoTargetIndicated" | No Target Indicated | R | Light violet | |
| 10 | IF(G62="S","UnrealisticKPI" | Unrealistic KPI | S | Light pink | |
| 11 | IF(G62="T","NoReportSubmitted")))))))))))))))) | No Report Submitted | T | Orange | |

Source: City of Cape Town Mayoral Dashboard Template Colour-coding (2013)

Whilst the layout of the template is simplistic and easy to interpret, the important aspect of the colours, which are the results reflectors for the dashboard format, requires some explanation. As can be seen from the column marked *Column G Prompt Indicator* in Table 4.1 above, certain alphabetical letters prompt a specific colour in the Excel template. By merely looking at the colours the executive mayor is able to see where matters listed in the dashboard template were performing as planned or not. This enabled the executive mayor to either request additional information or ask the relevant ED and the relevant mayoral committee member to account. The mayoral dashboard reflected the performance history progressively on a quarterly basis for the current financial year from which the executive mayor could detect the performance trend. In the event of under-performance it permitted time to intervene timeously.

4.4.3. Quarterly Close-out Reports

4.4.3.1 The nature and purpose of a quarterly close-out report

As soon as possible after conclusion of all the dashboard sessions between the executive mayor and directorates, a close-out report is issued by the executive mayor to each directorate. Close-out reports and the dashboard results relevant to such report are sent to the directorate well before the dashboard session for the next quarter was to be held.

Directorates are responsible to submit close-out reports to the relevant directorate's portfolio committee for noting and to monitor progress and remedial action required by the relevant directorate. Portfolio chairpersons were required to report on the monitoring of matters mentioned in the previous quarter's close-out report at the ensuing dashboard session. A typical close-out report is included hereunder as Annexure E.

The primary purpose of the quarterly report was to keep accurate record of under-performance and to institute timeous remedial and ongoing follow-up action. It also ensured that accountability improved in that the portfolio committees exercised

oversight over the performance of directorates and required them to explain ongoing under-performance.

4.4.3.2 Processing and follow-up of close-out reports

Close-out reports became the accountability records in the executive mayor's office in respect of outcomes from dashboard assessment meetings between the executive mayor, the mayoral committee member, the portfolio committee chairperson and the executive director of the department.

It gives clear indication of where performance required focus and attention and it forces all involved with service delivery implementation to report honestly on progress and where required, looks at alternative strategies to either expedite or intervene timeously to ensure that targets and goals are met.

The close-out reports were in some instances a source of irritation to EDs and professionals who may have felt that some of the recommendations made by the executive mayor's office were unfeasible. The opposite may also be true in that it assists management to focus and think about the effectiveness of their strategies.

4.5 EVALUATION OF RESULTS

The mayoral dashboard has its limitations in that it does not record the data and results beyond a particular financial year. It is therefore a one-year measurement tool only. In this regard it is worth noting the significant statement made by the Actuate Performance Analytics Group (2012:3) on dashboards in general when they state *dashboards alone aren't enough. Without drilling down to the data beneath measures or key performance indicators, companies cannot understand the reason performance is the way it is.* A dashboard performance measurement tool can never be a substitute for true performance measurement and the mayoral dashboard therefore merely gives the executive mayor a high level view of the performance of the municipality and offers her an opportunity to probe poor or unacceptable performance by means of managing the exceptions that the dashboard reflect.

Whilst the dashboard focusses on in-year performance, which is reflected by statistics, sums or percentages, the determination of outcomes is subject to and dependent upon the separate recording of data, results and trends over a multi-year period. The mayoral dashboard also makes no qualitative deductions of performance.

The assessment of impact is always a challenge in that it requires a comparative analysis of objectives versus outcomes. The mayoral dashboard was not designed for such purpose. The main purpose of the mayoral dashboard is that it is an in-year monitoring tool to assess short-term results, primarily SDBIP targets and ad hoc projects and to direct remedial action where there is under-performance. The City of Cape Town is currently busy with an IDP impact analysis study (2016), which is an evaluation of results over a period of time, which will give indication as whether its strategies were successful for the 5 year IDP period, which is also the term of office of the elected council. This is both a significant and exciting development in South African local government in that it appears to a first in-house endeavour of this nature.

The mayoral dashboard tool was also not designed to assess the Key Performance Areas (KPA's) and Core Competency Requirements for Employees (CCR) referred to in the Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, i.e. GNR 805 dated 1 August 2006. These KPA's and CCRs are performance managed separately via the performance management agreements of the city manager and the EDs.

4.6 CURRENT DEVELOPMENTS AROUND THE MAYORAL DASHBOARD SYSTEM

The executive mayor has developed sufficient comfort over time that the mayoral dashboard can be managed administratively. Since 2015 the line directorates no longer have to attend quarterly dashboard meetings with the executive mayor. Dashboard templates are still being completed and submitted to the executive mayor's office for assessment, where-after close-out reports get issued by the executive mayor in respect of matters that require attention. The C Section in the mayoral dashboard, that is other matters requiring attention and special projects, have now been reassigned to a so-called monthly blockages meetings, where the executive mayor, all

the mayoral committee members, the city manager and all the EDs verbally collaborate in an endeavour to resolve matters allegedly causing delays with projects. This approach no doubt contributed to early detection of negative trends and has resulted in timeous remedial type interventions.

4.7 SUMMARY

This chapter described in detail the performance measurement and assessment tool utilised by the executive mayor of the City of Cape Town to monitor the performance in relation to the implementation of City of Cape Town's SDBIPs, its capital and operating expenditures, selected key performance indicators that are of exceptional importance to the executive mayor and other important strategic special projects identified by the executive mayor and the line directorate. It also cautioned that performance dashboards are not the ultimate tool in performance measurement and that true performance management requires a deeper analysis, understanding and interpretation of the data that informs dashboards.

With the normative and statutory criteria for an ideal municipal performance measurementsystem alluded to in previous chapters and an understanding of the composition and functioning of the mayoral dashboard system, the next chapter will examine the conformity of the said mayoral dashboard system with the criteria.

CHAPTER 5

ASSESSMENT OF THE MAYORAL DASHBOARD AND FINDINGS

5.1 INTRODUCTION

This chapter will focus on the compilation of an assessment model against which the City of Cape Town's, and possibly other mayoral dashboards in South Africa, can be compared against. In doing so the researcher is reminded of the caution that performance measurement is complex and knowledge-intensive (De Bruijn, 2007:29). South African local government is also grappling with this issue, which was acknowledged by COGTA in its Back-to-Basics Serving our Communities Better document (2014:10) where it stated that performance management still needs to be institutionalised. Against such background it has to be understood that attempts to measure performance in local government is work in progress that will remain imperfect. However, in order to assess the effectiveness of the mayoral dashboard and its contribution towards performance management in general in the City of Cape Town, the approach will be to combine selected normative criteria with the statutory requirements for a mayoral dashboard performance measurement tool in order to develop an assessment model.

A further focus of this chapter will be to formulate a questionnaire for data gathering purposes and upon receipt of the completed questionnaires, to interpret the data and to make findings on the mayoral dashboard based on the evaluation of the data and comparison to the assessment model.

5.2 ASSESSMENT MODEL

5.2.1 Criteria for assessment model

The selection of a set of ideal criteria for an effective mayoral dashboard from the several important normative criteria identified in the literature review in chapter 2 of this study was no easy task. This research study confirms that an ideal performance measurement system is a complex concept and that extensive work in this regard is

currently being done across the globe. It would rather be expedient to contextualise every performance measurement system or tool within its specific application and environment. For this reason the researcher elected to utilise only selected and not all criteria discussed by various authors in the literature review in chapter 2 of this study and combined and aligned same with the statutory criteria described in chapter 3 of this study. The reason for deciding on selected criteria was to ensure alignment between the selected normative criteria and the peremptory statutory criteria for a performance measurement model in the South African local government context. Whilst the selected criteria mainly comprise of the positive aspects of performance measurement, certain negative effects of performance measurement were tested by means of the thirty questions in the questionnaire to the respondents.

5.2.1.1 Normative Criteria

The literature research shared various viewpoints on the defining of performance monitoring and related concepts. The more applicable aspects tends to provide a general consensus on the following elements of performance measurement in the context of the City of Cape Town:

- Performance measurement creates transparency and enhances accountability (De Bruijn, 2007:8) as it provides vital information for management and oversight (Ammons, 2008:4). Public expenditure in respect of programmes must be accounted for. Performance reporting, both internal and external to and for the municipality, is a method of accountability for performance (Behn, 2003:588);
- Clear organisational goal setting is essential to reduce uncertainty and provide guidelines for decision-making and justification for actions. Goals assist with planning and form the basis of objectives and policies within the municipality (Herholdt, 2007:10-11). A further concern is whether everyone in the organisation (particularly senior management) understands the strategic context of the organisation and therefore ensure that the strategic assumptions included in the performance measurement systems are challenged or confirmed (Marr, 2006:16) or do they merely accept what they are told to do;
- To reduce the uncertainty in performance measurement the solution probably lies in the development of quality meaningful indicators and measurable targets that is considerate and inclusive of contingencies (Rogers, 1999:66);

- Performance indicators should be authentic and realistic so that it does encourage strategic behaviour from those business units that are being measured. In this context De Bruijn (2007:19) refers to a concept that is referred to as gaming the numbers, which he argues is a form of negative strategic behaviour. The performance measurement system should not be open to manipulation. It is accepted that local authority performance is a complex multi-dimensional concept and that a very large number of indicators is needed to obtain a complete picture of performance (Rogers, 1999:68). Too few targets are likely to cause policy and service distortions while too many targets cause confusion, overload and lack of clear focus and direction;
- Regular monitoring reveals that things are not going as planned or expected, a more thorough evaluation is to be undertaken to understand why and know what changes should be made to intervene and rectify the situation (serves as an early warning system). Performance measurement focusses attention on priorities and results. Results must be interpreted by those in authority to either adjust their strategies with a view to improving on results or even to abort certain programmes in extreme cases of under-performance (Ammons et al. 2008:4). Performance measurement forces one to reflect where a programme is going and how it's getting there. Performance measurement reflects how the organisation is doing and therefore has the potential to serve as mechanism to steer the organisation towards ongoing success and the consequential satisfaction of stakeholder expectations;
- Performance measurement identifies successful strategies. Evidence of performance progress is indicative of successful strategies. Where there is performance decline or stagnation, strategies are not working and alternative service delivery approaches must be considered. According to Kok (2008:225) it forces one to reflect where you are going with a programme and how you getting there and it encourages you to act on the information and insight the performance information provides;
- Economy (lowest cost input), efficiency (result by using lowest possible resources) and effectiveness (doing the right thing to implement objectives and policies) are concepts that are closely associated with performance measurement in that these concepts are results of good performance by an organisation (Rogers, 1999:71);
- Performance measurement may veil the organisation's performance (De Bruijn, 2007:20) if performance conclusions are construed on the basis of the aggregated

data, or if macro-pictures are directly translated to the micro-level, the risk is that injustice will be done to performance. Anyone who asks for the reality behind the results or statistics or for the assumptions and aggregation rules used, may draw suspicion and be accused of not wanting to face the facts;

- Performance management should reward productivity and success (De Bruijn, 2007:26). The work of dysfunctional units must not be transferred to successful units at the expense of the successful units and the rewards budget split evenly, which by implication is punishment of the well-performing units in the organisation;
- The performance measurement process within an organisation is complex and knowledge-intensive. De Bruijn (2007:29-31) argues that those organisations that use a poor system of performance measurement often treat professionals unfairly and invite opportunistic and self-serving behaviour in relation to performance measurement.

The afore-mentioned issues are sufficient to fairly resemble the more important normative criteria that could be expected for a fair and functional mayoral dashboard performance measurement system.

5.2.1.2 Statutory criteria

The identification of statutory criteria for a mayoral dashboard performance measurement system is based on the statutes, delegations of power of the City of Cape Town (which are unique), regulations and guidelines for a local government performance measurement system. In this regard the following criteria should be considered, specifically Sections 38 to 41 of the Systems Act read with City of Cape Town System of Delegation of Power, specifically delegations 8(1) to 8(3) of Part 1 (2015:23) and National Treasury Circular 15 of 2005. It must also be borne in mind that section 38(a)(ii) of the Systems Act allows for a performance management system to be established on the basis *best suited to its circumstances*. The following criteria were extracted from the above-mentioned sources of reference:

- It must include appropriate key performance indicators as a yardstick for measuring performance, including outcomes and impact, with regard to the municipality's development priorities and objectives set out in its integrated development plan;

- It must include measurable performance targets with regard to each of those development priorities and objectives;
- It must monitor, measure and review performance;
- It must take steps to improve performance with regard to those development priorities and objectives where performance targets are not met;
- It must establish a process of regular reporting to the council, other political structures, political office bearers and staff of the municipality and the public and appropriate organs of state, including quarterly reports on the implementation of the budget and the financial state of affairs of the municipality. In other words the frequency of reporting and the lines of accountability for performance must be clearly determined;
- It must be devised in such a way that it may serve as an early warning indicator of under-performance;
- It must include a detailed plan that must indicate projections for each month of revenue to be collected by source, operational and capital expenditure by vote, service delivery targets and performance indicators for each quarter;
- The performance measurement system must be commensurate with the resources of the municipality;
- The executive mayor must assign performance measurement responsibilities to the municipal manager. The system adopted must clarify the roles and responsibilities of each role-player, including the local community, in the functioning of the system;
- It must demonstrate how it is to operate and be managed from the planning stage up to the stages of performance and reporting including reporting to the municipal council at least twice a year;
- It must identify the strengths, weaknesses, opportunities and threats of the municipality in meeting the key performance indicators and performance targets set by it, as well as the general statutory performance indicators;
- It must allow the local community to participate in the review process;
- The municipality must create an enabling environment to facilitate effective performance by the employee, provide access to skills development and capacity building opportunities, work collaboratively with the employee to solve problems and generate solutions to common problems that may impact on the performance of the employee, on the request of the employee delegate such powers reasonably

required by the employee to enable him or her to meet the performance objectives and targets established in terms of the agreement and make available to the employee such resources as the employee may reasonably require from time to time to assist him or her to meet the performance objectives and targets established in terms of the agreement; and

- The municipality must consult the employee timeously where the exercising of the powers will have, amongst others, a direct effect on the performance of any of the employee's functions.

5.2.2 Proposed Assessment Model

The summaries in paragraphs 5.2.1.1 and 5.2.1.2 above depict selected normative and peremptory statutory criteria relevant to a municipal performance measurement system. They form a rationally aligned combination for a typical a mayoral dashboard performance measurement system, which is depicted hereunder in Table 5.1 as the assessment model. Although the literature review indicated substantially more issues relating to performance monitoring, the criteria indicated in the said model is adequate to serve as an assessment model and in order to determine whether the mayoral dashboard is sufficiently compliant to serve its primary purpose, that is to provide a high level view of the performance of the municipality and its directorates.

It is also important that the assessment model withstands the scrutiny of testing by the research population selected for this research study. For such purpose the research questions were structured to respond to the criteria selected for the assessment model. Table 5.1 hereunder also presents the alignment of the research questions to the criteria in the assessment model.

Table 5.1 : Summary of Selected Normative and Statutory Criteria for a Mayoral Dashboard Performance Measurement System

| N O | NORMATIVE CRITERIA | STATUTORY CRITERIA | QUESTI ON- NAIRE QUESTI ON |
|----------------|--|---|---|
| 1 | It must enhance transparency and accountability | It must establish a process of regular reporting to the council, other political structures, political office bearers and staff of the municipality and the public and appropriate organs of state It must determine the frequency of reporting and the lines of accountability for performance | 1, 2, 19 |
| 2 | It must include clear organisational goal setting | It must be aligned to the municipality's IDP | 3, 28 |
| 3 | It must allow for the strategic assumptions included in the performance measurement system to be challenged or confirmed | It must identify the strengths, weaknesses, opportunities and threats of the municipality in meeting the key performance indicators and performance targets set by it | 4, 9, 6 |
| 4 | It must include quality meaningful indicators and measurable targets | It must include appropriate key performance indicators as a yardstick for measuring performance, including outcomes and impact, with regard to the municipality's development priorities and objectives set out in its integrated development plan It must include measurable performance targets with regard to each of those development priorities and objectives It must include a detailed plan that must indicate projections for each month of, revenue to be collected by source, operational and capital expenditure by vote, service delivery targets and performance indicators for each quarter | 7, 8, 18 |
| 5 | It must indicate trends for timeous intervention when things go wrong | It must be devised in such a way that it may serve as an early warning system of under-performance | 11, 15 |
| 6 | It must measure economy (lowest cost input), efficiency (result by using lowest possible resources) and effectiveness (doing the right thing to implement objectives and policies) | It must be commensurate with the resources of the municipality | 12, 13, 20, 25, 28 |
| 7 | Performance results must be construed on the basis of the aggregated data and not in | The performance results must be measurable | 10, 14, 27, 30 |

| | | | |
|----|--|---|----------------|
| | accordance with micro-level data to give high level view of performance | | |
| 8 | The performance measurement system must not be open to manipulation | The executive mayor must assign performance measurement responsibilities to the municipal manager It must clarify the roles and responsibilities of each role-player, including the local community, in the functioning of the system | 5, 16, 29 |
| 9 | The performance results must reward productivity and success and intervene in cases of under-performance | It must take steps to improve performance with regard to those development priorities and objectives where performance targets are not met | 24, 26 |
| 10 | It must not treat professionals unfairly | The municipality must create an enabling environment to facilitate effective performance by the employee, provide access to skills development and capacity building opportunities, work collaboratively with the employee to solve problems and generate solutions to common problems that may impact on the performance of the employee, on the request of the employee delegate such powers reasonably required by the employee to enable him or her to meet the performance objectives and targets established in terms of the agreement and make available to the employee such resources as the employee may reasonably require from time to time to assist him or her to meet the performance objectives and targets established in terms of the agreement | 17, 21, 22, 23 |

Source : Developed for purposes of this research study by the researcher (2016)

5.3 DATA GATHERING PROCEDURE

5.3.1 Procedure followed to gather data

Chapter 4 of this study gave a comprehensive overview of the starting point, nature, functioning and interpretation of the mayoral dashboard. Paragraph 5.2 of this study formulated an assessment model comprising of normative and statutory criteria for a mayoral dashboard. The purpose with the data gathering exercise was to gather first hand information from the participants in the mayoral dashboard performance measurement system, to analyse, to convert and to interpret the results of the converted data against the assessment model developed and referred to in paragraph 5.2.2 and more specifically Table 5.1 hereof.

In order to achieve the afore-mentioned, a structured questionnaire in the form of Annexure F hereto was developed that was transmitted by email to the selected survey population under cover of an explanatory email. The survey population encompasses the executive leadership and the top management of the City of Cape Town and included the city manager and the senior managers reporting to the municipal manager (total 10 participants) and the members of the mayoral committee (total 11 participants). The executive mayor and the researcher was not included in the survey population to avoid and eliminate possible bias.

The participants (respondents) were given seven (7) days to complete the questionnaire and respond to the researcher. The response rate for the senior management was 100% (10 out of 10 completed questionnaires received) and for the mayoral committee was 90.9% (10 out of 11 completed questionnaires received). The overall response rate of 95.2% is highly representative and validates the research.

5.3.2 Analysis of data and interpretation of results

Upon receipt of the completed questionnaires, the responses were divided in two main groupings, that is politicians and senior management. The respective responses to each of the thirty individual questions were reflected as the *raw data* in three sections,

that is politicians, senior management and combined. The summary of the raw data was then reflected in a column described as *frequency*, which is the data results source that informed the histograms that graphically depicts the results of each question. The said histograms in respect of each question appears in Annexure G hereto. The respective values of the raw data and the frequency columns in the histograms were verified for correctness before interpretation of the data was commenced with.

After the analysis of the data gathered through the questionnaires, the results of the respective questions were sorted in accordance with the alignment of questionnaire questions indicated in Table 5.1 hereto for purposes of writing up the findings of the research.

5.4 FINDINGS

The findings were interpreted from the histograms prepared for each questionnaire question. Reference to exceptions between the afore-mentioned categories are only made where variations are obvious. The findings hereunder are discussed in the sequence of the assessment model that appears as Table 5.1 of this research study.

5.4.1 Transparency and accountability

Questionnaire questions 1, 2 and 19 were linked to the criteria for enhanced transparency and accountability.

Both the politicians and senior management were of the view that the mayoral dashboard enhanced accountability and good governance in the municipality (18 of 20, i.e. 90%). The senior management held a stronger view than the politicians in this regard. It was also interesting to note that one senior management member held a strong view that the mayoral dashboard did not enhance accountability and good governance at all in the municipality (Histogram Question 1:197).

There was a greater level of indecisiveness as to whether accountability and oversight of performance monitoring was sufficient without the mayoral dashboard in the municipality. Whilst a large proportion of the responses (10 of 20, i.e. 50%) indicated

disagreement, there was an increased number of respondents who were uncertain about this value statement (6 of 20, i.e. 30%) with 20% (4 of 20) indicating that accountability and oversight in respect of performance monitoring is adequate without the mayoral dashboard (Histogram Question 2:198).

On whether the SDBIP was an unnecessary compliance requirement, the majority view (17 of 20, i.e. 85%) was that the annual SDBIP was not an unnecessary compliance requirement. Two respondents (10%) were of the view that the SDBIP was indeed an unnecessary compliance requirement, which is somewhat alarming in that the SDBIP is an annual statutory requirement within municipalities (Histogram Question 19:215).

In summary it is evident that the mayoral dashboard complies with the first criteria of the assessment model.

5.4.2 Organisational goal-setting

Questionnaire questions 3 and 26 were linked to the criteria for organisational goal-setting.

On whether the mayoral dashboard was aligned to the municipality's IDP strategies and objectives, 85% (17 of 20) were of the view that the required alignment was sufficient. Three (15%) respondents disagreed of which two were senior management (Histogram Question 3:199).

On whether the mayoral dashboard measured the wrong things in the municipality, 70% (14 of 20) disagreed and 25% (5 of 20) were uncertain. Again there was one senior manager who agreed that the mayoral dashboard measured the wrong things.

The overall deduction is that the mayoral dashboard was aligned to the municipality's IDP and that the goals that it intended to measure were clear. The degree of uncertainty among 25% of the respondents as to whether the mayoral dashboard measured the wrong things, requires further investigation and clarification (Histogram Question 28:224).

The overall responses warrant the assessment that the mayoral dashboard conformed to the requirements of the second criteria of the assessment model, albeit that the classification of the results of what is being measured requires some clarification.

5.4.3 Strategic assumptions

Questionnaire questions 4, 6 and 9 were linked to the criteria for enhanced strategic assumptions.

In response to a direct question as to whether respondents were allowed to challenge the assumptions made in the compilation of the mayoral dashboard, an interesting result emanated from the responses. Sixty percent of the politicians (6 of 10) were of the view that they were afforded the opportunity to challenge the strategic assumptions with one undecided and three disagreeing (30%).

The senior management responses were split in 40% (4 of 10) agreeing that they were allowed to challenge the assumptions and 40% (4 of 10) disagreeing with two uncertain. Whilst the combined result indicates 50% (10 of 20) agreeing that they had been allowed to challenge the assumptions, 35% (7 of 20) felt they were not allowed the opportunity to challenge the assumptions made in the the compilation and finalisation of the mayoral dashboard with 15% (3 of 20) uncertain (Histogram Question 4:200).

On whether the respondent was consulted with the goal-setting for directorates, 90% (9 of 10) senior managers were in agreement with 70% (7 of 10) politicians confirming that they were consulted. The combined response of 80% (16 of 20) was positive and confirmed that there had been sufficient consultation with respect to directorate goal-setting (Histogram Question 6:202).

As to whether the mayoral dashboard has had strategic value in the municipality, 70% (14 of 20) respondents were of the view that it did indeed. Whilst no politician was of the view that the mayoral dashboard did not have strategic value in the municipality, three senior managers disagreed (Histogram Question 9:205).

Whilst the results indicated that the mayoral dashboard did have strategic value in the municipality, the results also indicate inadequate allowance for particularly the senior management to challenge or confirm the assumptions made in the finalisation of the mayoral dashboard. This finding is in conflict with the finding emanating from the analysis of Question 6, which confirmed that there was sufficient consultation in respect of directorate goal-setting.

On overall assessment it must be concluded that the mayoral dashboard did not fully meet the third criteria of the assessment model and that additional opportunity be created for participants to challenge or confirm the assumptions on which the mayoral dashboard was compiled and finalised, or at least clarify the disjuncture between the findings of Questions 4 and 6.

5.4.4 Indicators and targets

Questionnaire Questions 7, 8 and 18 were linked to the criteria for enhanced indicators and targets.

In response to whether the indicators in the mayoral dashboard were well-defined and easy to understand, 85% (17 of 20) respondents confirmed that it was indeed the case. 10% (2 of 20) disagreed with the statement and 5% (1 of 20) was uncertain (Histogram Question 7:203).

The question whether the targets in the mayoral dashboard were realistic yielded a positive response of 85% (17 of 20). In this regard 90% (9 of 10) politicians and 70% (7 of 10) senior managers agreed that the targets were indeed realistic (Histogram Question 8:204).

In response to whether the annual SDBIP is an accurate plan to monitor the implementation of directorate budgets, 80% (16 of 20) respondents agreed. Two senior managers and one politician disagreed (Histogram Question 18:214).

The overall findings are therefore that the mayoral dashboard included well-defined and clear indicators, realistic targets and that it was able to monitor the budget implementation because it included the directorate SDBIP.

5.4.5 Trends and early warning

Questionnaire Questions 11 and 15 were linked to the criteria for enhanced trends and early warning.

80% (16 of 20) respondents indicated that they could detect trends from the quarterly mayoral dashboard meetings where they could ascertain where things went wrong whilst 20% (4 of 20) disagreed with the statement (Histogram Question 11:207).

Whether the mayoral dashboard was devised in a manner that served as an early warning system, 75% (15 of 20) respondents agreed that the results in the quarterly mayoral dashboard reports were easy to interpret because of the dashboard's colour codes. 15% (3 of 20) disagreed and two respondents were uncertain (Histogram Question 15:211).

The overall findings are therefore that the mayoral dashboard met the criteria of an early warning system.

5.4.6 Economy, Efficiency, Effectiveness and Resources

Questionnaire Questions 12, 13, 20, 25 and 28 were linked to the criteria for economy, efficiency, effectiveness and resources.

There is no clear indication that the mayoral dashboard contributed towards the politicians and the senior management having become more cost conscious as a result of the said mayoral dashboard. 40% (4 of 10) of the politicians indicated that they agree with the notion whereas 30% (3 of 10) were uncertain with the other 30% (3 of 10) disagreeing. Among the senior management 60% (6 of 10) agreed that the mayoral dashboard made them more cost conscious with 30% (3 of 10) disagreeing and one being uncertain. The combined response resulted in 50% (10 of 20) indicating that the

mayoral dashboard did make them more cost conscious with 30% (6 of 20) disagreeing and 20% (4 of 20) being uncertain (Histogram Question 12:208).

On whether the mayoral dashboard contributed to the alignment of resources and capacity with the implementation of the IDP, the combined response, i.e. 65% (13 of 20) indicated that it was indeed the case with 30% (6 of 20) disagreeing and one uncertain. It must therefore be accepted that the mayoral dashboard contributed to the alignment of resources in respect of the implementation of the IDP in the municipality (Histogram Question 13: 209).

On the importance of the SDBIP as a performance monitoring tool 85% (17 of 20) agreed that it does assist with performance monitoring. Two senior management member disagreed with the SDBIPs value in respect of performance monitoring with one strongly disagreeing. One politician also strongly disagreed and this particular response, albeit it low in relation to the positive responses, requires further assessment and possible training (Histogram Question 20:216).

The findings on the measurement of quality of services by the mayoral dashboard were less convincing in that only 55% (11 of 20) respondents agreed that it did measure quality of service whereas 25% (5 of 20) were uncertain and 20% (4 of 20) disagreed. Albeit that the survey produced a positive overall result, the positive result is marginal and therefore warrants further assessment and perhaps improved defining of what is implied by the quality of services (Histogram Question 25:221).

