

UNIVERSITY OF KWAZULU-NATAL

**ASSESSING HUMAN RESOURCE POLICIES ON PERFORMANCE USING
MONITORING AND EVALUATION TOOLS IN DURBAN TRANSNET NATIONAL
PORT AUTHORITY**

by

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Master of Commerce**

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DECLARATION

I, **Thulile KHANYILE**, declare that

- (i) The research reported in this dissertation, except where otherwise indicated, is my original research.
- (ii) This dissertation has not been submitted for any degree or examination at any other university.
- (iii) This dissertation does not contain any other person's data, pictures, graphs or other information, unless specifically acknowledged as being sourced from other persons.
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Signature:

Date:

ACKNOWLEDGEMENTS

Through this journey, I would have not made it without them by my side.

I would like to thank the following for their contribution and support:

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- My children for being my inspiration all the time. Thank you for your understanding on my absence completing my studies.
- The Khanyile family, friends for emotional support and all the prayers.
- Lastly Transnet National Ports Authority (Durban) for giving me a chance to conduct my study and their contribution is much appreciated.

DEDICATION

I dedicate this research to my late parents, Mzikababa Mbutho and my beautiful mother Martha Khanyile MaVilakazi. My late sisters, Nomusa Mazibuko and Sibongile Andile (Nde) Khanyile.

The pain of losing you all still resurfaces, however the memories and your spirit keeps me going. You will always have special place in my heart forever till we meet again. Love you always.

ABSTRACT

Human Resources policies have been playing a character in Durban Transnet National Port Authority institutions for many years. Performance has been one of the critical issues in many organisations. Monitoring and Evaluation remains the significance factor in assessing Human Resource policies into operative institutions that provides on the objectives of Transnet. The main objective of the study was to analyse the role of evaluations of HR Policies in the Durban Transnet National Port Authority. Further the aim was to determine the monitoring of HR policies for improved results and performance in the Durban Transnet National Port Authority, and evaluate the planning for improvements of HR policies in the Durban Transnet National Port Authority. This study used a qualitative method. This approach enabled the researcher to explore concepts in more depth with the research participants and to hear them talk about issues that affect them. Unstructured interviews were employed as they favour lengthy responses and can provide a holistic understanding of the respondents' views pertaining to the research topic. Thematic analysis was deemed suitable for qualitative data analysis because the technique allowed for concise organisation and detailed description of collected data. The findings of the study indicated that the interpretation of HR policies has not improved, there is no consultation other stakeholders within the organisation before policies are developed. All HR personnel including line managers to be clear with all HR policies so that correct information will be cascaded down, and line managers to take responsibility and be ready to be corrected of changes. As part of the recommendations, the study suggested that there must be a monitoring and evaluation team or specialists in place for line managers and HR to meet regularly to discuss their concerns about the implementation of the HR policies as well to oversee the effectiveness of monitoring and evaluation in an organisation. It is recommended that inductions need to take place where these concerns can be addressed under the supervision of an external facilitator. The emphasis in monitoring is on checking progress towards the achievement of an objective. A good monitoring system will thus give warning, early on in the implementation of a course of action that the end goal will be reached as planned.

Keywords: Monitoring, evaluation, human resources, policies, performance, planning, improvements.

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ABBREVIATIONS

A-G	Auditor-General
DPME.....	Department of Planning, Monitoring and Evaluating
GWME.....	Government Wide Monitoring and Evaluation
IDP.....	Integrated Development Plan
IFAD.....	International Fund for Agricultural Development
ILO	International Labour Organisation
MTEF	Medium Term Expenditure Framework
PMU	Power Management Unit
SETA	Sector Education Training Authorities
TNPA	Transnet National Port Authority
TPT	Transnet Port Terminals

CHAPTER ONE

INTRODUCTION AND OVERVIEW OF THE STUDY

1.1 INTRODUCTION

The development of observing and assessment in government, private sector and non-government sector, together with an expanded supply of monitoring and evaluation skill from the private segment, requires a typical dialect on checking and assessment. The emphasis in monitoring is on checking progress towards the achievement of an objective. A good monitoring system will thus give warning, early on in the implementation of a course of action that the end goal will be reached as planned. Monitoring also involves a process of comparison because actual performance is compared with what was planned or expected. Evaluation in some instances involves the definition of appropriate standards, the examination of performance against those standards, an assessment of actual and expected results and the identification of relevant lessons.

Monitoring and evaluation is a process that helps improve performance and achieve results. Its goal is to improve current and future management of outputs, outcomes and impact. It is mainly used to assess the performance of projects, institutions and programmes set up by governments, and other organisations. Their expertise and independence is of major importance for the process to be successful. The process is also growing in popularity in the developing countries where governments and state-owned companies have created their own national monitoring and evaluation systems to assess the development projects, the resource management and the government activities or administration.

1.2 BACKGROUND OF THE STUDY

The Durban Transnet National Port Authority is one of the fundamental public entities that play a big role on society's lives. The Transnet National Port Authority is responsible for the safe, effective and efficient economic functioning of the national port system, which it manages in a landlord capacity. This can be achieved through the development of sustainable, co-ordinated, integrated and comprehensive policies that are in place to ensure that all related Divisions under Durban Transnet National

Port Authority are in pathway with. One of the components is Human Resources which are guided by the policies and circulars which are designed, formulated and also conveyed to each Human Resources Division within Durban Transnet National Port Authority in order to measure performance at all levels. The Human Resources policies are directives to each institution and therefore they need to be assessed in order to maintain the performance of each Division within the Durban Transnet National Port Authority. These policies will be measured by using monitoring and evaluation as a tool in order to establish if they are effective and efficient to Human Resources as a whole.

1.3 RESEARCH PROBLEM

Human Resources policies have been playing a character in Durban Transnet National Port Authority institutions for many years. Performance has been one of the critical issues in any organisation. Policies have been formulated of which there is no question about that, but the difficulty is whether are they being assessed, and if they are operative towards improvements of performance within Human Resources and also delegates involved within Durban Transnet National Port Authority. Monitoring and evaluation is a tool which distinguish the incompetence of Human Resources policies and also the accomplishment by assessing the performance of each institution under Durban Transnet National Port Authority. Monitoring and evaluation remains the significance factor in assessing Human Resources policies in organisations and institutions that provides for the implementation of the objectives of an organisation. The assessment of Human Resources policies using monitoring and evaluation will strengthen the performance and also achieve optimum results at Durban Transnet National Port Authority. This will ensure that there are benefits and evidence that monitoring and evaluation is used in planning, budgeting, organisational improvement, policy reviews, as well as continuing management of Human Resources programmes that are in place. There is a challenge with the monitoring and evaluation of Human Resources policies within Transnet, and this will hinder prospects for the success of intervention programmes (and projects) and hamper service delivery, impact and efficiency.

1.4 OBJECTIVES OF THE STUDY

The objectives of the study were to:

- Analyse the role of evaluations of Human Resources policies in the Durban Transnet National Port Authority;
- Determine monitoring of Human Resources policies for improved results and performance in the Durban Transnet National Port Authority;
- Evaluate the planning for Improvements of Human Resources policies in the Durban Transnet National Port Authority; and
- Assess the reporting of findings on Human Resources policies through monitoring and evaluation tool in the Durban Transnet National Port Authority.

1.5 RESEARCH QUESTIONS

The study attempted to answer the following questions:

- What is the role of evaluations in Human Resources policies in the Durban Transnet National Port Authority?
- How is monitoring of Human Resources policies for improved results and performance in the Durban Transnet National Port Authority?
- How is planning for improvements of Human Resources policies in the Durban Transnet National Port Authority?
- How is the reporting of findings on Human Resources policies through monitoring and evaluation tool in the Durban Transnet National Port Authority?

1.6 LITERATURE REVIEW

Monitoring and evaluation is a toolkit which provides an outline of developments and generation project and programmes. Results-based management is a whole system which should be incorporated into the culture of an organisation and its programme of projects: its values; operational systems and decision-making procedures.

Staff and their skills and capacity, and partners should be focused on achieving outcomes and impact rather than activities and inputs. The evidence from organisations as United Nations Development programme (UNDP), the Organisation for Economic Cooperation and Development (OECD) indicates that in order to implement results-based management there is a need for strong organisational

leadership supporting a learning culture which values evidence-based information and openness (Republic of South Africa, 2010).

Results-based management is a shift focusing on the inputs and activities (the resources and procedures) to focusing on the outputs, outcomes, impact and the need for sustainable benefits (the results of what you do). Results are the changes occurring as an effect of a development intervention and imply that a change of behaviour by individual, group of people, organisations, government bodies or society has taken place (Rabie, 2010:139). A programme or project's strategy will aim to achieve positive results by carrying out activities that produce certain products or services (i.e. output) for specific stakeholders. If these stakeholders utilise the output they will then change the way of doing certain thing and experience a benefit (an outcome) as a result. These outcomes may contribute, together with the results of other development interventions, to higher development goals (these are impacts). Results-based management applies a results-chain to plan a clear logical process and manage the implementation.

A results chain is an interactive process, the planning starts with a clear view of the project purpose and outcomes, planning backwards to the input and then implementing the project from the input to the outcomes. When monitoring and evaluating the whole plan is kept in focus, the details of implementation existing within the context of the chain.

Results-based management, monitoring and evaluation

The word "results" in this context means that monitoring is focused on the higher-level objectives/outcomes and not the lower activities. This approach uses the Logical Framework as the basis for the project design and establishes the quantifiable monitoring indicators against the objectives and measures the qualitative results against assumptions, risks and stakeholders. The concept of results-based management, monitoring and evaluation is used to mean (Kusek and Rist, 2004):

- Clearly identifying programme/project beneficiaries; and other stakeholders; problems and opportunities;
- Setting clear and agreed objectives, monitoring targets and millstones;

- Ensuring adequate resources to achieve the objectives;
- Monitoring progress towards results, and resources consumed, with the use of appropriate indicators;
- Identifying and managing assumptions/risks, while bearing in mind expected results and the necessary resources;
- Using quantifiable indicators and qualitative narrative to measure progress;
- Increasing knowledge by learning lessons and integrating them into decisions;
- Changing objectives as a consequence of learned lessons; and
- Reporting on results achieved and the resources involved (Kusek and Rist, 2004).

Within a results-based management, monitoring and evaluation tool suggest using template to provide a standard method that enables people to engage in the monitoring process even if they have been not involved in monitoring before. Templates can be used to set targets, actual test results against those targets, analyse any variance between planned and actual, assess the wider context in which projects operate and indicate any necessary actions to keep the project on track and guide project management to a successful conclusion. If standard templates are used the results across a number of projects, locations, sectors and countries can be aggregated and analysed.

In the context of results-based management, monitoring and evaluation are integral to the whole management cycle. It is difficult to talk about monitoring and evaluation without taking about project design and implementation: design clarity is imperative if monitoring is to take place. Monitoring and evaluation should be planned for and designed at the same time as planning and designing a project. Monitoring and evaluation requires resources such as skills time, access to stakeholders and communication channels that if not planned and budgeted for weaken a project's management and accountability; carefully planning for these elements needs to be in place from the beginning. At each stage of the project cycle there are tasks that will plan and implement the project and also monitor and evaluate it therefore in order for monitoring and evaluation to be successful the whole cycle needs to be understood

and approached as a whole entity. There are stages that are involved in a project for monitoring and evaluation (Kusek and Rist, 2004).

Stage 1 Programme set the context for Monitoring and Evaluation

A successful project depends on having a clear strategy against which criteria can be developed to assist the design, appraisal and measurement process. The programme stage is where the strategy framework in which projects can be initiated, funded and implemented is established. Lessons learnt from previous evaluations can be reviewed at this point to inform programme strategy.

Stage 2 Identification- plans to solve problems

The identification stage is where the stakeholders are defined, the problem(s) is defined, and a number of possible solutions are identified. At this stage the project design team should undertake a number of exercises to analyse the problems faced by stakeholders:

- Stakeholders mapping, analysing and recording;
- A problem and objectives assessment; and
- Determining acceptable strategy options.

The results of these exercises establish the rationale for the project objectives and stakeholders' expectations which will need to be monitored throughout the project.

Stage 3 Formulating – designing

The information developed in stage two is used in stage three to prepare a Logical Framework in which the objectives, the assumptions, indicators and evidence are ordered. The activity schedule for the project is prepared from the Logical Framework, and then the full project proposal is prepared. Successful monitoring and evaluation is dependent on the clarity of project achieved in this stage.

Stage 4 Appraisals – conditionality

In accordance with the donor procedures the project proposal is submitted appraisal: it should have been prepared to meet all the necessary conditions. If not the previous stages may have to be repeated until the design is feasible.

Stage 5 Implementation Delivery

The project is now implemented: monitoring and evaluation supports the management to make decisions and steer the project to success. Activities, budget schedules, outputs and assumptions, stakeholder responses and the project's contribution towards the longer term will be monitored during this stage. The project progress towards its objectives, contribution to the strategy and meeting the set criteria should be measured at this stage.

Stage 6 Evaluations – Measurement

Evaluation of the project's outcomes, impact and contribution to the strategy is carried out. This will use the set criteria and qualitative and quantitative analysis. Conclusion, recommendations, impact and lesson learnt will complete the evaluation

1.7 CONCEPTUAL FRAMEWORK

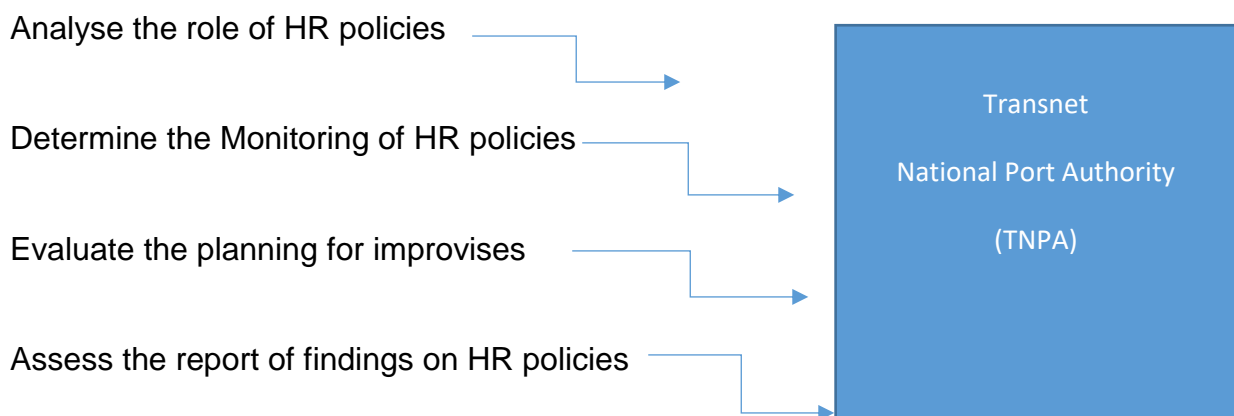
The researcher will use the conceptual framework which is referred to as 'Ten Steps to a Result-Based Monitoring and Evaluation System'. The ten steps in this framework include the following:

- Conducting a readiness assessment;
- Agreeing on outcomes to monitor and evaluate;
- Selecting key indicators to monitor outcomes;
- Baseline data on indicators –Where are we today?
- Planning for improvement –selecting results targets;
- Monitoring for results;
- Role of evaluations;
- Reporting findings;
- Using findings; and
- Sustaining the monitoring and evaluation system within the organisation.

But only four steps from this conceptual framework will be used to conduct the study, namely:

- Analyse the role of evaluations in Human Resources policies;
- Determine the monitoring of Human Resources policies for improved results and performance;
- Evaluate the planning for improvements of Human Resources policies;
- Assess the reporting of findings on Human Resources policies through monitoring and evaluation tool.

1.7.1 Monitoring and Evaluation Conceptual Framework



The above four steps will be used as constructs in the study. The first construct will look at analysing the role of evaluations in Human Resources policies in the Durban Transnet National Port Authority. The second construct assist in determining how the monitoring of Human Resources policies can be used to improve results and performance. The third construct will evaluate how the planning for improvements of Human Resources policies is conducted within the Durban Transnet National Port Authority. The last construct will assist in assessing the reporting of findings on HR policies through monitoring and evaluation tool.

