Performance Information Utilisation in The City of Cape Town Metro Municipality

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COMPULSORY DECLARATION

This work has not been previously submitted in whole, or in part, for the award of any degree. It is my own work. Each significant contribution to, and quotation in, this dissertation from the work, or works, of other people has been attributed, and has been cited and referenced.

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Yahweh, for your provision and grace. It truly has been sufficient. More than I asked for or could have imagined. I thank you.

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List of abbreviations

BSC	Balanced Scorecard
CoCT	City of Cape Town Municipality
DA	Democratic Alliance
DPME	Department of Monitoring and Evaluation
EDs	Executive Directors
FMPPI	Framework for Managing Programme Performance Information
FY	Financial Year
GPRA	Government Performance and Results Act of 1993
GWMEF	Government Wide Monitoring and Evaluation Framework
IDP	Integrated Development Plan
MAYCO	Mayoral Committee
MFMA	Municipal Finance Management Act,(Act 56 of 2003)
MPPMR	Municipal Planning and Performance Management Regulations, 2001
MSA	Local Government: Municipal Systems Act (Act 32 of 2000)
NEPF	National Evaluation Policy Framework
NPM	New Public Management
PI	Performance Information
PFMA	Public Finance Management Act (Act 1 of 1999)
PMS	Performance Management System
RBM	Results Based Management
SDBIP	Service Delivery and Budget Implementation Plan
SPSS	Statistical Package for the Social Sciences

ABSTRACT

This study looked into performance information (PI) utilisation behaviour of senior officials in the City of Cape Town Metro Municipality (CoCT). Inspired by comments around performance information having minimal effects despite its prodigious production, the study sought to determine how performance information is used and how a local government context affects utilisation behaviour. This was assessed based on conceptual approaches identified in the literature i.e. rational, and symbolic approaches to performance information, the latter subsuming both political and cultural approaches to information use. Additionally, contingency theory was referred to in order to better accommodate the notion of context and to combine the various approaches to use into one framework. A survey was administered and semi–structured interviews held with key informants to better explore this phenomenon. Descriptive and correlation analysis was carried out, with findings showing that directors use PI in both rational and symbolic ways. Both types of performance information use were affected by a range of factors, the more predominant ones being resource, internal and external environmental variables. This corroborated various other findings that state that rational approaches to information use, indeed performance management, are insufficient in providing a holistic picture of what shapes bureaucratic behaviour.

CHAPTER 1: INTRODUCTION

Overview

Performance management has become a salient feature of organisational life across public sector institutions across the globe. Its main claims are that it improves performance by outlining the means-ends relationship needed to attain organisational goals and embeds accountability into public organisations (Otley, 1999; Ohemeng, 2010). Secondly, it amplifies the potential of public institutions to provide quality service provision, which it has done to a degree (Talbot, 2005). Over the last two decades there has been a greater push for the public sector to become more performance-oriented with large investments made to make the sector more „data–driven" (Klingner, 2009:3). This has run parallel to greater demands for service delivery, increasingly finite resources and an increasingly complex and networked public sector environment given the omnipresence of "wicked" (intractable) problems in an increasingly globalised world. Despite this, there appears to be a growing gap between stakeholder expectations and actual service delivery. The public sector is increasingly challenged to prove itself effective in the face of greater uncertainty and volatility (Mwita, 2000). Demonstrating the link between government expenditure and outcomes, though difficult, has become an increasingly important expectation, performance management and measurement became the salient tool used to explicate this link.

Performance information (henceforth, PI), though not often lauded for this function, is a key component of the vehicle that drives organisations towards improved performance (Overman & Loraine, 1994; Noordegraaf & Abma, 2003; Jackson, 2011). Some researchers have also raised concerns over the glaring gap in knowledge concerning how PI is applied and how the production of information is tied to organisational performance (Rich & Oh, 2000; Behn 2003). Rich and Oh (2000), highlight a prevailing supposition that states that information once produced will be used and once used, will lead to performance improvements. Moynihan, Pandey and Wright ask (2011: 144) "If managers do not use performance data, is there such a thing as performance management?"

Of the various voices that have decried the impact of performance management, few have asked whether PI utilisation is part of the problem. Nevertheless, research indicates that the production of PI has not necessarily yielded the expected gains (Oh, 1997; De Lancer

Julnes & Holzer, 2001; Behn, 2003; Moynihan, 2005; Ingraham, 2005; Taylor 2009; Van De Walle & Van Dooren, 2010; Jackson, 2011; National Treasury, 2011; Hammerschmid, Van De Walle, Stimac, 2013). This leads to the following questions: is performance being used appropriately or effectively, if at all? This thesis therefore seeks to explore how information produced by performance management systems is used by decision-makers in a local government context and attempts to assess the conditions surrounding the use of this information. In so doing it attempts to address the following research questions:

- How is performance information (PI) used in the City of Cape Town?
- What is the relationship between different types of PI use?
- What is the role of context in determining how PI is used, i.e. what factors influence PI use and how do they relate to different types of PI use?

In the next sections, some background is provided that situates performance information in the wider field of performance management as well as in the South African public sector. Following this, the research problem and study objectives will be outlined, followed by the rationale behind the selection of the study site i.e. the City of Cape Town Metro Municipality.

1.1. Background

1.1.1. Performance Management

PI cannot be adequately defined without an overview of the greater „paradigm" under which it sits: performance management. Performance encapsulates a worker"s actions, behaviour and results and how these come together or are managed to meet organisational objectives (Mwita, 2000). Hatry (2002:352) defines performance management as "the use of performance information to affect programs, policies, or any other organisation actions aimed at maximizing the benefits of public services". The main aims of this management approach are therefore to ensure heightened efficiency, effectiveness, responsiveness and transparency in the pursuit of organisational goals and selection of alternatives (Noordegraaf & Abma, 2003).

Historically, performance management borrows from a number of antecedents: from Taylor"s „Scientific Management", which emphasised methodical and efficient production, to

„Management by measurement" which introduced „rational measurement cycles" into the public management lexicon and practice, hitting back at the traditional approach to public administration that elevated procedure over outcomes (Norman, 2002; Noordegraaf & Abma, 2003; Hood 2007; United Nations Development Group (UNDG), 2010). Hood (2007) suggests that the „popularity" of performance management was buoyed by the rise of the „audit society" thesis, also referred to as the „audit explosion", which among other things increased focus on accountability and a growing need to showcase regulatory compliance (Power, 2000). Additionally, performance management adopted the cyclical nature of Results Based Management (RBM) which described activities as evolving through at least four discrete stages: planning, implementation, evaluation, and feedback. Governments drafted legislation to this effect, mandating the establishment of accountability tools and infrastructure for the measuring and reporting of public sector organisational performance and the tracking and evaluating of progress (Van Thiel & Louw, 2002; Noordegraaf & Abma, 2003; Taylor, 2009; CoCT, 2013b). Performance management also refers to New Public Management (NPM), a management philosophy that embraces market principles. Key principles embraced in this regard are the outlining of targets, goals and measures for the purposes of accountability and tracking progress; the adoption of a results orientation and output focus; and an emphasis on contracts which ideally outline responsibilities vis-a-vis performance targets (Hood, 1991; Van Thiel & Louw, 2002).

That being said, the fame and legitimacy of performance management began to wane in some quarters as technical failures and challenges became more apparent. The practice became increasingly associated with epithets such as wasteful, „noisy", an imposition, silo embedding and merely an instrument of control in highly centralised public contexts (Hood, 2007; Jackson, 2011). It was found that the costs of implementing measurement regimes were often high and immediate while outcomes often only emerged in the long-term. Additionally, holding public officials accountable for „out-year" outcomes became increasingly tasking (Hatry, 2002; Bouckaert & Peters, 2002; Behn, 2003; Boyne et al., 2005; Moynihan, 2005). Other criticisms suggested that the focus on measuring inputs and expenditure provided no clear indication of the institutions performance in reaching organisational outcomes and service delivery objectives (Jackson, 2011). With these aberrations came the realisation that performance management could potentially become the „Achilles heel" of the public sector reform processes (Bouckaert & Peters, 2002). It is suggested that one key aspect that may

have contributed to these challenges and failures may be the utilisation (or lack thereof) of PI. Chapter two expounds on this further.

1.1.2. Legislative and Policy Framework

While legislation does not explicitly refer to the utilisation of PI, the institutionalization of performance management and a performance orientation in South Africa is driven by the following pieces of legislation: the Constitution of the Republic of South Africa (Chapter 7 section 152); Public Finance Management Act (PFMA) (Act 1 of 1999); Municipal Finance Management Act (MFMA) (Act 56 of 2003); Local Government: Municipal Systems Act (MSA), (Act 32 of 2000); Municipal Structures Act, 1998 (Act 117 of 1998) (Chapter 3, Section 19); and the Public Service Laws Amendment Act (1997), which refers more to personal performance management. Other national policies developed to deal specifically with performance measurement include the Municipal Planning and Performance Management Regulations (MPPMR), 2001 and the Government Wide Monitoring and Evaluation Framework (GWMEF). This policy aims to "facilitate a clear sequence of events based on critical reflection and managerial action in response to [an] analysis of the relationships between the deployment of inputs, the generation of service delivery outputs, [and] their associated outcomes and impacts" (The Presidency, 2007:5). It is noted here that the policy refers to three main categories of information i.e. "evaluations; social, economic and demographic statistics; and programme performance information". This thesis refers to all these forms of PI.

Emerging out of the GWMEF is the Framework for Managing Programme Performance Information (FMPPI) (The Presidency, 2007), which was developed with the intention of managing programme performance information. It aims are to "clarify definitions and standards for performance information; improve integrated structures, systems and processes required to manage performance information; define roles and responsibilities for managing performance information; and to promote accountability and transparency by providing parliament, provincial legislatures, municipal councils and the public with timely, accessible and accurate performance information" (The Presidency , 2007:8).

1.2. Performance Information (PI)

PI is described as "systematic information describing the outputs and outcomes of public programmes and organisations... generated by systems and processes intended to produce such information" (Pollitt, 2006:39). The FMPPI takes a more generic approach in describing PI as a "generic term for non-financial information about government services and activities" (The National Treasury, 2007b:3). In their view the term can be used interchangeably with others such as performance indicator or performance measure. While there appears to be some conflation between these terms, Jackson (2011:23) provides clarity by describing measures as being specific, numeric data while indicators are broader "more imprecise" measures that have a signalling function. The latter includes signs, signals, measures or estimates that give an indication of the level of success or achievement reached by a particular aspect of a service (Jackson, 2011). They are used to measure performance against set targets and standards and to assess the economy, efficiency, effectiveness and equitable undertaking of activities. Different types of indicators and measures exist, all of which should, in character, display relevance, validity, reliability, be well defined, verifiable and cost effective (National Treasury, 2007b).

Performance data (measures and indicators) therefore, becomes PI upon its reliable interpretation and/or processing. In this study, PI will refer to the facts, data, indicators and measures derived from „performance monitoring systems" and performance evaluations and reviews that have been organised to tell a narrative of performance. This will provide an indication of the nature of organisational performance (Bouthillier & Shearer, 2002; Behn, 2003; Pollitt, 2006; McDavid & Huse, 2012). PI comes in various forms including input, output, outcome, impact, efficiency, effectiveness measures and can also be routine or non-routine (Nicholson-Crotty et al, 2006; National Treasury, 2007b:6; Jackson, 2011; Kroll, 2013). While these different types will not be defined or explored here, all are components of management control systems, providing senior executives with the information needed for shaping behaviour and organisational functioning (Overman & Loraine, 1994; Otley, 1999). PI needs to be managed appropriately which brings us to the next section.

1.2.1. Managing Performance Information

The FMPPI speaks of the need to establish integrated PI structures and systems which should ideally document the "use of information in managing results" (National Treasury, 2007b:13). Therefore, driven by the aforementioned frameworks and legislation came the development and establishment of PI systems which were to be used to plan and manage performance and PI appropriately by facilitating the collection, validation, storage, monitoring, reporting and evaluation of PI. Frameworks developed in this regard were to provide a "structured methodology for the selection, description and management of quality and credible performance indicators for managing the organisation"s business strategy linked to government wide strategy and the devolving of PI structures in the department" (National Treasury, 2011:1). Part of this methodology included the setting up of performance cycles which included the following stages: the setting of strategic and operational plans; the setting of performance targets; budget allocations; development of indicators; programme implementation and monitoring; performance reporting and evaluation, review; and adjustment which feed back into the planning stage (National Treasury, 2007a; National Treasury, 2007b; National Treasury, 2011). PI would be utilised at different points in this cycle. Having provided some background to the concept of Performance information, the next section presents the central issue that the study hopes to address.

1.3. Research Problem and Study Objectives

The Administrative reforms were thrust onto developing country contexts in the 1990s with the advent of structural adjustment programmes. NPM was a key component of the reform package with performance measurement, a key feature of NPM, introduced as an institutional control that would guide bureaucratic behaviour (Franklin, 2000; Antwi et al, 2008; Polidano, 2001; De Waal, 2007). Adoption proceeded uneventfully until a number of developing countries, such as Tanzania and South Africa, began to awaken to the fact that increased expenditure was not resulting in service improvements (De Waal, 2007; National Treasury, 2007a; Ohemeng, 2009; Presidency, 2011; Schaay et al, 2011). Other observations made showed that numerous developing countries were either yet to develop robust systems of performance measurement or that existing systems were not leading to improvements in decision-making (Mendonca & Kanungo, 1996; Schick, 1998; De Lancer Julnes & Holzer,

2001; Mimba, Van Helden & Tillema, 2007). In South Africa, the National Evaluation Policy Framework (NEPF) identified as a key issue the fact that evaluation had failed to inform planning, policy making and budgeting, and that perhaps it is for this reason that the impact of government interventions remains wanting (Presidency, 2011). South Africa however appears poised to have an increase in the volume of PI given: the drafting of the FMPPI and the Government Wide Monitoring & Evaluation Framework (GWMEF) and accompanying infrastructure; the establishment of the Department of Monitoring and Evaluation (DPME) in the Presidency; and lastly, the expanding regulatory environment. Yet it is not clear whether these challenges have been addressed.

In this regard, Van De Walle and Van Dooren (2010) underscore the notion that more and better information does not necessarily lead to service improvements and that the existence of PI does not ensure its utilisation. Research into PI utilisation is scarce, with most studies focusing on developed country contexts. In developing country contexts there is little evidence that PI utilisation is a concern, despite the wholesale adoption of costly Performance Management Systems (PMSs) (Oh, 1997; Jackson, 2011). There are therefore various assumptions and conjecture that surround the implementation of PMSs and use of PI which could likely increase implementation failure if not addressed. Similar to Behn"s (2003) study, this study suggests that the behaviour of public sector agents in regard to PI use is a key knowledge deficit within this field and is an aspect that deserves greater attention.

This study looks at the use of PI in the City of Cape Town Metropolitan Municipality (henceforth, CoCT). The focus will be on the use of PI by Directors in the Municipality. According to the FMPPI, line managers are accountable for establishing and maintaining PI processes and procedures within their respective areas of control: "line managers remain responsible for establishing and running performance information systems within their sections, and for using performance information to make decisions" (National Treasury, 2007b:14). This however, presents officials as passive data capturers and gives little mention to the utility of PI. Where the FMPPI and other policy fails to incentivise appropriate use of information for organisational ends, one may argue that incentives to use information are provided elsewhere. The study thus attempts to address these issues by using both quantitative and qualitative approaches to assess "patterns of self – reported use" over time (McDavid & Huse, 2012). The thesis hopes to provide some insight into how performance management prescriptions are unfurling in the (South) African context by examining PI use and assessing it utility at this level.

1.4. The City of Cape Town (CoCT) Metropolitan Municipality

CoCT is one of eight metropolitan municipalities in South Africa, formed by the forging together of seven disparate smaller municipalities in the year 2000. The Municipality is often described in the media as well-performing in various ways (Empowerdex, 2009; Auditor General, 2014; City of Cape Town (CoCT), 2014; SAPA, 2014, South African Local Government Association (SALGA), 2014) and anecdotally CoCT is said to have a more evolved approach to performance management, and a work ethic that reflects this. Additionally, the municipality has engaged with the concept of performance management for over ten years with implementation of performance systems dating at least as far back as 2003 (CoCT, 2014). The municipality has also made significant advances and investments for the purposes of enhancing its performance, from implementing new technology, to establishing dedicated performance management units and posts to coordinate the same (CoCT, 2012).

The Auditor General (2014) has brought into question the quality of PI with many municipalities producing and relying on substandard PI considered ineffectual for informing accountability. More specifically, various challenges around PI have been documented in relation to Western Cape Local Government, such as challenges around PI management. These include: "lack of integration of performance information structures and systems within existing management processes and systems; inadequate processes, systems and documentation for identifying, collecting, collating, verifying and storing performance information", among others (Western Cape Provincial Department of Local Government, 2009:31). Given these factors, the researcher‟s interest in local government functioning and proximity to the municipality, this was considered a relevant site to focus on.

1.5. Thesis Outline

This thesis is organised into six chapters. Chapter one provides the reader with the outline of the research problem and the legislative and policy context of PI use in local government in South Africa. Chapter two follows with an overview of the literature concerning PI use, outlining the key issues that frame the utilisation of PI, as well as providing an overview of the factors that influence its use. Furthermore, the chapter touches on the theoretical approach to PI utilisation. Chapter three details the study‟s methodology, outlining the sampling approach, steps undertaken in instrument development, ethical

considerations, methods of analysis and other methodological steps taken to ensure validity and reliability of data. Chapter four discusses the quantitative and qualitative findings, while chapter five discusses these findings in light of the conceptual framework provided. Chapter six concludes the thesis with a summary of key findings, study limitations and recommendations.

CHAPTER 2: LITERATURE REVIEW AND CONCEPTUAL FRAMEWORK

Overview

This chapter expands on the research problem presented in chapter one and presents the theoretical approach used to investigate how PI is used in the CoCT Municipality. To avoid the trap of a single perspective, various dimensions or approaches to PI use have been explored, namely the rational, political and cultural approaches to PI use. These are further combined into a heuristic of utilisation behaviour as informed by Contingency theory, in order to further elevate the notion of context in PI use. The examination also details prevailing assumptions, providing a basis upon which linear approaches to information use can be challenged.

Secondly, one cannot consider PI utilisation without taking a closer look at the decision-making context. Context here refers to "the set of those elements that (a) affect the flow and use of information messages into, within, and out of any definable entity; and (b) determine by which the value of information messages will be judged" (Koontz, 1980; Taylor, 1991 in Courtright, 2007:278). The concept of „context" is often left open to interpretation and is largely relegated in rational and neo-economic theories. Evidence shows, however, that the implementation of systems or programmes that turn a blind eye to the realities of context has led to very clear cases of implementation failure (Courtright, 2007; Ohemeng, 2010; Cameron, 2011). Chenhall (2003) similarly admits that more information on contextual variables is needed to address the complex issues of our time. Without delving into the intricacies of decision-making, this chapter highlights features of public sector decision-making contexts found to be pertinent to PI use, but that appear to have received little attention in discussions around PI use.

Rather than making an assessment of the impact of PI use on organisational performance, the scope of the study is limited to exploring the nature of PI use and identifying factors affecting use. The former was not considered feasible given the time and resource limitations framing the study. Next, an overview of PI utilisation and an outline of the key assumptions around current PI use practice, as identified in the literature is presented. The various approaches of PI use are then explained.

2.1. Performance Information Utilisation

PI utilisation is an indication that knowledge is being translated into (often managerial) action and is said to occur when there is evidence that information, facts or knowledge gained have caused a shift in attitude, argument, performance and/or action (Leviton & Hughes, 1981; De Lancer Julnes & Holzer, 2001; De Kool, 2012). According to the „Managing for results" approach, PI is central to performance management and to the overall success of an organisation. It is viewed as an integral part of the managerial function (Boyne & Chen, 2006; National Treasury, 2007a; National Treasury, 2007b). Behn (2003:588) provides an outline of these managerial purposes as follows: PI is used to evaluate, control, budget, motivate, promote, celebrate, learn and improve. For example, PI provides clarity for decision-makers, particularly in the disbursement of limited resources (Monyihan, 2005). PI also facilitates learning such that organisations that embrace a data orientation are often better placed to review their efficacy (Otley, 1999; Mwita, 2000; Norman, 2002; Boyne & Chen, 2006; Moynihan & Pandey, 2010; Jackson, 2011).