On whether the mayoral dashboard measured the wrong things in the City of Cape Town, the combined response was that 70% (14 of 20) disagreed, 25% (5 of 20) was uncertain and one agreed. It can therefore be argued that the mayoral dashboard measured the right things (Histogram Question 28:224).

The overall findings in respect of the measurement of the three E's (economy, efficiency and effectiveness) remains a challenge in relation to performance measurement in the City of Cape Town was concerned. The survey indicated to clear results in respect of the mayoral dashboard's role in elevating the importance of the SDBIP as a performance monitoring tool and its role in the alignment of resources in

relation to the implementation of the City's IDP. The results of the survey also indicated that the mayoral dashboard, whilst measuring the right things, did not succeed to sufficiently assist towards making the senior leadership in the City of Cape Town more cost conscious or to measure the quality of services. Both these two issues require further assessment and explanation for clarity purposes for the senior leadership to embrace it.

5.4.7 High level view and data classification

Questionnaire Questions 10, 14, 27 and 30 were linked to the criteria for enhanced transparency and accountability.

65% (13 of 20) of the respondents agreed that the mayoral dashboard measured service delivery performance within the respective directorates whereas 30% (6 of 20) disagreed with one uncertain. (Histogram Question 10:206).

On whether the results in the quarterly mayoral dashboard reports were aggregated data, the combined response indicated that 60% (12 of 20) did understand it accordingly with 40% (8 of 10) respondents being uncertain. This high level of uncertainty warrants further assessment of the understanding of the classification of that what was being measured by the mayoral dashboard and more specifically, the packaging of the results. This finding is validated by the response to Questionnaire Question 30 (Histogram Question 14:220).

50% (10 of 20) respondents disagreed that the mayoral dashboard followed a one-size-fits-all approach to performance measurement with 30% (6 of 20) indicating that they agreed and 20% (4 of 20) uncertain. The deduction that can be made from this result is that there is significant uncertainty and disagreement on what the approach with the mayoral dashboard constitutes (Histogram Question 27:223).

On whether the quarterly mayoral dashboard merely reflected outputs of short-term projects and programmes, 40% (4 of 10) politicians disagreed with 30% (3 of 10) uncertain and two agreeing. On the other hand 70% (7 of 10) of senior management agreed that the mayoral dashboard results were short-term outputs with three

disagreeing. The combined result 45% (9 of 20) agreeing with the statement and 35% (7 of 20) disagreeing and 20% (4 of 20) uncertain. This result confirms that there is an obvious difference of interpretation between politicians and senior management on concepts such as outputs, outcomes and impact that must be clarified to achieve consensus on the meaning of such concepts (Histogram Question 30:226).

The overall assessment of its measurability and particularly whether the results in the mayoral dashboard represented high-level aggregated data proved that work needs to be done in relation to the common understanding of performance measurement concepts and the interpretation of the meaning of the results to the senior leadership in the City of Cape Town.

5.4.8 Role definition and manipulation

Questionnaire Questions 5, 16 and 29 were linked to the criteria for enhanced role definition and manipulation.

On whether the mayoral dashboard implementation guidelines were simplistic and easy to follow yielded an overall positive response of 80% (16 of 20) with 15% (3 of 20) uncertain and one in disagreement (Histogram Question 5:201).

70% (14 of 20) respondents agreed that the mayoral dashboard performance parameters were aligned to the parameters within the City's SAP integrated technology and computer system, whilst 25% (5 of 20) were uncertain and one in disagreement. The deduction hereof is that the mayoral dashboard system is not easy to manipulate. (Histogram Question 16:212).

Interestingly as to whether the monitoring of SDBIP implementation by directorates should be done by the city manager as opposed to the executive mayor, the overwhelming result, that is 80% (16 of 20) preferred it to be done by the city manager. 15% (3 of 20) disagreed with one uncertain. This result raises the question as to whether the roles and responsibilities of the respective role-players have been clarified and particularly whether the executive mayor assigned performance measurement responsibilities to the city manager (Histogram Question 29:225).

The overall assessment of the mayoral dashboard in relation to this criteria is that the implementation guidelines of the system are simplistic and easy to understand, that the system itself is not open to easy manipulation but that the roles and responsibilities in relation to particularly the statutory criteria were not appropriately dealt with. A re-assessment of the roles and responsibilities in regard to the implementation of the system is therefore required.

5.4.9 Success and under-performance

Questionnaire Question 24 and 26 were linked to the criteria for enhanced success and under-performance.

In response to whether the mayoral dashboard quarterly close-out report assisted with highlighting service delivery problems that led to remedial action, 70% (14 of 20) indicated agreement and 20% (4 of 10) disagreement with two uncertain (Histogram Question 24:220).

On whether the mayoral dashboard always had punitive results for directorates being measured, 70% (14 of 20) disagreed, 25% (5 of 20) were uncertain and one agreed (Histogram Question 26:222).

The overall assessment of this criteria is that the mayoral dashboard system did not have a punitive objective and that it did in fact contribute towards the timely institution of remedial action in cases of under-performance.

5.4.10 Fairness of system

Questionnaire Questions 17, 21, 22 and 23 were linked to the criteria for enhanced transparency and accountability.

90%(18 of 20) respondents indicated that they were treated fair and allowed to explain deviations from quarterly performance targets with one uncertain and one in disagreement (Histogram Question 17:213).

In corroboration of the above-mentioned result, the response to whether the quarterly mayoral dashboard meetings were positive was exactly the same, that is 90% (18 of 20) in agreement with one uncertain and one in disagreement (Histogram Question 21: 217).

On whether the quarterly dashboard meetings created opportunity where respondents could adequately explain performance deviations, the result was similar to Histogram Questions 17 and 21 above.

On whether the quarterly mayoral dashboard meetings were collaborative and offered solutions to service delivery problems, 80% (16 of 20) agreed, three were uncertain and one disagreed (Histogram Question 23:219).

The overall assessment of the mayoral dashboard in relation to Criteria 10 of the assessment model is that it treated professionals fair, it created an environment where problems were solved collaboratively and that the environment within which the mayoral dashboard was practiced, was generally positive.

5.4.11 Overall findings of the mayoral dashboard performance measurement system

A compliance check of the mayoral dashboard system is indicated in Table 5.2 hereunder:

Table 5.2: Mayoral Dashboard Compliance Rating

| N O | CRITERIA | COMPLIANCY RATING | | | COMMENT |
|--------|---|----------------------|----|------------|---|
| | | YES | NO | PART LY | |
| 1 | Transparency and Accountability | X | | | Some indecisiveness whether accountability and oversight was sufficient without the mayoral dashboard |
| 2 | Organisational goal-setting | X | | | Sufficient validation that there was alignment between the mayoral dashboard and the City's IDP |
| 3 | Strategic assumptions | | | X | Whilst 50% respondents indicated that they were allowed to challenge the strategic assumptions made in the finalisation of the mayoral dashboard, a similar proportion indicated that they were not allowed or were uncertain |
| 4 | Indicators and targets | X | | | Strong validation of well-defined indicators and realistic targets |
| 5 | Trends and early warning | X | | | Strong validation of the mayoral dashboard reflecting performance trends and serving as an early warning system |
| 6 | Economy, efficiency, effectiveness and alignment with resources | | | X | Whilst the responses confirmed the importance of the SDBIP as a performance monitoring tool, there was less convincing findings in respect of the mayoral dashboard's role in making participants more cost conscious and whether it measured the quality of services |
| 7 | High level data and view | | | X | Whilst there is sufficient validation of the directorate specific results that were being measured, the classification of the results as either outputs, outcomes or impact appears to be problematic and must be resolved |
| 8 | Role definition and manipulation | X | | | Of interest is that the majority responses indicated that the city manager and not the executive mayor should undertake the performance measurement responsibilities |

| | | | | | |
|----|-------------------------------|---|--|--|--|
| 9 | Success and under-performance | X | | | The perception towards the mayoral dashboard is positive and the general view was that it did not have punitive objectives for participants, which implies that it is a useful management tool |
| 10 | Fairness of the system | X | | | The general view was that the mayoral dashboard was a fair system |

Source: Developed by researcher for purposes of this study (2016)

The overall finding is that the mayoral dashboard system meets the majority of the criteria of the assessment model and must therefore be deemed a successful performance measurement system. However, Table 5.2 above indicates certain areas of the mayoral dashboard that requires further development. All the development areas relate to the planning and preparation for performance monitoring and if not resolved, the future interpretation of performance results remains at risk.

Based on this research study it can be stated that the mayoral dashboard performance measurement system, irrespective of it requiring a few adjustments, is an effective system that has contributed positively towards improved performance monitoring in the City of Cape Town.

5.5 SUMMARY

This chapter developed an assessment model based on selected criteria extracted from chapters 2 and 3 of this research study. Whilst it is acknowledged that the assessment model developed herein may be interpreted by those that, according to Rogers (1999:65-66), see only the problems and even dangers in any attempt to measure the performance of public services, as incomplete, the researcher, with the benefit of many years local government experience, is of the view that it provides a fair basis in terms of which the adequacy of the mayoral dashboard was assessed. This chapter further assessed and evaluated the mayoral dashboard and made objective findings that may contribute towards the improvement of the system.

The next chapter will conclude this research by making implementable recommendations in respect of the mayoral dashboard that may improve the system and performance monitoring in general in the City of Cape Town.

CHAPTER 6

RECOMMENDATIONS AND CONCLUSION

6.1 INTRODUCTION

The preceeding chapters in this study described the research approach and methodolgy followed by the researcher that included a detailed literature review on performance measurement and monitoring, provided an overview of performance monitoring in the South African local government context, elaborated on the mayoral performance monitoring dashboard utilised within the City of Cape Town and developed an assessment model for the mayoral dashboard that included selected normative and specific statutory criteria, assessed the mayoral dashboard and made findings in respect of each of the ten criteria in the assessment model and finally rated the compliancy of the mayoral dashboard against the assessment model based on the results of the survey that was undertaken for this purpose. The previous chapter also included a rating of the effectiveness (compliance) of the mayoral dashboard that answered the research problem and found that the mayoral dashboard is an effective system that requires further development.

This chapter will summarise the study and consider the findings of the study with a view to making recommendations to further improve the mayoral dashboard system. Secondary to the afore-mentioned objective the recommendations in this chapter will point towards further possible research opportunities in respect of the very relevant but complicated subject matter of performance measurement and monitoring in local government.

6.2 SUMMARY OF STUDY

6.2.1 Overview of the study

Chapter 1 of this study dealt with an overview of the proposed study. In explaining the background to the study the rationale for the study was explained where the emphasis was on the poor state of South African municipalities and the important role that

performance monitoring could play to improve the situation. The reasons for selecting the topic is aligned to the rationale for the study but added the negative effects of lack of accountability, corruption, poor service delivery results of municipalities and the need for an assessment of the mayoral dashboard system as applied in the City of Cape Town.

The study was furthermore contextualised to the extent that it aimed to only address the statutory peremptory role of an executive mayor in relation to performance monitoring and that it does not cover or include the entire aspect of municipal performance management.

A research problem was formulated and an appropriate research question was designed around the research problem. The research objectives included a literature review, selecting normative criteria for an assessment model, an assessment of the City of Cape Town's performance management framework and relevant legislation.

The significance of the study highlighted its uniqueness and the possibility that this study would lead to the possible improvement of the mayoral dashboard performance measurement system. The uniqueness of the study is also a limitation of the study in that it only dealt with the performance measurement responsibilities of an executive mayor.

The research design and methodology followed included the development of a 30 questions questionnaire followed by data gathering via an email survey and is explained in greater detail in 6.2.5 hereof.

6.2.2 A literature review of performance monitoring

Chapter 2 of this study presented a comprehensive literature review on the subject of performance management and performance monitoring. This study took great care in defining performance monitoring in general but also in relation to its meaning for local government. Articles and books consulted included the work of renowned authors in performance and local government management such as Ammons, Atkinson, Barber, Behn, Bellafontaine, Bevan, Bhattacharjee, Castro, Craythorne, Davila, De Bruijn, De

Waal, Goetz, Halligan, Herholdt, Hood, Jann, Jantz, Jackson, Jenkins, Kok, Marr, Moynihan, Pandey, Rogers, Shapiro, Stewart, Stoney, Thompson, Turok, Venter, and also the South African Presidency's Performance Monitoring Unit. In consulting the above-mentioned sources, further context was given to this study in that the most common elements pertaining to performance monitoring were selected in chapter 5 of this study to contribute towards the development of an assessment model for the mayoral dashboard performance measurement system. What came out abundantly clear from the literature review in this study was that a one-size-fits-all approach in relation to performance monitoring is impractical and unlikely to offer a complete solution to the ongoing performance measure challenge.

Care was also taken in this study to not over-emphasize the positive aspects of performance monitoring only and ample explanation of the negative aspects of performance monitoring with the necessary caution is offered in the literature review. The literature review in this study was however sufficient to present enough normative elements of performance monitoring that assisted this study in offering a better understanding of performance monitoring.

6.2.3 Performance monitoring in the South African local government context

Chapter 3 of this study covered the complex nature of the South African municipal statutory environment in relation to performance management in municipalities and very pertinently the role of the executive mayor in this regard. A study was made and presented of the acts, regulations and policies to provide understanding of the context of the mayoral dashboard and where it finds alignment within the City of Cape Town specifically and municipalities in general.

This chapter also presented clarity on the aspect of performance monitoring within the broader local government environment with reference to the roles and responsibilities of national and provincial government. In this regard reference was made to important policy papers, legislation and future developments by means of the Back-to-Basics initiative of COGTA.

In contextualising the role of the executive mayor in relation to the mayoral dashboard performance measurement system, very specific mention and elucidation was made to the City of Cape Town's system of delegations of power and particularly the delegations given to the executive mayor by the council of the City of Cape Town. These delegations are pivotal to the successful managing of the mayoral dashboards and if other municipalities will consider implementing this system, they must start with the delegations of power to the executive mayor.

This chapter of the study also outlined the six different performance management systems within the City of Cape Town's performance policy framework with an explanation of its approach to the finalising of corporate and departmental scorecards, formulation of key performance indicators and a detailed explanation of the importance of a service delivery budget implementation plan.

Without undermining the importance of performance reporting and monitoring in South African municipalities, this study also highlighted the complexity of the local government regulatory framework, which often causes performance reporting and monitoring to become a mere compliance requirement and therefore renders the benefits of an early-warning system through performance monitoring redundant.

6.2.4 The performance monitoring model utilised by the executive mayor of the City of Cape Town

Chapter 4 of this study explained the background to the mayoral dashboard, which was an initiative of former executive mayor of Cape Town, Helen Zille in 2007. This chapter also depicted the reporting lines within the City of Cape Town and subsequently very specifically the top management structure. The top management structure and the mayoral committee are the primary participants and role-players in the mayoral dashboard.

This chapter also explained the nature, compilation and functioning of the current mayoral dashboard performance measurement system developed in the City of Cape Town in 2012. It also describes the steps to follow to develop a scorecard, which forms part of the mayoral dashboard measurement and assessment process. In describing

the nature of the mayoral dashboard, caution is again given that there are several ways to architect a dashboard and that there is no absolute correct one. This chapter goes at great length to explain how the dashboard's colour codes are affected by alphabetical trigger codes, which codes generate a certain response from a @If formula in Excel format. This formula lies at the very heart of the mayoral dashboard and can be copied by other municipalities and adapted in accordance with their municipalities' respective performance parameters. This study also explains the alignment, meaning and importance of the respective colour codes produced by the mayoral dashboard in response to specific performance results.

This chapter concludes by emphasising the importance of close-out reports after the quarterly mayoral dashboard sessions. More importantly the study indicates how quarterly close-out reports should be dealt with by stakeholders if same were to be of any benefit to the municipality and top management.

6.2.5 Assessment of the mayoral dashboard and findings

Chapter 5 of this study focussed on the compilation of a model against which the City of Cape Town's mayoral dashboard will be assessed against to determine the effectiveness of the system. In compiling an assessment model certain dominant and common criteria emanating from the literature review in chapter 2 and statutory criteria in chapter 3 of this study were aligned. The assessment model further included a description of linkage between the research survey questionnaire and the assessment model and showed the linkages between the normative and statutory criteria with the questionnaire questions. The questionnaire questions were developed to probe the alignment of the mayoral dashboard to the criteria in the assessment model.

The research design and methodology followed secured a high level survey population that included the mayoral committee and the top management of the City of Cape Town (twenty one persons) and the response to the questionnaire yielded a 95% response with only one mayoral committee member electing not to participate. The data collection for the included a 30 question questionnaire that was distributed via email and allowed respondents one week to complete and return. The data analysis entailed

the conversion of raw data gathered into 30 histograms, which informed the findings of this study.

Every histogram was interpreted together with other histograms that were aligned to the same criteria in the assessment model on a criteria-by-criteria basis to inform the findings that were made in this study. The findings were then given a compliance rating, which indicated that, whilst the mayoral dashboard system generally adds value to performance monitoring in the City of Cape Town, a few areas require further research and development.

6.2.6 Recommendations and conclusion.

Based on the evaluation and findings in chapter 5 recommendations are made in 6.3 hereunder that may improve the mayoral dashboard system or enhance the application the application thereof within the City of Cape Town.

6.3 SPECIFIC RECOMMENDATIONS

The high level recommendations that follow hereunder are construed to be practical and have the primary objective to improve the mayoral dashboard system. The recommendations do not include a methodology and if accepted, each recommendation needs to be subjected to a separate assessment in order to understand what needs to be achieved in relation to the enhancement of the mayoral dashboard system.

6.3.1 Transparency and accountability

The study indicated that the mayoral dashboard enhanced transparency, accountability and oversight over implementation performance, there was some level of uncertainty as to whether the absence of the mayoral dashboard would detrimentally affect transparency, accountability and oversight. This result of the survey can possibly be attributed to the fact that the City of Cape Town has a range of assurance providers in respect of accountability and oversight. Not only does the City of Cape Town have a well-functioning system of portfolio committees for each directorate, but also has

institutionalised a statutory performance audit committee, which functions independent and separate from its ordinary statutory audit committee. The uncertainty in regard to the impact of the mayoral dashboard may therefore be that the management control and reporting measures in the City of Cape Town are deemed to be adequate and effective, which is in line with De Bruijn's (2007:8) statement that performance measurement creates transparency and enhances accountability.

It is therefore recommended that:

The executive mayor reconsiders the role that she wishes the mayoral dashboard performance monitoring to play against the understanding that an executive mayor has a statutory obligation to monitor the performance of the municipality.

6.3.2 Organisational goal-setting

Herholdt (2007:10) stressed the importance of clear goal-setting within an organisation, that is to ensure that the means in which the performance was expressed had the same intended outcome, which was clarity of expectations. Whilst there was sufficient validation in the survey that the organisational goal-setting was clear, the subsequent findings indicated that the classification of the results of what was being measured requires some clarification. An appropriate recommendation herein is included in paragraph 6.3.7 hereunder.

6.3.3 Strategic assumptions

According to this research study the mayoral dashboard did not afford adequate opportunity for the senior leadership to challenge or confirm the assumptions on which the mayoral dashboard was compiled and finalised. This confirms the concern expressed by Marr (2006:16) that *too many performance management approaches assume that the strategic context and business models are well understood by everyone in the organisation, which is often not the case and often the cause of failure of performance management initiatives*. The study did not assess whether the mayoral dashboard allowed for those interpreting the results to either adjust strategies or even abort certain programmes as suggested by Ammons et al (2008:xiii).

It is therefore recommended:

That before the indicators and targets of the mayoral dashboard are finalised in future, opportunity be afforded to the senior leadership to discuss and consider the validity and meaningfulness of indicators in relation to the objectives to be achieved.

6.3.4 Indicators and targets

Local government in general grapples with the problem of finding what Ammons et al (2008:3) refers to as a comprehensive set of measures or metrics that will provide a more complete picture of an organisation's performance. Rogers' (1999:68) view that targets are power instruments that could distract thinking, effort and energy from those things which are not expressed as targets, whilst too few targets may cause policy and service delivery distortions and too many may cause confusion. The research indicated that the mayoral dashboard included well-defined and clear indicators, realistic targets and that it was able to monitor the budget implementation because it included the directorate SDBIP. Whilst these findings appear to be positive in the context of this study, the practice in local government shows limited understanding of the importance of SDBIPs.

It is therefore recommended:

That a training module be developed on SDBIPs and that both the executive leadership and the senior management undergo training on the planning, development and finalisation of SDBIPs with specific reference to the performance measurement and monitoring role that SDBIPs should play in municipalities.

6.3.5 Trends and early warning

The findings of the study were strongly in agreement that the mayoral dashboard met what Ammons et al (2008:3) refers to as the vital information required for management and for oversight in order to know how well the job is done, in other words an early warning system. However, further assessment needs to be undertaken to examine to

what extent the trends indication and early warning that the mayoral dashboard afforded can result in short-term remedial action to avoid costly after the fact interventions that sometimes have punitive consequences.

It is therefore recommended:

That ground rules for the interpretation of the mayoral dashboard results be agreed to between the executive mayor, the mayoral committee members and senior management to ensure consistency of interpretation and remedial action interventions, in particular the nature, process flow, timelines and report back requirements in respect of matters listed in the quarterly close-out reports.

6.3.6 Economy, Efficiency, Effectiveness and Alignment of Resources

The study found that the measurement of the concepts economy, efficiency and effectiveness remains a challenge in relation to performance measurement in the City of Cape Town. Whilst Rogers' (1999:71) primary criteria for performance measurement hinges around his well-known definition of the concepts of economy, efficiency and effectiveness, there are also the views of Ammons et al (2008:6-13), Jann and Jantz (2008:12-13), De Bruijn (2007:7), Kok (2008:223-224) and even the South African Presidency (2007:4) all have differing views on the concepts of economy, efficiency and effectiveness in relation to performance measurements. These views need to be analysed to bring clarity in respect of what the interpretation thereof should be in relation to the mayoral dashboard. Although there was agreement that the mayoral dashboard did elevate the importance of the SDBIP as a performance monitoring tool and its role in the alignment of resources in relation to the implementation of the City's IDP, the results also indicated that the mayoral dashboard, whilst measuring the right things, did not succeed to sufficiently assist towards making the senior leadership in the City of Cape Town more cost conscious or to measure the quality of services. Both these two issues require further assessment and explanation for clarity purposes for the senior leadership to embrace it.

It is therefore recommended:

That training be afforded to the executive leadership and the senior management of the City of Cape Town what is contemplated by the concepts of economy, efficiency and effectiveness not only in relation to input costs but also in respect of the costs and quality of outputs and outcomes.

6.3.7 High level view and data classification

The study confirmed De Bruijn's (2007:20) concern that aggregated data tends to blur the insight between effort and performance that cause non-professional users of the performance information to make their own deductions and interpretations. De Bruijn was so concerned about the interpretation of aggregated data by non-professionals that he was of the view that it would result in injustice being done to performance itself. He was further of the view that anyone who would dare to question the reality behind the results or for the assumption and aggregation rules used, will be accused of not wanting to face facts. If meanings differ, there would be a risk of professionals trying to make figures less ambiguous in order to prevent wrong interpretations. It is therefore obvious that work needs to be done in respect of the understanding of performance measurement concepts and more specifically the interpretation of the meaning of the results in the mayoral dashboard to the executive leadership and senior management in the City of Cape Town. The assumption that the occupants of these senior positions automatically share the same view on the classification of the results were dismissed by this study. Roger's (1999:70) purist approach to measurement perfection includes the notion of first determining the criteria in terms of which indicators will be selected and around what data such indicators must be developed.

It is therefore recommended:

That training sessions for the senior leadership in the municipality be arranged with a view to achieving common understanding of performance measurement and monitoring related concepts whereby which the results reflected in the mayoral dashboard can be classified or categorised.

6.3.8 Role definition and manipulation

Stoney and Bellefontaine's (2008:67) caution that if performance information is misconstrued or selectively interpreted, it could be used as a tool to either gain or maintain institutional or political power remains important in the context of the mayoral dashboard. Rogers (1999:66-67) issued an even stronger caution when he stated that performance measurement can become a dangerous weapon between councillors and officials. The findings of this study in relation to role definition and the manipulation of the system were that the implementation guidelines of the system are simplistic and easy to understand and that the system itself is not open to easy manipulation. But it also found that the roles and responsibilities in relation to particularly the statutory criteria applicable to performance measurement were not appropriately dealt with in the current practice of the system. There was a particular strong view expressed that the actual performance measurement should be undertaken by the city manager as opposed to the executive mayor.

It is therefore recommended:

That a re-assessment of the roles and responsibilities in regard to the implementation of and reporting on the mayoral dashboard system be undertaken.

6.3.9 Success and under-performance

The study found that the mayoral dashboard system did not have a punitive objective and that it did in fact contribute towards the timely institution of remedial action in cases of under-performance. On the other hand the mayoral dashboard performance measurement system also did not include rewards as argued by Rogers (1999:68) with reference to the power of targets that may be used as a reward or punishment system. De Bruijn's (2007:26) view that performance management should, from a rational perspective, reward productivity was not assessed in this study.

It is therefore recommended:

That research be undertaken to include a reward and punishment determination in the mayoral dashboard system.

6.3.10 Fairness of system

The research findings in respect of the fairness of the mayoral dashboard is that it treated professionals fair, it created an environment where problems were solved collaboratively and that the environment within which the mayoral dashboard was practiced, was generally positive. No recommendation is therefore made in this regard.

6.4 CONCLUSION

This study has successfully scrutinised the development, nature and functioning of the mayoral dashboard performance measurement system in the City of Cape Town. This study has also succeeded in the assessment of the mayoral dashboard performance measurement system by:

- Analysing and confirming the statutory obligation of an executive mayor to performance monitor a municipality;
- Assessing and confirming the role of the mayoral dashboard performance measurement system in respect of contributing to and enhancing of transparency and accountability in the City of Cape Town;
- Assessing and confirming the effectiveness of the mayoral dashboard performance measurement system and making qualitative evaluations followed by criteria related findings.

Besides the very detailed research response to the research problem, feasible recommendations were developed and presented to further improve the system.