Analyse the role of HR policies- The role of Human Resources policies are continuing guidelines on the approach an organisation intends to adopt in managing its people. They represent specific guidelines to Human Resources managers on

various matters concerning employment and state the intent of the organisation on different aspects of Human Resources, such as recruitment, promotion, compensation, training, and selections. Therefore, serve as a reference point when human resources management practices are being developed or when decisions are being made about an organisations' workforce.

Determining the monitoring of Human Resources policies

Human Resources policies serve several important functions. They communicate values and expectation for how things are done within an organisation, keeping the organisation in compliance and provide protection against employment claims.

Evaluate the planning for improvises.

To develop skills improving within a crisis, keep in mind five (5) lessons learned from Hurricane Katrina; that system will fail, the picture is distorted in a crisis, time is compressed, authority is limited, but it doesn't have to be limiting and be ready for a new leadership to emerge.

Assess the report of findings on Human Resources policies

Reporting on progress towards achievements of human resources plans has evolved, but can still be further refined. The department has not yet developed a standard template for neither reporting nor has it standardised reporting frequency. Although most regions do file a mid- year progress report, not all are doing that and reporting on progress varies from non to monthly reporting depending on the regions.

1.8 RESEARCH METHODOLOGY

Research methods represent a structure which guides the execution of research methods and the research design to be used in collecting data.

Research design

Sekaran and Bougie (2013:11) define research design as a blueprint for the collection, measure, and analysis of data, based on the research questions of the study. There are different types of research designs that are used to conduct a research study including exploratory research design, descriptive research design and causal research design. The research designs provide a framework for the collection and

analysis of data. Choosing a research design reflects a decision about the priority being given to a range of dimensions of the research process. The proposed study will use a case study research design. According to Yin (2014:4) a case study is an empirical inquiry about a contemporary phenomenon set within its real world context, especially when the boundaries between phenomenon and context are not clearly evident.

Qualitative research methodology

This study will use a qualitative method. Qualitative research is defined as a research that involves analysing of data that of descriptive in nature. Qualitative approach is used when a researcher is trying to get an in-depth understanding about a certain experience and processes. This type of research methodology is very useful when a researcher wants to study the feelings of the people, their opinions and the reasons of the practices they perform. This approach will enable the researcher to explore concepts in more depth with the research participants and to hear them talk about issues that affect them. This is so that the researcher can generate rich, detailed data that leave participants' perspectives intact and provide multiple contexts for understanding the phenomenon under study.

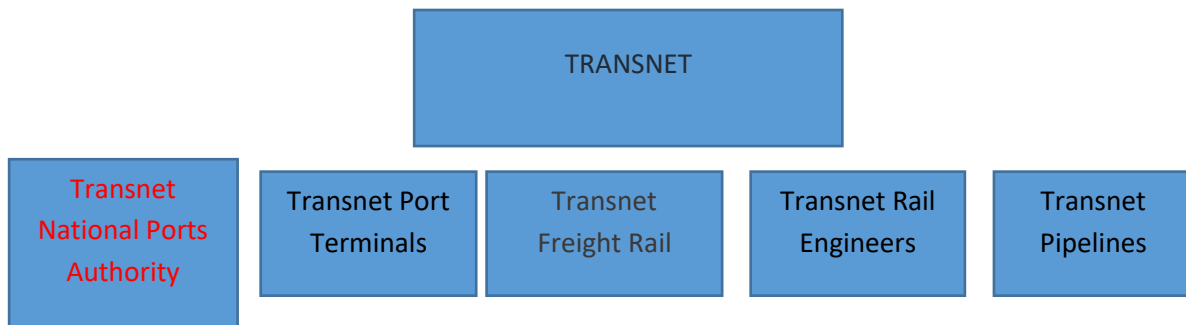
Rist (1998:401) points out that the qualitative research influences the policy making process and decisions. Once the data has been collected, it is analysed and based on the findings, recommendations can request for a policy to be developed in order to deal with the challenges identified by the study. This method would be suitable for this research because the research is seeking to find out the attitudes and behaviour that are required from human resource practitioners who are implementing policies on performance using monitoring and evaluation tool at the Transnet National Port Authority Durban.

Study Site

The study site is Transnet National Port Authority Durban, the largest Port in the South Africa. Transnet SOC Ltd is one of South Africa's state-owned companies. It is the largest freight logistics organisation that transports goods in all nine provinces. It has five (5) operating divisions, namely Transnet Port Terminal (TPT), Transnet Freight Rail (TFR), Transnet Pipeline Lines (TPL), Transnet Engineering (TE) and Transnet

National Port Authority (TNPA) which this study will focus on, as indicated in Figure 1.1 below. TNPA provides port operations and marines services at eight (8) commercial sea ports in South Africa, namely in Richards Bay, Durban, Saldanaha, Cape Town, Port Elizabeth, Mossel Bay and Ngqura.

Figure 1.1: Transnet Divisions



Source: Transnet Strategy (2003)

Population and sampling

Target population is defined as the actual specified group of units or cases from which a researcher will draw his/her sample. The Transnet National Port Authority Durban has a total of 7 human resource personnel. The target group for this study will be Human resource officers dealing with monitoring and evaluation. The study will focus on officers in the Human Resources Division at the Transnet National Port Authority. The population of the study will be managers and human resource officers who are heading the Human Resources in the Transnet National Port Authority and for the purpose of manageability the main focus area will be Durban. The researcher will use a sample size that amounts to seven (7), which will be two (2) human resource officers and five (5) heads of Human Resource components from Transnet National Port Authority who deal directly with monitoring and evaluation.

The sampling approach for this study will be non-random sampling because it is used for qualitative research method and comprises asking questions of which this research is actually based on soliciting answers to questions as well as to attain relevant data regarding to the problem that exists. The sampling technique will be purposive or

judgemental sampling, because the researcher identified the participants whom had relevant information based on their beliefs and conclusion.

Sampling strategies

There are three main types of sampling strategy, which are random, systematic and stratified sampling. The sampling strategy used for this study is random sampling because it is least biased of all sampling techniques, there is no subjectivity - each member of the total population has an equal chance of being selected.

Data collection instruments

Unstructured interviews were employed as they favour lengthy responses and can provide a holistic understanding of the respondents' views pertaining to the research topic (Dawson 2002:28). The instruments appropriate for this research include interviews merely because they seem to be more convenient for the research. The interviews will enable a face to face contact with the respondents and also provide a guard against confusing items as the interviewer will be present to provide clarity.

1.9 DATA ANALYSIS

According to Clarke and Braun (2013:120) thematic analysis is a method of identifying, analysing, interpreting and reporting significant patterns or themes within data where a theme captures something relevant about data which is related to the research question, and represents some level of relationships or meanings within the data. Thematic analysis is deemed suitable for qualitative data analysis because the technique allows for concise organisation and detailed description of collected data.

In analysing the data collected from the respondents the researcher will actually scrutinise each of the feedbacks analytically in order to get an idea from each response for the research. Editing the feedbacks from respondents is also one of the means the researcher will employ to ensure that only useable information is left. The completed surveys would be edited and the potentially invalid or inaccurate surveys would be eliminated. This will assist ensuring that only relevant and useable information is left.

1.10 SIGNIFICANCE OF THE STUDY

Monitoring and evaluation has attracted considerable attention as vital tool for Transnet in terms of service delivery and also performance management to the Transnet employees accountable to deliver. This study seeks to understand the facts behind the issue of unequal provision of services to the public and how these can be monitored and evaluated. The study will provide an analysis of the nature of the factors that actually instigate the whole issue. This would contribute to the discipline in that the issue of monitoring and evaluation will be put in a spotlight and that the citizens will realise the shortcomings that it brings as well as the possible measures that can lower the chances of unequal provision of public services taking place. This study can actually form a document for Transnet guide for dealing with the issue of monitoring and evaluating the Human Resources programmes and can therefore form a vehicle for promoting equal provision of Transnet service.

1.11 ETHICAL CONSIDERATIONS

The researcher will comply with the requirements of the university by applying for ethical clearance before conducting the study. Once this is granted, thereafter the project will start. In conducting this research, a high level of honesty will be maintained; this includes adherence to the plagiarism policy of the university and the acknowledgement of all the sources used. The researcher is aware of and will abide by the ethical considerations for conducting social research. The researcher will obtain permission to conduct the study from the Transnet National Port Authority (Durban). The researcher will make sure that due consideration is given to anonymity and confidentiality of all the information given by respondents.

1.12 STRUCTURE OF THE DISSERTAION

The dissertation will be structured as follows:

Chapter One

This chapter deals mainly with the introduction to the problem and rationale of the study. It also identifies the research objectives and highlights the research questions pertaining to the study. It further describes the research methodology used in this study and lastly the main contribution of the study to the discipline.

Chapter Two

Chapter Two discusses the literature review on monitoring and evaluation in South Africa. It will also discuss monitoring and evaluation with special reference to the Transnet National Authority.

Chapter Three

This chapter explores monitoring and evaluation with special reference to the Transnet National Port Authority.

Chapter Four

Chapter Three discusses the research methodology and design of the study.

Chapter Five

Chapter Four is a presentation of empirical research of the study and provides an analysis of the discussion.

Chapter Six

The final chapter will discuss the conclusions and recommendations of the study.

1.13 CONCLUSION

The proposal has provided an overview of the introductory chapter by looking at the motivation of the study followed by research objectives then research questions, contribution to the discipline and the structure of dissertation.

CHAPTER TWO

MONITORING AND EVALUATION IN SOUTH AFRICA

2.1 INTRODUCTION

South Africa is one of African countries with an official ministry responsible for monitoring and evaluation. Some of the other countries include Ghana, Kenya, Benin and Uganda. The change of monitoring and evaluation in South Africa has been blocked in part by its interdisciplinary nature, trying to find roots within historically a very discipline-based higher education system. Over the last ten years, however, there has been a huge growth in the number, scope and quality of evaluations conducted in this country. Government agencies and non-government organisations (NGOs) often using international donor funds for their own projects, have been involved in outsourcing evaluation studies, and currently all government departments have established their own monitoring and evaluation units. There are statutory bodies such as the Public Service Commission (PSC) and the Department for Planning, Monitoring and Evaluation (DPME) with the responsibility to monitor and evaluate the government's service delivery and performance. The South African Monitoring and Evaluation Association (SAMEA), established in 2005, draws together monitoring and evaluation practitioners, trainers in monitoring and evaluation, development agencies as well as government officials at its two-yearly conferences and sustains a vibrant community via its SAMEATalk.

2.2 MONITORING AND EVALUATION AS A GOVERNANCE TOOL FOR DEVELOPMENT IN SOUTH AFRICA

According to Abrahams (2015:1), 'programme evaluation', 'evaluation research' or in its most recent usage 'monitoring and evaluation' as a distinct discipline and a field of study was regarded 15 years ago as comparatively new in South Africa (Potter 1999; Potter & Kruger 2001; Mouton 2010). Its development in South Africa was limited in part by the interdisciplinary nature of monitoring and evaluation, trying to find roots within historically, a very discipline-based higher education system. In this time period evaluation practice in South Africa had been conducted by academics and professionals trained in, between others, psychology, sociology, economics, education, health, philosophy or political science. Within government the emphasis

was more on monitoring. Later, informed by the New Public Management (NPM) movement that highlighted responsibility of the public sector, there was a shift to include evaluation as a key performance management tool. The NPM was seen as a solution to address poor performance and to gain trust in the public sector.

Since 2000 all government departments in South Africa have recognised their own monitoring and evaluation units, but mostly concentrating on monitoring. Over the last ten years there has been an increase in the number, scope and quality of evaluations conducted in this country. Government agencies and non-government organisations, often using international donor funds for their own projects, have been engaged in subcontracting evaluation studies. The Public Service Commission (PSC) and the Department for Performance (later Planning) Monitoring and Evaluation (DPME) are statutory institutions open with the task of monitoring and evaluating government delivery and performance. DPME is based in the Presidency and headed by a Minister. Since 2011 DPME has established a National Evaluation System, including standards, competences, training and the showing of evaluations at national and provincial levels, as well as part-funding of evaluations with departments. It is in this situation that this review of the growth of monitoring and evaluation in South Africa reflects on the current or prominent nature of design in this country. What follows is a brief historical overview of the main developments in the field of design in South Africa over the last 10 to 15 years. An attempt is then made to track and cluster some of the developments into thematic sectors such as the professionalisation of design, its development as an industry and the government utilisation of design as a governance tool (Abrahams, 2015:3).

2.3 OVERVIEW OF PROMINENT DEVELOPMENTS IN THE FIELD OF MONITORING AND EVALUATION, 1987–2014

The growth of the field of design in South Africa has been a reasonably recent marvel. Potter (1999:105) state that evaluation research was relatively unidentified until the early 1980s, and it is only in the 1990s that local scientists have demonstrated increased interest in the area. According to Potter (1999:105), this initiative formally introduced the impressions of 'programme development and evaluation' in South Africa, but these were inadequate initially only to the white population in the country. This advises part of the motive for the slow development of programme evaluation in

South Africa, as well as the particular political and selective use of social science research pre-1994 during the Apartheid era. Programme evaluation first appeared as a practice where project activities and outcomes had to be evaluated within the non-government (NGO) sector as a requirement for further donor funding (Mouton 2010; Potter & Kruger 2001; Swilling & Russel 2002). The contribution of NGO development work in South Africa has been significant. With the existence of so many 'unmet' needs in the country, NGOs have remained able to offer products and services where the government was unable, and before 1994, unwilling to deliver them. Potter (1999) described that, since the 1970s, an estimated R6billion of overseas and local backing had been used by various NGOs to engage in development projects in various sectors of society. The scope and spread of NGO work in South Africa is broad and NGOs work in every sphere and subdivisions of society including, amongst others, health, welfare, education, entrepreneurship, community development, and skills training. NGOs generally operate on a minor scale within a particular geographic area and with specific interest groups (Abrahams, 2015:1).

2.4 MONITORING AND EVALUATION AS A PROFESSION

Professionalisation involves the development of skills, identities, norms and values associated with becoming part of a professional group (Levine 2001). It thrives on an applicable body of knowledge and a shared understanding of the roles of participants that permit them to engage in their professional field. There is also usually a concept of on-going professional development and a procedure to develop and train new entrants to the field. Smith (2001:296) offers a sobering comment from Worthen, a US based evaluator, who stated that evaluation will not obtain all the hallmarks of a full-fledged profession within the next two decades. Smith (2001:296) further suggests that evaluation should be considered as a discipline, or, as Scriven (2001) prefers, a transdiscipline notable for its service to other disciplines. Professionalism is also defined by the combination of all the qualities that are associated with trained and skilled people in an exact field, for instance a health professional. Highly skilled individuals have been trained in the field of monitoring and evaluation because of the wonderful value it can add to growth and development within society. Skilled personnel come from different disciplines and they are required to provide expertise to engage with self-motivated, diverse and complex social settings. The need for clearly stated codes and values of practice such as in the fields of health, finance, and law is part of

the on-going debate about the professionalisation of monitoring and evaluation (Abrahams, 2015:4).

2.4.1 Monitoring and evaluation as an industry

The term 'industry' is deliberately used to signal the tremendous progress and application of the monitoring and evaluation field in social development in South Africa. The term becomes appropriate if one considers the economies of scale, the reasonable nature of the tender processes, and the political, social and economic ramifications of the involvement of very numerous stakeholders. Monitoring and evaluation consultants are working individually or as part of established service providers in most sectors of the economy; they respond to the numerous requests for services in South Africa and beyond.

In addition to monitoring and evaluation emerging as a career for some, the relationship among corporate South Africa and the new democratic state has undergone a major transition. Business is projected to play an additional supportive role in the social development efforts of government. Corporate social investment (CSI) reproduces the growing pressure on corporate South Africa to contribute to social upliftment. CSI spending rose from an estimated R1.5 billion in the 1998/1999 financial year to over R6 billion in 2012/2013 (CSI Handbook 2013). Businesses tend to use NPOs to deliver CSI services in education, health, welfare and general development. They also require severe evaluations of development efforts to justify expenditure and to use the results for marketing and marketing purposes (Abrahams 2015:5).

