

# **SERVICE DELIVERY PROTEST ACTIONS: A CASE STUDY OF ALFRED NZO DISTRICT MUNICIPALITY**

By

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Submitted in partial fulfilment of the requirements for the

Degree of Masters of Public Administration

in

The Faculty of Arts

at the

Nelson Mandela Metropolitan University

Promoter: PROF. DEREK TAYLOR

2017

## DECLARATION


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In accordance with Rule G4.6.3, I hereby declare that the above-mentioned thesis is my own work and that it has not previously been submitted for assessment to another University or for another qualification.

SIGNATURE: \_\_\_\_\_

A handwritten signature in black ink, appearing to read 'Babalwa Ngomani', is written over a horizontal line. The signature is stylized and cursive.

DATE: April 2017

## **DEDICATION**

This treatise is dedicated to:

My late grandfather Dumisa Mazwi Fumba and all my maternal uncles, and my grandmother Mangxabane Fumba for raising me with love, for planting the seed of love for education, spiritual and intellectual development. My mother Fuzeka Ngomani for all the support, love and belief in me.

My husband, Vumile Zajiji, for his amazing support, material and otherwise and for giving me time and space to pursue the study.

My son, Buhle Yamkela for providing constant inspiration just by his existence and his sweet words of encouragement and for sacrificing material benefits in support of the cause.

## **ACKNOWLEDGEMENTS**

It would be a serious omission not to acknowledge the following categories of people who played a significant role in assisting and supporting me to pursue and to complete the study:

- Researchers, scholars and writers on service delivery protests, whose work I acknowledged throughout my study.
- My friends and colleagues especially Zanele Thembeke Boti, Thozama Mpeti and many others.
- My editors and language proof- readers, Ms. Renee Van Der Merwe and Redene Steenberg.
- Alfred Nzo District Municipality for its permission to conduct research in its municipality.
- The Almighty God for sustaining me and taking care of me throughout my studies.

My unconditional gratitude and appreciation is extended to my Supervisor, Prof Derek Taylor for his mentorship, guidance, support, patience, enthusiasm, encouragement and development opinions. Without him I would have given up on the study.

## ABSTRACT

The study focused on the causes of service delivery protests in Alfred Nzo District Municipality. The aim of the study was to identify the challenges and the concerns of protestors and to highlight the underlying reasons behind the protests.

This study started by reviewing the constitutional basis for basic service delivery, the legislative framework, background to Alfred Nzo District Municipality, the structural set-up of municipalities and related studies on service delivery protests. Thereafter, the candidate undertook original research on a valid focus group interview consisting of ward committees sampled from the areas considered as “*hotspots*” in the district of Alfred Nzo District Municipality. The researcher adopted a qualitative methodology for the analysis upon which conclusions were drawn. The study describes the respondents concerns, challenges and reasons for service delivery causes.

This study provides evidence that the current challenges confronting the people of Alfred Nzo District Municipality and many citizens of South Africa are the result not only of historical factors, but also “*crisis of service delivery*”, which in turn is as a result of poor management, corruption, political interference in administration, cadre-deployment, demarcation issues, non- accountability of political and administrative leadership and insufficient funding by the donors and treasury. Furthermore, the results show that the majority of the respondents believe the protests are a result of anger and frustration.

In conclusion the study proposes that the South African government must go back to the “*Batho Pele*” principles as they are regarded as the solution to address the impatience and violent protests.

### **Keywords:**

Council, Alfred Nzo District Municipality, Ward Committees, Municipal Systems Act, Sustainability, Accountability, Local Economic Development

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## **ABBREVIATIONS**

ANDM	:	Alfred Nzo District Municipality
IDP	:	Integrated Development Plan
IGR	:	Intergovernmental Relations
ISD	:	Institutional and Social Development
DPLG	:	Department Of Provincial and Local Government
LGTAS	:	Local Government Turn Around Strategy
LED	:	Local Economic Development
LM	:	Local Municipality
ANC	:	African National Congress
AIC	:	African Independent Congress
RDP	:	Reconstruction and Development Programme
CDW	:	Community Development Workers
WC	:	Ward Committee