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Annexure A : Local Government in respect of Performance Management

| NO | LEGISLATION | DETERMINATION |
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| 1 | RSA Constitution: Section 195(1)(f) | Public administration must be governed by the demographic values and principles enshrined in the Constitution, including the following principles: Public administration must be accountable |
| 2 | RSA Constitution: Section 156(7) | The national government subject to section 44, and the provincial governments have the legislative and executive authority to see to the effective performance by municipalities of their functions in respect of the matters listed in Schedule 4 and 5, by regulating the exercise by municipalities of their executive authority referred to in section 156(1) |
| 3 | RSA Constitution: Section 152(1)(a) | The objects of local government are: to provide democratic and accountable government for local communities |
| 4 | RSA Constitution: Section 41(1)(c) | All spheres of government and all organs of state must: provide effective, transparent, accountable and coherent government for the Republic as a whole |
| 5 | Municipal Structures Act: Sections 56(3)(a) to (d) | <p>the executive mayor must:</p> <ul style="list-style-type: none"> (a) identify and develop criteria in terms of which progress in the implementation of strategies, programmes and services referred to in subsection 2(c) can be evaluated, including key performance indicators which are specific to the municipality and common to local government in general; (b) evaluate progress against the key performance indicators; (c) review the performance of the municipality in order to improve – <ul style="list-style-type: none"> (i) the economy, efficiency and effectiveness of the municipality; (ii) the efficiency of credit control and revenue and debt collection services; and (iii) the implementation of the municipality's by-laws; (d) monitor the municipality's administration in accordance with the directions of the municipal council. |
| 7 | Municipal Systems Act: Section 39 | <p>The executive mayor must -</p> <ul style="list-style-type: none"> (a) manage the development of the municipality's performance management system; (b) assign responsibilities in this regard to the municipal manager; (c) submit the proposed system to the municipal council for adoption. |
| 8 | Municipal Systems Act: Section 40 (Delegated to the | A municipality must establish mechanisms to monitor and review its performance management system. |

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| | executive mayor in terms of Delegation 8(2) of the Delegations of Power of the City of Cape Town)) | |
| 9 | Municipal Systems Act: Section 41 | <p>(1) A municipality must in terms of its performance management system and in accordance with any regulations and guidelines that may be prescribed -</p> <ul style="list-style-type: none"> (a) set appropriate key performance indicators as a yardstick for measuring performance, including outcomes and impact, with regard to the municipality's development priorities and objectives set out in its IDP; (b) set measurable performance targets with regard to each of those development priorities and objectives; (c) with regard to each of those development priorities and objectives and against the key performance indicators and targets set in terms of paragraphs (a) and (b) – <ul style="list-style-type: none"> (i) monitor performance; and (ii) measure and review performance at least once a year; (a) take steps to improve performance with regard to those development priorities and objectives where performance targets are not met; and (b) establish a process of regular reporting to – <ul style="list-style-type: none"> (i) the council, other political structures, political office bearers and staff of the municipality; and (ii) the public and appropriate organs of state. <p>(2) The system applied by a municipality in compliance subsection 1(c) must be devised in such a way that it may serve as an early warning indicator of under-performance.</p> |
| 10 | Municipal Systems Act: Section 45 | <p>The results of the performance measurements in terms of section 41(1)(c) must be audited -</p> <ul style="list-style-type: none"> (a) as part of the municipality's internal auditing processes; and (b) annually by the Auditor-General. |
| 11 | Municipal Systems Act: Section 46 | <p>(1) A municipality must prepare for each financial year a performance report reflecting -</p> <ul style="list-style-type: none"> (a) the performance of the municipality and each external service provider during that financial year; (b) a comparison of the performances referred to in paragraph (a) with targets set for and performances in the previous |

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| | | <p>financial year;</p> <p>(c) measures taken to improve performance.</p> <p>(2) An annual performance report must form part of the municipality's annual report in terms of Chapter 12 of the MFMA.</p> |
| 12 | MFMA: Section 52 | <p>The mayor of a municipality -</p> <p>(a) must provide general political guidance over the fiscal and financial affairs of the municipality;</p> <p>(b) in providing such general political guidance, may monitor and, to the extent provided in this Act, oversee the exercise of responsibilities assigned in terms of this Act to the accounting officer and the chief financial officer, but may not interfere in the exercise of those responsibilities;</p> <p>(c) must take all reasonable steps to ensure that the municipality performs its constitutional and statutory functions within the limits of the municipality's approved budget;</p> <p>(d) must, within 30 days of the end of each quarter, submit a report to the council on the implementation of the budget and the financial state of affairs of the municipality; and</p> <p>(e) must exercise the other powers and perform the other duties assigned to the mayor in terms of this Act or delegated by the council to the mayor.</p> |
| 13 | MFMA: Section 53 | <p>(1) The mayor of a municipality must -</p> <p>(a) provide general political guidance over the budget process and the priorities that must guide the preparation of a budget;</p> <p>(b) co-ordinate the annual revision of the integrated development plan in terms of section 34 of the Municipal Systems Act and the preparation of the annual budget, and determine how the integrated development plan is to be taken into account or revised for the purposes of the budget; and</p> <p>(c) take all reasonable steps to ensure—</p> |

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| | | <ul style="list-style-type: none"> (i) that the municipality approves its annual budget before the start of the budget year; (ii) that the municipality's service delivery and budget implementation plan is approved by the mayor within 28 days after the approval of the budget; and (iii) that the annual performance agreements as required in terms of section 57(1)(b) of the Municipal Systems Act for the municipal manager and all senior managers - <ul style="list-style-type: none"> (aa) comply with this Act in order to promote sound financial management; (bb) are linked to the measurable performance objectives approved with the budget and to the service delivery and budget implementation plan; and (cc) are concluded in accordance with section 57(2) of the Municipal Systems Act. <p>(2) The mayor must promptly report to the municipal council and the MEC for finance in the province any delay in the tabling of an annual budget, the approval of the service delivery and budget implementation plan or the signing of the annual performance agreements.</p> <p>(3) The mayor must ensure -</p> <ul style="list-style-type: none"> (a) that the revenue and expenditure projections for each month and the service delivery targets and performance indicators for each quarter, as set out in the service delivery and budget implementation plan, are made public no later than 14 days after the approval of the service delivery and budget implementation plan; and (b) that the performance agreements of the municipal manager, senior managers and any other categories of officials as may be prescribed, are made public no later than 14 days after the approval of the municipality's service delivery and budget implementation plan. Copies of such performance agreements must be submitted to the council and the MEC for local government in the province. |
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| 14 | MFMA: Section 54 | <p>(1) On receipt of a statement or report submitted by the accounting officer of the municipality in terms of section 71 or 72, the mayor must -</p> <ul style="list-style-type: none"> (a) consider the statement or report; (b) check whether the municipality's approved budget is implemented in accordance with the service delivery and budget implementation plan; (c) consider and, if necessary, make any revisions to the service delivery and budget implementation plan, provided that revisions to the service delivery targets and performance indicators in the plan may only be made with the approval of the council following approval of an adjustments budget; (d) issue any appropriate instructions to the accounting officer to ensure - <ul style="list-style-type: none"> (i) that the budget is implemented in accordance with the service delivery and budget implementation plan; and (ii) that spending of funds and revenue collection proceed in accordance with the budget; (e) identify any financial problems facing the municipality, including any emerging or impending financial problems; and (f) in the case of a section 72 report, submit the report to the council by 31 January of each year. <p>(2) If the municipality faces any serious financial problems, the mayor must -</p> <ul style="list-style-type: none"> (a) promptly respond to and initiate any remedial or corrective steps proposed by the accounting officer to deal with such problems, which may include— <ul style="list-style-type: none"> (i) steps to reduce spending when revenue is anticipated to be less than projected in the municipality's approved budget; (ii) the tabling of an adjustments budget; or (iii) steps in terms of Chapter 13; and (b) alert the council and the MEC for local government in the province to those problems. <p>(3) The mayor must ensure that any revisions of the service delivery and budget implementation plan are made public promptly.</p> |
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| 15 | <p>Municipal Budgets and Reporting Regulations</p> <p>GN 393 dated 17 April 2009: Section 31</p> | <p>(1) The mayor's quarterly report on the implementation of the budget and the financial state of affairs of the municipality as required by section 52(d) of the Act must be -</p> <p>(a) in the format specified in Schedule Cand include all the required tables, charts and explanatory information, taking into account any guidelines issued by the Minister in terms of section 168(1) of the Act; and</p> <p>(b) consistent with the monthly budget statements for September, December, March and June as applicable; and</p> <p>(c) submitted to the National Treasury and the relevant provincial treasury within five days of tabling of the report in the council.</p> |
| 16 | <p>Local Government: Municipal Planning and Performance Management Regulations</p> <p>R796 of 24 August 2001: Section 7</p> | <p>(1) A municipality's performance management-system entails a framework that describes and represents how the municipality's cycle and processes of performance planning, monitoring, measurement, review, reporting and improvement will be conducted, organised and managed, including determining the roles of the different role-players.</p> <p>(2) In developing its performance management system, a municipality must ensure that the system-</p> <p>(a) complies with all the requirements set out in the Act;</p> <p>(b) demonstrates how it is to operate and be managed from the planning stage up to the stages of performance and reporting;</p> <p>(c) clarifies the roles and responsibilities of each role-player, including the local community, in the functioning of the system;</p> <p>(d) clarifies the processes of implementing the system within the framework of the integrated development planning process;</p> <p>(e) determines the frequency of reporting and the lines of accountability for performance;</p> <p>(f) relates to the municipality's employee performance management processes;</p> <p>(g) provides for the procedure by which the system is linked to the municipality's integrated development planning processes.</p> |

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| 17 | Local Government: Municipal Planning and Performance Management Regulations R796 of 24 August 2001: Section 8 | A performance management system must be adopted before or at the same time as the commencement by the municipality of the process of setting key performance indicators and targets in accordance with its integrated development plan. |
| 18 | Local Government: Municipal Planning and Performance Management Regulations R796 of 24 August 2001: Section 9 | <p>(1)(a) A municipality must set key performance indicators, including input indicators, output indicators and outcome indicators, in respect of each of the development priorities and objectives referred to in section 26(c) of the Act.</p> <p>(b) A key performance indicator must be measurable, relevant, objective and precise.</p> <p>(2) In setting key performance indicators, a municipality must ensure that-</p> <p>(a) communities are involved; and</p> <p>(b) the key performance indicators inform the indicators set for -</p> <p>(i) all its administrative units and employees; and</p> <p>(ii) every municipal entity and service provider with whom the municipality has entered into a service delivery agreement.</p> |
| 19 | Local Government: Municipal Planning and Performance Management Regulations R796 of 24 August 2001: Section 11 | <p>(1) A municipality must review its key performance indicators annually as part of the performance review process referred to in regulation 13.</p> <p>(2) Whenever a municipality amends its integrated development plan in terms of section 34 of the Act, the municipality must, as part of the process referred to in regulation 3, review those key performance indicators that will be affected by such amendment.</p> |
| 20 | Local Government: Municipal Planning and Performance Management Regulations | <p>(1) A municipality must, for each financial year, set performance targets for each of the key performance indicators set by it.</p> <p>(2) A performance target set in terms of sub regulation (1) must -</p> |

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| | R796 of 24 August 2001: Section 12 | <ul style="list-style-type: none"> (a) be practical and realistic; (b) measure the efficiency, effectiveness, quality and impact of the performance of the municipality, administrative component, structure, body or person for whom a target has been set; (c) be commensurate with available resources; (d) be commensurate with the municipality's capacity; and (e) be consistent with the municipality's development priorities and objectives set out in its integrated development plan. |
| 21 | <p>Local Government: Municipal Planning and Performance Management Regulations</p> <p>R796 of 24 August 2001: Section 13</p> | <ul style="list-style-type: none"> (1) A municipality must, after consultation with the local community, develop and implement mechanisms, systems and processes for the monitoring, measurement and review of performance in respect of the key performance indicators and performance targets set by it. (2) The mechanisms, systems and processes for monitoring in terms of sub regulation (1) must- <ul style="list-style-type: none"> (a) provide for reporting to the municipal council at least twice a year; (b) be designed in a manner that enables the municipality to detect early indications of under-performance; and (c) provide for corrective measures where under-performance has been identified. (3) Performance measurement in terms of sub regulation (1) must include the measurement of - <ul style="list-style-type: none"> (a) costs, resources and time used to produce outputs in accordance with the input indicators referred to in regulation 9; (b) the extent to which the municipality's activities or processes produced outputs in accordance with the output indicators referred to in regulation 9; and (c) the total improvement brought by outputs in accordance with the outcome indicators referred to in regulation 9. (4) The mechanisms, systems and processes for review in terms of sub regulation (1) must at least- |

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| | | <ul style="list-style-type: none"> (a) identify the strengths, weaknesses, opportunities and threats of the municipality in meeting the key performance indicators and performance targets set by it, as well as the general key performance indicators prescribed by regulation 10; (b) review the key performance indicators set by the municipality in terms of regulation 9; and (c) allow the local community to participate in the review process. |
| 22 | Municipal Systems Act: Section 57 | <ul style="list-style-type: none"> (1) A person to be appointed as the municipal manager of a municipality, and a person to be appointed as a manager directly accountable to the municipal manager, may be appointed to that position only - <ul style="list-style-type: none"> (a) in terms of a written employment contract with the municipality complying with the provisions of this section; and (b) subject to a separate performance agreement concluded annually as provided for in subsection (2). (2) The performance agreement referred to in subsection (1)(b) must - <ul style="list-style-type: none"> (a) <ul style="list-style-type: none"> (i) be concluded within 60 days after a person has been appointed as the municipal manager or as a manager directly accountable to the municipal manager, failing which the appointment lapses: Provided that, upon good cause shown by such person to the satisfaction of the municipality, the appointment shall not lapse; and (ii) be concluded annually, thereafter, within one month after the beginning of each financial year of the municipality; <p><i>(Section 57(2)(a) substituted by section 6(1)(a) of Act 7 of 2011)</i></p> (b) in the case of the municipal manager, be entered into with the municipality as represented by the mayor or executive mayor, as the case may be; and (c) in the case of a manager directly accountable to the municipal manager, be entered into with the municipal |

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| | | <p>manager.</p> <p>(3) The employment contract referred to in subsection (1)(a) must-</p> <p>(a) include details of duties, remuneration, benefits and other terms and conditions of employment as agreed to by the parties, subject to consistency with-</p> <p>(i) this Act;</p> <p>(ii) any regulations as may be prescribed that are applicable to municipal managers or managers directly accountable to municipal managers; and</p> <p>(iii) any applicable labour legislation; and</p> <p>(b) be signed by both parties before the commencement of service.</p> <p><i>(Section 57(3) substituted by section 6(1)(b) of Act 7 of 2011)</i></p> <p>(3A) Any regulations that relate to the duties, remuneration, benefits and other terms and conditions of employment of municipal managers or managers directly accountable to municipal managers, must be regarded as forming part of an employment contract referred to in subsection (1)(a).</p> <p><i>(Section 57(3A) inserted by section 6(1)(c) of Act 7 of 2011)</i></p> <p>(4) The performance agreement referred to in subsection (1)(b) must include -</p> <p>(a) performance objectives and targets that must be met, and the time frames within which those performance objectives and targets must be met;</p> <p>(b)</p> <p><i>(Section 57(4)(b) deleted by section 6(1)(d) of Act 7 of 2011)</i></p> <p>(c) the consequences of substandard performance.</p> <p>(4A) The provisions of the Municipal Finance Management Act conferring responsibilities on the accounting officer of a</p> |
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| | | <p>municipality must be regarded as forming part of the performance agreement of a municipal manager.</p> <p><i>(Section 57(4A) inserted by section 8 of Act 44 of 2003)</i></p> <p>(4B) Bonuses based on performance may be awarded to a municipal manager or a manager directly accountable to the municipal manager after the end of the financial year and only after an evaluation of performance and approval of such evaluation by the municipal council concerned.</p> <p><i>(Section 57(4B) inserted by section 8 of Act 44 of 2003)</i></p> <p>(4C) Any regulations that relate to standards and procedures for evaluating performance of municipal managers or managers directly accountable to municipal managers, and intervals for evaluation, must be regarded as forming part of a performance agreement referred to in subsection (1)(b).</p> <p><i>(Section 57(4C) inserted by section 6(1)(e) of Act 7 of 2011)</i></p> <p>(5) The performance objectives and targets referred to in subsection (4)(a) must be practical, measurable and based on the key performance indicators set out from time to time in the municipality's integrated development plan.</p> <p>(6) The employment contract for a municipal manager must -</p> <p>(a) be for a fixed term of employment up to a maximum of five years, not exceeding a period ending one year after the election of the next council of the municipality;</p> <p><i>(Section 57(6)(a) substituted by section 12 of Act 19 of 2008)</i></p> <p>(b) include a provision for cancellation of the contract, in the case of non-compliance with the employment contract or, where applicable, the performance agreement;</p> <p>(c) stipulate the terms of the renewal of the employment contract, but only by agreement between the parties; and</p> <p>(d) reflect the values and principles referred to in section 50, the Code of Conduct set out in Schedule 2, and the management standards and practices contained in section 51.</p> |
| 23 | Local Government: Municipal Performance Regulations for | The purpose of the agreement is to: |

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| | Municipal Managers and Managers directly accountable to Municipal Managers, R805 dated 1 August 2006: Section 23 | <ol style="list-style-type: none"> (1) comply with the provisions of Section 57(1)(b), (4A), (4B) and (5) of the Act as well as the employment contract entered into between the parties; (2) specify objectives and targets defined and agreed with the employee and to communicate to the employee the employer's expectations of the employee's performance and accountabilities in alignment with the Integrated Development Plan, Service Delivery and Budget Implementation Plan (SDBIP) and the Budget of the municipality; (3) specify accountabilities as set out in a performance plan, which forms an annexure to the performance agreement; (4) monitor and measure performance against set targeted outputs; (5) use the performance agreement as the basis for assessing whether the employee has met the performance expectations applicable to his or her job; (6) in the event of outstanding performance, to appropriately reward the employee; and (7) give effect to the employer's commitment to a performance- orientated relationship with its employee in attaining equitable and improved service delivery. |
| 24 | Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, R805 dated 1 August 2006: Section 24 | <ol style="list-style-type: none"> (1) The performance agreement must be entered into for each financial year of the municipality, or part thereof. (2) The parties must review the provisions of this agreement during June each year and must conclude a new performance agreement that replaces the previous agreement at least once a year within one month after the commencement of the new financial year. (3) The agreement will terminate on the termination of the employee's contract of employment for any reason. (4) If at any time during the validity of the agreement the work environment alters to the extent that the contents of the agreement are no longer appropriate, the contents must by mutual agreement between the parties, immediately be revised. |
| 25 | Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly | <ol style="list-style-type: none"> (1) The performance plan sets out: <ol style="list-style-type: none"> (a) The performance objectives and targets that must be met by the employee; and |

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| | accountable to Municipal Managers, R805 dated 1 August 2006: Section 25 | <p>(b) the time frames within which those performance objectives and targets must be met.</p> <p>(2) The performance objectives and targets reflected in the performance plan are set by the employer in consultation with the employee and based on the Integrated Development Plan, Service Delivery and Budget Implementation Plan (SDBIP) and the Budget of the municipality, and shall include key objectives; key performance indicators; target dates and weightings.</p> <p>(3) The key objectives describe the main tasks that need to be done. The key performance indicators provide the details of the evidence that must be provided to show that a key objective has been achieved. The target dates describe the timeframe in which the work must be achieved. The weightings show the relative importance of the key objectives to each other.</p> <p>(4) The employee's performance will, in addition, be measured in terms of contributions to the goals and strategies set out in the employer's Integrated Development Plan.</p> |
| 26 | Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, R805 dated 1 August 2006: Section 26 | <p>(1) The employee agrees to participate in the performance management system that the employer adopts or introduces for the municipality.</p> <p>(2) The employee accepts that the purpose of the performance management system will be to provide a comprehensive system with specific performance standards to assist the employer, management and municipal staff to perform to the standards required.</p> <p>(3) The employer will consult the employee about the specific performance standards that will be included in the performance management system as applicable to the employee.</p> <p>(4) The employee undertakes to actively focus towards the promotion and implementation of the Key Performance Areas (KPA's) (including special projects relevant to the employee's responsibilities) within the local government framework.</p> <p>(5) The criteria upon which the performance of the employee must be assessed consist of two components, both of which must be contained in the performance agreement. The employee must be assessed against both components, with a weighting of 80: 20 allocated to the Key Performance Areas (KPA's) and the Core Competency Requirements (CCRs), respectively. Each area of assessment will be weighted and will contribute a specific part to the total score. KPA's covering the main areas of work will account for 80% and CCRs will account for 20% of the final assessment.</p> |

- (6) The employee's assessment will be based on his or her performance in terms of the outputs/outcomes (performance indicators) identified as per the performance plan which are linked to the KPA's, which constitute 80% of the overall assessment result as per the weightings agreed to between the employer and employee.

| Key Performance Areas (KPA's) for Municipal Managers | Weighting |
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| Basic Service Delivery | |
| Municipal Institutional Development and Transformation | |
| Local Economic Development (LED) | |
| Municipal Financial Viability and Management | |
| Good Governance and Public Participation | |
| Total | 100% |

- (7) In the case of managers directly accountable to the municipal manager, key performance areas related to the functional area of the relevant manager, must be subject to negotiation between the municipal manager and the relevant manager.

- (8)

(Regulation 26(8) repealed by regulation 46 of Government Notice 21 of 2014)

| CORE COMPETENCY REQUIREMENTS FOR EMPLOYEES (CCR) | | | |
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| Core Managerial and Occupational Competencies | | (Indicate choice) | Weight |
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| Core Managerial Competencies: | | | |
| Strategic Capability and Leadership | | | |
| Programme and Project Management | | | |
| Financial Management | | compulsory | |
| Change Management | | | |
| Knowledge Management | | | |
| Service Delivery Innovation | | | |
| Problem Solving and Analysis | | | |
| People Management and Empowerment | | compulsory | |
| Client Orientation and Customer Focus | | compulsory | |
| Communication | | | |
| Honesty and Integrity | | | |
| Core Occupational Competencies: | | | |
| Competence in Self Management | | | |
| Interpretation of and implementation within the legislative and national policy frameworks | | | |

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| | | Knowledge of developmental local government | | | |
| | | Knowledge of Performance Management and Reporting | | | |
| | | Knowledge of global and South African specific political, social and economic contexts | | | |
| | | Competence in policy conceptualisation, analysis and implementation | | | |
| | | Knowledge of more than one functional municipal field/discipline | | | |
| | | Skills in Mediation | | | |
| | | Skills in Governance | | | |
| | | Competence as required by other national line sector departments | | | |
| | | Exceptional and dynamic creativity to improve the functioning of the municipality | | | |
| | | Total percentage | - | 100% | |

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| 27 | Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, R805 dated 1 August 2006: Section 27 | <p>(1) The performance plan sets out -</p> <ul style="list-style-type: none"> (a) the standards and procedures for evaluating the employee's performance; and (b) the intervals for the evaluation of the employee's performance. <p>(2) Despite the establishment of agreed intervals for evaluation, the employer may in addition review the employee's performance at any stage while the employment contract remains in force.</p> <p>(3) Personal growth and development needs identified during any performance review discussion must be documented in a personal development plan as well as the actions agreed to and implementation must take place within set time frames.</p> <p>(4) The annual performance appraisal must involve:</p> <ul style="list-style-type: none"> (a) Assessment of the achievement of results as outlined in the performance plan: <ul style="list-style-type: none"> (i) Each KPA should be assessed according to the extent to which the specified standards or performance indicators have been met and with due regard to ad hoc tasks that had to be performed under the KPA. (ii) An indicative rating on the five-point scale should be provided for each KPA. (iii) The applicable assessment rating calculator must then be used to add the scores and calculate a final KPA score. (b) Assessment of the CCRs <ul style="list-style-type: none"> (i) Each CCR should be assessed according to the extent to which the specified standards have been met. (ii) An indicative rating on the five-point scale should be provided for each CCR. (iii) This rating should be multiplied by the weighting given to each CCR during the contracting process, to provide a score. (iv) The applicable assessment-rating calculator must then be used to add the scores and calculate a |
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final CCR score.

(c) Overall rating

(i) An overall rating is calculated by using the applicable assessment-rating calculator. Such overall rating represents the outcome of the performance appraisal.

(ii) The assessment of the performance of the employee will be based on the following rating scale for KPA's and CCR's:

| Level | Terminology | Description | Rating | | | | |
|-------|--|--|--------|---|---|---|---|
| | | | 1 | 2 | 3 | 4 | 5 |
| 5 | Outstanding Performance | Performance far exceeds the standard expected of an employee at this level. The appraisal indicates that the Employee has achieved above fully effective results against all performance criteria and indicators as specified in the PA and Performance plan and maintained this in all areas of responsibility throughout the year. | | | | | |
| 4 | Performance significantly above expectations | Performance is significantly higher than the standard expected in the job. The appraisal indicates that the Employee has achieved above fully effective results against more than half of the performance criteria and indicators and fully achieved all others throughout the year. | | | | | |
| 3 | Fully effective | Performance fully meets the standards expected in all areas of the job. The appraisal | | | | | |

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| | | | | indicates that the Employee has fully achieved effective results against all significant performance criteria and indicators as specified in the PA and Performance Plan. | | |
| | | 2 | Performance not fully effective | Performance is below the standard required for the job in key areas. Performance meets some of the standards expected for the job. The review/assessment indicates that the employee has achieved below fully effective results against more than half the key performance criteria and indicators as specified in the PA and Performance Plan. | | |
| | | 1 | Unacceptable performance | Performance does not meet the standard expected for the job. The review/assessment indicates that the employee has achieved below fully effective results against almost all of the performance criteria and indicators as specified in the PA and Performance Plan. The employee has failed to demonstrate the commitment or ability to bring performance up to the level expected in the job despite management efforts to encourage improvement. | | |
| | | <p>(d) For purposes of evaluating the annual performance of the municipal manager, an evaluation panel constituted of the following persons must be established -</p> <ul style="list-style-type: none"> (i) Executive Mayor or Mayor; (ii) Chairperson of the performance audit committee or the audit committee in the absence of a performance audit committee; (iii) Member of the mayoral or executive committee or in respect of a plenary type municipality, another | | | | |

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| | | <p>member of council;</p> <p>(iv) Mayor and/or municipal manager from another municipality; and</p> <p>(v) Member of a ward committee as nominated by the Executive Mayor or Mayor.</p> <p>(e) For purposes of evaluating the annual performance of managers directly accountable to the municipal managers, an evaluation panel constituted of the following persons must be established -</p> <p>(i) Municipal Manager;</p> <p>(ii) Chairperson of the performance audit committee or the audit committee in the absence of a performance audit committee;</p> <p>(iii) Member of the mayoral or executive committee or in respect of a plenary type municipality, another member of council; and</p> <p>(iv) Municipal manager from another municipality.</p> <p>(f) The manager responsible for human resources of the municipality must provide secretariat services to the evaluation panels referred to in sub-regulations (d) and (e).</p> |
| 28 | <p>Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, R805 dated 1 August 2006: Section 28</p> | <p>(1) The performance of the employee in relation to his or her performance agreement must be reviewed on the following dates with the understanding that reviews in the first and third quarter may be verbal if performance is satisfactory:</p> <p>First quarter : July - September.....</p> <p>Second quarter : October - December.....</p> <p>Third quarter : January-March.....</p> <p>Fourth quarter : April-June.....</p> <p>(2) The employer must keep a record of the mid-year review and annual assessment meetings.</p> |

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| | | <p>(3) Performance feedback must be based on the employer's assessment of the employee's performance.</p> <p>(4) The employer will be entitled to review and make reasonable changes to the provisions of the performance plan from time to time for operational reasons on agreement between both parties.</p> <p>(5) The employer may amend the provisions of the performance plan whenever the performance management system is adopted, implemented and/or amended as the Case may be on agreement between both parties.</p> |
| 29 | Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, R805 dated 1 August 2006: Section 29 | A personal development plan (PDP) for addressing developmental gaps must form part of the performance agreement. |
| 30 | Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, R805 dated 1 August 2006: Section 30 | <p>The Employer must -</p> <p>(1) create an enabling environment to facilitate effective performance by the employee;</p> <p>(2) provide access to skills development and capacity building opportunities;</p> <p>(3) work collaboratively with the employee to solve problems and generate solutions to common problems that may impact on the performance of the employee;</p> <p>(4) on the request of the employee delegate such powers reasonably required by the employee to enable him or her to meet the performance objectives and targets established in terms of the agreement; and</p> <p>(5) make available to the employee such resources as the employee may reasonably require from time to time to assist him or her to meet the performance objectives and targets established in terms of the agreement.</p> |
| 31 | Local Government: Municipal Performance Regulations for Municipal Managers and | <p>(1) The employer agrees to consult the employee timeously where the exercising of the powers will have, amongst others, -</p> |