South Africa has also been selected as a base for a number of international development/aid agencies who operate in the Southern hemisphere and on the rest of the African continent. International package providers, local service providers, university-based research units, individuals based at university and/or independent consultants all form part of an increasing pool of expertise who offer training in monitoring and evaluation or involve in the tender processes linked to monitoring and evaluation activities.

2.5 MONITORING AND EVALUATION AS GOVERNANCE TOOL

The intense burden on the South African government to deliver services to the needy population has started. There is a need for the cross-cutting of outcomes of government and to monitor and evaluate these strategies. They must also monitor the performance of national and provincial government departments as well as municipalities and carry out evaluations in partnership with other sections.

According to the Public Service Commission (2008), monitoring is “a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds”. On the other hand, evaluation is “the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors” (Public Service Commission, 2008).

Evaluation also refers to the process of determining the worth or significance of an activity, policy or programme. It also refers to an assessment, as systematic and objective as possible, of a planned, on-going, or completed development intervention. Evaluation in some instances involves the definition of appropriate standards, the examination of performance against those standards, an assessment of actual and expected results and the identification of relevant lessons (Public Service Commission, 2008).

The DPME’s custodial role for monitoring and evaluation is reported to be comparable to the functions of National Treasury for financial management and the human resources management responsibility of the DPSA (The Presidency 2014). To this end, it has produced a National Evaluation Policy in 2011 with the articulated purposes to improve policy or programme performance; to improve accountability; to recover decision-making; and to generate information for learning. It has also established a national forum for the heads of monitoring and evaluation in national departments and

a provincial opportunity for the heads of monitoring and evaluation from the provincial Premier's offices with the intention of sharing information and initiatives. Some of the reported challenges faced by the system and DPME include inadequate information management systems; lack of a culture of coordination; a public sector focus on doings rather than outcomes; and existing legal frameworks that favour the silo approach (Abrahams, 2015:6).

These monitoring and evaluation growths highlight an intense process aimed at promoting and fostering good governance. The integrated monitoring and evaluation system, established on an evidence-based philosophy, aspires to improve the quality of government decision-making and the quality of implementation, outcomes and impacts in South Africa.

It is clearly in the area of governance where the most recent growth in monitoring and evaluation has happened. Mouton (2010) suggests that, although programme evaluation was introduced to the country by the international donor community, it was not until this practice was accepted by the public sector and institutionalised as a finished policy mechanism mentioned above and the accompanying legislative mandates, that a culture of monitoring and evaluation has appeared.

2.6 THE FUTURE OF SOUTH AFRICA ON MONITORING AND EVALUATION

According to Abrahams (2015:7), South Africa has grown in leaps and limits with regards to monitoring and evaluation. The opportunities for learning are plenteous – if not locally, then from international institutions. Local texts are being written; more local knowledge is being constructed. More people choose to be involved in this area of work. There is a structure called the South African Monitoring and Evaluation Association (SAMEA) that can enable the bringing together of ideas and information and bring interaction to a disparate field of research. There is space for creative thinking amongst civil society actors, academics, professionals and government. What is lacking however, both in South Africa and across the world, are examples of successfully implemented Government Wide Monitoring and Evaluation over a long period of time. As complex as these systems are, they are further oppressed by political and ideological cycles shaped by the necessary democratic procedures through selections every five to seven years, depending on the country and or levels

of government. The current South African government has expressed the same dilemma.

This is also a chance for South Africa to nurture, maintain and grow a national evaluation system that is successful over time. South Africa has joined the international debate concerning the professionalisation of monitoring and evaluation. Whatever the outcome of this debate, it will allow for different perspectives to appear, for different voices to be heard and create space for new and creative forms of engagement with the challenges of evaluation. The argument will also influence how monitoring and evaluation as an industry is shaped, how the values used will enable and guide practice, and how these will improve the quality of evaluations. Ultimately, and for the majority of the population in South Africa, a successful monitoring and evaluation system should result in improved and relevant policies, an approachable public service, and better and high-quality service (Abrahams, 2015:8).

2.7 THE ROLE OF THE EXECUTIVE AND OTHER STRUCTURES IN THE SOUTH AFRICAN MONITORING AND EVALUATION

There are several players in the South African monitoring and evaluation arena, with the Presidency playing a leading role.

2.7.1 The Presidency

The government-wide monitoring and evaluation system is driven at the highest level. The presidency sets the framework for monitoring and evaluation drawing on various transversal systems, including value for money from the treasury, governance from the PSC, human resource and early cautionary systems from the Department of Public Service and Administration and service delivery from the Department of Provincial and Local Government. This framework empowers government departments to establish their own monitoring and evaluation systems. The president sets out a Programme of Action (POA) with targets for cabinets groups (The Presidency, 2014).

2.7.2 The cabinet Cluster system

The drive to achieve integrated governance has seen programmes of the thirty-nine government departments grouped into five cabinet cluster committees dealing with similar sectoral challenges: Governance and Administration, International Relations,

Peace and Security, Justice; Crime Prevention and Security; Economics; Investment and Employment; and Social services. The Governance and Administration Cluster, chaired by the Minister of Public Service and Administration, is responsible for monitoring and evaluation policy issues. For purposes of Monitoring and Co-ordinating the implementation of the Programme of Action (POA), each cluster is made up of a Cabinet Committee consisting of Ministers, Deputy Ministers and Directors-General of relevant departments who meet every two months to track the improvement of their tasks (The Presidency, 2014).

2.7.3 The Public Service Commission

Responsibility for monitoring and evaluation the public sector by the Public Service is discussed in section 196 of the 1996 Constitution. It is challenged with promoting the constitutionally enshrined democratic principles and values in the Public Service by investigating, monitoring, evaluating, communicating and reporting on Public Administration. Its main task is to implement monitoring and evaluation policies and programmes (Dassah and Uken, 2006:714).

The PSC is accountable and reports to the National Assembly. It has implemented the Public Service monitoring and evaluation system, programme evaluation, conducted Heads of Departments' evaluation, *Batho Pele* surveys, and established an evaluation culture.

2.7.4 National Departments

The monitoring and evaluation function is located in directorates in national departments. Constitutionally, therefore, ministers have the understanding and coordination responsibility for monitoring and evaluation in their department.

2.7.5 Provincial administration and departments

Premiers have coordination and oversight responsibility in these spheres. Each department is expected to have line function monitoring and evaluation systems and mechanisms in place, overseen and co-ordinated by the Office of the Premier (Dassah & Uken, 2006:714).

2.8 THE PRESIDENCY OUTCOME BASED MONITORING AND EVALUATION – GOVERNMENT APPROACH

The President of the Republic of South Africa recognised the DPME in the Presidency to, among others, introduce the outcomes approach to detail planning, implementation and monitoring and evaluation; promote monitoring and evaluation in government; monitor the performance of individual national and provincial departments and municipalities; and monitor forefront service delivery (Public Service Commission, 2012).

2.8.1 The outcomes approach

In the second period of democracy, the focus has removed putting strenuous effort into improving and driving service delivery implementation. One of our key initiatives to improve the performance of the State is the introduction of the outcome approach, which is aimed at addressing various weaknesses, including the lack of strategic focus in government, problems with inter-departmental and inter-governmental coordination, the tendency towards working in silos, a lack of harshness in planning and weaknesses in implementation.

According to Dassah and Uken (2006:714), the outcomes approach is a transformation initiative which is geared towards changing the way government works. It aims to improve service delivery by getting different departments and spheres of government to work together to produce plans or delivery agreements for importance outcomes, linking inputs and actions to outputs and outcomes and providing goals and timeframes. Of significant importance the outcomes approach seeks to promote join-up government, and places emphasis on the need to integrate in planning, budgeting and monitoring and evaluation.

Outcomes focus on key areas necessitating improvements. This does not mean that the other government work not directly related to the outcomes should be ignored – other work is captured in strategic plans of departments and IDPs of municipalities and making additional efficient and effective use of resources by introducing systematic monitoring and evaluation (carrying out periodic evaluations of the impression of government's work on the outcomes, and analysing results to inform

government policy making process and decisions) (Public Service Commission, 2012).

2.8.2 Political accountability

According to the Public Service Commission (2012) one of the elements brought by the adoption and implementation of the outcomes approach has been the introduction of political accountability. The President has placed emphasis on the essential requirement for political accountability on service delivery by signing performance agreements with ministers, committing them to delivering on government urgencies for the electoral cycle. The political accountability cascades down into the administrative accountability system. Departments have been demanded to ensure that their departmental strategic plans reflect their commitments in the delivery agreements. These commitments will also be reflected in the performance of agreements of officials.

2.8.3 Delivery Agreements

In 2009 government translated the five priorities of the African National Congress (ANC), namely; creation of decent work and sustainable livelihoods, education; health; rural development; food security and land reform and the fight of the Medium Term Strategic Framework (MTSF).

In January 2010, cabinet then adopted and approved twelve (12) priority outcomes based on the MTSF priorities, namely:

- Education- basic education
- Health – a long and healthy life for all South Africans
- Safety- all people in South Africa are and feel safe
- Employment – decent employment through inclusive economic growth
- skills – skilled and capable workforce to support an inclusive path
- Infrastructure – an efficient, competitive and responsive economic infrastructure network.
- Rural - vibrant, equitable, sustainable rural communities contributing towards food security for all.

- Human Settlements – sustainable human settlements and improved quality of household life.
- Local government- responsive, accountable, effective and efficient local government system.
- Environment- protects and enhances our environments assets and natural resources.
- Internal and external relations – create a better South Africa, a better Africa and a better world.
- Public Service – An efficient, effective and development orientated Public service and an empowered, fair and inclusive citizenship (Public Service Commission, 2012).

2.8.4 Monitoring of the Implementation of Delivery Agreements

The implementations of the delivery agreements are monitored by implementation Forums, which are usually either joint meetings of Ministers and provincial members of the Executive Council (MinMEC) or Clusters. The implementation Forums supervise the implementation of the delivery arrangements by concentrating on key progress and challenges, and facilitating the unblocking of obstructions in the implementation process. The Department provides Cabinet Committees with independent valuations of improvement on the implementation of delivery agreements. The Cabinet reviews the progress reports and clears key obstructions to making progress with the achievement of the outcomes.

2.8.5 Performance Monitoring of Departments and Municipalities

The Department of Planning, Monitoring and Evaluation, in collaboration with other centres of government departments, developed a Management Performance Assessment Tool (MPAT). The primary objective of the tool is to measure the efficiency and effectiveness of departments.

2.9 THE RELATIONSHIP BETWEEN PLANNING AND BUDGETING, AND MONITORING AND EVALUATION IN SOUTH AFRICA

The Public Service Commission (2012) states that since the establishment of a democratic South Africa, government has undertaken to construct a public sector that

is approachable to the desires of the public it serves through delivering the services promised to citizens in the most resourceful way possible. One of government's initiatives is the introduction of systems and frameworks to align planning, budgeting, reporting, and monitoring and evaluation in all spheres of government. This arrangement is to improve transparency, enable systematic monitoring of government's delivery of services and strengthen accountability. Government has engaged steps to enhance planning and budgeting by introducing initiatives that will disclose and reinforce the relationship between planning and budgeting and monitoring and evaluation in the Public Service.

2.9.1 New Government Approach – The Outcomes Approach

In 2009, the new administration introduced twelve (12) national outcomes to shift focus from the organisation of outputs to the monitoring of outcomes. It became policy to only manage and account for service delivery, but also to monitor the consequences or impact of service delivery on society. These outcomes are designed at getting better the standard of citizen's living and enables government to make more efficient and effective use of inadequate resources. More systematic monitoring and evaluation is being established, and relevant indicators that can be frequently measured or monitored have been introduced. Government intends to carry out periodic evaluations of the impact of its service delivery society, analyse the effectiveness of monitoring and evaluation to constantly improve government programmes and promote evidence based policy making (The Presidency, 2009).

The DPME has put in place systems to monitor progress on the implementation of the twelve (12) outcomes and the related outputs in Delivery Agreement Quarterly performance reports based on the Service Delivery Agreements are submitted by Ministers to service the DPME to provide progress on the achievements of set targets identification areas of obstructions and method introduced to deal with obstruction.

2.10 ALIGNING PLANNING, BUDGETING, REPORTING, MONITORING AND EVALUATION –TOWARDS THE ACHIEVEMENTS OF THE OUTCOMES

There is a need for the alignment of planning, budgeting, reporting, monitoring and evaluation to achieve the desired outcomes

2.10.1 Planning and budgeting frameworks

Planning and performance monitoring in government have been mostly characterised by a silo approach. This has resulted in a situation where planning, budgeting, and reporting and monitoring and evaluation functions are done by different sections in institutions in isolation of each other. As a result, plans are not always associated and coordinated with the budget allocations. Other challenges include the lack of accountability, particularly for monitoring and reporting on performance information, unrealistic target background and poor quality or performance information. The National Treasury issued the Framework for Managing Programme Performance Information (FMPPI) in 2007. This framework outlines key concepts regarding the design and implementation of management system to define, collect, report on and use performance information in the public sector. It also explains standards for performance information in support of regular audits (The Presidency, 2009).

The Strategic Plan sets out the government's strategic policy priorities and plans for a five-year period. The relevant aspects of the twelve (12) national outcomes include the diagnostic overview of the National Planning Commission, the provincial development and development strategies, the integrated development plans of municipalities, infrastructure plans and any other appropriate long-term government plans. The strategic plans also make provision for resource considerations, allowing institutions to identify resources required for the realisation of strategic goals. The priorities set out in strategic plans should be reflected in the institution's budget allocations. Strategic objectives and performance indicators are derived from the strategic goals outlined in the strategic plans, and these must be reflected in the annual performance plan. The annual performance plans set out institutions' planned initiatives to implement their strategic plans over the medium term. This plan sets out performance indicators and funded targets for an institution's programmes and sub programmes, and it directly linked to the strategic plan. This plan is also linked to the annual budget and medium-term expenditure framework for institutions' programme and sub-programmes. The annual budget is developed within the framework of the strategic plan and must inform and be informed by the annual performance plan (Public Service Commission, 2012).

The budget guidelines require institutions to supply information on output and other performance indicators and their targets based on the strategic and annual performance plans. The Medium Term Expenditure Framework planning process is designed to achieve an allocation of fiscal resources among government programmes and entities reliable with a balanced and cost-effective promotion of the twelve (12) national outcomes priorities. Objectives and measures, performance and operations indicators and targets are required from national departments for publication in the Estimates of National expenditure. Progress in relation to targeted performances is reported on in the budget submissions, the adjusted estimates of national expenditure and in the annual reports (The Presidency, 2009).

2.10.2 Reporting framework

The National Treasury has developed two monitoring and reporting system to integrate planning with budgeting system that provide for financial and non-financial information. In-year implementation and monitoring of service delivery and the budget is conducted through the quarterly performance reports and the monthly financial reports respectively. End year reporting constitutes reporting on outputs against pre-determined targets and reporting of annual financial statements (The Presidency, 2009).

2.10.3 In year monitoring reports

The quarterly performance reports provide improvement on the implementation of the institution's annual performance plan with emphasis on monitoring delivery against planned quarterly targets. Monthly expenditure reports are used to monitor actual spending against planned quarterly targets. These reports are also used to aware managers where remedial action is required in-year, based on both financial and non-financial information. Value for money is an important objective in budgeting. In support of this, quarterly performance targets are compared to actual expenditure in an effort to link service delivery with spending data. The DPME has also established a quarterly reporting instrument to monitor progress on the implementation of the twelve (12) national outcomes. These quarterly reports are based on the agreements signed between Ministers and the president and provide growth achievements of targets set for the outputs and sub-outputs of the 12 national outcomes (Public Service Commission, 2012).

2.10.4 Annual report

The annual report is the final accountability document in government. It is correlated to the implementation of the annual performance plan and the budget. The relationship and alignment of the planning, budgeting, reporting, monitoring and evaluation documents is made possible through appropriate budget programme structures. Budget programme structures provide the key link between institution objectives and its comprehensive operational budgets.

