

**ALIGNMENT OF GAUTENG PROVINCIAL LEGISLATURE OVERSIGHT
FUNCTION WITH CONSTITUTIONAL MANDATE AND PROVINCIAL PRIORITIES
FOR SERVICE DELIVERY**

by

KHALED KHOTA

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SUPERVISOR: N. D BALOYI

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Declaration

I, Khaled Khota, hereby declare that:

- This dissertation is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.
- I further declare that I submitted the dissertation to originality checking software and that it falls within the accepted requirements for originality.
- I further declare that I have not previously submitted this work, or part of it, for examination at Unisa for another qualification or at any other higher education institution.
- I further declare that while the work in this dissertation is indeed my own work, it was NOT unaided. I was blessed to have been greatly assisted by my supervisor, Mr. N. D. Baloyi, throughout the journey of this dissertation.



Khaled Khota

University of South Africa Student Number 31776824

Abstract (English)

This study investigated the alignment of the oversight function conducted by the Gauteng Provincial Legislature (GPL) with the constitutional oversight mandate and with the service delivery priorities for Gauteng. The Gauteng Provincial Legislature adopts 5-year strategic plans at the beginning of each Political Term of Office to execute its mandates of oversight, law making, public participation and cooperative governance.

Since all functions of the legislature emanate from these strategic planning documents, and if such 5-year strategic plans are aligned to the legislature's mandate on oversight and to the provincial priorities for the province, it can be deduced that the resultant oversight function conducted by the legislature will similarly be aligned. This alignment between the oversight function of the legislature and the constitutional mandate on oversight, and between the oversight function of the legislature and the service delivery priorities for Gauteng is essential to promote implementation, performance and ultimately, the actual service delivery by the executive in a manner that is similarly aligned with the constitutional oversight mandate and the service delivery priorities for Gauteng.

By using a qualitative approach, the study has shown that this alignment is inadequate. While there was sufficient alignment between the oversight conducted by the GPL and the Constitutional oversight mandate, there was inadequate alignment between the oversight conducted by the GPL and the service delivery priorities for Gauteng.

The study has also identified challenges that relate to these inadequate alignments as well as recommendations for improvement.

Key Words: *Legislature, Oversight, Accountability, Strategic Planning, Constitution, Provincial Priorities, Constitutional Mandates*

Isifinyezo Esiqukethe Umongo Wocwaningo (Isizulu)

Lolu cwano luphenye ukuqondaniswa komsebenzi wokwengamela owenziwe isiShayamthetho sesiFundazwe saseGauteng (GPL) ngegunya lokwengamela umthethosisekelo kanye nezinto eziza kuqala zokulethwa kwezidingongqangi eGauteng. I-GPL yamukela izinhlelo zamasu zeminyaka emihlanu ekuqaleni kwesikhathi ngasinye seHhovisi Lezepolitiki ukwenza imisebenzi yayo yokubheka, ukwenziwa komthetho, ukubamba iqhaza komphakathi kanye nokubusa ngokubambisana.

Njengoba yonke imisebenzi yesishayamthetho ivela kule mibhalo yokuhlela amasu, futhi uma lezo zinhlelo zamasu amahlanu eminyaka ziqondaniswa nomsebenzi wegunya lesishayamthetho lokwengamela kanye nezinto eziza kuqala esifundazweni, kungathathwa ngokuthi umsebenzi wokwengamela owenziwa yisishayamthetho uzoqondaniswa ngokufanayo. Lokhu kuqondaniswa phakathi komsebenzi wokwengamela wesishayamthetho kanye negunya lomthethosisekelo ekwengameleni, naphakathi komsebenzi wokwengamela wesishayamthetho kanye nezinto eziza kuqala ekulethweni kwezidingongqangi eGauteng kubalulekile ekuthuthukiseni ukuqaliswa, ukusebenza futhi, ekugcineni, nokulethwa kwezidingongqangi uqobo okwenziwa ngabaphathi ngendlela eqondaniswa ngokufanayo negunya lokwengamela lomthethosisekelo kanye nezinto eziza kuqala zokulethwa kwezidingongqangi eGauteng.

Ngokusebenzisa indlela yekhwalthi, ucwaningo lukhombisile ukuthi lokhu kuqondanisa akwanele. Yize bekukhona ukuqondanisa okwanele phakathi kokwengamela okwenziwe yi-GPL kanye negunya lokwengamela lomthethosisekelo, bekukhona ukuqondanisa okunganele phakathi kokwengamela okwenziwe yi-GPL kanye nezinto eziza kuqala zokulethwa kwezidingongqangi eGauteng.

Ucwaningo luphinde lwaveza nezinsalelo ezihambisana nalokhu kuqondanisa okunganele kanye neziphakamiso zokwenza ngcono.

Amagama asemqoka: isiShayamthetho, Ukwengamela, Isimo sokuphendula, Amasu okuhlela, uMthethosisekelo, Izinto eziza kuqala zesifundazwe, Amagunya woMthethosisekelo

Tshobokanyo (Setswana)

Thutopatlisiso e batlisisitse tepatepano ya tiro ya botlhokomedi e e dirwang ke Kgotlapeomolao ya Porofense ya Gauteng (GPL) le thomo ya molaotheo ya botlhokomedi gammogo le ditlapele tsa tlamelo ya ditirelo tsa Gauteng. Kgotlapeomolao ya Porofense ya Gauteng e amogela ditogamaano tsa dingwaga tse 5 kwa tshimologong ya Paka nngwe le nngwe ya Kantoro ya Sepolotiki go diragatsa dithomo tsa yona tsa botlhokomedi, go dira melao, seabe sa setšhaba gammogo le pusotshwaraganelo.

Ka ntlha ya fa ditiro tsotlhe tsa kgotlapeomolao di tswa mo dikwalong tseno tsa togamaano, le fa ditogamaano tseo tsa dingwaga tse 5 di lepalepane le thomo ya kokoanotheomolao malebana le botlhokomedi le ditlapele tsa porofense, go ka tsewa gore tiro eo ya botlhokomedi e e dirwang ke kgotlapeomolao e tlaa bo e lepalepane fela jalo. Tepatepano eno magareng ga tiro ya botlhokomedi ya kgotlapeomolao le thomo ya molaotheo malebana le botlhokomedi, le magareng ga tiro ya botlhokomedi ya kgotlapeomolao le ditlapele tsa tlamelo ya ditirelo tsa Gauteng e botlhokwa go tseweletsa tsenyotirisong, tiragatso le kwa bokhutlong, tlamelo ya ditirelo ke khuduthamaga ka tsela e le yona e lepalepaneng le thomo ya molaotheo ya botlhokomedi le ditlapele tsa tlamelo ya ditirelo tsa Gauteng.

Ka go dirisa molebo o o lebelelang mabaka, thutopatlisiso e bontshitse gore tepatepano eno ga e a lekana. Le fa go na le tepatepano e e lekaneng magareng ga botlhokomedi jo bo dirilweng ke GPL le thomo ya molaotheo ya botlhokomedi, go ne go se na tepatepano e e lekaneng magareng ga botlhokomedi jo bo dirilweng ke GPL le ditlapele tsa tlamelo ya ditirelo tsa Gauteng.

Gape thutopatlisiso e supile dikgwetlho tse di amanang le ditepatepano tseno tse di sa lekanang gammogo le dikatlenegiso tsa tokafataso.

Mafoko a botlhokwa: *Kokoanopeomolao, Botlhokomedi, Maikarabelo, Thulaganyo ya Togamaano, Molaotheo, Ditlapele tsa Porofense, Dithomo tsa Molaotheo.*

Dedication

I begin in the name of **ALLAH**, creator and lord of the worlds, the most gracious, the most merciful, to whom I dedicate my life, my being and my existence.

Peace and Salutations upon Muhammad, the last and final messenger of **ALLAH**.

I dedicate the work in this dissertation to my late Dad, Omar Khota.

Your passing has left a void in my soul that nobody can ever fill, but I take solace in the words of Rumi: *“Death has nothing to do with going away. The sun sets. The moon sets. But they are not gone”*

You have departed, but your advices and memories live on in me.

Till we meet again

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“Whoever does not thank people (for their favours) has not thanked GOD”

Prophet Muhammad (Peace and blessing of GOD be upon Him)

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Read, in the Name of your Lord, Who created, Created mankind from a clot.

**Read! And your Lord is the Most Generous, Who taught by the pen,
Taught humanity what they knew not.**

Holy Qur'aan (96:1-5)

“Whoever goes out in search of knowledge, is in the path of GOD”

Prophet Muhammad (Peace and blessing of GOD be upon Him)

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Chapter 1

Introduction

1.1 Introduction

The Constitution of the Republic of South Africa (1996) (hereinafter referred to as the “Constitution (1996)”) at section 8(1), sets out that state authority in the Republic of South Africa is “divided” into three semi-autonomous, yet interdependent structures in all three spheres of government (national, provincial and local), those structures being the legislatures, the executive and judiciary. This statement is confirmed by Parliament (2017b) by noting that the power of the state is divided between three different but interdependent components, namely, the executive (cabinet), the legislature (parliament and legislatures) and the judiciary (courts of law).

The legislatures, as compelled by the Constitution (1996), at sections 114 (b) (i) and (ii), must provide for mechanisms to enact laws and oversee the executive in the implementation of such laws. It is the responsibility of the executive to account to the legislatures on the implementation of the laws and similarly, it is the responsibility of the judiciary to interpret the laws. This constitutional compulsion of the oversight function is therefore construed as a core function of a legislature aimed at monitoring implementation of predetermined objectives by the executive.

According to Parliament (2017a), one of the main purposes of the oversight function of legislatures is to hold the executive accountable for implementing the laws and policies that the legislature enacts; and for implementing the plans, programmes and spending the budgets that the legislature approves. In addition to holding the executive to account, Rosenthal (1998) argues that the legislature and the executive have a joint responsibility to ensure that government priorities and associated programmes are focused upon, and ultimately, implemented effectively. This view is supported by Calvert (2011:94) who stresses that there should be healthy interaction and co-operation between the executive and legislature to ensure service delivery. Therefore, the oversight function is a way in which the legislature not only oversees but also partners with the executive to ensure that the implementation of provincial programmes achieve the desired results.

The Gauteng Provincial Legislature (hereinafter referred to as “GPL”) adopts 5-year strategic plans at the beginning of each Political Term of Office to execute its mandates of oversight, law making, public participation and cooperative governance. Since all functions of the legislature emanate from these strategic planning documents, and if such 5-year strategic plans are aligned to

the legislature's mandate on oversight and to the provincial priorities for the province, it can be deduced that the resultant oversight function conducted by the legislature will similarly be aligned. The provincial priorities for Gauteng refer to the priorities that the Premier of Gauteng announces at the beginning of each 5-year Term of Office, as a commitment to the legislature (and to the people of Gauteng) on government's plans for the next five years. This alignment between the oversight function of the legislature (as articulated in its strategic plans) and the constitutional mandate on oversight; and between the oversight function of the legislature (as articulated in its strategic plans) and the service delivery priorities for Gauteng is essential to promote implementation, performance and ultimately, the actual service delivery by the executive in a manner that is similarly aligned with the constitutional oversight mandate and the service delivery priorities for Gauteng.

Therefore, this study sought to investigate the alignment of the oversight function conducted by the Gauteng Provincial Legislature with the constitutional oversight mandate and with the service delivery priorities for Gauteng.

1.2 Background to the study

The Gauteng Provincial Legislature was instituted as one of the nine provincial legislatures of South Africa in 1994. This provincial institution is mandated by section 114 (2)(a) of the Constitution (1996), to facilitate and enable accountability by the provincial executive by means of an oversight function. The Constitution (1996), through section 114 (2), vests provincial legislatures with the power of oversight by setting out that legislatures should develop, possess and implement tools and mechanisms to ensure that the executive is accountable to that legislature. Such tools, in the case of the Gauteng Provincial Legislature, include its strategic plans, which enable the institution to understand clearly what it aims to achieve and how it plans to achieve it. According to the GPL (2014), the legislature strategic plans set out the legislature's overall mission, goals, objectives, activities, and resources towards achieving its overall mandate.

Chapter 3 of the Financial Management of Parliament and Provincial Legislatures Act, 2009 (Act 10 of 2009), (hereinafter referred to as "FMPPLA, 2009") sets out that the functions of the legislature including the planning and execution of its activities should be dealt with through its strategic plans, thus making these plans the critical link in the oversight process. It is therefore important that the strategic plans enable the legislature to execute its oversight function in a manner

that is aligned with the constitutional oversight mandate and with the relevant provincial service delivery priorities. If this is not the case, the resultant oversight may be devoid of constitutional guidance (and thus legitimacy) on the one hand, and provincial focus (and thus relevance), on the other hand.

1.3 Problem statement

Lehohla (2006), in drawing on the 2004 Gauteng provincial profile, argues that Gauteng has the largest economy in South Africa, while Gauteng Provincial Treasury (2012), in its Provincial Economic Review and Outlook for 2012, sets out that Gauteng contributes approximately eight percent to the African economy. Despite this, the Gauteng Provincial Treasury (2017), in its Provincial Economic Review and Outlook for 2017, brings to the fore the stubborn triple scourge of poverty, inequality and unemployment in Gauteng, as a result of poor service delivery in the province. Motala (2009), in an article on policy implementation, similarly argues that at least 20 percent of all Gauteng households are located in informal settlements without basic sanitation. Zuma (2009), in the 2009 State of the National Address, ascribed poor service delivery to a lack of proper planning and lamented that despite having a progressive Constitution and progressive policies, the main cause of poor service delivery is improper planning and implementation.

Mchunu (2017), in a provincial cabinet lekgotla speech, while not disputing that the country has one of the most progressive Constitutions in the world and that many of its policies are progressive, stresses that improper implementation of plans and programmes is a major weakness which hampers effective and efficient service delivery throughout the country. Luthuli (2007) makes a similar argument as made by Zuma (2009) that the lack of proper plans (with clear goals, objectives, indicators, and targets) is what prevents the successful achievement of mandates and implementation of policies and programmes. This, according to Hrebiniak (2013), is a result of poor planning, leading to poor implementation. With respect to the Gauteng Provincial Legislature, the strategic plans show no direct evidence of any alignment with the constitutional oversight mandate and with the provincial priorities. Further, there has been no study conducted in this regard. This presents as a problem because if there is no such alignment, then the oversight conducted by the Gauteng Provincial Legislature may be illegitimate and irrelevant. Therefore, this study investigated the alignment of the oversight function conducted by the Gauteng

Provincial Legislature, with the constitutional oversight mandate and with the provincial service delivery priorities for Gauteng.

1.4 Motivation on the significance of the study

There is a need for research to investigate the alignment of the oversight function conducted by the Gauteng Provincial Legislature with the constitutional oversight mandate and with the provincial service delivery priorities for Gauteng. Legislatures are mandated by section 114 (2) (a) of the Constitution (1996) to oversee the provincial executive. The alignment of the oversight conducted by the Gauteng Provincial Legislature with the constitutional mandate on oversight and with the provincial service delivery priorities for Gauteng can thus logically be linked to the quality and effectiveness of oversight conducted by the Gauteng Provincial Legislature and also to the performance by the executive. It is important that this alignment be investigated because the poor implementation of policies and the triple scourge of poverty, inequality and unemployment that still plagues the province, remains a cause for concern.

This study is also significant in that its findings may enrich further studies on the subject, possibly related to the implementation of legislature strategic plans, the impact of such implementation on oversight and on service delivery by the executive and the value of strategic plans with respect to institutional performance.

1.5 Purpose of the Study

Based on the introduction, background and problem statement set out above, this study sought to investigate the alignment of the oversight function conducted by the Gauteng Provincial Legislature with both the constitutional oversight mandate and the provincial service delivery priorities for Gauteng. The findings of this study may be used in further studies on the ability of legislature strategic plans to facilitate effective oversight, mechanisms to establish, strengthen or maintain a link between legislature plans and the provincial priorities and the alignment between legislature plans and the quality of oversight conducted.

1.6 Research Questions

The study sought to answer the following questions: -

1.6.1 Primary question

The main research objective and thus the primary question is whether or not there is alignment between the oversight conducted by the Gauteng Provincial Legislature with the constitutional oversight mandate and the provincial service delivery priorities for Gauteng?

1.6.2 Secondary Questions:

Related to and flowing from the primary question, this study poses three secondary questions related to the role of the legislature, the oversight function of the legislature and the capacity of the legislature. Accordingly, the secondary questions are:

- What is the Gauteng Provincial Legislature role in the achievement of provincial priorities?
- Is the Gauteng Provincial Legislature oversight function enabled through its political and administrative structures?
- Does the Gauteng Provincial Legislature have sufficient capacity to exercise its oversight function?

1.7 Conceptual Clarification

A number of concepts are central to this study and it is therefore essential that they are explained for clarity. The concepts hereby explained are:

1.7.1 Oversight

Oversight, in the context of this study, relates to oversight conducted by the Gauteng Provincial Legislature, as mandated by section 114 (2) of the Constitution (1996). For purposes of this study, oversight refers to the deliberate process initiated by the Gauteng Provincial Legislature to engage the executive in order to gauge achievement of provincial priorities.

1.7.2 Separation of Powers

According to Mojapelo (2012), “separation of powers” refers to a separation of government authority into three separate, but interdependent arms, such being the legislature, the executive and the judiciary, where the legislature will enact, amend and repeal legislation, the judiciary which interprets, applies and enforces the legislation and the executive which implements the legislation.

1.7.3 Constitutional Oversight Mandate

For the purposes of this study, constitutional oversight mandate refers to the oversight imperatives as set out in chapter 3 of the Standing Rules of the Gauteng Provincial Legislature (2018). These are the imperatives that guide the legislature in conducting oversight as anticipated by the Constitution and therefore which the Gauteng Provincial Legislature must satisfy to align with the Constitutional oversight mandate.

1.7.4 Provincial Priorities

The Provincial Priorities for service delivery in this study refer to the commitments made by the Premier of Gauteng, Hon. David Makhura, in 2014 for the 2014-2019 Term of Office and in 2019, for the 2020-2025 Term of Office. These priorities include the “10 Pillar Programme”, the Transformation, Modernization and Reindustrialization “TMR” Programme, and the Growing Gauteng Together towards 2030 “GGT-2030” Programme. Makhura (2015) set out that provincial service delivery priorities are the vehicle through which the Provincial Government would deliver services and achieve socio-economic growth and transformation in Gauteng.

1.7.5 Strategic Plans

Strategic plans refer to the collective of plans adopted and in use by the Gauteng Provincial Legislature that set out how it aims to give effect to its mandate for a specified period. According to Treasury (2010), strategic plans set out how an institution plans to give effect to its statutory mandate, powers, and responsibilities; and articulates relevant provincial priorities.

1.8 Theoretical Framework and Literature Review

1.8.1 A brief exposition of oversight

Oversight, according to Madue (2012), is the review, monitoring and supervision of the executive by the legislature with respect to the implementation of policy and legislation. It therefore involves the legislature monitoring the plans, activities and spending of the executive to ensure that they are carried out within the law and in accordance with legislative intent (2012:432). Therefore, legislative oversight seeks to ensure that the executive remains accountable to the legislature and performs as per the mandate handed to the executive by the legislature (Manamela, 2012: 18). According to the South African Parliament (2017), oversight is the extent to which Legislatures

ensure that the executive is accountable to the people. In practice therefore, oversight refers to the review, by the legislature, of government actions and decisions. This is achieved and realised through constant oversight of the executive's actions and the implementation of its programmes. Murray and Nijzink (2002) stress that oversight is the primary function of any legislature, as it involves monitoring the activities of the executive to ensure that the activities are carried out legally, and according to legislative determinants. Due to the size of modern governments, however, Murray and Nijzink (2002) argue that part of the oversight function is to ensure adequate mechanisms to identify problems and bring these to the speedy attention of the legislature. The Constitution (1996), at section 114(2) mandates the oversight role to the Parliament and confers on provincial legislatures the power to conduct oversight on the executive organs of state at that level. Therefore, oversight is a function granted by the Constitution (1996) to legislatures in order to monitor and oversee government actions. The South African Parliament, in RSA (2017), continues that. through effective oversight, legislatures can ensure that government implements programmes and priorities aimed at providing its citizens with a better quality of life.

According to the United Nations Commission for Africa, effective legislatures are fundamental to promoting good governance and are a critical component in a country's overall governance framework (UNECA 2004:8). Although differences exist across governments and their systems of governance, legislatures through their constitutional mandates, fulfil three core functions, namely public participation, law making, and oversight.

However, while scholarly attention has been paid to legislative oversight internationally, Maffio (2002) as well as Barkan (2005) lament that national and provincial legislatures in South Africa have attracted little scholarly attention. Pelizzo and Stapenhurst (2006: 8) emphasize this paucity further by arguing that oversight mandates, methods and tools in South African legislatures are rarely studied. Shaikh (2017:32) similarly cites a lack of literature on the oversight function by South African legislatures.

1.8.2 Reasons for oversight

Oversight is an important legislative means of ensuring that the laws passed are implemented, the approved budgets are well spent, and the executive is held to account (Madue 2012: 432). The World Bank Institute (2010) sets out that the function of legislative oversight is to review, monitor and evaluate the appropriate conduct of major entities within society, and considers the appropriate

development of laws and policy to engage and guide them. Kaiser (1997) argues that the reasons for legislative oversight are multi-faceted as it not only improves the efficacy of government activities, but also allows the evaluation of programme performance as implemented by the executive. Further, the author argues that oversight enables the detection and prevention of substandard administrative and operational performance, fruitless and wasteful expenditure, improper or illegal behaviour and unconstitutional conduct. It thus also serves to uphold constitutionally protected rights and allows for an informed public with respect to relevant policies, programmes and the progress related thereto. More importantly however, Kaiser (1997) argues that the purpose of oversight is to prevent the encroachment by the executive on legislative authority and its prerogatives. Corder, Jagwanth, and Soltau (1999: 2) set out that foremost from among the reasons of legislative oversight, is the power to hold the executive to account. Madue (2013:39) asserts that legislative oversight is a means to hold the executive accountable in implementing planned programmes and in ensuring proper expenditure by the executive. These views are supported by the Oversight Model of the South African Legislative Sector Report (SOM 2012), setting out that legislative oversight is the nexus between the legislature and the executive structures towards improved delivery of planned government priorities. SOM (2012) stresses the point on executive accountability by stating that one of the primary reasons for parliamentary oversight is to ensure that policies developed, and legislation enacted by legislatures are implemented by the executive. This includes measuring the achievement of goals committed to by government and its programmes (SOM 2012: 16).

Agora (2017) similarly sets out the purpose of oversight, as critical aspect of democracy, for holding the executive to account for its activities and for ensuring that the executive implements policies in line with the laws passed and budget approved by the legislature. Agora (2017) continues that effective legislative oversight is indicative of good governance, through which the legislature is able to promote a balance in the separation of powers and strengthen its role as overseer and thus protector of citizens' needs and interests. Ultimately, Kraai (2018) stresses that oversight involves the legislature overseeing the activities of the executive towards enhancing service delivery for a better quality of life of citizens.

1.8.3 Oversight as a core function of legislatures

Proper oversight is critical for the effective functioning of any democracy because, according to Shija (2012), legislative oversight ensures that the plans and policies of government are responsive and representative of the needs of the people. Besdziek and Youash (2001) earlier agreed with this position and argued that the legislature is the central cog to enable service delivery to the public. This argument is premised on the reasoning that since the legislature exercises its oversight role to espouse good governance, therefore then the legislature also assumes the overall responsibility for government performance. In stressing the oversight role of legislatures, Rosenbloom (2000) goes to the extent of placing the legislature at the very centre of the public administrative system by referring to the executive as extensions of the legislature itself. Pelizzo et al. (2006:8) emphasise that effective oversight in a democracy allows the legislature to develop policies and allows government to improve its performance. This makes oversight a central component in a political system such as the legislature (Nijzink & Piombo, 2004: 3). Halchin and Kaiser (2012) have defined oversight as the assessment, monitoring, and supervision by the legislature, of programmes and activities of the executive; and thus, refer to oversight as a core function of legislatures.

In addition, Izah (2013) argues that oversight is a core function of legislatures without which a legislature would not be a legislature in the true sense, for the very nature of a legislature demands that it would ensure democracy through effective oversight over the executive. Through its core oversight function, Izah (2013) continues to make the point that legislatures call the executive to account for and on behalf of the citizens. Doyle (2016: 30-34) understands oversight as a paramount function of legislatures, which provides the very justification for the existence of these institutions. Malapane (2016: 138) however, stresses that the purposes and objectives of legislative oversight is to hold the executive accountable for implementation of its planned activities.

1.8.4 Tools of legislative oversight

The tools and methods of conducting “ideal” oversight has been an ongoing challenge for a long time, as suggested as far back as Norton (1976), who argued that proper or ideal oversight has for a long time, been elusive. South African legislatures make use of numerous oversight methods and tools to oversee the work of the executive. Rapoo (2003: 3) identifies house-based and field-based oversight methods. The former would include the scrutiny by the legislature of the executive strategic plans and budgets and associated progress performance reports while the latter would

include the legislature going to actual service delivery sites or communities and assessing progress or concerns.

Pelizzo and Stapenhurst (2004) also categorise tools of oversight along two categories, but unlike Rapoo (2003) and (2007), they are more detailed and use two dimensions (timing and location) to categorise oversight tools.

With respect to the first dimension (timing), Pelizzo and Stapenhurst (2004) explain that if legislative oversight is conducted pre-policy development, then the oversight tools include parliamentary debates, motions, questions, and hearings. If, however, oversight is conducted post-policy development (to gauge levels of implementation), the oversight tools would include scrutiny of plans and progress reports of the executive.

With respect to the second dimension (location), Pelizzo and Stapenhurst (2006) look at internal and external oversight, i.e. oversight that is conducted internally, within the legislature during its house sittings and committee engagement; and oversight that is conducted externally in communities through intervention studies, committee enquiries and public engagement sessions. Yamamoto (2007) has also looked at tools of legislative oversight by conducting a study of parliaments in 88 countries and the oversight tools they used. In this regard, three categories are suggested, all internal, in the form of house-based tools, committee-based tools and tools used by other audit institutions. House-based tools includes debates, motions, and questions while committee-based tools look at committee engagements, committee inquiries, and public involvement in committee business (Yamamoto 2007: 14). Unlike Rapoo (2007), Yamamoto (2007) does not consider field-based oversight tools.

Doyle (2016: 35) also suggests tools of legislative oversight to include the annual reports of the executive departments, the Public Finance Management Act (Act 1 of 1999) and the Parliamentary Oversight and Accountability Model, and thus argues that oversight tools are to be responsive and relevant to the dynamics of the environment within which they exist or operate.

1.8.5 Oversight at the Gauteng Provincial Legislature

Oversight at the Gauteng Provincial Legislature is primarily given effect through the work of the House and its committees (Muzenda, 2013: 2; Malapane, 2016: 140). The Gauteng Provincial Legislature in its Annual Report for 2009/10 (GPL, 2010) sets out that there are three types of

committees that exist at the GPL: portfolio committees, standing committees and ad hoc committees.

Portfolio committees are attached to provincial government departments for oversight purposes. Their role is to oversee the work of the executive and how it achieves its priorities and programmes. Standing committees, according to GPL (2010), have been established to handle other, non-portfolio matters relating to the provincial executive. Such other matters may include bills and matters referred to them by the speaker of the Gauteng Provincial Legislature or by resolution of the House.

Ad hoc committees are special committees established for a specific purpose and for a limited time only. Legislature committees are established as instruments of the Houses in terms of the Constitution (1996) to facilitate oversight and monitor the government. Thus, according to the South African parliament (2017), committees are the engine rooms of a legislature's oversight work.

All the work and activities conducted by the Gauteng Provincial Legislature, emanate from its strategic plans. The GPL must plan and execute all its activities and functions in line with strategic plans as mandated by the FMPPLA (2009) at sections 13, 14 and 15 of Chapter 3 "Planning and Budgeting". According to the Gauteng Provincial Legislature strategic plan (2014 – 2019) (GPL, 2014), the strategic plan sets out institutional goals and objectives and identifies targets that the institution must use to develop programme and committee annual performance and operational plans.