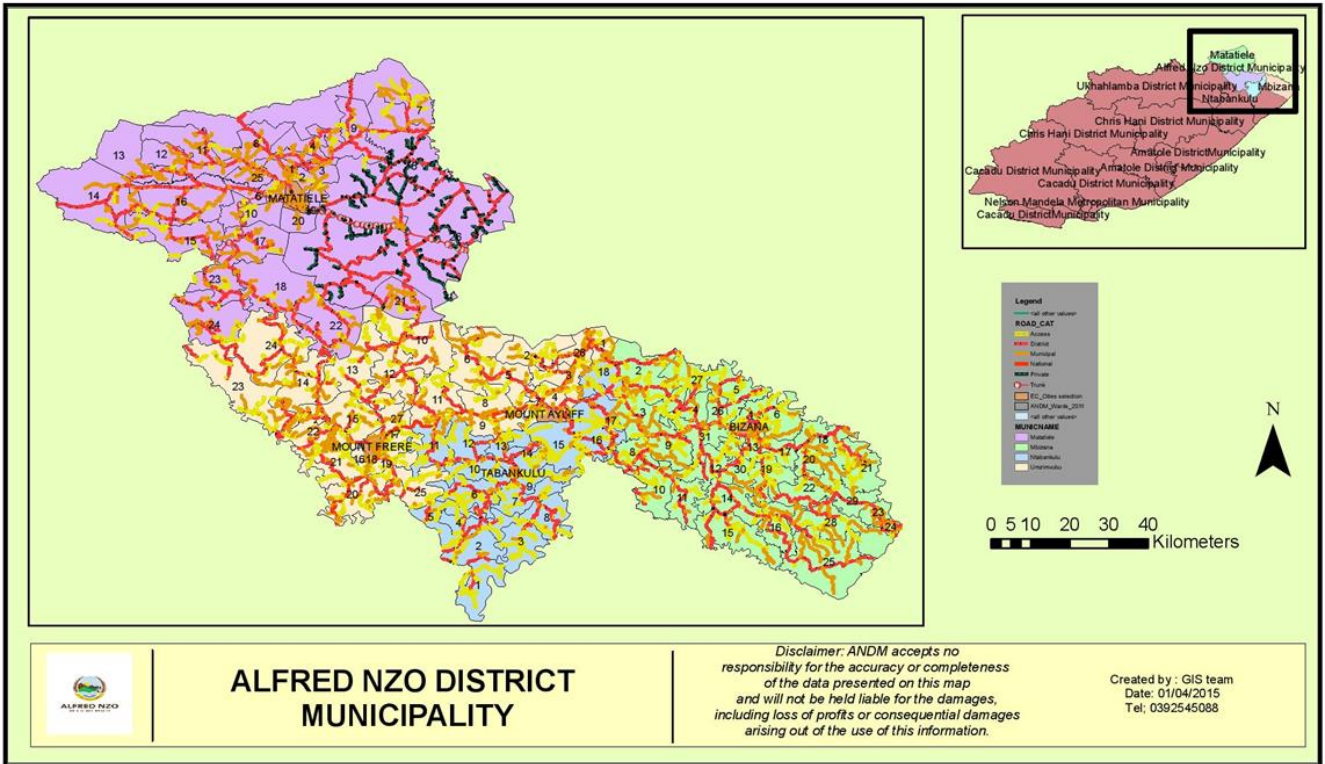
## CHAPTER 1

### 1.1 BACKGROUND TO THE STUDY

Given the large number of protests pertaining to basic services delivery protests in South Africa, there appears to be a growing concern amongst the public as to why these protests are happening and where they will happen next. The somewhat uncertain response by both government and analysts has done little to allay the public's fears. Van Der Waldt (2002:32) states that service delivery is supposedly an output and outcomes of proper planning and budgeting. Outcomes are the results that government wants to achieve, such as a reduced crime rate and increased employment opportunities, and are in line with the articulated vision of the government of the day. The definition and costing of outputs are essential for assessing the level of service delivery. Outputs are statements of the goods and services produced by departments for communities, such as the access to treatment at primary health clinics or the administration of social welfare payments (Van Der Waldt, 2002:32) .

While the violence and criminality often associated with service delivery protests is unacceptable and should be condemned out of hand, it is worth remembering that the communities living in informal settlements are essentially excluded from society.