2.11 ROLES AND RESPONSIBILITY OF KEY STAKEHOLDERS IN MONITORING AND EVALUATION

Within the South African government, there are a number of key stakeholders who are playing a crucial role in monitoring and evaluation.

2.11.1 The Role of the National Treasury

The national treasury is responsible for monitoring departmental spending on allocated fund. This function is carried by out by the Public Finance and Intergovernmental Relations Divisions. This is prepared through an in year monitoring system. The monthly expenditure reports are available for investigation by Parliament and are used to monitor expenditure trends and determine if spending is in line with plans (The Presidency, 2012).

2.11.2 The Department of Performance Monitoring and Evaluation

The Department of Performance Monitoring and Evaluation evaluates the implementation of the government strategy, including its impact as measured against identified outcomes. Further, the Department has sector experts in charge for facilitating and monitoring the implementation of each of the twelve (12) outcomes. The Department of Performance Monitoring and Evaluation is represented in the Medium Term Expenditure Committee (MTEC), a committee that assesses recommendations for budget allocation, while taking into thought key government priorities and the spending plans of institutions (The Presidency, 2012).

2.11.3 Parliament and provincial legislatures

Parliament plays a supervision role in respect of the budget process and in the implementation of spending plans and priorities through the document that re named: strategic and annual performance plans, annual reports and the various budget documents, Parliament is able to assess and evaluate the performance of institutions. The introduction of Money Bills Amendment Procedure and Related Matters Act in 2009 enhanced parliament's role in engaging with the budget process (Public Service Commission, 2012).

2.11.4 The Auditor-General

The Auditor-General (AG) is responsible for enabling oversight, accountability and government in the public sector. The AG also audits and assesses the existence, measurability and importance of performance indicators relative to the targets in strategic and annual performance plans and achievements reported in the annual performance report (The Presidency, 2012).

2.11.5 The role of government departments and Public entities

Department and entities are responsible for ensuring that the outputs and outcomes as set out in their planning and budget documentation are achieved. Some institutions have established internal monitoring and evaluation units to manage own performance and ensure consistency with the Government-Wide Monitoring and Evaluation (GWM&E) system and other structures facilitated by the DPME. Institutions are also responsible for ensuring accurate information reported in all accountability documents to reflect on overall performance of government, both financial and non-financial (Public Service Commission, 2012).

Furthermore, the minister responsible for the Department of Performance Monitoring and Evaluation at the 2012 African Monitoring workshop in the inaugural speech stressed that implementation forums has been recognised for each outcome in order to bring together shareholders to drive the outcome. In describing the how and what government institutions do to measure performance, National Treasury (2007:6), provided the following key concept for performance monitoring:

- Input - are all the resources needed by government to deliver the output, they include resources like personnel, equipment, building, and finance.

- Activities - these are the processes that use the input to produce the desired outcomes.
- Outputs- these are the final products, goods and services produced for delivery
- Outcomes – medium term results for specific beneficiaries, due to the achievements of particular output
- Impacts – these are the results of achieving specific outcomes.

The above explanation of concepts portrays a hierarchical association between key concepts and is used by the Ministry of performance, to also measure the government's institutions' performance (The Presidency, 2012:3).

The concepts utilised in the model also serve as a performance indicator that measure economy, efficiency, effectiveness, and equity. The input, activities and outputs are utilised to measure efficiency and economy, whilst outputs, outcomes and impact measure equity and efficiency.

2.12 TEN STEPS TOWARDS BUILDING A PERFORMANCE BASED MONITORING AND EVALUATION SYSTEM

There are ten steps of building a performance based monitoring and evaluation system. These include the following.

Step one: Conducting a readiness assessment – refers to assessing the capacity and willingness of government and its development partners to construct a performance based system. It also reports the matters of whether the supporters are present or absent in government, the walls of building the system.

Step two: Agreeing on performance outcomes to monitor and evaluate- it requires the government to develop a strategic outcomes and objectives that will concentrate and initiative the resource allocation and activities of the government and its development partners.

Step three: Developing key indicators to monitor outcomes- in this step government should assess the degree to which the outcomes and goals are being achieved. The political and methodological issues involved in creating trustworthy and appropriate indicators should not be challenged.

Step four: Gathering baseline data on indicators- it involves the quantity of progress or non-thereof towards goals identified in step 1 and starts with the description and measurement of original settings that are addressed by the goals.

Step five: Planning for improvements and setting realistic targets- deals with the establishments of temporary targets that stipulate how much progress towards a goal should be achieved, in what time and with what level of resources allocation.

Step six: Building a monitoring system- Building a monitoring system is an administrative and institutional job of establishing data collection, analysis and reporting guidelines, designing who will be answerable for which activities.

Step seven: Analysing and reporting findings- this step is critical as it refers to determining, which findings should be reported to whom, in which format.

Step eight: Collecting and providing evaluation information- when analysing performance-based monitoring and evaluation system, the government should employ the following: Analysis of programme theory; evaluation assessment; process evaluations; outcome and impact evaluations; and evaluations syntheses.

Step nine: Utilising the findings- highlights that performance based monitoring does not only involve producing large volumes of information, but also contains getting the information to the suitable users in the system on time so that they can take it into account in the management of government.

Step ten: Sustainable the monitoring and evaluation system- Sustainability of the system involves five key criteria, namely: demand; structure; trustworthy; and credible information; accountability and capacity (Kusek and Rist, 2007:7).

2.13 CONCLUSION

Monitoring and evaluation in South Africa is still a concern as it raises the uncertainties on programmes that the government has initiated to sustain the performance through monitoring and evaluation also to guarantee that good governance is promoted by nourishing support based policy decisions and enhance transparency and accountability in performance. Literatures prove it has been identified that there are strategies in place for government institution which seeks to serve as guidance on the implementation of monitoring and evaluation. However, empirical data indicate that there is still a need to critically assess the cause of poor performance in other South African organisations.

CHAPTER THREE

MONITORING AND EVALUTION IN THE TRANSNET NATIONAL AUTHORITY

3.1 INTRODUCTION

This chapter provides a broad background of monitoring and evaluation. Monitoring and evaluation is fundamental to the improvement of Human Resources performance. With this explanation monitoring and evaluation has involved considerable attention as vital tool for Transnet National Port Authority (Durban) in terms service delivery and also performance management to the employees accountable to deliver. Performance should be monitored and be assessed to ensure that Transnet's goals and objectives are achieved and also implemented according to what is deliberate.

3.2 MONITORING AND EVALUTION AND THE DELIVERY OF SERVICES

The monitoring and evaluation tool should not focus on financial issues or performances but it should also include non-financial performance such as people, systems and strategies that are in place as guidance towards Transnet's purpose to deliver services to the public. Transnet National Ports Authority is a division of Transnet Limited and is mandated to regulate and manage all eight commercial ports on the 2954km South African coastline. Situated at the tip of the African Continent, the South African ports are preferably situated to serve both the eastern and western seaboard (The Presidency, 2014).

According to Jeff Radebe, the former minister of Public Enterprises (2002), government implemented the first stages of port reform with the founding of the NPA and the NPOD in 2001. It has since become clear that the economic impact of Durban's inefficiencies need urgent attention. Thus, we aim to fast-track the inclusion of the private sector in the operations of the Durban Container Terminal whilst the land and port estate remains under state ownership. Commercial ports play a critical role in South Africa's transport system and its economic development, and are therefore treated as strategic entities by this policy. Combined with the strategic geographical position of South Africa's coastline, the port system can have a multiplier role on the economy of the country and the Southern African Development Community (SADC)

region. From a calculated perspective, the pursuit of this policy is to ensure an internationally modest port system. Resourceful ports are known to be catalysts for increased trade, and thus provide a comparative advantage for international trade.

The National Transport Policy White Paper of 1997 mainly deals with commercial ports from transport perspective. The impact of ports extends far beyond their inspiration to transport costs. The strategic goals of this national policy on ports will reflect not only the transport perspective, but also the industrial (trade and manufacturing) and the market (consumers and suppliers), and the national political system. The purpose of this policy is to ensure affordable, internationally reasonable, efficient and safe port services based on the application of commercial rules in a transparent and competitive environment applied consistently across the transport system. There should be an increase in infrastructure investment and service delivery levels where appropriate, based on user needs. The government's commitment to safe transportation should express the need for a clean environment and service nominated areas. The government must maintain its commitment to meeting all constitutional responsibilities as well as facilitating the expansion of international trade, tourism in general and export activity in particular (The National Transport Policy White Paper, 1997).

Globalisation pressures make it crucial that nations integrate their transport systems into the global logistics network. Ports are naturally being incorporated into this hanging system and have to adjust to the new challenges and environment. Government recognises the strategic value of the commercial ports system in South Africa, in the context of international trade creativities and the changing global transport environment. It is for this reason that it needed to express this policy in support of the efforts to advance the functioning of commercial ports (Radebe, 2002)

3.3 NATIONAL PORTS AUTHORITY OF SOUTH AFRICA

The National Ports Authority is responsible for the management of the National Commercial Port System in order to become a landlord type of port authority, the National Ports Authority will not be involved in port operations (e.g. stevedoring and terminal operations). The National Ports Authority owns the land. However, the terminal infrastructure such as terminal buildings, workshops, substations, surfacing, rail sidings and terminal services and utilities (e.g. water, lights, power, sewerage and

telecommunication) and cargo handling equipment required such as cranes are bought and/or constructed, operated and/or sustained by the terminal operators in terms of a concession or leasehold contract with the National Ports Authority. This also implies that the National Ports Authority will not hire the cargo management labour (Transnet Strategy, 2003).

3.3.1 Port Regulatory Framework

It is considered expedient to introduce some form of regulatory mistake to the National Ports Authority to ensure that the strategic spirit of our ports, the competitive thrust of port development and improvement, and the competitiveness of South African commercial ports and businesses, particularly exporters, are not compromised in any way. Port regulation needs to distinguish between technical, environmental and social mistake on the one hand and economic oversight on the other.

The following basic guiding principles with respect to port regulation are necessary: Avoidance of regulation where the market can freely function and the playing field is level without regulatory intervention; and formal separation of the responsibilities for economic regulation from port management and operations; the required regulation at the port level could apply at three distinct levels (The Presidency, 2005).

The first level: Supervision the compliance regulation will ensure the compliance by all service providers of relevant national and international laws, conventions, agreements concerning operational ship and cargo handling activities, safety and security aspects, defence and safeguarding of the environment and employer-employee relationships. This will adhere to the new mandate to establish the National Ports Authority as a landlord type of authority. Hence, all technical, environmental and social oversight within the port estate should be the responsibility of the National Ports Authority or other authorities regulating various features in terms of existing legislation.

For example, the regulation of the existing and future off-shore cargo handling facilities, that are used or can be used to offload crude oil, any substance used in the manufacture of petroleum products, or petroleum products, and includes any pipeline used for the transport of such oil, substance or petroleum product between the off-shore cargo handling facility and the storage facility, will fall under the regulatory ambit

of the envisaged Petroleum. Pipeline Regulator in consultation with the National Ports Authority (Transnet Strategy, 2003).

The second level: Economic regulation will consist of the economic regulation of all service workers operating within the port estate. The need for this directive can be significantly reduced (and thereby makes the remaining regulation more effective) if market forces are allowed to come into play and if authorization and business agreements contain suitably rational and transparent clauses regarding the control of the pricing levels, the smallest levels of service to be offered and the avoidance of anticompetitive practices. Whatever' economic regulation would then still be required, the National Ports Authority in its supervisory volume could transport it out as an unbiased and neutral entity overseeing all profitable activity in the port estate.

The third level: in terms of the Competition Act, the National Ports Authority has the accountability of regulating the sector on a day-to-day basis on sector-specific issues, whilst the Competition Authority/Commission has influences of oversight on questions of anti-trust issues (Transnet Strategy, 2003).

3.3.2 Improving the competitive position of South Africa's commercial ports

Competitiveness is defined as safeguarding that the port and transportation system can meet the necessities of its users. Competitiveness is a key aspect that influence South Africa's place in global markets. To participate successfully for business in domestic and people and cargo efficiently reliably and at a reasonable cost without infrastructure impediments or congestion delays. For exporters and importers, competitiveness translates into a demand for internodal services that provide speedy movement through ports and terminal transfer facilities to landside transportation. It also interprets into a demand for ready access to the transportation information that is needed by all parties in the various transactions involved in trade. There is a sense of urgency among some port stakeholders who uphold that there is not sufficient spending on construction, processes and maintenance for ports (Transnet Strategy, 2003).

The future competitiveness of the port system and infrastructure will be influenced by the following capacity issues (Transnet Strategy, 2003):

- Land use in and around the ports;
- Demand and constraints on intermodal connections;
- Advances in information technologies and navigational systems; and
- Increasing dredging requirements; and environmental constraints.

Thus, there is a need to improve the productivity, throughput capacity and accessibility to meet the predictable growth in international trade. The primary function of the port system will be, as gateways to the world, to operate with modern infrastructure provided by dependable funding sources, using optimal technology. In terms of volume, efficiency, safety and security and environmental enhancement, the ports will be world class. The inland transportation capacities will competition the ports throughput.

3.3.3 Human resource development

A large number of workers involved in port operations have low levels of skill and high levels of illiteracy. There is a high degree of reliance on casual labour. These factors limit the ability of the industry to adapt to technological change and progress efficiency and levels of service (The Presidency, 2005).

The ability of the industry to adhere to internationally satisfactory standards is also affected. The government, labour and business will, through the Sector Education and Training Authorities (SETA), emphasise the use of labour as a resource rather than a production cost. The government will undertake some responsibility for enhancing capacity and for improving the human resource pool in the transport sector. Government commits itself to the consideration of the relevant agreements and or recommendations of the International Labour Organisation (ILO) and supports the establishment of appropriate structures with the port reform process. The government, however, does not admit sole responsibility for human resource development, and looks to all stakeholders, including the private sector and labour, to assist in overcoming the challenge. Government will encourage the continued consideration by the industry of the support of the Port Development Programme.

3.4 LEGISLATIVE AND POLICY FRAMEWORK

There are pieces of legislation introduced by government which have an effect on monitoring and evaluation.

3.4.1 The Skills Development Act 97 of 1998

The drive of the Skills Development Act No 97 of 1998, as specified on its Section 2, is to facilitate the development of skills of the citizens in order to increase performance, productivity and competitiveness at a workplace for healthier performance and delivery. The Skills Development Act further states that this Act consider encouraging employers to introduce developmental programmes that will enhance leadership skills employees, and encourage employees to contribute in these programmes. The Skills Development Act also highlights that the workplace should serve as an active learning environment that will provide employees with the opportunities to acquire new skills. According to Schedule 2, Section 14(16) of Skills Development Act, the municipality has the responsibility to identify the developmental requirements of employees as far as their job performance is disturbed, elect those identified to participate in training and development programme that will enrich their skills, knowledge and expertise (Mpehle & Kanjere, 2013).

3.4.2 The White Paper on Human Resources Management in South Africa, 1997

According to the White Paper on Human Resources Management in South Africa of 1997, the suitable management of Human Resources is one of the strategies to produce employees that are miscellaneous in their skills and competence in the performance of duties as it is also stipulated in part 8 and 15 of the White Paper to develop an employee that is multi-skilled, multi-cultural and performance oriented. Moreover an organisation needs to have a structured career performance that will offer employees opportunities to advance so as to improve the generally institutional performance. The organisation must have mechanisms not only to identify its operational requirements but also the needs of employees and to respond those needs accordingly (Mpehle & Kanjere, 2013).

3.5 DEVELOPING AN EFFECTIVE MONITORING AND EVALUATION SYSTEM

Govender (2013:817) provide the following suggestions to guarantee the monitoring and evaluation system is successful, namely senior management commitment, party-

political will, the system should be supportable and not to create unrealistic expectations. The approach that 'one size fits all' would not produce the maximum institutional value for the monitoring and evaluation system. Institutionalisation of a systemic monitoring and evaluation system also requires all stakeholders to undergo a paradigm shift from employing a single hierarchical causal effect to multiple causal effects of outcomes and impacts. This can only be achieved if a systems approach is used to change systems thinking. Once a monitoring and evaluation system has been established the quality of the monitoring and evaluation system is critical to ensure maintainable demand and good authority. While there are no industry principles for assessing the quality of a monitoring and evaluation system. The following key criteria to be used to check the excellence of the monitoring and evaluation system:

Utility - The proposed monitoring and evaluation system must serve the information needs of the intended beneficiaries.