PI also has a signalling function acting as an early warning system which allows agencies to rectify their approach (Moynihan, 2005; Jackson, 2011). Finally, PI enhances accountability and transparency by empowering the relevant principals and citizens to interrogate service provision and engage proactively in discussing issues that affect them (Van Thiel & Leeuw, 2002; Talbot, 2005). PI therefore enables institutions to attain value for money, facilitates accountability and has both a signalling and focusing functions that help organisations avoid wastage of time and resources. It is considered axiomatic that the benefits of performance measurement accrue only where the information produced is used and put to appropriate use (Bouckaert & Peters, 2002; Hatry, 2002).

Various studies have documented the use of PI taking place and having various effects (Overman and Loraine, 1994; Diamantopoulos & Souchon, 1999; Taylor, 2009; Moynihan & Pandey, 2010; Hammerschmid, Van De Walle & Stimac, 2013). Moreover, statements have been made that indicate that "Information is at the core of public administration" (Oh, 1997:3) and is the cornerstone of performance management and "government accountability" (McDavid & Huse, 2012). However, we find that little is actually known about the impact of collected information on decisions being made. Neither does there appear to be discourse around how information interacts with various conditions to affect performance, more so in Sub-Saharan Africa. PI utilisation, it appears, is assumed to be

directly proportional to the volume of PI produced. Yet, increased measurement activity is seemingly bearing little fruit and performance expectations are being continually under attained (COGTA, 2009; Noordegraaf & Abma, 2003). These assumptions are explored below.

Assumptions around PI use

Various scholars have touched on the assumptions around the rational adoption, consumption and application of PI. For instance, there appears to have been an assumption that PI will be rationally applied, as evinced by the stepwise approach to strategic and performance planning. However, the literature shows that PI is often not used, is used selectively or inconsistently, or even in unexpected ways (Oh, 1997; De Lancer Julnes & Holzer, 2001; Behn, 2003; Pollitt, 2006; Van De Walle & Van Dooren, 2010; The Simplicity Partnership, 2012; Kroll, 2013). Taylor (2009) observes that the utilisation of PI does not necessarily flow from the establishment of performance measurement and management systems. Moynihan (2006) demonstrated as well that the Government Performance and Results Act (GPRA) of 1993 and associated programmes, failed to engender greater utilisation of PI in decision-making. Similarly, from the perspective of political principals, Ingraham (2005:394) states that PI "rarely crosses the aisle in policy debates" or provide a basis for policy making. Other authors reflect on the same, portraying similar findings that indicate that PI will at times fail to adequately direct performance management, especially in addressing non-performance (Beyer & Trice, 1982; Public Service Commission (PSC), 2003; Moynihan, 2005; PSC, 2008; Taylor, 2009; Cameron, 2011; Jackson, 2011; National Treasury, 2011).

It is has been stated therefore, that "producing documents has become more important than management and actually achieving results" with public organisations driven by compliance as dictated by external authorities (Norman, 2002:623; Taylor, 2009). Noordegraaf and Abma (2003), touch on this preoccupation with procuring PI that neglects the development of an understanding of its relevance and/or its utilisation. This study echoes Hatry's (2002) view that the fraternity needs to focus on matters of information use and how this affects performance improvements. This thesis therefore seeks to explore utilisation behaviour and attitudes to test whether information use is proceeding as envisaged. To make a reasonably accurate description of how PI is used would require a closer look not only at how information is used, but an acknowledgement of context and an assessment of

inadequacies in the current approach (Behn, 2003; Moynihan, 2005; Moynihan & Pandey, 2010).

2.2. Explaining Performance Information (PI) Use

To sufficiently explain how use occurs would require a theory that can accommodate, categorise and describe interactions occurring in the PI use context (Luthans & Stewart, 1977; Drazin & Van de Ven, 1985; Chenhall, 2003; Boyne & Meier, 2009). However, a literature search revealed no single cogent, theory that has been developed or explored for this purpose. For the purpose of this study, then, a heuristic has been developed (see section 2.5.3) that hopes to bring together the different approaches to PI use. Firstly, however, an explanation of the different dimensions of PI use will be given.

2.2.1. Rational Approach to PI Utilisation

The design of most Performance Management Systems (PMSs) reflects, to a large extent, a rational orientation i.e. "operating to maximise efficiency" and "behaving in such a way that one contributes to the accomplishment of the organizations objectives" (Denhardt, 2011:78). In this approach, performance management is a technical and rational process in which information is used instrumentally for the purpose of optimizing decision-making. Information thus feeds into various stages of the planning process with PI produced from monitoring and evaluation systems, feeding back into planning and operations. The aim is to meet organisational objectives, decrease uncertainty, entropy and variance, and thereby increase system or managerial control (Overman & Loraine, 1994:195; Diamantopoulos & Souchon, 1999; Rich & Oh, 2000; De Lancer Julnes & Holzer, 2001; De Kool, 2012; Taylor, 2009).

In its most comprehensive form the rational approach suggests that public sector decision-makers have clearly defined problems and comprehensive information in terms of baselines, alternatives, consequences, values and preferences. It also suggests that goals and targets can be clearly outlined and that human, financial and technical resources are in place to achieve or sustain organisational objectives. Strategic choices can then be made following an evaluation of numeric data, consequences of choice and the ranking of priorities as directed by organisational values and objectives (Forester, 1984; Oh, 2000; Sanderson, 2002; Bogt, 2004). The rational approach is responsible for introducing the notion of „automatic

linkage" to performance discourse, which suggests that valid and relevant information produced from legitimate sources will automatically be used in a goal oriented environment, ultimately leading to service improvements (Feldman & March, 1981; Rich & Oh, 2000; De Lancer Julnes & Holzer, 2001; De Kool, 2012).

Various authors (Patton et al, 1977; De Kool, 2012) discuss dimensions or critical success factors of the rational approach. The following were considered relevant: *Formality* is the explicit documentation of performance objectives and the processes and procedures around their assignment of responsibility. Formality also refers to goal clarity and goal orientation (Boyne, 2001; De Kool, 2012). In Cape Town this finds expression in planning documents such as the Integrated Development and Service Delivery and Budget Implementation Plans (SDBIPs) (City of Cape Town (CoCT), 2013). Second is *intensity* which refers to the commitment of resources to the different phases of the planning cycle (Boyne, 2001). Relationships have been identified between resource allocation, information accessibility and information relevance, with PI indicating where and when resources should flow (Conlon & Garland, 1993; Ewell, 1999; Boland & Fowler, 2000; Fisher et al., 2002; Propper & Wilson, 2003). Therefore, PI informs resource intensity as mediated by factors such as power and the range of stakeholders and interests in the decision arena (Athanassopoulos, 1998; Reck, 2001; Ewell, 1999). *Quality* and *Relevance* refer to the level of quality of each stage in the planning or performance cycle, and the validity of information and the reliability of monitoring tools respectively, (Boyne, 2001; De Kool, 2012). *Commitment* refers to the level of staff investment towards, in this case, improving performance (Boyne, 2001). This is in line with Patton et al"s (1977) findings in which „personal" factors, such as personal interest or individual perceptions around roles and responsibilities, affect PI use. Commitment should be exemplified by behaviour that goes beyond mere compliance. Lastly, is *accountability,* defined as holding one accountable against particular standards (Boyne, 2001; Bovens, 2010). The impetus to demonstrate this is largely driven by legislation (Gray & Jenkins, 1993; Bovens, 2010; Lindberg, 2013; Byrkjeflot, Christensen & Lægreid, 2014). PI therefore becomes critical to discussions around monitoring, evaluation and reporting of progress to stakeholders.

Factors affecting rational use of Performance Information

The following factors have been identified as having an impact on utilisation from a rational perspective: firstly, sufficient resources i.e. skilled staff, sufficient monetary and

technical support to facilitate the development of performance measures and the collection and analysis of data (De Lancer Julnes & Holzer, 2001; De Kool, 2012). Secondly, clear goals and targets coupled with a clear understanding of the information needs of decision-makers. Organisations should ideally be goal oriented, with sufficient consensus around selected goals (De Lancer Julnes & Holzer, 2001). Thirdly, is the presence of legislation that compels organisations to engage in performance measurement and information utilisation (Moynihan, 2005). Access to information and data from legitimate sources is another factor, as well as stipulations on the standard or quality of information that needs to be reported (De Kool, 2012; CoCT, 2013; Kroll, 2013). Rational information utilisation should be directly related to the influence of these factors.

Rational assumptions

As previously mentioned, it is generally held that performance measurement and PI use will lead to better decision-making and outcomes, especially where there are robust measurement and audit systems in place to track progress (Weiss, 1979; Boyne & Chen, 2006: 456; Taylor, 2009). This may partially explain the ever increasing investment in technology that enhances information availability and accessibility. However, the literature shows that often rational approaches fail to predict public sector administrative behaviour and contend with a variety of challenges. This is even more likely in developing country context where bureaucratic behaviour is often misdirected by various factors (Lipsky, 1980; Boyne, 2001; Polidano, 2001; Norman, 2002; Van Thiel & Leeuw, 2002; Talbot, 2005; Boyne & Chen, 2006; Ohemeng, 2009; Taylor, 2009; Cameron, 2011; Jackson, 2011). These include, measurement challenges (methodological issues; the proliferation of irrelevant, opaque or unreliable indicators) which bring into question the reliability and validity of PI, and which impacts use in various ways (Behn, 2003; Boyne et al, 2005; Hood, 2007; Jackson, 2011).

Secondly, organisational goals and interests are not the sole „value premise" that guide the behaviour of bureaucrats (Denhardt, 2011). Bureaucrats act out in various ways to preserve their position or status in the face of political hostility, or deviate from expected use of PI in their desire to respond to the needs of citizens or interest groups (Harmon, 1981; Chenhall, 2003; Moynihan, Pandey & Wright, 2012). These examples are in line with Selznick"s (1957 in Denhardt, 2011) view that bureaucrats will resist being treated as plainly instrumental. Bounded rational theory acknowledges some of these constraints, but does not

adequately cater for the reality of "bias" and its role in information acquisition and selection through to use (Rich & Oh, 2000; Taylor, 2009).

Lastly, complexity reviews in the UK found that public sector organisations are overall "30% more complex than their private counterparts" (Simplicity Partnership, 2012:3). Rational approaches grapple with the notion of „complexity" which refers to "the number and variety of components in an organisation or system, the interrelationships between the components or the pace at which these relationships and the components are changing" (Simplicity Partnership, 2012:12). Complexity theory suggests that systems function non-linearly, consisting of an interplay of different decisions and „decision-making processes". This is in contrast to the behaviour of modern day public organisations which have largely opted to "squeeze out complexity" by adhering to the technical, rational and procedural (March, 1994; Boyne, 2001:82; Chenhall, 2003; Noordegraaf & Abma, 2003:860; Boyne & Meier, 2009; Rhodes et al, 2010; Jackson, 2011). The theory holds that a system's equilibrium can be disrupted by contextual factors and decision-making influenced by changes in internal or external levers i.e. strategy, legislation, technology. The theory also considers that public sector actors may, for example, „self- organise" to better shape their own reality by creating rules, properties or structures to govern their interactions (Noordegraaf & Abma, 2003; Klijn, 2008; Teisman & Klijn, 2008; Simplicity Partnership, 2012). Actors will react then to stimuli based on their frames of reference and perceptions. This brings us to the concept of "interpretive spaces", discussed further in the next sub-section (Klijn, 2008; Teisman & Klijn, 2008). This study thus considers the symbolic approach as valuable in further explaining PI use in practice.

2.2.2. Symbolic Approaches to PI use

Though organisations are thought of as continuously striving for certainty in a "technical-rational sense", in responding to changes in their environment their responses often vary from the mechanistic to the organic or symbolic (Thompson, 1967:12; Boyne & Meier, 2009). Here, bureaucrats apply their „practical wisdom" or act to reduce environmental uncertainty by negotiating "a framework of a set of constraints" rather than seeking goal attainment (Donaldson, 2001:4; Cyert & March, 1963, in Denhardt, 2011: 85). Sanderson (2002) explains that practitioners move beyond having rational debates towards considering normative questions, user experiences and work experience in determining policy actions.

These stances are likely to be underpinned by two realities: interpretive spaces and ambiguity.

The concept of „interpretive spaces" rejects the notion that PI is „uniformly understood" or responded to, and intimates that public officials place PI within a wider context or argument (Moynihan, 2005). Research shows that decision-making is framed by how officials interpret their „endogenous" and „exogenous" environment and how they interact with their peers (Rhodes et al, 2010). Norman (2002) also proposes that for performance measurement to realise its full potential, it must contend with „meaning", which relates to how employees perceive their context, roles and responsibilities and how these, impact their „intrinsic motivation". Together, these may affect the level of interest in utilizing PI (Noordegraaf & Abma, 2003; Weibel et al., 2009). Officials may then defer to „trust" and „satisfaction" above more accepted positivist prescriptions (Bouckaert & Peters, 2002).

Ambiguity in turn is defined as "that state of having many ways of thinking about the same circumstances or phenomena" (Feldman, 1989:5). It was Moynihan's (2005) finding that the same piece of PI can be employed or responded to in different ways, hence being ambiguous. These sentiments are echoed by Forrester (1984:29) who stated that the "ambiguity of context necessitates that practitioners have theories, or make bets, about the character of the situation they find themselves in". As much as the production of PI is aimed at dealing with uncertainty, Feldman (1989) proposes that generating more PI does not do away with ambiguity. This is especially so where there is: lack of clarity concerning objectives, concepts, causal mechanisms and past performance; information is hard to quantify; and individual bureaucratic behaviour is unpredictable, as typified in most developing country public sector environments (Noordegraaf & Abma, 2003; Moynihan, 2005). This therefore brings us to the symbolic use of PI, which explains how officials purpose to use PI for other ends.

Symbolic use of PI has been defined as using information "to legitimate and sustain predetermined positions" (Beyer, 1997 in Amara, Ouimet & Landry, 2004:77) or using PI for "ex-post rationalization" linked to ideological positions rather than ex-ante reasoning (Kroll, 2013:268; Langley, 1989). Alternatively, Diamantopoulos and Souchon (1999:2) state that symbolic use occurs when "information is distorted... perhaps on the basis of the decision maker's instinct". This approach emerged from the realisation that the links between information, decision-making and control were found to be non-linear, mediated or

moderated by a variety of contextual factors (Overman & Loraine, 1994). This study considers both political and cultural approaches to PI use as falling under the banner of symbolic use of PI. It is noted however, that symbolic use has the capacity to evolve into instrumental use of PI (Langley, 1989).

Political Approach to PI Utilisation

This approach has been defined as the "subjective and value-laden" use of PI "dependent upon the motivations and capacity of the actors to support their political goals" (Weiss, 1979; Taylor, 2009:856; De Kool, 2012). The political approach to PI utilisation recognises the role of internal and external interest groups, organisational culture and leadership in the utilisation of PI. PI can therefore be ignored or manipulated to favour ones position. Individuals can also engage in „satisficing" behaviour, adopting and implementing PI in a limited fashion despite outlined mandates (Simon, 1955; Langley, 1989; Walsh, 1994; De Lancer Julnes & Holzer, 2001; Trueman, Klemm, Giroud, 2004; De Kool, 2012).

Use of PI here has also been linked to the „governmental politics model" in which PI is used to bargain for the purposes of furthering power and political reach (Amara, Ouimet & Landry, 2004; Denhardt, 2011;). Bargaining, involves "disagreement... as parties seek agreement over the terms of their exchange" (Dwyer, 1984:680). It could also be viewed as the application of negotiation strategies to achieve resolution, underpinned by the expectation that one will receive compensation or a reward relative to their position of strength (Heckathorn & Maser, 1987; Ganesan, 1993; Morris, Larrick & Su, 1999). This may tie to the exercising of personal or organisational politics which Vigoda (2000) describes as the often perceived negative behaviours engaged in to prosper the individual but which negate organisational goals and interests. Information in this regard, is then applied as leverage in negotiating politically charged spaces, used selectively (or ignored) for the purposes of gaining or sustaining hegemony over a particular policy area (Boyne, 2001; De Lancer-Julnes & Holzer, 2001; De Kool, 2012).

Cultural approach to PI utilisation

Use of PI has also been linked to organisational culture, which refers to the organisations internal dominating, "assumptions, values and artefacts" (Parker & Bradley, 2000: 127; Nutt, 2006; Kroll, 2013). Within this approach, information gains symbolic value

that either enhances or decreases its utility or utilisation (Overman & Loraine, 1994). The performance measurement cycle therefore takes on greater meaning, couched in tacit values and leads to the creation of a legitimised lexicon of words and actions. Engaging in the utilisation of PI becomes a symbolic expression of trust, competence, efficacy and rationality (Feldman & March, 1981; Langley, 1989; Overman & Loraine, 1994; Nutt 2006; De Kool, 2012).

Factors influencing PI use that have been identified by De Kool (2012) in this regard include whether the act of utilisation provides individuals with value and a platform to share problems and ideas; whether it taps into their existing frame of reference; and whether the act of utilisation involves interaction with the data and with others. Various studies further highlight the role of „trust" which impacts PI use in different ways (Zaheer, McEvily & Perrone, 1998; Cho & Ringquist, 2011:57; Kroll, 2013). For instance, levels of interpersonal trust have been linked to the capacity for problem solving as high trust groups share skills and knowledge with relative ease. This makes it easier to locate solutions and elicit commitment. However, one should keep in mind that in low trust environments, institutional structures may foster reliability, predictability and fairness, thereby compensating for lack of trust and assisting in keeping the cost of negotiations low (Zaheer, McEvily & Perrone, 1998). Additionally, Kroll (2013) shows that PI use is more likely to occur in cultures that emphasise development through organisational learning, flexibility and adaptation; or in cultures that focus on trust building and participation. Expectations are that symbolic utilisation is directly related to the influence of political and cultural factors and that an inverse relationship may exist between symbolic and rational uses of PI.

2.2.3. A Combined Approach: A Useful Heuristic?

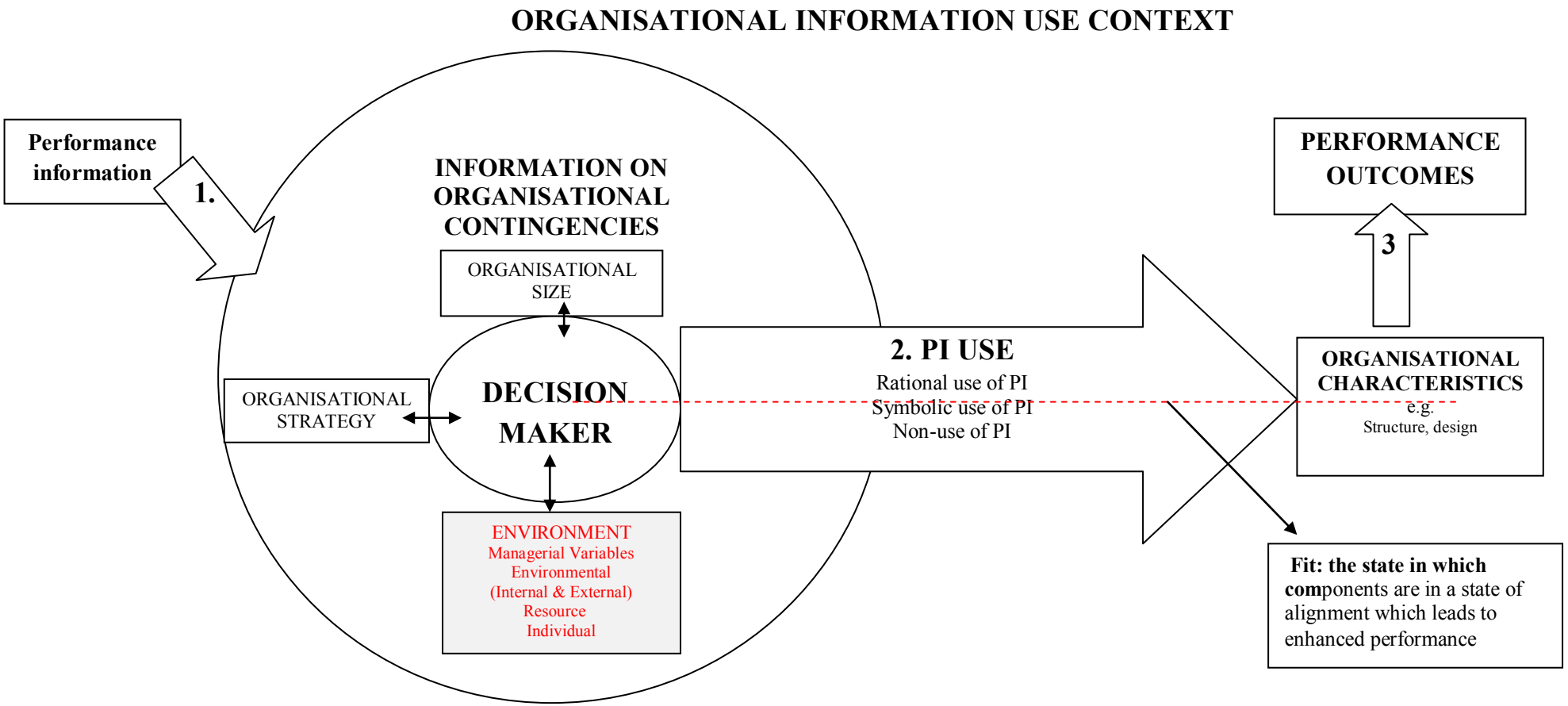
To reiterate, there appears to be no theory or framework that comprehensively explains utilisation behaviour (Beyer & Trice, 1982; Oh, 1997; Moynihan & Pandey, 2010). Various theories and approaches have been suggested to explain decision-making in the public service such as Principal Agent, Public Choice, and Garbage-Can theories (Bouckaert & Peters, 2002; Jackson, 2011). However, a cursory examination of these theories shows them to be insufficient in comprehensively explaining the PI use context. Thus, authors have resigned themselves to describing various approaches rather than providing an overarching framework of PI use.