Thus, the strategic plans of the Gauteng Provincial Legislature are the collective of those planning documents through which the mandate of the legislature is given effect to and from which all activities of the legislature emanate.

1.8.6 Synthesized conclusion of literature review

This brief literature review opened by noting the lack of scholarly attention paid to the tools and methodologies of oversight and the researcher is in agreement with Pelizzo and Stapenhurst (2006: 8) in this regard, who lamented that from all legislature processes, the oversight tools and methodologies are the least studied. On the reasons for oversight, while scholars have stated that there are many reasons, they concur that one of the main reasons for oversight is to oversee the executive in its delivery of programmes and execution of priorities. The review found that scholars

agree on oversight being a core function of legislatures and the researcher agrees with the sentiment of Izah (2013) who argues that without oversight, legislatures would not exist as such. The review then turned to the tools of oversight and noted from Rapoo (2007), Yamamoto (2007) as well as Pelizzo and Stapenhurst (2006) that legislatures use a number of internal and external tools of oversight, ranging from scrutiny of annual reports of the executive to field based investigations and committees of inquiry. While the researcher agrees with this sentiment, the researcher is concerned that none of the scholars reviewed considered strategic plans of legislatures as tools of oversight. This is especially due to the centrality of the legislature strategic plans in guiding all activities and functions it carries out. The review goes on to show that the Gauteng Provincial Legislature adopts strategic plans for each 5-year Term of Office and these plans guide all onward institutional plans and activities as a critical link between mandate, priorities, and operational activities. It is however an omission, in the researcher's opinion, that strategic plans are not included in the literature as tools of oversight. This is a gap identified in the literature because the conceptual clarification above sets out that the strategic plans are those tools that guide an institution to achieve its goals and objectives and from which all onward plans, activities and functions emanate. In the case of the Gauteng Provincial Legislature, the oversight functions emanate from the strategic plans and thus these plans are indeed also tools of oversight and should be referred to and classified accordingly.

In addition, there is definite paucity of research on whether the oversight conducted by legislatures is aligned to the Constitutional oversight mandate and to the relevant provincial priorities. This is another gap which has been identified by the researcher, which this study, through its findings, aims to fill.

1.9 Research methodology

1.9.1 Research Method

Despite oversight being a well-defined subject with respect to the South African context, surveyed literature has not addressed any linkages or correlation between legislature strategic plans and constitutional mandate on one hand, and between legislature strategic plans and provincial priorities for service delivery on the other hand. This study is therefore exploratory descriptive in nature and employs the qualitative research methodology because the researcher relied on the description of events as well as an in-depth understanding of the field of study in order to answer

the research questions (Welman &, Kruger, 2001:184). The researcher opted for the qualitative method because it is practical and cost effective. Hammarberg, Kirkman and de Lacey (2016) explain that qualitative research is employed to respond to questions about experience, meaning and perspectives as viewed by the participants in the research environment. Qualitative data are often not conducive to numeric measurement because they are used to investigate beliefs, perceptions, and attitudes to seek views on a focused topic or to understand an observed phenomenon. Hammarberg, Kirkman and de Lacey (2016) continue that qualitative research methodology is also used when documents need to be analysed to learn about distributed or private knowledge. Dowd (2018) argues that qualitative research is the method of choice used to conduct social and behavioural studies, since human interaction and organizational dynamics are more complex than numeric calculations and continues that a strong advantage of qualitative research is its ability to probe deep and obtain valuable, descriptive data concerning observed phenomena in their natural environment, through interviews, cultural immersion, case studies, documentary analysis and direct observation.

1.9.2 Sampling

This study used non-random, purposive sampling to identify the sample for data collection because purposeful sampling allows the researcher to probe deeper on responses from the respondents. Neuman (2006: 222) argues that purposive sampling is often used in exploratory research because it deliberately selects cases for a specific purpose. Sharma (2017) postulates an advantage of purposeful sampling that it is able to provide the researcher with the justification to make general deductions from the studied sample, irrespective of whether such deduced generalisations are theoretical, analytic or logical. Further it is noteworthy that Benoot, et al. (2016) argue that purposeful sampling is the technique of choice when interviews are used. It is also important to note that for purposeful sampling, the sample size may or may not be fixed prior to the study and may also change during the study when additional samples may or may not add new data to influence the findings of the study, i.e. when data saturation occurs (Nieuwenhuis 2011, in Maree 2011:79). The researcher resolves what is to be known and then proceeds to find people who are able and keen to provide the information based on experience or knowledge. Thus, the sample need not be reflective of the population being observed.

Therefore, this study used the non-random purposeful sampling strategy based on the advantages and suitability of this method to qualitative research. The population was all staff and members of the GPL while the purposefully selected sample was 12. However due to time constraints and data saturation that occurred, bringing no new themes or ideas, the final sample interviewed was eight people (or 66% of the initially identified sample), as set out in Chapter 3.

1.9.3 Data sources and collection procedure

For this study, data was obtained from primary and secondary sources through sourcing information from relevant documentation and from the sample interviews; thereby enabling the researcher to make recommendations and proposals based on facts. Data collection methods in this study included semi-structured interviews and document analysis.

Stuckey (2013) argues in favour of semi-structured interviews for qualitative studies, stating that these types of interviews usually follow observation, informal and unstructured interviewing to allow the researcher to obtain a deep understanding of the observed phenomenon and provide valuable opportunities for in-depth understanding of such phenomenon.

1.9.3.1 Semi-structured interviews

The researcher used semi-structured interviews, since this acts as a guide for the researcher to extract more information from the participants. Babbie and Mouton (2001:289) see the semi-structured interview as an extremely viable and often used data gathering method in qualitative research. According to Gill et al. (2008), semi-structured interviews help to define the phenomenon to be studied, while allowing the researcher the freedom to pursue a specific idea from a response in further detail. This view is supported by Moore (2014), who argues that semi-structured interviews obtain an understanding of participant experiences and the sense they make relating to an observed phenomenon.

1.9.3.2 Documentary analysis

Documentary analysis, according to Corbin and Strauss (2008), is a systematic procedure for perusing or assessing documents, both hard and soft copy, primarily used in qualitative research methods, while Rapley (2007) argues that document analysis allows deep understanding and interpretation of data to extract meaning, obtain insight, gain understanding, and advance empirical

knowledge on a specified subject. These views are supported by Smulowitz (2017), who argues that documentary analysis in qualitative research enables the researcher to evaluate deeper meanings to enhance the research findings. Wellington (2015) argues that document analysis in research works well with qualitative interviews and can thus enrich a study through the entire research process. Bowen (2009) earlier argued that document analysis is monetarily cheaper than other research methods and is therefore usually the primary method when the collection of new data may not be feasible, while Wood, Sebar and Vecchio (2020) advocate for documentary analysis in qualitative research, stating that it is a method often widely together with interviews in case study research (which is characteristic of this study) as it enhances the coherence and credibility of the study.

The researcher studied relevant documents from primary and secondary sources and also perused published and unpublished scholarly works by various researchers on the subject matter. A substantial portion of the data to inform the analysis was sourced from official documentation such as the Constitution (1996), the Gauteng Provincial Legislature strategic planning documents for the 2014-2019 term of office, the Gauteng Provincial Legislature Standing Rules (GPL 2017) and the Provincial Priorities for service delivery in Gauteng, as articulated by the Premier of Gauteng at the beginning of the 2014-2019 Term of Office as well as at the beginning of the 2020-2025 Term of Office.

1.9.3.3 Data analysis and interpretation

Yin (2014) opines that a clear data analysis strategy helps the researcher find patterns, obtain deeper insight, and identify concepts to analyse the collected data. According to Kumar (2014), there are three data analysis methods in qualitative research, those being the development of a narrative to describe an observed phenomenon, identification of the main themes emerging from the collected data; and analysing the key themes related to their frequency or cause and effect. In addition, the observation by Abrahamson (2002) that most research papers and journals are written in narrative format, are abundant in detail and deliver high levels of authenticity, has prompted this study to use narrative data analysis. This approach is strengthened by the sentiment of Taylor-Powell and Renner (2003: 1-8) that narrative data analysis can assist researchers to attribute connotation and significance to the research findings during data interpretation. This is significant since the idea is not to get a broad interpretation but to obtain clarification and insight into

relationships and alignment between concepts. Neuman (2006:483) stresses the importance of diagrams in data analysis as a way of mapping data, organizing emergent ideas and identifying relationships in the data. Thus, the study made use of diagrams and diagrammatic mapping in analysing the data. The study had also used personal reflections of the researcher in data analysis, given the researcher's personal biography. Polkinghorne (1989), in Laverty (2003:7), advocated the usage of the researcher's personal reflections on the topic and information gathered from participants. Data had been analysed concurrently with data collection which may assist in the identification of information/data gaps as early as possible for subsequent addressing.

O'Connor and Gibson (2003) expand on these ideas by setting out that data analysis and interpretation involves organising the data, categorizing or coding the data, identifying emergent themes from the categorised data and generation and interpretations of the organized, categorised and themed data in such a way that it responds to the research objectives and answers the research questions. These steps however are not at all linear. Bazeley (2013), Evers (2016), Saldana (2013), Schurink et al. (2013), St. Pierre and Jackson (2014), Vaismoradi et al. (2013) as well as Willig (2014b), stress that the data analysis process is an iterative, recursive one, where the researcher constantly moves between analysis, data collection, coding, theming and sense-making. In this regard, the researcher did not use a linear format of data analysis. Rather a constantly recursive process was employed, as detailed in Chapter 3. Interviews were recorded (where such permission was granted), transcribed and analysed together with hand-written and typed notes. Categories of data were established, comprising themes of similar or related meaning. These categories were then used to answer the research questions. Similarities, differences, and variations were also detected during analysis.

1.10 Validity and Reliability

According to Muhammad (2008), validity in qualitative research refers to the extent to which the data is plausible, credible, and trustworthy, and can be justified when legitimately challenged. Muhammad (2008) continues therefore that reliability and validity remain important considerations for attaining rigour in qualitative research. Reliability and validity in research studies are complementary concepts (Neuman, 2006:195), which is a sound argument when considering that reliability is consistency and accuracy of the measures while validity is the propensity of a test or measure to achieve what it is supposed to. Clarity is provided by the

argument that reliability demonstrates the reproducibility of a test while validity demonstrates the extent to which findings fairly and accurately represent the data collected (Lacey & Luff, 2001: 22). Based on the above, it is clear that reliability relates to the methods or process while validity relates to the trustworthiness of the outcome or findings as a result of such process. These views are supported by Noble and Smith (2015: 35) by referring to reliability and validity collectively as the trustworthiness and credibility of the study. The authors go on to outline criteria to ensure such trustworthiness by stating that the study should account for individual predispositions which may have impacted findings. The study should also recognise predispositions in sampling and data collection processes as well, as it should identify similarities and differences in responses, thereby ensuring that different views are reflected. The study should further illustrate clarity in terms of thought processes during data analysis and elucidations and it should invite comments from respondents on the interview transcript and on whether the final themes and concepts sufficiently reflect the phenomena being observed. Finally, the authors stress data triangulation whereby various methods and perceptions contribute to producing a more comprehensive group of findings.

To ensure that findings were a result of reliable processes, multiple data sources, as referred to above, were used for triangulation purposes or crystallisation and to obtain deeper understanding of a specific phenomenon (Noble & Smith, 2015; Nieuwenhuis 2011, in Maree 2011:79). To enhance the validity, findings were shared with the sample (Noble & Smith, 2015; Nieuwenhuis 2011, in Maree 2011:80) to improve the overall integrity and dependability of the research findings.

1.11 Ethical Considerations

According to Resnik (2015), since qualitative research usually includes and involves human participants, it is important that ethical considerations protect the values of all involved. Resnik (2015) continues that ethical considerations in qualitative research encourage the values that are vital to collaboration such as trust, accountability, mutual respect, and fairness. In this regard, Shamoo and Resnik (2015) identify honesty, impartiality, morality, forethought, transparency and respect for intellectual property, confidentiality, responsible publication, responsible management, respect for colleagues, social responsibility, anti-discrimination, aptitude, legitimacy, and security

of people involved in the research as important principles and considerations to ensure high ethical standards of the study.

This study is an internal evaluation as the author is currently in the full-time employ of the Gauteng Provincial Legislature, as a Director of oversight. The study was conducted in line with normal and accepted ethical considerations for conducting social sciences research. On approval of the research proposal and receiving permission to proceed, the researcher applied and received approval for ethical clearance from the University of South Africa (UNISA) for data collection to commence. In addition, the researcher obtained permission to conduct the study from the Gauteng Provincial Legislature. The full background and purpose of the study as well as the need to interview respondents from the Gauteng Provincial Legislature was outlined. A set of draft interview questions were prepared for review and it was clarified that each respondent would be fully appraised on the following:

- The purpose and requirements of the study;
- That the respondents were under no obligation whatsoever to be part of the study;
- That if the respondents wished to participate in the study, such participation was totally voluntary;
- That if after opting to participate, the respondents could withdraw from the study at any time;
- That if respondents withdraw from the study, such withdrawal would be without any prejudice or other implication to the respondent or their work;
- That the confidentiality of respondents and that of their results would be ensured; and
- That responses from respondents would be used as part of a bigger group of results and not on an individual level.

1.12 Limitations

The problem statement and research questions set out above necessitates that this study focuses only on:

- The Gauteng Provincial Legislature
- The Gauteng Provincial Legislature strategic planning documents
- The Gauteng Provincial Government service delivery priorities for 2014/15 and 2019/20;
and

- The Constitutional oversight mandate.

Based on the problem statement and research questions set out above, it is outside the ambit of this study to focus on:

- The enforcement and enforceability of the standing rules of the Gauteng Provincial Legislature;
- The alignment of the provincial priorities for Gauteng with national priorities such as the National Development Plan;
- Apart from oversight, any other Constitutional mandate as set out in section 8(1) of the Constitution, 1996;
- Any political dynamics and executive / legislature relations in the legislature;
- Apart from oversight, any other function or activity conducted by the Gauteng Provincial Legislature.

1.13 Chapter Layout

The study has been conducted and presented in five chapters: Introduction, Literature Review, Methodology, Findings, and Conclusion.

- **Chapter one:** Introduction – this chapter introduced the problem, background, purpose and motivation of study and its objectives. It also provided a theoretical and literature survey, specifying the field of study, noted the limitations, explicated the methodology and clarified the key concepts relating to the study.
- **Chapter two:** Literature review and theoretical framework – This chapter provides a detailed literary exposition of legislative oversight before discussing the oversight role of legislatures. It hones into the South African system of parliamentary and legislative governance.
- **Chapter three:** Research Methodology - This chapter reflects on the data sources, and the methodology of how the data was collected and analysed, thus contextualizing the research design. The chapter also provides the literary basis for the choices of methodology and analysis tools to ensure that such choices are based on a sound theoretical rationale. The chapter looks at the research paradigm, types of research, design, methodology and motivation for the non-probability purposefully selected sample. Techniques for data

analysis are elucidated in the chapter and the importance of data triangulation is emphasized. The chapter concludes with a detailed ethical consideration to ensure validity and reliability of the study.

- **Chapter four:** Presentation of data – This chapter presents the collected data to provide answers to the research questions identified in the study. The chapter opens with a presentation of the results from the collected data and thereafter identifies emergent themes, which are empirically illuminated with pertinent aspects of the literature review. The chapter considers data collected from semi-structured interviews with a purposefully identified sample as well as from documentary analysis.
- **Chapter five:** Findings, Recommendations and Conclusion - This chapter discusses the findings from emergent themes emanating from the specific response groups as well as the interpretation of the responses from each response group. The chapter discusses the response categories and uses these to answer the research questions. Challenges and recommendations are discussed and suggestions for future study are also provided.

CHAPTER 2

Literature Review

2.1 Introduction

This chapter surveys selected, available literature to provide a brief overview of the legislature and its role with respect to oversight. In this regard, the chapter provides a description of the role of the legislature in the doctrine of the separation of powers, the responsibility of legislatures with respect to oversight, as well as the effectiveness of legislature oversight tools. The chapter then looks to the centrality of strategic plans as a tool of legislature oversight and in this regard, provides a brief exposition on the importance of legislature strategic plans as tools of oversight and the importance of strategic plans in terms of the law before providing context by turning to look at oversight as it is conducted at the Gauteng Provincial Legislature. The chapter closes with conclusions and deductions from the surveyed literature.

2.2 The role of the legislature in the doctrine of the Separation of Powers

Mojapelo (2012:1) sets out that the modern design of the doctrine of separation of powers has been mooted in the constitutional theory of John Locke (1632-1704), who argued that it would be expecting too much from human nature for people in leadership roles to create laws, enforce them and also oversee them. According to Landsberg and Graham (2017:62), the principle of the separation of powers ensures that absolute political authority is not vested in any single institution in a state. This sentiment has been shared by Montesquieu, as cited by Venter and Landsberg (2013) by stating that when power to make laws and power to execute those laws are combined in a single person (or institution), there can be no freedom or democracy because nothing would then prevent the enactment of oppressive and unjust laws to be executed in an oppressive and unjust manner. Thus, there would be no freedom and democracy if the judicial power is not separate from that of the legislative and executive. Had this been the case, the life and freedom of subjects would be exposed to arbitrary control; for a single institution would be the “*judge, jury and executioner*”. It is therefore essential that powers to create laws, powers to interpret and enforce the laws and powers to execute and implement the laws are separated to the extent that they reside with separate and independent institutions totally. Sunstein (2001:98-99) argues that the doctrine of separation

of powers is a double-edged sword. One edge cuts efficiency while the other edge cuts tyranny. But the edge that cuts through tyranny is far sharper, thereby having the potential advantages of this notion outweighs its possible disadvantages. Separation of powers can hamper government activities by making it harder for government to act; but it also helps government become more effective through checks and balances of one institution over the other. A system in which the executive is not burdened with interpretation of laws may well strengthen the executive by removing from it a task that frequently produces public disapproval and allowing it to focus exclusively on implementation of laws and public policy.

It seems clear that while the guiding principles driving the doctrine's philosophical growth relate to the value of avoiding the misuse of power, in many democracies, the doctrine has come to serve other purposes. In particular, it has ensured the functional specialisation of the arms of government, albeit to an extent only.

Woods (2003:1) however, identifies several weaknesses at legislature level which weaken the effectiveness of government under this doctrine. He attributed reasons for such weakness to four failures by legislatures in general. Firstly, the failure of the legislature to counterbalance the power of the executive (which often enjoys political influence to suppress and manipulate the legislature) so as to discourage it from critical scrutiny. This failure removes all teeth from the legislature as overseer of the executive and cedes power to the executive, thereby relegating the legislature to a symbolic and ceremonial institution. Secondly, the failure of the legislature to seriously define and enforce planning and submission processes and procedures for the executive; and to secure the requisite administrative support for this purpose. Thirdly, the failure of the legislature to capacitate itself and have its members obtain the skills and expertise to consider, analyse, debate, and pronounce on the performance of the executive. Finally, the failure of the legislature to enforce mandated budgetary powers to review and even reject substandard budget proposal requests by the executive. Woods (2003:1) continues that these failures result in an undesirable situation that undermine the doctrine of separation of power; that is by undermining processes and arrangements that have been put in place to further the doctrine of separation of powers, especially in parliamentary democracies. Thus, while Woods (2003) argues that legislatures are doing too little and failing in their furtherment of the doctrine of separation of powers, Aguda (2008:2), on the other hand, argues that the legislature is doing too much and even overstepping its sphere of influence into the executive by interfering and tampering with executive activities under the guise

of legislative oversight. In his argument, Aguda (2008:2) noted that most legislators claim their oversight with such vigour that not only do they enact laws but also get involved in the implementation of such laws. These views, while convincing but so vastly divergent, bring to the fore an important question on the applicability and relevance of this doctrine in so far as government and governance is concerned. Mojapelo (2012) provides clarity by arguing that legislatures make laws, the executive executes those laws and the judiciaries apply the laws to disputes through the rule of law. This primary task of the legislature therefore is that of oversight over the executive, while the primary responsibility of the executive, under this notion, is to remain accountable to the legislature.

However, Rapoo (2004:4), in his comparative research on legislatures in South Africa, had found that the legislatures are generally not active in their function of conducting oversight over the executive. Pelizzo, Stapenhurst and Olson (2004:9) warn that separation of powers is strengthened when the institutions concerned are not merely passive spectators, but active participants, willing to be decisive when the need arises in the interest of the community. They argue therefore that separation of powers is viable only when both of two conditions relating to cooperative governance are met; namely, that the legislature must have the will, appetite and capacity to oversee the executive and that the executive must similarly be willing to be overseen by and to account to the legislature. Esau (2005: 42) articulates this thought further by arguing that the objective of the doctrine of separation of powers is not aimed at ringfencing certain powers to specific institutions, but rather to secure a fine balance of power between them. Heywood (2007: 339) stresses that the doctrine enables the three branches to act as checks and balances over each other. Thus, any policy that the executive may want to implement is subjected to the approval of the legislature, thereby ensuring that the legislature exercises oversight over the powers and actions of the executive. Pelizzo et al. (2004), however see merit in the notion of separation of powers in that while democratization might not improve institutional capacity, it can allow diverse interests to be taken into consideration in making policy and preventing biased interests from capturing state power for undue personal gain. They thus stress the need for checks and balances, which is maintained by the principle of separation of powers.

Cooper (1994:366) however, expresses a degree of scepticism with respect to the notion of separation of powers and argues that this notion does little, if anything at all, to guide the location of the “separated” powers, the extent of separation and the protection of such separation. He goes

on to argue that in a South African context, with a history of forced “separation”, the principal of separation of powers, while institutionally separate, should actually result in integration and cohesion. This view is shared by O’Regan (2005: 25), who argues that the doctrine of separation of powers rests on a functional understanding of the powers within this doctrine and requires that the character and competence of the institutions within this doctrine be protected to adequately execute these powers. A balanced view is furthered by Howlett and Ramesh (2003), who stress that the notion of separation of powers can work if there is recognition and acknowledgement that the onus is on legislatures to “own” their oversight territory. Legislatures should be relentless in their oversight over the executive for the implementation of policies and if problems are identified, they should exercise their legitimate power and insist on policy changes and reforms by the executive. If this is not done, legislatures would be undermining their own authority - if not compromising it totally, thereby collapsing the separation of powers notion in totality.

Thus, while the surveyed literature looked at the doctrine of the separation of powers, and the views supporting it as well as those with reservations, thus far it does not offer any alternative suggestions to the doctrine. In that regard, there appears to be “flawed consensus” on the doctrine. It is officially referred to and even theoretically implemented, but not always respected and adhered to in practice. Be that as it may, it is important at this stage to locate the responsibility of South African legislatures within this doctrine.

2.3 The responsibility of South African legislatures with respect to oversight

The Parliament of the Republic of South Africa and the Provincial Legislatures are founded in terms of the Constitution (1996). Section 239 of the Constitution (1996) sets out that legislatures have been identified as key branches of government with constitutional responsibilities to create legislation, exercise oversight and ensure citizens' participation in legislative processes. According to the oversight and accountability model described in Parliament (2008:7), the South African system of governance is based on the conventional Westminster view on oversight (as is the case with most countries in the Commonwealth). This system of governance is somewhat adversarial to the extent that it is construed to be within the ambit of opposition politicians and not of the legislature per se. Oversight is defined by Parliament (2008:6) as a constitutionally mandated duty of state legislative bodies to scrutinize and supervise executive action. This applies generally to the strategic and organized oversight exercised by the legislature with regard to the enforcement

of laws and the executive's application of the budget. Moreover, and most significantly, it includes overseeing the efficient management of government agencies by individual Cabinet members in search of enhanced service delivery for all people to achieve a better quality of life. SOM (2012) similarly sets out that oversight in the South African political context, as in many countries, is perceived as the purview of opposition politicians. Those conducting oversight usually enjoy hindsight and are ultimately distanced from the responsibility for failure. SOM (2012) continues by stressing that with the legislatures' role primarily focused on oversight, they become partners with the executive by sharing the responsibility for overall government performance.

Woods (2003) goes to the extent of referring to oversight as the obligation of the legislature to oversee the implementation of and compliance to government policies and plans. Giving effect to this obligation would require the committees of the legislature to scrutinize performance of the provincial executive. Woods (2003) further highlighted how oversight should be carried out by committees in carrying out their operational duties. Griffin and Newman (2005:1206) argue that through oversight, legislatures effectively position themselves as overseers of the executive and thus become protectors of morality on behalf of citizens. Kraai (2018) argues that in the South African context, oversight is the constitutionally delegated power of the legislatures to analyse and guide the executive and thus entails overseeing the work of the executive in the quest to enhance service delivery to achieve a better quality of life for all residents. Friedberg (2011) emphasises that legislative oversight over the executive helps promote good governance, fights corruption and improves democracy, while Stapenhurst, Pelizzo, Olson and von Trapp (2008) assert that oversight involves the supervision of plans, budgets and programmes implemented by the executive, arguing therefore that effective legislatures are critical to espousing good governance and are essential in any country's overall governance framework. This is in line with the commonly held view that legislatures (and the oversight they conduct) are reactive because they “spring into action” after executive activity has occurred or taken place. On the other hand, Pelizzo et al. (2006:8), in aligning with Maffio (2002), argue that that legislative oversight includes the supervision of executive plans before their implementation by the government. This means that this supervision can be carried out *ex ante* before and during the implementation of a programme and *ex post* after its implementation. (Pelizzo & Stapenhurst, 2004: 3-4; Pelizzo et al., 2006; Stapenhurst & Pelizzo, 2002 in Madue, 2012: 434). Furthermore, Zvoma (2010:3) is of the opinion that oversight and supervision are not one and the same and argues that supervision is contradictory to the doctrine

of separation of powers, while oversight is complementary to the doctrine. Madue (2012:39) asserts that oversight is a mechanism to hold the executive to account in achieving the plans and programmes enacted and associated budget expenditure that had been approved by the legislature. Nakamura (2008) argued that oversight is, in essence, a tool, albeit underutilized, for the legislature to provide feedback to the public on government activities to service public needs. Murray and Nijzink (2002) similarly maintain that oversight is merely a mechanism to facilitate policy implementation related to service delivery to intended beneficiaries. These perceptions, according to Salih (2005:2), arise because of the duplication in the roles and responsibilities between the legislatures and the executive, with the legislatures often fulfilling governance roles while also acting as being part of the administration of government. Pelizzo and Stapenhurst (2006), Shenga (2007) as well as Madue (2012), stress that legislative oversight is essential to a functional democracy through the elected public representatives holding government to account on behalf of the people. Pelizzo et al. (2006:8) emphasise that the key benefit of legislative oversight is to ensure government acts in line with the legislature policies and laws. This view is supported by Nijzink and Piombo (2004: 3) who argue that oversight is a key feature in a political system and continue by stressing that the significance of legislative oversight is to safeguard the constitutional obligation of the separation of powers. Johnson (2005:3) argues that legislative oversight upholds the checks and balances between the legislature and government. According to Simmonds (2002:3) and Zvoma (2010:3), the main objectives of legislative oversight is to improve the efficiency and effectiveness of executive performance, scrutinize and prevent maladministration, abuse of power, fruitless and wasteful expenditure, illegal and unconstitutional conduct and ultimately, act for and on behalf of the people in furthering the legitimate will of citizens.