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| | Managers directly accountable to Municipal Managers, R805 dated 1 August 2006: Section 31 | <p>(a) a direct effect on the performance of any of the employee's functions;</p> <p>(b) commit the employee to implement or to give effect to a decision made by the employer; and</p> <p>(c) a substantial financial effect on the employer.</p> <p>(2) The employer agrees to inform the employee of the outcome of any decisions taken pursuant to the exercise of powers contemplated in sub- regulation (1) as soon as is practicable to enable the employee to take any necessary action without delay.</p> |
| 32 | Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, R805 dated 1 August 2006: Section 32 | <p>(1) The evaluation of the employee's performance will form the basis for rewarding outstanding performance or correcting unacceptable performance.</p> <p>(2) A performance bonus ranging from 5% to 14% of the all-inclusive remuneration package may be paid to an employee in recognition of outstanding performance. In determining the performance bonus the relevant percentage is based on the overall rating, calculated by using the applicable assessment-rating calculator; provided that -</p> <p>(a) a score of 130% to 149% is awarded a performance bonus ranging from 5% to 9%; and</p> <p>(b) a score of 150% and above is awarded a performance bonus ranging from 10% to 14%.</p> <p>(3) In the case of unacceptable performance, the employer shall -</p> <p>(a) provide systematic remedial or developmental support to assist the employee to improve his or her performance; and</p> <p>(b) after appropriate performance counselling and having provided the necessary guidance and/or support and reasonable time for improvement in performance, and performance does not improve, the employer may consider steps to terminate the contract of employment of the employee on grounds of unfitness or incapacity to carry out his or her duties.</p> |

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| 33 | Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, R805 dated 1 August 2006: Section 33 | <p>(1) Any disputes about the nature of the employee's performance agreement, whether it relates to key responsibilities, priorities, methods of assessment and/ or salary increment in the agreement, must be mediated by -</p> <p>(a) In the case of the municipal manager, the MEC for local government in the province within thirty (30) days of receipt of a formal dispute from the employee, or any other person designated by the MEC; and</p> <p>(b) In the case of managers directly accountable to the municipal manager, the executive mayor or mayor within thirty (30) days of receipt of a formal dispute from the employee;</p> <p>whose decision shall be final and binding on both parties.</p> <p>(2) Any disputes about the outcome of the employee's performance evaluation, must be mediated by -</p> <p>(a) In the case of the municipal manager, the MEC for local government in the province within thirty (30) days of receipt of a formal dispute from the employee, or any other person designated by the MEC; and</p> <p>(b) In the case of managers directly accountable to the municipal manager, a member of the municipal council, provided that such member was not part of the evaluation panel provided for in sub-regulation 27(4)(e), within thirty (30) days of receipt of a formal dispute from the employee;</p> <p>whose decision shall be final and binding on both parties.</p> |
| 34 | Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers, R805 dated 1 August 2006: Section 34 | <p>(1) The contents of the performance agreement must be made available to the public by the employer in accordance with the Municipal Finance Management Act, 2003 and Section 46 of the Act.</p> <p>(2) Nothing in this agreement diminishes the obligations, duties or accountabilities of the employee in terms of his or her employment contract, or the effects of existing or new regulations, circulars, policies, directives or other instruments.</p> <p>(3) The performance assessment results of the municipal manager must be submitted to the MEC responsible for local government in the relevant province as well as the national minister responsible for local government, within fourteen (14) days after the conclusion of the assessment.</p> |

Annexure B: Corporate Scorecard

| Context: CCT CorporatSDBIP 201516 | | | Scorecard as of: Mar 2016-latest quarter | | | Printed date: 4 May 2016 | |
|--|-------|--------|--|------------------|-----------|-------------------------------------|---|
| Name | Trend | Status | Actual | Target | Score (%) | Reason for Variance/Remedial Action | Reason for Variance/Remedial Action Comment |
| CCT CorporatSDBIP 201516 | | | | | | | |
| An Opportunity City | | | | | | | |
| 1.2 Provide economic and social infrastructure | | | | | | | |
| 1.A Percentage Building plans approved in statutory time(30-60d) | → | ■ | 95.10 | 87.00 | 109.31 | | |
| 1.B Percentage spend of capital budget | ↘ | ⊗ | 44.80 | 51.95 | 86.24 | | |
| 1.C Rand value capital invested in engineering infrastructure | ↘ | ⊗ | 1,513,177,164.11 | 1,970,952,009.00 | 76.77 | | |
| 1.D Percentage spend on repairs and maintenance | ↗ | ● | 60.81 | 66.90 | 90.90 | | |
| 1.E Number of outstanding applications for water services expressed as %of total billing for the service | ↘ | ■ | 0.42 | 0.90 | 46.67 | | |
| 1.F Number of outstanding applications for sewerage services expressed as a % of total number of billings for the service | ↘ | ■ | 0.33 | 0.90 | 36.67 | | |
| 1.G Number of outstanding valid applications for electricity services expressed as % of total number of billings for the service | ↗ | ■ | 0.14 | 0.80 | 17.50 | | |
| 1.H Number of outstanding valid applications for refuse collection expressed as a % of total number of billings for the service | ↗ | ■ | 0.02 | 0.80 | 1.88 | | |
| 1.I Number Expanded Public Works programmes (EPWP) opp created | ↘ | ⊗ | 26,510.00 | 30,813.00 | 86.04 | | |
| 1.3 Promote sustainable environment through resources | | | | | | | |

| Name | Trend | Status | Actual | Target | Score (%) | Reason for Variance/Remedial Action | Reason for Variance/Remedial Action Comment |
|--|-------|--------|---------------|---------------|-----------|-------------------------------------|--|
| 1.J Percentage of treated potable water not billed | ↘ | ✖ | 25.84 | 19.70 | 131.17 | ● | Reason for variance The percentage treated potable water not billed improved over the past quarter (from a high of 27.13% in January to 25.84% in March) and is on a decreasing trend. Although current achievements are above the set targets, these should be seen against a national average around 34%. The City's targets are extremely stringent and will be revised in future. Remedial action Future non-revenue water figures (water not billed) will be closely monitored. The Department is taking steps to further improve the accuracy of measurements and estimations. This includes a review of bulk water metering data and improvements to consumer metering. Responsible person: Peter Flower Due date: Ongoing |
| 1.4 Mobility via an effective public transport system | | | | | | | |
| 1.K Number Passenger journeys on the MyCiti public transport | → | ● | 13,603,278.00 | 13,800,000.00 | 98.57 | | |
| 1.5 Leverage the city's assets for economic growth&developmnt | | | | | | | |
| 1.L Percentage development of an immovable property asset management framework | | | | | | | |
| 1.6 Maximise funding for training and skills development | | | | | | | |
| 1.M Number External trainee and bursary opps created (TOTAL) | | | | | | | |
| >>>1.M(a) Number of external trainee & bursary opps | ↗ | ✓ | 806.00 | 700.00 | 115.14 | | |
| >>>1.M(b) Number of apprentices(AT) | → | ✓ | 352.00 | 300.00 | 117.33 | | |
| A Safe City | | | | | | | |
| 2.1 Expand staff and capital resources for Safety&Security | | | | | | | |
| 2.A Community satisfaction survey(Score 1-5)-safety&sec(AT) | | | | | | | |
| 2.B Reduce number of crashes at 5 highest frequency intersection | ↘ | ✓ | 101.00 | 120.00 | 84.17 | | |
| 2.2 Resourcing Departments for Optimum Operations | | | | | | | |

| Name | Trend | Status | Actual | Target | Score (%) | Reason for Variance/Remedial Action | Reason for Variance/Remedial Action Comment |
|--|-------|---|----------|----------|-----------|-------------------------------------|---|
| 2.C Percentage response times for fire incidents within 14mins from call receipt up to arrival | → |  | 74.39 | 80.00 | 92.99 | | |
| 2.D Number of operational specialised units | → |  | 14.00 | 14.00 | 100.00 | | |
| 2.3 Enhance intelligence-driven policing | | | | | | | |
| 2.E Percentage budget spent on Integrated information management system | | | | | | | |
| 2.4 Improve emergency staff through effective training | | | | | | | |
| 2.F Percentage staff successfully completing occupational | ↘ |  | 95.45 | 45.00 | 212.11 | | |
| 2.5 Improve safety and security through partnerships | | | | | | | |
| 2.G Percentage of Neighbourhood Watch satisfaction survey | | | | 90.00 | | | |
| A Caring City | | | | | | | |
| 3.1 Providing access to social services | | | | | | | |
| 3.A No of social development programs implemented(AT) | | | | | | | |
| 3.B Number of Recreation hubs where activities are held min 5days | ↘ |  | 52.00 | 50.00 | 104.00 | | |
| 3.2 Ensure innovative human settlements for increased access | | | | | | | |
| 3.C (a) Serviced sites | ↘ |  | 1,215.00 | 2,629.00 | 46.22 | | |
| 3.C (b) Top structures | ↗ |  | 2,249.00 | 3,715.00 | 60.54 | | |
| 3.C (c) Number of housing opportunities per year - Other | ↗ |  | 997.00 | 700.00 | 142.43 | | |
| 3.C No of housing opportunities provided per year | | | | | | | |
| 3.3 Assess rental stock to beneficiaries | | | | | | | |
| 3.D Number of Deeds of Sale Agreements signed with identified beneficiaries in saleable rental units | ↘ |  | 881.00 | 750.00 | 117.47 | | |
| 3.4 Improved services informal settlements & backyard serv | | | | | | | |
| 3.E(a) Number of Water service points (taps) installed informal settlements | ↗ |  | 530.00 | 300.00 | 176.67 | | |

| Name | Trend | Status | Actual | Target | Score (%) | Reason for Variance/Remedial Action | Reason for Variance/Remedial Action Comment |
|---|-------|--------|----------|----------|-----------|-------------------------------------|--|
| 3.E(b) Number of Sanitation service points (toilets) installed informal | ↗ | ✖ | 923.00 | 1,600.00 | 57.69 | ● | Reasons for variance Although good momentum was gained in the third quarter and particularly many new full flush toilets were provided thus far (close to 75% of all new toilets provided), the delays as previously reported during the first and second quarters negatively impacted on the progress towards the installation of especially full flush toilets which require a more time-consuming installation process following the initial provision of the supporting infrastructure. Remedial action Build on and support reviewed installation schedules streamlined to attain the annual target. Responsible person: Pierre Maritz Due date: June 2016 |
| 3.E(c) %Informal settlements receiving door-door refuse | → | ■ | 99.74 | 99.00 | 100.75 | | |
| 3.F Number of electricity subsidised connections installed | ↘ | ✓ | 2,029.00 | 1,125.00 | 180.36 | | |
| 3.5 Provide effective Environmental Health services | | | | | | | |
| 3.6 Provide effective air quality management and pollution | | | | | | | |
| 3.G Percentage compliance with drinking water quality standards | → | ■ | 99.70 | 98.00 | 101.73 | | |
| 3.H Number of days when air pollution exceeds daily RSA Ambient Air Quality Standards | ↗ | ✓ | 5.00 | 30.00 | 16.67 | | |
| 3.7 Provide effective primary health care services | | | | | | | |
| 3.I New Smear Positive TB Cure Rate | → | ● | 81.20 | 83.00 | 97.83 | | |
| 3.8 Provide substance abuse treatment & rehabilitation | | | | | | | |
| 3.J Number of New Clients screened at the Substance Abuse Outpatient Treatment Centres | → | ✓ | 1,390.00 | 1,221.00 | 113.84 | | |
| An Inclusive City | | | | | | | |
| 4.1 Create environment for citizens to be communicated with | | | | | | | |
| 4.2 Provide facilities to make citizens feel at home | | | | | | | |
| 4.A Percentage Adherence to Citywide service standard based on all external notifications | ↘ | ■ | 106.25 | 100.00 | 106.25 | | |
| 4.B Customer satisfaction survey community facil(1-5 Likert)(A T) | | | | | | | |

| Name | Trend | Status | Actual | Target | Score (%) | Reason for Variance/Remedial Action | Reason for Variance/Remedial Action Comment |
|---|-------|--------|--------|--------|-----------|-------------------------------------|---|
| A Well-Run City | | | | | | | |
| 5.1 Ensure a transparent and corruption-free government | | | | | | | |
| 5.A Number of Municipal meetings open to the public | ↗ | ✓ | 139.00 | 125.00 | 111.20 | | |
| 5.2 Efficient and productive admin to prioritise delivery | | | | | | | |
| 5.B Employee Engagement index as measured in a biennial Staff Engagement Survey | | | | | | | |
| 5.C Community satisfaction survey (Score 1-5)-city wide(AT) | | | | | | | |
| 5.D Percentage of people from EE target groups employed - 3 mgmt levels(AT) | → | ✗ | 66.34 | 80.00 | 82.92 | | |
| 5.3 Ensure unqualified audits by the Auditor General | | | | | | | |
| 5.E Percentage budget spent on implementation of WSP for the City | ↘ | ✗ | 62.38 | 70.00 | 89.11 | | |
| 5.F Opinion of the Auditor General(AT) | → | ▲ | 1.00 | 1.00 | 100.00 | | |
| 5.G Opinion of independent rating agency | → | ▲ | 1.00 | 1.00 | 100.00 | | |
| 5.H Ratio of cost coverage maintained | ↘ | ✗ | 0.00 | 1.00 | 0.00 | | |
| 5.I Net Debtors to Annual Income [Ratio of outstanding service debtors to revenue actually received for services] | ↘ | ✓ | 16.36 | 19.50 | 83.90 | | |
| 5.J Debt coverage by own billed revenue | → | ▲ | 1.00 | 1.00 | 100.00 | | |

Well Below
 Below
 On Target
 Above
 Well Above
 Trend Up
 Trend Stable
 Trend Down

| Annexure C: Mayoral Dashboard Template | | | | | | | | | | | |
|---|---|------------------|-------------|---------|-----------------------------------|--------------------------|---------------------------|--------------------------|-----------------------------|--|-------------------------------------|
| CITY OF CAPE TOWN | | | | | | | | | | | |
| MAYORAL QUARTERLY PERFORMANCE MONTORING DASHBOARD: 1st QUARTER 2012/2013 | | | | | | | | | | | |
| Performance = Inputs → Targets → Activities → Outputs → Outcomes → Impact | | | | | Dashboard Session Date: 16-Nov-12 | | Submission Date: 9-Nov-12 | | Today's Date: 09 March 2016 | | |
| DIRECTORATE: COMMUNITY SERVICES | | | | | | | | | | | |
| MAYCO MEMBER: CLLR T GQADA; PORTFOLIO CHAIRPERSON: CLLR A VAN RHEEDE; ED: MS L MTWAZI | | | | | | | | | | | |
| Legend: A. On Target = 99→100%; B. Below/ C. Under/ D. Behind = 98→90%; E. Well Below/ F. Under/ G. Behind = 89%→Less;H. Above/ I. Over/ J. Ahead = 101→110%; K. Well Above/ L. Over/ M. Ahead = 111%→higher; N. Finalised/ Complete; O = Minor Deviation; P = Major Deviation; R = No Target Indicated (NTI); S = Unrealistic KPI; T = No Report Submitted | | | | | | | | | | | |
| NO | ISSUE DESCRIPTION | YTD TARGET | YTD ACTUAL | % SCORE | ISSUE STATUS 1st QUARTER | ISSUE STATUS 2nd QUARTER | ISSUE STATUS 3rd QUARTER | ISSUE STATUS 4th QUARTER | NOTES/ COMMENTS | | |
| | | STATUS/ PROGRESS | | | | | | | | | |
| SECTION A: POLITICAL OVERSIGHT REPORTING | | | | | | | | | | | |
| A.1 | IDP Monitoring report (Quarterly SDBIPs progress) | | | | | | | | | | |
| | 1. Directorate | | | 53.0% | G | Well Behind | | | | | |
| | 2. City Parks | | | 52.0% | G | Well Behind | | | | | |
| | 3. Sports | | | 46.0% | G | Well Behind | | | | | |
| | 4. Libraries | | | 42.0% | G | Well Behind | | | | | |
| A.2 | Portfolio Committee: Policy Development & Review | | | | | | | | | | |
| | 1. Facility Management Committee Policy | | NTI | | R | No Target Indicated | | | | | |
| | 2. City Parks Advertisements Policy | | NTI | | R | No Target Indicated | | | | | |
| | 3. Tree Planting Policy | | NTI | | R | No Target Indicated | | | | | |
| A.3 | Portfolio Committee: By-laws Development & Review | | | | | | | | | | |
| | | | | | T | No Report Submitted | | | | | None reported for the first quarter |
| A.4 | Completion of SDBIPs & imported in SAP | Directorate | 1 July 2012 | | T | No Report Submitted | | | | | |

| | | | | | | | | | | | | | | |
|--|--|----------------|---------------------|---------|---|---------------------|--|--|--|--|--|--|--|--|
| | | Departments | 1 July 2012 | | T | No Report Submitted | | | | | | | | |
| A.5 | Revision of SDBIPs & imported in SAP | Directorate | 1 Feb 2013 | | T | No Report Submitted | | | | | | | | |
| | | Departments | 1 Feb 2013 | | T | No Report Submitted | | | | | | | | |
| A.6 | Mayco Member: Decisions ito Delegated Power | | | | T | No Report Submitted | | | | | | | | Non-compliance, did not adhere to format |
| A.7 | Mayco Member: Public Meetings held during Quarter | | 6 30 | | A | On Target | | | | | | | | |
| A.8 | Mayco Member: Media statements during Quarter | | 12 40 | | A | On Target | | | | | | | | |
| SECTION B: GENERAL MANAGEMENT REPORTING | | | | | | | | | | | | | | |
| B.1 | Expenditure: Opex budget | | 448840954 359150283 | 80.02% | F | Well Under | | | | | | | | |
| B.2 | Expenditure: Capex budget | | 15458253 14599981 | 94.45% | C | Under | | | | | | | | |
| B.3 | Revenue budget for Quarter | | 30157261 27468539 | 91.08% | D | Behind | | | | | | | | |
| B.4 | Virements authorised | Opex | 448840954 830518 | 0.19% | A | On Target | | | | | | | | |
| | | Capex | 15458253 49272 | 0.32% | A | On Target | | | | | | | | |
| B.5 | SCM Procurement Deviations authorised | | | | | | | | | | | | | |
| | 1. Extension contract consultants Imizamo Yethu Sports Grounds | R448 413 | | | O | Minor Deviation | | | | | | | | |
| | 2. Appointment consultant civil engineering services Valhalla Park | R307 138 | | | O | Minor Deviation | | | | | | | | |
| B.6 | Expenditure: Salaries & Wages | | 188149924 160164733 | 85.13% | G | Well Behind | | | | | | | | |
| B.7 | Contracted Services expenditure report | | 3231644 1841177 | 56.97% | G | Well Behind | | | | | | | | |
| B.8 | Vacancies Age Analysis report | | 788262031 44212995 | 5.61% | D | Behind | | | | | | | | |
| B.9 | Employment Equity status | Female: Black | 12.8% 11.02% | 86.09% | E | Well Below | | | | | | | | |
| | | Female: Col | 25.6% 20.74% | 81.02% | E | Well Below | | | | | | | | |
| | | Female: Indian | 0.20% 0.31% | 155.00% | O | Minor Deviation | | | | | | | | |
| | | Female: White | 7.2% 4.79% | 66.53% | E | Well Below | | | | | | | | |
| | | Male: Black | 15.4% 15.59% | 101.23% | H | Above | | | | | | | | |
| | | Male: Col | 30% 44.93% | 149.77% | K | Well Above | | | | | | | | |

| | | | | | | | | | | | | | | | |
|------|--|--------------------------|----------|----------|---------|---|---------------------|--|--|--|--|--|--|--|--|
| | | Male: Indian | 0.2% | 0.03% | 15.00% | O | Minor Deviation | | | | | | | | |
| | | Male: White | 8.6% | 2.59% | 30.12% | E | Well Below | | | | | | | | |
| | | Disabled | 2% | | 0.00% | T | No Report Submitted | | | | | | | | |
| B.10 | Overtime expenditure report | | 709346 | 672126 | 94.75% | C | Under | | | | | | | | |
| B.11 | Absenteeism statistics report | City: 5.17% | 4% | 5.06% | 126.50% | L | Well Over | | | | | | | | |
| B.12 | Fuel expenditure report | | 1323928 | 1246159 | 94.13% | C | Under | | | | | | | | |
| B.13 | Repairs and Maintenance expenditure report | | 71237883 | 22364659 | 31.39% | F | Well Under | | | | | | | | |
| B.14 | Contracts administered by directorate | Total SLAs | | | | T | No Report Submitted | | | | | | | | 75 contracts, report needs to be consolidated for Directorate |
| | | No Breaches | | | | R | No Target Indicated | | | | | | | | |
| | | No Penalties | | | | R | No Target Indicated | | | | | | | | |
| | | No Labour Intensive SLAs | | | | R | No Target Indicated | | | | | | | | |
| | | Total Leases | | | | R | No Target Indicated | | | | | | | | |
| | | No Breaches | | | | R | No Target Indicated | | | | | | | | |
| | | No Penalties | | | | R | No Target Indicated | | | | | | | | |
| | | Total Consultants | | | | R | No Target Indicated | | | | | | | | |
| | | No Breaches | | | | R | No Target Indicated | | | | | | | | |
| | | No Penalties | | | | R | No Target Indicated | | | | | | | | |
| | | Total Other Contracts | | | | R | No Target Indicated | | | | | | | | |
| | | No Breaches | | | | R | No Target Indicated | | | | | | | | |
| | | No Penalties | | | | R | No Target Indicated | | | | | | | | |
| B.15 | No of audit queries/ matters outstanding & finalised | Internal Audit | | | | T | No Report Submitted | | | | | | | | Appointment of consultants & Asset management worsened during 2011/2012 financial year |
| | | Audit Comm | | | | T | No Report Submitted | | | | | | | | |
| | | AG | | 2 | | G | Well Behind | | | | | | | | |
| B.16 | No of legal cases outstanding & finalised | High Court | | 1 | | A | On Target | | | | | | | | |
| | | Magistrate's | | 1 | | A | On Target | | | | | | | | |
| | | Disciplinary | | | | A | On Target | | | | | | | | |

| | | | | | | | | | | | | | |
|---|--|------------------|-----------|-----|---------|---------------------|---------------------|--|--|--|--|--|---|
| | | Arbitration | | | A | On Target | | | | | | | |
| | | Forensic | | | A | On Target | | | | | | | |
| SECTION C: ADDITIONAL ISSUES REPORTING | | | | | | | | | | | | | |
| C.1 | Redress Projects | | | | | | | | | | | | R500 000 funding received R800 000 funding received R500 000 funding received |
| | 1. Blue Down Park | | NTI | | T | No Report Submitted | | | | | | | |
| | 2. Macassar Park | | NTI | | T | No Report Submitted | | | | | | | |
| | 3. Astro-turf informal sports facilities Wesbank | | NTI | | T | No Report Submitted | | | | | | | |
| | 4. Kuyasa Library | | NTI | | T | No Report Submitted | | | | | | | |
| | 5. Khayelitsha Wetlands Park | | NTI | | T | No Report Submitted | | | | | | | |
| | 6. Du Noon Sportsfield | | NTI | | T | No Report Submitted | | | | | | | |
| | 7. Imizamo Yethu Sport Centre | | NTI | | T | No Report Submitted | | | | | | | |
| | 8. Nyanga Synthetic Pitch | | NTI | | T | No Report Submitted | | | | | | | |
| | 9. Gugulethu Synthetic Pitch | | NTI | | T | No Report Submitted | | | | | | | |
| | 10. Langa Artificial Hockey Pitch | | NTI | | T | No Report Submitted | | | | | | | |
| | 11. Monwabisi Coastal Node | | NTI | | T | No Report Submitted | | | | | | | |
| | 12. Valhalla Park, site C Sports Complex | | NTI | | T | No Report Submitted | | | | | | | |
| | 13. Mfuleni Sports Complex | | NTI | | T | No Report Submitted | | | | | | | |
| | 14. Cite C Sports Complex | | NTI | | T | No Report Submitted | | | | | | | |
| | 15. Gugulethu Cemetary | | NTI | | T | No Report Submitted | | | | | | | |
| C.2 | EPWP projects undertaken by directorate | Directorate | 50 | 605 | 1210.0% | K | Well Above | | | | | | |
| | | Mayoral | 0 | 0 | #DIV/0! | R | No Target Indicated | | | | | | |
| | | Labour Intensive | 0 | 0 | #DIV/0! | R | No Target Indicated | | | | | | |
| C.3 | Mayoral Urban Regeneration projects | | | | | | | | | | | | |
| | 1. Solomon Mahlangu | | NTI | | R | No Target Indicated | | | | | | | |
| | 2. Masibambane Hall Alterations | | 16-Nov-12 | | T | No Report Submitted | | | | | | | |
| | 3. Khayelitsha Node Spraypark | | 16-Nov-12 | | T | No Report Submitted | | | | | | | |

| | | | | | | | | | | | | | |
|-----|---|------------|-----------|-------|---|---------------------|--|--|--|--|--|--|---|
| C.4 | C3 Notifications status report | Qtr Target | 82 | 0.0% | G | Well Behind | | | | | | | |
| | | Total O/S | 2384 1282 | 53.8% | G | Well Behind | | | | | | | |
| C.5 | Events | This Qtr | 4 | | A | On Target | | | | | | | |
| | | Next Qtr | 5 | | A | On Target | | | | | | | |
| C.6 | Programme for mowing & beautifying parks | | 3335 2965 | 88.9% | G | Well Behind | | | | | | | Running late as a result of seasonal rains |
| C.7 | Status report on protection of council assets | | | | T | No Report Submitted | | | | | | | Ongoing over-expenditure on security budget |
| C.8 | Contract management report on leases | | | | T | No Report Submitted | | | | | | | Process behind schedule-subject to SLA with Property Management |

Annexure D: Mayoral Dashboard Implementation Guidelines

CITY OF CAPE TOWN

**GUIDELINES FOR THE USE &
IMPLEMENTATION OF MAYORAL
DASHBOARD PERFORMANCE AND
ISSUES MONITORING**

JANUARY 2013

FOREWORD

I am pleased as the Executive Mayor of the City of Cape Town to approve the Guidelines for the Use of the Mayoral Dashboard Performance Management System (dashboard template) as a unique monitoring and evaluation tool within my office. This performance monitoring tool emanates from extensive research and development within my office that positively influenced the manner in which statutorily required mayoral performance monitoring was and is conducted. In this regard I was guided by the following legislation:

- The Local Government: Municipal Structures Act, No 117 of 1998 (Section 54;
- The Local Government: Municipal Systems Act, No 32 of 2000 (Sections 11, 26, 34, 38, 39, 40, 41, 42, 43, 44, 46 and 73);
- The Local Government: Municipal Planning and Performance Management Regulations, GN R796 dated 24 August 2001;
- The Local Government: Municipal Performance Regulations for Municipal Managers and Managers Directly accountable to Municipal Managers, GN R805 dated 1 August 2006;
- The Local Government: Municipal Finance Management Act, No 56 of 2003 (Sections 52, 53, 54, 71, 72 and 121;
- Mayoral Delegations of Power approved by Council in terms of Section 60 of Local Government: Municipal Structures Act, No 117 of 1998, and Section 59 of the Local Government: Municipal Structures Act, No 32 of 2000.

In considering the best approach to exercise and discharge the above-mentioned statutory duty, I had to have a performance monitoring system developed and implemented that monitored the performance of municipality in a manner that would serve as a guiding tool to politicians and managers in respect of the achievement of the strategic objectives set out in its Integrated Development Plan (IDP). The monitoring tool therefor does not measure the detailed performance of the municipality. In the same sense the said monitoring tool serves as an early warning system where deviations from the IDP and selected important indicators become obvious through the non-achievement of the approved pre-determined targets in the municipality's Service Delivery Budget Implementation Plan (SDBIP), budget and management plans. Hopefully this tool will be used throughout the municipality to improve on the realisation of the IDP and to improve on the planning for service delivery related matters.

After intensive scrutiny and with the benefit of the conclusion of the 2012/2013 1st Quarter assessments, the reporting template attached hereto, which forms the basis of the mayor's quarterly performance monitoring, adheres to what I contemplate to achieve with performance monitoring. The said template is divided in three categories i.e.:

1. Political Oversight Reporting;
2. General Management Reporting;

3. Mayoral Issues Reporting.

The management and completion of and reporting on the dashboard template requires collaboration between the political heads (mayoral committee members), portfolio committee chairpersons and executive directors of the municipality's respective directorates. Upon completion of the template and by compiling a report with substantiating documentation in support of the completed template, directorates will have an understanding where they are making progress and where the delays are in respect of their respective service delivery programmes. At the same instance they will have an indication in respect of the viability and validity of their planning and related assumptions in achieving the overall objectives of the IDP. More importantly, the dashboard template will afford directorates to institute timeous management interventions to correct slippages and deviations or alternatively, to amend their plans in accordance with the Section 54 MFMA process.