This study accepts that the different approaches to PI use all have merit and thus, a heuristic was developed (see Figure 1) that attempts to bring these elements and perspectives together. We acknowledge that this diagrammatic representation of use appears linear, for processes that are acutely non-linear, and greatly simplifies utilization. However, Winter (1998: 172–173) states that, a heuristic "corresponds to a degree of problem definition that occupies an intermediate position on the continuum between a long and indiscriminate list of things that might matter at one end, and a fully formulated control-theoretic model of the problem at the other." Given the exploratory nature of this study, the heuristic provides some conceptual leeway in describing the realities of utilisation behaviour and the variety of perspectives from which it can be viewed. The development of this heuristic borrows from contingency theory.

PI use and contingency theory

Contingency theory was found relevant for informing the building of the heuristic given that it creates a platform for "identifying and developing functional relationships between" internal organisational systems and characteristics, situational variables and organisational performance (Luthans & Stewart, 1977:183; Bourgeois, 1984; Donaldson, 2001; Groeneveld & Van de Walle, 2010; Ohemeng, 2010). The theory proposes that organisations strive to obtain „fit" by adapting to shifts in its contingency"s. Fit refers to the state achieved when organisational "structure and process" and organisational contingencies i.e. "characteristics of the organisation's culture, environment, technology, size, or task", come together to enhance performance (Drazin & Van de Ven,1985:515; Doty, Glick, & Huber,1993; Donaldson, 2001).

A change in a contingency should cause a corresponding change in the level of an organisational characteristic in order to attain fit. In this case, perfect alignment or „fit" of our environmental contingency, PI use and organisational structure should produce improved performance. PI use therefore, could be considered a mechanism that aligns these varying components. However, as adequate metrics for the city"s performance outcomes could not be sourced, and due to constraints in terms of time and resources, the study focused instead on identifying possible environmental variables significantly related to PI use. The components of the „environmental contingency" that will be addressed here are management, resource, internal and external environmental variables.



1. PI enters the decision making context, combining with existing information on organisation contingencies
2. The decision maker acts on information rationally, symbolically , or not at all, to influence organisational characteristics
3. Fit or mis-fit then occurs, determining performance outcomes.

Figure 1: Performance information use heuristic[1]

1 Developed based on readings from Donaldson, 2001; Ohemeng, 2010; Boyne & Meier, 2009

2.3. Factors Affecting Use of Performance Information (PI): The Environmental Contingency

According to Landry et al. (2003), there is as yet no „body of evidence" showing which factors influence the information utilisation process. An exploration of the environmental contingency attempts to shed light on this particular area and will be addressed as per the categories shown below. The following section presents an overview of some of the factors that have been identified as having an effect on PI use.

2.3.1. Environmental Variables

Ohemeng (2010:458) defines the environment as the "totality of general sources of inputs and outputs including the persons, groups, organisations, culture, and value systems" which interface with public organisations. Environmental variables are usually categorised as independent variables. Under the combined approach they are described as those factors "that affect the organisation, but that are beyond the direct or positive control of the organisations resource managers" (Luthans & Stewart, 1977:184). They are further grouped into two categories: internal or external environmental variables.

Internal Environmental Factors

Internal environmental variables are factors within the organisation, outside the direct influence of the manager in question. One key factor in this regard is organisational culture. Ohemeng (2010: 463-464) defines culture as "the collective mental programming of the people in an environment". Feldman (1989) alludes to the idea that the generation of PI is driven by professional and cultural norms. It is also speculated that the same can be said for the utilisation of PI. Culture also relates to levels of trust between parties which has been shown to have an effect on PI utilisation (De Kool, 2012). A culture that fosters blame and scapegoating may find that utilisation of PI is skewed towards self conservative behaviour rather than goal attainment (Norman, 2002). Other cultural issues considered, include the presence of a learning orientation which refers to developing, strengthening and mastering competencies at an institutional level. This is often confused with performance orientation which is based on judgments of how one has applied their skills relative to others. Learning oriented individuals are self regulating, self-driven,

solution focused, reflective and inquisitive (Gentry, et al, 2006). Another cultural aspect is a community or citizen orientation that can take various forms, such as civic involvement in decision-making; the proactive defining, and prioritizing of community problems to inform program implementation; monitoring and evaluating program efficacy; or the use of multidisciplinary and inter-sectoral teams (Longlett, Kruse & Wesley, 2001).

External Environmental Factors

Key variables identified in this regard include politics and legislation. Legislation, it is said, crates the climate for utilisation behaviour (Pollitt, 2006). For example, the Government Performance and Results Act (GPRA) of 1993 in the USA and legislation in South Africa, as outlined in Chapter one, exist to compel public officials to use performance results (Moynihan, 2005). Courtright (2007:278) also presents various factors that "shape information practices", of which rules and regulations is key. While there appears to be compelling evidence around the influence of legislation on the setting up of performance systems, and measuring and reporting of PI, (Van Thiel & Louw, 2002; Taylor, 2009; CoCT, 2013b), there is little indication that any legislation exits around PI use for the purposes of furthering performance at a national and institutional level.

In regard to politics, this may be linked to the Bureaucratic-political model of decision-making which states that PI is "value laden", determined by „ideology, interests and information" (Weiss, 1983: 213; Taylor, 2009: 856). The nature of the policy process is such that actors advocate for particular positions in order to protect or increase hegemony. This form of political interference or gate keeping, then leads to selective handling and utilisation of PI with the aim of prioritising preferences or performance components that reflect favourably on the political principal"s concerned (Bourgeois, 1984; Moynihan, 2005; Taylor, 2009; Van De Walle & Van Dooren, 2010). Politics therefore influences a manager"s „zone of strategic discretion", signalling to them what should (or should not) be prioritised (Bourgeois, 1984:588; Furlong, 1998; Alford & Hughes, 2008).

Various examples are provided: Jackson (2011) highlights the contestation produced by the publishing of PI in a context where managers or policy makers are involved in impression

management (De Lancer Julnes & Holzer, 2001). Davies et al. (2000) and others in turn look at the role of political effects, where despite efforts made to institute evidence based policy making and practice different groups therefore relegate or use PI to jockey for significance (Moynihan, 2005; Jackson, 2011). Other studies show that an increase in political competition increases the use of PI which may be tied to the „distributional consequences" of PI in which existing organisational arrangements may be threatened (De Lancer Julnes & Holzer, 2001; Bouckaert & Peters, 2002; Van Thiel & Louw, 2002; Moynihan & Ingraham, 2004; Cameron, 2011). Overall, it appears that the sheer volume of information is least prioritised in politically charged contexts (Pollitt, 2006).

2.3.2. Resource Variables

These are variables that can be controlled or directly manipulated by managers in order to produce changes in organisational systems. They may include information characteristics, information infrastructure and systems used to affect behaviour or structural factors. The latter refers to the structural mechanisms used to manage organisational functioning as well as to differentiate or integrate different units within the organisation. Resource variables also refer to hierarchies, rules, standard operating procedures, organisational communication and governance processes favoured by the organisation (Luthans & Stewart, 1977; Chenhall, 2003, Donaldson, 2010). Structural factors appear closely related to the concept of munificence, described as that which increases the "potential for organisational growth and development". Thus, resource variables may also include those that address resource availability, accessibility and capacity to handle existing workloads (Boyne & Meier, 2009:801). It should be noted that these variables may, at one point or another, be considered environmental variables. The following have been documented.

In regard to skills and competencies, performance management requires skilled persons with the capacity to understand analyse and link different bits of PI to planning, budgetary and managerial functions. Officials then need to meld this analysis with their professional judgement and experience (Pollitt, 2006; Taylor, 2009). Armed with information, managers are expected to make decisions based on factual evidence for the enhancement of organisational knowledge and attainment of outcomes (Bates & Robert, 2002).

Closely related is the issue of technology, which refers to the instruments used to gather or disseminate PI. How officials perceive the quality, credibility and validity of information may be influenced by the confidence they have in the technology at hand (Leviton & Hughes, 1981; Moynihan & Ingraham, 2004). Moreover, Hatry (2002) found that the frequency of reporting performance information affects information use. Therefore, public organisations require technology that facilitates timely use of data (Weiss, 1979; Leviton & Hughes, 1981; Pollitt, 2006; Klingner, 2009; Oh, 1997).

Lastly, are indicator attributes. According to the literature, improved performance occurs where PI is "objective, standardised, indicative of actual performance, available and accessible, consistently understood, and prompts consensus about how a program is performing and how it should be funded" (Moynihan, 2005:152; Talbot, 2005; Moynihan & Pandey, 2010; Courtright, 2007). It is equally important that the PI should be relevant: non- use of PI often occurs due to perceptions that it is not current or has no bearing on decisions being made (Leviton & Hughes, 1981; Oh, 1997; Behn, 2003; Pollitt, 2006; Taylor, 2009). The manner in which PI is processed, presented and packaged also affects the extent of its utilisation by different users. For instance, levels of utilisation may be influenced by whether information is: suffused with lay language or technical jargon, is in quantitative or qualitative form, is aggregated or disaggregated, is a truncated accounts or a lively narrative (Leviton & Hughes, 1981; Hatry, 2002; Behn, 2003; Propper & Wilson, 2003; Cameron, 2011).

2.3.3. Management Variables

Management variables are defined as the concepts and techniques expressed in policies, practices and procedures used to operate on available resource to define and accomplish system objective (Luthans & Stewart, 1977). These may also include organisational routines, which have been defined in the literature as "regular, repetitive, recognisable patterns of interdependent actions, involving multiple actors" that are dynamic and thought to impact organisational control, coordination, efficiency and effectiveness (Feldman & Pentland, 2003: 96; Becker, 2004; Pentland & Feldman, 2005). High performance has been linked to an organisation‟s managerial and leadership capacity and public managers are expected to have the aptitude necessary for the articulation, dissemination and diffusion of lessons that will foster organisational learning (Bass &

Avolio, 1993; Behn, 2003; Monyihan & Ingraham, 2004). Andrews and Boyne (2010) also report that effective or „integrative leadership" has the capacity to link information to organisational goals and enhance organisational learning. Studies have also shown that information use increases in the presence of a PI „advocate" who makes it their aim to encourage PI use. Managers can also motivate or signal the correct use or response to PI (Leviton & Hughes, 1981; Mwita, 2000; Behn, 2003; Monyihan & Ingraham, 2004; Simplicity Partnership, 2012).

2.3.4. Individual Characteristics

Studies show that individual characteristics, including attitudes, perceptions and interpretations of collected information impact PI utilisation. Thus, utilisation is influenced by what officials perceive as their role and responsibilities towards producing or utilizing performance information and so on (Oh, 1997; Mwita, 2000; Tourangeu, Rips & Rasinski, 2000; Ajzen, 2002; Boyne & Chen, 2006; Klingner, 2009; Weibel et al., 2009; Simplicity Partnership, 2012). However, these aspects were not explored in this study.

Chapter Summary

This chapter expanded on the research problem presented in Chapter one by giving an overview of the purpose and context of information use. This provided an indication of the different issues confronting PI use within the public sector. Various approaches to PI use were presented. To provide a more cohesive and integrated approach, a heuristic was developed to better explain how the different approaches interact or co-exist and to identify the various factors that explain PI use (De Kool, 2012). This heuristic was informed by contingency theory, which further assisted in organizing factors affecting use into four categories: environment, managerial, resource and individual factors.

CHAPTER 3: METHODOLOGY

Overview

This chapter outlines the methods used to investigate the research questions presented in Chapter one. The previous chapter made a case for focusing on PI use as well as investigating the conditions in which it takes place. A mixed-methods approach was used to explore this further, though the study remained largely situated in the quantitative paradigm. This chapter covers the research approach and design, data collection methods, materials and data analysis techniques used for the collection and interpretation of results. The study aims to address the following research questions:-

- How is performance information (PI) being used in the City of Cape Town?
- What is the relationship between rational and symbolic use of performance Information use?
- What is the role of context in determining how performance information is used i.e. what factors influence PI use and how do they relate to different types of PI use?

3.1. Research Approach

The study follows the empiricist tradition often favoured by political scientists, and is an inquiry into a social or human problem based on testing a theory composed of variables and used to determine whether the predictive generalizations of the theory hold true (Creswell, 1994: 2). During the course of the study it was decided that a solely quantitative approach would not be feasible due to high non-response which rendered the sample non-representative and secondly, due to quantitative approaches treating utilisation behaviour as value free. Thus a mixed-methods approach was taken, though within a predominantly quantitative format. Qualitative methods were used to supplement the survey for the purpose of teasing out more nuanced details around how or why PI is used (Creswell, 1994; DeVaus, 2002). As mentioned by Richards and Morse (2002:2), "qualitative methods seek to discover understanding or to achieve explanation from the data instead of from (or in addition to) prior knowledge or theory". The study did not assume that

attitudes would be stable over time and thus the period under investigation was fixed to the Financial Year (FY) 2012/2013.

3.2. Research Design

A cross sectional survey, largely descriptive and exploratory in nature, was administered with the aim of creating a "quantitative or numeric description" (Creswell, 1994:117) of PI use from a sample of directors in the CoCT Municipality. This particular design was chosen for its relative economy, given the study's limitations in terms of costs and time as well as for the benefit of uniform response options (Malhotra & Grover, 1998; Fink, 2009). However, the weaknesses of this approach were also acknowledged (for example, response bias or non-response, timing effects and so forth (Yu &Cooper, 1983; Tourangeu, Rips & Rasinski, 2000; Fink, 2009; DeVaus, 2002). Key informants within the organisation were engaged in semi-structured interviews in order to supplement this approach. Semi-structured interviews according to Wengraf (2001) allow the interviewer to be both prepared in their approach to questioning, while providing them with the flexibility of improvisation. It was felt that the interviews would be used to explore the utilisation experiences of key informants, providing contextual information that could not be fully captured in the survey.

The grounded theory approach informed this in part and was felt to be appropriate given that the approach aims to delineate behavioural reactions to and conditions surrounding particular phenomena (Crobin & Strauss, 1990; Goulding, 2007). The approach favours "the process of constant comparison", which requires perpetual comparing and contrasting data for the purpose of progressing from "coding, to conceptual categories, to theory development" (Harry, Sturges & Klingner, 2005:5). The aim, however, was not to develop a formal theory of PI utilisation behaviour, but rather, given the studies limitations to carry out a „thematic survey" i.e. providing an overview of "provisional explanatory concepts" that can be developed with further investigation. (Goulding, 2005:296; Starks, 2007)

3.2.1. Research Subjects

According to the Council Overview (CoCT, 2011), approximately 81 senior level bureaucrats form part of senior management in the CoCT, though information from the city

indicated that there were approximately 60 members of senior management present at the time of the study. The main subjects under consideration were the CoCT directors who are considered responsible for overseeing the reporting, collating and management of PI in addition to other managerial duties (CoCT, 2012:241). These individuals are strategically situated to act on information received at a departmental level and, to an extent, inform and shape policy direction as well (CoCT, 2012). Executive directors were excluded from the sample due to their unavailability.

Sampling is often described as valid only when conducted on a randomly selected „representative subset" of the total target population (Kitchenham & Pfleeger, 2002). Though a probability sample would have been favoured, the high non-response rate made convenient sampling necessary, though the drawbacks of this sampling method were fully understood (Krosnick, 1999; Bartlett, Kotrlik & Higgins, 2001; Kitchenham & Pfleeger, 2002). Key informants to be interviewed were also selected primarily through the snow balling method, but were however all credible informants (Wengraf, 2001; Burnard, 2004).

Twenty surveys were completed by five (25%) female and fifteen male (75%) respondents hailing from five of the twelve directorates in the CoCT, namely Health, Finance, Transport, Roads and Stormwater, Tourism Events and Planning and Community Services. The respondents ranged in age from 36 to 62 years. Thirteen (65%) respondents held postgraduate qualifications while five (25%) held undergraduate qualifications and one (5%) held a diploma and PhD qualification. The participants had an average of 6.1 years in their current post with the average years of work experience within management and the public sector coming to 15.4 years and 22.1 years, respectively. All but one of the respondents held a director or acting director rank. A total of eight key informants (two females and six males) participated in face-to-face, semi-structured interviews, while one participant engaged in email correspondence. The key informants included seven directors and two professional officers, the latter who facilitate performance management efforts within their respective departments. The interview schedule is provided in Appendix A.

3.3. Instrumentation

The survey was constructed based on a literature review of studies investigating PI utilisation as presented in the previous chapter. Articles were sourced from academic peer reviewed journals and drawn from a pool of researchers well known for conducting research in this area. Additionally, discussions with officials from the Office of Performance Management Unit and various officials in the CoCT, provided insight into how performance management is conducted and measured in that context. This aimed at enhancing content validity of the scales developed and the survey as a whole. Composite measures were thus developed to represent all major dimensions of the constructs in question.

3.3.1. Variables

A variable is a "discrete phenomenon that can be measured or observed in two or more categories" (Creswell, 1994: 62). The dependent variable under consideration was „PI use" which for the purpose of this study was viewed in two dimensions: rational and symbolic use. The independent variables under consideration are referred to collectively as „factors affecting PI use", as informed by the dimensions outlined in the previous chapter. Demographic information and information around work experience, perceptions and general attitudes towards PI use were also measured.

3.3.2. Item Selection and Scale Development

A conceptual approach to item selection was used with the literature review informing item adoption and construction (Bollen & Lennox, 1991). There appeared from the literature to be no available scales for PI utilisation. Therefore, scales were developed to measure the different dimensions of PI use. Factors identified from the literature review were organised into subscales according to the following categorisations: institutional/political factors, internal-structural factors, indicator attributes and organisational culture, which were felt to be more familiar to respondents. In keeping with research practice where operational definitions are yet to be fully established, it was felt that multiple indicators and scales should be used to better engage with the complexity of the dimensions in question. The composite measures or scales would improve reliability and

validity, providing a more accurate measure of the construct than any single item could on its own. The scales developed were presented in Likert form, which has the benefit of highlighting the direction, intensity and/or extremity of the respondent‟s position, especially in relation to attitudes, beliefs or perceptions (Curtis & Jackson, 1962; DeVaus, 2002; Rattray & Jones, 2007; Fink, 2009). 108 items were selected for inclusion in the survey. The items were framed in relation to the respondent‟s direct experience and sought to explore what respondents do, the accuracy of what they know, what they believe or what they think (DeVaus, 2002; Fink, 2009).