Feasibility - The proposed monitoring and evaluation framework is realistic and cost-effective

Propriety - The monitoring and evaluation activities will be conducted legally, ethically and with due regard for the welfare of those affected by its results.

Accuracy - The monitoring and evaluation reports and outputs will highlight and convey technically accurate information.

An effective monitoring and evaluation system is also dependent, inter alia, on the accountability mechanism in public sector entities. If there is lack of accountability within the institutional or corporate environment, the monitoring and evaluation system would fail. Govender (2013:817) considers accountability as censuring or rewarding of agents by the leaders. Therefore the agents who pursue the will and/or interest of others give an account of their actions for which they are subsequently rewarded or reprimanded. Some institutions employees 'political accountability is prioritised rather than administrative and performance accountability to the stakeholders (Govender, 2013:817).

The performance accountability enhances legitimacy through the achievements of outputs but neglects the procedural accountability and argues that there is work to be done to create modern systems of accountability to match the reality of power. In this

regard, an understanding of performance management, monitoring and evaluation and its influence on control and legitimacy is critical for improving performance.

3.6 RELATIONSHIP BETWEEN PERFORMANCE MANAGEMENT, MONITORING AND EVALUATION

Monitoring and evaluation systems are intended to ensure that functionaries are accountable to deliver the desired outcomes and provide an evidence to inform corrective action. Therefore, the outcomes of performance management, corporate authority and legitimacy as well as monitoring and evaluation are interrelated. Authority is a prerequisite for performance and well governed institution has a better likelihood of good performance (Govender, 2013:818).

Fig 3.1: Outcomes of Performance Management and Monitoring and Evaluation

Performance Management	Monitoring and Evaluation
Continuous improvement performance	Evidence-based decision making, outcomes and impact analysis.
Developing a leaning culture	Evaluation enables organisational learning
Sanction good and poor performance	Accountability – results or outcome based monitoring and evaluation systems allocate accountability
Celebrate milestones and successful completion of projects, programmes and policies	Soliciting support-promoting inclusiveness and generating success
Information management – distribute information advocate institutional vision and mission	Promoting transparency – sharing of information as the project or programme progresses
Capacity development and empowerment of stakeholders	Monitoring and evaluation capacity development programmes and projects
Management of subordinates and resources	Monitoring – control and supervision of processes, staff and resources

Finances – proper allocation of resources through budgets	Allocation made on historic performances reported via monitoring and evaluation systems.
How well is the institution current performing	Baseline data collected to set targets. Performance is analysed against the agreed targets.

Source: Govender (2013:818).

Monitoring and Evaluation aids in better performance, of which turn enhances corporate accountability and legitimacy by improving the quality of decision making, developing a leaning culture, ensuring employees are held to account with appropriate rewards and sanctions, capacity development and improved resource management. Participatory monitoring and evaluation system improves inclusiveness and transparency (Govender, 2013:819).

3.6.1 Port security

The state, through its security forces, has the overall responsibility for ensuring port security. The National Ports Authority shall develop policies and deploy resources in the current and future commercial ports to improve port security. The terminal operators are responsible for their own security within the terminal boundaries, and matters pertaining to the rules and policies determined by the National Ports Authority.

3.6.2 Planning

Spatial planning in South Africa has experienced significant transformation over the past five years. Several white papers have been accumulated and numerous new acts have come into force that have changed the way planning is undertaken in South Africa. These will have a significant effect on the port preparation processes.

3.6.3 Transport planning

This will be enhanced in a complete fashion through integrated transport planning. Transport planning will have to be co-ordinated between National, Provincial and Local Municipal Government together with the National Ports Authority and relevant Railway Authority (Transnet Strategy, 2003). This will be approved out on a regular foundation

in terms of Section 27 of the National Land Transport Transition Act, 2000 (No. 22 of 2000) and the Local Government: Municipal Structures Act (No. 117) of 1998). Integrated Transport Plans will include all modes and infrastructure, including new or corrected roads and commercial growths having an impression on the land transport system, and land transport features of the ports.

3.6.4 Integrated Development Planning

In terms of the Municipal Systems Act (No. 32) of 2000 all municipalities (i.e. Metros, District Municipalities and Local Municipalities) have to undertake a combined development planning process to produce an Integrated Development Plan (IDP). The IDP is a single, comprehensive and strategic plan for the development of the municipality which links, integrates and co-ordinates plans and takes into account suggestions for the development of a municipality. It further aligns the resources and capacity of the municipality with the application of the plan; and is well-matched with national and provincial development plans and planning requirements bidding on the municipality in terms of legislation (Municipal Systems Act, 2000).

3.7 CONDUCTING PERFORMANCE MONITORING AND EVALUATION

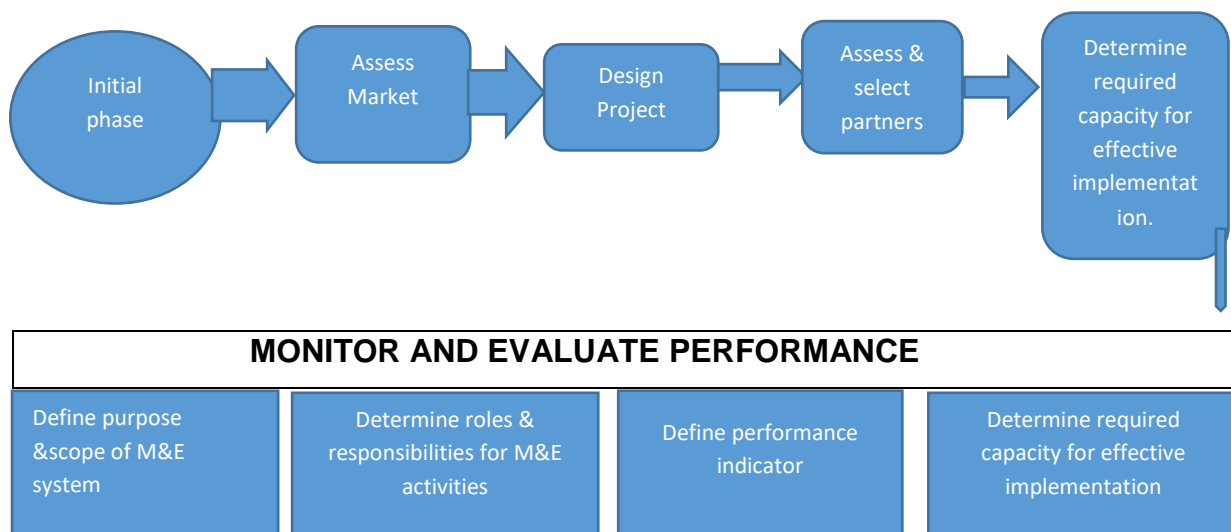
3.7.1 Performance-monitoring and evaluation framework

'Performance' has been defined as the amount to which delivery mechanisms reach their target market (depth), the number of clients served (scale), and the degree to which they do so equitably and sustainably (see also World Bank 2006). Designing the framework for performance monitoring and monitoring and evaluation includes a number of key steps:

- Clearly define the purpose and scope of the monitoring and evaluation system and the evidence and outputs predictable.
- Provide a general description of key stakeholder audiences (e.g. PMU, IFAD headquarters) and the types of performance information they each assume, when that information is mandatory, in what format, and who is responsible for collecting it.
- Outline the performance indicators to be collected and analysed for each shareholder audience, outreach and social performance indicators.

- Detail the necessary conditions and volumes required to manage the monitoring and evaluation, including the number of monitoring and evaluation staff, their responsibilities and linkages to other management activities, and encouragements
- Develop a reasonable for monitoring and evaluation activities (Abrahams, 2015).

Fig 3.2: Monitoring and Evaluation performance phase



Source: www.ifad.org

3.7.2 Identifying relevant performance indicators

Only evidence that can be easily gathered, arranged and used to draw simple, meaningful conclusions should be used for monitoring purposes. Each indicator should be clearly defined, and a mutual format for their collection should be developed. Avoid unnecessary information and non-standard formats, as these can lead to ‘noise’, make it difficult to measure progress, and detract from the attention of the project. Indicators should be results-based, emphasizing project and institutional performance and development impacts, rather than simply the achievement of a certain number of happenings or outputs. Include key performance indicators and targets in the project design and in contracts with partners in gathering to quarterly governance committee meetings, annual supervision missions and evaluations. Monitoring performance requires endless awareness to anticipate developing problems, identify on-going management challenges, and meet needs.

3.7.3 Key processes related to the monitoring and evaluation system

The key processes related to the monitoring and evaluation system include the following:

- **Planning.** The process of setting up project objectives, deciding the time needed to achieve them, how, and by whom, is the first necessary element of a project monitoring and evaluation system.
- **Identification of performance questions.** This phase specifies what information should be collected in order to respond to the knowledge demand expressed by project stakeholders. This implies specifying what information has to be collected, when, for what reason, and how this is expected to be used.
- **Data collection.** This phase relates to the collection of data needed to respond to the performance questions formulated by project stakeholders. Data should then be stored and processed in order to be used for analysis.
- **Data analysis.** The information is analysed, clarified and organized in order to assess whether results have been achieved, identifying best and worst practices while pointing out correlations and changes that have occurred over time at the level of individuals, households, communities or institutions.
- **Communication.** The results of the analysis are communicated to stakeholders concerned: government, funding agencies, beneficiaries, implementing partners, donors, and managers. Monitoring and evaluation conclusions can be reported in numerous ways: written reports, audio-visual techniques, workshops and brochure (www.ifad.org).

3.8 DECIDING WHO TO INVOLVE IN THE DIFFERENT STAGES OF THE M&E

To ensure monitoring and evaluation is applicable to all stakeholders it is essential that you consider their information needs, as well as your own. You will consequently need to identify the key internal and external stakeholders, and decide how to include them in the sign, implementation, analysis and/or communication of findings. Examples of people you might want to contain are people directly involved in your projects stakeholders and your broader community (geographic or community of interest) such as particular groups of residents, specific networks, community groups, the wider movement, and/or (external stakeholders e.g. funders, local and national policy makers).

Define the Monitoring and Evaluation plans, goals, objectives, and monitoring and evaluation framework

The goals and objectives included in an HRH plan form the basis of the programme's monitoring and evaluation effort and are typically obtainable through a monitoring and evaluation framework. Each is an expression of the HRH outcomes the program is trying to achieve, as described in detail below (Abrahams, 2015):

Monitoring and evaluation plan's purpose

National monitoring and evaluation plans for HR will guide the measurement of progress and outcomes in the implementation of a country's HR plan, as well as provide a framework by which to combine feedback and make continuous program improvements. Whether or not the working group defines a further specific or more comprehensive resolution, the final monitoring and evaluation plan should articulate its purpose and its relationship to the national HR plan.

Defining goals and objectives

The monitoring and evaluation plan should also framework its goals and objectives, setting opportunities for what the program hopes to accomplish and providing the user with an idea of the types of information controlled within the document (Fort, Crystal and Nicholson, 2015).

3.9 HUMAN RESOURCES POLICIES IN SOUTH AFRICA

HR policies in South Africa are systems written decisions established by the organisation in order to support administrative personnel function, performance management, employee relations and HR planning. Every company in South Africa has a different set of circumstances, and therefore must develop an individual set of HR policies to help regulate policies within the organisations. Clear concise HR policies in South Africa are important so that employees are able to understand the rules and regulations within the organisation (Human Resources, 2018).

Failing to implement policies leaves an organisation open to legal challenges, especially if the company in consistency applies HR policies in various employees, grievance and lawsuits resulting with the consistent application of the HR policies can lead to:

- Increased cost that affect your profits due to time wasted on the following the same procures.
- Increases turnover of staff due to perceptions of misconducts.
- Negative morale from perceived equity and not understanding the rules of the organisation (Ulrich & Beatty, 2001: 37).

An organisation can avoid the problems if they implement proper HR policies and procedures in South Africa in order for employees to feel that they are treated equally across a variety of employment issues.

3.10 DEVELOPING HUMAN RESOURCES POLICIES IN SOUTH AFRICA

HR policies in South Africa provide organisation with systems that manages their risk by staying up to date with the current trends in employment and legislation requirements the HR policies must be formed in a manner that encompasses the entire organisational vision and by doing so, help the organisation to work towards its business objectives, by doing this, the HR policy can benefit at all levels of the organisation and provide a competitive advantage amongst its competitions (Human Resources, 2018).

3.11 THE ROLE OF HR POLICIES IN PERFORMANCE MANAGEMENT

According to Transnet Performance Management Training Manual (2008), a very important aspect of performance management is that it does not have one activity only. It is part of the employee, development life cycle in which the employee agrees with the administration on the expected performance tasks, evaluation standards, tools required and imperative dates when performance will be formally assessed. The purpose of policies on performance management is to help the employee improve his/her performance in order to achieve organisational goal, which could include respectable customer service.

Performance Management as an ongoing communication process undertaken in partnership, between an employee and the immediate supervisor that involves establishing area expiation and understanding about:

- The essential job functions the employee is expected to do;

- How the employee's job contributes to the goals of the organisation;
- What doing the job well means in simple terms;
- How the employee and supervisor will work together to sustain, improve or build one on existing employee performance;
- How job performance will be measured; and
- Identify barriers to performance and removing them (Transnet Performance Management Training Manual, 2008).

Performance management is an agreed organisational process, aimed at ensuring and enhancing employee and organisational performance. It is an ongoing of managing employees and the conditions in which they work a systematic process of measurement feedback and reinforcement that presents appropriate actions.

Performance management has become a more strategic issue for companies than it was in the past. Effective performance management requires that employees and line managers work together to set performance expectations, review results, assess the company's and individual's needs and plan for the future. Performance management does not need to be formal in order to be effective. Performance management as a new human resource management tool that marks a change of focus in organisations away from a direct-and-control to a facilitation model of leadership. This has led to the recognition of the importance of the employee and relating work performance to the strategic or long-term and overarching mission of the company as a whole. Employees' key performance areas are taken from the company's strategic direction which in turn supports the mission and goals of the organisation as a whole (Jeffrey, 2006: 445).

3.12 THE ROLE OF HUMAN RESOURCES IN THE PERFORMANCE MANAGEMENT PROCESS

Human Resources is often viewed as an expense generator and not as a value adding partner generally, line managers see HR performing administrative roles and as a result, there is no esteem for this department. The role that HR plays are in building a competitive organisation through the management of strategic human resources, management of revolution and change, management of firm infrastructure and management of employee contribution. Though these roles are valid and have

established to be value addition in recent years, there is a critical need to move beyond the strategic business partner role to becoming a player in the business players. According to Ulrich and Beatty (2001) contribute to the effectiveness of the organisation, deliver results and do things to make a difference.

Ramlall (2007) states that the role of a business player is to:

- Coach;
- Design;
- Construct;
- Change the organisation;
- Create followers; and
- Play by the rules.

When HR functions as a reformer this becomes a challenge for them to search continuously for strategies that will create value for the organisation and not basically function in a reactionary mode. In serving as collaborators they need to work with senior leaders, line management and all employees to tool business strategies forming the strategic link during the organisation. Lastly, as facilitators, HR functions as change agents providing support and readiness for planned changes designed to support the business strategies (Ramlall, 2007).

The other role that HR plays is to help produce value to the Organisation. The above information illustrates that HR has a vital role to play in performance management, not merely in terms of putting a performance management system in place, but ensuring that performance management develops a tool for achieving organisational planned goals. This is done through executing key responsibilities in terms of performance management, which include:

- planning the system;
- developing and designing the system;
- implementing the system; and
- maintaining the system (Ramlall, 2007).