This study aims to research and investigate the causes and impact of such protests with specific focus on the Alfred Nzo District Municipality in the Province of the Eastern Cape.



**Figure 1.1: Aerial view of ANDM wards (ANDM GIS)**

**1.2 PROBLEM STATEMENT**

The delivery of local services is the core responsibility of municipalities in South Africa and is identified by the Local Government: Municipal Systems Act 32 of 2000 as the second key performance area of the Integrated Development Plan (IDP). Some municipalities in South Africa are still failing to provide quality services in their areas of jurisdictions due to a variety of reasons. As a result of this failure, South Africa is currently experiencing violent service protests targeting ward local councilors and municipal councils (Fine and Narushe, 2009:1).

It is proposed for the purpose of this study that the change to democracy and the transformation away from a centralised autocratic system dominating local government from above, places more responsibility on local governments to govern efficiently and effectively for satisfying the most basic needs of the people in their municipalities.

Alfred Nzo District Municipality, formerly the Wild Coast District Council is a Category C municipality in the northern eastern side of the province of the Eastern Cape and

stretches from the Drakensberg Mountains, borders Lesotho in the north, Sisonke District Municipality in the East and O.R Tambo District Municipality in the south. Alfred Nzo municipality is made up of four local municipalities, namely: Matatiele, Mbizana, Umzimvubu and Ntabankulu. The municipality comprises of 102 wards. It is one of the poorest municipalities in the Eastern Cape Province with a huge backlog in service delivery. It is characterized by unemployment and poverty. The Alfred Nzo District has a total population of 900 491 which accounts for 14 % of the Eastern Cape Provincial population (ANDM, IDP 2014).

The Constitution of the Republic of South Africa, 1996, in section 153 sets out the objectives of Local Government and provides that municipalities have a developmental duty which entails structuring and managing their budget, administration and planning processes in a manner that prioritizes the basic needs of their communities whilst promoting social and economic development within their communities. Chapter 3 of the 1996 Constitution deals with cooperative governance which is essential to the fulfillment of the objectives given that these objectives encompass a wider spectrum than the functional areas of municipalities.

Section 152 further mandates the municipalities to strive to achieve the following objectives:-

- a) To provide democratic and accountable government for local communities;
- b) To ensure provision of services to communities in a sustainable manner;
- c) To promote a safe and healthy environment; and
- d) To encourage the involvement of communities and community organizations in the matters of local government (<http://www.municipalities.co.za/districts/>).

Gildenhuys (1997: 2) is of the view that District Councils have been created for country areas. Boundaries have been changed including new representation in the form of new councilors often without previous experience of local government matters. Priorities have also undergone a change. All of these changes have created a significant challenge for the new councils, their chief executive officers and management teams and municipal staff. A major challenge facing local government is the efficient and effective delivery of services to satisfy the basic needs of the public.

This requires efficient and effective local government institutions, both at the political and administrative levels.

The basic premise of democracy is that citizens should participate in matters concerning the government and administration of their cities and participate in the decision-making processes (Van Der Waldt, 2002:12). Whilst it is difficult to involve citizens in government affairs at a national level, it is easier to do so at the local sphere of government, where citizens can participate in public meetings on matters such as Integrated Development Planning and local economic development. Conflict exist because of the increase in community needs and demands which cannot always be satisfied because of the competition for decreasing or limited financial resources, which will always be present in the public sector (<http://www.developmentinpractice.org/journals>). Public financial decision-making attempts to achieve a satisfactory solution to this conflict, by promoting the equitable sharing of scarce resources as well as the redistribution of the tax burden to citizens appears to not always have been possible or successful (Van Der Waldt, 2002:12-13).

### **1.2.1 Key Research Questions**

For purposes of this research the following key research questions are proposed:

- Who are the role players in the service delivery protests?
- What is the impact of service delivery protests in the Alfred Nzo District Municipality?
- Are the participants in these protests politically motivated?
- Is the IDP informed by the needs of the community serviced by the ANDM?
- Is Intergovernmental Relations (IGR) an effective tool to ensure a synchronized way of delivering basic needs to communities falling under the jurisdiction of the ANDM?
- What measures have been adopted by the ANDM to ensure effective community consultation and participation?
- Are there any challenges that could prevent the ANDM from fulfilling its Constitutional mandate pertaining to basic service delivery?
- What are the main causes for service delivery protests?