Various issues have been identified as having effects on the reliability and validity of participant responses such as: diminished attention, recall or comprehension of survey items; or acquiescence and social desirability effects (Curtis & Jackson, 1962; Hinkin, 1995; Krosnick, 1999; Tourangeu, Rips & Rasinski, 2000; DeVaus, 2002; Fink, 2009). Items were therefore constructed with familiarity in mind based on the language and concepts used within the CoCT. There was also general avoidance of leading questions, causal statements, ambiguity and the use of double barrelled questions, or questions that could be construed as extreme, casting respondents in a negative light (Paulhus, 1991;Tourangeu, Rips & Rasinski, 2000; DeVaus, 2002; Rattray & Jones, 2007). Face validity was also enhanced by constructing items based on a literature review. While pre-testing conventionally entails pilot testing of the survey in its entirety, the limitations already mentioned lead to the process being adapted for the purposes of the survey. The survey was then reviewed by two specialists in the field of Public Administration and then reviewed by senior officials at the CoCT who dealt with performance management. A factor analysis was conducted on the scales to reduce the number of variables prior to further calculations (DeVaus, 2002). Thus, the research findings only report on the reduced sets of variables as presented in the appendix. A copy of the survey is provided in Appendix B.

Factor analysis

Exploratory factor analysis was used to ascertain whether a set of variables is underpinned or „driven by‟ an „underlying variable‟ (Filed, 2013). It aims to establish the structure of the set of variables and to reduce multi-collinearity by reducing the scope/breadth of items (Field, 2013). The Cronbach‟s alpha coefficient “uses inter item correlations to determine whether constituent items are measuring the same domain” (Rattray & Jones, 2007:237) and its value provided an

assessment of the internal consistency of the sub-scales developed as shown in Table 1. The extraction method used was Principal Axis Factoring Extraction using Kaiser‟s criterion in which Eigenvalues over one were retained. Kaiser‟s criterion was preferred due to the number of variables in all the scales being under thirty, as outlined in Field (2013). Oblique rotation (Direct Oblimin) was applied to the extracted factors as it was expected that factors may correlate (Field, 2013). Tests of normality were carried out on the developed scales and a Shapiro-Wilks test administered to the data. Only the symbolic use index W (20) =0.97, p=0.20 and the Organisational Culture Index, W (20) =0.94, p=0.26 were found not to deviate significantly from the norm. However, the remaining indices were found to be significantly non-normal. QQ-plots, histograms and the calculation of Z scores confirmed this result.

3.4. Data Collection

The survey was administered over the course of three months, by email and in person. Face-to-face administration of the survey allowed for input and points of clarification to be provided where necessary. Various strategies were also used to decrease response times including increasing the „survey salience‟ amongst respondents by alerting Executive Directors (EDs) about the purpose and nature of the survey (Porter, 2004; Fink, 2009).

Interviews were principally about letting participants describe their experience with PI and their utilisation behaviour, while also exploring the causes, contingencies and consequences of PI use, as prescribed by grounded theory (Stark, 2007). Predetermined questions (see Appendix B), were used during key informant interviews and were loosely based on the structure of the survey. However, these were left open ended, leaving room for the generation of further questions as they arose. Questions also touched on the attitudes, values, challenges and opportunities around PI use. All interviews were recorded electronically and later transcribed verbatim, with transcriptions cross-checked for anomalies.

Table 1

Analysis of constructed scales

Scales	Factors	Items	Cronbach's Alpha α
Rational use	Factor 1	Direct resource allocation Demonstrate programme effectiveness Strategic planning Motivate and reward staff Restructure work processes or programme design	0.87
Symbolic use	Factor 1	Promote the image of the organisation Use PI to negotiate political crises Use PI to build trust and legitimacy with the public Use as a bargaining tool Ignoring information that challenges policy position Mould PI use to fit political expectations	0.81
	Factor 2	Communicating programme success Using PI to explain value of the programme	0.66
Indicator attributes	Factor 1	Trustworthiness Information relevance Quality of data Information accessibility Timeliness	0.90
	Factor 2	Volume of PI Data richness Information availability	0.77
Institutional - political	Factor 1	Leadership commitment to performance management Personal political interests Legislation and regulatory oversight Changes in the administration Political interference in the day to day functions of the department	0.76
	Factor 2	Strong influence of external interest groups Benchmarking against the performance of other agencies Citizen demands for performance based accountability	0.88
Internal-Structural Factors	Factor 1	Task complexity Number of staff Interdepartmental coordination Organisational rules and procedures Competence and expertise of those you work with	0.915
	Factor 2	Clarity of strategic objectives and goals Availability and accessibility of PI	0.624
Organisational culture	Factor 1	Staff receptivity to change Forums in which one could learn and share knowledge Staff receptivity to performance measurement	0.946
	Factor 2	Levels of trust between colleagues Power relationships between superiors and subordinates Perceptions of risk attached to PI use	0.751
	Factor 3	Emphasis on learning/ learning orientation Quality of leadership Informal networks and sharing of ideas with peers	0.843

3.5. Ethical Considerations

All participants were supplied with an information sheet describing the study and its purposes, and an informed consent form was read and signed prior to commencing with the survey or interviews. Both of these forms can be found in Appendix B. Key identifiers were also excluded from the findings and pseudonyms were used for the purpose of maintaining confidentiality.

3.6. Data Analysis

Data analysis employed the Statistical Package for the Social Sciences (SPSS), for survey analysis and NVIVO 10, for the qualitative analysis. Descriptive statistical analysis was carried out as the variety of inferential statistics could not be used due to the low response rate and non-normal distribution of the data. Non-parametric methods of correlation analysis (i.e. Kendells Tau) were employed following factor analysis which aimed to exploring the nature of the relationships between variables. Kendells Tau (τ), which is said to be more appropriate for smaller samples with a higher likelihood of „tied ranks", was performed on the data to assess the level of agreement between the different respondents, for each of the variable sets in question (Field, 2013).

Interview transcripts were broken down into conceptually related content segments according to the "thematic analysis" approach, as described in Clarke and Braun (2006). According to Starks (2007:1375), grounded theory involves "de-contextualising and re-contextualising" information from interviews. The former requires that data be broken down into meaningful units or "clusters of meaning", while re-contextualisation involves reorganizing concepts and categories to determine central themes. Coding involves grouping interviewees" responses into categories that highlight similar emergent themes (Rubin & Rubin, 1995). Though the initial coding framework was derived from the conceptual framework presented in Chapter two (Appendix C), scope was provided for the further development of emerging concepts and categories. Open coding was conducted first, with data "broken down" into a wide range of concepts (Corbin & Strauss, 1990:423; Clarke & Braun, 2006; Silverman, 2006). Common themes were highlighted and issues repeatedly raised received salience. This was followed by axial coding in which interlinked concepts were identified and further organised into more meaningful clusters based largely on the categories presented in Chapter two.

Selective coding, which leads to the identification of core categories explaining PI utilisation, was not extensively engaged with however (Corbin & Strauss, 1990; Harry, Sturges & Klingner, 2005; Starks, 2007). Grounded theory aims for theoretical saturation at this stage, with themes, hypotheses and explanations being tested against other experiences for the purposes of developing theory. This either confirms or causes current stances to be revised. The researcher was unable to return to the field to test the core categories identified due the limitations already mentioned. Thus the approach reverted to the deductive approach at this point by tying themes to already identified categories. Further research can probe conceptual categories developed here and can increase the study sample to accommodate greater diversity in views for greater hypothesis testing.

Chapter Summary

This chapter provided an outline of the study‟s methodology, highlighting the steps taken to answer the research questions. Details were given on the necessity to triangulate use of both quantitative and qualitative methods to better determine how use of PI proceeds in the CoCT. The research design was also elaborated on covering sampling methods and study subjects. Also covered were the steps taken in the survey‟s construction and the approach taken in regard to qualitative inquiry. Lastly, the approach to data collection, tools of data analysis and ethical considerations were explained.

CHAPTER 4: RESULTS AND FINDINGS

Overview

This thesis seeks to explore the manner in which PI is used and to further identify some of the factors that affect its use in the CoCT. Surveys were sent to all 60 directors in the Municipality through the Organisational Planning and Management Office. Twenty usable surveys were returned to the researcher and eight key informant interviews conducted. The previous two chapters revealed the conceptual framework and methodology underpinning the findings presented here. The chapter opens with a brief description of the type of PI available or being used in the organisation. An outline of both qualitative and quantitative findings around types of PI use and factors affecting use is then given.

4.1. How is PI Used?

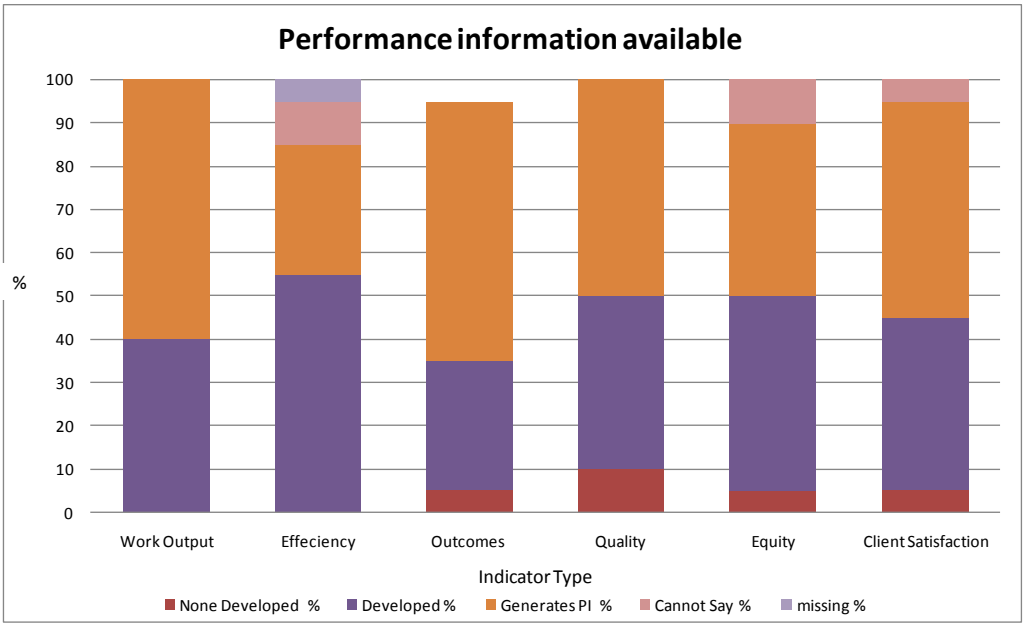


Figure 2: Performance information available in the City of Cape Town.

Results indicate that all types of indicators have been developed and documented within CoCT, with work, output and outcome indicators emerging as the main categories of indicators in

which PI is actually generated (See Figure 2). Interviewees mentioned however, that in reality the utility of information from quality, client satisfaction and efficiency measures, was lower than expected. The following section looks at the findings in relation to rational and symbolic uses of these types of PI. Table 2 provides a summary of the survey‟s findings in this regard.

4.1.1. Rational Use

Key respondents stated that PI was used for planning purposes, especially where resource allocation and the prioritisation of activities was concerned. Based on the PI received, directors would bring issues to the attention of the political and administrative leadership, explaining the nature and volume of resources required and providing an outline of the consequences of funding decisions. Interviewees also mentioned that PI was used for programme design and the restructuring of processes, with programmes being adjusted according to emerging needs. One such example was changes in road maintenance plans following the rainy season, where efforts were redirected towards roads that required immediate attention. As per the data in Table 2, the majority of participants described their rational use of PI as frequent for tracking goal achievement (85%), done through annual performance appraisals and other institutional mechanisms; strategic planning (80%); and for establishing performance targets (75%). A strong theme emerging here was the prioritisation and management of risk in light of the finite resources and infinite demand realities of the public sector. One interviewee explained:

> You see this is the tricky part...our PI will tell us that we need to do 20 roads…we can‟t actually do 20 roads because we only have funding for ten roads. So even though the tool tells us that were regressing, we only have money for ten roads so we put down on the SDBIP ten roads. So we spend the money on ten roads and you get 100% tick. But in the mean time there are other ten roads that should have [been] done but hasn‟t been done. But you can‟t indicate that because you don‟t have money for that. What‟s the use of indicating something that you can‟t do anything about? (*Interviewee 2, 22.10.2013).*

PI was also used occasionally to meet external reporting requirements (40 % of respondents), demonstrate programme effectiveness (65 %), for problem identification (60 %) and to monitor

contracts (55 %). For instance, one director indicated that they used PI to assess the quality of work done and to filter out poor suppliers. To a lesser extent, PI was used to motivate and reward staff with only 30% of respondents stating that they never or rarely, used PI to carry out this function. These findings are presented in totality in Table 2.

4.1.2. Symbolic Use

As shown in Table 2, respondents stated that they use PI symbolically most often to explain the value of the programme (65 %); communicate programme success (60 %); build trust and legitimacy with the public (55 %); and to promote the image of the organisation (50%). The interviews revealed however, that emphasis around promoting the organisation or its successes differed from department to department. Departments interfacing with the public more regularly or whose core function was to promote or protect the city‟s brand, seemed to engage more with these specific forms of symbolic use of PI. Moreover, some interviewees felt that dealing with public relations was primarily a political function and thus they rarely engaged in this function. Interviewees also stated that PI was used to lobby the political leadership, especially when eliciting funds: for example, results from client satisfaction-based surveys, especially when negative, were used to lobby the Mayoral Committee (MAYCO) for additional funding, and not solely for the purpose of identifying problem areas. When viewed cumulatively, the survey results corroborated these findings in showing that PI is used symbolically to satisfy the requirements of superiors, to engage with external stakeholders or as a bargaining tool.

Table 2

Frequency distributions of use of performance information

Rational Use of Performance Information (N=20)	**Never**		**Rarely**		**Occasionally**		**Very Often**		**Cannot say**		**M**	**SD**
	N	%	N	%	N	%	N	%	N	%		
Direct resource allocation	1	5	2	10	7	35	10	**50**	-	-	3.30	.87
Track goal achievement	-	-	1	5	2	10	17	**85**	-	-	3.80	.52
Strategic planning	1	5	2	10	1	5	16	**80**	-	-	3.60	.88
Problem identification*	-	-	1	5	5	25	12	**60**	1	5	3.68	.67
Establish performance targets for staff	1	5	-	-	4	20	15	**75**	-	-	3.65	.75
Restructure work processes (programme design)	1	5	2	10	10	**50**	7	35	-	-	3.15	.81
Monitor contracts*	1	5	2	10	4	20	11	**55**	1	5	3.47	.96
Inform policy plans and briefs of legislators	2	10	1	5	7	35	9	**45**	1	5	3.30	1.03
Meet external reporting requirements	1	5	1	5	8	40	10	**50**	-	-	3.35	.81
Demonstrate programme effectiveness	1	5	3	15	3	15	13	**65**	-	-	3.40	.94
Foster learning	1	5	2	10	8	40	9	45	-	-	3.25	.85
Motivate and reward staff	4	20	2	10	7	**35**	7	**35**	-	-	2.85	1.14

NOTE: *= Missing Data M= Mean D= Standard Deviation

Table 2 continued

Frequency distributions of use of performance information

Symbolic Use of performance information (N=20)	Never		Rarely		Occasionally		Very Often		Cannot say		M	SD
	N	%	N	%	N	%	N	%	N	%		
I use PI to communicate programme success	1	5	2	10	5	25	12	**60**			3.4	.88
I ignore information that challenges a policy position already taken	7	35	8	**40**	5	25	-	-	-	-	1.90	.79
I avoid using information when the results contravene the political agenda	7	35	4	**20**	4	**20**	3	15	2	10	2.45	1.39
I use PI to explain the value of the programme	-	-	-	-	7	35	13	**65**	-	-	3.65	.49
If the PI in my possession is likely to attract negative media attention, I will be less likely to use it	2	10	3	15	8	**40**	3	15	4	20	3.20	1.24
I use information that is favourable to my superiors rather than present actual trends	12	**60**	6	30	-	-	2	10	-	-	1.60	.94
I mould my use of PI to fit political expectations*	13	**65**	2	10	1	5	4	20	-	-	1.80	1.24
I use PI to negotiate political crises	8	**40**	-	-	7	35	2	10	3	15	2.60	1.50
I use PI to manage or promote the image of the organisation	1	5	2	10	7	35	10	**50**	-	-	3.30	.87
I use PI as a bargaining tool	2	10	1	5	11	**55**	5	25	1	5	3.10	.97
I use PI to build trust and legitimacy with the public			2	10	7	35	11	**55**	-	-	3.45	.69

note: * = Missing, M= Mean D= Standard Deviation,

Political Approach

In regard to PI use and politics, differing views were raised, with some interviewees stating that PI should be used to establish „political control". One respondent explained that this was based on the notion that directors should use information at their disposal to influence political strategy and policy making. They added that use of PI in this manner should be the norm, as directors function to service political directives as long as these are brought down through the appropriate channels. That being said, 70% of respondents disagreed with the statement I support the use of PI to establish political control and 75% of respondents stated that they "rarely" or "never" mould their use of PI to fit political expectations (see Appendix D).This may reflect some social desirability effects.

Secondly, it appeared that professional ethics, rather that sycophancy or conformance to political agenda drove PI use. The interviewees revealed that when required, directors would present politicians with facts or evidence supporting alternative scenarios at which point politicians would decide whether to ignore or take the presented evidence into consideration. This was not considered as a challenge to political decision making, with some interviewees stating that the term "challenge" implied hostile opposition to prevailing policy positions. Rather it was the presentation of a well thought out opinion. The survey also showed that respondents rarely ignore actual trends in favour of information that is favourable to their superiors (60%). Similarly, 40% of the respondents stated that their PI was not used in the main for managing political crises i.e. that political crises did not generally influence how they used PI.

Cultural Approach

For some interviewees, PI use aims at improving the quality of life of ordinary citizens. This hinted at an underlying community or citizen orientation. Interviewees stated that they often use PI to inform or educate stakeholders or inform community member. The findings corroborated this with 70% of the respondents stating that they felt that their use of PI could increase the social impact of their work. Concerns were raised however, over PI not being user friendly, which has implications for community participation in problem solving. The results also showed high agreement on the use of PI to manage reputation, communicate value and to build

trust and legitimacy with the public which all tie into the cultural approach to PI. Lastly, Overman and Loraine (1994) found that managers keep parallel systems of information due to beliefs around the symbolic, superficial and compliant nature of existing organisational information systems. One respondent mentioned that they keep a personal record or system of metrics to which they periodically refer to as existing metrics do not meet his information needs. This suggests that there is symbolic engagement with existing performance systems, while directors use their own creativity to develop parallel systems that inform their decision making. This could also be explored further.

4.2. The Context of Performance Information (PI) Use: Factors Affecting Use of PI

This section presents findings on the factors that influence the use of PI during the period in question. The section will be organized according to the conceptual categories identified in Chapter three, but also based on categories emerging from the qualitative data. A preliminary assessment is then made on how these factors relate to the different types of PI use.

Table 3 gives an overview of the highest areas of consensus on factors as selected by survey respondents. In summary, factors that increased PI use were predominantly a mix of internal-environmental factors and „rational based" factors. Political factors, such as "recent political crisis" or "political support" and motivation based factors such as "incentives or rewards for good performance", seemed to have had little to no influence on PI use. However, the latter was mentioned severally as a general concern. In regard to decreased in PI use, the highest consensus was seen around organisational rules and procedures (35%). Other factors said to have decreased use of PI were levels of trust between colleagues; perceptions of risk attached to PI use; volume of PI; and competence and expertise of peers. The next section presents the main themes emerging from the interviews in this regard. These are organized according to the conceptual framework provided in chapter two and are supplemented by data from the survey.