The sense that emerges is that while legislatures do enjoy formal oversight powers, this power is difficult to exercise because of multiple requirements, namely, information about activities by the provincial executive, capacity of the legislature to analyse such information, and power to demand improvement. The authors surveyed thus far maintain that oversight puts the legislature into an abrasive relationship with the executive. It can also be deduced from their arguments that effective oversight depends on clear legislative mandates, roles and responsibilities, as contained in legislature strategic plans. The surveyed authors also converge on the idea that legislatures are adequately legally mandated to oversee the executive and to have the executive accountable to the legislature. Corder, Jagwanth and Soltau (2006:39) however, argue that the effectiveness of

oversight depends on the quality of plans developed and reports generated by the legislature, through usage of the tools and mechanisms at its disposal. Therefore, a case can be made that monitoring should not only be carried out with respect to the executive's execution and implementation of policies, but that the legislature should also exercise monitoring over its own strategic plans, mechanisms, and processes. Some of these plans, mechanisms and processes are included in the tools that Pelizzo and Stapenhurst (2004:4) refer to as “instruments of control”. The idea is that the legislature plans, tools, and processes with which it conducts oversight over the executive, also be scrutinized to ensure that they are robust and well-functioning. Therefore, based on the positions of the surveyed authors, the importance of legislature planning documents to facilitate oversight by the executive is brought to the fore.

2.4 The effectiveness of legislature oversight tools

Having provided insight into the concept of legislative oversight as well as on the role of the legislature with respect to oversight, the literature review turns to the tools that are used by legislatures in general, and the Gauteng Provincial Legislature specifically, in executing their oversight function. Section 114 of the Constitution (1996) outlines specific powers of the legislature in its exercising oversight over the executive. It sets out that the legislature must provide for those mechanisms to ensure that the provincial executive is accountable to it as well as it must provide for those mechanisms to maintain oversight over the executive. In this regard, several scholars including Pelizzo and Stapenhurst (2002), Simmonds (2002), Rapoo (2004), as well as Yamamoto (2007), have studied numerous mechanisms that are used by legislatures to conduct oversight over the executive. Maffio (2002), as well as Pennings (2002), have shown that legislatures may adopt several tools to oversee the executive, and to ensure that the executive is accountable to it. These include committee hearings, hearings in the house plenary, committees of inquiry and questions posed to the executive.

Pelizzo et al. (2006:8) however caution that the mere existence of oversight tools available to a legislature should not be a determinant of the quality of the oversight that is conducted by that legislature. Yamamoto (2007:11) shares this sentiment and goes a step further to reduce overemphasis on mere tools; by arguing that a legislature possessing more or less tools of oversight does not make it more or less effective than other legislatures. On a similar note, Payne (2009:22) maintains that an oversight tool is only as effective as the oversight it facilitates, causes or results

in. To strengthen the argument, Payne (2009) uses an example that the tool of question-time cannot control the type of responses from the executive that will be received to questions posed by the legislature. However, according to Proksch and Slapin (2010:68), the power of legislature oversight tools rests not with the tool per se, but with the legislature wielding the tool. The example used by Saalfeld (2011:272) to demonstrate this point, is when the opposition becomes ignited in challenging the executive over its reports. Salmond (2004:77) argues that the tool of question-time is when the opposition can force government to address issues it would in other instances, turn a blind eye to. Through this tool, the opposition is able to dictate the agenda for most of the proceedings during question-time. When referring to the criteria utilised by Yamamoto (2007) to measure the effectiveness of oversight tools, both information and expertise are emphasised as critical factors in the effectiveness of oversight tools. With respect to information, Simmonds (2002:6) asserts that it is vital to effective oversight. Information in this regard refers to the legislature comprising knowledgeable staff and capable members. Generally, staff in this context would refer to the administrative and support staff that usually supports the legislature House and its committees. This support includes researchers, analysts, legal advisers, procedural advisors, and house proceedings table assistants, among others. The Oversight Model of South African Legislative Sector, normally referred to as the Sector Oversight Model or “SOM” (2012:43) refers to yet another oversight tool in the form of oversight visits to service delivery sites or to areas of concern in the province. Once again, while these oversight visits may exist as “powerful” and “effective” tools of oversight, it is their invocation, applicability and extent of usage that determine the ultimate effectiveness of the oversight that results from their usage. On this point, Pelizzio and Stapenhurst (2006) stress that the presence of the oversight tool, while necessary, is not a guarantee for effective oversight. With respect to the Gauteng Provincial Legislature, and not different from the sentiment of the authors surveyed thus far, Brugge (2018) in conducting a study on the effectiveness of oversight tools at the Gauteng Provincial Legislature, has found no causal linkage between the existence, and interestingly enough, also the usage of oversight tools; and the quality of oversight carried out by the institution.

However, while the surveyed authors may have differences on opinion on the effectiveness of oversight tools at the disposal of legislatures, it is a fact that these tools are indeed at the disposal of legislatures for use and thus should be included in the oversight plans of the legislature, in order for them not to be ignored and in order for the successful and effective usage of such tools.

2.5 The importance of legislature strategic plans as tools of oversight

While oversight tools may be referred to as essential in a legislature's "arsenal" to ensure effective legislative oversight; it is important that a legislature develops plans and processes to ensure correct and proper installation, implementation and outcome of the usage of such oversight tools. Blackerby (2003) and Poister and Streib (2005:45) reflect that while strategic planning in private enterprises came into widespread acceptance by the 1960s, acceptance of strategic planning by governments did not gain traction until the 1980s. Leslie (2008) sees strategic planning as a combination of strategy and planning, designed to help organizations achieve their long-term goals while Julian (2013:10) argues that many governmental organizations are reported as having adopted strategic planning processes to achieve their goals and give effect to their mandates. From an institutional perspective, Kraus, Reiche, and Reschke (2007) explain that strategic plans refer to those sets of documents that harness the tools, processes and procedures of an institution in order to realize goals and achieve long term success. Pirtea, Nicolescu, and Botoc (2009) set out that strategic plans assist any organization to anticipate and respond to change by clarifying its mission and goals; targeting spending; and reshaping its programmes, activities and all other operations. Julian (2013:1-2) goes to the extent of referring to strategic plans as the very backbone of institutional performance and ultimate success; and that strategic plans are what would guide an institution to use all its resources and tools to achieve its goals and strategic objectives. Allison and Kaye (2005:7-13), in stressing the importance of strategic planning, argues that an organisation must be responsive to a dynamic environment and strategic plans through longer term outlooks and co-ordination of institutional activities that position an organisation to respond successfully to changes in the environment. Johnson (2008:520) supports this view by arguing that strategic planning is the process of developing expectations for an organization of potential futures, making clear the principles underlying desires for particular trajectories, and setting realistic priorities, goals and targets to achieve desired results that are resilient in the face of volatility and changes in environmental dynamics. Norman and Thomas (2003) share this sentiment by arguing that institutions have a better chance to succeed when there is strategic planning embedded in the organization. This position holds true for the legislative environment as well with Schneider (2017) stressing that for legislature House and committees, as well as the administrative support office, strategic plans are essential for almost every significant project in the legislature, irrespective of

its scale. Young (2003: 3) argues that strategic plans enable the legislature to understand clearly where the institution is currently and how, using the tools, resources, and processes at its disposal, to move it on a growth trajectory. Thus, strategic plans would clarify the overall vision, mission, goals, objectives, as well as its strategic and operational activities together with the resources, tools and procedures that would be used to achieve the desired state of future enhancement. Strategic Plans, as Young (2003:3) continues, also allows state officials to have a solid grasp of its plans and expected performance. Doyle (2016) argues that one of the tools which the legislature relies on when holding the department or entity accountable is the annual report of the executive department being overseen. These annual reports (which are progress reports based on the strategic plans) provide the legislature with information of the department relating to its financial and non-financial performance. The National Treasury (2005: 4) sets out that annual reports based on strategic plans are tools which enable the legislatures to ascertain how a department has fared, both financially and non-financially, in line with predetermined objectives and financial projections set out in the annual performance plans of the department, thereby positioning the legislature strategic plans firmly in the centre of the legislature's oversight function.

2.6 The importance of legislature strategic plans from a legal perspective

Not only are strategic plans (from which all onward legislature activities emanate) important tools available to legislatures, as emphasized by the surveyed authors above, the importance of strategic planning is also legally entrenched. In the case of the Gauteng Provincial Legislature, strategic planning documents are entrenched in the Financial Management of Parliament and Provincial Legislatures Act (Act 10 of 2009), hereinafter referred to as "FMPPLA, 2009". Chapter 3 of FMPPLA (2009) sets out the planning and budgeting responsibilities of the legislature and stresses the importance of these plans and their development, by stating that the Speaker of the legislature must oversee the preparation of the legislature strategic planning documents and table these documents before the House. By compelling the Speaker (the Executive Authority with whom ultimate authority and accountability for all legislature activities rest) to oversee the preparation and then tabling of the strategic planning documents in the House, this provision underscores the importance of these documents in giving effect to all activities and mandates of the legislature. In looking at the content of the strategic planning documents and what it should include to guide the legislature in the attainment of its mandate, FMPPLA (2009) at sections 14 and 15 clarifies that

the strategic planning documents must cover the five-year political term of office for which they have been developed. They should also include the goals, priorities and strategic objectives of the legislature as a whole, as well as the performance indicators and targets for every programme within the legislature. Thus, the entire duration of a legislature term and all its activities are to be included into the scope of its strategic planning documents. Conversely therefore, it can be deduced that in terms of the law, every activity that the legislature undertakes, should emanate from its strategic planning documents. The strategic planning documents are therefore the apex documents in the legislature from which all its onward activities emanate and are themselves therefore also important tools of oversight.

2.7 Oversight at the Gauteng Provincial Legislature

According to GPL (2016), the Gauteng Provincial Legislature was established in 1994 in terms of the 1993 interim constitution of the Republic of South Africa. The legislature now exists in terms of section 108 of the Constitution (1996) and is an organ of the state that is responsible for making laws, overseeing the performance of the provincial government, facilitating public participation for the people of Gauteng province and promoting cooperative governance.

According to GPL (2012), oversight at the Gauteng Provincial Legislature entails its scrutiny in respect of the implementation and observance of laws, spending the budget and the strict observance of statutes, including the Constitution, by the provincial executive. In addition, and most importantly, oversight at the GPL entails overseeing the performance of executive departments as they implement laws and policies put into effect by the legislature, in pursuit of improved service delivery for the achievements of a better life for all the people in the province.

As an institution empowered by the Constitution (1996) to oversee the provincial executive, it is the duty of the Gauteng Provincial Legislature to ensure that the executive uses its authority in a responsible manner, and that it implements relevant legislation in the best interest of the people of the Province.

GPL (2013) goes further by emphasising that the Gauteng Provincial Legislature seeks to strengthen the integrity of public governance by defending the state against corruption, nepotism, misuse of power and other types of behaviour, impacting democratic control and enhancing efficiency and service delivery through oversight of the executive. In this regard, Mle and Qwase (2010) argue that in most cases, the three common mandates of legislatures (law making, oversight

and public participation) are carried out through the committees of the House. It should, however, be clear that whatever legislators do, the ultimate outcome of legislative work through committees is to effectively serve citizens by establishing suitable legislation, regulations and conducting effective control over the executive for relevant programme results to be achieved.

According to GPL (2010), oversight in the legislature is conducted by committees of the House. There are two main types of committees that exist at the Gauteng Provincial Legislature: portfolio committees and standing committees. Portfolio committees are attached to provincial government departments for portfolio specific oversight. Their role is to advise departments how to carry out government programmes specifically related to the portfolios of such departments. Standing committees, according to GPL (2010), have been established to handle other “cross-cutting” matters relating to the provincial executive. Such other matters may include bills and other matters referred to them by the Speaker of the Gauteng Provincial Legislature or by resolution of the House. All committees, both standing and portfolio, have to act and operate in line with the strategic objectives, as set out in the strategic planning documents of the institution, upon which they would base their plans and fund their activities and operations. The mandates of the institution, as a whole, are captured in its strategic planning documents. The strategic plan of the Gauteng Provincial Legislature for the period 2014-2019 (GPL 2014) as well as for the period 2020-2025 (GPL 2020), communicates and bases all onward plans on the institutional mandate, its goals and strategic objectives. The strategic planning documents of the Gauteng Provincial Legislature committees, as a collective, is thus the primary mechanism by which institutional mandate, goals and objectives are translated into actions for implementation.

Finally, the provisions of oversight are further highlighted in sections 231 and 232 of the Standing Rules of the Gauteng Provincial Legislature (Standing Rules, 2018). These sections clearly articulate the oversight tools that are to be used by the legislature as it oversees the executive. While the Standing Rules (2018) do not differentiate between internal (or house-based) oversight tools and external (or field-based) oversight tools, they include many of the tools referred to by the authors surveyed above. Section 4 of the Standing Rules (2018) show that the rules are applicable to every individual, party, member, contractor, service provider (and thus the legislature as a whole). Therefore, all oversight activities and functions carried out by the legislature must comply with and fulfil the requirements as set out in the Standing Rules (2018).

Ultimately, the oversight activities planned for and facilitated by the strategic planning documents are made manifest, formalized, and communicated through the House reports and associated House resolutions. According to section 133(3)(b) of the Constitution (1996), with respect to the provincial legislatures, Members of the Executive Council (MEC) of provinces should provide the legislature with full and regular reports relating to the portfolio for which they are responsible. Through this legal entrenchment provided by FMPPLA (2009), it is easy to see the strategic planning documents of the legislature as the primary mechanism at the centre of the oversight processes in the legislature, and the only legal avenue through which the mandate of the institution is delivered.

2.8 Conclusions and deductions from the surveyed literature

This literature review has dwelled on a number of important points, essential in answering the research questions posed in Chapter 1. It opened with an explanation on the notion of the separation of powers in order to contextualize the discussion of legislative oversight with respect to the executive. The discussion looked at the theoretical concepts as well as drew on surveyed authors with a variety of views. Ultimately, the discussion concluded that separation of powers as a doctrine in South Africa works better in theory than it does in practice, with several challenges being experienced with the notion as implemented practically. Within the notion however, the review turned to locate the oversight role of the legislatures in so far as it drew mandate from the constitution and related to the executive. The mandate of oversight is conferred upon legislatures by the Constitution (2009) and as such, legislatures must conduct oversight only in terms of, and as mandated by the Constitution. In surveying various authors, the review also shows that oversight is one of the most important functions of any legislatures, without which a legislature would not even be deemed a legislature. The review showed also that in conducting oversight, there are several tools, processes, plans and mechanisms that legislatures have at their disposal. Tools of oversight may be categorized as internal or external tools based on how they are invoked and where they are used. It is important however to refer to the sentiment of surveyed authors that the quantity of tools at a legislature's disposal, in no way has an impact or effect on the oversight that is conducted by the legislature. Rather it is how the tools are used.

In surveying additional authors, the review brings to the fore the importance of strategic planning documents of the legislature as the central cog from which all onward legislature activities

emanate. While this is stressed by surveyed authors, the review further stresses the importance of the strategic planning documents by showing legal entrenchment of the strategic plans. Thus, while strategic plans (from which all onward activities of the legislature emanate) are essential as they plan for and include the oversight tools to be used, another more favoured opinion is that the strategic plans are themselves tools of oversight as they provide the approval, guidance and “marching orders” for the legislature on the oversight plans and processes that are to be used when the legislature executes its mandate.

Ultimately, by surveying various authors, the review has demonstrated three important factors. Firstly, that the legislature derives mandate from the Constitution (2009). Secondly, that the legislature must oversee executive government performance in achievement of their plans and provincial priorities. Thirdly, that the central cog in translating legislature mandate into activities, plans and targets are the strategic plans of the legislature. It will therefore be justifiable to expect that the legislature strategic plans are aligned with the constitutional mandate, on one hand and with provincial priorities for service delivery, on the other hand. This will ensure that the oversight activities and functions emanating from the strategic plans are legitimate (in line with Constitutional mandate) and relevant (responding to provincial service delivery priorities for the province of Gauteng). This alignment in the case of the Gauteng Provincial Legislature has however not been studied in the surveyed literature, thereby resulting in a gap of specific research. It is this specific gap therefore that this study aims to fill by answering the research questions presented in Chapter 1.

CHAPTER 3

Research Methodology

3.1 Introduction

This chapter reflects on the data sources, and the methodology of how the data was collected and analysed, thus contextualizing the research design. The chapter also provides the literary basis for the choices of methodology and analysis tools to ensure that such choices are based on sound theoretical rationales. However, before proceeding any further, it is important to demystify the main concepts related to research to clear the confusion that is often associated with their usage, particularly by emerging researchers. It is therefore important to firstly ask the questions – What is research and how is it done?

3.2 What is research and how is it done?

According to Leedy and Ormrod (2005), research is a logical examination intended at discovering new information with the aim of expanding or verifying existing knowledge in an effort to solve a problem, while Saunders, Lewis, and Thornhill (2003) define research as an activity undertaken to find out new things about a specific phenomenon in a systematic way, thereby increasing knowledge and contributing to the general body of knowledge on that phenomenon. Research is therefore the creative and systematic work undertaken to increase the current body of knowledge on a specific phenomenon, and the usage of such knowledge to inform further knowledge. It involves the collection, organization, and analysis of information to increase our understanding of a topic or issue. The Frascati Manual 2015: OECD (2015) sets out that at its most basic level, research is conducted in three steps: pose a question, collect data to answer the question and present an answer to the question.

As indicated in the preceding chapters, this study investigated the alignment of the GPL Strategic Plans (from which the GPL oversight functions emanate) with both the Constitutional mandate on oversight and the provincial priorities for service delivery in Gauteng. The research methodology outlines the steps taken during the research to discover answers to the research questions. The study was exploratory-descriptive in nature and was qualitatively conducted. Further details on these elements as well as on the research methodology, paradigm and design are provided in the subsequent sections.

3.3 Research Method

Brynard and Hanekom (2006:36) denote research methodology as the strategy for research. Methodology therefore refers to the tools, procedures and techniques used in the process of inquiry (Babbie et al, 2001; 647). Schwarzt (2007:195) defines research methodology as a theory of how the research should unfold. It involves examination of the notions, principles, and procedures in a defined approach. According to Schwarzt (2007), Creswell and Tashakkori (2007), and Tashakkori and Teddlie (2010), research methodologies describe the kinds of problems that are worth investigating; what constitutes a researchable problem and how the problem can be conceptualized in such a way that unique designs and procedures can be used to investigate it; and how to choose an effective means of data collection. Terre Blanche, et al. (2006:6), on the other hand, state that research methodology outlines how researchers may go about studying whatever they believe can be recognised. Kothari (2004) points out that research comprises, both the quantitative and qualitative methods. The quantitative approach is known as the conventional and investigational way of conducting research whilst the qualitative approach is known as the productive, realistic, and explanatory method of carrying out a study (Maphazi, 2012:162). Kaplan (2015) emphasizes that regardless of the variations in the definition of quantitative and qualitative analysis, all approaches adopt structured processes; all aspects of a research process, such as methodologies and design, are routinely considered. This therefore corresponds with Kaplan's (2015) definition of research as a systematic and rigorous process. The two methodologies are characterised below.

3.3.1 Quantitative research

Quantitative research methods, according to Babbie (2010), emphasize objective measurements and the statistical, mathematical, or numerical analysis of data obtained through polls, questionnaires, and surveys, or by modifying pre-existing statistical data using computational techniques. Quantitative research focuses on gathering numerical data. Babbie and Mouton (2001:52-54) argue that quantitative research methods relate to that which can be numerically counted. Fox and Bayat (2007:7) stress that quantitative research involves systematic measurement, statistical analysis and methods of experimentation. Hoy (2010) argues that quantitative research is a systematic approach used to quantify variables and answer a research question to enable generalizability. Burns and Groove (2005) define quantitative research as a

systematic, structured, and formal process that uses a statistical approach in the collection, analysis, interpretation, and presentation of primarily numerical data. Based on the definitions provided, quantitative research appears to be the method of choice when numerical data is collected and analysed to test a hypothesis towards generalizability. The method is more objective, structured, rigid, and due to its numerical and clinical nature, is often carried out in a controlled environment, different from the actual research environment. Dowd (2018) cautions that while quantitative research methods work well in the laboratory under tightly controlled conditions, it falls short when applied to measuring phenomena like human or organizational behaviour. Mahoney and Goertz (2006) also warn that quantitative methodology focuses on generalizability of findings based on primarily numerical data collection and analysis in a controlled environment. Through this approach, the result is only known once the cause, treatment, test, or control has been administered or applied. Mahoney and Goertz (2006) continue that quantitative methods are not suitable when attempting to test a specific observed phenomenon, using participants in the environment within which such phenomenon exists.

Quantitative research therefore does not usually take place in the natural setting where the phenomenon is observed or found nor does it allow participants to explain their choices or the meaning of the questions the researcher may pose. Quantitative research is primarily numerically orientated and as explained by Hoy (2010), quantitative research is a methodically organised approach used to quantify variables. Similarly, Groove (2005) also describes a quantitative research as a systematic, structured, and formal process that uses a statistical approach in the obtaining, analysis, interpretation, and presentation of numeric data. Shields and Alison (2005) go on to argue that quantitative research is also known as a “desktop science” or “clinical research” primarily since it uses experiments to explain hypotheses, pointing to correlation between an independent or cause and a dependent or effect variable. Denscombe (2010) argues that quantitative research methods require large sample sizes for more accurate analysis and to allow for generalizability of the study findings to wider populations. Denscombe (2010) continues that in quantitative research methods, the researcher may miss causal effects of phenomena since the research is typically conducted in an environment other than the actual research environment.

3.3.2 *Qualitative research*

Carter and Thomas (2005) define qualitative research as a systematic but organic or unstructured method of research that uses narrative or descriptive approaches in the collection, analysis, interpretation, and presentation of data. This means that qualitative researchers investigate or observe phenomena in their natural settings (the actual research environment), attempting to make sense of, or interpret them in terms of the meanings people bring to them. According to McLeod (2017), the aim of qualitative research is to understand the social reality of individuals, groups, and cultures or of an observed phenomenon, as close as possible to the way in which its participants experience it. This type of research is therefore descriptive or exploratory and seeks to explain how and why a specific phenomenon operates as it does in a specific environment. Dowd (2018) argues that qualitative research is the method of choice used to conduct social and behavioural studies, since human interaction and organizational dynamics are more complex than chemical reactions in a petri-dish. Dowd (2018) continues that a major advantage of qualitative research is the ability to deeply probe and obtain rich descriptive data about social phenomena in their natural environment, through interviews, cultural immersion, case studies and direct observation. McLeod (2017) argues that despite the limitations of cost and time of observing phenomena in their natural environment, due to the close researcher involvement in the environment, the researcher gains an insider's view of the environment within which the phenomenon is observed. This allows the researcher to identify subtle and complex issues that are often missed by quantitative research methods. Denscombe (2010) further argues that qualitative research methods play the important role of suggesting possible correlations, causes, effects and dynamic processes. It also allows for ambiguities and contradictions in the data, which are a truer reflection of social reality, often missed by quantitative research methods.

Table 3.1 summarises the main differences and applicability of qualitative and quantitative research methods.

Quantitative versus qualitative research methods (Adapted from Neill, 2007)		
Area of comparison	Quantitative research methods	Qualitative research methods
Aim	The aim is to classify features, count them, and construct statistical models in an attempt to explain what is observed	The aim is a complete, detailed description
Knowledge of what is being sought	The researcher knows clearly in advance what is being sought	The researcher may only know roughly in advance what is being sought
Design	All aspects of the study are carefully and completely designed before data is collected	The design emerges as the study progresses
Tools and Instruments	The researcher uses tools or equipment to collect numerical data	The researcher is the primary data gathering instrument
Form and format of data	Data are numeric (numbers, statistics)	Data are narrative (words, pictures, objects)
Researcher position	Objective (seeks precise measurement and analysis of phenomenon)	Subjective (interpretation of events is important, participant Observation, in-depth interviews)
Researcher involvement	The researcher tends to remain objectively separated from the subject matter	The researcher tends to become subjectively immersed in the subject matter
Main strengths vs weakness	Quantitative data are more efficient, able to test hypotheses, but may miss important contextual detail	Qualitative data are richer, but very time consuming, and less able to be generalized

Table 3.1: Quantitative versus qualitative research methods

Neill (2007) suggests that it is not necessary to pit one research methodology against the other. Similarly, Siegle (2019) notes that each approach functions with different assumptions and it is therefore improper to judge qualitative research through a quantitative “lens” and vice versa. Each

approach should be judged on its own merit for the purpose of the specific research undertaken. One methodological approach is not “better” than the other because both qualitative and quantitative methods have helped researchers make important discoveries.

However, as this study aims to investigate specifically the alignment between the GPL strategic planning documents and the constitutional mandate of oversight; as well as between the GPL strategic planning documents and the provincial priorities for service delivery in Gauteng, the usage of qualitative methods was deemed most suitable to answer the research questions. By using the qualitative research methodology, the researcher was able to obtain detailed descriptions of this alignment by studying responses from the actual research environment.

3.4 Research Design

With respect to the research design, the study is exploratory-descriptive and therefore qualitative in nature. The exploratory-descriptive approach of this study was informed by the fact that despite oversight being a well-defined subject; with respect to the South African context, surveyed literature has not addressed any linkages or correlation between legislature strategic plans and constitutional mandate, on one hand, and between legislature strategic plans and provincial priorities for service delivery, on the other hand.

According to Mouton (2001:56), research design concentrates on the rationality of the research and the end result which is solving the research problem or answering the research question/s. In other words, research design focuses on the type of study that will best answer the research question. MacMillan and Schumacher (2001) define research design as the “plan of action” for selecting subjects, research sites, and data collection procedures to answer the research question(s). MacMillan and Schumacher (2001) indicate further that the objective of a sound research design is to generate credible results. Durrheim (2004) points out that research design spans a bridge between research questions and the execution, or implementation of the research strategy towards generating the findings. Babbie and Mouton (2004), in advancing a similar argument, refer to research design as a strategic plan of action that details how a researcher intends to manage a specific research project from start to finish. According to Terre Blanche et al. (2006:48), a research design ought to provide a detailed plan of action that clearly describes the methods that will be used in the study. Furthermore, the research design must provide comprehensive

information with respect to sampling, data collection and data analysis techniques (Terre Blanche et al., 2006:48).

According to Sue and Ritter (2012), most social research projects can be classified into three design categories: exploratory, descriptive, and explanatory. While these are explained separately for clarity, Sue and Ritter (2012) go on to explain that a single study can span two or all three of the research designs.

3.4.1 Descriptive Research

According to Goddard and Melville (2004: 9), descriptive research is research in which a specific phenomenon is studied or observed, either to ascertain if it produces any general theories or to ascertain if existing general theories are confirmed by that phenomenon. McNabb (2002:87) sees descriptive research going into greater depth on specific issues using interviews for data collection. The ultimate objective of descriptive research, according to Saunders, Lewis and Thornhill (2003: 97), is to portray a phenomenon as accurately as possible. These assertions are vital to this study because a clear picture of the phenomenon is essential for data collection.

3.4.2 Exploratory Research

According to Yin (1994), exploratory research is the study of new phenomenon. Exploratory research is characterized by its flexibility. When a problem is broad and not specifically defined, the researcher uses exploratory research as the first step. Yin (1994) adds that exploratory studies are a valuable means of understanding what is happening; to seek new insights; to ask questions and to assess the phenomenon from a new point of view. Sue and Ritter (2012) argue that the aim of exploratory research is to formulate problems, clarify concepts, and form hypotheses, rather than to test existing hypotheses. Furthermore, Kumar (2005) sees exploratory research conducted either to investigate a subject matter where little is known; or to probe the options when undertaking a particular research study, while Saunders, et al. (2003: 96) sees the value of exploratory studies in its conformity to find out “what is happening; to seek new insights; to ask questions and to assess phenomena in a new light”.