I am also excited that this monitoring will eventually assist the municipality to measure outcomes and eventually the impact of our service delivery programmes. In this regard a trends analysis will be undertaken after the completion of the 2nd Quarter Assessments. At the end of the financial year a detailed evaluation report will be compiled that will indicate the outcomes and assess the impact of our strategies.

I am satisfied that the dashboard template presents a major improvement in respect of performance monitoring that the mayor's office is obliged to undertake and I trust that the political leadership and the management of the municipality will co-operate and assist me utilising this tool to the full benefit of the municipality.

PATRICA DE LILLE
EXECUTIVE MAYOR
18 JANUARY 2013

Background and reasons for guideline

The background to and reasons for the guideline are:

- (a) The Mayor has a statutory responsibility to give political guidance in respect of the municipality;
- (b) The Mayor has a statutory responsibility to manage the performance of the municipality and to report thereon to Council;
- (c) The Mayor has developed and implemented a monitoring tool to assist her in the above-mentioned regard;
- (d) The implementation guidelines were drafted to assist functionaries involved with the completion and interpretation of the dashboard template.

Guiding principles of guideline

It is important that the following be borne in mind when interpreting the guidelines:

- (a) The dashboard template is not the sole performance monitoring tool available and utilised within the City of Cape Town;
- (b) The dashboard template was developed and implemented for use by the Mayor's office to monitor IDP implementation, to assess the status of selected critical management and institutional indicators and to monitor progress in respect of ad hoc matters deemed important by the Mayor;
- (c) The primary objective of the dashboard template is positive, i.e. to achieve progress towards completion and therefor adopted and to serve as an early-warning system;
- (d) The secondary objective of the dashboard template is address non-performance, delays and deviations;
- (e) The dashboard template monitoring tool enhances participation and transparency as post-assessment records are submitted and considered by portfolio committees to remedy deficiencies or to institute remedial action and to monitor the required remedial action.

Roles and responsibilities of participants

- 1 The Mayor's office is responsible to:-
 - (a) Determine the dates and times of the quarterly dashboard sessions and to communicate such to the respective directorates;
 - (b) Receive summarised quarterly reports in respect of the information required in Section B of the dashboard template from the budget office, the city manager's office, the financial manager's office, the HR department and legal services;
 - (c) Receive completed quarterly reports seven (7) days before the scheduled dashboard session between the Mayor and the directorate in accordance with the numbering and headings stated in the dashboard template, which shall be deemed as the table of contents for such reports;
 - (d) Complete the dashboard template in accordance with the information extracted from the report submitted by the directorate;
 - (e) Return the completed dashboard to the responsible officials within the relevant directorate within three (3) days from receipt thereof for clarification of uncertainties and rectification;
 - (f) Receive corrected completed dashboard template back from directorate within two (2) days and verify for correctness against summarised quarterly reports;
 - (g) Transmit electronically a copy of the final populated dashboard template to the relevant directorate to enable its leadership and management to finalise preparations for its dashboard session with the Mayor;

- (h) Print seven (7) A3 size colour copies of finalised completed dashboard template and present at dashboard session together with report submitted by directorate (as portfolio of evidence).
- 2 The relevant directorate to:-
- (a) Obtain information required for completion of quarterly report in good time from:
- Items A.1 to A.5: IDP office;
 - A.6 to A.8: Mayoral committee member;
 - B.1 to B.4: Budget office;
 - B.5: City manager's office;
 - B.6 to B.7: Budget office;
 - B.8 to B.9: HR department;
 - B.10: Budget office;
 - B.11: HR department;
 - B.12 to B.13: Budget office;
 - B.14: Directorate;
 - B.15: Internal audit;
 - B.16: Legal services
- (b) Complete the dashboard template and submit to Performance Monitoring seven (7) days before the scheduled dashboard session
- (c) Quarterly reports submitted by directorate must include signatures of executive director, portfolio committee chairperson and mayoral committee member;
- (d) Receive populated dashboard template from Performance Monitoring three (3) days after initial submission;
- (e) Verify correctness of populated and effect proposed changes/ corrections in red ink on a hard copy of the populated dashboard template and return to Performance Monitoring within two (2) days after receipt;
- (f) Receive a final version of the populated dashboard template one (1) day prior to the dashboard meeting, which dashboard template will be the version used by the Mayor to direct the dashboard meeting from.

Interpretation of Dashboard Template

| ITEM NO | MEANING |
|---------|--|
| A.1 | The quarterly reports in respect of SDBIPs for directorates and its departments. The mayor is only concerned with the status of targets achieved or exceeded. Reasons for non-achievement of all other targets need to be submitted. Monitoring of SDBIPs remains the single most important item that is being monitored with the dashboard template. It is important that quarterly SDBIP progress reports submitted to portfolio committees be scrutinised and interrogated as portfolio committees have a duty to monitor. Directorates must also be realistic in determining relevant indicators depicting implementation of plans and the realism of targets. Besides that the government of the day uses progress with the SDBIPs' implementation as a measure of success of its service delivery strategy, directorates will be held accountable for non-performance on SDBIPs. It is therefore essential that SDBIPs planning be done with due care and that SDBIPs form the basis for budget planning. If SDBIPs are done accurately, there will not be a need for additional <i>management or operational plans</i> within directorates. The responsibility for SDBIPs planning vests with the executive director, the mayoral committee member and the portfolio chairperson and the mayor will not approve any SDBIP without the signatures of the afore-mentioned included in the SDBIPs. |

| | |
|-----|---|
| A.2 | In law the elected council of a municipality (Section 11(3)(a) of the LG: Municipal Systems act, No 32 of 2000) exercises its executive and legislative authority amongst other by developing and adopting policies, plans, strategies and programmes, including setting targets for delivery. The intention and purpose of A.2 is therefore for the mayor to assess whether directorates are responding to policy voids through the introduction of new policies or reviewing existing policies that underwrites and supports the municipality's strategy. All existing policies have in any event to be reviewed at least once during the term of office of the elected council and even where policies are sound and effective, it needs to be confirmed within this space. The initiation of this process vests with the portfolio committees in collaboration with the Strategic Policy Unit in the Mayor's office. It is important that target dates for completion of new and revision of existing policies be indicated in reports to avoid it being indicated as immeasurable. Section 11(3)(j) of the above-mentioned act further determines that the municipality must monitor the impact and effectiveness of services, policies, programmes and plans and by implication review where necessary. |
| A.3 | Section 11(3)(m) of the Systems Act determines that the municipality exercises its legislative and executive authority amongst other by passing by-laws. Similar to A.2 above the criteria of void and or appropriateness should be applied in determining whether there is cause for new by-laws and or revision of existing by-laws. This assessment must be done by the portfolio committees in collaboration with Legal Services. |
| A.4 | This item pertains to the capturing of the SDBIPs into the SAP system. The target date should always be the commencement of each new financial year (i.e. 1 July) irrespective of whether the mayor, the mayoral committee member, the portfolio chairperson and the executive director have approved SDBIPs. The Mayor is adamant that this procedure be followed from the 2013/2014 financial year onwards as the principle of SDBIPs informing budgets will be diligently applied. |
| A.5 | This item only applies to the revision of the SDBIPs, which will be permitted once per financial at the end of January of each financial year. The purpose with the review of the SDBIPs is amongst other to correct same where it was either unrealistic or did not contribute towards achieving the objectives of the IDP. The target date for capturing of the reviewed SDBIPs into the SAP system will always be 1 February of each financial year. |
| A.6 | This item pertains to the decisions that mayoral committee members make during a quarter in accordance with their delegated authority. Same must be reported in similar format as the decisions taken by the city manager, i.e. No of Decision (1/10, 2/10 etc.). The number 1 before the number 10 denounces the number of the decision and the 10 denounces the month during which the decision was taken. The number and month of the decision must be followed by a brief description of the nature of the decision, e.g. 2/10: Approval of virement Opex budget from cost centre X to cost centre Y amount R 3 million |
| A.7 | Mayoral committee members are obliged to attend/ hold at least 2 public meetings per months, i.e. 6 per quarter. Only meetings with the public should be listed here and not council, sub-council, committee or inter-governmental meetings. |
| A.8 | Mayoral committee members are obliged to promote the activities within their portfolios/ directorates and should have press and/ or media coverage on a weekly basis. The Mayor's argument in this regard is that the dashboard template has substituted mayoral members' obligation to submit monthly activities reports and that accountability with the public be promoted through public feedback meetings and press and media releases. The quarterly target for all mayoral committee members on this item is 12. |

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| B.1 | The monitoring of operational budget expenditure is important to ensure that council's money is spent efficiently. It also serves as an indication of the achievement of planned targets for service delivery within approved budget. It furthermore gives indication of wasteful and fruitless expenditure where non-budgeted expenditure occurs without the necessary virement of funding. Important to the Mayor is that deviations from the budget is interpreted as poor or inadequate planning, which requires remedial action to avoid budget-spiking expenditure during the last month of each financial year. |
| B.2 | Whilst the same arguments as per B.1 above are relevant, the monitoring of the capital budget goes further in that it talks to the establishment, upgrading and refurbishment of new and existing facilities and assets of the municipality. It further involves a great deal of contracts management, which, if not done diligently, could cause financial losses or increased liabilities for the municipality. Major deviations from the capital budget will indicate either poor contracts administration or delays of various sorts, including force majeure. The Mayor is duty-bound to direct the accounting officer if she is of the opinion that interventions are required. |
| B.3 | The collection and receipt of revenue is a massive contracts administration endeavour. In the case of rates funded services the task is in hand in that the municipality has services contracts with consumers. In the case of leases and other sources of income such as fines, the administering becomes more complicated. Where Item B.3 reflects major shortfall deviations, the Mayor wants explanations for such shortfalls. Where the Mayor is not satisfied with the explanations offered, she may direct further investigations into the root cause for such deviations. |
| B.4 | The authorisation of excessive virements is interpreted as deviations from the SDBIPs and therefore the IDP unless the explanations offered convinces the Mayor otherwise. Virements must be limited to the absolute essential and minimum. Excessive virements are also indicative of poor planning. |
| B.5 | Whilst it is acknowledged that SCM deviations will occur from time to time, an ongoing trend of SCM deviations are interpreted as a mechanism to by-pass SCM prescriptions and inadequate planning. Explanations for all SCM deviations must be submitted. The Mayor will in her discretion direct whether further explanations are required or whether the city manager should take further action in respect of cumbersome deviations. |
| B.6 | Whilst it is accepted that appointments within the municipality take time, substantive savings on salaries and wages budgets must be explained in the reports. Ongoing savings possibly indicate unnecessary high provisions for salaries and wages that could have been utilised towards service delivery. |
| B.7 | Variances in this regard must be explained to enable the Mayor to ascertain what portion of the expenditure is paid to labour brokers, consultants and temporary workers. The afore-mentioned breakdown is necessary enable the Mayor to determine to what extent the employment of the afore-mentioned categories of workers fill occupations that could be filled by municipal appointed staff and to what extent such employment distorts employment equity figures. The Mayor is against the employment of labour broker provided staff and consultants for undetermined periods. |
| B.8 | The vacancies age analysis is required to determine how long vacancies within the directorates remain vacant. The validity and necessity of ongoing vacancies must be explained and motivated, i.e. all vacancies on the approved staff establishment 1 year and older. |
| B.9 | The employment equity targets are statutory compliance requirements that must be achieved. The Mayor monitors these statistics to ensure fairness in recruitment practices in the municipality. |

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|------|---|
| B.10 | Whilst it is acknowledged that overtime expenditure is difficult to manage, excessive over-spending on overtime can be indicative of poor staff control or even fraud. Excessive deviations on overtime must be explained in the directorate's quarterly report. |
| B.11 | Absenteeism is measured to ascertain which directorates experience serious problems in such regard. Excessive absenteeism is indicative of managerial problems and affects service delivery. Absenteeism is a phenomenon that must be managed to satisfactory levels, i.e. 4% of workforce per work day. |
| B.12 | Fuel expenditure is monitored to indicate trends over time. Excessive variances are interpreted as either poor planning, theft of fuel or unproductive & unnecessary travelling by staff. Excessive variances in respect of fuel expenditure must be explained. |
| B.13 | Repairs & maintenance is monitored to ascertain whether Council's assets are being properly cared for. National Treasury has indicated that an ideal situation would be that 8% of Council's annual operating budget be employed towards repairs & maintenance. Excessive variances on repairs & maintenance indicate towards either neglect of assets or misappropriation of funds towards repairs & maintenance. Excessive variances in respect of repairs & maintenance must be explained. |
| B.14 | The Mayor directed that all SLAs pertaining to services rendering, must be identified & demarcated in the wards where such services are being rendered. The purpose of this directive is that members of the public be made aware by their ward councillors of which contractors are rendering services in their wards so that the public can report service delivery failures by external service providers. Whilst this is an enormous & ongoing task, directorates must submit statistics on the number of contracts administered, the number of breaches, number of times that penalties were applied in respect of irreparable breaches & the number of labour intensive contracts. Whilst this section of the report is purely statistical, it affords the Mayor opportunity to determine whether contract administration is indeed being applied & whether the municipality's rights are protected through such contract administration. Any omission to report correctly on this indicator may cause embarrassment if a contract or contracts are breached in the future. Major breaches with dire financial implications to the municipality must be reported. |
| B.15 | The monitoring of audit queries & related matters is important as the Mayor & the WC province as a whole, have subscribed to <i>Operation Clean Audit</i> . Besides that unattended audit queries are indicative of poor management, it also poses a risk to Operation Clean Audit. Directorates must supply target dates for finalisation of audit queries & the Mayor's directive is that same be attended to & finalised within the 1 st & 2 nd Quarter of the year following the audit. Failure to do so must be explained in the quarterly report. |
| B.16 | The number of cases is monitored to determine trends. Where there is a rapid increase in cases between quarters, the likelihood exists that some procedure within the CoCT is either flawed or unfair or communities are unresponsive to adhere to laws and/ or by-laws. Sudden increases in cases must be explained in quarterly reports. |
| C.1 | All directorates must indicate projects that they are undertaking to rectify infrastructural & other matters falling within the ambit of local government responsibilities' imbalances of the past. The mere holding of events in previously disadvantaged residential areas does not automatically fall under this category & must be carefully considered before being added. Infrastructural extensions in informal residential areas clearly fall within this category & must be reported with indication of completion target dates & values. |

| | |
|-------------|---|
| C.2 | EPWP is no longer a passionate priority of the Mayor only. National Treasury directed in December 2012 that all municipalities involve it with EPWP as a vehicle to tackle the massive challenge of unemployment in South Africa. Directorates must indicate the number of EPWP opportunities to be created through the mayoral fund & per directorate budget. Indication must also be given of the quantum of labour intensive job opportunities created through EPWP. Excessive variances from targets must be explained in quarterly reports. |
| C.3 | All directorates have some contribution to make towards the mayoral urban regeneration project. Council resolved in December 2011 that certain areas be identified for this purpose & directorates must list its involvement to ensure that duplication is avoided & unity of effort is achieved. Mayoral committee members & portfolio chairpersons will be interrogated at dashboard sessions on the subject matter. In the event of uncertainty guidance in this regard will be given by the SPU. Although progress is reported to the mayoral sub-committee on urban regeneration, relevant involvement must also be listed here to enable the mayor to report authoritatively to the WC provincial government. |
| C.4 | Excessive outstanding C3 notifications are an indication of either a blockage within a directorate or unresponsiveness towards complaints by the public. Trends are being monitored & excessive outstanding (open) C3 notifications must be explained in the quarterly report. |
| C.5 | The targets for events within a directorate must correlate with its SDBIPs. Events for the quarter under assessment are being monitored to determine whether directorates are giving effect to its plans. Events indicated for next quarter is reported merely for the mayor to assess whether she would want to be involved in a particular event or events. |
| C.6 onwards | Relates to any issue that the mayor wishes to add to the dashboard with a view to keeping track thereof. |

Assessment of Dashboard Templates

- (1) The assessment of the completed dashboard template will be undertaken by the Mayor in the presence of the mayoral committee member, the portfolio chairperson and the executive director of the relevant directorate;
- (2) The only officials that will be in attendance will be the Director: Performance Monitoring in the Office of the Mayor and the Director: IDP and Performance in the Office of the Deputy City Manager;
- (3) The City Manager may attend all, specific or no dashboard meetings in his sole discretion;
- (4) The role of the two directors during the assessment meeting is to offer advice on clarity and may under no circumstances participate in the assessment in a manner that may influence the Mayor's assessment and interpretation of the information contained in the dashboard template;
- (5) The Director: Performance Monitoring must record all directives given by the Mayor, after having considered explanations from the directorate, that have bearing or reference to remedial action that emanates from her assessment of the dashboard template;
- (6) The Director: Performance Monitoring must record all issues that the Mayor requires the directorate to attend to under Section C of the dashboard template.

Quarterly Close-out Reports

- (1) The Director: Performance Monitoring must, as soon as possible after conclusion of all the dashboard sessions, compile close-out reports for each directorate;
- (2) Close-out reports and the dashboard template relevant to such report must be sent to the directorate before the dashboard session for the next quarter is to be held;
- (3) Close-out reports must be submitted to the relevant portfolio committee for noting and to monitor progress and remedial action required by the relevant directorate;
- (4) Portfolio chairpersons will be required to report on monitoring of matters mentioned in the previous quarter's close-out report at the following dashboard session.

Annexure E: Mayoral Dashboard Quarterly Close-out Report post dashboard assessment

CITY OF CAPE TOWN**MAYORAL DASHBOARD EVALUATION REPORT FOR 1st QUARTER 2012/2013 FINANCIAL YEAR****DIRECTORATE: CORPORATE SERVICES**

| ITEM NO | ISSUE | MAYOR'S COMMENTS | PROPOSED REMEDIAL ACTION |
|---------|------------------------------|---|---|
| A.1 | IDP Monitoring | <ul style="list-style-type: none"> • Too early to ascertain whether SDBIPs are relevant & supportive of the achievement of IDP objectives – 2nd Quarter statistics will present trends • Only the targets that were exceeded or achieved are scored as being <i>on target</i> for dashboard monitoring purposes. The indication on the dashboard therefore reflects the portion of the target not achieved (negative scoring) • The directorate's legend applicable to SDBIP monitoring on the Excel scorecards remains as is • The percentages of <i>on target</i> are generally low and the ED, Mayco member & portfolio chair must monitor progress during 2nd Quarter to improve • All annual targets must be reviewed to indicate quarterly targets & once off events must be indicated in which quarter it will occur • SDBIPs can only be amended with the January adjustment budget • SDBIPs precede budget & are in fact the planning for budgets | <ul style="list-style-type: none"> • Dashboard with evaluation report must be included as monitoring report on agenda of portfolio committee • Directorate must review SDBIPs to indicate measurable & quarterly targets • EMT should have SDBIP monitoring as an agenda item • Irrelevant SDBIPs must be revised • No budgets will be approved without proof of prior developed SDBIP to support budget |
| A.1 | SDBIP Planning | <ul style="list-style-type: none"> • Concerned that all directorates are not using the same baseline information for planning purposes • Information within Knowledge Management Department must be updated with Census 2011 data • Requires presentation on Census 2011 early 2013 | <ul style="list-style-type: none"> • EMT to ensure that all departments within their respective directorates be sensitised to utilise the same data for planning purposes • That a presentation be arranged on Census 2011 |
| A.2 | Policy Development & Review | <ul style="list-style-type: none"> • No targets indicated • No progress indicated | <ul style="list-style-type: none"> • Policy development & review is an on-going exercise & must have target dates so that progress can be measured • Policy development & review must be monitored by portfolio committee • SPU to be consulted on all policy development & review |
| A.2 | Transport Fleet Policy | <ul style="list-style-type: none"> • Concerned about the cost of management of fleet internally • Of the opinion that outsourcing may have cost benefits for CoCT | <ul style="list-style-type: none"> • That a report with cost benefit analysis on various options to manage fleet be submitted to mayor by end February 2013 |
| A.2 | Facilities Management Policy | <ul style="list-style-type: none"> • Directorates have different & inconsistent approach to facilities management | <ul style="list-style-type: none"> • Meeting between mayor, mayco members & EDs of all directorates that manage facilities to be arranged |
| A.3 | By-Laws Development | <ul style="list-style-type: none"> • No report submitted | <ul style="list-style-type: none"> • All by-laws administered by directorate to be reviewed |
| A.4 | Mayco Member's decisions | <ul style="list-style-type: none"> • Mayco member listed all the reports that the directorate generated, which is not what the mayor called for | <ul style="list-style-type: none"> • Mayco member's office to list all the decisions taken by the mayco member in terms of his delegated authority for the quarter |

| ITEM NO | ISSUE | MAYOR'S COMMENTS | PROPOSED REMEDIAL ACTION |
|---------|-----------------------------------|---|--|
| A.5 | Public meetings held | <ul style="list-style-type: none"> Mayco member listed all meetings attended including council & committee meetings Mayor is only concerned with mayco member calling & attending public meetings with the general public | <ul style="list-style-type: none"> Reporting to be amended to only include public meetings |
| B.5 | Virements | <ul style="list-style-type: none"> Virements approved were in some cases vaguely motivated & without clear indication of rates/ costs | <ul style="list-style-type: none"> ED & mayco member to exercise due diligence with future virements |
| B.9 | Employment Equity status | <ul style="list-style-type: none"> Concerned about the seemingly low priority that is given to employment of disabled | <ul style="list-style-type: none"> Disabled persons to be reflected as a priority target group Future reporting to indicate this target group |
| B.15 | Broadband infrastructure roll-out | <ul style="list-style-type: none"> Internal audit query in respect of improvement on procedures & controls must be attended to | <ul style="list-style-type: none"> ED to attend to & resolve the matter |
| B.16 | Asset verification by directorate | <ul style="list-style-type: none"> Verification of assets not an annual target in SDBIPs & should be broken down into quarterly targets 2011/2012 audit query must be resolved in good time before next external audit Annual asset verification process for financial statements purposes is responsibility of Finance Directorate & is separate from asset verification within directorate | <ul style="list-style-type: none"> Directorate's assets verification must be completed by end April 2013 |
| C.4 | Broadband project roll-out | <ul style="list-style-type: none"> External funding to be sourced to complement CoCT funding for broadband roll-out Delay experienced with tender – cannot accept 2nd tender due to non-compliance | <ul style="list-style-type: none"> Report to portfolio committee, mayco, mayor on external funding sourced Report to mayor on expediting of tender process |
| C.5 | EPWP | <ul style="list-style-type: none"> No targets indicated Immeasurable statistics reported | <ul style="list-style-type: none"> Set quarterly targets |
| GEN | Interpretation of Dashboard | <ul style="list-style-type: none"> Mayor wants further refinement of dashboard to include recommended changes & interpretation of legend | <ul style="list-style-type: none"> GR to attend to matter |

REPORT COMPILED BY: Gerhard Ras

POSITION: Director Planning & Performance Monitoring

SIGNATURE:.....

REPORT APPROVED BY: Ald Patricia de Lille

POSITION: Executive Mayor

SIGNATURE:.....

DATE: 20 December 2012

Source: City of Cape Town Mayoral Dashboard close-out report December 2012

Annexure F: Mayoral Dashboard Survey Questionnaire**SURVEY QUESTIONNAIRE****SECTION A: OCCUPATION INFORMATION**

Please mark the applicable block with an “X” where appropriate

Position in the City of Cape Town

| | | | |
|------------|--|-------------------|--|
| Politician | | Senior Management | |
|------------|--|-------------------|--|

Please note that no personal or employment related information is required for this survey. All responses received will be retained by the researcher who undertakes to treat same with utmost confidentiality. Besides that respondents in this survey remain anonymous, undertaking is given that no individual response will be published or discussed with the executive mayor or anyone besides my study leader at the University of Stellenbosch.