Table 3

Frequency distribution factors that influence Performance Information use (N=20)

	Decreased Use		No Influence		Increased Use	
	N	%	N	%	N	%
Goal oriented culture within the organisation	-	-	1	5	19	**95**
Informal networks and sharing of ideas with peers	-	-	1	5	18	**90**
Legislation and regulatory oversight	-	-	-	-	18	**90**
Clarity of strategic objectives and goals	2	10	1	5	17	**85**
Information relevance	2	10	2	10	16	**80**
Emphasis on learning (learning orientation)	-	-	4	20	16	**80**
Organisations" openness to new ideas and new processes	2	10	1	5	16	**80**
Staff receptivity to change	2	10	1	5	16	**80**
Competence and expertise of those you work with	4	20	1	5	15	**75**
Availability and accessibility of PI	1	5	4	20	15	**75**
Organisational routines that foster PI use	1	5	3	15	15	**75**
Quality of leadership	1	5	3	15	15	**75**
Staff receptivity to performance measurement	2	10	3	15	15	**75**
Forums in which one could learn and share knowledge	1	5	4	20	15	**75**
Leadership commitment to performance management	-	-	3	15	15	**75**
Quality of performance data	3	15	3	15	14	**70**
Timeliness	2	10	4	20	14	**70**
Inter-departmental coordination	2	10	4	20	14	**70**
Task complexity	3	15	2	10	14	**70**
Organisational rules and procedures	7	**35**	6	30	6	30
Personal political interests	1	5	16	**80**	1	5

4.2.1. Management Variables

The survey showed high consensus around the following factors having increased PI use: clarity of strategic objectives and goals for 17 (85%) respondents; competence and expertise of colleagues for 15 (75%) respondents; availability and accessibility of PI for 15 (75%) respondents; inter-departmental coordination 14 (70%), and task complexity for 14 (70%) respondents. One‟s level of involvement in the development of measures was reported as being critical during interviews, though only 13 (65%) respondents stated that it increased their use of PI. 10 (50%) and 11 (55%) survey respondents, respectively, felt that incentives or rewards for good performance and use of external consultants had no influence on their PI use. The interview process highlighted the following as significant managerial variables: organisational routines and interdepartmental coordination:

I. Organisational routines that foster PI use

Respondents identified four types of organisational routines that influence PI use, namely benchmarking, knowledge, project and change management.

i. Benchmarking and Best practice

“Best practice” and “benchmarking” were two principles found to underpin organisational routines within the municipality. For instance, best practice methodologies such as the Balanced Scorecard (BSC), were cited as being foundational where the setting up of performance frameworks were concerned, albeit PI use did not appear explicitly linked to the BSC. One main contention presented was that “best practice” was not fully bought into, understood or applied across various departments. One respondent felt that this was partially due to goals or benchmarks not being relevant, realistically set or contextually appropriate and as such, these had failed to inspire PI use as illustrated in the quote below. Similarly, performance management was thought to be currently “fragmented and not a good return on investment” *(Interviewee 6, 13.12.2013*). Therefore, though benchmarking increased PI use for 10 (50%) respondents, it was apparent that this differed between departments, with some departments benchmarking more aggressively, or more appropriately, than others. This, it was said, would likely further reinforce performance silos and varying performance orientations throughout the organisation, which

likely affects the intention to use PI and the level of standardisation of PI use across the organisation.

> **Res**: ...I‟m not a keen follower of that at all. ...some people are and ask the same question, let‟s go to London. ...That‟s a first class well developed, structured community, and they want to benchmark. That benchmark is near over there! (Indicating levels with hands). We‟re third world, we‟re here! So we want to aim there, without getting there even. Really now is that now a proper way to benchmark? *(Interviewee 2, 22.10.2013)*

ii. Knowledge Management

It was generally thought by interviewees that „knowledge management‟ was a component that needed strengthening throughout the organisation. That being said, forums in which one could learn and share knowledge increased PI use for 15 (75%) respondents and informal networks appeared to be filling the gap with 18 (90%) respondents stating that informal networks and sharing of ideas with peers had increased their PI use.

iii. Project management

Project management was repeatedly cited as an area of managerial weakness that affected PI use, specifically around the management of contracts and the alignment of strategic objectives to performance management and everyday operations. Gaps in process management were also said to be evident, specifically challenges in delineating cause and effect relationships.

iv. Change and Change Management

Change management was identified as a key challenge more so in reference to how performance management had been introduced into the organisation. This contrasted with survey results showed that 80% of respondents found that staff receptivity to change had increased their use of PI, while 75% of respondents stated that staff receptivity to performance measurement had a similar effect. The general perception during interviews was that buy-in into performance management was lagging, even at senior levels and that creating buy-in around particular changes was not regular practice and this negatively affected their PI use. However, it was

suggested that lack of buy-in did not stem necessarily from an „unwillingness" to participate, but rather from capacity gaps in terms of skills and understanding how to implement what seems like a complex elaborate performance management system.

II. Interdepartmental coordination

Interviewees and 14 (70%) of survey respondents stated that interdepartmental coordination had positively influenced PI use. This had resulted in increased transparency and information sharing, facilitated the achievement of cross-departmental goals, fostered a greater appreciation of each department"s work, and their respective contribution to objectives. It has also reportedly reduced „finger pointing" and „blame games". The main mechanism for achieving this was interdepartmental task teams which seemed to have been embraced mainly by the technical based directorates such as roads, utilities, housing and finance. Even so, integration was reported as being somewhat limited and thus „pockets of excellence" were an identifiable feature of the organisation mentioned by most interviewees.

4.2.2. Resource Variables

In this regard, rewards and incentives, organisational rules and procedures, skills and competencies and indicator attributes emerged as strong themes during the interviews**.**

I. Indicator Attributes

According to the survey, the main factors that increased PI use in this regard were information relevance (80% of respondents), information availability and accessibility (75%), timeliness and quality of PI (70% respectively). However, two main dimensions were stressed during interviews: information relevance and quality of PI.

i. Information relevance

This was considered to be a key factor that impacted use. Strong concerns were raised by interviewees around indicator development as relating to the strategic relevance of PI. In their view, information relevance had deteriorated due to two issues: Firstly compliance behaviour, which was described as a tendency to adhere to regulations without critical or strategic thought

and secondly, the approach taken to benchmarking, which caused staff to focus on what could easily be measured. Coupled with competency deficits, there appeared to be a growing disconnect between strategic objectives and the measures developed to gauge progress and a shift away from what was thought to be the city"s most pressing priorities. One example given was in regard to the strategic objective: "promote a sustainable environment through the efficient utilisation of resources", and its associated indicator "percentage of treated potable water not billed", as appears in the organisations Integrated Development Plan (IDP) (CoCT, 2013a:114). It was felt that there was dissonance between the selected indicator and the desired outcome. One artefact of this declining relevance was that some directors had begun to keep separate, private logs of indicators. However, 16 (80%) respondents stated that this factor had increased PI use over the study period which makes it appear that information relevance may have improved.

ii. Timeliness of PI

Information was described as generally arriving in a timely manner, though with occasional delays. One respondent remarked that the more comprehensive a plan of action seeks to be, the more synergy or integrated working would be required and therefore the more time required to work across a number of departments. This was often not taken into consideration when demands for PI or reporting were made especially by external regulators.

iii. Quality of PI

A key concern raised was that the indicator development process was compromising the quality of PI due to low competencies in indicator development; little understanding of performance management; and compliance behaviour. However, 14 (70%) respondents stated that the quality of PI increased their use. This implies that there may have been an increase in the quality of information produced during the period in question, possibly due to improvements in information infrastructure, technology and associated capacity building programmes.

II. Skills and competencies

Some respondents felt that the quality of decision-making greatly depended on the competencies of staff. Survey results showed that fifteen (75%) respondents stated that the

competence and expertise of those they worked with had increased their use of PI. However, according to those interviewed, the level of skill and competencies in regard to performance management was varied. Thus, while there were highly skilled and competent teams of staff, these coexisted with other members who struggled to adapt to new or basic technology. Other weaknesses highlighted were in indicator development, data analysis and project management, all of which have implications for the type and quality of PI produced and how it is used.

III. Organisational rules and procedures

Most comments around organisational rules and procedures revolved around red tape and performance reviews. The latter was said to increase the use of PI, while red tape was consistently reported as a challenge to its use. A director‟s autonomy was sad to be curtailed by the inflexibility of stringent processes and that red tape reportedly, made action unfold at a slower pace. Additionally, an increase in accountability infrastructure and levels of scrutiny increased red tape, pushing staff to inadvertently engage in risk avoidant. Thus, PI use was framed by a form of conservatism thought to be counterproductive in the long run.

IV. Rewards and Incentives

Interviewees repeatedly linked PI use to the notion of reward and motivation. Though interviewees acknowledged that there is a "form of recognition" given for good performance, it was felt that it is "rather vague and is usually linked to gender achievements" (Interviewee 4, 16.11.2013). Concerns revolved around the size and value of rewards, with rewards described as not being commensurate to the amount of effort put into accomplishing particular tasks. According to one director, one cannot be rated as having „over-complied" if they have performed exceptionally well. Therefore, average and high performing staff members were often rated equally. There also did not appear to be a clear reprimand for non-productive staff or alternatively a severe reproach meted out over slight performance mishaps. This fuelled staff apathy towards improving performance or going beyond expectations which impacts PI use. This contrasted starkly with results from the survey which showed rewards to have little to no influence on PI use.

Another concern raised was that rigidities in the system make it difficult to reward staff. For instance, well performing staff cannot be creatively rewarded with time off as attendance is tracked automatically using the clocking in/out system. Another challenge was that job descriptions, at times, cap the motivation to perform as described by the respondent below.

> The winning horse gets flogged, so the one who is doing the work and doing it well gets more allocated to them, and the one with low morale usually just sits with less and less and less work ...The whole thing [is] that there are certain people who get nothing out of the performance management system because they are either at the top of their salary scale so they can‟t get any salary increments or ... through the numerous restructurings that the city or any municipality has gone through, are placed in a position which is not perhaps at a level which they should be performing at. So the actual job description and job rating is a lower level than the salary they are paid. Now that‟s not their fault but then when it comes to a performance review the immediate response is ...„I do not seem to be in the right position so why should I push myself? If I push myself, you know, you‟re not going to give me a performance reward, pushing me on a job description that‟s written for someone who is lower than me, so why should we do that? *(Interviewee 1, 25.11.2013*)

There also appeared to be a misunderstanding around the purpose of rewards i.e. whether staff members are rewarded for work they are contracted to do or whether they are rewarded for going beyond expectations. Perhaps it is these differing views of reward and performance that need clarification throughout the organisation. One respondent explained:

> So the system almost becomes negative in those senses again in that, „was the legislation adhered to? Yes‟. Okay, then you have done your job, you can‟t ever 'more than comply' with legislation, I mean you can but nobody is going to recognise it because you have got to tick this box or you have to find a funding source, so you do that and people say okay so you performed. Nobody is looking to say that yah you did really exceptionally well...so there are some real

> compliance issues that it is going to be very difficult to motivate people and encourage them to deal with more than what they do. (*Interviewee 1, 25.11.2013*)

The relationship between motivation, PI use and performance was also highlighted as an area that should be explored further as it seems that low motivation could potentially, prematurely cap the utility of PI and further strengthen compliance behaviour.

4.2.3. Environmental Variables

I. External environmental factors

In regard to external environmental factors, survey results showed that the following increased PI use of the period in question: Legislation and regulatory oversight (90% of respondents); citizens demands for performance based accountability (65%), and political support for the implementation and use of PI (60%). Political interference, however, had little negative influence on PI use with nine (45%) respondents stating that it had no influence and 40% of respondents stating that it had in fact increased use of PI. Moreover, 55% of respondents stated that recent political crises had no influence on use. According to interviewees the following themes emerged strongly in this regard: the influence of the politics-administration interface, and legislation and regulatory oversight on PI use, as raised by some interviewees.

i. Legislation and regulatory oversight

Regulatory oversight is driven mainly by legislation with CoCTs main stakeholders being the Auditor General, the National Treasury and Provincial and National Government (CoCT, 2013a, 2013b). These regulatory bodies were described as having positively influenced the use of PI in some departments. Interviewees further expounded on this in various ways stating that regulators definitely encouraged the performance measurement. The National Treasury for instance, provides city departments with reporting templates on a host of indicators. Some respondents stated that the volume of indicators to monitor had increased considerably as a

consequence. It was suggested that a large number of these indicators were not useful. One respondent stated:

> What happens is they‟ve created a pool of data and report on that but it‟s not linked to the achievement of a municipal objective, it‟s linked to the achievement of a national objective, which is probably not the same as the local needs and demands; because in Cape Town we need toilets and in Jo‟burg we need houses." (*Interviewee 5, 12.11.2013*).

It was felt by some respondents that regulatory pressure was also encouraging compliance behaviour, denigrating local priorities and crowding out strategically useful information. Officials were therefore described as spending large proportions of time „jumping through hurdles‟ rather than considering value addition. According to one respondent, "the whole system is causing us to focus on compliance rather than on strategic relevance" (*Interviewee 5, 12.11.2013*), which as stated earlier, fosters ambivalence towards PI. These issues were further exemplified by yet another respondent who stated:

> "It was a sad day when people have started to play the game of compliance ...our government and also the National Treasury specifically, to a certain extent even the Auditor General, they join that game now, where they don‟t look at the value that is returned on that, because currently the efficiency and effectiveness are not measured in our country... They don‟t apply their minds or really look at strategy, because people just from the top say, „you must do that!‟... They are not allowed to say „but it is not really value adding‟, you don‟t ask that question. You just do it otherwise you are disciplined *(Interviewee 6, 13.12.2013*)

ii. The Politics-Administration Interface

It was interesting to observe that almost each and every single participant laughed when this topic was raised. Navigating the interface or relationship between politicians and senior staff was described in opposing terms. While described by some as being a difficult task, others felt it was manageable. Interviewees largely felt that that the following affect the interface and thus

impact on PI use: the extent to which senior officials allow political pressure to affect decision-making and implementation; and the level of competency politicians have to effectively evaluate performance. The latter was described as leaning towards the emotive rather than the constructive. Directors considered themselves fortunate when political oversight was given by what they considered competent individuals. One respondent had this to say:

> We are incredibly fortunate that the politician in charge is very clued up because he is an engineer and he has learned trust, particularly who to trust and who not to trust … and he's also a good reader which makes a difference to the reports and the way you write your reports and how you motivate in your reports to get the decision, not necessarily to get the decision that you want but to get the decision so that you can continue and give you direction on where to go. (Interviewee 1, 25.11.2013)

The influence of the electoral cycle on political behaviour was also thought to have implications for PI use. Politicians were described as steering resources to social issues that provided them with greater electoral currency. For instance, targets around human resource appointments were described as being inflated in order to appear as if the unemployment problem was being addressed. Additionally, political imperatives halted or postponed projects due to electoral pressure, which had the effect of slowing project momentum and reducing staff motivation. The latter stems partially from the fact that PI on a particular project, due to how the system is structured, would mark the project owner as underperforming even where project discontinuation was outside of their control. The two examples provided below illustrate this further:

> You will see that our City‟s human resource bill is more density percent at the moment which is far more then the benchmark. That is a serious thing because you are starting now to out-cost yourself in such a manner that your services [are] not affordable anymore. But in the light of that they still appoint people… For me it is not necessary because you already have too much people, but the productivity of your people are not on standard, due to a lack of performance management. And also I think the role of politics in everything…they want to see job creation

> and so on, and these equity targets that we need to meet (*Interviewee 6, 13.12.2013).*
>
> Election‟s coming and so there‟s a whole lot of external pressure on all our politicians. And then politicians changing their ideas and changing their minds about projects...I don‟t necessarily think that we‟ve always got it right in our performance management system, because it is very difficult to motivate why the project was stopped. Then your rating is messed up completely, because now effectively that becomes a zero! (*Interviewee 1,25.11.2013)*.

Finally, officials are tasked with achieving political targets in addition to the goals outlined in the SDBIP. These targets are placed on the Mayor‟s dashboard which is tracked alongside the corporate scorecard. However, political targets were viewed as not always being aligned with strategic goals with political pressure sometimes displacing resources and priorities in the short-term even where PI indicated otherwise. An example of this was the development of the N2 (a national road) express service for the My City Bus which was part of the Democratic Alliance‟s (DA) election manifesto and which was considered largely unfeasible by officials under the time frames given.

The alternative narrative provided was that the political – administrative interface is generally managed well, although this often differs from department to department. It was felt by some respondents that some directors had misunderstood the fundamentals of their job vis a vis political demands. One opinion stated strongly that political instruction was a salient feature of public sector life and that officials should “do as the politician wants” (*Interviewee 1, 25.11.2013)* within professional reason, trusting that the politicians requests are in line with community needs and the organisations strategic agenda. The interface would be fairly stable therefore, as long as there was consensus between politicians and their executive director‟s on the way forward and a council resolution on the same. This could possibly reflect to an extent a level of disassociation over the role of politics in influencing the organisations strategic direction and therefore what should guide use of PI.

II. Internal environmental factors

The main internal environmental factors raised during the interview process include leadership commitment and support and organisational culture. Other themes emerging under these were citizen and learning orientations, and staff behaviour. These shall be looked at in turn.

i. Leadership commitment and support

Fifteen (75%) respondents agreed that leadership commitment to performance management increased their use of PI and 15 (75%) respondents felt supported by the leadership in their use of PI, indicating that the quality of leadership may be a factor influencing use. The Mayor of the Municipality had been described as being a key proponent of performance management, lending strong support to the Organisational Planning and Management/Integrated Development Plan office as they implemented reforms around performance management. Additionally, she pushed staff to conduct performance reviews and to account for "more than just the outcomes" (*Interviewee 1, 25.11.2013)* i.e. to speak more about citizen experiences with service delivery and value for money. Support from the wider political leadership was also evident given their approval of performance and monitoring and evaluation procedures and systems, and their involvement in performance committees which sit to review the performance of the City Manager and Executive Directors. Both the administrative and political leadership were also described as regularly using PI to interrogate performance.

Various gaps in the quality of leadership that may impact PI use were also identified. Firstly, was the political leadership"s understanding of performance management which appeared resigned to a simple reading of objectives and targets as opposed to being committed to the understanding of causal relationships. Secondly, the leadership style was geared towards a more autocratic-bureaucratic style rather than a participatory or consultative approach to management. Respondents felt that this environment stifled inquiry or the intellectual challenging of particular directives, especially around the setting and implementation of political targets.

ii. Organisational Culture

Factors influencing PI were identified as: goal-oriented culture; informal networks and sharing of ideas with peers; emphasis on learning and learning orientation; and the organisations"

openness to new ideas and new processes as seen in Table 3. Staff members were described as being generally receptive to change and to performance measurement. One particular concern raised was that a culture of mistrust was pervasive, though it was generally felt that the issue did not affect their PI use. Participants described trust as being at "an all time low... Everyone says you do not trust anyone that‟s like the cardinal rule of talk here" (*Interviewee 3, 2.12.2013*). Other aspects of organisational culture that were described by various interviewees as affecting use or the commitment to pursue performance improvements were as follows:

a. Citizen orientation

The survey explored whether a citizen orientation might exist and whether it influenced PI use. Though not conclusive, it appears that a community or citizen orientation exists in some departments, in keeping with general public sector ethos (John & Johnson, 2008; House of Commons, 2002). 65% of the survey respondents stated that "citizen demands for performance based accountability" had increased their PI use during the stated period, while 70 and 75% of respondents, respectively, felt that their use of PI could increase the social impact of their work or should be used to respond to the demands of the people. This suggests that from the directors‟ perspective, the citizens voice matters and is heard mostly through client satisfaction surveys. Most respondents seemed satisfied with the quality of this particular survey, however, others felt that the survey lacked specificity and was unable to provide detailed information on where problems lay or what interventions should be targeted.