3.4.3 Explanatory Research

According to Sue and Ritter (2012), the main purpose of explanatory research is to explain why phenomena occur and to predict similar occurrence in the future. Thus, explanatory research is characterized by research hypotheses that specify the nature and direction of the relationships between or among variables being studied. Yin (1994) argues that explanatory research focuses on the cause-effect relationship of variables within an observed or studied phenomenon. In other words, which causes produce which effects. Yin (1994) also emphasizes that explanatory research goes beyond description and exploration; and attempts to explain the reasons for the phenomenon that the descriptive study only observed or the explorative study only explored. In an explanatory study therefore, the researcher uses theories or hypotheses to represent the forces that caused a certain phenomenon to occur. Zikmund, Babin, Carr, and Griffin (2012) explain that explanatory research is conducted to evaluate the impact of changes on existing norms and processes. It focuses on an analysis of a specific phenomenon to explain the patterns of relationships between variables. Zikmund, Babin, Carr, and Griffin (2012) continue that quantitative experiments are the most popular primary data collection methods in explanatory research. This view is supported by Sue and Ritter (2012) who argue that the data in explanatory research are quantitative and almost always require the use of numerical statistical tests to establish the validity of relationships within an observed phenomenon.

Since this study aims to investigate specifically the alignment between the GPL strategic planning documents and the constitutional mandate of oversight; as well as between the GPL strategic planning documents and the provincial priorities for service delivery in Gauteng, it is exploratory-descriptive and qualitative in nature. It is not explanatory as it does not aim to test the cause and effect of any of the variables that are being explored or described.

3.5 Research paradigm and philosophical underpinnings

According to Chilisa and Kawulich (2012), the methodological approach to the study depends upon how the researcher considers the phenomenon and how it can be studied, such that the findings are deemed to be credible. Since researchers are individuals, every researcher would have his/her own view of what constitutes truth and knowledge. These views guide thinking, beliefs, and assumptions of the researcher about society and themselves, and how the researcher views the world around them is what social scientists call a paradigm. In his monograph *“The Structure of*

Scientific Revolutions” (1962), Thomas Kuhn used the term ‘paradigm’ in two ways; firstly, to represent a particular way of thinking that is shared by a community of scientists in solving problems in their field and secondly, to represent the “commitments, beliefs, values, methods, outlooks and so forth shared across a discipline”. Jonker and Pennink (2010) define a research paradigm as a set of fundamental assumptions and beliefs on how the world is perceived, which perception then serves as a frame of reference that guides the onward behaviour of the researcher. Alghamdi and Li (2013) argue that research paradigms help to define scientific research philosophy by providing the researcher with a philosophical, theoretical, instrumental, and methodological foundations for the research.

Chilisa and Kawulich (2012) stress that the choice of research method (qualitative, quantitative or mixed methods) depends on the paradigm within which the researcher premises the study. This view is supported by Wagner, Kawulich and Garner (2012) who argue that certain paradigms are associated with certain methodologies, arguing further that generally, the difference between qualitative and quantitative research methods is distinguished between narrative and numeric approaches. Similarly, the approach to theory, basic philosophical assumptions, research strategies and methods employed add to the degree of differences between these research approaches. Nel (2019) explains that research paradigms determine the spirit in which research is conducted and thus impact on the nature of the research question, i.e. what is to be studied, and how it is to be studied. The paradigms thus add a philosophical perception to the clinical academic meaning of arguments and are therefore a reflection of the value system of the particular researcher. Nel (2019) continues that the paradigm that informs any research project has a definite influence on the data collection methods and research methods that the researcher will employ.

3.5.1 Ontology

The ontology of a paradigm, according to Scotland (2012), is a branch of philosophy concerned with the assumptions made in order to believe that an observed phenomenon is sensible and realistic and that it is concerned with the essence of an observed social phenomenon. Ormston, et al. (2014) assert that ontology concerns the question of whether or not there is a social reality that exists independently from human conceptions and interpretations; and whether there is a shared social reality or only multiple, context-specific realities. In other words, ontology concerns the researcher’s belief about the kind and nature of reality and the social world within which the

research problem or observed phenomenon exists. Moon and Blackman (2014) explain that ontology is the study of being, which is concerned with what actually exists in the world about which humans can acquire knowledge and continue that ontology assists researchers in recognising how certain they can be about the nature and existence of the objects they are researching. Key considerations in this regard may include the actual claims a researcher can make about reality, or who decides the veracity of what is real or true; and how the researcher reconciles differing ideas of reality.

3.5.2 Epistemology

Epistemology in research, according to Cooksey and McDonald (2011), describes how the researcher comes to know a specific observed phenomenon, how the researcher knows the truth or reality with respect to that phenomenon and what counts as knowledge with respect to the phenomenon. Epistemology therefore can be taken as an understanding of what is the truth with respect to a specific phenomenon. Moon and Blackman (2014) explain that while ontology is the study of being, epistemology is the study of knowledge. Epistemology is therefore, according to Moon and Blackman (2014), concerned with all aspects of the validity, scope, and methods of acquiring knowledge. Key questions in this regard may include what constitutes a claim to new knowledge, how can new or existent knowledge be acquired or produced; and how can new or existent knowledge be transferred or accessed. Epistemology is important because it influences how researchers premise their research in their attempts to discover knowledge around specific observed phenomena.

3.5.3 Axiology

According to Saunders, Lewis, and Thornhill (2012), axiology is a branch of philosophy that studies judgements about value, while Li (2016) clarifies that axiology assesses the role of the researcher's own value on the research process itself. Carnaghan (2013) stresses that when discussing the axiology aspect of the research philosophy in qualitative research, the researcher bias and contextual frame of reference should be clearly articulated for a better understanding of the research question as well as its ultimate findings and results. This is especially important since in the case of this study, the researcher is part of the studied environment by virtue of being a full-

time employee of the GPL, during the period covered by this study. Thus, the researcher would therefore add value based on circumstance and lived experience within the research environment. Chilisa (2011) has summarised the main paradigms with their theoretical underpinnings and related considerations to help navigate through these paradigms and the subsequent considerations as shown in Table 3.2:

Summarised comparison of selected paradigms (Source: Chilisa, 2011)

Summarised comparison of selected paradigms				
RESEARCH CONSIDERATION	POSITIVIST/ POST-POSITIVIST PARADIGM	CONSTRUCTIVIST/ INTERPRETATIVE PARADIGM	TRANSFORMATIVE/ EMANCIPATORY PARADIGM	POSTCOLONIAL/ INDIGENOUS RESEARCH PARADIGM
Motivation for doing the research	To identify principles that are generalizable and govern the universe	To understand and explain human nature	To dispel preconceptions and enable people to fundamentally change society	To question the former colonized's deficit thinking and pathological definitions and restore a body of information that carries hope and facilitates transformation and social change among the historically oppressed
Philosophical underpinnings	Informed largely by realism, idealism, and critical realism	Guided by hermeneutics and phenomenology	Aligned with critical theory, postcolonial discourses, feminist theories, race-	Informed by indigenous knowledge systems, critical theory, postcolonial discourses,

Summarised comparison of selected paradigms (Source: Chilisa, 2011)

Summarised comparison of selected paradigms				
RESEARCH CONSIDERATION	POSITIVIST/ POST-POSITIVIST PARADIGM	CONSTRUCTIVIST/ INTERPRETATIVE PARADIGM	TRANSFORMATIVE/ EMANCIPATORY PARADIGM	POSTCOLONIAL/ INDIGENOUS RESEARCH PARADIGM
			specific theories and neo-Marxist theories	feminist theories, critical race-specific theories, and neo-Marxist theories
Ontological assumptions	Single reality, comprehensible within probability	Many socially constructed realities	Multiple realities shaped by political, socio-economic, cultural, race, indigenous, gender and disability values	Socially constructed multiple realities shaped by a set of interactions that human beings have with the environment as well as the animate and inanimate universe
Role of values in the research process	Science is value free, and values do not feature except when choosing a topic	Values are an intrinsic part of social life; people's values are not wrong, rather different	All science must start with a value stance; not all positions are right or wrong	Every research must be guided by a relational accountability that promotes respectful representation,

Summarised comparison of selected paradigms (Source: Chilisa, 2011)

Summarised comparison of selected paradigms				
RESEARCH CONSIDERATION	POSITIVIST/ POST-POSITIVIST PARADIGM	CONSTRUCTIVIST/ INTERPRETATIVE PARADIGM	TRANSFORMATIVE/ EMANCIPATORY PARADIGM	POSTCOLONIAL/ INDIGENOUS RESEARCH PARADIGM
				reciprocity and rights of the subjects being investigated
Nature of knowledge	Objective	Subjective; idiographic	Dialectical understanding aimed at critical praxis	Knowledge is relational and is all the ethnic knowledge systems derived from relations
What constitutes truth	Based on correct observation and verifiable calculation	Truth is contextually dependent	It is informed by a theory that uncovers perceptions	It is based on multiple relations that people have with the universe
Methodology	Quantitative; correlational; quasi-experimental; experimental;	Qualitative; phenomenology; ethnographic; symbolic interaction; naturalistic	Combination of quantitative and qualitative action research; participatory research	Participatory, liberating, and transformative research approaches and methodologies that draw

Summarised comparison of selected paradigms (Source: Chilisa, 2011)				
Summarised comparison of selected paradigms				
RESEARCH CONSIDERATION	POSITIVIST/ POST-POSITIVIST PARADIGM	CONSTRUCTIVIST/ INTERPRETATIVE PARADIGM	TRANSFORMATIVE/ EMANCIPATORY PARADIGM	POSTCOLONIAL/ INDIGENOUS RESEARCH PARADIGM
	causal comparative; survey			from indigenous knowledge systems
Techniques of gathering data	Primarily questionnaires, observations, tests. and experiments	Mostly interviews, pictures, photographs, diaries, documents, and participant observation	A mixture of techniques in the other two paradigms	Techniques based on philosophic prudence, ethno-philosophy, language frameworks, indigenous knowledge systems, talk stories and talk circles

Table 3.2: Summarised comparison of selected paradigms

3.5.4 Methodology

Jackson (2012) points out that methodology in research primarily explains the method or what the researcher aims to do in the study. This can include either describing a phenomenon, explaining a phenomenon or predicting a phenomenon. The main research methodologies as suggested by Jackson (2012) are depicted in Table 3.3.

Characteristics of main research methodologies (Adapted from Jackson, 2012)		
Aim of the research	Research Methods	Characteristics
Descriptive - Describe a phenomenon	<ul style="list-style-type: none"> • Observational method • Case study method • Survey method 	<ul style="list-style-type: none"> • Only describes what is already existing • Does not predict • Does not test and experiment for cause and effect
Predictive - Predict a phenomenon	<ul style="list-style-type: none"> • Correlational method • Quasi-experimental method 	<ul style="list-style-type: none"> • Describes what is already existing • Predicts changes in the phenomenon • Does not test and experiment for cause and effect
Explanatory - Explains a phenomenon	Experimental method	<ul style="list-style-type: none"> • Describes what is already existing • Predicts changes in the phenomenon • Tests and experiments for cause and effect

Table 3.3: *Characteristics of main research methodologies*

This study, which sought to investigate the alignment of the GPL strategic plans with the constitutional mandate on oversight on one hand, and with provincial priorities for service delivery on the other hand, is not framed in a paradigm that seeks to discover laws that are generalizable and govern the entire universe. It is also not framed in a paradigm that seeks to dispel misconceptions and empower people to change society radically or paradigms that seek to challenge deficit thinking and pathological descriptions of a former or pre-existing body of

knowledge. Rather, this study is framed in a paradigm that seeks to understand and describe human nature, activity, or social phenomenon. Therefore, in line with the summary provided by Chilisa (2011) and as shown by Jackson (2012), the study was exploratory / descriptive and aligned with the interpretive paradigm. Chilisa (2011) argues that through the interpretive paradigm, the researcher seeks an understanding of the world as others experience it. Kivunja and Kuyini (2017) see the interpretive paradigm as getting into the heads of participants in their natural environments with respect to a specific social phenomenon in its normal setting.

3.6 Research procedure

In attempting to satisfy the research objectives, the researcher followed the following processes and procedures in this study:

- A literature study was conducted, comprising books, legislation, policy frameworks, the internet, interviews, journal articles, official reports, and strategy/planning documents; and
- An empirical study was conducted, which was qualitative and exploratory-descriptive in nature.

The research process was deliberated upon, commencing with population and sampling and then proceeding to the details of the qualitative methods of research.

3.6.1 Sampling

According to Pituch and Stevens (2016), it is imperative that data collection techniques be chosen carefully since no amount of post collection analysis can compensate for poor data collection. Similarly, Sutton and Austin (2015) stress that data gathering is crucial in any research project since the data is meant to contribute to an improved understanding of a phenomenon. Salkind (2012) explains however, that before data collection can take place in any research study, there must be a thorough understanding of the population to which the study refers; and how the sample to represent the population will be selected. In this regard, Stern, et al. (2016) define the population as a set of similar items, events, subjects, or people which is of interest for some question or experiment. Salkind (2012) explains further that in the case where it may be impractical to observe the entire population, a subset thereof, deemed sufficiently representative of the population is chosen on which to conduct the study. This representative subset of the population is referred to as the sample (Salkind, 2012: 95). Oates (2008:96) explains that there are several sampling techniques which can broadly be divided

into two main categories, probability sampling and non-probability (purposive) sampling. Probability sampling, according to Creswell and Plano Clark (2011), is where the sample is selected with the belief that there is a high probability that the sample is representative of the overall population being studied. Creswell and Plano Clark (2011:175) explain further that probability sampling is conducive to quantitative research with the idea of generalizing from the sample to a wider population. In other words, the sample is deemed representative of the population and every participant has an equal chance of being included in the sample.

Van Manen (2014:14) defines purposive sampling as the practice of deciding whether respondents are chosen to narrate shared or lived experiences on the basis of their awareness and verbal eloquence on an observed phenomenon. Yin (2011:311) describes purposive sampling as the selection of respondents based on the importance and relevance of information in relation to the research question. This view is supported by Maphalla (2013:22), who asserts that when researchers select purposive sampling, they deliberately decide on participants whom they know or perceive to be most likely to provide valued information required for their study. According to Palinkas et al. (2015), purposive sampling is widely used in qualitative research for the identification and selection of information-rich cases related to the phenomenon of interest. Thus, purposeful sampling allows the researcher to probe deeper on responses from the respondents. Sharma (2017) postulates another advantage of purposeful sampling is that it can provide the researcher with the justification to make generalisations from the sample that is being studied, whether such generalisations are theoretical, analytic and logical in nature. Further it is noteworthy that Benoot, et al. (2016) argue that purposeful sampling is the technique of choice when interviews are used. It is also important to note that for purposeful sampling, the sample size may or may not be fixed prior to the study and may also change during the study when additional samples may or may not add new data to influence the findings of the study, i.e. when data saturation occurs (Nieuwenhuis 2011, in Maree 2011:79). Etikan, Musa and Alkassim (2016) further clarify that purposeful sampling is a non-random technique that does not require underlying theories or a minimum number of participants. The researcher determines what needs to be identified and sets out to find individuals who, by reason of expertise or experience, can and are willing to provide the data. Thus, the sample need not be representative of the population being studied.

Therefore, this study used the non-random purposeful sampling strategy based on the advantages and suitability of this method to qualitative research. The population was all staff and members of the GPL while the purposefully selected sample was 12 composed as illustrated in Table 3.4:

Sample identified for this study (Source: Author)	
Designation	Proposed number of participants
Political leadership	
Speaker of the GPL as Executive Authority	1
Chairperson of Committees	1
Chairperson of Portfolio Committee on Social Development	1
Chairperson of Oversight Committee on Office of the Premier and the Legislature (OCPOL)	1
Management	
Secretary to the Legislature as Accounting Officer	1
Executive Director: Leadership and Governance	1
Executive Director: Core Business	1
Staff	
Director: Parliamentary Business (responsible for the committee support function).	1
Senior Manager: Stakeholder Relations	1
Senior Co-ordinator: Office of the Chairperson of Committees	1
Senior Manager: Strategic Planning, Monitoring and Evaluation (responsible for the consolidation of the strategic plans).	1
Senior Manager: Research support (responsible for strategic research support to committees).	1
Total sample size	12

Table 3.4: Sample identified for this study

The sample size in this instance is non-incident as it has been purposefully selected. Further, Salkind (2012) argues in favour of a well-thought-out sample as opposed to a large sample that has not been well thought-out. This sample was well thought-out to provide the information that would be analysed and ultimately used to answer the research questions.

3.6.2 Data sources and collection procedure

This study sourced its data from both primary and secondary sources. Etikan, Musa and Alkassim (2016) stress that it is important, especially for qualitative researchers, to employ

several methods of data collection to provide significant insights into the study. Cohen, Manion, and Morrison (2011) argue that numerous methods of data collection allow data from several sources to be triangulated for veracity and thereby to strengthen findings of the study. Salkind (2012) explains that primary sources of data form the “nuts and bolts” of the research as they are the closest to, and thus form actual accounts of the study, while secondary sources are linked, but removed from the actual study. Thus, while Salkind (2012) prefers the usage of primary sources, he stresses the importance of using secondary sources too, to strengthen and lend further credibility to the primary sources. In this study, data was sourced from primary and secondary sources with the aim of obtaining information from source documentation and from interviews to enable the researcher to make recommendations and proposals based on facts. The researcher used semi-structured interviews and document analysis as data collection methods in this study.

The specific usage of both interviews and document analysis in this study is outlined below.

3.6.2.1 Interviews

According to McGrath, Palmgren and Liljedahl (2019), interviewing is a data-collection tool that is useful for a variety of research methodologies but is best suited to qualitative research. However, qualitative research interviews are preferable when the researcher aims to understand the participant’s lived experience of a phenomenon rather than generating generic pictures or understanding of large samples. Reeves et al. (2015) argue that a study applying qualitative interviews has the potential to hear voices otherwise unheard. Reeves (2015) however, cautions that, noting the time required to conduct interviews (both from the researcher and the respondent), the sample should include just those participants required in the research project and who may have insights or experiences of the phenomenon in question. Terre Blanche et al. (2006:287) argue that data collection in qualitative research is best conducted by means of interviews. Rubin and Rubin (2005:4) define interviews in research as discussions in which the researcher leads the participant into discussions concerning the observed phenomenon and by following up on responses provided by the participant during the interview. According to Kvale, in Terre Blanche et al. (2006:287), qualitative interviews are attempts to understand the observed phenomenon from the participant’s point of view to unfold the meaning of the participant’s experiences and to uncover their views on the observed phenomenon.

Muhammad (2016) points out that interviewing involves asking questions and getting answers from participants in a study. Jamshed (2014) argues that interviews are the most common

format of data collection in qualitative research as through interviews, detailed questions can be asked; further probing can be done to provide rich data. Muhammad (2016) also explains that interviews as a data collection method in qualitative research are advantageous as the method does not presuppose any statistical knowledge and can be conducted immediately as long as the sample is available and accessible.

Burnard, et al. (2008); Gill, Stewart, Treasure and Chadwick (2008), as well as Muhammad (2016) identify three fundamental types of research interviews for qualitative research, namely unstructured, structured and semi-structured interviews. Jamshed (2014) however, points out that no research interview is totally without structure and thus most of the qualitative research interviews are either semi-structured or structured.

3.6.2.1.1 Structured Interviews

Gill et al. (2008) perceive the structured interview as a very static, orally conducted questionnaire that does not use prompts and gives very little space for follow-up questions to discuss answers that need more information and depth. Structured interviews, as portrayed by Nieuwenhuis, in Maree (2007:87), are comprehensive and normally developed in advance. Gill et al. (2008) advance an advantage of the structured interview, stating that the rigidity allows for the interview to be administered quickly. This is however of little use if depth from the perspective of the participant is required. Nieuwenhuis, in Maree (2007:87), however cautions against the excessive use of structured interviews as they may impede the investigation.

3.6.2.1.2 Unstructured Interviews

Legard et al. (2003), as well as De Vos et al. (2005:292), refer to unstructured interviews as in-depth interviews as the objective of such interviews is not on obtaining responses or testing theories. De Vos et al. (2005:293) argue that unstructured interviews encourage participation of the researcher in the interview as this displays the researcher's enthusiasm to comprehend the participant's response to a question in the broader perspective of the interview as a whole, rather than being disinterested and detached. According to Royce, Bruce and Singleton (2005:222), specific questions are developed freely during the unstructured interview, because the objectives are broad, and the discussion may be wide ranging. Royce et al. (2005:222) further state that the interviewer is permitted to adjust the interview to get the most out of it in terms of special knowledge, experience and insights of respondents. Legard et al. (2003: 138) describe the unstructured interview as a purposeful conversation as it aims to allow the

researcher to collect detailed information. This sentiment is shared by Morse and Corbin (2003) who describe the unstructured interview as a shared interaction in which the researcher and interviewee establish a setting wherein participants are at ease in sharing their experiences. Gill et al. (2008) view the unstructured interview somewhat differently, arguing that it does not display any preconceived theories or concepts and is performed with negligible organisation, thereby implying that the process of the unstructured interview can be somewhat organically haphazard with little structure or planning.

3.6.2.1.3 Semi-structured Interviews

Semi-structured interviews, according to Gill et al. (2008), help to define the phenomenon to be explored, while allowing the researcher the flexibility to pursue an idea from a response in more detail. It is thus a hybrid of structured and unstructured interviews. This view is supported by Moore (2014), who argues that semi-structured interviews obtain an understanding of the experiences of participants and the sense that they make, relating to an observed phenomenon. The semi-structured interview, according to De Vos et al. (2005:296), comprises a list of questions that is prepared by the researcher prior to conducting the interviews. This type of interview, according to Nieuwenhuis, in Maree (2007:87), forces a researcher to be attentive to the participant's responses. This is vital, as it will assist the researcher to detect new lines of inquiry that are related to the subject matter being studied and to explore them further. Stuckey (2013) favours semi-structured interviews for qualitative studies, stating that these types of interviews are often preceded by observation, informal and unstructured interviewing in order to allow the researcher to develop a deep conceptualisation of the observed phenomenon and provide valuable prospects for in-depth understanding of such phenomenon.

Noting the above methods of interviews, the researcher opted to use the semi-structured interview, since it acts as a guide for the researcher to extract more information from the participants. Babbie and Mouton (2001:289) see the semi-structured interview as one of the most viable and frequently used methods of data gathering within the qualitative approach.

3.6.2.2 Document analysis

According to Olson (2010:318), almost every aspect of our lives is recorded in some form or another as the by-products of natural human activity and a revelation of the complexities of our lives as individuals and societies. Olson (2010) goes on to state that documents provide evidence of the way in which we represent and organise ourselves as individuals and as society,

as well as they reveal attempts at making sense of our past and inform our future. As such, documents play an important role in influencing our processes of understanding and knowing. According to Bowen (2009), document analysis is a type of qualitative research in which documents are construed by the researcher to give voice and meaning to an observed phenomenon. It would therefore be best used in combination with other data collection methods as a means of triangulation in the study of the same observed phenomenon. Documentary analysis, according to Corbin and Strauss (2008), is a systematic procedure for reviewing or evaluating documents, both printed and electronic, primarily used in qualitative research methods, while Rapley (2007) argues that document analysis allows deep understanding and interpretation of data to elicit meaning, gain understanding, and develop empirical knowledge on a specified subject. These views are supported by Smulowitz (2017), who argues that documentary analysis in qualitative research enables the researcher to evaluate deeper meanings to enhance the research findings. Document analysis is recommended by Bryman (2003), who suggests that analysing documents can offer many benefits to the qualitative research study. In his view, documentary analysis can provide information on issues that cannot otherwise be addressed, it can verify information derived from other methods, and it can contribute a different level of analysis from other methods (Bryman 2003: 150). Miller and Alvarado (2005) however, stress that document analysis is best utilised to supplement data already collected through other methods. This view is supported by Wellington (2015), who argues that document analysis in research works well in tandem with qualitative interviews and can thus enrich a study throughout the research process.

Bowen (2009) further argues that document analysis is monetarily cheaper than other research methods and is often the chosen method when the collection of new data is impractical and thus that document analysis is more efficient than other research methods as it requires only the selection of data as opposed to the collection of data. Data contained in documents have already been gathered; they just need to be evaluated. Wood, Sebar and Vecchio (2020) advocate for documentary analysis in qualitative research, stating that it is a method often widely together with interviews in case study research (which is characteristic of this study) as it enhances the coherence and credibility of the study.

There are three primary types of document sources suggested by O'Leary (2014), which are:

- **Public Records:** The official, ongoing records of the operations of an entity. Examples include annual reports, vision statements, policy guides and strategic plans.

- Personal Documents: Direct accounts of a person's actions, experiences, and beliefs. Examples include vlogs, blogs, e-mails, duty logs, incident reports, diaries, journals, newspapers, and magazines.
- Physical Evidence: Physical objects found within the research environment (also called artefacts). Examples include flyers, posters, agendas, handbooks, and training materials.

De Vos et al. (2005:317) also outline three main sources of documents for review and analysis purposes, namely:

- Official documents, such as government documents, and reports;
- Mass media, such as newspapers, magazines, journals, television, radio, films, and books; and
- Historical documents and data preserved in archives for research purposes.

The researcher studied relevant documents from the above-mentioned sources pertaining to the study. Over and above these documents, the researcher also perused published and unpublished scholarly works by various researchers on the subject matter. A substantial portion of the data to inform the analysis was derived from official documents such as the Constitution (1996), the Gauteng Provincial Legislature strategic planning documents for the 2014-2019 and the 2020-2025 terms of office, the Gauteng Provincial Legislature Standing Rules (GPL 2018) and the provincial priorities for service delivery in Gauteng, as articulated by the Premier of Gauteng at the beginning of the 2014-2019 Term of Office, as well as at the beginning of the 2020-2025 Term of Office. While secondary sources like journals and presentation documents on strategic planning were analysed, they displayed a paucity of data on strategic linkages in the South African legislative context. The point of departure for analysis was to gather all the required documentation for the period under review and then for the researcher to immerse himself in the analysis to surface the interpretations, themes and categories and then to consider these interpretations in relation to the overall study.

3.6.3 Data analysis and interpretation

According to Kumar (2014), there are three methods to analyse data in qualitative research, these being the development of a narrative to describe an observed phenomenon, identification of the main themes emerging from the collected data; and analysing the key themes related to their frequency or cause and effect. Yin (2014) is of the opinion that an analytic strategy helps the researcher find patterns, obtain deeper insight, and identify concepts to analyse the collected

data. The chosen strategy for data analysis should thus be characteristic of a circular process flow encompassing the research questions, interpretation of the data and the ability to generate and then articulate the findings. Thorne (2000) stresses that the theoretical premise from which the researcher approaches the observed phenomenon, the strategies that the researcher uses to collect the data, as well as the researcher's understanding of what constitutes relevant data are all analytic processes that have a bearing on the data. According to Wong (2008), qualitative data is often subjective, rich, and consists of in-depth information normally presented as written text. Analysing qualitative data thus involves reading a large volume of transcripts looking for similarities or differences, and subsequently uncovering themes to develop analysis categories. Important words, sentences and paragraphs are clustered under appropriate headings. Thereafter, pertinent citations of the text are grouped under topics, which will later be grouped into categories to provide a methodical meaning (Hatch 2002:148). O'Connor and Gibson (2003) expand on these ideas by providing four steps in the qualitative research analysis process, as explained below.

Step 1 (Organising the data) – According to Fonseca-Becker (2008), qualitative data analysis is strongly assisted by data that are organised well to enable consideration of a full data set and which are systematically categorised to answer the research question. Johnson, et al. (2010) explain that qualitative research creates “mountains of words” and no matter the size of the study, qualitative data organization depends primarily upon prompting self-reports from respondents or observations that are transcribed into field notes and carefully organized into emergent themes. Even a relatively minor qualitative project easily generates thousands of words. O'Connor and Gibson (2003) argue that data should be organized in a way that is easy to decipher, and that allows the researcher to go through each topic to pick out concepts and themes. Sunday (2012) explains that organising the data also includes transcribing the data (manually or using propriety or open source software), translating the data (manually or using propriety or open source software), cleaning the data (formatting, spelling, flow and grammar) and labelling the data (structuring and familiarization).