SECTION B: TECHNICAL KNOWLEDGE REGARDING THE MAYORAL DASHBOARD

Please indicate to what extent you agree or disagree with each statement by placing an X in the appropriate box. Please also answer in accordance with your understanding and experience with the Mayoral Dashboard

| | | | | |
|------------------|---------|-------------|------------|---------------------|
| 1 Strongly agree | 2 Agree | 3 Undecided | 4 Disagree | 5 Strongly Disagree |
|------------------|---------|-------------|------------|---------------------|

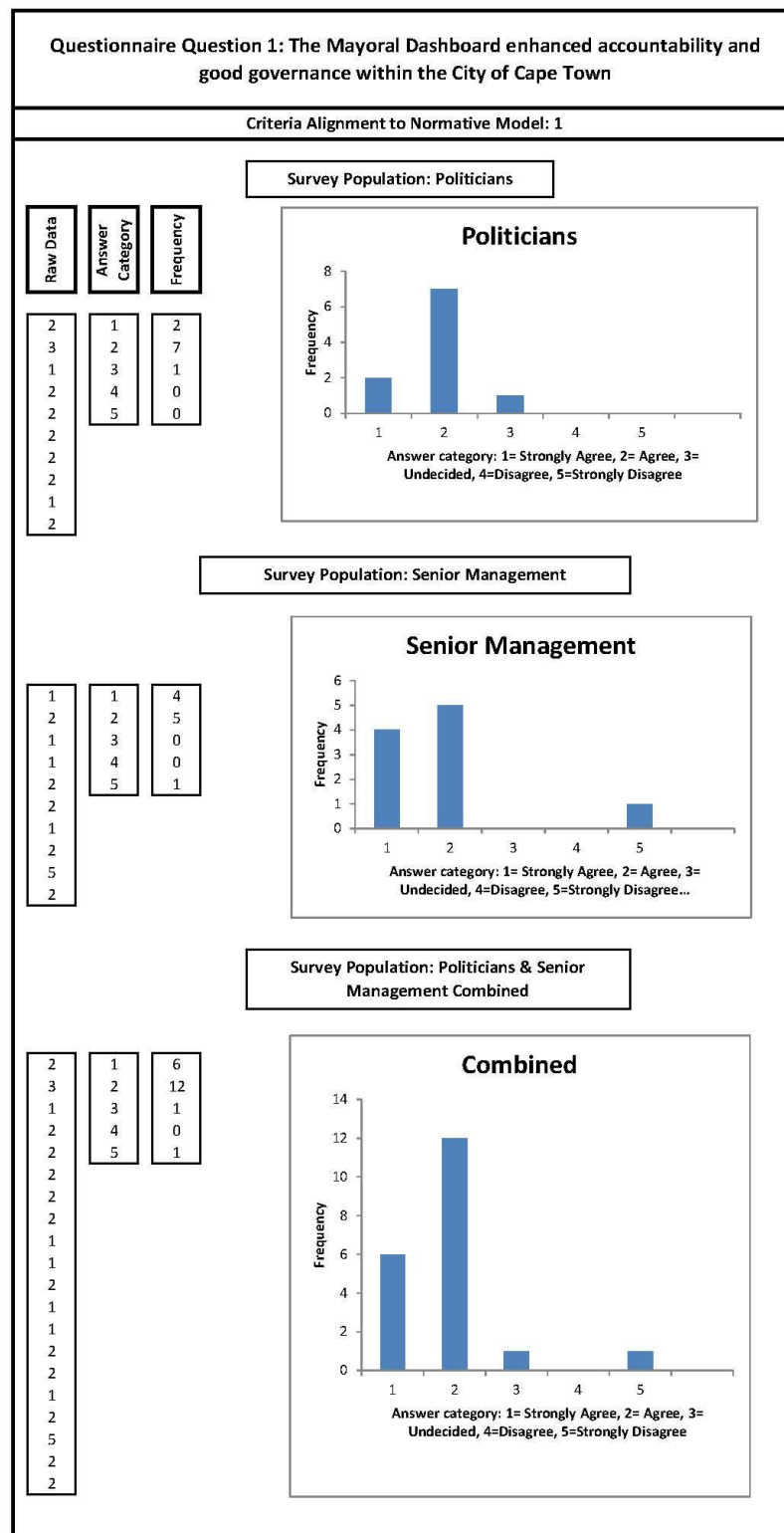
| | | | | | | |
|---|--|---|---|---|---|---|
| 1 | The Mayoral Dashboard enhanced accountability and good governance within the City of Cape Town | 1 | 2 | 3 | 4 | 5 |
| 2 | Accountability oversight in the City of Cape Town is sufficient without the Mayoral Dashboard | 1 | 2 | 3 | 4 | 5 |
| 3 | The Mayoral Dashboard was aligned to the Council's IDP Strategies and Objectives | 1 | 2 | 3 | 4 | 5 |
| 4 | I was afforded the opportunity to challenge the assumptions made in the compilation and finalisation of the Mayoral Dashboard | 1 | 2 | 3 | 4 | 5 |
| 5 | The Mayoral Dashboard Implementation Guidelines document was simplistic and easy to follow | 1 | 2 | 3 | 4 | 5 |
| 6 | I was consulted with the goal-setting of the City of Cape Town in respect of my directorate | 1 | 2 | 3 | 4 | 5 |
| 7 | The indicators in the Mayoral Dashboard were easy to understand, well-defined and provides clear, unambiguous definitions that allow for data to be collected consistently | 1 | 2 | 3 | 4 | 5 |

| | | | | | | |
|----|---|---|---|---|---|---|
| 8 | The performance targets in the Mayoral Dashboard were realistic | 1 | 2 | 3 | 4 | 5 |
| 9 | The Mayoral Dashboard has had strategic value in the City of Cape Town | 1 | 2 | 3 | 4 | 5 |
| 10 | The Mayoral Dashboard primarily measured the service delivery performance of my directorate | 1 | 2 | 3 | 4 | 5 |
| 11 | The quarterly Mayoral Dashboard meetings assisted to indicate trends where I could ascertain where things went wrong | 1 | 2 | 3 | 4 | 5 |
| 12 | The Mayoral Dashboard assisted me to be more cost conscious | 1 | 2 | 3 | 4 | 5 |
| 13 | The Mayoral Dashboard contributed to the alignment of the resources and capacity of the City with the implementation of the Integrated Development Plan | 1 | 2 | 3 | 4 | 5 |
| 14 | The results in the quarterly Mayoral Dashboard were aggregated data (high level) | 1 | 2 | 3 | 4 | 5 |
| 15 | The results in the quarterly Mayoral Dashboard were easy to interpret because of the dashboard's colour codes | 1 | 2 | 3 | 4 | 5 |
| 16 | The performance parameters of the Mayoral Dashboard were aligned to the parameters within the City of Cape Town's SAP ICT system | 1 | 2 | 3 | 4 | 5 |
| 17 | At the quarterly Mayoral Dashboard meetings I was given fair opportunity to explain deviations from performance targets | 1 | 2 | 3 | 4 | 5 |
| 18 | The annual SDBIP for my directorate is an accurate plan to monitor the implementation of its budget | 1 | 2 | 3 | 4 | 5 |
| 19 | The annual SDBIP for my directorate is an unnecessary compliance requirement | 1 | 2 | 3 | 4 | 5 |
| 20 | The annual SDBIP for my directorate does not assist with performance monitoring | 1 | 2 | 3 | 4 | 5 |
| 21 | The quarterly Mayoral Dashboard meetings were positive where I was treated fairly | 1 | 2 | 3 | 4 | 5 |
| 22 | The quarterly Mayoral Dashboard meetings created opportunity where I could adequately explain performance deviations | 1 | 2 | 3 | 4 | 5 |
| 23 | The quarterly Mayoral Dashboard meetings were collaborative and offered solutions to service delivery problems | 1 | 2 | 3 | 4 | 5 |
| 24 | The quarterly Mayoral Dashboard close-out report assisted me to intervene where service delivery problems were highlighted | 1 | 2 | 3 | 4 | 5 |
| 25 | The Mayoral Dashboard measured quality of service delivery in the City of Cape Town | 1 | 2 | 3 | 4 | 5 |
| 26 | The quarterly Mayoral Dashboard meetings always had punitive results for directorates under measurement | 1 | 2 | 3 | 4 | 5 |

| | | | | | | |
|----|---|---|---|---|---|---|
| 27 | The Mayoral Dashboard followed a one-size-fits-all approach to performance measurement | 1 | 2 | 3 | 4 | 5 |
| 28 | The Mayoral Dashboard measured the wrong things in the City of Cape Town | 1 | 2 | 3 | 4 | 5 |
| 29 | The monitoring of SDBIP implementation by directorates should be done by the city manager and not by the executive mayor | 1 | 2 | 3 | 4 | 5 |
| 30 | The results of the quarterly Mayoral Dashboard reflected outputs of short-term projects and programmes and not outcomes or impact | 1 | 2 | 3 | 4 | 5 |

THANK YOU FOR YOUR CO-OPERATION

Annexure G: Histograms – Questions 1 to 30

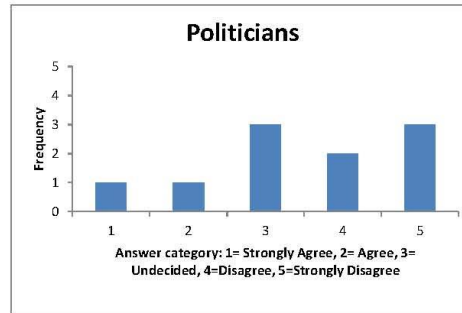


Questionnaire Question 2: Accountability and oversight in respect of performance monitoring in the City of Cape Town is sufficient without the Mayoral Dashboard

Criteria Alignment to Normative Model: 1

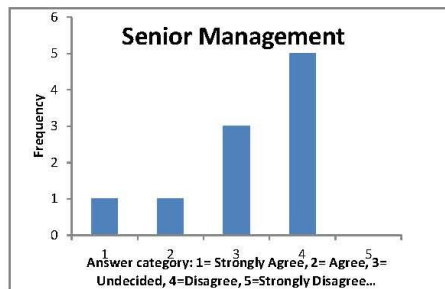
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 5 | 1 | 1 |
| 3 | 2 | 1 |
| 5 | 3 | 3 |
| 4 | 4 | 2 |
| 3 | 5 | 3 |
| 2 | | |
| 5 | | |
| 4 | | |
| 3 | | |
| 1 | | |



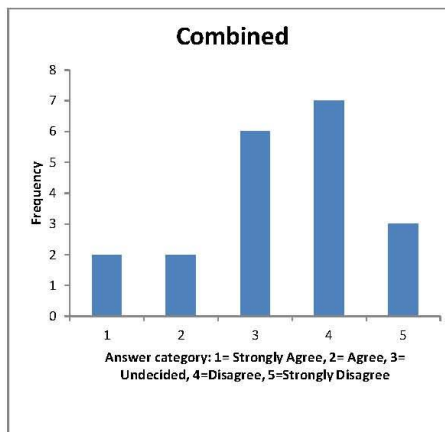
Survey Population: Senior Management

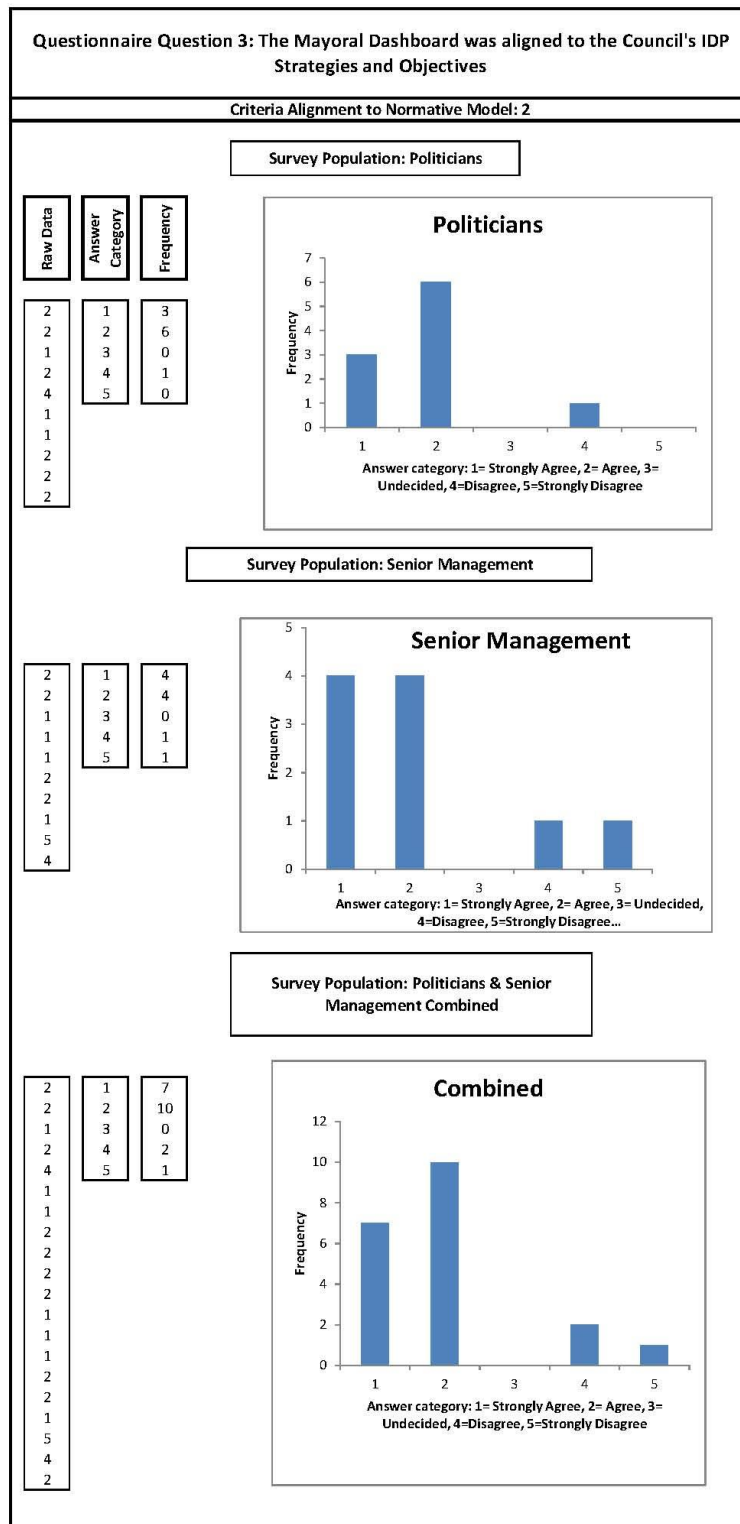
| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 1 |
| 3 | 2 | 1 |
| 4 | 3 | 3 |
| 1 | 4 | 5 |
| 4 | 5 | 0 |
| 2 | | |
| 4 | | |
| 3 | | |
| 3 | | |
| 4 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 5 | 1 | 2 |
| 3 | 2 | 2 |
| 5 | 3 | 6 |
| 4 | 4 | 7 |
| 3 | 5 | 3 |
| 2 | | |
| 5 | | |
| 4 | | |
| 3 | | |
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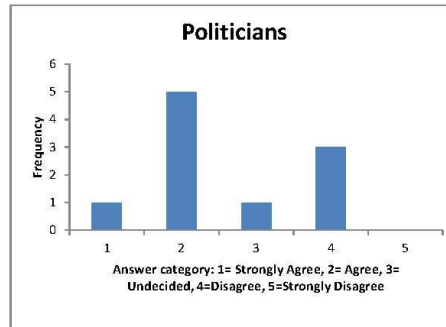


Questionnaire Question 4: I was afforded the opportunity to challenge the assumptions made in the compilation and finalisation of the Mayoral Dashboard

Criteria Alignment to Normative Model: 3

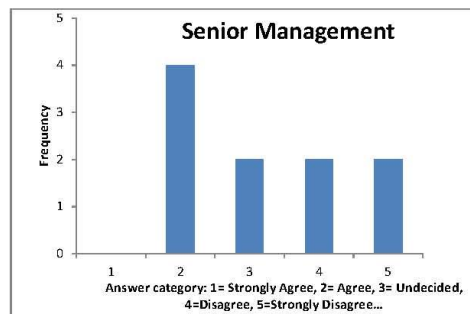
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 1 |
| 4 | 2 | 5 |
| 2 | 3 | 1 |
| 2 | 4 | 3 |
| 4 | 5 | 0 |
| 3 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 4 | | |



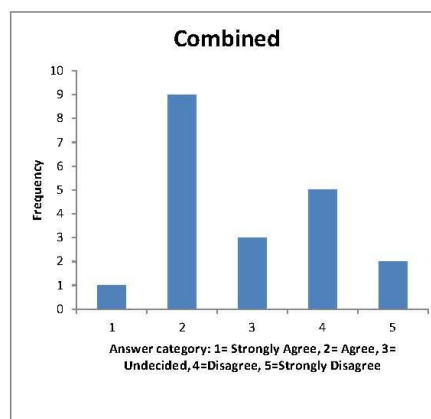
Survey Population: Senior Management

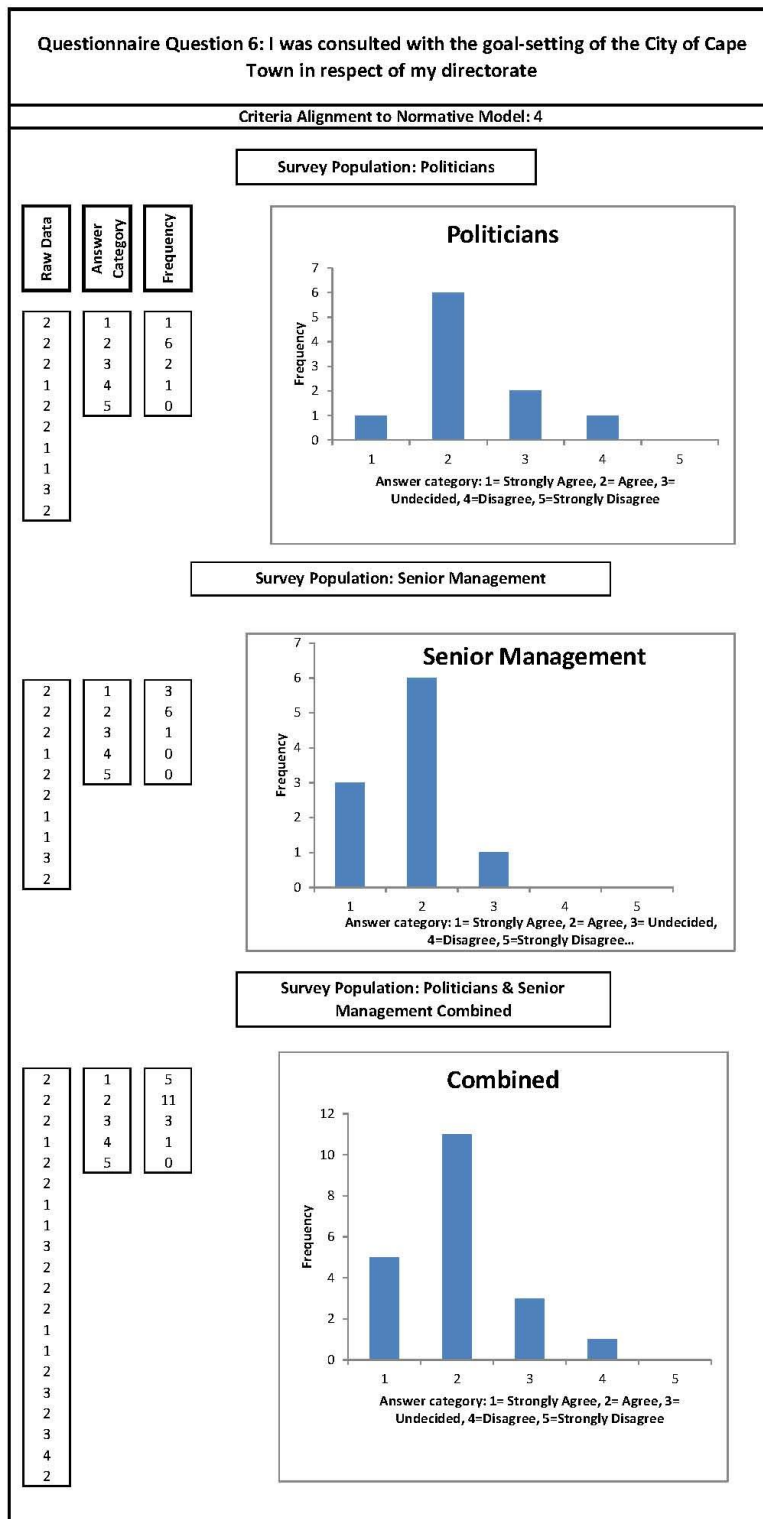
| | | |
|---|---|---|
| 3 | 1 | 0 |
| 2 | 2 | 4 |
| 2 | 3 | 2 |
| 2 | 4 | 2 |
| 5 | 5 | 2 |
| 2 | | |
| 4 | | |
| 2 | | |
| 3 | | |
| 5 | | |
| 4 | | |



Survey Population: Politicians & Senior Management Combined

| | | |
|---|---|---|
| 2 | 1 | 1 |
| 4 | 2 | 9 |
| 2 | 3 | 3 |
| 2 | 4 | 5 |
| 4 | 5 | 2 |
| 3 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 3 | | |
| 2 | | |
| 2 | | |
| 5 | | |
| 2 | | |
| 4 | | |
| 2 | | |
| 3 | | |
| 5 | | |
| 4 | | |



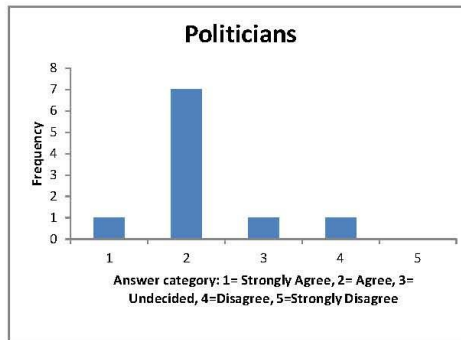


Questionnaire Question 7: The indicators in the Mayoral Dashboard were easy to understand, well-defined and provides clear, unambiguous definitions that allow for data to be collected consistently

Criteria Alignment to Normative Model: 4

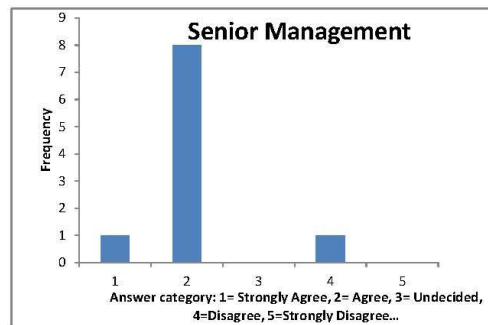
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 1 |
| 2 | 2 | 7 |
| 2 | 3 | 1 |
| 1 | 4 | 1 |
| 2 | 5 | 0 |
| 2 | | |
| 2 | | |
| 2 | | |
| 3 | | |
| 2 | | |
| 2 | | |



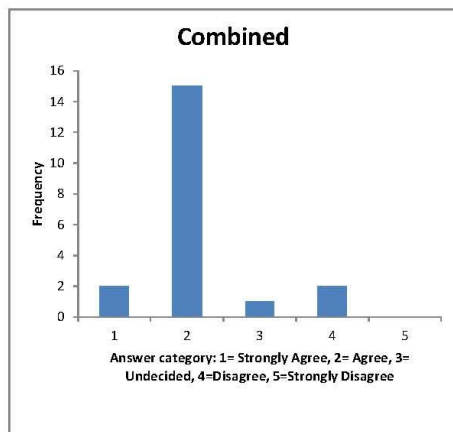
Survey Population: Senior Management

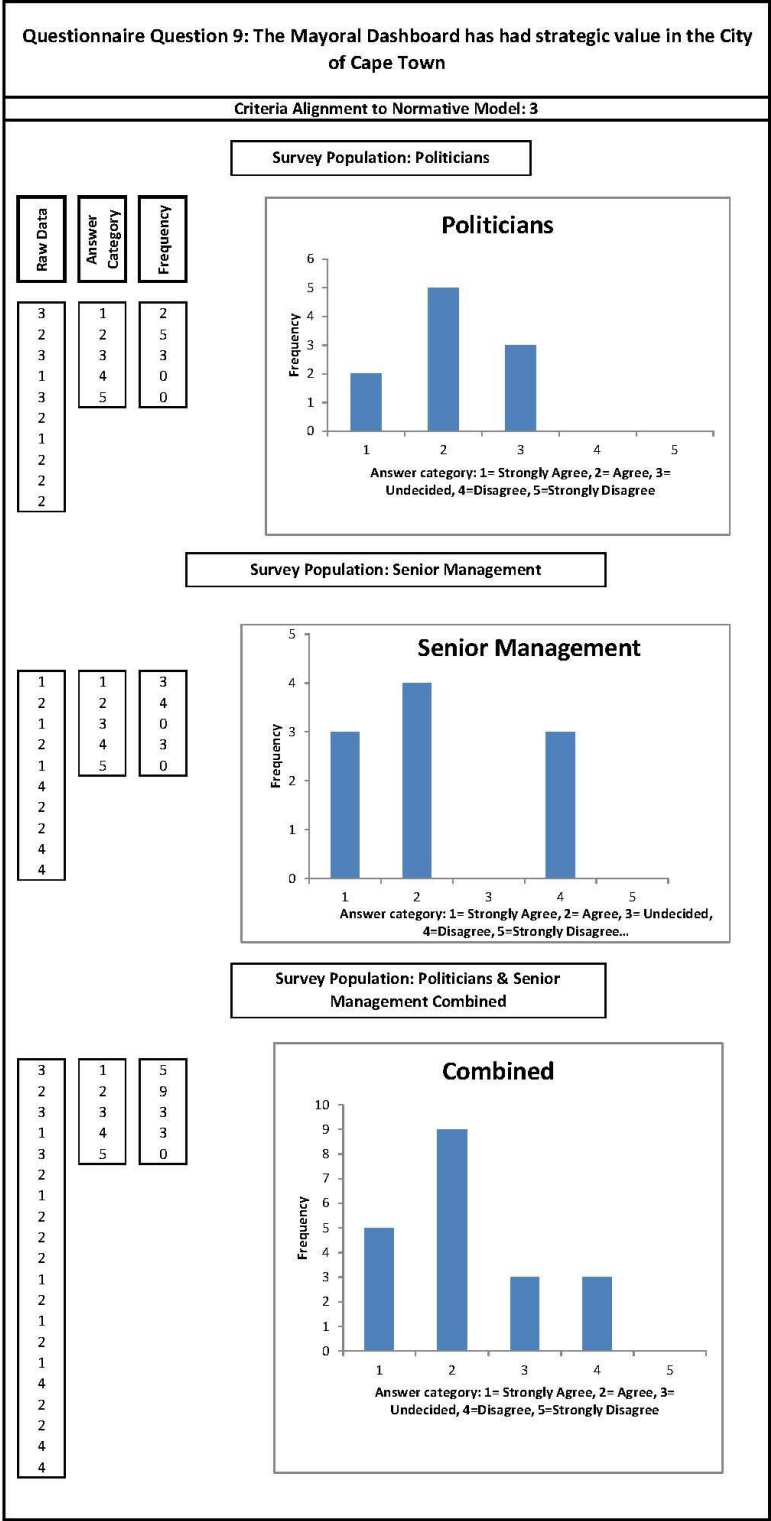
| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 1 |
| 2 | 2 | 8 |
| 2 | 3 | 0 |
| 2 | 4 | 1 |
| 1 | 5 | 0 |
| 2 | | |
| 2 | | |
| 2 | | |
| 4 | | |
| 2 | | |

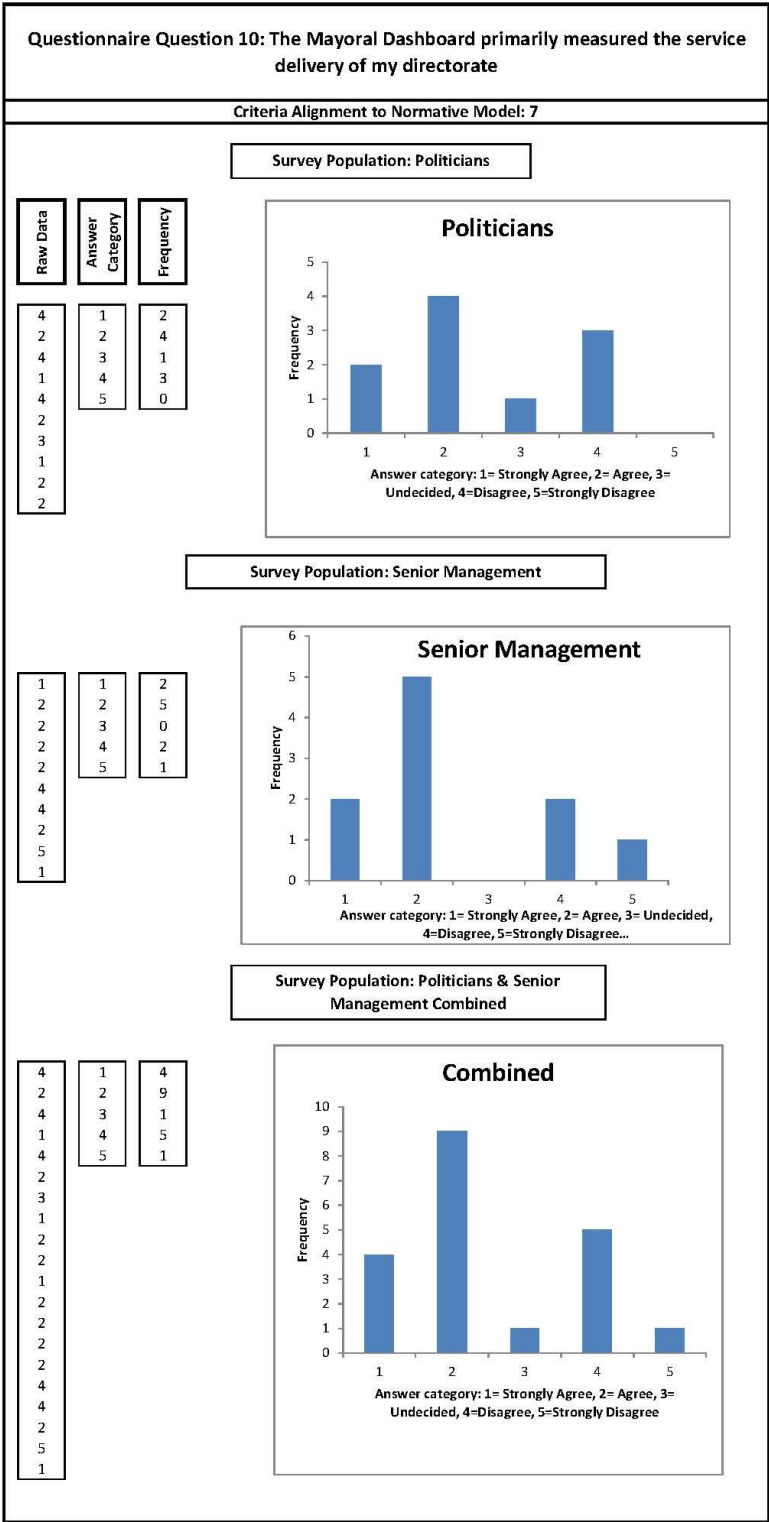


Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 2 |
| 2 | 2 | 15 |
| 2 | 3 | 1 |
| 2 | 4 | 2 |
| 1 | 5 | 0 |
| 2 | | |
| 2 | | |
| 2 | | |
| 3 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 4 | | |
| 2 | | |