3.13 OBJECTIVES OF PERFORMANCE MANAGEMENT

Performance management is aimed at gaining better results from individuals, players and the organisation by understanding and managing performance management within an agreed framework of intended goals, standards and competencies. Performance management is focused on an individual, group and the effectiveness of the organisation. Performance management is also concentrating on the development of an employee. Performance management also concerns meeting the needs and opportunities of shareholders, management, employees, customers, and the public in general. It is important to reflect and respect the needs of all the organisation's stakeholders as they all are the key to the organisation's bottom line. The argument above implies that performance management is not just an exercise but a process that ensures uninterrupted development of employees which has an impact on the organisation's performance. It is also essential that organisations communicate the strategic intentions of the organisation to all employees to license line managers to established individual performance goals that will feed into the successful accomplishment of the organisation's goals (Tshukudu, 2006:16).

The objectives of performance management are to:

- Strengthen positive performance;
- Provide assistance in the management of poor performers;
- Recognise and reward employees for unsettled performance;
- Enhance the overall results of the organisation;
- Serve as a vehicle to set, for all employees, clearly defined goals and objectives that are aligned with the business goals and strategies;
- Identify and remove obstacles to performance;
- Measure individual performance against clearly defined goals and objectives; and
- Provide support to individuals to develop their potential and to ensure growth in their ability to deliver results (Bennett and Minty, 1999: 20).

3.14 DEALING WITH UNDERPERFORMING EMPLOYEES

Performance management procedures are designed to encourage and promote good performance, thereby enhancing the overall performance of the organisation. Most

employees will respond positively to performance management initiatives but some employees will exhibit signs of poor performance and at this point the performance management procedures should lead to disciplinary/poor performance procedures. The performance standards and measures used in the performance management system will provide an important framework for discussions about poor performance and may also provide evidence of poor performance which can be used in disciplinary hearings (Transnet Performance Management Training, 2008:31).

One critical aspect of managing performance is managing poor performance. Poor performance is an obstacle in the attainment of strategic organisational goals. Poor performance can be endured to a certain extent, but where it persists, measures have to be taken for the sake of customers, colleagues and the individuals concerned (Tshukudu 2006:53).

Guidelines to handle with poor employee performance effectively

- Be specific with facts in hand. It is important to confront to your employees about their respective performances;
- Consider the needs of your employees;
- Focus on feedback;
- Provide performance support technology; and
- Offer rewards and recognition (Silberman, 2013).

The detailed role of Human Resources policies in the management of underperformance

A significant aspect of dealing with poor performance is to address poor work performance when the incident occurs. Performance management is a continuing and daily activity. The Human Resources' role is to ensure that all policies are communicated to and understood by all employees. The Human Resources practitioner advises the line manager on the steps to manage poor performance. Human Resources must ensure that the fundamentals of procedural fairness are applied such as:

- Conducting an investigation on the cause of poor performance;

- Appropriate evaluation, instruction, training, supervision or counselling of the employee;
- The employee must be given time to improve;
- The employee has a right to be heard;
- The employee has a right to be represented; and
- Alternatives to dismissal should be considered (Silberman, 2013).

HR must always be available to support both the employee and line manager when non-performance occurs. As the custodian of policies HR has to ensure that disciplinary measures are taken fairly (Banfield & Kay, 2008:289).

3.15 POLICY FOR PERFORMANCE MANAGEMENT IN TRANSNET

Transnet's performance objectives are derived from the Transnet Shareholder Compact and Corporate Plan and cascaded from management down to Grade Level G employees. All business objectives, measures and targets must be reflected in individual performance scorecards as informed by the Shareholder Compact and corporate plan through the top down cascading process that takes place during the planning for performance phase at the commencement of each financial year.

3.16 CONCLUSION

This chapter has discussed monitoring and evaluation in the context of Transnet SOC limited. The chapter also discussed the National ports authority of South Africa, legislative and policy framework on monitoring and evaluation, and conducting performance monitoring and evaluation. The role of human resources in the performance management process and policy for performance management in Transnet is also discussed.

The next chapter discusses research methodology and design for the study.

CHAPTER FOUR

RESEARCH METHODOLOGY AND DESIGN

4.1 INTRODUCTION

This chapter deals with the research method as in what method is to be employed in conducting the research. This chapter describes the research design and the research tools used to collect data and the sampling procedure. It also describes the population, data collection, data analysis, ethical issues and the boundaries of the study.

4.2 RESEARCH METHODOLOGY

4.2.1 Qualitative research methodology

Babbie and Mouton (2001) argue that qualitative researchers attempt always to study human action from the viewpoint of the social actors themselves (also referred to by anthropologists as the “emic” perspective). The primary objective of studies using this approach is defined as describing and understanding rather than explaining human behaviour. This approach to qualitative research also that we view “qualitative as referring to a broad methodological approach to the study of social accomplishment. Qualitative research distinguishes itself from quantitative research in terms of the following key features:

- Research is conducted in the location of social actors
- A focal point on process rather than outcome.
- The actor’s perception (the “insider” or “emic” view) is emphasized.
- The primary plan is in-depth (“think”) descriptions and understanding of actions and proceedings.
- The main concern is to understand social action in terms of its detailed context (idiographic motive) rather than attempting to generalise to some educational population.
- The research course is often inductive in its approach, resultant in the generation of new hypotheses and theories.
- The qualitative researcher is seen as the “major instrument” in the research process.

4.2.2 Quantitative research methodology

Three descriptions are characteristic of the quantitative paradigm: (1) an emphasis on the quantification of constructs. The quantitative researcher believes that the best or only technique of measuring the properties of phenomena (e.g the attitudes of individual towards certain topics) is through quantitative measurement. i.e. assigning numbers of the perceived qualities of things. (2) The emphasis placed on variables in describing and analysing human behaviour. In some circles this has become known as variables analysis. (3) The central role afforded to control for sources of error in the research procedure. The nature of the control is either through experimental manage (in experimental designs) or through numerical controls (in multivariate analyses). (Babbie and Mouton, 2001)

Choice of research approach

This study used the qualitative research methodology since it is based on opinions, attitudes, beliefs, and intentions (Neuman, 2009: 202). This kind of research deals with questions such as 'Why? "Would? Or "How? Qualitative research aims to understand why people behave in a certain way or how they may respond to change in or environment given that these opinions are often obtained from small numbers of people; the findings are not necessarily statistically valid. However, such data can highlight potential issues which can be explored in qualitative research focus groups and interviews are common methods used to collect qualitative data. The interviews approach was guided by the consideration that 'interviews as a principal method of gathering information can be used to suggest statements and as a means of following up some interesting and unexpected behaviour (Silverman, 2001:113).

4.3 DATA COLLECTION AND MATERIAL METHODS

This study was qualitative in design and the intention was to understand and analyse the role of monitoring and evaluation of human resource policies in the Durban Transnet National Port Authority. As indicated above, the data for this research was collected by means of leading interviews. This method was greater well-matched for this research since it used qualitative method, which involved asking questions from the individuals as it articulated a story using arguments. Furthermore, this instrument empowered the researcher to ask questions. Interviews are also useful because they

provide detailed evidence and on a one on one basis and this will be done in a more relaxed environment which is advantageous for the interviewee.

4.3.1 Interviews

According to Babbie and Mouton (2001) interview is a data-collection encounter in which one person (an interviewer) asks questions of another (a respondent). An interview may be conducted face-to-face or by telephone. Due mainly to the relatively low level of literacy of the South African population, face to face interviews are the most common method to collect surveys data in national surveys in South Africa. Rather than asking respondents to read questionnaires and enter their own answers, researchers send interviewers to ask the questions orally and record respondents' answers. Interviewing is typically done in face-to-face encounter, but telephone interviewing, follows most of the same guidelines. Also, most face-to-face interviews require most than one interviewer.

4.3.2 Questionnaire

Questionnaire can be described as a document that contain questions and other types of items planned to solicit information appropriate to examination. Questionnaires are used primarily in survey research and also in experiments, field research, and other models of observations. Though the term of questionnaire suggests a collection of questions, an examination of a typical questionnaire will probably disclose as many statements as questions.

This is not without a reason. Often, the researcher is paying attention in determining the extent to which respondents hold a particular attitude or perspective. If you can summarise the attitude in a fairly concise statement, you can present that announcement and ask respondents whether they agree or disagree with it.

Rensis Likert has very much formalised this procedure through the creation of the Likert scale, a format in which respondent are asked to strongly agree, agree, disagree, or strongly disagree, or possibly strongly approve, approve, and so forth (Babbie & Mouton, 2001).

4.3.3 Research instrument used

The instruments used for this research included interviews, simply because they seem to more appropriate for the research. The interviews enabled a face to face contact with the respondents and also provided a guard against puzzling items as the interviewer was present to provide clarity. This study used unstructured interviews to chat with key personnel in the human resource department and other key stakeholders at the Durban Transnet National Port Authority.

4.4 THE POPULATION AND RESEARCH SAMPLE

The population of the study were heads of components in Human Resources division and HR Officers who are heading HR Components or sections in the Transnet National Port Authority and for the purpose of manageability the main focus area was Durban. The researcher used a sample size that amounted to 7, which were 3 HR Officers and 4 head of components from Transnet National Port Authority in Durban who deal directly with Performance Management on HR Policies using monitoring and evaluation. The sampling approach for this study was non-random sampling because it is used for qualitative research method and comprises asking questions of which this research was actually based on soliciting answers to questions as well as to attain relevant data regarding to the problem that exists. The sampling technique was purposive or judgemental sampling, because the researcher identified the participants who had relevant information based on their beliefs and conclusion.

Figure 4.1: Sample size

Level	Population	Sample	Gender	Age
Management		4	Female Male	Between 40- 50
Non- management		3	Female Male	Between 32- 38

4.5 DATA ANALYSIS

After collecting data from the respondents, the researcher essentially inspected each of the feedback by being analytical in order to get knowledge from each response for

the research. Extracting the feedback from respondents was also one of the means the researcher worked to ensure that only useable information was considered. This was done to ensure that only applicable information was sustained. The data was analysed qualitatively. To analyse data, the researcher first organised data by reading the transcribed interview and the field notes. The data were from responses from human resource personnel at Transnet. This was then categorised into themes. Welman, Kruger and Mitchell (2005:211) state that field notes can be described as a detailed notes made by hand, tape recordings, and observation, and are compiled during qualitative interviewing. In order to analyse the raw field notes, these have to be processed.

4.6 DATA QUALITY CONTROL

Validity

The validity of a measuring instrument is the extent to which the instrument measures what it is supposed to measure. According to Leedy and Ormrod (2001:98) validity takes a different form and he also indicated the following forms of validity:

- **Face validity** which indicates the extent to which an instrument represents a specific concept. It relies on subjective decision of experts who are in a position to decide whether an instrument measures what the researcher wants to measure. In this study, experts and researchers in the field of HRM were requested to respond to the content and layout of the questions.
- **Content validity** is the extent to which the mechanism is perceived to represent exactly the relevant areas that are essential to the subject content. In this study, the questions were developed

Based on the results obtained from interviews with key people at TNPA Durban and the results of the theoretical study.

- **Construct validity** determines the degree to which an instrument successfully procedures a theoretical structure. The theoretical study also contributes to the construct validity of the questions.

- **External validity** indicates the extent to which the research can be extended to other groups. Though the questions were administered to HR Managers, and HR Officers at TNPA in Durban. The same questions could be used in other ports as well as other organisations that deals with assessing the HR Policies on performance management through Monitoring and Evaluation. In this study, validity was checked by first interviewing key people in the HR component that uses HR policies on employee's performance through Monitoring and Evaluation process at TNPA and then administering questions to the target delegates. The questions used in this study measured the insight HR managers, HR Officers and line managers had of the individual roles of HR and line management in the performance management process through monitoring and evaluation. The essence of the study was to clarify the role of every individual that participates in the performance management process through monitoring and evaluation to ensure that each party does what is expected to ensure the efficient implementation of the process.

Reliability

Leedy and Ormrod (2001:99) points out that the reliability of a measurement instrument is the extent to which it yields consistent results when the characteristic being measured has not changed. A researcher can measure something accurately only when it can be measured consistently. This means that in order to have validity there must also be reliability in the data. The more valid and reliable the measurement instruments are the more likely that the presented appropriate conclusions form the data collected and also solve the research problem in a reliable manner.

Reliability can be determined by the retest method where the same test is given to the same respondents after a period of time. This can be estimated by examining the consistency of the responses between two tests. If the researcher gets the same results on the two tests then the data will be found to be reliable. Reliability can also be determined through alternative method which is similar to the retest method but here the same test is not given each time. The difference from the retest method is that the random procedure is used to select items for different tests (Struwig & Stead, 2001: 35). In ensuring data reliability the researcher undertook a pilot study to ensure

consistency at all times. The second time the respondents answered the questions they answered the same way they did when the pilot was conducted. There were questions that were similar where the respondent has answered the same way which a form of was ensuring data reliability.

4.7 ETHICAL CONSIDERATIONS

The researcher complied with the requirements of the university by applying for ethical clearance before conducting the study. Once this was granted, thereafter the researcher commenced with the project. In conducting this research, a high level of honesty was maintained; this included adherence to the plagiarism policy of the university and the acknowledgement of all the sources used. The researcher is aware of and abided by the ethical considerations for conducting social research. The researcher obtained permission to conduct the study from the Head of the Transnet SOC Limited of South Africa. The researcher ensured that due consideration was given to anonymity and confidentiality of all the information given by respondents.

4.8 CONCLUSION

The chapter has discussed the research methodology to be used and the research design, and the instruments to be used.

CHAPTER FIVE

DATA PRESENTATION AND ANALYSIS OF FINDINGS

5.1 INTRODUCTION

This chapter will be a presentation of empirical research of the study and will provide an analysis.

This chapter will present the discussion of results. It also aims at participating and comparing the results obtained in the current study with scientific research findings existing in the literature. This study was undertaken to understand and to analyse the Human Resources policies on performance using monitoring and evaluation tool.

5.2 DATA PRESENTATION

Interviews conducted with various role players at Transnet National Port Authority, Durban.

Interviews were conducted with the Transnet Human Resource Manager, Remuneration Manager, Employee Relations Manager, Change Management Manager, HR Officer specialist, Training and Development Officer as well as Wellness Officer and to get their views on the role HR policies through performance using Monitoring and Evaluation. The information gleaned from the interviews were also utilised in the development of the questionnaires used in the empirical part of this study. The results from these interviews are discussed below.

5.3 INDIVIDUAL CONTRIBUTIONS

The interviews were conducted in May and June 2018 at Transnet National Port Authority offices in Durban. The format of the interview was semi-structured. The researcher explained the nature and purpose of the study to the interviewee. Below is a list of the questions that were asked and the responses received from the respondents.

Interview with Human Resources manager

Question 1: What challenges are currently experienced in terms of monitoring and evaluation of Human Resources policies at Transnet?

Answer: Policies of Transnet are designed by Transnet group, TNPA is one of the divisions at Transnet. They design those policies as in which there is a need for that policy when problems arise. After drafting those policies, they are cascaded to each component for any input and amendments as the final draft will be done by the Transnet group. There has never been a Monitoring and Evaluation tool in place or a component whereby those HR policies will be evaluated if they are in accordance with the organisation.

Question 2: How can these challenges be overcome at Transnet?

Answer: There must be M&E team that is specialised to analyse each HR policies if they are in effective within the organisation. There must be various consultative forums that will assist, discussions to take place. Furthermore, policies to be addressed properly amongst employees so that they will understand the importance of HR policies through Monitoring and Evaluation team.

Question 3: What, according to you, is the role of Monitoring and Evaluation of HR policies at Transnet?

Answer: Monitoring and Evaluation should act as Reinforcement of the value of HR policies in order to obtain good performance amongst employees. To ensure that in various departments there is consistency in application of HR policies so that each and every division is applying what is correct and to be able to achieve best results through performance.

Question 4: What can line managers expect of the monitoring and Evaluation of Human Resources policies at Transnet?

Answer: it is constituency to all divisions of TNPA, to ensure the uniformity and reliability amongst employees as well as to avoid conflict as it can lead to labour issues which are unnecessary.

Question 5: How do you see the ideal Monitoring and Evaluation system at Transnet (The goals and results of Human Resources policies)?