Step 2 (Categorising the data) - Finding and organizing ideas and concepts from the data, according to Bazely (2013: 125), involves identifying areas in the text deemed as important in qualitative data and then assigning these with identifying names or codes and placing them into relevant categories. Bazely (2013) argues that coding provides a means of purposefully managing, sorting, categorising, and scrutinizing data. O'Connor and Gibson (2003) suggest

that categorising can be done by the researcher finding specific words or recurrent ideas. Similar words or ideas are grouped and assigned a categorised code.

Step 3 (Identifying themes) – this step involves grouping similar codes under broad overarching themes. Braun and Clarke (2006), Lacey and Luff (2007), St. Pierre and Jackson (2014) as well as Vaismoradi et al. (2013) define themes in qualitative research data analysis as clustering of codes into groups sharing similar characteristics towards emergent meaning or patterns in the data. Thus, themes help to provide meaning from the dataset relating to the research question. Identification of themes is in line with the inductive approach of data analysis as explained by Braun and Clarke (2006), as well as Saldana (2015), which minimises assumptions and identifies emergent ideas and themes strongly linked to the data themselves. Inductive data analysis approaches and theme generation, according to Vaismoradi et al. (2013), are most useful where there is a paucity of research on the specific phenomenon being observed (which is the case in this study).

Step 4 (Generate findings) – This step, according to O'Connor and Gibson (2003), involves generating findings and interpretations of the organized, categorised and themed data in a manner that is responsive to the research objectives and thereby answers the research questions.

These steps, it should be noted, are not at all linear. Bazeley (2013), Evers (2016), Saldana (2013), Schurink et al. (2013), St. Pierre and Jackson (2014), Vaismoradi et al. (2013), as well as Willig (2014b), stress that the data analysis process is a stepwise, backward-forward one where the researcher continuously moves between analysis, data collection, coding, theming and sense-making. Bazeley (2013) similarly describes this process as read and reflect, explore and consider, code and categorise, review and refine. The iterative nature of data collection and analysis is also supported by Nieuwenhuis (2015), and is graphically shown in Figure 3.1.

Data collection / analysis process. (Adapted from Nieuwenhuis: 2015)

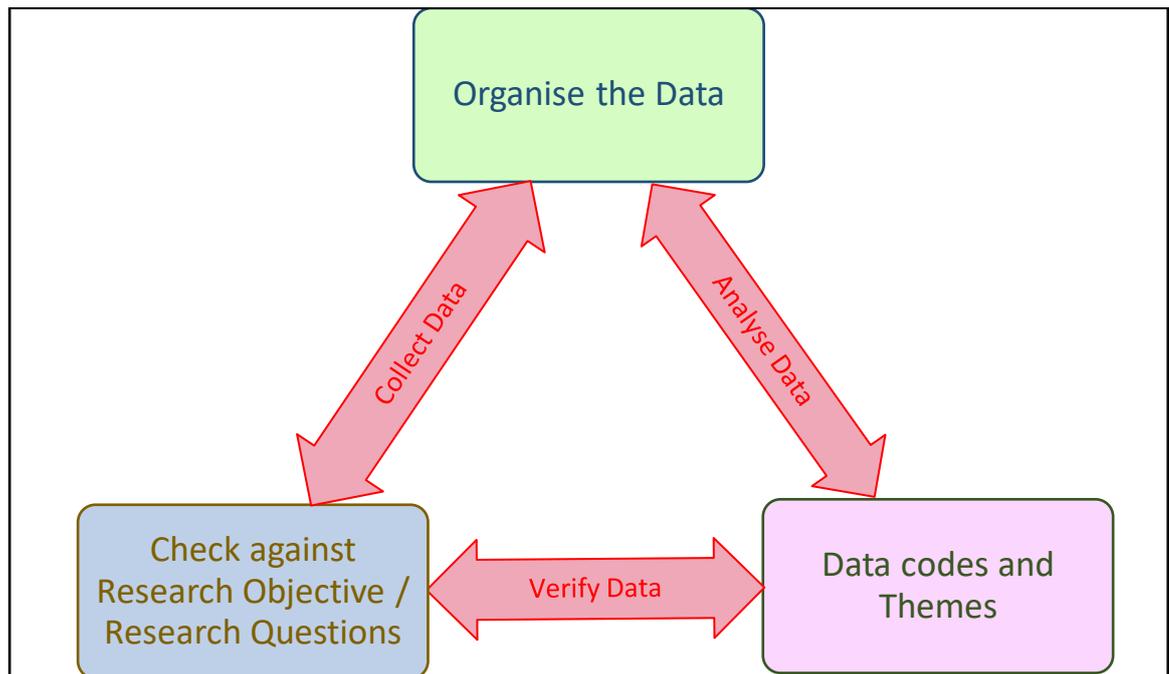


Figure 3.1: Typical data collection / analysis process

However, in conducting the research, while being guided by the steps identified above and in line with the theoretical discussions, the actual research method and data analysis process ultimately undertaken by the researcher was somewhat different as diagrammatically depicted by Figure 3.2.

Actual research method and data analysis processes followed. (Source: Author)

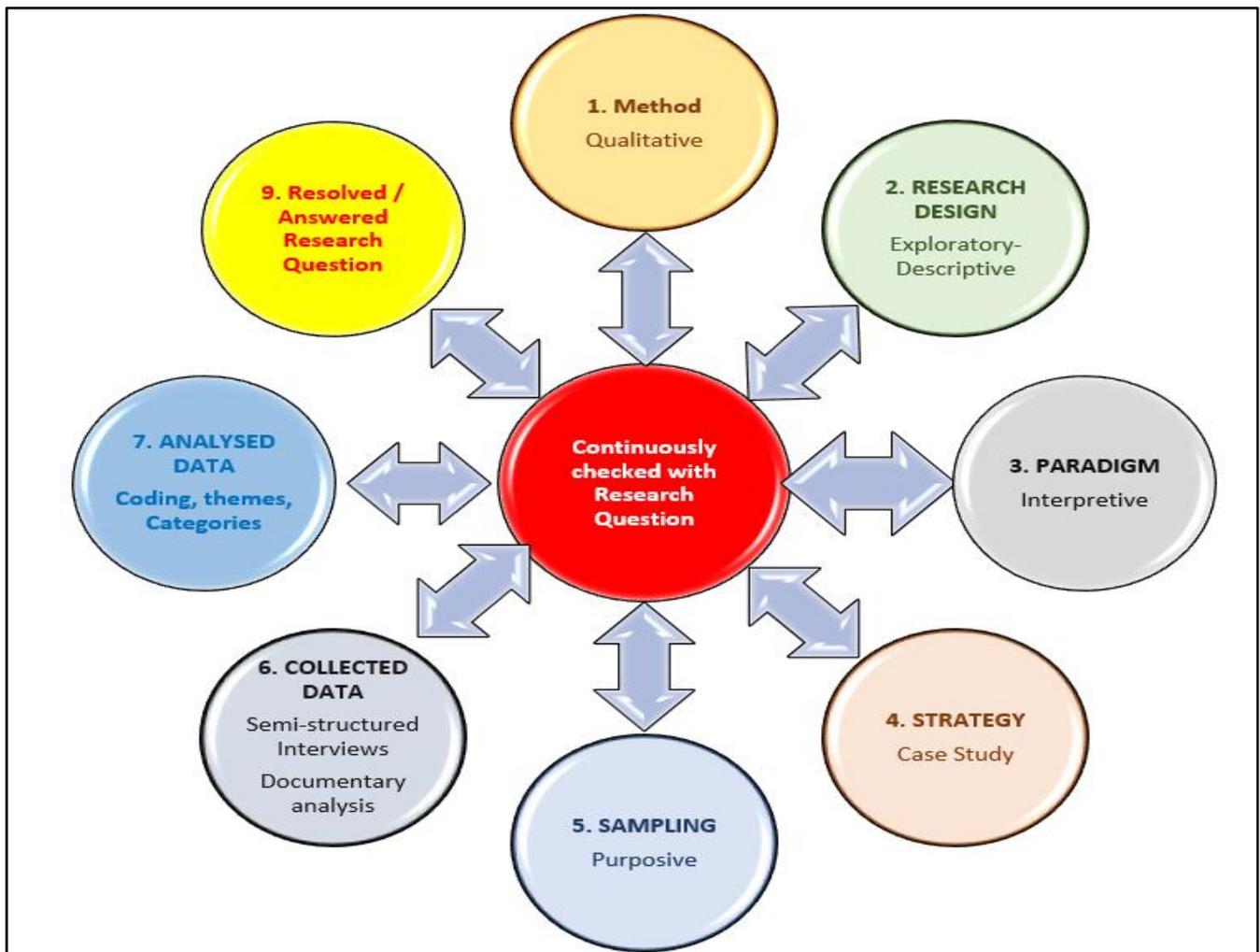


Figure 3.2: Actual data collection / Analysis process conducted

Figure 3.2 depicts the actual research method, data collection and analysis process followed by the researcher in conducting this study. It is noteworthy that the process, while comprising definite steps, was not linear. Rather it was characteristic of a cyclic process with constant back-and-forth movements as well as checking against the research question. This was to ensure that at each step, there was a deliberate check of logical progression from and satisfaction of the previous step, while also checking that the study did not veer from the focus and scope of the study in answering the research question.

3.7 Validity and Reliability

Stenbacka (2001:551) argues that reliability as a quality control measure in qualitative research must be taken seriously for any research study to be considered proper and sound. Golafshani (2003:603) continues that the quality of a research is proportional to the generalizability of its

result. Therefore, the quality is reliant on the testing and increasing the validity or trustworthiness of research. Generalizability does not only relate to the size of the sample or the generic nature of the context, it also depends, as argued by Patton, in Golafshani (2003), on the case selected and studied. Leung (2015) sees validity in qualitative research as the extent to which the tools, techniques and data used are appropriate to satisfactorily answer the research question. Waterman (2013) argues that a qualitative research study would be deemed valid if the research question responds to the research objective, the chosen methodology responds to the research question and the research design responds to the methodology. With respect to reliability, Grossoehmeh (2014) argues that in quantitative research, reliability refers to the exact replicability not only of the procedures, but of the findings and results too and thus continues that the core of reliability for qualitative research lies with the consistency of the study. According to Lacey and Luff (2001:22), reliability indicates the methods and procedures used in the study are consistent and are able to be reproduced, while validity refers to the extent to which the findings fairly and precisely represent the data collected. In this study, the researcher had also used triangulation to ensure the veracity of data in this study. While the position of Golafshani (2003:603) is noted, that triangulation is mostly used in quantitative research, Risjord et al. (2001:41) describe methodological triangulation using two or more different validation methods in any study. Finfgeld-Connett (2010) supports the use of triangulation of methods, resources, and theories to strengthen the validity of qualitative research. Therefore, this study used procedural triangulation to combine data from the interviews and document analysis and matched it against the researcher observations to check for relationships or variations in the findings. Risjord et al. (2001:41) go on to argue that usage of methodological triangulation has the capacity to increase the reliability, validity, and accuracy of the study.

3.8 Ethical considerations

Jennings, et al. (2003) explain that ethics is a component of philosophy that aims to address questions of morality. Morality refers to beliefs or perceptions about ideas like good and bad, right and wrong. Thus, in research, it would imply ethical conduct by the researcher upon society in general, and the participants, in particular. In essence, this study being qualitative in nature, required the researcher to interact sincerely with the participants, by means of getting into their personal areas of values, weaknesses, individual learning disabilities and the like to collect data. Silverman (2000:201) states that researchers must bear in mind always that whilst conducting research, they are entering the private spaces of participants. Creswell (2003)

asserts that the researcher has a responsibility to respect the rights, needs, values and desires of the participants. In this study, to ensure suitable processes are observed whilst conducting research, stringent ethical procedures were followed to uphold participants' privacy, confidentiality, dignity, rights, and anonymity. Ethical considerations for this study were overseen by the University of South Africa from which the study has received ethics clearance.

3.9 Conclusion

This chapter presented the overall research process that was undertaken to achieve the objectives of this study. It provided a variety of views based on literature analyses and opted for specific paradigms and approaches based on well thought-out contextualized motivations. The chapter looked at the research paradigm, types of research, design, methodology and motivation for the non-probability purposefully selected sample. It also motivated the usage of the qualitative method with the exploratory-descriptive research design. The chapter outlined that the study is framed in the interpretive paradigm, using a case study strategy. Techniques for data analysis were explained and the importance of data triangulation was emphasized. The chapter concluded with a discussion on ethical considerations related to the study and the importance of mitigating potential risks in research. Based on the information provided in this chapter, the methods, procedures, techniques, validity and reliability have been motivated, thereby enabling data collection to proceed.

CHAPTER 4

Results

4.1 Introduction

Chapter four presents the results of the study, following the outlined processes in chapter three. It displays the exact outcomes of the data collection process. The results reveal the opinions, experiences and perceptions of the participants who participated in the interview process.

After presenting the results from the collected data, the chapter links themes developed in the study, which were empirically illuminated with pertinent aspects of the literature review.

In order to complement the literature review and the documentary analysis, the study made use of data from interviews with an identified sample. The researcher used purposive sampling as a technique to gain understanding from the exact people directly or commonly involved in strategic planning and oversight in the Gauteng Provincial Legislature. It is also important to note that for purposeful sampling, the sample size may or may not be fixed prior to the study and may also change during the study when additional samples may or may not add new data to influence the findings of the study, i.e. when data saturation occurs (Nieuwenhuis 2011, in Maree 2011:79). In this regard, while the purposefully identified sample was 12, no more than 8 people (or 66% of the identified sample) were ultimately interviewed due to availability of the sample and the fact that during data analysis, similar information emerged from the interviewees. There was therefore reasonable assurance that further data collection would yield similar results and would confirm the existing emergent themes. Regardless of the initial sample identified, any further data collection after data saturation had occurred, would, according to Faulkner and Trotter (2017) and Saunders et al. (2018), be redundant. Therefore, the final sample interviewed in this study is indicated in Table 4.1.

Purposefully identified sample interviewed (Source: Author)	
Designation	Number of respondents
Political leadership	
Speaker of the GPL as Executive Authority	1
Chairperson of Standing Committee on Public Accounts (SCOPA)	1
Management	
Secretary to the Legislature as Accounting Officer	1
Staff	
Director: Parliamentary Business (responsible for the committee support function).	1
Senior Manager: Strategic Planning, Monitoring and Evaluation (responsible for the consolidation of the strategic plans).	1
Senior Manager: Research support (responsible for strategic research support to oversight committees).	1
Senior Co-ordinator: Office of the Chairperson of Committees (responsible for co-ordinating support to oversight committees).	1
Stakeholder Manager: Office of the Deputy Chairperson of Committees (responsible for stakeholder support to oversight Committees)	1
Total	8

Table 4.1. Purposefully identified sample interviewed

4.2 Presentation and interpretation of data from interviews

This section presents an exploration of the findings, as well as a qualitative analysis of the data. After thoroughly reading all the data that was collected, the researcher commenced interpreting the data by developing themes from the data, categorising the data according to emerged themes and analysing the findings. The interview guide consisted of open-ended questions of a qualitative nature. The information received was very useful and provided the researcher with valuable insights which enabled the researcher to answer the research questions. The responses from participants as well as the researcher's observations are outlined hereunder.

4.2.1 Introduction

a) *Please can you indicate how long (in years) you have occupied the current position you are in?*

- One of the eight (13%) responses to this question were that the position was occupied by the participant for less than three years.
- Two of the eight (25%) responses to this question were that the position was occupied by the participant for between 3-5 years.
- Five of the eight (63%) responses to this question were that the position was occupied by the participant for more than five years.

Thus, of the total sample, 63% indicated that they had been employed by GPL in their current positions for over five years, while the remaining 37% were employed at the GPL for periods ranging between 1-3 years. This appears to be a good balance of experience, particularly for the benefit of data collection.

b) *Please can you indicate how long (in years) have you been employed by the GPL?*

- One of the eight (13%) response to this question was that the participant was employed by the GPL for less than five years.
- Two of the eight (25%) responses to this question were that the participant was employed by the GPL for between 5-10 years.
- Five of the eight (63%) responses to this question were that the participant was employed by the GPL for more than 10 years.

Thus, of the total sample, 63% indicated that they had been employed by GPL for more than 10 years, while the remaining 37% were employed at the GPL for periods ranging between 1-10 years. This appears to be a good balance of experience, particularly for the benefit of data collection.

c) *Please can you briefly summarize your current duties and responsibilities in the GPL?*

- Four of the eight (50%) responses to this question was the participants' daily duties and responsibilities in the GPL included the scrutiny of departmental performance reports and research analysis and verification of performance reported by the departments

- Two of the eight (25%) responses to this question was the participants' daily duties and responsibilities in the GPL also included the co-ordination of the work of oversight committees
- Two of the eight (25%) responses to this question was the participants' daily duties and responsibilities in the GPL included strategic management and strategic planning support.

Thus, all (100%) of the responses were that the participants' daily duties and responsibilities in the GPL included:

- Scrutiny of departmental performance reports
- Co-ordination of the work of oversight committees
- Research analysis and verification of performance reported by the departments
- Strategic planning management
- Strategic planning support

These areas are all related to the subject of the study and are therefore deemed relevant in that the responses they provide may be useful in answering the research questions. It is also important as it bears testimony to the suitability and relevance of the purposefully selected sample.

The responses to questions 4.2.1 (a, b, and c) are important because it points to the fact that the participants answered questions with a degree of authority and subject knowledge. Gladwell (2008) argues that the key to achieving expertise in any skill, is to continuously practice or conduct that skill for 10 years (assuming a 40-hour work week which is typical in South Africa), to reach a total of 10 000 hours of practicing or conducting that skill. Hosier (2019) argues that research subjects having some subject knowledge on the study is immensely advantageous in that it brings to the study a significant range of experiential knowledge and a deep understanding of the subject, both of which are critical to the researcher in attempting to obtain useful data to answer the research questions.

4.2.2 Purpose of the Legislature

a) *What, in your opinion, is the purpose of a Legislature?*

- Two of the eight (25%) responses to this question stated that the primary role of the legislature is to make laws that provide structure and order to society.

- Four of the eight (50%) responses to this question stated that the purpose of a legislature is to hold the provincial executive to account.
- Two of the eight (25%) responses to this question stated included that the purpose of a legislature is to involve public opinion and include public participation in governance.

Thus, of the total sample, 50% indicated that purpose of a legislature is to hold the provincial executive to account, while of the remaining 50%, 25% indicated that the primary role of the legislature is to make laws that provide structure and order to society and 25% indicated that the purpose of a legislature is to involve public opinion and include public participation in governance. It is therefore apparent that most of the respondents perceive the primary role of the legislature is to conduct oversight and thus hold the executive to account.

b) *What, in your opinion, should be the key functions of a Legislature?*

- Five of the eight (63%) responses to this question stated that the main functions of a legislature are law making, oversight and public participation.
- Two of the eight (25%) responses to this question stated that the main functions of a legislature are public participation and oversight.
- One of the eight (13%) of the responses to this question stated that the main functions of a legislature are oversight and encouraging good governance in the province.

Thus, of the total sample, 63% indicated that the main functions of a legislature are law making, oversight and public participation. Of the remaining 37%, 25% stated that the main functions of a legislature are public participation and oversight while 13% stated that the main functions of a legislature are oversight and encouraging good governance in the province. It is therefore apparent that most of the respondents perceive the main functions of a legislature to be law making, oversight and public participation.

c) *If the Gauteng Legislature is disestablished, in your opinion, would there be any impact at all on the lives of the people of Gauteng? If yes, what would that impact be?*

- One of the eight (13%) responses to this question stated that there would be no impact on the lives of the people of Gauteng if the GPL is disestablished.
- Seven of the eight (88%) responses to this question stated that there would be an impact on the lives of the people of Gauteng if the GPL is disestablished.

- Five of these seven (71%) responses stated that the impact would be negative in that the executive would not be accountable with no oversight structure to keep the executive in check
- One of these seven (14%) responses stated that the impact would be negative in that there would be no laws developed to control and co-ordinate the work of the executive
- One of these seven (14%) responses stated that that the impact would be negative in that the public would not have any platform to be included in the governance of the Province.

Based on the responses to the questions under “purpose of the Legislature”, it is noted that the legislature serves a number of functions and thus its purpose is multi-fold. Based on the responses received, the principal function of the legislature is law making. But this is not the only function. Based on the responses received, there are a number of other functions of a legislature which include:

- Overseeing the executive and holding it to account for its performance;
- Financial control of the executive;
- Intergovernmental relations;
- Cooperative governance;
- Public participation;
- Public education and awareness; and
- Stakeholder engagement.

These functions can be grouped into law making, oversight and scrutiny, public participation and cooperative governance.

With respect to law making, respondents submitted that it is through laws that policies of government are laid down for implementation. In accordance with the provisions of the constitution, the legislature makes new laws, amends existing laws and may even repeal outdated laws. The will of the state is therefore formulated and expressed through laws made by the legislature.

With respect to oversight and scrutiny, the respondents submitted that oversight is the primary and most important function of the legislature. The legislature oversees the plans and actions of the executive, based on the legislative and policy direction set by the legislature and the comments made to the people. The legislature therefore has a responsibility to keep the

government (the executive - the Premier and the provincial executive) accountable to the people.

With respect to meaningful public involvement, respondents submitted that it is the function of the legislature to afford citizens equal opportunities, in addition to elections, to have a say on matters that concern them or the society in which they live and to hold authorities to account. This implies that citizens are entitled to influence decisions that will affect them. In this way, the legislature considers the views and interests of all the citizens, so that the rules of society and its future can be decided collectively. Thus, the legislature ensures that every individual has a say and their voice is considered, in line with the GPL brand mantra “*Your View – Our Vision*”.

With respect to cooperative governance, respondents submitted that it is the function of the legislature to foster co-ordination with, between and within all spheres of government, being the national, provincial and local spheres. In this way, the legislature does not act or operate as an autonomous island unto itself, but rather operates in an interrelated and interdependent system of government and governance. This allows for learning and sharing of best practices as well as integration and consolidation of achievement data.

With respect to the relevance and importance of the legislature, respondents submitted that without the legislature, many of the functions referred to above will not be carried out and thus compromised, thereby having a negative effect on the people of Gauteng.

4.2.3 Oversight at the GPL

a) *What, in your opinion, is legislative oversight?*

- Two of the eight (25%) responses to this question stated that legislative oversight provides focus on the operations of government by facilitating a space in which the activities of the executive are debated, scrutinised, and opened to the public, thereby ensuring transparency and openness of executive activities.
- One of the eight (13%) responses to this question stated that legislative oversight protects the rights of citizens by examining potential abuses of power, arbitrary behaviour, and illegal or unconstitutional conduct by the executive, thereby upholding the rule of law.
- Two of the eight (25%) responses to this question stated that legislative oversight provides financial accountability where the legislature approves and scrutinises executive spending, with the aim to improve the economy, efficiency, and effectiveness of government expenditure.

- Three of the eight (38%) responses to this question stated that legislative oversight scrutinises whether the executive has been implementing government policies and whether such implementation is having the desired impact, thereby holding the executive accountable.

Thus, of the total sample, 38% stated that legislative oversight scrutinises whether the executive has been implementing government policies and whether such implementation is having the desired impact, thereby holding the executive accountable. Of the remaining 62%, 25% indicated that legislative oversight provides a focus on the activities of government by offering a platform in which the activities of the executive are debated, scrutinised, and opened to the public, thereby ensuring transparency and openness of executive activities, 13% stated that legislative oversight protects the rights of citizens by examining potential abuses of power, arbitrary behaviour, and illegal or unconstitutional conduct by the executive, thereby upholding the rule of law and 25% stated that legislative oversight provides financial accountability where the legislature approves and scrutinises executive spending, with the objective of improving the economy, efficiency and effectiveness of government spending. Therefore, most (38%) of the responses mention that legislative oversight scrutinises whether the executive has been implementing government policies and whether such implementation is having the desired impact, thereby holding the executive accountable.

b) *Is legislative oversight at all important? Please substantiate?*

- One of the eight (13%) of the responses to this question stated that legislative oversight is not important because the executive does as it wills anyway. It makes no difference what the legislature does or does not do.
- Seven of the eight (88%) responses to this question stated that legislative oversight is important because through legislative oversight, the executive is held to account on behalf of the people of Gauteng.
- The spread of the responses to this question are depicted by Figure 4.1.

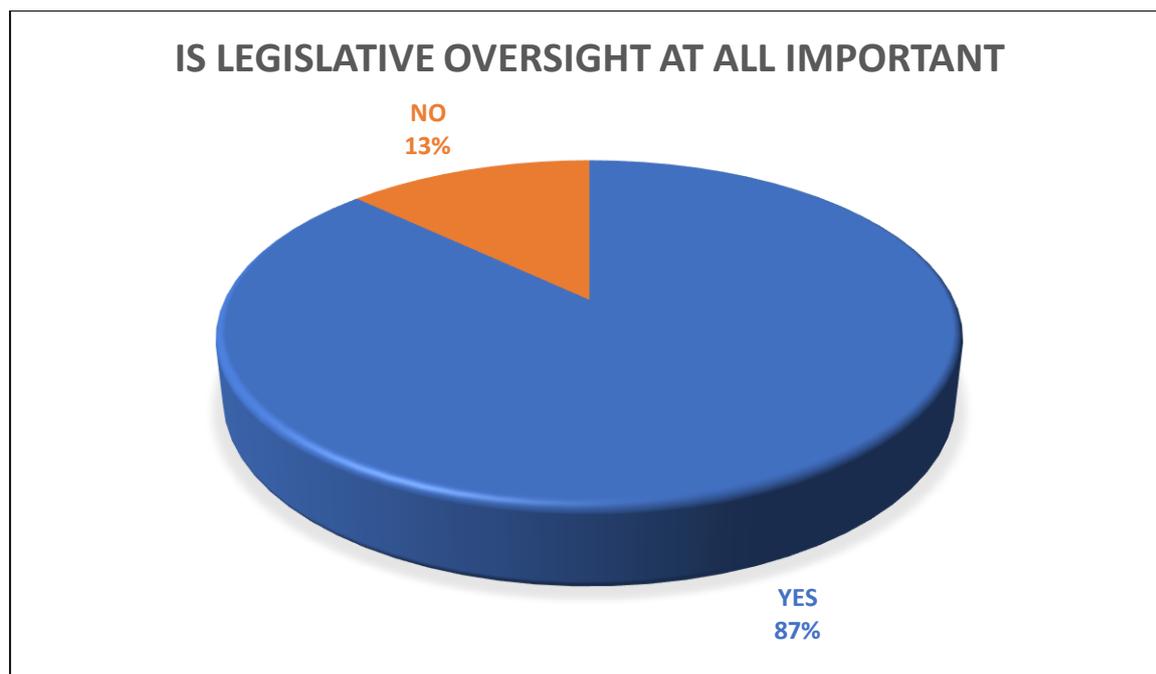


Figure 4.1: Responses to question on importance of Legislative Oversight

Thus, of the total sample, 87% stated that legislative oversight is important because through legislative oversight, the executive is held to account on behalf of the people of Gauteng. This is noteworthy as the importance of legislative oversight has been stressed by Shaikh (2017) who argues that legislative oversight is essential for the executive to account on its service delivery commitments, while Malapane (2019) argues that legislative oversight has the potential to promote transparency and accountability as well as meaningful public involvement.

c) Where, in your opinion, does the GPL obtain its oversight mandate from.

- One of the eight (13%) responses to this question stated that the GPL obtains its mandate from the governing (political) party (referring to the African National Congress “ANC” manifesto).
- Two of the eight (25%) responses to this question stated that the GPL obtains its mandate from the people of Gauteng (referring to public submissions and petitions).
- Five of the eight (63%) responses to this question stated that the GPL obtains its mandate from the Constitution (referring to the Constitution, 1996).