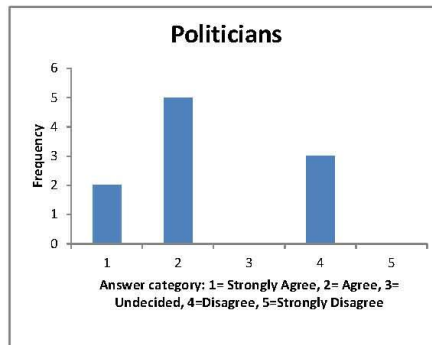


Questionnaire Question 11: The quarterly Mayoral Dashboard meetings assisted to indicate trends where I could ascertain where things went wrong

Criteria Alignment to Normative Model: 5

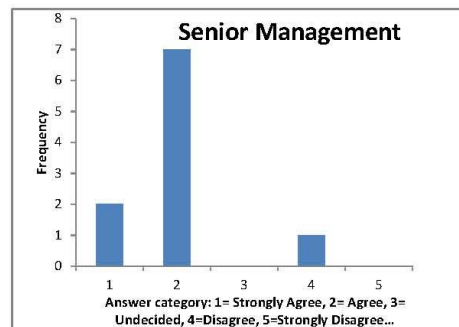
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 2 |
| 2 | 2 | 5 |
| 4 | 3 | 0 |
| 1 | 4 | 3 |
| 4 | 5 | 0 |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |



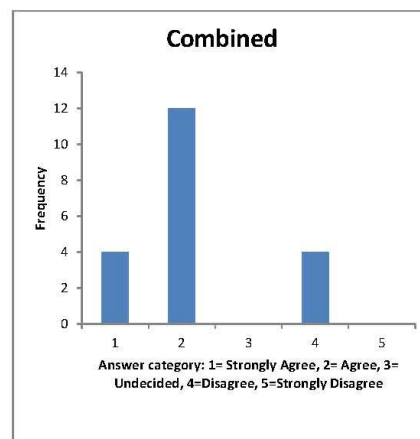
Survey Population: Senior Management

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 1 | 1 | 2 |
| 2 | 2 | 7 |
| 2 | 3 | 0 |
| 2 | 4 | 1 |
| 1 | 5 | 0 |
| 2 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 4 | | |
| 2 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 1 | 1 | 4 |
| 2 | 2 | 12 |
| 2 | 3 | 0 |
| 2 | 4 | 4 |
| 2 | 5 | 0 |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 4 | | |
| 2 | | |
| 4 | | |
| 2 | | |
| 1 | | |
| 4 | | |
| 2 | | |
| 2 | | |
| 2 | | |

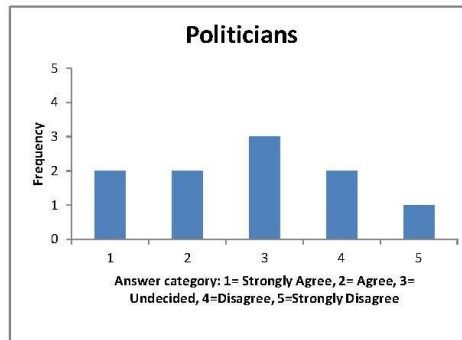


Questionnaire Question 12: The Mayoral Dashboard assisted me to be more cost conscious

Criteria Alignment to Normative Model: 6

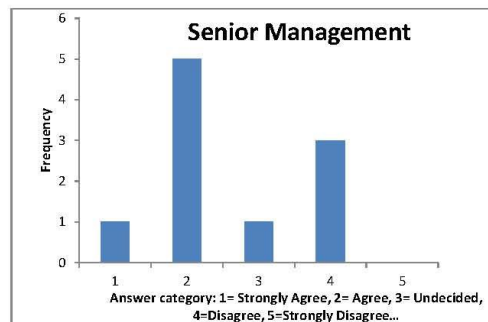
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 2 |
| 2 | 2 | 2 |
| 3 | 3 | 3 |
| 3 | 4 | 2 |
| 1 | 5 | 1 |
| 3 | | |
| 4 | | |
| 1 | | |
| 5 | | |
| 2 | | |



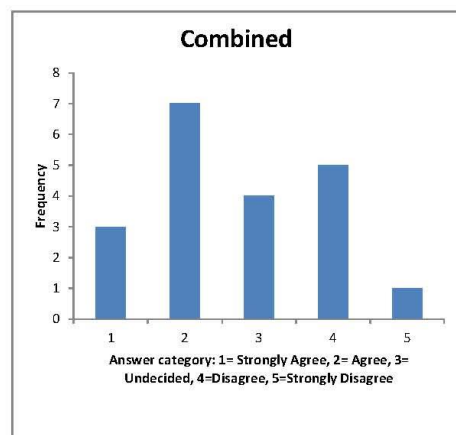
Survey Population: Senior Management

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 3 | 1 | 1 |
| 2 | 2 | 5 |
| 4 | 3 | 1 |
| 4 | 4 | 3 |
| 4 | 5 | 0 |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 3 |
| 2 | 2 | 7 |
| 3 | 3 | 4 |
| 3 | 4 | 5 |
| 1 | 5 | 1 |
| 3 | | |
| 4 | | |
| 1 | | |
| 5 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 4 | | |
| 4 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |

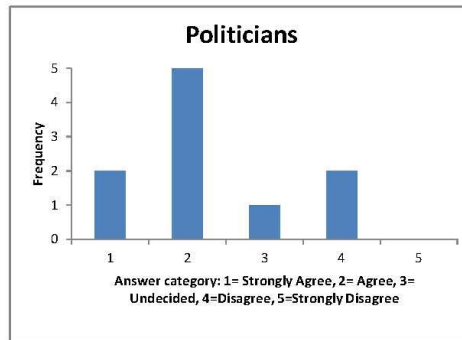


Questionnaire Question 13: The Mayoral Dashboard contributed to the alignment of the resources and capacity of the the City with the implementation of of the Integrated Development Plan

Criteria Alignment to Normative Model: 6

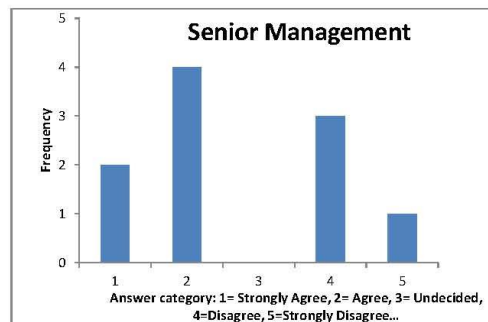
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 2 |
| 2 | 2 | 5 |
| 2 | 3 | 1 |
| 2 | 4 | 2 |
| 1 | 5 | 0 |
| 2 | | |
| 3 | | |
| 1 | | |
| 4 | | |
| 2 | | |



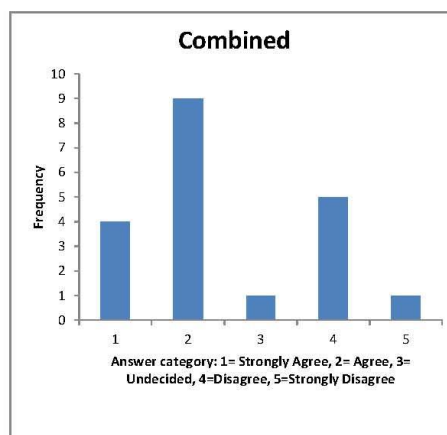
Survey Population: Senior Management

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 2 |
| 1 | 2 | 4 |
| 4 | 3 | 0 |
| 2 | 4 | 3 |
| 4 | 5 | 1 |
| 2 | | |
| 5 | | |
| 1 | | |
| 2 | | |
| 2 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 4 |
| 2 | 2 | 9 |
| 2 | 3 | 1 |
| 2 | 4 | 5 |
| 1 | 5 | 1 |
| 2 | | |
| 3 | | |
| 1 | | |
| 4 | | |
| 2 | | |
| 4 | | |
| 1 | | |
| 4 | | |
| 2 | | |
| 4 | | |
| 2 | | |
| 5 | | |
| 1 | | |
| 2 | | |
| 2 | | |

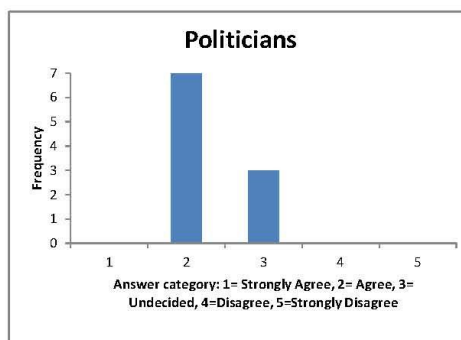


Questionnaire Question 14: The results in the quarterly Mayoral Dashboard were aggregated data (high level)

Criteria Alignment to Normative Model: 7

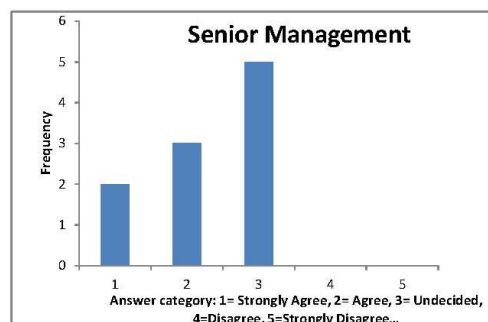
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 0 |
| 2 | 2 | 7 |
| 2 | 3 | 3 |
| 3 | 4 | 0 |
| 3 | 5 | 0 |
| 3 | | |
| 3 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 2 | | |



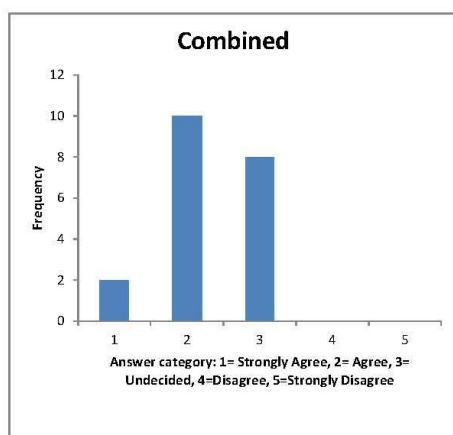
Survey Population: Senior Management

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 3 | 1 | 2 |
| 3 | 2 | 3 |
| 1 | 3 | 5 |
| 3 | 4 | 0 |
| 3 | 5 | 0 |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 3 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 2 |
| 2 | 2 | 10 |
| 2 | 3 | 8 |
| 3 | 4 | 0 |
| 3 | 5 | 0 |
| 3 | | |
| 3 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 3 | | |
| 3 | | |
| 1 | | |
| 3 | | |
| 3 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 3 | | |

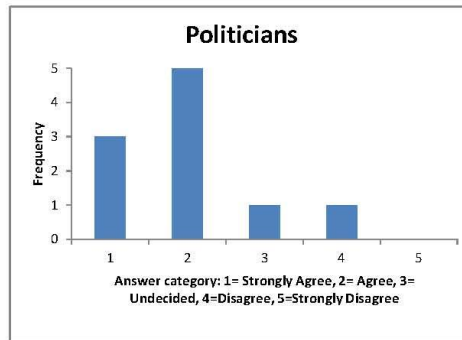


Questionnaire Question 15: The results in the quarterly Mayoral Dashboard were easy to interpret because of the dashboard's colour codes

Criteria Alignment to Normative Model: 5

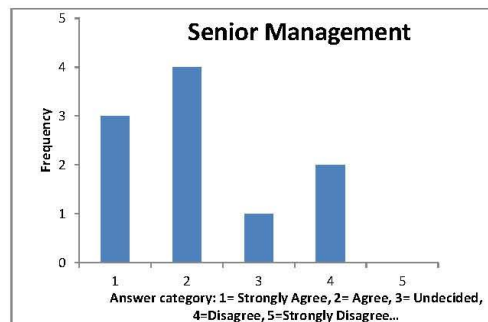
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 3 |
| 2 | 2 | 5 |
| 2 | 3 | 1 |
| 1 | 4 | 1 |
| 3 | 5 | 0 |
| 2 | | |
| 2 | | |
| 1 | | |
| 4 | | |
| 1 | | |



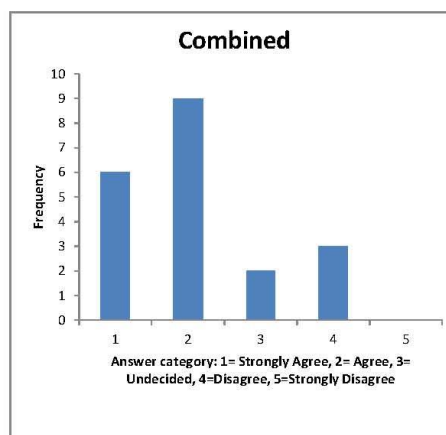
Survey Population: Senior Management

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 3 |
| 4 | 2 | 4 |
| 1 | 3 | 1 |
| 3 | 4 | 2 |
| 2 | 5 | 0 |
| 1 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 6 |
| 2 | 2 | 9 |
| 2 | 3 | 2 |
| 1 | 4 | 3 |
| 3 | 5 | 0 |
| 2 | | |
| 2 | | |
| 1 | | |
| 4 | | |
| 4 | | |
| 1 | | |
| 4 | | |
| 3 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |

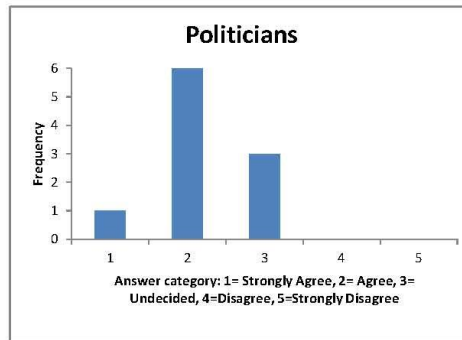


Questionnaire Question 16: The performance parameters of the Mayoral Dashboard were aligned to the parameters within the City of Cape Town's SAP ICT system

Criteria Alignment to Normative Model: 8

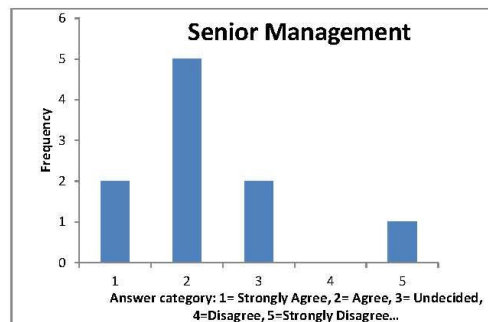
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 3 | 1 | 1 |
| 2 | 2 | 6 |
| 2 | 3 | 3 |
| 1 | 4 | 0 |
| 2 | 5 | 0 |
| 2 | | |
| 3 | | |
| 2 | | |
| 2 | | |
| 3 | | |
| 2 | | |



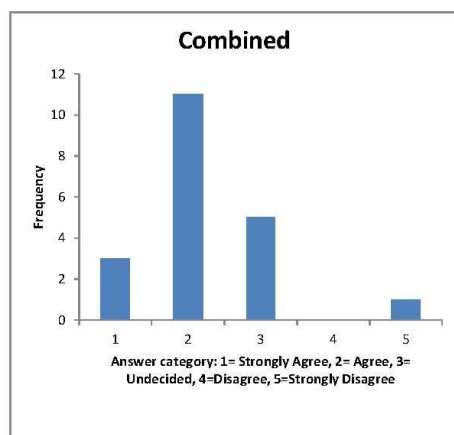
Survey Population: Senior Management

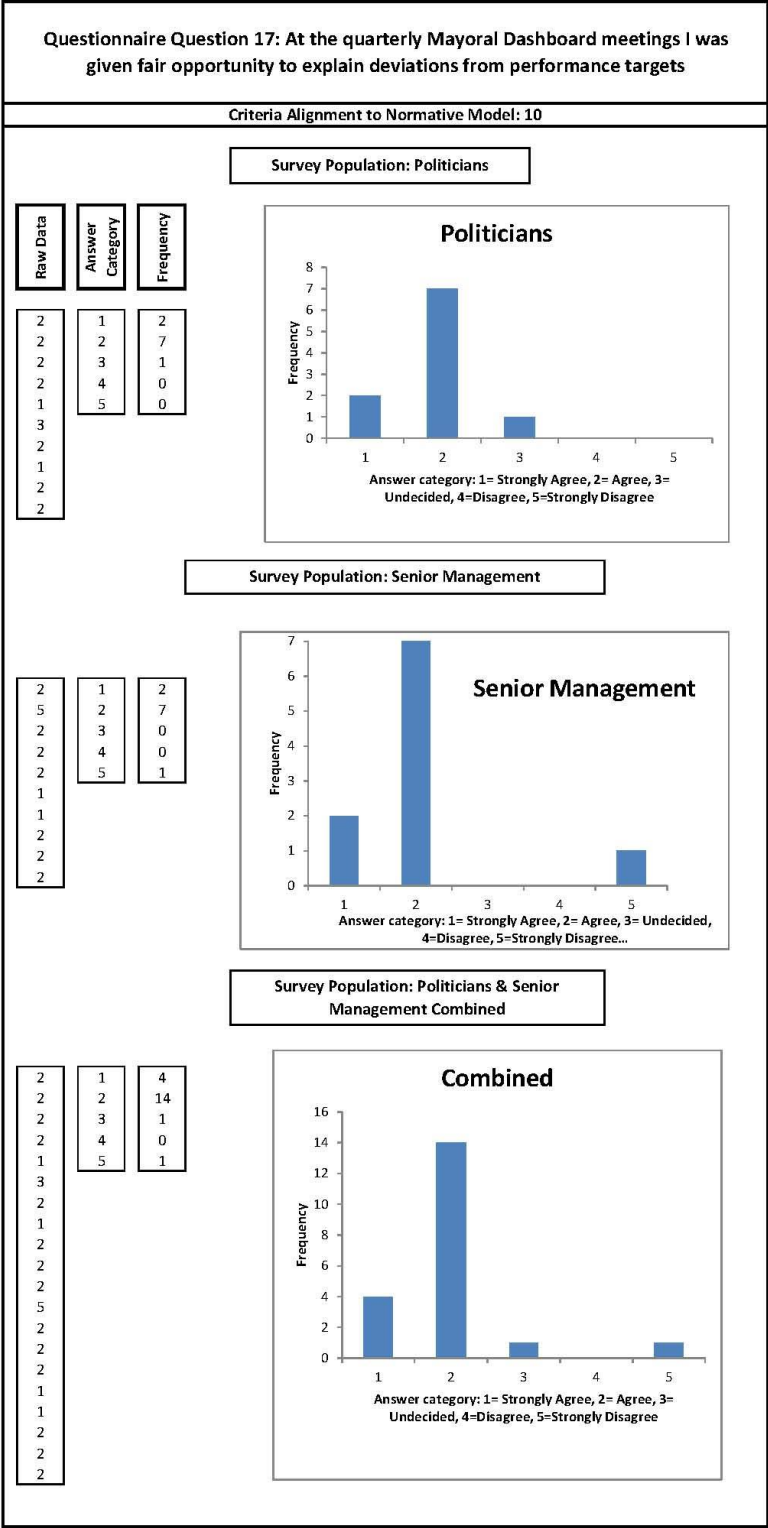
| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 5 | 1 | 2 |
| 2 | 2 | 5 |
| 2 | 3 | 2 |
| 3 | 4 | 0 |
| 3 | 5 | 1 |
| 1 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 3 | 1 | 3 |
| 2 | 2 | 11 |
| 2 | 3 | 5 |
| 1 | 4 | 0 |
| 2 | 5 | 1 |
| 3 | | |
| 2 | | |
| 2 | | |
| 3 | | |
| 2 | | |
| 2 | | |
| 3 | | |
| 5 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 3 | | |
| 1 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |



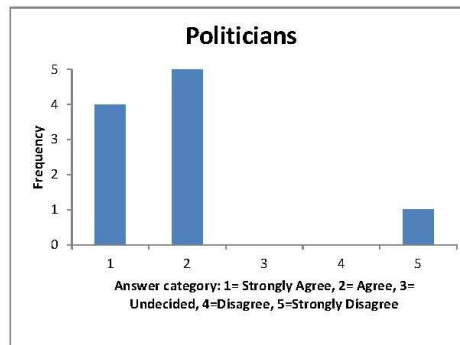


Questionnaire Question 18: The annual SDBIP for my directorate is an accurate plan to monitor the implementation of its budget

Criteria Alignment to Normative Model: 4

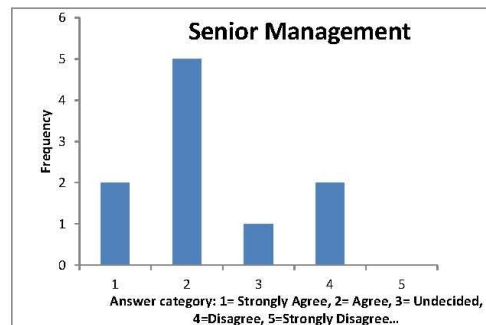
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 1 | 1 | 4 |
| 1 | 2 | 5 |
| 2 | 3 | 0 |
| 2 | 4 | 0 |
| 2 | 5 | 1 |
| 2 | | |
| 2 | | |
| 1 | | |
| 5 | | |
| 1 | | |



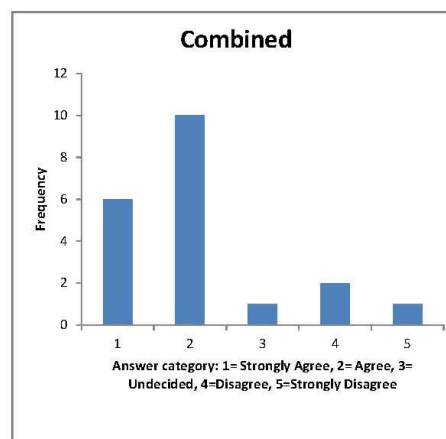
Survey Population: Senior Management

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 2 |
| 2 | 2 | 5 |
| 2 | 3 | 1 |
| 4 | 4 | 2 |
| 4 | 5 | 0 |
| 3 | | |
| 1 | | |
| 1 | | |
| 2 | | |
| 2 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 1 | 1 | 6 |
| 1 | 2 | 10 |
| 2 | 3 | 1 |
| 2 | 4 | 2 |
| 2 | 5 | 1 |
| 2 | | |
| 2 | | |
| 2 | | |
| 1 | | |
| 5 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 4 | | |
| 4 | | |
| 3 | | |
| 1 | | |
| 1 | | |
| 2 | | |
| 2 | | |

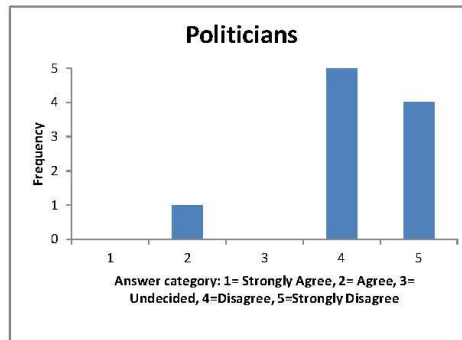


Questionnaire Question 19: The annual SDBIP for my directorate is an unnecessary compliance requirement

Criteria Alignment to Normative Model: 1

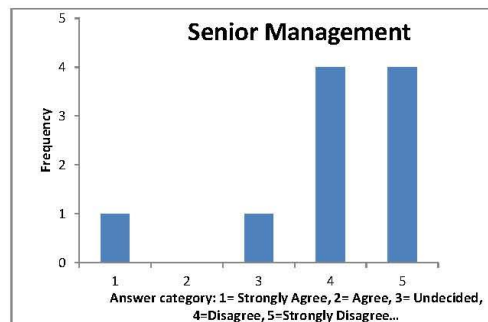
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 0 |
| 5 | 2 | 1 |
| 4 | 3 | 0 |
| 5 | 4 | 5 |
| 4 | 5 | 4 |
| 4 | | |
| 4 | | |
| 5 | | |
| 2 | | |
| 5 | | |



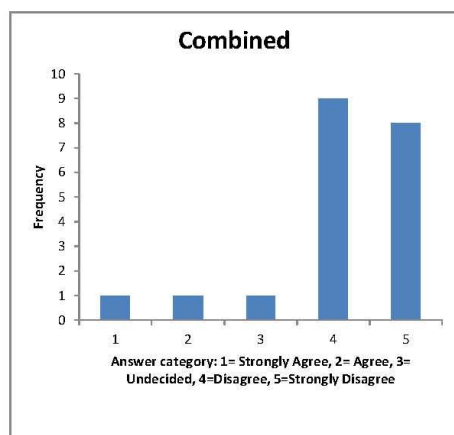
Survey Population: Senior Management

| | | |
|---|---|---|
| 4 | 1 | 1 |
| 1 | 2 | 0 |
| 4 | 3 | 1 |
| 3 | 4 | 4 |
| 4 | 5 | 4 |
| 5 | | |
| 5 | | |
| 5 | | |
| 5 | | |
| 4 | | |



Survey Population: Politicians & Senior Management Combined

| | | |
|---|---|---|
| 4 | 1 | 1 |
| 5 | 2 | 1 |
| 4 | 3 | 1 |
| 5 | 4 | 9 |
| 4 | 5 | 8 |
| 4 | | |
| 4 | | |
| 5 | | |
| 2 | | |
| 5 | | |
| 4 | | |
| 1 | | |
| 4 | | |
| 3 | | |
| 4 | | |
| 5 | | |
| 5 | | |
| 5 | | |
| 4 | | |

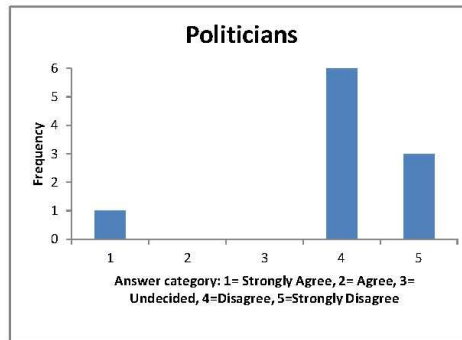


Questionnaire Question 20: The annual SDBIP for my directorate does not assist with performance monitoring

Criteria Alignment to Normative Model: 6

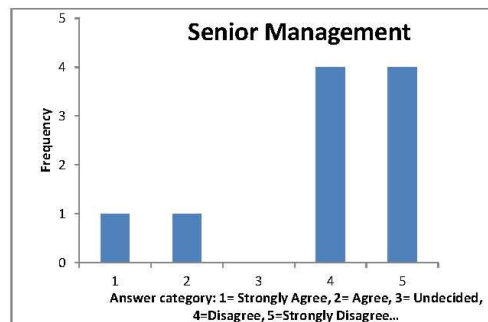
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 1 |
| 5 | 2 | 0 |
| 4 | 3 | 0 |
| 4 | 4 | 6 |
| 4 | 5 | 3 |
| 4 | | |
| 4 | | |
| 5 | | |
| 1 | | |
| 5 | | |



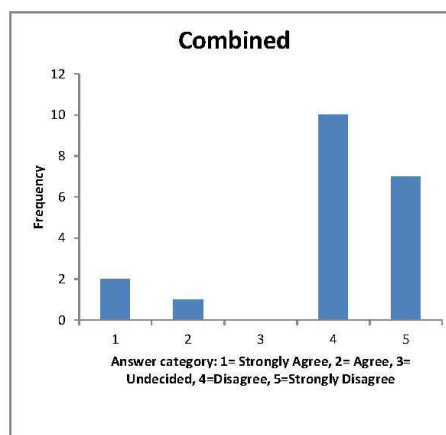
Survey Population: Senior Management

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 1 |
| 1 | 2 | 1 |
| 4 | 3 | 0 |
| 2 | 4 | 4 |
| 4 | 5 | 4 |
| 5 | | |
| 5 | | |
| 5 | | |
| 5 | | |
| 5 | | |
| 4 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 2 |
| 5 | 2 | 1 |
| 4 | 3 | 0 |
| 4 | 4 | 10 |
| 4 | 5 | 7 |
| 4 | | |
| 4 | | |
| 5 | | |
| 1 | | |
| 5 | | |
| 1 | | |
| 4 | | |
| 2 | | |
| 4 | | |
| 5 | | |
| 5 | | |
| 5 | | |
| 5 | | |
| 4 | | |