Answer: The model is that each employee and each Line manager knows exactly what is expected of him or her. Culture and practice are common across Transnet as a whole. Line managers must ensure uniformity amongst employees all the time. For example, the application of disciplinary measures or policies, line managers must make sure that they apply according to the rules that are prescribed not according to their personal feelings or view.

Question 6: To what extent does Monitoring and Evaluation act as a business partners to ensure that Human Resources policies are in line with Transnet goals.

Answer: Human Resources is a strategic partner or plan to Transnet on it own. The group of Transnet sits at the strategic level of Transnet HR policies and make decisions after all the stages and the HR component will cascades the information to be implemented at a lower level.

Question 7: How do you ensure that corporate goals of Transnet are escalated down into Human Resources policies using Monitoring and Evaluation process?

Answer: Strategic goals are designed at corporate level; Human Resources has to align to corporate strategic goals and ensure that those goals are understood by each division also conducting workshops so that the line managers and employees will know what is expected from them. All components to implement what is decided at a higher level that is the culture of Transnet.

From this interview it became clear that Human Resources at Transnet should

- Ensure that all division of Transnet consistency is applied;

- Ensure that line managers are not biased in the application of disciplinary measures;
- Ensure ongoing training for employees on HR policies;
- Ensure that employees' performance is also recognised;
- Ensure that information is cascaded on time for uniformity reasons; and
- As well as maintain employee's confidentiality.

Interview with Remuneration Manager

Question 1: What challenges are currently experienced in terms of monitoring and evaluation of Human Resources policies at Transnet?

Answer: Currently the TNPA hierarchy is wild, decisions are not made in Port level. The implementation of them is usually not clear especially to line managers who are often dealing with employees. The HR policies are clear defined however, the challenge starts when they have to be followed and practised.

Question 2: How can these challenges be overcome at Transnet?

Answer: The expansion of communication should take place as other line managers are not familiar with technology. The training should take place they will cater for those line managers to really understand the policies. Most of employees are working in water, surely there are communication control measures that can be formed for them to reach any changes they must be applied. They must also take responsibility on learning and understanding the HR policies as it is not wise to always rely on Human Resource Office.

Question 3: What, according to you, is the role of Monitoring and Evaluation of HR policies at Transnet?

Answer: The role of Monitoring and Evaluation is to oversee, enhance compliance within the organisation to achieve uniformity amongst employees. Furthermore, to

eradicate the wrong doings on all employees, ensure that procedures are being followed correctly.

Question 4: What can line managers expect of the monitoring and Evaluation of Human Resources policies at Transnet?

Answer: Managers must expect new changes to come as Monitoring and Evaluation brings change within the organisation, those changes build the organisation to be one of strongest when it comes to compliance of procedures

Question 5: How do you see the ideal Monitoring and Evaluation system at Transnet (The goals and results of Human Resources policies)?

Answer: I see changes, I see improvement on compliance of HR policies as the Monitoring and Evaluation will assist on examination if the policies are effective or not effective. By doing so, TNPA will also maintain providing good services to its citizens as performance will improve amongst employees.

Question 6: To what extent does Monitoring and Evaluation act as a business partners to ensure that Human Resources policies are in line with Transnet goals.

Answer: It oversees the importance of following and complying what is correct, as when employees are following HR policies they tend to be disciplined and there will be reduction of labour issues, conflicts towards employees.

Question 7: How do you ensure that corporate goals of Transnet are escalated down into Human Resources policies using Monitoring and Evaluation process?

Answer: When HR policies are being formulated they are aligned with what will assist Transnet National Port Authority to reach its objectives. Furthermore, when Monitoring and Evaluation takes place, it is where the audit is done whether they are effective or cascaded correctly into employees as audit findings dictate the true reflection.

From this interview it is clear that Human Resources at Transnet should conduct more induction specifically line managers, create effective lines of communication that will reach employees on time, motivate line managers to be more accountable in knowing or educative with HR policies as they are often dealing with employees. Further, they should be more involved when policies are being formulated and involve line managers as they have a better understanding towards employees.

Interview with Employee Relations Manager

Question 1: What challenges are currently experienced in terms of monitoring and evaluation of Human Resources policies at Transnet?

Answer: Currently line managers are the more involved on implementing the HR policies within divisions. They make sure that the information is cascaded amongst employees also ensuring that employees understand them very well. The challenges occur when they are interpreting what is not exactly written on those HR policies, which causes the conflicts on applying procedures correctly. There is also a challenge when line managers do not ensure uniformity amongst employees. For example, the application of leave policies is not applied equally amongst employees, i.e. study policy, an employee is entitled two days leave, the day before exam to study and another day to write exam. However, others are granted more than that besides adding with the annual leave days which is a fair application for everyone.

Question 2: How can these challenges be overcome at Transnet?

Answer: This can be overcome by giving regularly training especially to line managers as they are immediate communication between employees and Human Resources component. It starts within lower level before it goes up to HR team for corrective measures. The gaps must be closed to avoid labour issues. Inductions to be taken into consideration as a reminder tool for previous employees. Updates to be posted through notice boards, Transnet websites. Line managers must ensure that if they are not clear on how to apply any HR policy, they must seek for clear guidance not make decisions based on assumptions as it creates conflicts.

Question 3: What, according to you, is the role of Monitoring and Evaluation of HR policies at Transnet?

Answer: The main objective is to ensure consistency to all employees at all levels as well as on all components within the organisation. This also needs to be ensured amongst all managers at a higher level. All decisions to be based in the interest of the organisation not on any self-gains that may cause complaints, grievances and havoc.

Question 4: What can line managers expect of the monitoring and Evaluation of Human Resources policies at Transnet?

Answer: They should expect trainings, corrective measures coming from HR group in order to apply what is correct and expected at all times. Changes to be expected as well, adaptability of policy changes to be prioritised. Presentations that would enhance their knowledge on policies to be applied correctly. Furthermore, the line managers should see the importance of being updated on emails to familiarise themselves on these lines of communication to keep updated.

Question 5: How do you see the ideal Monitoring and Evaluation system at Transnet (The goals and results of Human Resources policies)?

Answer: Currently as there is no team that specialises with M&E there is no much being done except for line managers to ensure that they apply what is correct and asking for assistance from Human Resources component. Indorsing that M&E forum to be formatted to indeed assist in order to improve performance.

Question 6: To what extent does Monitoring and Evaluation act as a business partners to ensure that Human Resources policies are in line with Transnet goals.

Answer: It enables Line managers/ Supervisors to make decisive decisions in the interest of the organisation at all times. It also reduces line managers to be bias when making decisions. To ensure that in all regions of Transnet regardless being based in Durban, Richards Bay or Port Elizabeth, however consistency and uniformity is being maintained equally.

Question 7: How do you ensure that corporate goals of Transnet are escalated down into Human Resources policies using Monitoring and Evaluation process?

Answer: To ensure that when policies are invented, they are structured in a manner that they align with corporate goals of Transnet. Also ensuring uniformity at all times. Policies to talk to the specific goals at all times.

From this interview it is clear that in terms of HR policies at Transnet:

- Policies must be applied reliably;
- In terms of implementation, there is a need to ensure uniformity to all employees;
- There must be a reduction of favours amongst employees from line managers; and
- Management need to avoid decisions that may cause havoc by being bias amongst employees.

Interview with Change Manager

Question 1: What challenges are currently experienced in terms of monitoring and evaluation of Human Resources policies at Transnet?

Answer: Currently the amendments of HR policies are not communicated properly, there must be accessible to all levels of employees. Line managers must play a vital role in making sure that those HR policies are surveyed and communicated well with their subordinates.

Question 2: How can these challenges be overcome at Transnet?

Answer: If there are changes, everyone should be involved or be well informed about the changes. There must be road shows, pamphlets to be given to all staff, translation of languages is a vital issue as policies are communicated in one language. Therefore,

they must be written in manner that caters for all. For example, In KZN Durban, Zulu language is overriding meaning the policies should also be furnished in Zulu.

Question 3: What, according to you, is the role of Monitoring and Evaluation of HR policies at Transnet?

Answer: Monitoring and Evaluation of HR policies acts as a custodian in an organisation particularly to oversee if the policies that are in place are in accordance. Furthermore, it plays a crucial role on decision making more especially on labour relations issues whereby the application of HR policies must be consistent to maintain healthy working environment amongst employees. It should also answer the questions of employees on all levels in terms of any HR policies that concerns employees for example, leave entitlements and other employee's benefits.

Question 4: What can line managers expect of the monitoring and Evaluation of Human Resources policies at Transnet?

Answer: Line managers should expect changes, they must also create awareness amongst employees as they are immediate interaction to employees. Monitoring of HR polices will also bring change towards redundant procedures that are no longer effective within the organisation. Further it will bring more knowledge to them on what is predictable from them as well what is expected from the employees in order to achieve the goals of Transnet as a whole.

Question 5: How do you see the ideal Monitoring and Evaluation system at Transnet (The goals and results of Human Resources policies)?

Answer: It is to ensure employees understand what are the policies are about, the reputation of applying the policies and following them, and also the maintenance of good relationship within the organisation to keep harmony.

Question 6: To what extent does Monitoring and Evaluation act as a business partners to ensure that Human Resources policies are in line with Transnet goals.

Answer: When policies are Monitored and Evaluated it acts as a business partner within the organisation because it confirms effectiveness and efficiency of policies. It also advances the attractiveness to other stakeholders as M&E will improve performance amongst Transnet employees and achieve better results.

Question 7: How do you ensure that corporate goals of Transnet are escalated down into Human Resources policies using Monitoring and Evaluation process?

Answer: Goals must be well defined with employees, lines of communication to be improved for everyone to understand. Change in an organisation to be applied and explained to the employees as to why and the need of change.

From this interview it is clear that:

- Amendments of HR policies must be communicated;
- Monitoring and evaluation will enhance understanding and knowledge amongst employees to promote good health environment;
- Language barrier is one of the critical parts for policies to be well understood;
- Line managers to create awareness at all times;
- Change management is also important within the organisation; and
- Monitoring and evaluation will bring greater results within an organisation as it will improve performance

Interview with HR officer specialist

Question 1: What challenges are currently experienced in terms of monitoring and evaluation of Human Resources policies at Transnet?

Answer: Interpretation of HR policies as a whole within Transnet, Line managers are applying different interpretation to policies which leads employees to follow wrong procedures. Updating of policies is also an issue, therefore they cannot be monitored and evaluated if they are effective or efficient within the organisation. Firstly, understanding should be reached amongst line managers as they are directly communicating with their juniors.

Question 2: How can these challenges be overcome at Transnet?

Answer: The group or Transnet team that develops and invent policies is the one who is responsible that it creates policies that will suit the organisation. Looking at different issues considering diverse cultures that are within Transnet as an organisation. Furthermore, before the policy being updated on the Transnet systems, they should be educated properly amongst all employees to ensure mutual understanding more especially to line managers. Some employees are caught in wrong doings not intentionally, but because they are not educated properly on what is required of them, also the language issue.

Question 3: What, according to you, is the role of Monitoring and Evaluation of HR policies at Transnet?

Answer: The role of Monitoring and Evaluation is to guide the implementation of HR policies correctly as there is no company that can function without the rules, policies and regulations of Human Resources.

Question 4: What can line managers expect of the monitoring and Evaluation of Human Resources policies at Transnet?

Answer: They must expect to be corrected if they have been applying what is wrong in order to maintain consistency amongst all employees. They must be able to claim responsibility as they are the ones who are working closer with the employees as well as embracing to changes.

Question 5: How do you see the ideal Monitoring and Evaluation system at Transnet (The goals and results of Human Resources policies)?

Answer: Currently policies are developed at Transnet group and cascaded to departments. If there could be one or two personnel to sit and understand the policies and be able to pass the correct information to the lower level. Before developing these policies at least there must be other personnel to be consulted rather than developing and asked for comments at the end.

Question 6: To what extent does Monitoring and Evaluation act as a business partners to ensure that Human Resources policies are in line with Transnet goals.

Answer: All HR personnel should be able to explain in details or broadly any HR policies that are within Transnet to ensure uniformity. Having Monitoring and Evaluation in place will better results of wrong interpretation of HR policies.

Question 7: How do you ensure that corporate goals of Transnet are escalated down into Human Resources policies using Monitoring and Evaluation process?

Answer: Through monitoring and Evaluation, performance of employees will improve as it will assist on overseeing if the HR policies are bringing any productive results amongst the organisation or not. Those HR policies must be in line with Transnet corporate goals in order to archive results and objectives of the organisation.

From this interview it is clear that:

- Interpretation of HR policies must be improved;
- Consultation must be done with other stakeholders within the organisation before policies are developed;
- All HR personnel including line managers to be clear with all HR policies so that correct information will be cascaded down; and
- Line managers to take responsibility and be ready to be corrected of changes

Interview with Training and Development Officer

Question 1: What challenges are currently experienced in terms of monitoring and evaluation of Human Resources policies at Transnet?

Answer: Currently there is no specific designated unit that sets to monitor and evaluate policies, looking at how policies are applied. There are specialised personnel that specialises on designing also attend to queries and interpretation. However, there is no specific custodian to oversee at the beginning, for example if there could be a

person or a consultant to sit and evaluate on quarterly basis or monthly basis, e.g. out of 50 issues only may be 30 employees applied the policies correctly therefore training should take place on such policy. Furthermore, to also have corrective measure in place when complaints arouse, as it becomes a problem when issues take long to be resolved.

Question 2: How can these challenges be overcome at Transnet?

Answer: They can be overcome by designing and Monitoring and Evaluation section or a committee to sit and perform these evaluations. Ensuring that all policies cater for different components by creating a clause that will assist or that will suit all maritime employees. Currently there are lots of division under TNPA, such as Engineering, TPT, Cargo handling, TNP, Helicopters, therefore it is difficult to apply one policy that will cater for all as each division is differ and it is diverse workforce.

Question 3: What, according to you, is the role of Monitoring and Evaluation of HR policies at Transnet?

Answer: it is to ensure consistency on how policies should be applied, addressing any deviations, looking at policy progress as well as how is the policy assisting the organisation. It also assists the organisation on business revenue side as it is pointless to have HR policies that does not uplift the organisation and to better performance to the employees.

Question 4: What can line managers expect of the monitoring and Evaluation of Human Resources policies at Transnet?

Answer: Line managers should expect that Monitoring and Evaluation will be a guideline for them if they are experiencing any challenges, as M&E will be a tool to quickly consult and get results in a fast way. Therefore, whatever decisions they take they will know the expectations towards those decisions.

Furthermore, if they are any wrong interpretations of policies Monitoring and Evaluation will be a mediator with the correct measures to achieve better compliance as well as for line managers to make effective correct decisions.

Question 5: How do you see the ideal Monitoring and Evaluation system at Transnet (The goals and results of Human Resources policies)?

Answer: The perfect Monitoring and Evaluation on HR policies will be witnessing the growth within the organisation. Additionally, looking at strategies that have capacity building that speaks to training employees in order to uplift their performance as well. Monitoring and Evaluation will also assist on financial perspective of an organisation as well as sustaining good results by providing the excellent services for South Africans.

Question 6: To what extent does Monitoring and Evaluation act as a business partners to ensure that Human Resources policies are in line with Transnet goals.

Answer: As it acts as a guideline making sure that polices are applied correctly by each line managers as well as Transnet employees as a whole. It acts a business partner as it aligns all decision to be productive and also mechanisms in place.

Question 7: How do you ensure that corporate goals of Transnet are escalated down into Human Resources policies using Monitoring and Evaluation process?

Answer: Goals of Transnet are incorporated with HR policies as the aim is to achieve the objectives of the organisation. The formation of HR polices are linked with Transnet goals. For example, a policy on performance says in a day an employee should reach that particular target. By doing that is it will be determined by his or her KPA's. Bursary management will also be dictated by performance of an employee through the HR policies.

From this interview it is clear that:

- There must be a division or a committee that specialised with Monitoring and Evaluation in an organisation.

- Monitoring and Evaluations must be done on monthly basis or quarterly basis to monitor the progress and compliance within the organisation.
- To have mechanisms in place that would resolve issues timeously
- To have different policies that are particular designed for specific divisions, TNPA has diverse workforce.