Thus, of the total sample, 63% stated that the GPL obtains its mandate from the Constitution (1996). Of the remaining 37%, 25% stated that the GPL obtains its mandate from the people of Gauteng while 13% stated that the GPL obtains its mandate from the governing party. This

is noteworthy as SOM (2012) stresses that legislative oversight is a mandate conferred to legislatures by the Constitution (1996).

d) *What, in your opinion, are the Constitutional mandates on oversight?*

- All responses to this question stated that the Constitutional mandates of oversight are to hold the executive to account.

e) *What are some of the oversight tools that you are aware of?*

- Five of the eight (63%) responses to this question stated that they are aware of the SOM imperatives as oversight tools. For purposes of clarity, SOM refers to the Oversight Model of the South African Legislative Sector, loosely referred to as the Sector Oversight Model and abbreviated to “SOM”. This is interesting as SOM (2012) outlines the tools of oversight to include the oversight Departmental Budget Vote, oversight on the Departmental Annual Performance Plan (APP), oversight on the Departmental quarterly and annual performance reports and Focused Intervention Studies (FIS) conducted by the Committee in overseeing the Department.
- One of the eight (13%) responses to this question stated that they are aware of committee hearings as tools of oversight. For purposes of clarity, committee hearings are processes whereby committees of the Legislature conduct hearings where the executive is called to account on specific areas of executive performance.
- Two of the eight (25%) responses to this question stated that they are aware of the House sittings, House resolutions and questions in the House as a tool of oversight.

Thus, of the total sample, 63% stated that the tools of oversight relate to the oversight imperatives as outlined in the oversight Model of the South African Legislative Sector (SOM, 2012). GPL obtains its mandate from the Constitution (1996). Of the remaining 37%, 25% stated that oversight tools relate to House sittings, House resolutions and questions in the House, while 13% stated that oversight tools relate to committee hearings.

f) *In your opinion, is the GPL oversight function enabled through its political and administrative structures?*

- Five of the eight (67%) responses to this question stated that the GPL oversight function is enabled through its political and administrative structures.

- Three of the eight (33%) responses to this question stated that the GPL oversight function is not fully and completely enabled through its political and administrative structures.
- The spread of the responses to this question are depicted by Figure 4.2.

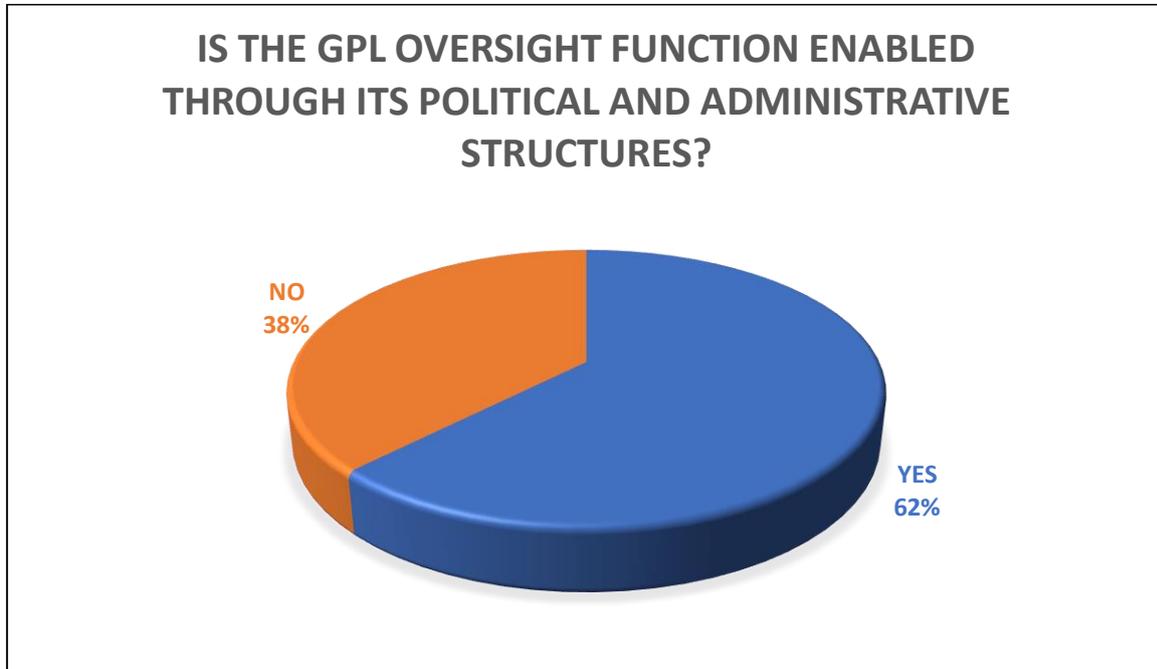


Figure 4.2: *Is the GPL oversight function enabled through its political and administrative structures?*

Thus, of the total sample, 68% or two thirds stated that the GPL oversight function is fully and completely enabled through its political and administrative structures, while 33% stated that the GPL oversight function is not fully and completely enabled through its political and administrative structures.

g) In your opinion, does the GPL have sufficient capacity to exercise its oversight function?

- Three of the eight (38%) responses to this question stated that GPL does have sufficient capacity to exercise its oversight function.
- Five of the eight (63%) responses to this question stated that GPL does not have sufficient capacity to exercise its oversight function.
- The spread of the responses to this question are depicted by Figure 4.3.

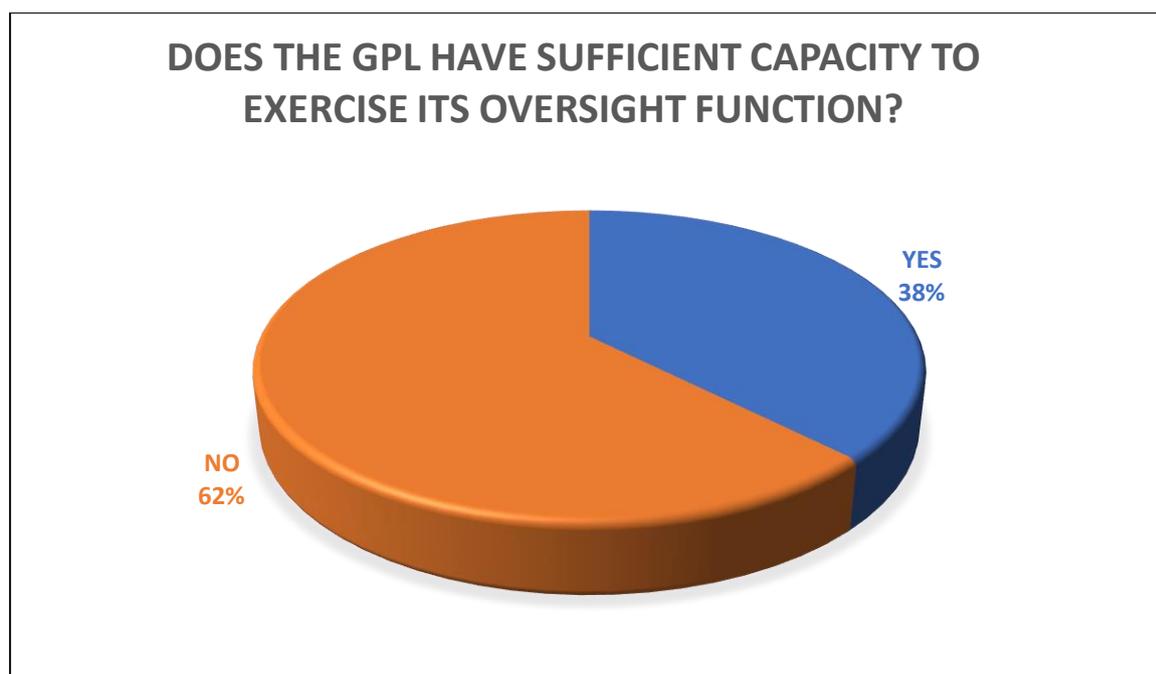


Figure 4.3: Does the GPL have sufficient capacity to exercise its oversight function?

Thus, of the total sample, 38% stated that the GPL does have sufficient capacity to exercise its oversight function, while 62% stated that the GPL does not have sufficient capacity to exercise its oversight function. It is therefore apparent that most of the respondents to this question felt that GPL does not have sufficient capacity to exercise its oversight function.

Based on the responses to the question on “legislative oversight,” there is a general understanding among the respondents on what constitutes legislative oversight. The responses show that legislatures conduct oversight of the executive to ensure that service delivery takes place so that all citizens can live a better quality of life.

Further, responses on the necessity of oversight show that oversight is indeed essential to ensure prudent financial management by the executive, that the executive delivers on its commitments to the people in respect of service delivery and also to protect the rights and liberties of citizens.

It is interesting that none of the respondents referred to the Standing Rules of the GPL, in its translation of the constitutional oversight mandate, with respect to the Constitutional mandates on oversight.

With respect to the tools of oversight, all of the respondents construe the SOM, committee hearings, House sittings, House resolutions and question in the House as tools of oversight. No further tools or mechanisms of oversight were alluded to.

Not all the respondents opined that the GPL oversight function is enabled through its political and administrative leadership structures. Similarly, most of the respondents believed the GPL is not sufficiently capacitated to exercise its oversight function. On further probing, respondents clarified that the GPL is not sufficiently capacitated to exercise its oversight function because, despite adequate numbers of Members (MPL) and staff in the GPL, these Members (MPL) and staff are not always placed in the correct institutional positions; and also Members (MPL) and staff are not always appropriately skilled to correctly discharge their responsibilities.

4.2.4 Service delivery priorities for Gauteng

a) Are service delivery priorities for Gauteng at all important?

- All of the eight (100%) responses to this question state that service delivery priorities for Gauteng are important.

b) Where, in your opinion, does the Gauteng Provincial Government obtain its service delivery priorities from?

- Five of the eight (63%) responses to this question state that the Gauteng Provincial Government obtains its service delivery priorities from the governing party priorities in the Province.
- Two of the eight (25%) responses to this question state that the Gauteng Provincial Government obtains its service delivery priorities from the people of the Province. On further probing, it was clarified that “people” referred to the electorate.
- One of the eight (13%) responses to this question state that the Gauteng Provincial Government obtains its service delivery priorities from the State of the Province Address (SOPA) and the State of the Nation Address (SONA).

Thus, of the total sample, the majority (63%) stated that the Gauteng Provincial Government obtains its service delivery priorities from the governing party priorities in the Province. From the remaining 37%, 25% stated that the Gauteng Provincial Government obtains its service delivery priorities from the electorate, while the remaining 13% stated that the Gauteng Provincial Government obtains its service delivery priorities from the State of the Province Address (SOPA) and the State of the Nation Address (SONA).

c) *What, in your opinion, are the service delivery priorities for Gauteng?*

- Two of the eight (25%) responses to this question stated that the service delivery priorities for Gauteng are unemployment, inequality, and poverty.
- One of the eight (13%) responses to this question stated that the service delivery priorities for Gauteng are the “10 pillars programme of the Premier”.
- Three of the eight (38%) responses to this question stated that the service delivery priorities for Gauteng are the governing party priorities for the Province.
- Two of the eight (25%) responses to this question stated that the service delivery priorities for Gauteng are transformation, modernization, and reindustrialization.

Thus, of the total sample, 25% stated that the service delivery priorities for Gauteng are unemployment, inequality, and poverty while another 25% stated that the service delivery priorities for Gauteng are transformation, modernization, and reindustrialization. Of the remaining half, 38% stated that the service delivery priorities for Gauteng are the governing party priorities for the Province while 13% stated that the service delivery priorities for Gauteng are the “10 pillars programme of the Premier”.

d) *In your opinion, does the GPL have a role in the achievement of provincial priorities?*

- All of the eight (100%) responses to this question stated that the GPL does have a role in the achievement of provincial priorities. *If yes, what role is this?*
 - Five of the eight (63%) respondents to this question stated that the role GPL has in the achievement of the provincial priorities is through oversight and holding the executive to account
 - Three of the eight (38%) responses to this question stated that the role GPL has in achievement of the provincial priorities is through the consideration and approval of the provincial budget.
 - The spread of the responses to this question are depicted by Figure 4.4.

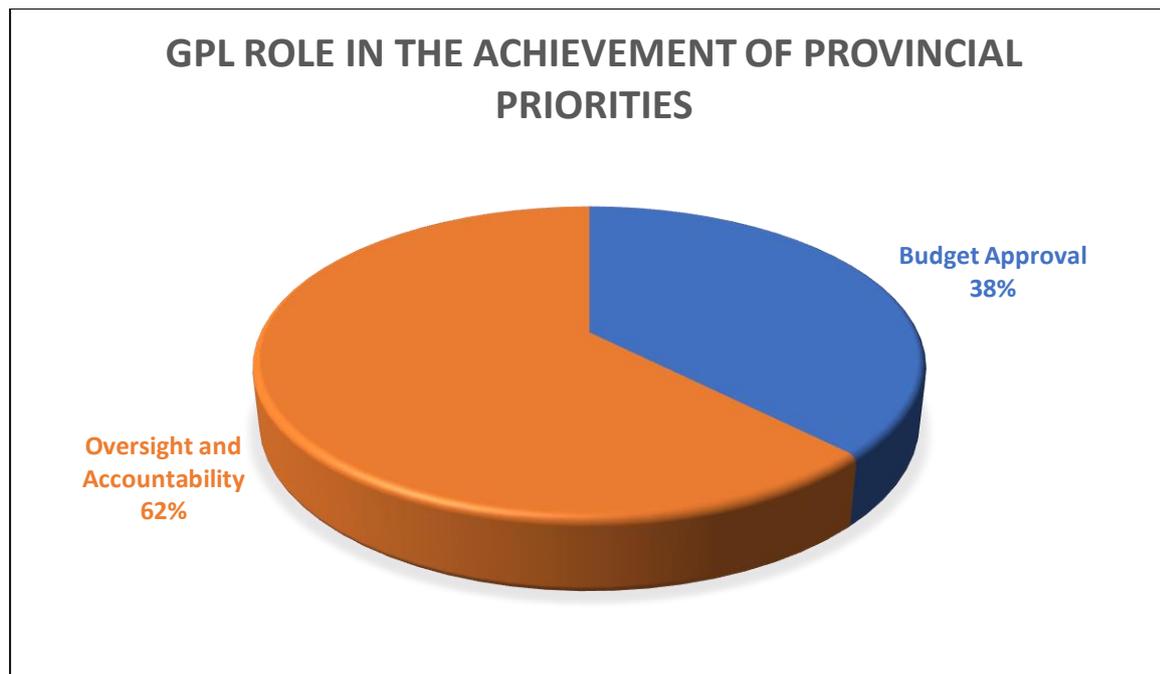


Figure 4.4: GPL role in the achievement of provincial priorities

Thus, of the total sample, all responses (100%) stated that the GPL does have a role to play in the achievement of the service delivery priorities for Gauteng. Of this 100%, the majority (63%) stated that the GPL role in achieving the service delivery priorities for Gauteng is through oversight over the provincial executive, while 38% stated that the GPL role in achieving the service delivery priorities for Gauteng is through approval of the provincial budget votes of the respective Departments. This is noteworthy since the oversight role of legislatures has been stressed in the literature. Manona (2015) stresses that a primary role of legislatures is to exercise oversight and influence accountability to encourage the execution of functions (service delivery) by public functionaries (departments).

Based on the responses to the questions on “service delivery priorities for Gauteng,” all respondents stressed the importance of service delivery priorities for Gauteng. With respect to where the province obtains its service delivery priorities from, the responses were varied between governing party priorities, the people, the electorate, and the State of the Province Address (SOPA).

It is however common knowledge that Gauteng is governed by the African National Congress (referred to as the governing party). The State of the Province Address is delivered by the Premier of Gauteng, who is also a senior member of the governing party in Gauteng. Therefore,

all references to the “State of the Province Address”, “the people”, “the electorate” and “governing party priorities” can be construed and interpreted for a similar meaning.

With respect to what exactly the provincial priorities for Gauteng are, the responses were somewhat more varied, ranging between transformation, modernization and reindustrialization, poverty, inequality and unemployment, the 10-pillar programme of government in Gauteng and again, the governing party priorities. While these may indeed be priorities or focus areas of specific departments in government, some of them (poverty, inequality, and unemployment) are generic to the extent that they cannot be directly and exclusively attributed to the Gauteng Provincial Government as priorities.

4.2.5 Strategic planning at the GPL

a) What is your understanding of the GPL strategic planning documents?

- Four out of the eight (50%) responses to this question state that they have a poor understanding of the GPL strategic planning documents. When probed further, respondents mentioned that the details of the strategic planning process and documents are not always cascaded down sufficiently into the institution, therefore resulting in the poor understanding of strategic planning documents in the GPL.
- Two of the eight (25%) responses to this question stated that GPL strategic plans outline the administrative component of GPL work and operations.
- Two of the eight (25%) responses to this question stated that GPL strategic plans translate political priorities from the governing party manifesto into operational plans of the institution.
- Notwithstanding the above response, all responses to this question stated that GPL strategic planning documents outline the strategic goal and objectives of the GPL.

Thus, half of the total sample (50%) stated that they have a poor understanding of the GPL strategic planning documents because the details of strategic planning process and documents are not always cascaded down sufficiently into the institution. Of the remaining half, 25% stated that GPL strategic plans translate political priorities from the governing party manifesto into operational plans of the institution, while the remaining 25% stated that GPL strategic plans translate political priorities from the governing party manifesto into operational plans of the institution.

b) *Why do you think GPL needs to have strategic planning documents?*

- Two of the eight (25%) responses to this question stated that GPL needs to have strategic plans to translate governing party manifesto priorities into plans and actions for the GPL.
- One of the eight (13%) responses to this question stated that GPL needs to have strategic plans to provide political direction to the GPL.
- Four of the eight (50%) responses to this question stated that GPL needs to have strategic plans to provide strategic direction to the GPL, by outlining goals, objectives, and targets.
- One of the eight (13%) responses to this question stated that GPL needs to have strategic plans to outline what is to be done, when and by whom.

Thus, half of the total sample (50%) stated that GPL needs to have strategic plans to provide strategic direction to the GPL, by outlining goals, objectives, and targets. Of the remaining half, 25% stated that the GPL needs to have strategic plans to translate governing party manifesto priorities into plans and actions for the GPL, 13% stated that the GPL needs to have strategic plans to provide political direction to the GPL and the remaining 13% stated that the GPL needs to have strategic plans to outline what is to be done, when and by whom.

c) *What is the role of the GPL Strategic Planning documents on legislative oversight*

- Five of the eight (63%) responses to this question stated that the role of GPL strategic planning documents on legislative oversight is to set out exactly how the GPL will conduct its business in order to hold the executive to account.
- Two of the eight (25%) responses to this question stated that the role of GPL strategic planning documents on legislative oversight is to set out institutional goals, objectives and targets aligned to the Constitutional mandates.
- One of the eight (13%) responses to this question stated that the role of GPL strategic planning documents on legislative oversight is to oversee good governance and performance in the GPL itself.

Thus, the majority of the sample (63%) of the total sample stated that the role of GPL strategic planning documents on legislative oversight is to set out exactly how the GPL will conduct its business in order to hold the executive to account. Of the remaining 37%, 25% stated that the role of GPL strategic planning documents on legislative oversight is to set out institutional goals, objectives and targets aligned to the Constitutional mandates, while the remaining 13% stated that the role of GPL strategic planning documents on legislative oversight is to oversee good governance and performance in the GPL itself.

d) To enable effective, valid, and relevant oversight, what should be some of the key considerations in the GPL Strategic Planning documents?

- Four of the eight (50%) responses to this question stated that to enable effective, valid, and relevant oversight, some of the key considerations in the GPL Strategic Planning documents should be a clear articulation of local, provincial, and global priorities. When probed further, the responses clarified that examples of local priorities included the State of the Province Address for Gauteng (SOPA) and provincial priorities for Gauteng, examples of national priorities included the State of the Nation Address (SONA) and the National Development Plan (NDP); and examples of global priorities included the Sustainable Development Goals (SDGs) as well as regional priorities, such as Africa Agenda 2063.
- One of the eight (13%) responses to this question stated that to enable effective, valid and relevant oversight, some of the key considerations in the GPL Strategic Planning documents should be to involve the public as well as involve all members and staff of the GPL, thereby ensuring maximum buy-in, support and ownership.
- Three of the eight (38%) responses to this question stated that to enable effective, valid, and relevant oversight, some of the key considerations in the GPL Strategic Planning documents should be the clear articulation of goals, objectives, and targets.

Thus, half of the total sample (50%) stated that to enable effective, valid and relevant oversight, some of the key considerations in the GPL Strategic Planning documents should be a clear articulation of local, provincial and global priorities, such as the State of the Province Address for Gauteng (SOPA) and provincial priorities for Gauteng; examples of national priorities included the State of the Nation Address (SONA) and the National Development Plan (NDP); and examples of global priorities included the Sustainable Development Goals (SDGs) as well as regional priorities, such as Africa Agenda 2063. Of the remaining half, 38% stated that to enable effective, valid and relevant oversight, some of the key considerations in the GPL Strategic Planning documents should be the clear articulation of goals, objectives and targets, while the remaining 13% stated that to enable effective, valid and relevant oversight, some of the key considerations in the GPL Strategic Planning documents should be to involve the public as well as involve all members and staff of the GPL, thereby ensuring maximum buy-in, support and ownership.

e) *In your opinion, have the GPL strategic planning documents thus far been including these key considerations?*

- All the responses (100%) to this question stated that the GPL strategic planning documents have thus far been including these key considerations to a limited extent only.

f) *If you were given the sole mandate to revise the GPL Strategic Planning documents to enhance oversight, what would be the most important changes you would make?*

- Three of the eight (38%) responses to this question stated that if they were given the sole mandate to revise the GPL Strategic Planning documents to enhance oversight, the most important changes they would make is to introduce mandatory inclusion of all chairpersons and members of the House to ensure maximum buy-in, co-operation and ownership.
- Three of the eight (38%) responses to this question stated that if they were given the sole mandate to revise the GPL Strategic Planning documents to enhance oversight, the most important changes they would make is to prescribe planning and reporting formats thereby ensuring that the planning and reporting environment is clarified and standardized.
- Two of the eight (25%) responses to this question stated that if they were given the sole mandate to revise the GPL Strategic Planning documents to enhance oversight, the most important changes they would make is to introduce an understanding of the plans of the executive so as to ensure GPL strategic plans are aligned and conducive to overseeing the work of the executive.

Thus, of the total sample, the majority (76%) responses included that they would introduce mandatory inclusion of all chairpersons and members of the House to ensure maximum buy-in, co-operation and ownership and that they would prescribe planning and reporting formats thereby ensuring that the planning and reporting environment is clarified and standardized. The remaining 25% stated that they would introduce an understanding of the plans of the executive so as to ensure GPL strategic plans are aligned and conducive to overseeing the work of the executive.

g) *Do you consider the GPL strategic planning documents as tools of oversight?*

- Five of the eight (63%) responses to this question stated that the GPL strategic planning documents are indeed tools of oversight.

- Three of the eight (38%) responses to this question stated that the GPL strategic planning documents are not tools of oversight themselves, but rather that they form the base from which the tools of oversight emanate.
- The spread of the responses to this question are depicted by Figure 4.5.



Figure 4.5: *Are GPL strategic planning documents tools of oversight?*

Thus, of the total sample, 38% of the responses stated that the GPL strategic planning documents are not tools of oversight, while the majority of responses (62%) stated that the GPL strategic planning documents are tools of oversight.

h) In your opinion, do the GPL strategic planning documents give adequate political and administrative direction to the Institution?

- One of the eight (13%) responses to this question stated that the GPL strategic planning documents give adequate political and administrative direction to the institution.
- Six of the eight (75%) of the responses to this question stated that while the GPL strategic planning documents give some political direction to the institution, there is room for improvement in this regard.
- One of the eight (13%) responses to this question stated that the GPL strategic planning documents do not provide any political or strategic direction to the Institution.
- The spread of the responses to this question are depicted by Figure 4.6.

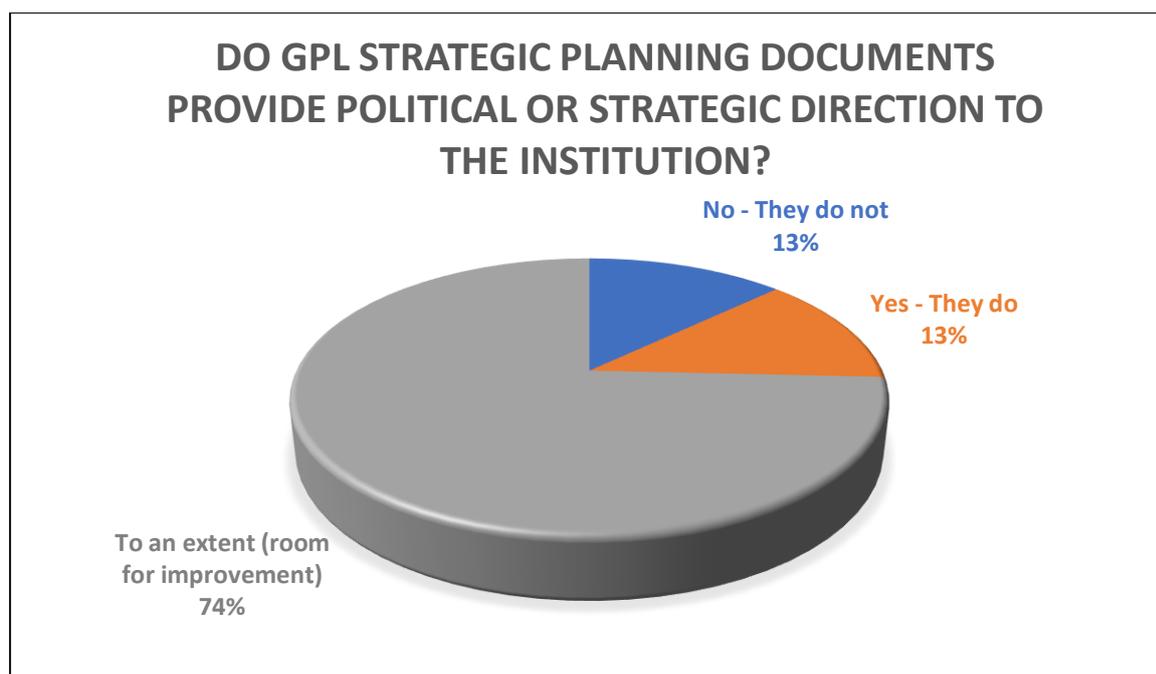


Figure 4.6: Do GPL strategic planning documents provide political or strategic direction to the Institution?

Thus, of the total sample, 13% of the responses stated that the GPL strategic planning documents do not provide adequate political or strategic direction to the Institution, while another 13% stated that the GPL strategic planning documents do provide adequate political or strategic direction to the Institution. However, the majority (74%) of responses stated that the GPL strategic planning documents provide adequate political or strategic direction to the Institution to an extent only, with room for improvement.

i) *In your opinion, do the GPL strategic planning documents have to be guided by Constitutional mandate on oversight?*

- All of the eight (100%) responses to this question stated that the GPL strategic planning documents have to be guided by the Constitutional mandate on oversight.

j) *In your opinion, do the GPL strategic planning documents have to be responsive to provincial priorities for Gauteng*

- Six of the eight (75%) responses to this question state that the GPL strategic planning documents have to be responsive to the provincial priorities for Gauteng.
- Two of the eight (25%) responses to this question state that the GPL strategic planning documents do not have to be responsive to the provincial priorities for Gauteng. On further probing, these responses suggested that regardless of what the provincial

priorities are, or how they change from time to time, the GPL strategic planning documents should enable thorough oversight on the extent to which the provincial executive achieves any priorities which may be relevant and applicable from time to time.

- The spread of responses to this question are depicted by Figure 4.7.



Figure 4.7: Do GPL Strategic Planning documents have to be responsive to the provincial priorities for Gauteng?