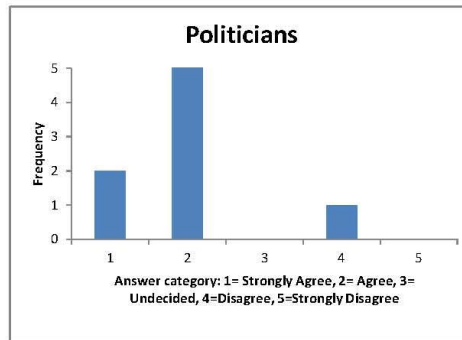


Questionnaire Question 21: The quarterly Mayoral Dashboard meetings were positive where I was treated fairly

Criteria Alignment to Normative Model: 10

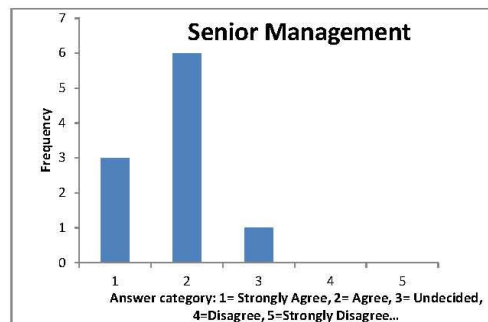
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 2 |
| 2 | 2 | 7 |
| 2 | 3 | 0 |
| 2 | 4 | 1 |
| 1 | 5 | 0 |
| 2 | | |
| 1 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 4 | | |



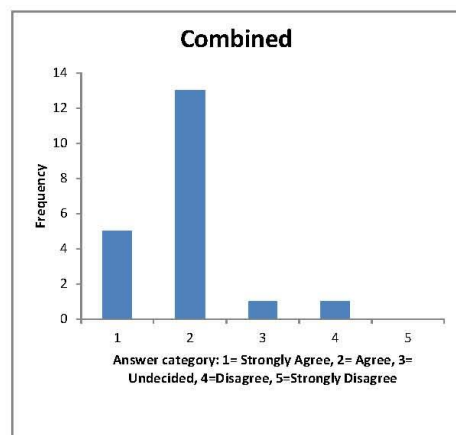
Survey Population: Senior Management

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 1 | 1 | 3 |
| 3 | 2 | 6 |
| 2 | 3 | 1 |
| 2 | 4 | 0 |
| 2 | 5 | 0 |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 1 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 5 |
| 2 | 2 | 13 |
| 2 | 3 | 1 |
| 2 | 4 | 1 |
| 1 | 5 | 0 |
| 2 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 4 | | |
| 3 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 1 | | |

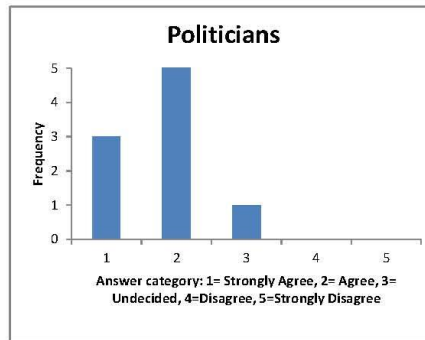


Questionnaire Question 22: The quarterly Mayoral Dashboard meetings created opportunity where I could adequately explain performance deviations

Criteria Alignment to Normative Model: 10

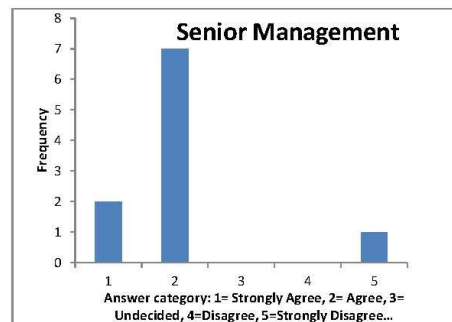
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 3 |
| 1 | 2 | 6 |
| 2 | 3 | 1 |
| 3 | 4 | 0 |
| 1 | 5 | 0 |
| 2 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |



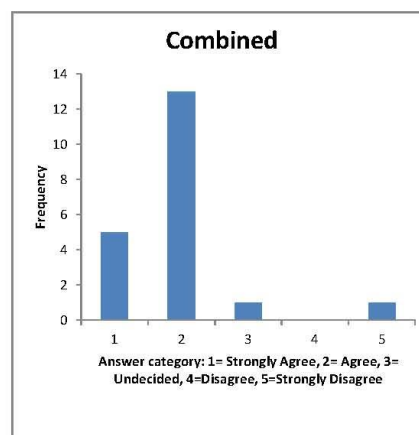
Survey Population: Senior Management

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 2 |
| 5 | 2 | 7 |
| 2 | 3 | 0 |
| 1 | 4 | 0 |
| 2 | 5 | 1 |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 5 |
| 1 | 2 | 13 |
| 2 | 3 | 1 |
| 3 | 4 | 0 |
| 1 | 5 | 1 |
| 2 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 5 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |

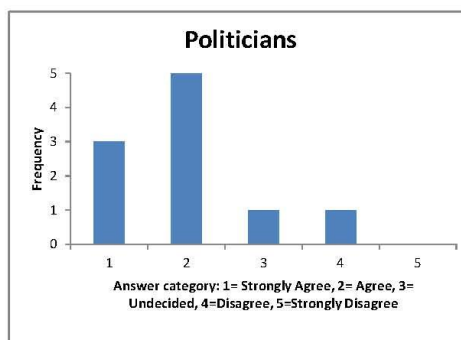


Questionnaire Question 23: The quarterly Mayoral Dashboard meetings were collaborative and offered solutions to service delivery problems

Criteria Alignment to Normative Model: 10

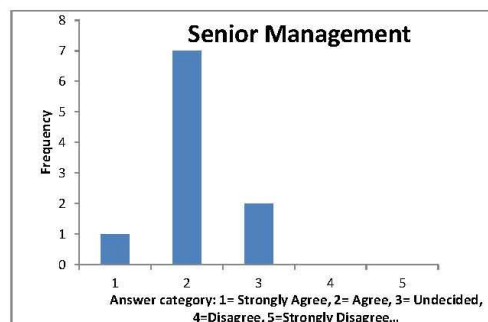
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 3 | 1 | 3 |
| 1 | 2 | 5 |
| 2 | 3 | 1 |
| 2 | 4 | 1 |
| 1 | 5 | 0 |
| 2 | | |
| 2 | | |
| 1 | | |
| 4 | | |
| 2 | | |



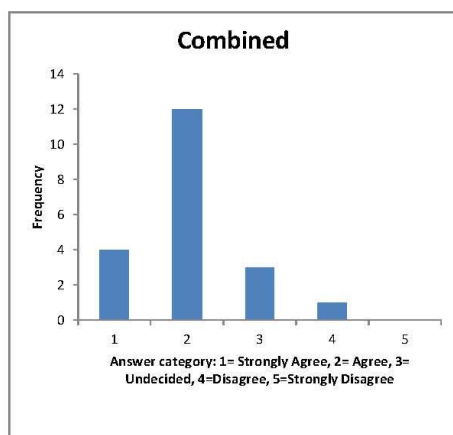
Survey Population: Senior Management

| | | |
|---|---|---|
| 2 | 1 | 1 |
| 2 | 2 | 7 |
| 3 | 3 | 2 |
| 2 | 4 | 0 |
| 3 | 5 | 0 |
| 2 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |



Survey Population: Politicians & Senior Management Combined

| | | |
|---|---|----|
| 3 | 1 | 4 |
| 1 | 2 | 12 |
| 2 | 3 | 3 |
| 2 | 4 | 1 |
| 2 | 5 | 0 |
| 1 | | |
| 2 | | |
| 2 | | |
| 1 | | |
| 4 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 3 | | |
| 2 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |

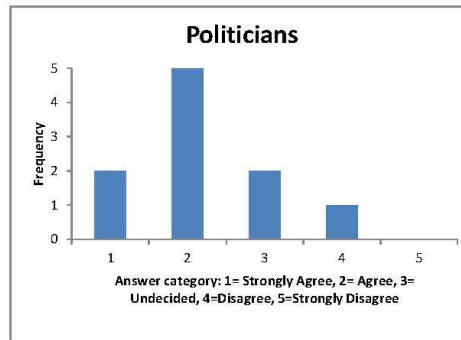


Questionnaire Question 24: The quarterly Mayoral Dashboard close-out report assisted me to intervene where service delivery problems were highlighted

Criteria Alignment to Normative Model: 9

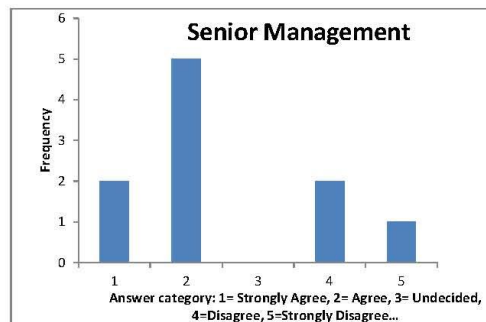
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 2 |
| 1 | 2 | 5 |
| 2 | 3 | 2 |
| 2 | 4 | 1 |
| 3 | 5 | 0 |
| 2 | | |
| 3 | | |
| 1 | | |
| 4 | | |
| 2 | | |



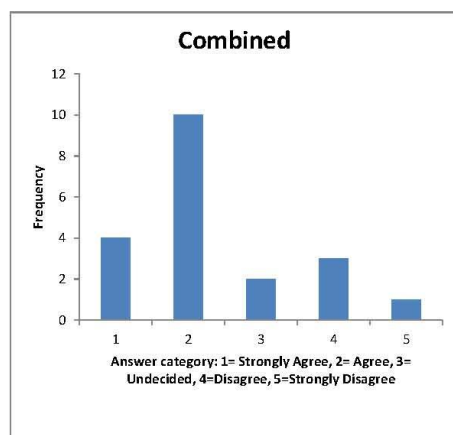
Survey Population: Senior Management

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 2 |
| 5 | 2 | 5 |
| 2 | 3 | 0 |
| 4 | 4 | 2 |
| 4 | 5 | 1 |
| 2 | | |
| 1 | | |
| 1 | | |
| 2 | | |
| 2 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 4 |
| 1 | 2 | 10 |
| 2 | 3 | 2 |
| 2 | 4 | 3 |
| 2 | 5 | 1 |
| 3 | | |
| 2 | | |
| 3 | | |
| 1 | | |
| 4 | | |
| 2 | | |
| 2 | | |
| 5 | | |
| 2 | | |
| 4 | | |
| 2 | | |
| 1 | | |
| 1 | | |
| 2 | | |
| 2 | | |

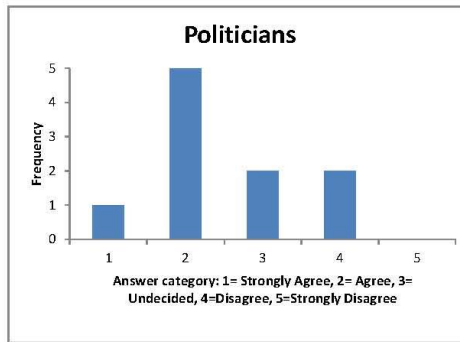


Questionnaire Question 25: The Mayoral Dashboard measured quality of service delivery in the City of Cape Town

Criteria Alignment to Normative Model: 6

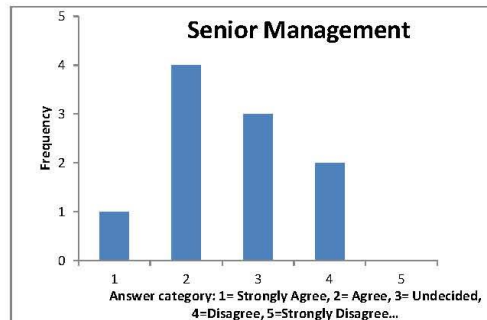
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 3 | 1 | 1 |
| 2 | 2 | 5 |
| 2 | 3 | 2 |
| 2 | 4 | 2 |
| 2 | 5 | 0 |
| 2 | | |
| 3 | | |
| 1 | | |
| 4 | | |
| 4 | | |



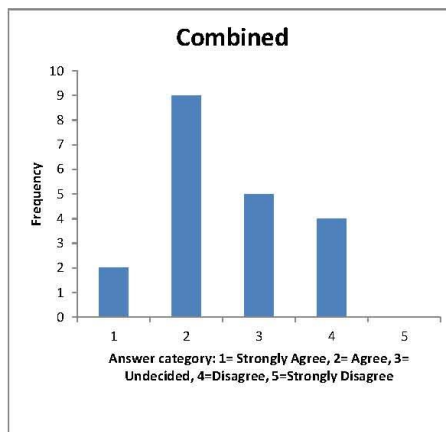
Survey Population: Senior Management

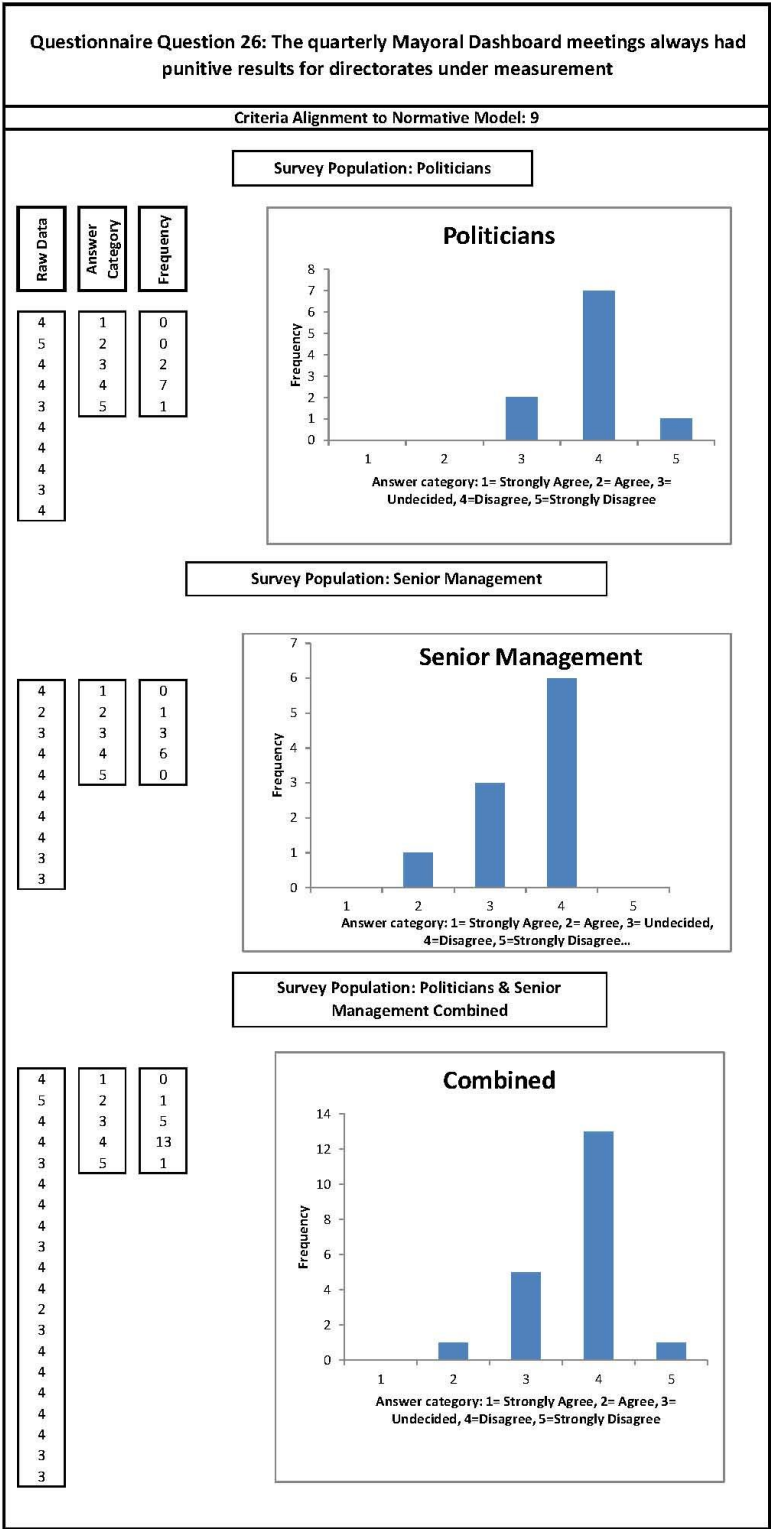
| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 1 |
| 3 | 2 | 4 |
| 4 | 3 | 3 |
| 3 | 4 | 2 |
| 3 | 5 | 0 |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 3 | 1 | 2 |
| 2 | 2 | 9 |
| 2 | 3 | 5 |
| 2 | 4 | 4 |
| 2 | 5 | 0 |
| 2 | | |
| 3 | | |
| 1 | | |
| 4 | | |
| 4 | | |
| 4 | | |
| 3 | | |
| 3 | | |
| 2 | | |
| 1 | | |
| 2 | | |
| 2 | | |
| 2 | | |



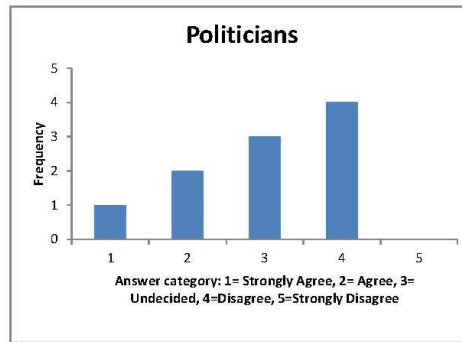


Questionnaire Question 27: The Mayoral Dashboard followed a one-size-fits-all approach to performance measurement

Criteria Alignment to Normative Model: 7

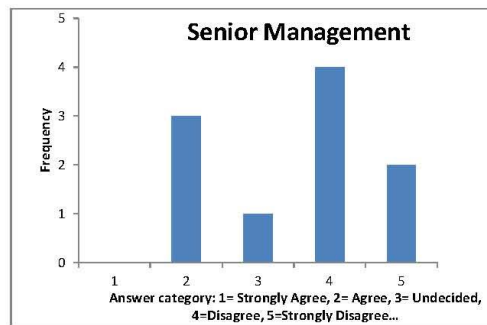
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 1 |
| 4 | 2 | 2 |
| 3 | 3 | 3 |
| 4 | 4 | 4 |
| 4 | 5 | 0 |
| 3 | | |
| 3 | | |
| 1 | | |
| 2 | | |
| 4 | | |



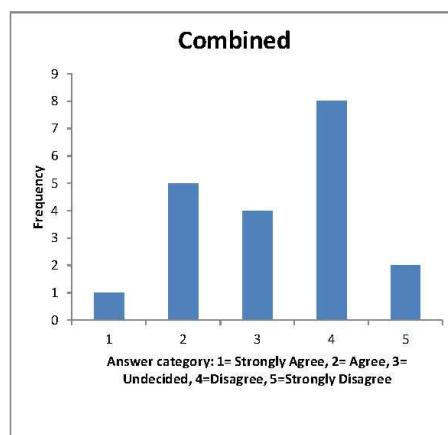
Survey Population: Senior Management

| | | |
|---|---|---|
| 2 | 1 | 0 |
| 5 | 2 | 3 |
| 2 | 3 | 1 |
| 4 | 4 | 4 |
| 2 | 5 | 2 |
| 4 | | |
| 5 | | |
| 4 | | |
| 3 | | |
| 4 | | |



Survey Population: Politicians & Senior Management Combined

| | | |
|---|---|---|
| 2 | 1 | 1 |
| 4 | 2 | 5 |
| 3 | 3 | 4 |
| 4 | 4 | 8 |
| 4 | 5 | 2 |
| 3 | | |
| 3 | | |
| 1 | | |
| 2 | | |
| 4 | | |
| 5 | | |
| 2 | | |
| 4 | | |
| 5 | | |
| 4 | | |
| 3 | | |
| 4 | | |

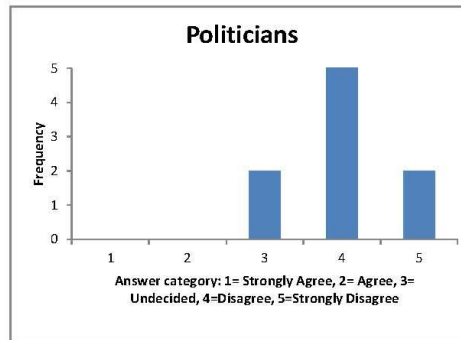


Questionnaire Question 28: The Mayoral Dashboard measured the wrong things in the City of Cape Town

Criteria Alignment to Normative Model: 6

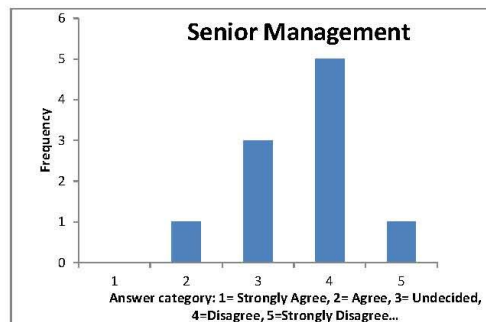
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 3 | 1 | 0 |
| 4 | 2 | 0 |
| 4 | 3 | 2 |
| 5 | 4 | 6 |
| 4 | 5 | 2 |
| 3 | | |
| 4 | | |
| 5 | | |
| 4 | | |



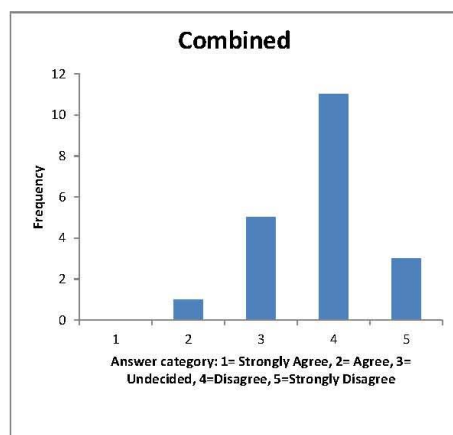
Survey Population: Senior Management

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 0 |
| 3 | 2 | 1 |
| 4 | 3 | 3 |
| 3 | 4 | 5 |
| 3 | 5 | 1 |
| 5 | | |
| 2 | | |
| 4 | | |
| 4 | | |
| 4 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 3 | 1 | 0 |
| 4 | 2 | 1 |
| 4 | 3 | 5 |
| 5 | 4 | 11 |
| 5 | 5 | 3 |
| 3 | | |
| 4 | | |
| 5 | | |
| 4 | | |
| 4 | | |
| 4 | | |
| 4 | | |
| 4 | | |
| 4 | | |
| 4 | | |
| 3 | | |
| 3 | | |
| 5 | | |
| 2 | | |
| 4 | | |
| 4 | | |
| 4 | | |

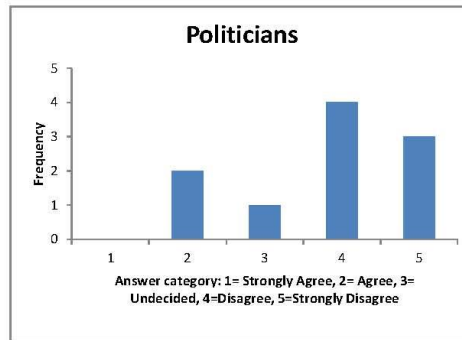


Questionnaire Question 29: The monitoring of SDBIP implementation by directorates should be done by the city manager and not by the executive mayor

Criteria Alignment to Normative Model: 8

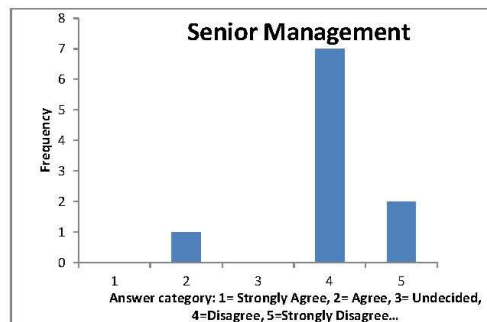
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 0 |
| 5 | 2 | 2 |
| 4 | 3 | 1 |
| 5 | 4 | 4 |
| 3 | 5 | 3 |
| 4 | | |
| 4 | | |
| 5 | | |
| 2 | | |
| 4 | | |



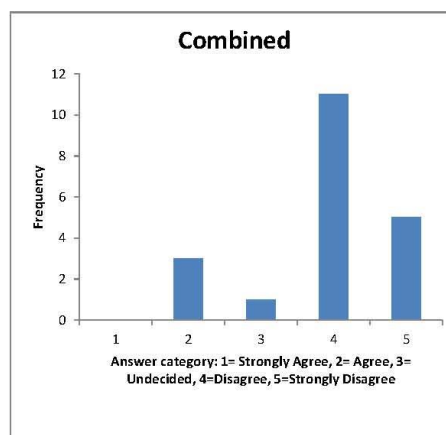
Survey Population: Senior Management

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 4 | 1 | 0 |
| 5 | 2 | 1 |
| 4 | 3 | 0 |
| 2 | 4 | 7 |
| 4 | 5 | 2 |
| 5 | | |
| 4 | | |
| 4 | | |
| 4 | | |
| 4 | | |
| 4 | | |



Survey Population: Politicians & Senior Management Combined

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 0 |
| 5 | 2 | 3 |
| 4 | 3 | 1 |
| 5 | 4 | 11 |
| 3 | 5 | 5 |
| 4 | | |
| 4 | | |
| 5 | | |
| 2 | | |
| 4 | | |
| 4 | | |
| 5 | | |
| 2 | | |
| 4 | | |
| 4 | | |
| 4 | | |
| 4 | | |

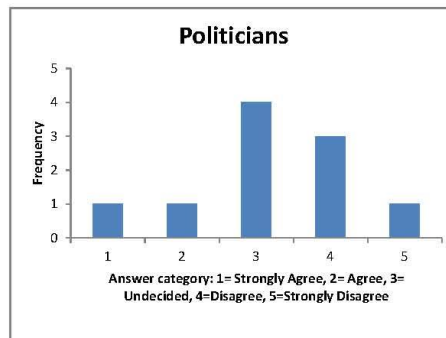


Questionnaire Question 30: The results of the quarterly Mayoral Dashboard reflected outputs of short-term projects and programs and not outcomes or impact

Criteria Alignment to Normative Model: 7

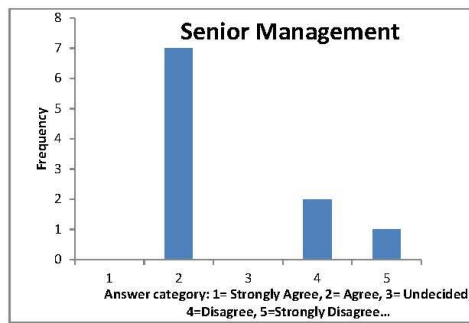
Survey Population: Politicians

| Raw Data | Answer Category | Frequency |
|----------|-----------------|-----------|
| 2 | 1 | 1 |
| 5 | 2 | 1 |
| 3 | 3 | 4 |
| 3 | 4 | 3 |
| 3 | 5 | 1 |
| 4 | | |
| 4 | | |
| 1 | | |
| 4 | | |



Survey Population: Senior Management

| | | |
|---|---|---|
| 2 | 1 | 0 |
| 5 | 2 | 7 |
| 2 | 3 | 0 |
| 2 | 4 | 2 |
| 2 | 5 | 1 |
| 2 | | |
| 4 | | |
| 4 | | |
| 2 | | |
| 2 | | |



Survey Population: Politicians & Senior Management Combined

| | | |
|---|---|---|
| 2 | 1 | 1 |
| 5 | 2 | 8 |
| 3 | 3 | 4 |
| 3 | 4 | 5 |
| 3 | 5 | 2 |
| 3 | | |
| 4 | | |
| 4 | | |
| 1 | | |
| 4 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 2 | | |
| 4 | | |
| 4 | | |
| 2 | | |
| 2 | | |