Various comments were also given around the impact or non-impact of PI on community participation which, it was felt, was hampered by the following: PI being fairly inaccessible to the public; lack of a systematised way in which to communicate PI to communities, despite participatory mechanisms in place; and lastly, that client satisfaction metrics were not on director‟s individual scorecards, but were placed on the Mayor‟s dashboard. Given the negative attitude of some officials towards the Mayor‟s dashboard, it was conceivable that citizen perceptions could be overlooked.

b. Development and learning orientation

There was a general sense that a development orientation was weakly embraced, yet, according to the survey, 85% of the respondents felt that PI should be used to "think of new approaches to doing old things". Respondents stated that an aspirational culture was lacking and that though CoCT talked eagerly of innovating, it did not act in accordance with this proclamation. One explanation put forward for this was that initiative was generally frowned upon by peers and that the generally held perception was that one must not appear as if they "are doing too much" (Interviewee 3 2.12.2013). Similarly, it was said that "people don‟t like to share good things in this place" (Interviewee 3, 2.12.2013) and that the uptake of learning opportunities was generally poor. Adding to this were what were described as path dependencies; change avoidant staff and a culture of complaining as opposed to exploration or innovation, all of which may indicate a gap where valuing continual improvement or development is concerned. However, examples were given of individuals who were seemingly oriented and who used lessons learned to inform practice. One example of this:

c. Risk aversion

Risk aversion also emerged as cultural theme manifesting in a lack of openness to new ideas; a tendency to „talk shop‟; producing large volumes of evidence where succinct information would suffice; and pursuing only those targets that can be easily met. Participants also stated that they were expected to „stay under the radar‟, „cover‟ themselves, or ensure that they are „bullet proof‟. These traits were further reinforced by how people are managed within the organisation, which was described as being circumscribed by a „sink or swim‟ mentality.

> So you have your five things to achieve...but let‟s say you really want to be aspirational then you go for number six …the City‟s take on it? Well not the City but certain folk‟s take: don‟t call out number six, just keep it at number five, down. (Interviewee 3, 2.12.2013)

4.3. Use Relationships

A correlation analysis was also conducted in order to explore the relationships between the types of use and the factors affecting use. The analysis revealed strong positive correlations

between variables as outlined in Table 4. The analysis suggests like De Kool (2012), that the different types of PI use are not mutually exclusive. While rational use of PI is related mostly to rational factors, it was also unexpectedly influenced by symbolic factors and uses of PI. Symbolic use, was also related both to rational and symbolic factors. Surprisingly, information relevance was not highlighted in any of the relationships found, though it was a factor emphasised during interviews. Factors affecting both types of use included availability and accessibility of PI, levels of trust between colleagues and legislation and regulatory oversight especially in regard to rational use of PI for resource allocation, problem identification and programme effectiveness and the symbolic uses of PI for bargaining , explaining the value of the programme and challenging policy positions.

All in all, respondents were largely positive about the impact of PI use on their performance (See Figure 3) with PI perceived to have had a positive impact on internal accountability, external accountability, relationships between departments, programme/departmental performance and the legitimacy of the organisation with the public as per Figure 3 below.

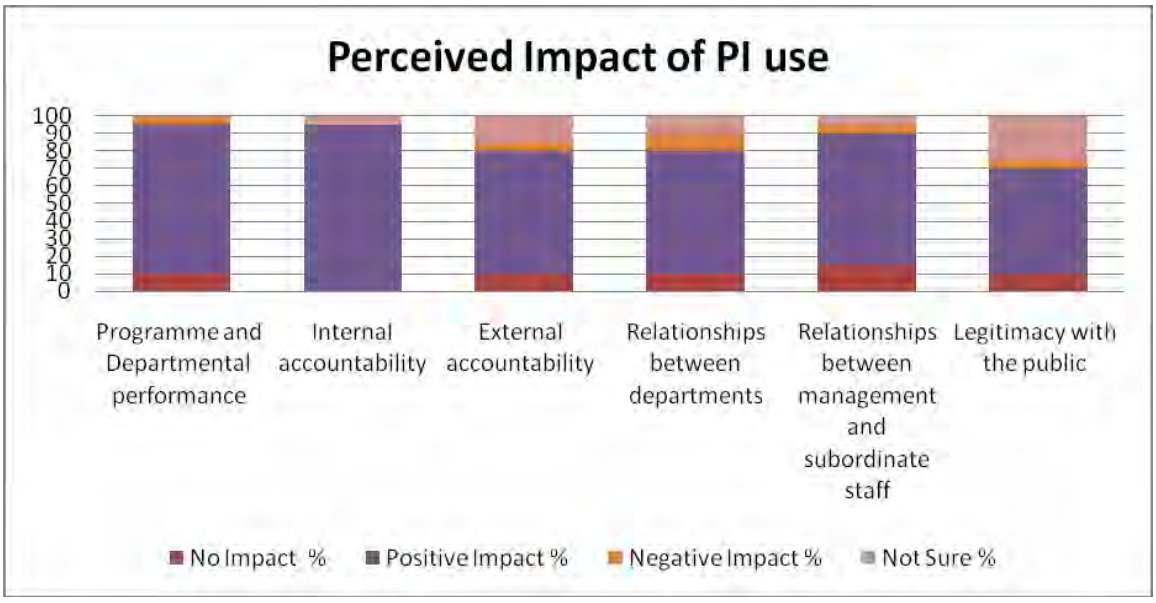


Figure 3: Perceived Impact of Performance Information Use

Table 4

Correlation coefficient's

Type of PI use	Correlated to	τ	sig
Rational Use: Direct Resource Allocation	Indicator Attributes: Quality of data	.715*	.019
	Indicator Attributes: Information accessibility	.667*	.032
	Indicator Attributes: Trustworthiness	.608*	.046
	Internal/Structural factors: Availability and accessibility of PI	.608*	.046
Rational Use: Strategic Planning	Rational Use: Demonstrate programme effectiveness	.728*	.025
	Rational Use: Tracking goal achievement	.728*	.025
	Symbolic Use: Using PI to explain the value of the programme	.728*	.025
Rational Use: Problem Identification	Symbolic Use: Use as a bargaining tool	.736*	.018
	Organisational Culture: Levels of trust between colleagues	.653*	.030
Rational Use: Restructure Work Processes or Programme Design	Rational Use: Motivate and reward Staff	.636*	.030
	Symbolic Use: Use as a bargaining tool	.840**	.005
Rational Use: Demonstrate Programme Effectiveness	Rational Use: Strategic planning	.728*	.025
	Rational Use: Tracking goal achievement	1.000**	
	Symbolic Use: Using PI to explain the value of the programme	1.000**	
	Institutional/Political Factors: Legislation and regulatory oversight	.667*	.046
Rational Use: Tracking Goal Achievement	Symbolic Use: Using PI to explain the value of the programme	1.000**	
	Institutional/political factors: Legislation and regulatory oversight	.667*	.046
Rational Use: Meet External Reporting Requirements	Indicator Attributes: Trustworthiness	.774*	.011
	Institutional-Political Factors: Influence of external interest groups	.697*	.025
	Indicator Attributes: Information availability	.637*	.038

Table 4 continued

Correlation coeffecient's

Type of PI use	Correlated to	τ	sig
Symbolic Use: Communicating Programme Success	Symbolic Use: Use PI to negotiate political crises	.729*	.023
Symbolic Use: Using PI to explain value of the programme	Institutional-Political Factors: Legislation and regulatory oversight	.667*	.046
Symbolic Use: Use PI to negotiate political crises	Symbolic Use: Communicating programme success	.729*	.023
Symbolic Use: Promote the image of the organisation	Internal-Structural factors: Competence and expertise of those you work with	.586*	.050
	Internal/Structural factors: Task complexity	.586*	.050
	Symbolic Use: Use PI to build trust and legitimacy with the public	.843**	.007
	Institutional/political factors: Changes in the administration	.804**	.008
	Internal/structural factors: Clarity of strategic objectives and goals	.670*	.026
Symbolic Use: Use as a bargaining tool	Rational Use: Motivate and reward staff	.840**	.005
	Organisational culture: Levels of trust between colleagues	.711*	.018
Symbolic Use: Use PI to build trust and legitimacy with the public	Symbolic Use: Promote the image of the organisation	.843**	.007
	Institutional-political factors: Changes in the administration	.653*	.032
	Institutional-political factors: Leadership commitment to performance management	.786*	.010
Symbolic Use: Ignoring information that challenges policy position	Indicator Attributes: Timeliness	.782**	.009
	Indicator Attributes: Information availability	.645*	.032
	Internal/Structural factors: Availability and accessibility of PI	.667*	.026

note: τ – Kendells Tau , *P<0.05 , **p<0.005,

Chapter Summary

This chapter presented the quantitative and qualitative results of both the survey and key informant interviews. Both rational and symbolic uses of PI occur in the CoCT and further analysis revealed that the two types of use are not mutually exclusive. Rational use is in line with the managerial uses outlined in Chapter two, while symbolic uses of PI lie around building legitimacy, communicating success and reputation management. There was surprisingly little

influence of using PI for political manoeuvring. However, politics and regulation did play a role in nurturing compliance behaviour and decreasing motivation for PI use.

CHAPTER 5: DISCUSSION

Overview

Performance management has had its proponents and its denigrators, however, one voice often not heard in debates around its efficacy is that of information utilisation and the impact it has on performance as a whole. Explorations into the impact of PI use on public sector performance are few and far between and in the African context, have yet to be broached in any significant way. Given the level of investment in systems for the production of PI in South Africa, it seems fitting that these questions be raised to encourage a greater understanding of the utilisation process. Hence, the thrust of this thesis. While this is not a simple research topic to navigate, it starts by addressing the fundamental questions of whether PI is used, how it is used, and what influences its use within a municipal environment. This is not to say that knowing these will necessarily solve performance problems, however, it will draw us one step closer to ameliorating or mitigating them as implementation proceeds.

As stated earlier, rational theory would suggest that once PI is generated, it is used to increase programme performance as predominantly influenced by resources, monetary and technical support, goal orientation, clear understanding of the information needs, legislation and indicator attributes. Conversely, cultural and political approaches to PI use expand the perception of use to include drivers and influences of a political, personal and cultural nature such as the role of groups, organisational culture and leadership. This chapter discusses the study"s findings in the light of these expectations.

5.1. Performance Information (PI) Use in the City of Cape Town

Firstly, to reiterate briefly, information utilisation is defined as evidence that „knowledge is turned into action" in planning and decision-making or where knowledge gained has caused a shift in attitudes, arguments and/or action (Leviton & Hughes, 1981; De Lancer Julnes & Holzer, 2001). The findings indicate that CoCT directors use PI for decision-making at strategic, administrative, operational and social and political levels. The municipality has generally progressed beyond a mere adoption of performance measurements to the implementation of PI

(De Lancer Julnes & Holzer, 2001), though this has not been without its own set of challenges. In regard to the factors affecting use of PI, there was emphasis on the resource and environmental factors influencing PI use in this context. The next section looks at the rational use of PI.

5.1.2. Rational Approach to Using Performance Information (PI)

As mentioned earlier, managing performance within the public sector is framed by the principles of Weber‟s bureaucratic theory which venerates the ideas or principles of division of labour, hierarchy, rules, standard operating procedures, merit based hiring and promotion, norms of social behaviour and so on, as outlined in Hall, (1963) and underpinned by rational theoretic assumptions. CoCT conceptualises performance management in a distinctly rational manner. Indeed the organisation documents it as the **"**way of planning, collecting and reporting on performance information" (CoCT, 2013b:1) with expected to PI affect decision-making in a concrete, logical manner. According to the literature, factors influencing use should then revolve around level of resources and competencies of staff; goal oriented-ness; monitoring and reporting system maturity; an appreciation of stakeholder‟s information needs; and legislative requirements. A key examples given of rational approach to PI use being present was the influence of indicator attributes such as information availability and accessibility. Information is generally used and judged "in the context of other available information" (Patton et al. 1977:146) and thus better information infrastructure, methods of data collection and so on are likely to have an effect on the frequency or propensity to use PI for accountability purposes. This appears to be the focus within CoCT, with respondents reaffirming that they observed increased PI use due to increased availability and better methodology and technology in regards to data collection.

Secondly, was the influence of PI quality on managerial functions such as resource allocation and the meeting of external reporting requirements. The findings indicate that resource allocation in CoCT correlates mostly with indicator attributes, i.e. the quality, accessibility, availability, and trustworthiness of PI and that using PI for accountability was related to its trustworthiness. These findings tally with various findings. Sanderson (2002:62) states "that policy action by government is more rational to the extent that it is based upon sound evidence". Other research shows that information use is largely framed by „truth and utility" tests, where

decision-makers look at the technical robustness of information as well as its practical value for problem solving (Ewell, 1999; Kahn, Strong &Wang, 2002; Landrum, et al, 2002; Sanderson,2002; Shenton, 2004; Van de Walle & Van Dooren, 2010:44; Kroll, 2013). However, despite the existence of these relationships, a number of interviewees raised concerns over PI quality especially in regard to its strategic relevance This raises two issues: firstly, it brings into question how staff conceptualise quality information and secondly, it may be a further indication that decision making is not based solely on official indicators, which is plausible given that some interviewees stated that they possessed private, parallel monitoring systems of their own to track what they deem relevant for organisational functioning.

On the whole, though the rational approach was evident, it was clear that where measurement has been promoted, explained and institutionalised according to these principles, similar attention did not appear to have been given to PI use as has been found in studies by Moynihan and Pandey (2012) and Moynihan and Ingraham (2004). An assessment of the extent of rational framing of PI use was made as a result and gaps were identified in current „rational" practice. For instance, in regard to the „comprehensiveness" of performance planning and implementation, the findings point to there being little emphasis on learning through quality evaluation and review. The manner in which the city distributes its resources (Boyne, 2001) was illustrative of this. Participants indicated that resources are primarily centred on the development of performance systems, specifically the introduction and upgrading of electronic accountability and monitoring tools and not on the latter stages of the performance cycle.

This reflects the trend to combat complexity around performance with better technology, but superficially addresses the mechanisms via which improvements actually come about such as, I contend, information utilisation (Sanderson, 2002). Kloot and Martin (2000) state that the latter aspects of the planning cycle, such as information utilisation, organisational learning, and knowledge management processes need to be expanded in order to enhance performance. It has somehow gone unnoticed that resources are not being dedicated to evaluation, learning and information utilisation wherein the value of PI and performance management at large, lie. Kasperson et al., (1988) rightly stated that the rational approach simplifies administrative reality in the face of risk and complexity. However, to truly utilise PI to the fullness of its potential will

require not only that rational elements are reviewed, but that symbolic factors affecting use also be considered as will be discussed next.

5.1.3. Symbolic Approaches to Using Performance Information (PI)

The findings showed that in addition to the rational use of PI, utilisation behaviour was also framed by the normative, cultural and political, with managers using PI in non-linear, tacit or obscure ways. It was noted that there was perhaps greater emphasis placed on use of PI use for managerial control as identified by Behn (2003:588) and Overman and Loraine (1994), while there was less emphasis and awareness of using PI for symbolic purposes. However, symbolic uses identified largely revolved around communicating achievements, managing reputation, building legitimacy, expressing value or values and using PI occasionally or regularly as a bargaining tool. Moynihan, Pandey and Wright (2011:145) describe the political use of PI as being "where data are used to argue for the value and legitimacy of a program and to make the case for resources". This study support this claim and also other findings from Oh (1997), Boyne (2001), De Lancer Julnes and Holzer (2001), Behn (2003), Van De Walle and Van Dooren (2010), and Moynihan (2006). Further support for the political and cultural approaches to PI use was evidenced by the fact that factors influencing PI use being a mix of both internal and external environmental factors. Key features of the symbolic use of PI were identified, some of which are elaborated on below.

Bargaining

Positive relationships were found between using PI as a bargaining tool and using PI to motivate and reward staff, as well to restructure work processes and programmes. Bargaining strategies identified by respondents included the „collaborating or problem solving" form of strategy which emphasises cooperation for the benefit of both parties (Ganesan, 1993:184). This may reflect an aspiration for arriving at a 'middle ground' as directors navigate tensions around regulatory compliance, community orientations and self preservation. In regard to restructuring, Pollitt (2001) gives a brief overview of the restructuring process which moves from the "debate and the formulation of reform ideas" stage, proceeding on to consensus, the adoption of reform proposals and finally implementation. His account touches on the unfortunate fact that reform

prescriptions often fall off the agenda over time. In the light of highlighted tensions, it seems fairly evident then that PI would be used to explain the value of a particular approach or to negotiate reform ideas as in Poister (2010).

Which leads to the relationship between bargaining and motivation: here, the relationship is more complex. Bargaining is reportedly linked to different types of motivation. Scheres and Sanfey (2006) show that „reward sensitivity" is a key factor in decision-making during bargaining activity while Birkeland, (2011:2) identifies „fairness motivation" as an influence of bargaining activity, based on norms of „equality and proportionality". In light of this, one can speculate that an individual may bargain either motivated by PI that speaks to these norms, or where reward expectations revolve around personal interest such as increased social or political capital, legitimacy and efficacy or even economic rewards via institutional rewards, as described by Van Dijk, De Cremer and Handgraaf (2004). However, it should be noted in relation to the latter that institutional incentives as institutional rewards were described by most respondents as being insufficient for affecting their behaviour. CoCT directors appeared to be more self-, than institutionally motivated. Therefore, use of PI to bargain may be driven by more altruistic based motivators that indicate an entrenched community orientation or attachment to public sector ethos.

Building trust and legitimacy

Given that the crisis of legitimacy that local government as a whole faces in South Africa, it was expected that PI would be used to build trust and legitimacy with the public (Steytler, 2005; Naude, McGillivray & Rossouw, 2009). Sanderson (2002) comments on this legitimating function of PI, especially for navigating social interactions. Symbolic use of PI to promote the image of the organisation was positively correlated to using PI to build trust and legitimacy with the public. The aim when promoting the image of municipal organisation is to shape residents" „encounters" with the city and to raise their confidence and trust in the institution to deliver. This involves bridging the gap between the conceived and actual identities of the organisation and can be done in various ways, such as promoting the cities greatest achievements and providing visible evidence of positive change (Walsh, 1994; Trueman, Klemm & Giroud, 2004; Kavaratzis & Ashworth, 2005; Kimm, 2005). Given the dismal characterisation of the state of local

governance in South Africa (COGTA, 2009), it was expected that use of PI would favour managing stakeholder concerns and raising expectations around the capacity of local government to deliver. Moreover, political competition and dynamics surrounding the current local governance context means that there has been a constant push to engender trust and legitimacy in the ability of the Democratic Alliance (DA) to run the municipality effectively (Jolobe, 2007).

Performance Norms and compliance behaviour

The findings also suggest the presence of the logic of "appropriateness of action" which relegates rational terms and situates PI use in relation to group norms. In this case, these are likely to be achievement or work norms, which regulate performance levels and general behaviour (Sanderson, 2002:67). Various examples of this were given specifically around risk averse and compliance behaviour. Compliance culture has been described as when "minimum standards come to matter more than excellence, action more than exploration, conformity more than integrity....personal engagement or political radicalism" (Kelly & Horder, 2001:694). Compliance, though necessary, is costly and at its worst, fosters a tick box mentality that has been shown to have detrimental effects in the long run (Boyne, 2001; Bace et al., 2006; McGivern & Ferlie, 2007; Lapsey, 2009; KPMG, 2013). Within CoCT it was evident that: demands of external regulators sometimes take precedence over local priorities, as has been reported in Lapsey (2009), Taylor (2009) and Norman (2002); that service delivery is becoming more "fragmented" and robotic approach; that there is a general "preoccupation with appearances"; and the general lack of acknowledgement of faults with the current system (McGivern & Ferlie, 2007:1379).

This behaviour appeared to be rooted in beliefs around the consequences of performance or non-performance and expectations around how others should behave in the light of risk. Risk was heightened by the harsh sanctions and punitive approaches taken in disciplining staff in regard to non-performance both internally and from external regulators. According to McGivern and Ferlie (2007), compliance behaviour becomes a form of protection or defence from anxiety or fear of "powerlessness or persecution". Low organisational trust may also be a driver of compliance behaviour though a few respondents stated that „trust" was not an issue that affected their PI use. However, studies show that levels of trust between colleagues impact bargaining

behaviour, problem identification and overall organisational performance (Zaheer, McEvily, & Perrone, 1998; Joseph & Winston, 2005; Cho & Ringquist, 2011).

Nyahn (2000:91) and Cho and Poister (2014) also outline work practices that have positive effects on trust such as participative decision-making, constructive feedback, effective communication and "empowering employees to accomplish work unilaterally", all of which are aspects that respondents described as being at diminished levels within the organisation. Without trust one may find increased defensiveness, obscure behaviour, miscommunication, information distortion or behaviour around the „minimisation of vulnerability (Zand, 1972; Nyhan, 2000), some of which have been observed by respondents. Thus, low trust, perceptions around punishment and limited rewards, regulatory pressure to comply and the complexity of work at hand were therefore conspiring towards the superficial development and utilisation of PI. Personal motivation, perceptions of risk and compliance norms therefore acted as a lens or filter through which decision making proceeds.