Thus, from the total sample, 25% of responses to this question stated that the GPL strategic planning documents do not have to be responsive to provincial priorities for Gauteng, while the majority of responses (75%) stated that the GPL strategic planning documents have to be responsive to provincial priorities for Gauteng.

k) *In your opinion, are the GPL strategic planning documents currently adequately aligned with Constitutional mandate on Oversight?*

- All of the eight (100%) responses to this question stated that the GPL strategic planning documents, while aligned to the Constitutional mandate on oversight, are not fully so aligned. All of these responses to this question state that there is room for improvement in the alignment of the GPL strategic planning documents with the Constitutional mandates on oversight.

l) In your opinion, are the GPL strategic planning documents currently adequately aligned to provincial priorities for Gauteng?

- All of the eight (100%) responses to this question stated that the GPL strategic planning documents, while aligned to the provincial priorities for Gauteng, are not fully so aligned. All of these responses to this question state that there is room for improvement in the alignment of the GPL strategic planning documents with the provincial priorities for Gauteng.

m) Do you think this alignment is at all necessary? Please elaborate?

- All of the eight (100%) responses to this question stated that it is absolutely necessary for the GPL strategic planning documents to be aligned to the Constitutional mandates on oversight and with the provincial priorities for Gauteng. On further probing, the respondents stated that the alignment is necessary to ensure that the GPL strategic planning documents are legitimate by being aligned to the Constitutional mandates on oversight; and relevant, by being aligned to the provincial priorities for Gauteng.

Based on the responses to the questions related to strategic planning in the GPL, most respondents perceive the GPL strategic planning documents to be an administrative mechanism which outlines institutional goals and objectives, but they do not see it as outlining the broader overall strategy of the Institution. Some respondents perceive the strategic planning documents as a mere conduit which translates governing party manifesto priorities into operational plans. With respect to the importance of strategic planning documents, most of the respondents from political membership stated that GPL should have strategic plans to provide political direction (based on political party priorities). Most of the management group respondents however stated that GPL needs strategic plans to outline strategic priorities, while staff respondents stated that GPL needs strategic plans to outline processes and targets. All of the responses however agreed that strategic plans in the GPL are important and required to create certainty on all institutional activities.

With respect to the role that the GPL strategic planning documents play on its oversight function, most respondents stated that the role of strategic planning documents on legislative oversight is to set out the plans and activities that the GPL will embark on and conduct in holding the executive to account; and to set out the goals, objectives and targets aligned to the Constitutional mandates. This is important as respondents converge on the strategic plans being

the central point for planning and from which all other institutional activities emanate. These responses therefore point to the importance of the strategic planning documents (and thus strategic planning) in the GPL for planning and achievement of predetermined objectives as well as for a base to give effect to the core mandate of the GPL.

With respect to the question on key considerations of strategic planning documents, most of the responses relate well to the linkage between strategic plans and provincial priorities. Responses relating to specification of goals, objectives and targets (which, according to Harries, Hodgson and Noble (2014), is referred to as the Theory of Change) and those relating to strategic priorities can be deemed complementary and can thus, collectively be construed as relating to developing goals and targets having included or been considerate of strategic priorities.

It is however noteworthy that all respondents felt there was room for much more improvement with respect to the extent to which the strategic planning documents of the GPL adequately include the strategic considerations that should form part of such strategic planning documents. The fact that respondents felt there was room for improvement also points to the importance and centrality of the strategic plans. No respondents mentioned that the strategic plans were not required or necessary, but rather that there was room for improvement.

Emerging from all responses to the question of improvements to the strategic planning documents, there are three main areas of suggested improvement which can be summarised as follows: a) introduction of mandatory inclusion of all chairpersons and members of the House to ensure maximum buy-in, co-operation and ownership; b) prescription of planning and reporting formats, thereby ensuring that the planning and reporting environment is clarified and standardized; and c) introduction of an understanding of the plans of the executive so as to ensure GPL strategic plans are aligned and conducive to overseeing the work of the executive. It is noteworthy that not a single respondent suggested setting the strategic planning documents aside. This, consistent with some of the responses to previous questions, strengthens the centrality of strategic plans in the institution.

With respect to the question on whether the strategic planning documents are tools of oversight, despite that some respondents stated that the strategic planning documents are not themselves considered as tools of oversight, all respondents agreed that strategic planning documents are indeed critical to oversight, without which the oversight function of the GPL would be dysfunctional.

However, despite most respondents feeling that the strategic planning documents are indeed important tools of oversight, only a minority of respondents felt that the GPL strategic planning documents provide adequate political and strategic direction to the Institution.

With respect to the alignment of the strategic planning documents with Constitutional mandates on oversight and also with provincial priorities, all respondents anecdotally agreed that such alignment is important and necessary. However, on further probing, many respondents felt that while such alignment was necessary, important and that it should occur, when considering the current GPL strategic planning documents, they felt that there was much room for improvement in this regard.

4.3 Grouped responses and emergent themes

When logically grouped, the responses provided to the interview questions provide a number of emergent themes which are important to answer the research questions and to draw valuable conclusions from this study.

4.3.1 Response group: Questions relating to the purpose and functions of a Legislature

When grouping responses to questions related the purpose and functions of the Legislature, it is apparent that the legislature serves a number of functions such as oversight, law making and public participation. However, oversight and scrutiny are the most important functions of the Legislature, where the legislature oversees the plans and actions of the executive. This is in line with the surveyed literature that positions oversight as a core function of legislatures. Halchin and Kaiser (2012) refer to oversight as a core function of legislatures, while Izah (2013) argues that oversight is a core function of legislatures without which a legislature would not be a legislature in the true sense, for the very nature of a legislature demands that it would ensure democracy through effective oversight over the executive. Law making is another important function, for it is through laws that policies of government are laid down for implementation. Through meaningful public involvement, the legislature affords citizens equal opportunities to be drawn in on deciding on matters that relate to them or their society, over and above the elections, and to hold authorities to account.

Main themes emerging from this response group therefore are:

- Legislatures serve many functions
- Oversight is one of the most important function of legislatures

4.3.2 Response group: Questions relating to the oversight at the Gauteng Provincial Legislature

When grouping responses to the question related to “oversight at the Gauteng Provincial Legislature,” it is apparent that the GPL conducts oversight over the executive on behalf of the citizens and in the interest of a better quality of life. Oversight is indeed essential to ensure prudent financial management by the executive, that the executive delivers on its commitments to the people in respect of service delivery, and also to protect the rights of citizens. The GPL has several tools at its disposal to conduct oversight over the executive, such as the SOM, committee hearings, House sittings, House resolutions and question in the House. This view is supported by Mle and Qwase (2010) who argue that in most cases, the three common mandates of legislatures (law making, oversight and public participation) are carried out through the committees of the House. However, it is also apparent from the responses in this group that the GPL oversight function is not fully enabled through its political and administrative leadership structures; and is also not fully capacitated to exercise its oversight function.

Main themes emerging from this response group therefore are:

- Legislatures oversee the executive to ensure a better quality of life.
- The Gauteng Provincial Legislature has numerous tools to conduct oversight.
- The GPL leadership and administrative structures:
 - Have not fully enabled its oversight function; and
 - Are not fully capacitated to exercise its oversight function.

4.3.3 Response group: Service delivery priorities for Gauteng

When grouping responses to the question related to “service delivery priorities for Gauteng,” it is apparent that service delivery priorities for Gauteng are extremely important for legislative oversight. The Province obtains its service delivery priorities from governing party priorities, the people, the electorate, and the State of the Province Address (SOPA).

The service delivery priorities for Gauteng range between transformation, modernization and reindustrialization, poverty, inequality and unemployment, the 10-pillar programme of government in Gauteng and the governing party priorities.

Main themes emerging from this response group therefore are:

- Service delivery priorities for Gauteng are extremely important for legislative oversight
- The Province obtains its service delivery priorities from several sources
- The service delivery priorities for Gauteng relate primarily to improving the quality of life for all people in Gauteng.

4.3.4 *Response group: Strategic planning at the GPL*

When grouping responses to the question related to “strategic planning at the GPL” it is apparent that the GPL strategic planning documents are an administrative mechanism which outlines institutional goals and objectives. GPL should have strategic plans to provide political direction and GPL therefore needs strategic plans to outline strategic priorities as well as to outline processes and targets. Ultimately, strategic plans in the GPL are important and are required to create certainty in all institutional activities. The role of strategic planning documents on legislative oversight is to set out the plans and activities that the GPL will embark on and conduct in holding the executive to account; and to set out the goals, objectives and targets aligned to the Constitutional mandates. This is important as the strategic plans are the central point for planning and from which all other institutional activities emanate. The responses in this category are supported by surveyed literature in stressing the importance of strategic plans in achieving institutional goals and objectives. Julian (2013:1-2) stresses that strategic plans are the very backbone of institutional performance and ultimate success; and that strategic plans are what would guide an institution to use all its resources and tools to achieve its goals and strategic objectives. Strategic planning documents (and strategic planning) in the GPL are therefore extremely important for planning and achievement of predetermined objectives as well as for a base to give effect to the core mandate of the GPL.

There is, however, room for much more improvement with respect to the extent to which the strategic planning documents of the GPL adequately include the strategic considerations that should form part of such strategic planning documents. Such improvement can be summarised as follows: a) introduction of mandatory inclusion of all chairpersons and members of the House to ensure maximum buy-in, co-operation and ownership; b) prescription of planning and reporting formats thereby ensuring that the planning and reporting environment is clarified and standardized; and c) introduction of an understanding of the plans of the executive so as to ensure GPL strategic plans are aligned and conducive to overseeing the work of the executive.

Strategic planning documents in the GPL are indeed critical tools of oversight, without which the oversight function of the GPL would be dysfunctional. Schneider (2017) stresses that legislature House and committees as well as administrative support office strategic plans are essential for almost every significant project in the legislature. However, these documents do not provide adequate political and strategic direction to the institution. Further, with respect to the alignment of the strategic planning documents with Constitutional mandates on oversight as well as with provincial priorities, such alignment is important and necessary but when considering the current GPL strategic planning documents, there is much room for improvement in this regard.

Main themes emerging from this response group therefore are:

- Strategic planning documents are important tools of oversight.
- It is essential that the GPL strategic planning documents are aligned with the Constitutional mandate on oversight as well as with provincial priorities for Gauteng.
- It is also important that the GPL strategic planning documents provide adequate political direction and administrative enablement to the institution.
- There is significant room for improvement with respect to:
 - Alignment of the GPL strategic planning documents with the Constitutional mandate on oversight and with provincial priorities for Gauteng
 - Adequacy of the GPL strategic planning documents to provide political leadership and administrative enablement to the Institution

4.3.5 Overall themes emerging from responses

Having considered the responses to interview questions, categorisation into groups with emergent themes per group, the overall emergent themes can thus be summarised as follows:

- There is inadequate alignment between the oversight conducted by the Gauteng Provincial Legislature (through its strategic planning documents and associated processes) with the Constitutional oversight mandate and the Provincial Priorities for service delivery in Gauteng.
- The GPL plays an important role, through its oversight processes, in the achievement of service delivery priorities for Gauteng.
- The GPL oversight function is not fully enabled through its political and administrative structures.

- The GPL does not have sufficient capacity (Political and Administrative) to exercise its oversight function.

4.4 Data from documentary analysis

In analysing GPL strategic planning documents, the following were considered:

2014-2019 Term of Office

- GPL Strategic Plan (2014-2019)
- GPL Annual Performance Plan “APP” (2015/16)

2019-2024 Term of Office

- GPL Strategic Plan (2020-2025)
- GPL Annual Performance Plan “APP” (2020/21)

The reason for considering documents related to two Terms of Office was to ensure that changes in political dynamics and mandate are considered in the overall findings.

4.4.1 GPL Strategic Plan (2014-2019)

According to DPME (2019), Strategic Plans set out organisational outcomes which contribute to the achievement of the overall priorities of government, and the achievement of the mandate of such institution. The GPL, through its strategic planning documents and associated processes executes its Constitutional mandate. In executing its mandate, the GPL is obligated to develop strategic, annual, and operational plans, allocate resources for the implementation of those plans, monitor, and then accurately present the results (GPL, 2014: 8). The Strategy thus sets out the plans of the GPL to make the involvement of the people of Gauteng in governance matters to be meaningful as well as to improve the accountability of the government in Gauteng (GPL, 2014: 5).

In this regard, the GPL Strategic Plan (2014-2019) has made use of a single goal and six strategic objectives to deliver on its mandate, as depicted by Table 4.2.

Strategic Goal and objectives in GPL Strategic Plan (2014-2019). (Source: GPL 2019)	
GOAL	To be a responsive legislature that fosters public confidence
<i>SO1</i>	<i>Improved Accountability by the Executive to the Legislature in respect of service delivery</i>
<i>SO2</i>	<i>Improved meaningful involvement by the public in Legislature business</i>
<i>SO3</i>	<i>Increased responsiveness of Laws to meet the needs of the people of Gauteng</i>
<i>SO4</i>	<i>Fostered and co-ordinated legislative sector</i>
<i>SO5</i>	<i>Enhanced public confidence in the governance and leadership of the Legislature</i>
<i>SO6</i>	<i>Modernised business practices towards supporting the functions of the Legislature</i>

Table 4.2: Strategic Goal and objectives in GPL Strategic Plan (2014-2019)

With respect to alignment with Constitutional mandate on oversight, it is clear that Strategic Objective 1 (*Improved Accountability by the Executive to the Legislature in respect of service delivery*) aligns strongly with the constitutional mandate on Oversight, while Strategic Objectives 2, 3 and 4 align with other Constitutional mandates (*Public Participation, Law Making and Cooperative Governance*) respectively.

With respect to alignment with service delivery priorities for Gauteng, the strategic plan in its Speaker’s Foreword, refers to the service delivery priorities for Gauteng by stating that the GPL welcomes the ten pillars plan of the provincial government as announced by the Premier during the State of the Province Address (GPL 2014:5). Apart from this single introductory reference, the GPL Strategic Plan (2014-2019) makes no further mention of the service delivery priorities for Gauteng.

4.4.2 GPL Annual Performance Plan “APP” (2015-2016)

According to DPME (2019), the Annual Performance Plan “APP” outlines the outputs towards the realisation of the outcomes and impact statements reflected in the strategic plan. The APP thus is a vehicle of delivery towards the realization of the Strategic Plan. The GPL APP (2014-2019) translates each strategic objective outlined in the GPL Strategic Plan (2014-2019) into performance indicators and targets. Since the first Strategic Objective in the GPL Strategic Plan (2014-2019) is directly aligned to the Constitutional Mandate on oversight, the GPL APP

(2015-2016) is sufficiently aligned with the Constitutional mandate on oversight. However, the APP makes no mention whatsoever of the service delivery priorities for Gauteng.

4.4.3 GPL Strategic Plan (2020-2025)

The Strategic Plan (2020-2025) has continued with a single strategic goal, which for the period 2020-2025 has been defined as “To be a legislature that fosters public confidence”. The Strategic Plan also outlines the institutional strategy in realising this goal GPL (2020: 2). In this regard, the GPL has for the 2020-2025 term identified five Strategic Outcomes to realize its goal to deliver on its mandate, as depicted by Table 4.3.

Strategic Goal and Outcomes in GPL Strategic Plan (2020-2025). (Source: GPL 2020)	
GOAL	To be a legislature that fosters public confidence
<i>SO1</i>	<i>Enhanced oversight and accountability towards service delivery</i>
<i>SO2</i>	<i>Increased responsiveness of laws to meet the needs of people of Gauteng</i>
<i>SO3</i>	<i>Enhanced meaningful public participation</i>
<i>SO4</i>	<i>Improved alignment and collaboration between organs of state</i>
<i>SO5</i>	<i>Enhanced compliance with relevant fiduciary requirements and principles of good governance</i>

Table 4.3: Strategic Goal and Outcomes in GPL Strategic Plan (2020-2025)

With respect to alignment with the Constitutional mandate on oversight, it is clear that Strategic Outcome 1 (Enhanced oversight and accountability towards service delivery) aligns strongly with the constitutional mandate on Oversight, while Strategic Outcomes 2, 3 and 4 align with other Constitutional mandates (Public Participation, Law Making and Cooperative Governance) respectively.

In addition, the Strategic Plan in its Accounting Officer’s overview (GPL 2020: 4) states that the strategic plan sets out indicators and targets towards achieving the GPL constitutional mandate. The section in the Strategic Plan “Constitutional Mandate” (GPL 2020: 10) sets out that the GPL derives its mandate from the provisions of the Constitution of the Republic of South Africa (1996), which include overseeing the government’s delivery of services. It further articulates (GPL 2020: 34) the Constitution provision whereby the GPL must maintain genuine oversight over the Executive.

With respect to the provincial priorities for service delivery, the Strategic Plan (2020) refers to the provincial priorities for Gauteng by mentioning that the GPL will play a greater role in

pursuing policies and legislation that facilitates the provincial priorities, Governing Party Priorities and the democratic project (GPL 2020:2). Apart from this introductory reference however, the GPL Strategic Plan (2020-2025) makes further mention of the service delivery priorities for Gauteng in Section 9 “Alignment with the Provincial Priorities, National Development Plan, regional and global Plans” (GPL 2020:17). The Strategic Plan goes on to elaborate in GPL (2020:18) that the provincial priorities for Gauteng for the 2020-2025 Term is packaged as “Growing Gauteng Together” (GGT), which is a 11-year Roadmap to achieve the National Development Plan (NDP) through revitalised focus on:

- Economic recovery, through employment and developmental opportunities
- Health, education, and skills development
- Integrated communities and availability of land
- Community safety, social harmony, and enhanced food security
- Promoting good governance through an able, ethical, and developmentally orientated government.

Under those foci, their priorities will be:

- Growing an inclusive economy which creates real employment
- Providing quality education that equips children with potential abilities
- Improving the public healthcare model
- Speeding up the development of permanent human settlement and spatial conversion
- Strengthening the fight against corruption in all its forms, everywhere
- Building an integrated public transport system that is efficient, secure, and affordable
- Constructing social harmony

This detailed mention in the GPL Strategic Plan (2020-2025) is noteworthy as it articulates the provincial priorities in detail. Apart from this reference, the Strategic Plan makes no further mention of the strategic priorities for Gauteng.

4.4.4 GPL Annual Performance Plan “APP” (2020-2021)

The GPL APP (2020-2021) translates each Strategic Outcome outlined in the GPL Strategic Plan (2020-2025) into performance indicators and targets. Since the first Strategic Outcome in the GPL Strategic Plan (2020-2025) is directly aligned to the Constitutional Mandate on oversight, the GPL APP (2020-2021) is sufficiently aligned with the Constitutional mandate on oversight.

With respect to the service delivery priorities for Gauteng, the GPL APP (2020-2021) at GPL (2020b:30) details the provincial priorities of “Growing Gauteng Together” and further sets out that, in considering the provincial service delivery priorities for Gauteng, the GPL is in an advantageous position to align its plans accordingly and also conduct oversight and hold government to account on the commitments and key determinants of these plans. This will ultimately ensure that the GPL oversight is legitimate, relevant, and valid. The GPL APP (2020-2021) makes no further reference or mention of the service delivery.

4.4 Conclusion

This chapter presented the results, which, when analysed, would provide answers to the research questions identified for the study. It displayed the foremost outcomes of the interviews as well as from the documentary analysis. The findings from the interviews reveal the opinions, experiences, and perceptions of participants. The chapter opened with a presentation of the results from the collected data and thereafter identified emergent themes, which were empirically illuminated with pertinent aspects of the literature review. Despite a purposefully identified sample of 12 participants, actual interviews did not proceed beyond eight participants due to data saturation and availability of participants. With respect to the documentary analysis, sources were considered from two separate political terms of office, namely the 2014-2019 Term of Office and the 2020-2025 Term of Office. From the 2014-2019 Term of Office, the GPL Strategic Plan (2014-2019) and the GPL Annual Performance Plan “APP” (2015/16) were considered. From the 2020-2025 Term of Office, the GPL Strategic Plan (2020-2025) and the GPL Annual Performance Plan “APP” (2020/21) were considered. The next Chapter, “Findings, Recommendations and Conclusion”, discusses the findings from the emergent themes emanating from the specific response groups as well as the analysis interpretation of the responses from each response group. This will enable the study to draw on the findings from the data collected to provide answers to the research questions and generate recommendations.

CHAPTER 5

Findings, Recommendations and Conclusion

5.1 Introduction

This Chapter discusses the findings from emergent themes emanating from the specific response groups as well as the interpretation of the responses from each response group. This will enable the study to draw on the findings from the data collected to provide answers to the research questions and generate recommendations.

The Gauteng Provincial Legislature adopts 5-year strategic plans for every five-year political term of office to execute its mandates of oversight, law making, public participation and cooperative governance. Since all functions of the legislature emanate from these strategic planning documents, and if such 5-year strategic plans are aligned to the legislature's mandate on oversight and to the provincial priorities for the province, it can be deduced that the resultant oversight function conducted by the legislature will similarly be aligned. This alignment is essential to promote implementation, performance and ultimately, service delivery by the executive in a manner that is similarly aligned with the constitutional oversight mandate and the provincial priorities for Gauteng. However, the strategic plans of the Legislature showed no direct evidence of any alignment with the Constitutional oversight mandate and with the provincial priorities. Further, there has been no study conducted in this regard. This presented a problem because if there is no such alignment, then the oversight conducted by the Gauteng Provincial Legislature may be without focus and irrelevant.

There was a definite need for research to investigate the alignment of the oversight function conducted by the Gauteng Provincial Legislature with the Constitutional oversight mandate and with the provincial priorities for Gauteng. Legislatures are mandated by section 114 (2) (a) of the Constitution (1996) to oversee the provincial executive. The alignment of the oversight conducted by the Gauteng Provincial Legislature with the Constitutional mandate on oversight and with the provincial priorities for Gauteng can thus logically be linked to the quality and effectiveness of oversight conducted by the Gauteng Provincial Legislature and also to the performance by the executive. It is important that this alignment was investigated because the poor implementation of policies and the triple scourge of poverty, inequality and unemployment that still plagues the province, remains cause for concern.

It was in this regard that this study sought to investigate the alignment of the oversight conducted by the Gauteng Provincial Legislature with both the Constitutional oversight mandate and the provincial priorities for Gauteng.

The primary research question that was considered in conducting this study was on the alignment between the oversight conducted by the Gauteng Provincial Legislature with the Constitutional oversight mandate and the provincial service delivery priorities for Gauteng. Secondary questions related to the role of the Gauteng Provincial Legislature in the achievement of provincial priorities, whether the Gauteng Provincial Legislature oversight function is enabled through its political and administrative structures and if the Gauteng Provincial Legislature has sufficient capacity to exercise its oversight function.

5.2 Summarised analysis of the findings

The research has spawned useful information on the alignment between the GPL strategic plans and the Constitutional mandate on oversight as well as with the service delivery priorities for Gauteng. Data obtained was categorised into purposefully developed groups for the identification of emergent themes and to facilitate logical analysis, which were important to answer the research questions and provide valuable conclusions from this study.

5.2.1 Findings from data groups and emergent themes

Purpose and functions of legislatures: the study found that while legislatures serve many functions, oversight and scrutiny are among their most important functions.

Oversight at the Gauteng Provincial Legislature: It was found that the GPL oversees the executive to ensure a better quality of life. The GPL has several tools which it uses to conduct oversight. However, the GPL leadership and administrative structures have not fully enabled its oversight function; have not optimised the usage of all available tools; and are not fully capacitated to exercise its oversight function.

Service delivery priorities for Gauteng: It was found that service delivery priorities for Gauteng are extremely important for legislative oversight. Gauteng obtains its service delivery priorities from a number of sources but these relate primarily to improving the quality of life for all people in Gauteng, through addressing economic growth and development, poverty, unemployment and inequality. The priorities are set and communicated at the beginning of each five-year Term of Office.

Strategic planning at the GPL: It was found that strategic planning documents are important tools of oversight and that it is essential that the GPL strategic planning documents are aligned

with the Constitutional mandate on oversight as well as with provincial service delivery priorities for Gauteng. It is also important that the GPL strategic planning documents provide adequate political direction and administrative enablement to the institution. However, while there is some alignment, there is still immense room for improvement with respect to full alignment of the GPL strategic planning documents with Constitutional mandate on oversight and with provincial service delivery priorities for Gauteng and the adequacy of the GPL strategic planning documents to provide political leadership and administrative enablement to the Institution.

Having considered the responses to interview questions, categorisation into groups with emergent themes per group, the overall emergent themes can thus be summarised as follows:

- There is inadequate alignment between the oversight conducted by the Gauteng Provincial Legislature (through its strategic planning documents and associated processes) with the Constitutional oversight mandate and the Provincial Priorities for service delivery in Gauteng;
- The GPL plays an important role, through its oversight processes, in the achievement of service delivery priorities for Gauteng;
- The GPL oversight function is not fully enabled through its political and administrative structures; and
- The GPL does not have sufficient capacity (political and administrative) to fully exercise its oversight function.

These findings are important in that they provide insight into the challenges related to the oversight function of the GPL. The findings also shed light on the contributing factors such as capacity and the enablement of the oversight function through political and administrative structures of the Institution. The finding of inadequate alignment between the GPL oversight function and the constitutional mandate on oversight, as well as with the provincial priorities is noteworthy and important because this inadequate alignment may lead to the entire oversight function of the GPL being illegitimate and irrelevant. The insights from these findings therefore will allow for focused intervention to address these challenges in attempting to enhance the oversight function of the GPL.

5.3 Answers to the research questions

The primary research question that guided this study was whether there was alignment between the oversight conducted by the Gauteng Provincial Legislature with the Constitutional oversight mandate and the provincial service delivery priorities for Gauteng.

The analysed findings from data collected has shown that while there is such alignment, it is skewed (therefore inadequate). The study found that there was sufficient alignment between the oversight conducted by the GPL and the Constitutional oversight mandate. However, there was inadequate alignment between the oversight conducted by the GPL and the service delivery priorities for Gauteng. This (mis)alignment is depicted by Figure 5.1.

Inadequate alignment between GPL strategic plans and constitutional oversight mandate and service delivery priorities for Gauteng (Source: Author)

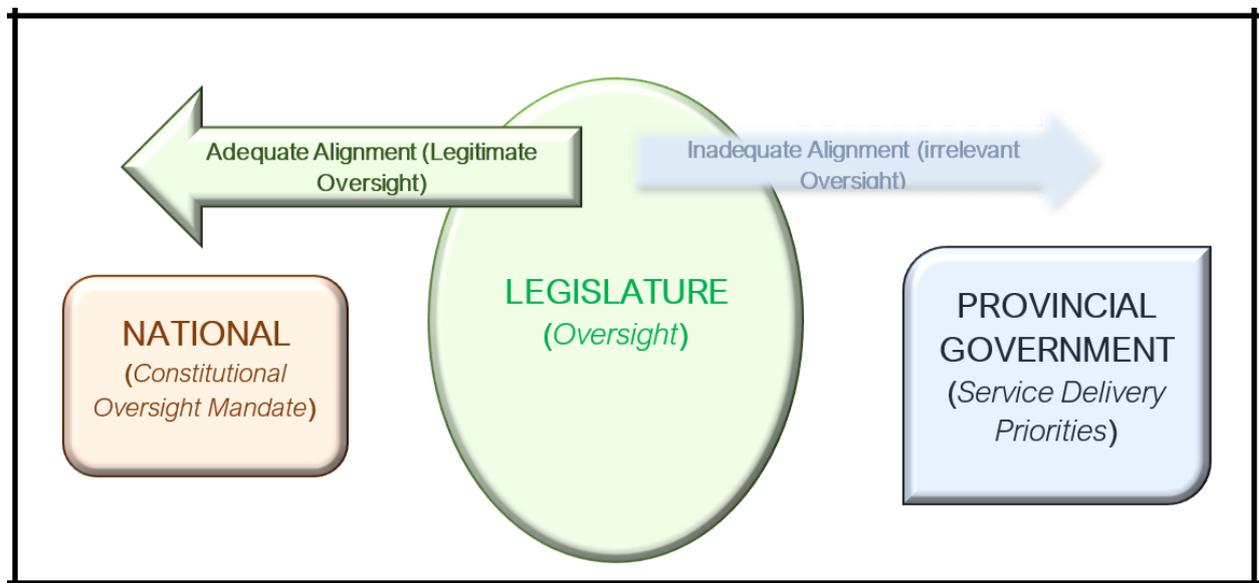


Figure 5.1: Inadequate alignment between GPL strategic plans and constitutional oversight mandate and service delivery priorities for Gauteng

Figure 5.1 above shows the findings from the data collection with respect to the alignment of the Gauteng Provincial Legislature oversight function with the Constitutional mandate on oversight and with the service delivery priorities for Gauteng. It shows adequate alignment between the GPL oversight function and the Constitutional mandate for oversight, thus that the oversight function carried out by the GPL is legitimate. However, it also shows that there is inadequate alignment between the GPL oversight function and the service delivery priorities for Gauteng, thus that the oversight function carried out by the GPL is not fully relevant to the services being delivered in (and thus to the needs of the people of) Gauteng.