Interview with the Wellness Officer

Question 1: What challenges are currently experienced in terms of monitoring and evaluation of Human Resources policies at Transnet?

Answer: The challenge currently is that Transnet does not deal with “white colour” employees as there are also “blue colour” employees who usually are on the operations ground. They have a problem with language barrier as policies are written in English language, even if the policy is interpreted however there are waffles left that are not attended.

Question 2: How can these challenges be overcome at Transnet?

Answer: in South Africa we have eleven (11) official languages, it will be necessary to utilise all those languages in a suitable place, for example in Durban most language used is IsiZulu to accommodate those employees who are not fluent with English in order for the policies to be understood very well. That will also promote decent interpretation of policies.

Question 3: What, according to you, is the role of Monitoring and Evaluation of HR policies at Transnet?

Answer: The role of Monitoring and Evaluation is to enhance Employee Relations services within the organisation. It also supports to reduce disciplinary measures and conflicts amongst employees. If these policies are applied correctly there will be reduction of labour issues and complaints.

Question 4: What can line managers expect of the monitoring and Evaluation of Human Resources policies at Transnet?

Answer: They should expect compliance amongst them as well as employees as there will be so much changes through monitoring and evaluation of HR policies. These evaluations are meant to do corrective compliance to all employees including managers, not to be bias of any harm.

Question 5: How do you see the ideal Monitoring and Evaluation system at Transnet (The goals and results of Human Resources policies)?

Answer: it is effective and it will bring more changes within the organization as it will strengthen to follow corrective disciplinary measures. Performance will also improve to employees, they will also have a good disciplined mindset. For example, there is new policy of substance abuse, where a breathalyser is introduced for every employee to test when arriving for work. It has improved work performance as workers come at work sober, ready to perform.

Question 6: To what extent does Monitoring and Evaluation act as a business partners to ensure that Human Resources policies are in line with Transnet goals.

Answer: When employees are complying with HR policies, automatically it helps as when policies are being monitored and evaluated to check if they are effective. The results are being used to check the effectiveness of those policies, meaning the Monitoring and Evaluation is a business partner in ensuring that policies are being followed consistently.

Question 7: How do you ensure that corporate goals of Transnet are escalated down into Human Resources policies using Monitoring and Evaluation process?

Answer: Whenever the HR policies are formed, they are formed in way that relate to Transnet corporate goals. They are linked to be suitable for Transnet objectives and goals, in that way the mission of TNPA to be the best efficient Port Authority in South Africa will be continued.

From this interview it is clear that:

- Language barrier is still a problem and it has to be attended;
- Compliance of HR policies is still a challenge amongst employees;
- When policies are formed, they must relate to Transnet goals and objectives to achieve the mission of Transnet National Port Authority; and
- Employees are still reluctant to change, which is not a good sign.

5.4 CONCLUSION

A very basic question asked when a monitoring system must be developed or when an evaluation is planned is: What to monitor or evaluate, that is, what should the focus of the monitoring or the evaluation be? The main clients of the monitoring system or the evaluation could be asked what they want to be monitored or evaluated, but it is invariably left to monitoring and evaluation professionals to answer this basic question. The subject of an evaluation may be a system, policy, programme, service, project, institution, process or practice. All these entities are intended to do something or to result into something. Thus, their performance can be evaluated. However, performance can be viewed from different perspectives and many concepts are used to describe performance. This chapter discussed the findings of the study and provided an interpretation of the findings. The next chapter provides conclusions and recommendations of the study.

CHAPTER SIX CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

This chapter will discuss the conclusions and recommendations of the study. The previous chapter was the presentation and discussion of results. The main purpose of the study was to understand the role of evaluation of HR policies, monitoring of HR

policies for improved results and performance, planning for improvements of HR policies as well as findings on HR policies through monitoring and evaluation tool. This chapter presents the conclusion and recommendation for the study. The assumption is based on the findings from the organisation and the reference are informed by the main findings.

6.2 OBJECTIVES OF THE STUDY

The objectives of the study were to:

- Analyse the role of evaluations of Human Resources policies in the Durban Transnet National Port Authority;
- Determine monitoring of Human Resources policies for improved results and performance in the Durban Transnet National Port Authority;
- Evaluate the planning for improvements of Human Resources policies in the Durban Transnet National Port Authority; and
- Assess the reporting of findings on Human Resources policies through monitoring and evaluation tool in the Durban Transnet National Port Authority.

6.3 RESEARCH QUESTIONS

The study attempted to answer the following questions:

- What is the role of evaluations in Human Resources policies in the Durban Transnet National Port Authority?
- How is monitoring of Human Resources policies for improved results and performance in the Durban Transnet National Port Authority?
- How is planning for improvements of Human Resources policies in the Durban Transnet National Port Authority?
- How is the reporting of findings on Human Resources policies through monitoring and evaluation tool in the Durban Transnet National Port Authority?

6.4 CONCLUSIONS ON MONITORING AND EVALUATION OF HUMAN RESOURCE MANAGEMENT AND POLICIES

The study found that the role of evaluation HR policies plays a vital role in an organisation.

6.4.1 MONITORING OF HR POLICIES FOR IMPROVED RESULTS AND PERFORMANCE

The emphasis in monitoring is on checking progress towards the achievement of an objective. A good monitoring system will thus give warning, early on in the implementation of a course of action that the end goal will be reached as planned. Monitoring also involves a process of comparison because actual performance is compared with what was planned or expected. Therefore a good monitoring system and framework will provide Transnet a perfect indication whether the Human Resources policies are current and are addressing the needs of the organisation.

6.4.2 BUILDING MONITORING AND EVALUATION PROGRAMME IN ORGANISATIONS FOR IMPROVEMENTS OF HR POLICIES

The main aim of this programme is to equip participants with skills to undertake monitoring and evaluation functions. The imparted skills will assist participants with the knowledge to design relevant monitoring and evaluation frameworks and engage in practical applications of monitoring and evaluation systems. This programme should be aimed at strengthening government, private sector's and civil society organisations' capacity in monitoring, evaluation and action research in order to develop a pool of researchers and practitioners that have knowledge and skills in participatory monitoring, evaluation and impact assessment of programmes and projects. Strengthening monitoring and evaluation capacities both within and outside of organisations like Transnet will notably enhance prospects for the success of intervention programmes (and projects) and improve service delivery, impact and efficiency.

6.4.3 FINDINGS ON HUMAN RESOURCE MANAGEMENT THROUGH MONITORING AND EVALUATION

Human Resource Management (HRM) perspective

Similar to all the other perspectives discussed in this study, the Human Resource Management perspective also requires the application of unique approaches to monitoring and evaluation.

An evaluation from a HRM perspective requires evaluation of both whether –

- HRM objectives have been achieved; and
- good human resource management practice is applied in the Public Service.

HRM objectives include, as examples:

- The recruitment of enough skilled staff to meet service delivery requirements.
- Achieving a status of being a good employer.
- A representative public sector.
- The creation of *“a public sector that meets the highest professional standards, that is proud of the fact that it exists to serve the people, that is patriotic and selfless, that fully understands the historic significance of the esteemed position it occupies as one of the principal architects of a non-racial, non-sexist, prosperous and egalitarian South Africa”*.

The need to evaluate whether good HRM practice is applied in the public sector is embodied in the following constitutional principles:

“Good human resource management and career development practices, to maximise human potential, must be cultivated. Employment and personnel management practices (must be) based on ability, objectivity, fairness”.

Type of monitoring or evaluation. Human Resource Management best practice evaluations. Monitoring of Human Resource Management performance indicators, like the skills gap, representivity, staff turnover and vacancy rates.

6.4.4 THE BALANCED SCORECARD OF KAPLAN AND NORTAN AND EVALUATION IN AN ORGANISATION

Kaplan and Nortan have proposed the following four perspectives for evaluating the performance of an organisation (though their focus was on the private sector):

- Financial Perspective: *To succeed financially, how should we appear to our shareholders?*
- Customer Perspective: *To achieve our vision, how should we appear to our customers?*
- Learning and Growth Perspective: *To achieve our vision, how will we sustain our ability to change and improve, and adapt to changes in the environment and new challenges?*

- Internal Business Process Perspective: *To satisfy our shareholders and customers, what business processes must we excel at? What are the unique competencies the organisation should have?*

A business like Transnet may not get early warning about threats to its sustainability if it is only evaluated from a (especially short term) financial perspective. Realising this, Kaplan and Norton developed the alternative perspectives from which the performance of a business may be evaluated, to give a more balanced view of such performance.

6.4.5 MONITORING OF HR POLICIES FOR IMPROVED RESULTS AND PERFORMANCE

The purpose of monitoring and evaluation is to oversee if the HR policies effective in an organisation in order to improve the performance of individuals, teams and the organisation. HR policies play a vital role between organisational goals and strategy, and individual goals. Monitoring and evaluating of Human Resource policies aims at helping employees understand what the employer expects from them. When employees understand what is expected, they tend to focus just on what they can do and not bother about what they do not know. In situations where there are employees with poor performance, the human resources department would normally be approached to assist with refining and inducting the staff on HR policies and related problems. Line managers would expect them to advice on the critical interventions that would assist to close the gaps by applying what is correct on HR polities.

The human resources department has a significant role to play in the monitoring and evaluation of HR policies within the organisation. Disregarding the human resources' role in the process would be a big blunder. It is therefore important for line managers to visit the human resources department more often, and for the human resources department to visit line managers, as they are the people experts. Management it is of extreme importance to know that line management really understand this role to ensure that they seek the guidance from the human resources office. TNPA is striving towards delivering freight reliability. It is rather important that the organisation gets a clear understanding of what role the human resources department is supposed to play in the monitoring and evaluation of HR Policies.

Human resources' role is to ensure that they design and develop a clear and efficient evaluation of HR policies process to ensure effective implementation by all stakeholders. The whole monitoring and evaluation process starts with understanding what exactly the purpose of HR policies, then it becomes easy to clarify the roles played by each of the stakeholders.

TNPA's ability to instrument the HR policies system correctly depends on the explaining of organisational strategic objectives that line management would cascade down to the rest of the organisation and the fact that the human resources department sets the tone and pace for the realisation of the best application of the process.

6.5 RECOMMENDATIONS

It is suggested that there must be a Monitoring and Evaluation team or specialists in place for line managers and HR to meet regularly to discuss their concerns about the implementation of the HR policies as well to oversee the effectiveness of Monitoring and Evaluation in an organisation. It is suggested that inductions need to take place where these concerns can be addressed under the supervision of an external facilitator. The facilitator could conduct pre-meeting discussions with HR and line managers in order to compile a workable agenda for the meeting. This induction can also be used as an opportunity to share the results from this study with both parties. Line managers should know which HR consultant to contact should they have further difficulties in applying HR policies on their components.

Assessments results should be addressed immediately for the benefit of both the line manager and the employee.

A responsible HR person should be designated to ensure that any inconsistencies of HR policies issues are resolved timeously and effectively.

Further recommendations for HR personnel include the following:

- Explain the principles and good practices in monitoring and evaluation systems at different levels in organisations;

- Explain results chain thinking, the centrality of indicators, and the need for basic tools and procedures in monitoring and evaluation;
- Explain logframes, integration of monitoring and evaluation, and international monitoring and evaluation frameworks;
- Design, implement and manage appropriate integrated monitoring and evaluation systems within available resource constraints to achieve desired strategic outcomes in specific fields in organisations;
- Distinguish and explain the types of evaluation methods and their applications; and
- Explain the planning and management of monitoring and evaluation processes and describe quality controls and guidelines for reviewing evaluation reports.

6.6 FUTURE RESEARCH

This study can provide a source for further research in that the role of the human resources department in monitoring and evaluation has not been investigated much. A similar study could be conducted at other National Ports Authority in South Africa. Such a comparative study will indicate the degree to which the results from this study can be generalised to other National Ports. This study focused mainly on clarifying the role of Monitoring and Evaluation on Human Resources policies process by exploring the perceptions of both Human Resources practitioners and line managers' perceptions at Transnet National Port Authority.

A further study can be conducted to determine the extent to which the various parties are perceived to have fulfilled their roles effectively.

6.7 CONCLUSION

This study therefore started off with explaining the concepts of monitoring and evaluation. The importance of monitoring and evaluation as a tool for improving the results achieved by organisations through their programmes was emphasised. Monitoring and evaluation pre-supposes an openness to continuously evaluate the success of what organisations are doing, diagnose the causes of problems and devise appropriate and creative solutions. Monitoring and evaluation can, however, only be influential if it provides quality analytical information and if decision-makers are willing

to consider and act on that information. Attention was also given to some contextual issues, namely that monitoring and evaluation in South Africa is practiced in the context of the ideal to create productive organisations, the relationship of monitoring and evaluation with human resource management, policy making and planning,

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COLLEGE OF LAW AND MANAGEMENT STUDIES

School of Management, IT and Governance

M Com Research Project

Researcher: Thulile Khanyile (076 393 0653)

Research Office: Ms M Snyman (031 260 8350)

INTERVIEW SCHEDULE

- 1. What challenges are currently experienced in terms of monitoring and evaluation of Human Resources policies at Transnet?**
- 2. How can these challenge be overcome at Transnet?**
- 3. What, according to you, is the role of monitoring and evaluation of Human Resources policies at Transnet?**
- 4. What can line managers expect of the monitoring and evaluation of Human Resources policies at Transnet?**
- 5. How do you see the ideal monitoring and evaluation system at Transnet (the goals and results of Human Resources policies)?**
- 6. To what extent does monitoring and evaluation act as business partners to ensure that Human Resources policies are in line with Transnet goals?**
- 7. How do you ensure that corporate goals of Transnet are escalated down into Human Resource policies using monitoring and evaluation process?**

Thank you for your participation



15 February 2017
Ms Thulile Khanyile
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thulie49@gmail.com

Dear Ms Thulile Khanyile

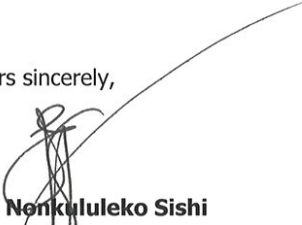
Re: Request for permission to conduct research at Transnet SOC Ltd

Your letter of request for permission to conduct research at Transnet on Assessing Human Resources Policies on Performance using Monitoring and Evaluation toll: A case study of Durban Transnet National Port Authority (TNPA) is acknowledged.

We duly note the conditions of the study for strict academic purposes, the results of the study will be submitted to Transnet, and the research will be confidential and that anonymity for both respondents and the organisations is guaranteed. Should you or the University of KwaZulu Natal want to publish the study in any other manner than the final assignment, Transnet will be approached for permission to do so.

Based on the above conditions, your request to conduct the research study in Transnet is granted. We are looking forward to the outcomes and recommendations of your study and the positive contributions towards the marketing strategy of Transnet.

Yours sincerely,


Ms. Nonkululeko Sishi
Chief Human resources Officer
Date: 2017/02/20

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19 April 2018

Ms Thulile Khanyile (214569621)
School of Management, IT & Governance
Westville Campus

Dear Ms Khanyile,

Protocol reference number: HSS/0274/018M

Project title: Assessing Human Resource Policies on Performance using Monitoring and Evaluation Tool in Durban Transnet National Port Authority

Approval Notification – Expedited Application

In response to your application received on 29 March 2018, the Humanities & Social Sciences Research Ethics Committee has considered the abovementioned application and **FULL APPROVAL** was granted for the protocol.

Any alteration/s to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through the amendment/modification prior to its implementation. In case you have further queries, please quote the above reference number.

PLEASE NOTE: Research data should be securely stored in the discipline/department for a period of 5 years.

The ethical clearance certificate is only valid for a period of 3 years from the date of issue. Thereafter Recertification must be applied for on an annual basis.

I take this opportunity of wishing you everything of the best with your study.

Yours faithfully

.....
Professor Shenuka Singh (Chair)

/ms

Cc Supervisor: Professor TI Nzimakwe
Cc Academic Leader Research: Professor Isabel Martins
Cc School Administrator: Ms Angela Pearce

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