It should be noted here that politicisation or political interference, usually found to undermine organisational and the public‟s trust (Joseph & Winston, 2005; Cameron, 2009; Ohemeng, 2010), was not a prevailing concern, though it was conceded that this may vary from department to department, though an observational study may need to clarify this. The role of „politics" within this municipality therefore featured mainly in the prioritisation of action or issues as implied by Bourgeois (1984) and Alford and Hughes (2008). Where it was expected that there would be little evidence for the politics-administration dichotomy thesis, it was found instead that CoCT appears to maintain this divide.

In conclusion, these findings indicate a superficial engagement with the notion of performance improvement or may simply be a reflection of the current maturity of the Municipality‟s system or approach to performance, which will hopefully in time, move towards more development orientated practice. The findings suggest that performance improvement is less valued than regulatory compliance, which may be a by-product of the wider governance context that the municipality is situated in. Findings also suggest that bureaucrats use PI for purposes of self-preservation which may indicate shreds of public choice theory at work. However, this is countered by a citizen orientation and presence of professionalism and public sector ethos. A probable hypothesis therefore would be that appropriate utilisation for the

purposes of improvement, can only proceed in CoCT if compliance issues, risk and personal motivation are addressed.

Without an acknowledgement of these, the municipality will likely have a formal but superficial analysis of PI that glosses over socio-political processes or the interaction of factors in the organisations environment. From contingency theory we can speculate that the city will need to make necessary arrangements to accommodate this complexity. It is noted however that strides are being made to change this within the organisation through implementing better knowledge management systems and improved interdepartmental coordination to address this.

Chapter summary

This chapter discussed the use of PI in the CoCT which though built on rationalistic assumptions, in reality finds that behaviour is influenced by political and cultural factors. The chapter outlined how both rational and symbolic approaches frame PI use in the Municipality, providing key examples of them same. Various examples were also given of the interaction between the approaches as well as the influence of particular factors such as indicator attributes and organisational culture, where the „softer issues", such as trust, legitimacy, and motivation were discussed. Together, these showed that indeed the approach to utilisation has perhaps been too narrow and linear and should be expanded to incorporate the complexity of information utilisation and decision-making processes.

CHAPTER 6: CONCLUSION

Overview

The study set out to explore how performance information (PI) is utilised in the City of Cape Town (CoCT) municipality and to determine what forms of use inhere in the organisation. Moreover, it aimed to provide insight into the factors that influence the different forms of PI use and in so doing illustrate how local context influences PI use. The framework used to do this was informed by three approaches: a rational and symbolic approach to information use and a combined approach, the latter of which was developed in reference to contingency theory. Whether or how PI use actually impacts on performance was not determined here, however, both the survey and interviews provided the necessary data to confirm that PI use occurs and that relationships exist between different forms of PI use which is a first step in determining the utility of PI.

6.1. Summary of Findings

I. How is performance information used in the City of Cape Town?

The results showed that directors within the CoCT regularly use PI. As expected, the rational approach is the most conspicuous mode of PI use with most directors geared to using it purposefully for the meeting of organisational goals. The most commonly occurring forms in this regard revolved around strategic planning, reaching goal achievement and establishing performance targets for staff. These were closely followed by using PI for resource allocation, problem identification and so on. There were however varying opinions and questions as to how „useful" or relevant information produced is for carrying out these functions. It was implied that while official PI may be useful for operational functioning, keeping „the machine" running, it may however be insufficient for moving the organisation forward. The findings also showed that rational and symbolic (including political and cultural) approaches co-exist. Symbolic uses of PI revolved mainly around trust and image building and using PI to bargain and explain the value of different approaches. The factors most affecting use in this regard included political and

organisational factors. Thus, symbolic use did not be appear to be driven by the desire to posture or imitate rationality or gain hegemony as outlined in works by De Lancer Julnes and Holzer (2001) and Taylor (2009). Instead it was possibly driven by the need comply and/or to buttress the image and reputation of the Municipality given the political context in which it sits. Additionally, there was the influence of learning and citizen orientations. Most of these factors do not feature strongly in organisational policy yet are likely to be key pillars that could buttress rational structures and functioning if addressed.

There was evidence showing that the city has done relatively well in establishing a form of performance orientation and enhancing accountability, and has made several strides in developing the necessary infrastructure to support this. The rational approach appears to have been the primary framework informing the municipalities approach to this. However, the study shows that there are relevant gaps in this approach that limit directors from maximising the utility of PI. These gaps were outlined in Chapter five and may need to be addressed if indeed a rational template is to be fully employed. Secondly, the study highlighted the disjuncture between strategies for performance and what unfolds on the ground. Similar to Monyihan (2008), this study found that more emphasis may have been placed on giving an account over focusing on continual improvement. There appears to be tension between strategic relevance and operational rigour as well, when the two should be congruent. This has reinforced compliance behaviour and diminishing flexibility and autonomy. This adds to the growing evidence that the preoccupation with measurement cannot on its own fulfil strategic expectations. What may be required is a focus on managing performance by delineating lessons learned, and creating broader understandings of how to manage people appropriately and how to turn knowledge into strategic action. PI utilisation underscores this and the fact that measurement is a means and not an end in itself (Nerreklit, 2000; Poister, 2010).

II. What is the relationship between different types of Performance Information use?

Rational and symbolic uses of PI were related with both types of use affected by rational, cultural and political factors. Of the relationships identified, most appeared to be positive, however, given the sample size and possible confounders, this is not a conclusive result and will require more research to be carried out, ideally, of the longitudinal or ethnographic nature.

III. What is the role of context in determining how Performance information is used, i.e. what factors influence PI use and how do they relate to different types of PI use?

Contingency arguments boil down to organisational effectiveness and performance in general, being contingent on the organisation‟s environment, strategy and size (Birkinshaw, Nobel & Ridderstråle, 2002:276). Reference to contingency theory facilitated the assessment of the information utilisation context by providing us with a framework through which factors affecting PI use could be organised. Thus, insight was gained into how different variables interact, though this should be explored further. The expectation was that more rationally oriented factors (i.e. indicator attributes and structural issues) would affect rational use and that political and cultural factors would affect symbolic uses of PI. However, this was not the case with symbolic uses of PI affecting rational uses, and rational factors and uses of PI affecting symbolic uses. As context changes, so could the direction, content and emphasis of these relationships. An analysis of context is therefore crucial to determining how PI is used and its relevance.

Additionally, by focusing on PI utilisation the study was able to highlight specific challenges with current practice that impact on PI use and may therefore impact the achievement of outcomes. For example, the role of compliance behaviour and current limitations with the rational approach as related to PI use. There also appears to be some tension between community or citizen orientation and compliance behaviour. The emergence of “pockets of excellence” was indicative of this, and hints at the variation in the implementation of performance management or how PI is used across departments. This corroborates Hammerschmid, Van De Walle and Stimac‟s (2013) findings, according to whom this may reflect variations in decision-making culture across departments. The principle therefore, should be to ensure that public service ethos do not get lost in the drive for competence and that compliance, though necessary to maintain ethical rigour and good governance, on its own remains unable to sustain transformation or excellent service delivery.

Although, this form of systems approach is hard to explore within the confines of a Masters dissertation, the combined approach acknowledges the role of various factors and theories in this information utilisation space and allowed for the incorporation of system level

factors that impede or facilitate use of PI. Measuring the „degree of fit" in relation to PI use i.e. determining how the interaction between the environmental contingency and various organisational characteristics affect performance was beyond the scope of this study but may however, be a potential research area to pursue.

6.2. Contributions to the field

The findings speak to the cities aspirations in terms of performance management being "best suited to its [the cities] circumstances" and "a pragmatic approach based on the current realities in the city" as stated in their PMS Implementation Guidelines (CoCT, 2013b:2). Additionally, the study is likely to provide some insight into municipal governance, at least in the CoCT metro and could be used to inform institutional policy around how performance management is implemented. The study also contributes to the field of performance management in various ways: it gives eminence to a key component of the performance cycle, providing a useful sketch of the limitations of current approaches to utilisation that are instructive. It also provides an overview of the extent to which intermediate decision-makers, such as directors, direct implementation. It similarly, provides an outline of factors affecting PI use, all of which have implications for organisational outcomes such as the effect of regulatory pressure and even the role of trust in using performance information, the latter which may be the basis upon which a new paradigm of performance management could be launched as suggested by Nyahn (2000). Despite its limitations, the study may contribute to clarifying methodological approaches to answering questions related to PI utilisation and has the potential to generate a variety of new hypotheses. Lastly, in completing the survey, some study participants stated that they felt enlightened in having gained a new perspective on how PI can be used and shared.

6.3. Limitations of the study

This study provided the basis upon which, with further research, we can better theorise around the socio-economic, political processes that frame not only performance information use but also performance management. However, the study like others before it, established the existence of various factors but did little to explain the relationships between these factors in

relation to performance as expected in the contingency theory, mainly due to limits of time and agency. To gather more robust correlations would have required measures of performance outcome, structural dimensions and environmental variables. However, adequate measure of performance could not be immediately found and changes in the other variables over time could not be established given the short time period in which the study was conducted.

Methodologically, there is limited external validity due to the cross sectional approach taken and the small, convenient sample of directors from only a few departments of the City of Cape Town. Secondly, due to lack of time and resources the researcher was unable to put into place verification procedures such as having key informants verify whether I had captured them correctly or having other researchers verify the coding system used. Neither could the grounded theory approach be applied extensively. Lastly, Sanderson (2002) comments on the issues surrounding theorizing in the public sector namely, conceptual fuzziness, the conflict between macro and micro modelling of relationships, and reciprocal causation, to name a few. These difficulties were experienced in the piecing together of findings. However, the study employed the use of a heuristic to avoid some key issues with adopting the contingency theory as a whole (Bourgeois, 1984; Birkinshaw, Nobel & Ridderstråle, 2002; Donaldson, 2010; Ohemeng, 2010).

6.4. Recommendations

Essentially, PI use is about decision-making and the city will need to look at ways in which good decision-making can be strengthened. By taking a closer look at information utilisation, various areas have been identified that require „tweaking" in order to address deficits in the current approach. It was suggested by various participants that performance management and PI be made more „user friendly to enhance the utility of PI and that a greater understanding of causal relationships be encouraged in relation to the daily operational functions. It was also suggested that information utilisation become an explicit component of the planning-performance cycle drawing decision-makers" attention to discussions on how to best apply or handle PI in different scenarios, to the actual application and implications of PI use. Formalising PI use would make the practice more „tangible" and its links to performance improvement more explicit.

It was also felt that a concerted effort should be made to ensure that the culture of compliance that has set in does not further metastasise as the system continues to mature. Dealing with staff motivation may also be necessary in this regard. Current indications are that performance and use of information are not motivated greatly by the current reward structure. It is suggested that a review be carried to determine wherein systemic de-motivators lie, as well as to determine the impact of current incentives on performance and PI use.

It was also suggested that competencies be increased in indicator development, monitoring and evaluation, and project and knowledge management. A greater awareness of the norms, principles and intent of performance management would be required as capacity is built, rather than a sole focus on technicalities of operationalisation. Lastly, in regard to developing customised solutions to „wicked", localised problems, accountability needs to go beyond satisfying procedural requirements and servicing "surveillance" mentalities as this erodes the "trust and moral sense of duty required, and encourages manipulative, opportunistic behaviour and 'buck-passing'" (Sanderson, 2002:71-72). Thus, stimulating trust building and re-emphasising public sector ethos may be something the municipality could consider. It may require that CoCT adopt a more relational, transactional or organic structural form based on task and environmental characteristics, in order to make better use of PI in meeting desired outcomes (Drazin & Van de Ven, 1985; Ruekert, Walker & Roering, 1985).

6.5. Future Research Directions

Various issues and questions of interest have emerged as a result of the study. Future research may seek to explore in more depth how specific PI attributes relate to PI use such as those outlined by Birkinshaw, Nobel & Ridderstråle (2002). One could also investigate the predominant PI use strategies employed in the CoCT. Forester (1984:25- 26) expounds on these, providing examples such as "hedging, networking-searching, bargaining, democratizing, and adjusting". Borrowing from Reck (2001), it could be determined what particular types or strategies of use are more effective for specific of situations.

As there was no feasible way to measure the degree of or impact of fit on organisational performance within the scope of this study, further research could explore how PI use influences

fit, and in alignment with organisational contingencies, what forms of „fit" yield the best outcomes in the CoCT. This would be best addressed in a longitudinal study with a pattern analysis that would provide insight into the interplay of various contingencies and structural components, and their influence on organisational performance (Drazin & Van de Ven, 1985). The findings of these studies could contribute to the development of indices for PI use or at least lay the groundwork for the development of such an index. There are also various confounding variables that could be incorporated into further investigations such as individual variables or those outlined by Kasperson et al. (1988), which include the nature of social groups within the organisation, information value or significance, levels of stigma within the organisation, and sources and channels of information. Finally, further research can be conducted to test the equivalence of the heuristic that was developed, in addition to testing its reliability and validity.

6.6. Conclusion

Understanding how PI is used is essential to understanding how organisations actually improve or regress given the information emerging from their performance systems. That administrative action is largely rooted and reflects rational models is not refuted here. What is advocated for is that the rational assumptive stance in explaining administrative behaviour, gives an incomplete picture of public sector functioning and that what is required is a broader appreciation of context and the other factors at play. The current PMS appears to be signalling to directors where or when information should be utilised, albeit not providing insight into "how" or "why" PI should be used. This predominant focus on the structural and procedural aspects of performance measurement, though a necessary part of building a performance regime within the city, could lock-in public sector potential and effective decision-making.

In closing, I acknowledge Kloot and Martin's (2000:233) sentiments in saying that the concern has been with "the validity of the measurement system rather than how the information will be used to change and improve the way in which services are delivered. There is little discussion about the nature of PI and an organisation's strategic choices. This study takes the first steps in addressing this issue.

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APPENDICES

Appendix A: Interview Schedule

No.	Directorate	Position	Code Number	Date
1.	Finance	Director	Interviewee 1	25 November 2013
2.	Transport for Cape Town	Director	Interviewee 2	22 November 2013
3.	Events & Marketing	Director	Interviewee 3	2 December 2013
4.	Health	Director	Interviewee 4	16 November 2013
5.	IDP Office	Director	Interviewee 5	12 November 2013
6.	IDP Office	Manager	Interviewee 6	13 December 2013
7.	Community services	Performance Management Officer	Interviewee 7	11 December 2013
8.	Transport for Cape Town	Performance Management Officer	Interviewee 8	2 December 2013
9.	Economic, Environmental and Spatial Planning	Director	Interviewee 9	Email correspondence December 2013

* All interviews were conducted at the City of Cape Town office

Appendix B: Instruments and Forms

Section A: Questionnaire

Dear Sir/Madam

RE: QUESTIOINNAIRE ON THE UTILIZATION OF PERFORMANCE INFORMATION IN LOCAL GOVERNMENT (CoCT)

My name is Linda Noah and I am a UCT post graduate student in the Department of Political Studies, conducting research for the purposes of fulfilling my Masters in Public Policy and Administration degree requirement. I will be conducting a survey to investigate the utilization of Performance Information (PI) amongst senior level officials the City of Cape Town. The study will explore the behaviour, knowledge and attitudes around use of performance information (PI). The aim is to interview all senior level managers in the City of Cape Town, with a score of managers selected randomly for more in depth interviews. However, where this is not possible convenient sampling will be used. This research has been approved by the UCT Humanities Faculty Ethics in Research Committee.

Your participation is highly valued and is on a voluntary basis. Your response to individual questions is also voluntary. You can choose to skip any question or withdraw from the study at any time without penalty. All responses will be kept confidential and used for the purposes of this research only. All information provided herein will be kept confidential and all completed questionnaires will be accessed and analysed by the researcher and research supervisor alone. A summary of the findings will be shared with the Organisational Performance Management Unit of the City of Cape Town. Your responses will be put together with those of approximately 50 other respondents, and it will not be possible to identify you according to your responses. The questionnaires will be destroyed 3 months post-graduation and raw data will be stored securely on an external hardrive.

For any further questions or if you are interested in the results kindly contact Linda Noah on odrlin001@myuct.ac.za or linda.oduor-noah@gmail.com or the research supervisor, Prof. Robert Cameron at Robert.Cameron@uct.ac.za .

Instructions

a. Kindly answer questions in the sequence in which they are provided
b. Do not put your name anywhere on the form
c. Kindly sign the informed consent form and return it to the researcher
d. The questionnaire will cover the period FY2012-2013.
e. This questionnaire will take approximately 10-25 mins to complete.

Definition of common terms

"Performance information (PI)"- a generic term for non-financial information about government services and activities (FMMPI,2007). This is the definition provided by Treasury.
"Use": refers to how knowledge from performance information causes a shift in attitude, argument or action.
"Input measures": The resources that contribute to production and delivery e.g. labour, physical assets, and IT systems.
"Output measures": number of products, or goods and services produced by the organisation for delivery to the customer e.g. tonnes collected.
"Efficiency measures": whether the department is operating efficiently e.g. cost per unit of output or workload
"Outcome measures": extent to which objectives, needs or desired impacts are achieved, met or produced e.g. reduction in crime,
"**Quality measures":** speak of the quality of the products or service provided e.g. response times, accuracy rate, turnaround time,
"**Citizen satisfaction**": extent to which service users feel like their needs are being met.
"Equity Measures" : explore whether services are being provided impartially, fairly and equitably e.g. gender , disability indicators, community participation, access rate of minority groups etc

PART I: Background information (Tick where appropriate)

1. Gender:	☐Male	☐Female

2. Age (yrs)	

3. Highest educational qualification?	☐ Diploma	☐ Undergraduate deg	*☐ Postgraduate deg	☐ PhD/doctoral deg

4. Rank	☐Executive director	☐Director	☐ Manager	Other _____

5. How long have you been in your current post?	_____ years

6. Working experience	In management :_____years	in the public sector: _____years

7. To what extent would you say the following measures have been developed and yield or generate performance information (PI) for your programmes

Type of measure	None developed 1	Developed 2	Generates PI 3	Cannot say 4
Work/output	☐	☐	☐	☐
Efficiency	☐	☐	☐	☐
Outcome	☐	☐	☐	☐
Quality	☐	☐	☐	☐
Equity	☐	☐	☐	☐
Client satisfaction	☐	☐	☐	☐

8. Rate your degree of authority in regards to the following statement: **In my position, I have the following degree of decision authority with regard to.....**

	No authority 1	Low authority 2	Some authority 3	High authority 4	Full authority 5	Not sure 6
Strategic planning	☐	☐	☐	☐	☐	☐
Policy design	☐	☐	☐	☐	☐	☐
Programme design	☐	☐	☐	☐	☐	☐
Programme implementation	☐	☐	☐	☐	☐	☐
Resource allocation	☐	☐	☐	☐	☐	☐
Rewarding staff	☐	☐	☐	☐	☐	☐

PART II: Exploring use of performance information (PI)

9. Rational/instrumental use: To what extent did you use PI to directly accomplish the following in the last 1 year

	Never 1	Rarely 2	Occasion-ally 3	Frequent-Ly/very often 4	Cannot say 5
Direct resource allocation (budget)	☐	☐	☐	☐	☐
Track goal achievement	☐	☐	☐	☐	☐
Strategic planning	☐	☐	☐	☐	☐
Problem identification	☐	☐	☐	☐	☐
Establish performance targets for staff	☐	☐	☐	☐	☐
Restructure work processes/ programme design	☐	☐	☐	☐	☐
Monitor contracts	☐	☐	☐	☐	☐
Inform policy plans and briefs of legislators	☐	☐	☐	☐	☐
Meet external reporting requirements	☐	☐	☐	☐	☐
Demonstrate programme effectiveness	☐	☐	☐	☐	☐
Foster learning	☐	☐	☐	☐	☐
Motivate & Reward staff	☐	☐	☐	☐	☐