This finding is concerning because in addition to the legitimacy of the oversight being conducted, it is essential that the width, breadth and focus of the oversight is aligned to the actual service delivery commitments in the province and therefore that the oversight is relevant too. It would serve no purpose if oversight were legitimate but irrelevant to the service delivery priorities of the province. In addition to rendering the oversight that is conducted by the legislature irrelevant, it may also render the entire legislature irrelevant and therefore cause the GPL to exist purely in a symbolic or ceremonial context.

The ideal would be a well-balanced system of alignment between the oversight conducted by the GPL and the Constitutional oversight mandates on the one hand, as well as with the service delivery priorities for Gauteng, on the other hand. This would ensure that the oversight conducted by the GPL would be legitimate as well as relevant to the needs of the people of Gauteng. This balance will emphasise the importance and centrality of the Legislature in the service delivery continuum, translating constitutional mandates into actual service delivery oversight aligned to the needs of the people.

Secondary questions related to the role of the Gauteng Provincial Legislature in the achievement of provincial service delivery priorities, whether the Gauteng Provincial Legislature oversight function is enabled through its political and administrative structures and if the Gauteng Provincial Legislature has sufficient capacity to exercise its oversight function. The analysed findings from data collected has shown that the GPL has an important role to play through its oversight processes, in the achievement of service delivery priorities for Gauteng. Mojapelo (2012), in explaining the notion of the separation of powers, has stressed the role of legislatures in holding the executive to account for delivering the provincial priorities and commitments made to the people. This therefore strengthens the importance of the GPL role in service delivery to the Province. The findings showed further that the GPL oversight function is not fully enabled through its political and administrative structures; that the GPL does not have sufficient capacity (political and administrative) to fully exercise its oversight function. These findings are also noteworthy because it brings to the fore the importance of administrative processes to enable strategic direction in the GPL. From these findings, it can be reasonably assumed that administrative processes serve as the “wheels” to the strategic “engine”. Regardless of the quality of the engine, if the wheels are not fully functional, the overall “vehicle” will not achieve its intended objective or serve its function.

Based on these findings, it is affirmed that the primary and secondary questions have been satisfactorily answered in a manner that accurately reflects the analysed data and also in a manner that allows for recommendations to be generated for improvements at the GPL and for further study.

5.4 Challenges and Recommendations

Having addressed the research questions, it is prudent to reflect on the challenges emanating from the study. The challenges were not sourced from the structured questions but surfaced during the interviews and probing questions. These challenges are important to inform the generation of productive and relevant recommendations that may be considered by the Gauteng Provincial Legislature (and other legislatures) in enhancing oversight and accountability.

The main challenges on oversight are wide ranging, relating to the information provided by the executive, structural capacitation of the legislature, resources available for the legislature to fully discharge its oversight mandate, quality of resolution tracking and the time allocated for oversight.

5.4.1 Quality of information (reports) submitted by the Executive

Challenge: Information provided by the Executive was at times inaccurate, insufficient, incomplete, or ambiguous. According to Staphenurst and Pelizzo (2002), poor quality of information provided by the executive is a major impediment to the quality of oversight conducted by the legislature. The information was not seen as credible as it often created an impression that all was always well in the respective Department. Due to suboptimal research support capacity in the GPL, there was strong reliance on the face value of information provided by the executive, which in turn, informed oversight activities of committees. While there was an understood need for committees to verify departmental information, due to insufficient financial and time resources, this was not always done, resulting in “rubber stamp” oversight by the GPL.

Recommendation: the GPL could own its oversight and insist on credible and accurate information from the executive. The GPL has the legislated power to put in place such mechanisms that further enhance oversight and as such, it should give effect to this mandate by setting and clarifying the nature and extent of information it requests and expects from the executive in order to fully and properly discharge its oversight mandate. Furthermore, the GPL could bolster its standing rules to enforce and ensure compliance by the executive, since all

Members of the Executive Council are also subject to and bound by the Standing Rules by virtue of them being Members of the Provincial Legislature (MPLs).

5.4.2 Oversight based solely on information from the Executive

Challenge: The GPL made pronouncements on the performance of Executive Departments solely based on the information presented or submitted to it by such departments. However, departmental performance is also measured by other institutions supporting democracy, such as the “Chapter 9” institutions as outlined in Chapter 9 of the Constitution (1996). The oversight conducted by the GPL is thus devoid of the oversight conducted by the Chapter 9 Institutions thereby resulting in the GPL, despite being responsible for overseeing the executive (holistically), only conducting oversight on that portion of the departmental performance that is formally reported to the GPL. This compromises and “waters down” the overall oversight that is ultimately conducted by the GPL.

Recommendation: The GPL could facilitate interaction and co-operation with all oversight structures in the province and the executive to develop mechanisms and processes to integrate the oversight that is conducted by all legitimate oversight structures in the province. All oversight requirements could be incorporated into a single comprehensive format which would be submitted to the GPL. Other oversight structures would then obtain the respective information they require from the GPL and report on their findings and analysis back to the GPL. This will ensure that the GPL conducts holistic oversight over all aspects of the executive performance.

5.4.3 Legislature is “controlled” by the Executive

Challenge: The financial resources which the GPL requires to hold the executive to account is appropriated to it by the executive (Provincial Treasury). A recent series of austerity measures implemented by Government meant that the GPL has had to revise its plans accordingly, thus compromising many oversight activities and related processes. Available budgets are thus insufficient for many oversight activities which are required to verify departmental information and also to address challenges or concerns of communities through public participation programmes. This has resulted in the GPL not being able to fully represent service delivery concerns of communities. Interactions with citizens, a major Constitutional imperative, was thus compromised. Insufficient budget, according to Barkan (2009), has a negative impact on the performance of the legislature. The executive was therefore able to “control” the legislature

by “tightening the purse strings”. The executive controlling the budget for the legislature was also raised as undermining the separation of powers.

Recommendation: The legislatures could be legally empowered to determine its own resource requirements. Barkan (2009) has indicated that the establishment of a parliamentary budget office and research capacity could increase the power and autonomy of the legislature by enabling it to capacitate itself to perform its core responsibilities and as emphasized by Johnson (2005), to allow legislatures to maximise their Constitutional mandate. Barkan (2008) stresses that where Legislatures are autonomous in determining their own budget, they are able to foster an effective institution capable of discharging its mandates fully.

5.4.4 House resolutions are not respected by the Executive

Challenge: The Legislature oversees the performance of the Executive and articulates remedial action through House Resolutions. The Standing Rules of the GPL (GPL: 2018) at Section 44(2) are clear that a Member of the Executive Council must ensure implementation of the House resolutions. Despite this compulsion, many House Resolutions are poorly responded to in terms of quality and compliance, while some are not responded to at all. This compromises the quality of oversight that is carried out by Committees of the GPL, because it results in follow-up requests which are costly both in terms of time and money. The resultant delay and its consequent impact on the oversight function of the Legislature is to the ultimate detriment of the people of Gauteng. By the time a delayed response is received, there may be limited (or no) opportunity of the legislature to make meaningful interventions.

Recommendation: Despite the Standing Rules of the GPL being explicit on Members of the Executive Council having to implement House Resolutions, a robust resolution tracking mechanism is still required, both at an institutional level, at the committee level as well as at the executive level. The Standing Rules alone are not sufficient to encourage timely and quality response to House Resolutions mainly because the Standing Rules seek to remedy non-compliance (after the fact, meaning after the non-compliance has already occurred).

5.4.5 Limited time available for Committee oversight work

Challenge: The limited time available for Committee work was another challenge which was raised. Barkan (2009) indicated that the practical functioning of a legislature is subject to the balance of time and resources that an individual member devotes to their oversight work. The (mis)management of time and resources by members has a direct impact and is clearly evident in the quality of oversight that the member (and by extension the committee and the GPL)

would ultimately conduct. Barkan (2008) emphasized that members mismanaging their time and thus neglecting their duties can result in the Legislature existing as a hollow shell only. Reasons for time delays cited the tight programme of the legislature and the unavailability of the executive for committee engagements. Further, some MPLs served on more than one Committee which placed even greater pressure on their already tight schedules, thereby negatively impacting on oversight even further. Time delays in addressing the quarterly performance reports often result in oversight having been deferred and possibly rendering the entire oversight exercise ineffective.

Recommendation: The GPL Rules could be amended to allow for committees to be innovative in the usage of available time for committee business. There is absolutely no harm in maximising the hours in a day, even though that day may have been set aside for a specific purpose only. As an example, in many instances, even if the whole day (Wednesday in the case of the GPL) may be set aside for political caucus work, these meetings rarely use the entire day. In such instances, committees must be enabled and supported to conduct committee business during these days in order to maximise available time for oversight work.

5.4.6 *Strategic Planning documents and processes are seen as “tick-box” exercises*

Challenge: Strategic Planning documents were often seen as “tick-box” administrative exercises and thus led to malicious compliance. The type of information that was planned for and ultimately reported on was characteristic of this “malicious compliance” tendency. However, this study has established that the Constitution recognises that legislatures have a critical role to play in overseeing better performance by departments and public entities. According to Treasury (2005), the challenge facing provincial legislatures is to improve the capacity of portfolio committees to hold departments and entities to account for their performance, using their strategic plans, budget documents and annual reports. Further, all activities of the GPL emanate from its strategic planning documents. Thus, if these documents are completed without due diligence, the result would show clearly in poor oversight conducted by the Legislature.

Recommendation: The GPL strategic planning documents, including annual reports, should be considered as important tools of oversight and not mere administrative documents for compliance purposes. For an oversight committee to perform effective oversight, it is crucial that it develops a clear plan to align the committee work to the overall strategic direction of the institution. This plan will assist with the prioritisation of issues that the committee intends to focus on to conduct effective oversight. Despite the planning process being administrative in

nature, the strategic planning documents are still to be considered very important tools of oversight because they direct all onward institutional activities.

5.5 Additional Recommendations

In addition to the challenges (and recommendations) having surfaced from the data collection process, additional overall recommendations are suggested to further the oversight function of the GPL in so far as it relates to the subject of this study.

5.5.1 Effective enabling mechanisms

This study has established that the Constitution sets out that legislatures should provide mechanisms and resources for maintaining oversight and ensuring executive accountability. Thus, the legislature is entrusted with the functional responsibility of oversight and is therefore expected to develop mechanisms for the executive to account to it and maintain oversight on the executive. Desposato (2004) stated that oversight over the executive is dependent on the formal institutional framework and capacity of the legislature. It is therefore essential that the GPL maintains strong administrative and operational enabling mechanisms and processes to give effect to and facilitate the oversight function of the Institution. Pelizzo and Stapenhurst, (2012) point out that availability adequate resources (financial, human, technical and information) to conduct independent research and investigation are critical for the legislature to successfully undertake its oversight function. It is in this regard that Johnson (2005) attributes successful oversight by the legislature to an extent on operational and administrative enablers in the Institution.

5.5.2 A strong committee system

Committees are the engines of the legislature. This is where the actual processing of the oversight function takes place. It is therefore important that the GPL continuously focuses on strengthening its committee system. Barkan (2008) indicates that a strong committee system is essential in the oversight function of the legislature, while McGee (2002) argues that a strong committee system espouses real accountability as it promotes direct interaction and allows elected legislators to scrutinise detailed aspects of executive performance. In addition, Manona (2015) points out that strong, well-functioning committees give effect to the separation of powers as they ensure checks and balances over the executive sphere of government. Murray and Nijzink, (2002) further explain that well-functioning committees are better able to subject the executive to more intense scrutiny.

5.5.3 Capacitation and empowerment of MPLs

Members of the Legislature are important resources, according to Murray and Nijzink (2002), in that they offer their skills and time to fulfil the collective responsibilities of the institution. Johnson (2005), as well as Esau (2008), stress that the composition, technical competence and addressing the capacity of committee chairpersons are important for effective committees. Therefore, the continuous focus on empowerment and capacitation of MPLs is key to the successful discharge of the GPL oversight function.

5.5.4 Standardized oversight, accountability, and reporting processes

The strongest recommendation in this study is that the GPL develop a mechanism to standardize oversight, accountability and reporting between the legislature and the executive. Since the legislature oversees the work of the executive, it is absolutely essential that the executive reporting is standardized and fits “hand-in-glove” with the legislature oversight processes. Griffiths, et al. (2004) explain that standardized reporting is an intricate type of reporting process which produces consistent, reliable, actionable information from disparate sources. The emphasis on reliability is noteworthy because it would serve no purpose whatsoever if the executive reports on “X” while the legislature conducts oversight on “Y”. A system of processes and formats is required whereby the legislature and the executive have a clear and unambiguous understanding of what the executive has planned, what it will report on and what the Legislature will oversee and thus pronounce on through its House Resolutions. This system of processes and formats will ensure that all levels of membership and staff will find it easy and uncomplicated to use all the available tools of oversight and reporting. This approach will help oversight to become objective and credible and will also assist in reducing the “us vs them” antagonism between the legislature and the executive. This process will further have the potential to harness all the tools of oversight available to the legislature and will also centralize the strategic planning documents as important tools of oversight. Larson et al. (2013) point out that standardized reporting processes would thus enable the quality of reported information and oversight conducted. The quality would enable clarity and transparency which would ultimately add to an increase in public confidence. Through this system, the alignment between the legislature strategic plans and the Constitutional mandate on oversight as well as between the strategic plans and the service delivery priorities for Gauteng will be enforced, strengthened and maintained to the ultimate benefit to the service delivery recipients – the People of Gauteng.

5.6 Limitations and suggestions for future research

This research sought to investigate the alignment of the Gauteng Provincial Legislature oversight function with the constitutional mandate and provincial priorities for service delivery. In doing so, the study considered theoretical articulations on oversight from the various approaches that appear in the literature. Due to the broad nature of the phenomenon, it is essential that this study maintains its focus and sets out suggestions for further research to uncover additional aspects of legislative oversight.

5.6.1 Limitations

The literature surveyed in this study indicates a paucity of scholarly work on legislative oversight. It also emerges that there is no theoretical consensus on the empirical measures of effective oversight which corroborates the argument suggesting a lack of consensus on the definition of legislative oversight, as lamented by Pelizzo and Stapenhurst (2014), as well as by Kinyondo, et al. (2015). A strong focus of this study has been on the potential for oversight in terms of oversight tools and institutional capacity (especially the strategic planning documents as important tools of oversight). Most of the current discourse on legislative oversight has primarily been at a national level and within South Africa with a limited focus on provincial (legislative / executive) oversight.

Despite using a provincial legislature as a case, this research did not delve into the internal political dynamics within the legislature. The study referred lightly to legislature / executive relations without going into any meaningful detail.

5.6.2 Suggestions for further study

Oversight is a field that requires further in-depth research and further studies on this topic have the potential to move beyond oversight as a concept towards the practical aspects of enabling effective oversight at provincial and municipal levels.

Given the role that political party dynamics plays in the legislature, there is indeed potential for further study into the effects of such dynamics on the oversight and ultimate service delivery in the Province.

The study also did not delve into the challenges of the separation of powers as it is implemented in South Africa and thus there is potential for further study into the effects of legislature / executive.

5.7 Conclusion

In concluding this Chapter and the study, it must be underscored that strategic plans are the critical link between the legislature oversight function and Constitutional mandate on one hand, and service delivery priorities for the province, on the other hand. This study has established that the mere existence of strategic plans or mere embarking on the strategic planning process is insufficient. Strategic plans are to be reflective of the Constitutional mandate of oversight and also should clearly articulate and infuse the service delivery priorities for the province in order for the legislative oversight to be deemed legitimate and relevant. While the current strategic plans for the legislature show misalignment in these areas (especially with respect to the service delivery priorities for Gauteng, there appears to be room for improvement. The recommendations suggested in this study, if seriously considered, have the potential to place the GPL on a positive trajectory with respect to the legitimacy and relevance of its oversight function. No legislature exists for itself. Despite all the structures, mechanisms and processes considered in this study, none of them are the core object of any legislature, for the core objective of the legislature is to ensure that government plans, budgets, implements and spends in accordance with agreed and approved policy and legislation, towards service delivery and a better life for all residents. The legislature, through its oversight function and strategic plans that give effect thereto, serves as the link between government policy and legislation; and the will of the people.

“It is in the legislatures that the mechanisms have been formed to improve the life of society. It is here that scrutiny and oversight of government work has been applied. Within legislatures, the public in all its formations has an opportunity to guide policy and its application” Nelson Mandela. Farewell speech to Parliament. 26 March 1999.

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APPENDIX A: INTERVIEW GUIDE

INTERVIEW GUIDE:

As part of Study:

Master of Administration (Public Administration) - UNISA
**“Alignment of GPL oversight function with constitutional mandate and
provincial priorities”**

By

Khaled Khota

1. Introduction of the study to the participant

Interviewer explains the following to the interviewee:

This interview is part of a study to investigate the alignment of the oversight function conducted by the GPL with the constitutional oversight mandate and with the provincial priorities for Gauteng.

The Constitution of the Republic of South Africa, 1996 sets out that state authority in the Republic of South Africa is “divided” into three semi-autonomous, yet interdependent structures in all three spheres of government (national, provincial and local), those structures being the legislatures, the executive and judiciary.

The legislatures, as compelled by the Constitution, must provide for mechanisms to enact laws and oversee the executive in the implementation of such laws. It is the responsibility of the executive to account to the legislatures on implementation of the laws and similarly, it is the responsibility of the judiciary to interpret the laws. This Constitutional compulsion of the oversight function is therefore construed as a core function of a legislature aimed at monitoring implementation of predetermined objectives by the executive.

According to the Parliament, one of the main purposes of the oversight function is to hold the executive accountable for implementing the laws and policies that the legislature enacts, and for implementing the plans, programmes and spending the budgets that the legislature approves.

The GPL has adopted a 5-year strategic plans for the 2014-2019 Political Term of Office to execute its mandates of oversight, law making, public participation and cooperative governance. Since all functions of the legislature emanate from these Strategic Planning documents, and if such 5-year strategic plans are aligned to the legislature’s mandate on oversight and to the provincial priorities for the Province; it can be deduced that the resultant oversight function conducted by the legislature will similarly be aligned. The provincial priorities for Gauteng refer to the Gauteng Provincial Government “Ten Pillar Programme”, introduced at the opening of the Fifth Legislature on 27 June 2014. This alignment is essential to promote implementation, performance and ultimately service delivery by the executive in a manner that is similarly aligned with the constitutional oversight mandate and the provincial priorities for Gauteng.

2. **Permission from participant**

This section is where the interviewer obtains permission from the interviewee to be interviewed

Dear [Name of interviewee];

Thanking you for responding to my request to interview you for the study which I had explained above. I note your busy schedule and thus making yourself available for this interview is greatly appreciated.

Before starting with the interview questions, it is important that I bring the following to your attention:

- You have been identified to be part of the sample for this study in a non-random fashion. That is, you have been purposefully selected, based on your position in the GPL, function and value of your input to the research questions
- The input you provide will be faithfully recorded and given due consideration.
- Your participation in this study is without any remuneration and totally voluntary.
- Any information you provide will be used for purposes of this study only
- This interview will be recorded using an android enabled mobile phone with voice recording capabilities. The reason for recording is only to consult and refer to your input when analysing the data. The recordings will be deleted after the outcome of this study. The recording will not in any way, sort or form be transmitted to any other person or party for any other purpose whatsoever.
- You have the right to withdraw from the study at any point before, during or after your participation. Any such withdrawal would be of no implication or consequence whatsoever to yourself. Withdrawal also implies that all data you had provided would be permanently destroyed.
- This study is funded through an institutionally approved bursary. No additional funds were required or sourced for this study.
- As a researcher, I foresee no harm accruing to your person or possessions, since permission for the study was sourced from the GPL.
- This interview would focus only on matters related to this study and that no other data or information, not required for this study, would be expected from yourself.

- This study does not require covert methods of data sourcing. Thus, the interview questions would be the only source of data and no other information would be overtly or covertly sourced.
- Your participation is anonymous and only if you volunteer to surrender your anonymity, would your request be acceded to.
- Your data would be kept anonymous. Only if you volunteered to surrender your data anonymity, would your request be acceded to.
- In all cases, your transcripts are open to your own inspection. You have the right to check and modify any errors and / or omissions therein.
- I have taken all relevant and reasonable steps to protect and secure sourced data from unauthorized access.
- Your inclusion into the sample for this study was based on a non-probability purposeful approach. At no time was the selection of the sample based on any other criteria such as race, gender, colour, creed or any other belief or ideological orientation.
- Ethical considerations for this study are overseen by the University of South Africa. The study had received ethics clearance from the University of South Africa.
- If you have any grievances related to the ethical considerations or my conduct in relation to this study, such could be raised with the University of South Africa, who will subject all grievances to the policy on research ethics.
- This study has satisfied both reliability and validity criteria through an approved research proposal. Thus, you are hereby assured that this study is relevant, worthwhile and valid.
- This research could be replicated or built upon by another researcher for another study.
- This study could be subject to further peer and/or academic review.

Interviewer now asks:

- Did you clearly understand all these considerations?
- Do you have any questions on clarity?
- Do you wish to proceed with this interview?
- Do you wish to be acknowledged by name, anonymously or do you wish not to be acknowledged at all?

3. **Participant details**

Researcher asks:

- As part of the sampling process, and for purposes of this study, I understand your identity as: [Provide name of the Participant] – Is this correct?
- [Provide designation of the Participant] – Is this correct?

4. **The interview Questions**

4.1 *Introduction*

- a) Please can you indicate how long (in years) you have occupied the current position you are in?
- b) Please can you indicate how long (in years) have you been employed by the GPL?
- c) Please can you briefly summarize your current duties and responsibilities in the GPL?

4.2 *Purpose of the GPL*

- a) What, in your opinion, is the purpose of a Legislature?
- b) What, in your opinion, should be the key functions of a Legislature?
- c) If the Gauteng Legislature is disestablished, in your opinion, would there be any impact at all on the lives of the people of Gauteng? If yes, what would that impact be?

4.3 *Oversight at the GPL*

- a) What, in your opinion, is legislative oversight?
- b) Is Legislative Oversight at all important? Why / Why not?
- c) Where, in your opinion, does the GPL obtain its oversight mandate from?
- d) What, in your opinion, are the Constitutional mandates on Oversight?
- e) What are some of the tools of oversight that you are aware of?
- f) In your opinion, is GPL oversight function enabled through its political and administrative structures.
- g) In your opinion, does the GPL have sufficient capacity to exercise its oversight function.

4.4 Service delivery priorities for Gauteng

- a) Are service delivery priorities for Gauteng at all important? Why / Why not?
- b) Where, in your opinion, does the Gauteng Provincial Executive obtain its service delivery priorities from?
- c) What, in your opinion, are the service delivery priorities for Gauteng?
- d) In your opinion, does the GPL have a role in the achievement of provincial priorities? If yes, what role is this?

4.5 Strategic Planning at the GPL

- a) What is your understanding of the GPL Strategic Planning documents?
- b) Why do you think GPL needs to have Strategic Planning documents?
- c) What is the role of the GPL Strategic Planning documents on legislative oversight?
- d) To enable effective, valid and relevant oversight, what should be some of the key considerations in the GPL Strategic Planning documents?
- e) In your opinion, have the GPL strategic planning documents thus far been including these considerations?
- f) If you were given the sole mandate to revise the GPL Strategic Planning documents to enhance oversight, what would be the most important changes you would make?
- g) Do you consider the GPL strategic planning documents as tools of oversight?
- h) In your opinion, does the GPL strategic planning documents give adequate political and administrative direction to the Institution?
- i) In your opinion, does the GPL strategic planning documents have to be guided by Constitutional mandate on Oversight?
- j) In your opinion, does the GPL strategic planning documents have to be responsive to provincial priorities for Gauteng?
- k) In your opinion, are the GPL strategic planning documents currently adequately aligned with Constitutional mandate on Oversight?
- l) In your opinion, are the GPL strategic planning documents currently adequately aligned to provincial priorities for Gauteng?
- m) Do you think this alignment is at all necessary? Please elaborate?

5. *Conclusion of the interview*

We have reached the end of the Interview

- Is there any additional information you would like to add?
- Are there any questions you would like to ask?
- Were you satisfied with my conduct as a researcher?

Thank you for your participation

***** END *****

APPENDIX B: ETHICS CLEARANCE CERTIFICATE



**DEPARTMENT: PUBLIC ADMINISTRATION AND MANAGEMENT
RESEARCH ETHICS REVIEW COMMITTEE**

Date: 26 August 2019

Ref #: PAM/2019/027 (Khota)
Name of applicant: Mr K Khota
Student#: 31776825

Dear Mr Khota

Decision: Ethics Clearance Approval 26 August 2019 to 25 August 2022

Name: Mr K Khota, student#: 31776825, email: khaledkhotawork@gmail.com,
tel: 082 521-3647

[Supervisor: Mr ND Baloyi, staff#: 90194985, email: ebaloynd@unisa.ac.za,
tel: 012 429-6181]

Research project 'Alignment of Gauteng Provincial Legislature oversight function with constitutional mandate and Provincial Priorities for service delivery'

Qualification: Master of Public Administration (MPA)

Thank you for the application for **research ethics clearance** by the Department: Public Administration and Management: Research Ethics Review Committee, for the above mentioned research. Ethics approval is granted for the period 26 August 2019 to 25 August 2022. If necessary to complete the research, you may apply for an **extension** of the period. The decision will be tabled at the next College RERC meeting for notification/ratification.

For full approval: The application was **expedited and reviewed** in compliance with the *Unisa Policy on Research Ethics* and the *Standard Operating Procedure on Research Ethics Risk Assessment* by the RERC on 26 August 2019.

The proposed research may now commence with the proviso that:

- 1) The researcher will ensure that the research project adheres to the values and principles expressed in the Unisa Policy on Research Ethics.



University of South Africa
Preller Street, Muckleneuk Ridge, City of Tshwane
PO Box 392 UNISA 0003 South Africa
Telephone: +27 12 429 3111 Facsimile: +27 12 429 4150
www.unisa.ac.za

- 2) Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study, as well as changes in the methodology, should be communicated in writing to this Ethics Review Committee.
- 3) The researcher will conduct the study according to the methods and procedures set out in the approved application.
- 4) Any changes that can affect the study-related risks for the research participants, particularly in terms of assurances made with regards to the protection of participants' privacy and the confidentiality of the data, should be reported to the Committee in writing, accompanied by a progress report.
- 5) The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study, among others, the **Protection of Personal Information Act** 4/2013; **Children's Act** 38/2005 and **National Health Act** 61/2003.
- 6) Only de-identified research data may be used for secondary research purposes in future on condition that the research objectives are similar to those of the original research. Secondary use of identifiable human research data requires additional ethics clearance.
- 7) Field work activities **may not** continue after the expiry date given. Submission of a completed research ethics progress report will constitute an application for renewal of Ethics Research Committee approval.

Kind regards



Dr C Alers

Chairperson: Research Ethics Review
Committee
Department of Public Administration
and Management
Office tel. : 012 429-6286;
Email : alersc@unisa.ac.za



Prof MT Mogale

Executive Dean:
College of Economic and Management
Sciences
Office tel. : 012 429-4805;
Email : mogalmt@unisa.ac.za