10. Symbolic use of PI (in the last year): To what extent do the following statements reflect the frequency of your use in relation to the given statement in the last 1 year

	Never 1	Rarely 2	Occasion-ally 3	Frequent-Ly/very often 4	Cannot say 5
I use PI to communicate programme success	☐	☐	☐	☐	☐
I ignore information that challenges a policy position already taken	☐	☐	☐	☐	☐
I avoid using information when the results contravene the political agenda	☐	☐	☐	☐	☐
I use PI to explain the value of the programme	☐	☐	☐	☐	☐
If the PI in my possession is likely to attract negative media coverage (attention), I will be less likely to use it	☐	☐	☐	☐	☐
I use information that is favourable to my superiors rather than present actual trends	☐	☐	☐	☐	☐
I mould my use of PI to fit political expectations	☐	☐	☐	☐	☐
I use PI to negotiate political crises	☐	☐	☐	☐	☐
I use PI to manage/promote the image of the organisation	☐	☐	☐	☐	☐

	Never 1	Rarely 2	Occasion-ally 3	Frequent-Ly/very often 4	Cannot say 5
I use PI as a bargaining tool	☐	☐	☐	☐	☐
I use PI to build trust and legitimacy with the public	☐	☐	☐	☐	☐
I use PI to engage with external stakeholders	☐	☐	☐	☐	☐

11. Perception of impact of PI against initial expectations in the last 12 months: To what extent would you say your PI use has had a positive or negative impact on the following areas

	Negative Impact	No Impact	Positive Impact	Not Sure
Programme/departmental performance	☐	☐	☐	☐
Internal accountability	☐	☐	☐	☐
External accountability	☐	☐	☐	☐
Relationships between departments	☐	☐	☐	☐
Relationships between management and subordinate staff	☐	☐	☐	☐
Legitimacy with the public	☐	☐	☐	☐

Part II: Exploring Factors affecting use of performance information (PI)

12. To what extent have the following factors influenced your use of performance information (Decreased or increased use of PI) in the last 1 year

Indicator attributes	Decreased use 1	2	No influence 3	4	Increased use 5	Not sure
Quality of performance data: data accuracy, reliability or validity	☐	☐	☐	☐	☐	☐
Information relevance i.e. to your information needs	☐	☐	☐	☐	☐	☐
Timeliness of PI i.e.is information received when it is required	☐	☐	☐	☐	☐	☐
Volume of performance information/data	☐	☐	☐	☐	☐	☐
Data richness- i.e. does information speak of experiences, attitudes etc	☐	☐	☐	☐	☐	☐
Packaging of PI e.g. written , audio, journal, report etc	☐	☐	☐	☐	☐	☐
Information accessibility	☐	☐	☐	☐	☐	☐
Information availability i.e. available when you need it	☐	☐	☐	☐	☐	☐
'Trustworthiness' of the Data source	☐	☐	☐	☐	☐	☐

Institutional /Political factors	Decreased use 1	2	No influence 3	4	Increased use 5	Not sure
Political support for the implementation and use of PI	☐	☐	☐	☐	☐	☐
Strong influence of external interest groups	☐	☐	☐	☐	☐	☐
Political interference in the day to day functions of the department	☐	☐	☐	☐	☐	☐
Changes in the administration	☐	☐	☐	☐	☐	☐
Citizen demands for performance based accountability	☐	☐	☐	☐	☐	☐
Personal political interests	☐	☐	☐	☐	☐	☐
Recent political crisis or scandal	☐	☐	☐	☐	☐	☐
Leadership/political commitment to performance management	☐	☐	☐	☐	☐	☐
Legislation & regulatory oversight	☐	☐	☐	☐	☐	☐
Benchmarking against the performance of other agencies	☐	☐	☐	☐	☐	☐

Internal Structural factors	Decreased use 1	2	No influence 3	4	Increased use 5	Not sure
Clarity of strategic objectives and goals	☐	☐	☐	☐	☐	☐
The competence and expertise of those you work with	☐	☐	☐	☐	☐	☐
Number of staff	☐	☐	☐	☐	☐	☐
Interdepartmental coordination	☐	☐	☐	☐	☐	☐
Task Complexity	☐	☐	☐	☐	☐	☐
Availability and accessibility of PI	☐	☐	☐	☐	☐	☐
Level of autonomy and flexibility	☐	☐	☐	☐	☐	☐
Size of budget	☐	☐	☐	☐	☐	☐
Incentives or rewards for good performance	☐	☐	☐	☐	☐	☐
Your level of involvement in the development of measures	☐	☐	☐	☐	☐	☐
Organizational routines that foster PI use e.g. risk assessments, performance based budgeting	☐	☐	☐	☐	☐	☐
Use of external consultants	☐	☐	☐	☐	☐	☐
Organizational rules and procedures: “Red tape”	☐	☐	☐	☐	☐	☐

Organisational culture	Decreased use 1	2	No influence 3	4	Increased use 5	Not sure
Power relationships between superiors and subordinates	☐	☐	☐	☐	☐	☐
Quality of leadership	☐	☐	☐	☐	☐	☐
Goal oriented culture within the organisation	☐	☐	☐	☐	☐	☐
Perceptions of risk attached to PI use	☐	☐	☐	☐	☐	☐
Levels of trust between colleagues	☐	☐	☐	☐	☐	☐
Emphasis on learning / learning orientation	☐	☐	☐	☐	☐	☐
The organizations openness to new ideas and new processes	☐	☐	☐	☐	☐	☐
Informal networks and sharing of ideas with peers	☐	☐	☐	☐	☐	☐
Staff receptivity to performance measurement	☐	☐	☐	☐	☐	☐
Staff receptivity to change	☐	☐	☐	☐	☐	☐
Forums in which one can learn and share knowledge	☐	☐	☐	☐	☐	☐

Part IV: Exploring personal attitudes and perceptions around PI use

13. To what extent do you agree /disagree with the following :

	Strongly Disagree 1	2	Undecid-ed 3	4	Strongly Agree 5
Use of PI has led to increased effectiveness in my department	☐	☐	☐	☐	☐
Our performance systems produce good quality PI	☐	☐	☐	☐	☐
I support the manner in which performance management is implemented	☐	☐	☐	☐	☐
I find that using PI places a heavy burden on my workload	☐	☐	☐	☐	☐
I feel supported in my use of PI	☐	☐	☐	☐	☐
I strongly feel that PI could be very useful	☐	☐	☐	☐	☐
I am responsible for the use of PI in my unit	☐	☐	☐	☐	☐
I think PI should be used to respond to the demands of the people	☐	☐	☐	☐	☐
My use of PI increases the social impact of my work	☐	☐	☐	☐	☐
I think PI should be used to think of new approaches for doing old things	☐	☐	☐	☐	☐
Regular changes in our context (resources, problems etc) make it difficult for me to use PI	☐	☐	☐	☐	☐
I require good quality PI to resolve problems in the course of my work	☐	☐	☐	☐	☐
I have good knowledge of the purpose and use of performance indicators	☐	☐	☐	☐	☐
Use of PI would lead to changes I'd rather avoid	☐	☐	☐	☐	☐

	Strongly Disagree 1	2	Undecid-ed 3	4	Strongly Agree 5
I support the use of PI to establish political control	☐	☐	☐	☐	☐
Efficiency is my main priority when using PI	☐	☐	☐	☐	☐
I would use Performance information even when I am not required to	☐	☐	☐	☐	☐
The leadership regularly acts on performance information	☐	☐	☐	☐	☐

Section B: Consent and information forms

UNIVERSITY OF CAPE TOWN
IYUNIVESITHI YASEKAPA • UNIVERSITEIT VAN KAAPSTAD

Faculty of Humanities
Department of Political Studies

Consent Form for Research Participants

Name of researcher:

Linda Oduor-Noah

Title of research project:

Performance Information Utilization in the City of Cape Town

Name of participant:

- I agree to participate in this research project.
- I have read this consent form and the information it contains and had the opportunity to ask questions about them.
- I agree to my responses being used for education and research on condition my privacy is respected, subject to the following: - will be used in aggregate form only, so that I will not be personally identifiable (*delete as applicable.*)
- I understand that I am under no obligation to take part in this project.
- I understand I have the right to withdraw from this project at any stage.
- I understand that this research might be published in a research journal or book. In the case of dissertation research, the document will be available to readers in a university library in printed form, and possibly in electronic form as well.

Name of Participant
(or Guardian if participant is under 18) :

Signature of Participant
(or Guardian if participant is under 18) :

The researcher must supply you with an ***Information sheet*** which provides his / her contact details, outlines the nature of the research and how the information will be used and explains what your participation in the research involves (e.g. how long it will take, participants" roles and rights (including the right to skip questions or withdraw without penalty at any time), any anticipated risks/benefits which may arise as a result of participating, any costs or payment involved (even if none, these should be stated)				
Has this been provided?	✓ **Yes**		**No**	
Have your received verbal confirmation/explanations where needed?	✓ **Yes**		**No**	

UNIVERSITY OF CAPE TOWN
IYUNIVESITHI YASEKAPA • UNIVERSITEIT VAN KAAPSTAD

Faculty of Humanities
Department of Political Studies

Information Sheet for Research Participants

Title of research project:

Performance Information Utilization in the City of Cape Town

Nature of the research:

Primarily quantitative with some interviews from key respondents

Name of researcher:

LINDA . A. ODUOR-NOAH			
Telephone	0762841154	**Email**	odrlin001@myuct.ac.za, linda.oduornoah@gmail.com

Name of researcher's thesis supervisor / course lecturer:

PROF. ROBERT CAMERON			
Telephone	(021) 6503381 / 3916	**Email**	Robert. Cameron@uct.ac.za

Department address details:

Room 5.33, Leslie Social Science Building, Upper Campus, Rondebosch, Cape Town, 7701	
Telephone	(021) 6503381 / 3916

What are the implications of your involvement in this interview / project?
*** The researcher may explain these to you verbally in more detail, if needed ***

Thank you very much for participating in this study. Your contribution is highly valued .

This study is being conducted in partial fulfilment of the MPhil Public Policy and Administration at the University of Cape town. The study seeks to explore the utilization of Performance Information (PI) amongst senior level bureaucrats in the City of Cape Town and will examine to an extent the behaviour, knowledge and attitudes around use of performance information (PI). The aim is to interview all senior level managers in the City of Cape Town, with a score of managers selected randomly for more in depth interviews. However, where this is not possible convenient sampling will be used.

The study has received ethical approval from the UCT Humanities Faculty Ethics in Research

Committee.

The City of Cape town was chosen as the study site given the maturity of its performance management systems as compared to other municipalities in the Western Cape. The information you provide will be useful for improving the effectiveness of performance information within the City of Cape Town Metro. The thesis will also contribute to wider literature on the implementation of particular reforms or prescriptions in developing country contexts and provide an avenue via which participants can air their views and recommendations around Performance Information.

The student will seek to gather data from all 60 senior level managers in the City of Cape town through the use of a questionnaire and interviews with a few key respondents. The research will be undertaken over a two month period and will cover the period FY2012-2013.

a. The questionnaire should take approximately 10-20 minutes to complete.

b. The information will in no way be used to defame the reputation and status of the City of Cape Town Metro and poses no foreseeable risk to the officials participating in the study. This includes any risk of criminal or civil liability or damage to their financial standing, employability or reputation.

c. Participants reserve the right to decline to participate in the study as well as to withdraw at any point during the study without penalty.

d. Informed consent will be received from all those taking part in the study and their confidentiality will protected. Therefore your identity will not be revealed at any point during o after the study has been conducted o when the study is published.

e. The consent form will be kept separately from your questionnaire.

f. The questionnaires will be coded to maintain confidentiality of participants and data will be stored with the researcher on an external hard drive. The questionnaires will be destroyed after a period of 3 months following the student‟s graduation.

g. There are no financial costs or payments to be made by participating in this study.

h. The findings will be available and/or accessible to all participants and will also be made available to the Organisational Performance Management Unit for the purposes of informing their practice.

i. The researcher is open to answering any questions or points of clarity posed by participants.

Section C: Sample of questions used in key informant interviews

1. Describe your role in the department?
2. What sort of performance information is available in your department?
3. How, in your opinion, is performance information used in the management of performance?
4. How would you say you interface/interact with performance information?
    a. Kindly describe how PI is used in your department?
    b. How would you say performance information is used by other directors or other key role players?
5. What generally influences your use of PI? Or What factors do you believe affect your use of PI?
6. What do you think are the a. facilitators, b. barriers, c. challenges of PI use?
    a. How does a. quality of PI, b. politics, c. leadership, d. culture etc impact your use of PI.
7. Would you say that PI is useful? Why or why not?

Appendix C: Coding Framework

The following is a summary of the coding framework used.

Coding Phase	Concepts and Categories (examples)
Core themes selected	Rational use; infrastructure focus; Gaps in rational approach; symbolic use; compliance, trust , performance norms; motivation , bargaining/ negotiating; resource variables, managerial variables, internal environmental factors, external environmental factors, individual factors
Axial coding: main categories	Resource allocation; track goal ; planning; problem identification; target setting; restructuring; consultants; monitoring; policy development; reporting; regulators; demonstrating effectiveness; learning; motivating staff; rewarding staff; communicate programme success; PI as part of a challenge ; explaining value; political expectations; managing or promoting image; bargaining; trust; legitimacy ; external stakeholder; Indicator attributes; information characteristics; structural factors; Individual perceptions, attitudes, values, expectations; cultural factors, institutional factors, political factors;
Open coding	100 plus concepts derived from the interviews

Appendix D: Additional Descriptive Statistics

I. Top uses of PI

Description	Type of use	N	%
Track goal achievement	Rational	17	**85**
Strategic planning	Rational	16	**80**
Establish performance targets for staff	Rational	15	**75**
Demonstrate programme effectiveness	Rational	13	**65**
I use PI to explain the value of the programme	Symbolic	13	**65**
Problem identification*	Rational	12	**60**
I use PI to communicate programme success	Symbolic	12	**60**
Monitor contracts*	Rational	11	**55**
I use PI to build trust and legitimacy with the public	Symbolic	11	**55**
Direct resource allocation	Rational	10	**50**
Meet external reporting requirements	Rational	10	**50**
I use PI to manage/promote the image of the organisation	Symbolic	10	**50**

***1 missing**

II. Frequency distribution of organizational culture factors that influence PI use (N=20)

Description	Decreased Use		No Influence		Increased Use		Not Sure		Mean	SD
	N	%	N	%	N	%	N	%		
Power relationships between superiors and subordinates	2	10	10	**50**	6	30	2	10	3.70	1.34
Quality of Leadership	1	5	3	15	15	**75**	1	5	4.35	0.99
Goal oriented culture within the organization	-	-	1	5	19	**95**	-	-	4.60	0.59
Perceptions of risk attached to PI use	4	20	7	35	8	**40**	1	5	3.45	1.47
Levels of trust between colleagues	4	20	9	**45**	6	30	1	5	3.30	1.42
Emphasis on learning/ learning orientation	-	-	4	20	16	**80**			4.35	0.81
Organizations openness to new ideas and	2	10	1	5	16	**80**	1	5	4.30	1.17
Informal networks and sharing of ideas with peers	-	-	1	5	18	**90**	1	5	4.65	0.67
Staff receptivity to performance measurement	2	10	3	15	15	**75**	-	0-	4.20	1.19
Staff receptivity to change	2	10	1	5	16	**80**	1	5	4.20	1.15
Forums in which one could learn and share knowledge	1	5	4	20	15	**75**	-	-	4.10	1.01

III. Frequency distribution of internal-structural factors that influence PI use (N=20)

	Decreased Use		No Influence		Increased Use		Not Sure		Mean	SD
	N	%	N	%	N	%	N	%		
Clarity of strategic objectives and goals	2	10	1	5	17	**85**	-	-	4.25	1.25
Inter-departmental coordination	2	10	4	20	14	**70**	-	-	3.95	1.15
Task complexity	3	15	2	10	14	**70**	1	5	4.05	1.28
Availability and Accessibility of PI	1	5	4	20	15	**75**	-	-	4.20	1.11
Level of Autonomy and flexibility	-	-	7	35	12	**60**	1	5	4.10	0.97
Incentives or rewards for good performance	1	5	10	**50**	7	35	2	10	3.85	1.31
Level of involvement in development of measures	-	-	5	25	13	**65**	2	10	4.50	1.00
Organizational routines that foster PI use	1	5	3	15	15	**75**	1	5	4.45	1.15
organizational rules and procedures	7	**35**	6	30	6	30	1	5	3.15	1.49

* 1 missing

IV. Frequency distribution of Institutional and political factors that influence PI use (N=20)

Category	Decreased Use		No Influence		Increased Use		Not Sure		SD
	N	%	N	%	N	%	N	%	
Political support for the implementation and use of PI	1	5	5	25	12	**60**	2	10	1.27
Strong Influence of External interest groups	-	-	6	30	10	**50**	4	20	1.15
Political interference in the day to day functions of the department	1	5	9	45	8	40	2	10	1.27
Changes in the Administration	-	-	10	**50**	9	45	1	5	0.99
Citizen demands for performance based accountability	-	-	4	20	13	**65**	3	15	0.99
Recent political crisis or scandal	1	5	11	**55**	5	25	3	15	1.21
Leadership commitment to performance management	-	-	3	15	15	**75**	1	5	0.84
Legislation and regulatory oversight	-	-	-	-	18	**90**	2	10	0.51

V. Frequency distribution of Indicator attributes and structural factors that influence PI use (N=20)

	Decreased Use		No Influence		Increase-d Use		Not Sure		Mean	SD
	N	%	N	%	N	%	N	%		
Quality of performance Data	3	15	3	15	14	**70**	-	-	3.95	1.47
Information Relevance	2	10	2	10	16	**80**	-	-	4.10	1.25
Timeliness	2	10	4	20	14	**70**	-	-	3.90	1.25
Volume of PI	4	20	7	35	8	**40**	-	-	3.40	1.53
Data Richness	3	15	6	30	9	**45**	2	10	3.75	1.45
Packaging of PI*	1	5	9	**45**	8	40	1	5	3.74	1.19
Information Accessibility	3	15	6	30	11	**55**	-	-	3.70	1.34
Information Availability*	2	10	4	20	13	**65**	-	-	3.89	1.27
Trustworthiness*	2	10	4	20	12	**60**	1	5	4.00	1.37
Competence and expertise of those you work with	4	20	1	5	15	**75**	-	-	3.85	1.46
Number of staff	2	10	6	30	11	**55**	1	5	3.90	1.25
Availability and Accessibility of PI	1	5	4	20	15	**75**			4.20	1.11
Size of budget		-	8	40	11	**55**	1	5	4.05	0.99
Use of external consultants*	2	10	11	**55**	3	15	3	15	3.58	1.50

* 1 missing

VI. Frequency distribution of personal attitudes and perceptions around PI use (N=20)

Description	Disagree		undecided		agree	
	N	%	N	%	N	%
Use of PI has led to increased effectiveness in their department*	-	5	2	10	17	**85**
Our performance systems produce good quality PI*	2	10	6	30	11	55
I support the manner in which performance management is implemented	7	35	2	10	11	**55**
I find that using PI places a heavy burden on my workload	9	45	4	20	7	35
I feel supported in my use of PI	-	-	4	20	16	75
I strongly feel that PI could be very useful*	-	-	-	-	19	**95**
I am responsible for the use of PI in my unit	1	5	-	-	19	**95**
I think PI should be used to respond to the demands of the people *	4	20	1	5	15	**75**
My use of PI increases the social impact of my work*	1	5	4	20	14	70
I think PI should be used to think of new approaches for doing old things *	-	-	2	10	17	**85**
Regular changes in our context (resources, problems etc) make it difficult for me to use PI	7	35	9	45	4	20
I require good quality PI to resolve problems in the course of my work	1	5	1	5	18	90
I have good knowledge of the purpose and use of PIs	-	-	1	5	19	**95**
Use of PI would lead to changes I'd rather avoid	15	**75**	4	20	1	5
I support the use of PI to establish political control*	14	**70**	3	15	2	10
Efficiency is my main priority when using PI*	2	10	3	15	14	**70**
I would use performance information even when I'm not required to	-	-	5	25	15	**75**
The leadership regularly acts on PI	3	15	5	25	12	**60**

*1 missing