### **1.3 AIMS OF THE STUDY**

The primary aim of this study is to evaluate the causes of protests related to service delivery and establish whether they have positively or negatively influenced the Alfred Nzo District municipality's fast-tracking service delivery programme in the area. The study is based on, *inter alia*, legislative prescriptions pertaining to local government which state that municipalities have a responsibility to render basic services such as clean water, sanitation, housing, roads, safety and electricity provision. When municipalities do not provide these basic human needs then communities often resort to protests with violent behavior to vent their frustrations and convey their dissatisfaction.

It is proposed that the findings from this research could be useful in terms of:-

- Improving the effectiveness and efficiency of municipal administration and public participation in the delivering of basic services;
- Establish whether there are any "third force" factors behind the service delivery protests;
- Improving the coordination between the sector departments and the municipality through IGR and IDP's;
- Improve community perceptions towards the municipality; and
- Minimizing the current violent factor in many service delivery protest actions.

### **1.4 OBJECTIVES OF THE STUDY**

The primary objective of this research is to investigate and evaluate the main causes for community dissatisfaction regarding service delivery levels by the Alfred Nzo District Municipality. It is envisaged that the findings from this study could contribute positively towards developing measures to ensure that the municipality fulfills its mandate as stated in, *inter alia*, the Local Government: Municipal Systems Act 32 of 2000.

The secondary objectives pertaining to this study are presented as follows:



- To determine the role played by the ANDM in providing basic services and promoting Local Economic Development (LED) to its communities;
- To investigate if there are factors that may be hindering effective implementation of current municipal policies pertaining to service delivery; and
- To identify measures that could be implemented by the ANDM to enhance service delivery to possibly avoid protests action and civil unrest.

The study will include an analysis of the Alfred Nzo District Municipality and its institutional arrangements and establish whether they are conducive to promoting community participation to avoid future unrest and conflict. At community level the study aims to identify and analyze the causes, impact and role-players in protest actions. The research will investigate the level of service delivery unrests by:

- Exploring the municipality's conceptualization of protests as well as its perceptions by evaluation of customer complaints, Presidential Hotline complaints, petitions, Integrated Development Plans and Intergovernmental Relations;
- Identifying the gaps in legislation governing service delivery methods;
- Identifying the sources of conflict between the Alfred Nzo District Municipality and its communities;
- Identifying any challenges pertaining to capacity requirements of the political and administrative leadership in terms of the municipal frameworks; and
- Suggesting recommendations on various issues pertaining to community participation which might emerge from this study and be relevant.

## **1.5 RATIONALE FOR THE STUDY**

The 1996 Constitution imposes strict requirements for democratic policy determination and decision-making. With South Africa being a democratic country, the requirements for public accountability, transparency and representativeness have to be adhered to. These principles must be carried through in public financial management and they require that communities must be consulted in the financial decision-making processes at all levels. The basic premise of democracy is that citizens should participate in matters concerning their governing and the administration of their cities and participate in the decision-making processes (Van Der Waldt, 2002:12)

The researcher became interested in the topic under discussion because of the increase in basic service delivery protest actions that appear to be widespread throughout the country and the Eastern Cape Province. The current democratically elected government encourages local government structures to involve communities in all developmental processes and prescriptions contained in the Local Government: Municipal Systems Act 32 of 2000 and the Local Government: Municipal Structures Act 117 of 1998 are of particular importance in this regard. The causes of service delivery protests and the subsequent impact on safety and existing infrastructure is a cause for concern. The researcher seeks to establish the reasons behind the protest actions and to investigate the role played by the Alfred Nzo District Municipality in encouraging public participation strategies.

## **1.6 RESEARCH DESIGN AND METHODOLOGY**

### **1.6.1 Research Design**

The research design chosen will be both participatory and descriptive in nature. A research design involves deciding not only how many people will be used as subjects (sample) but also what particular characteristics should be considered and under which circumstances the data will be collected.

According to Babbie (2001:112), a research design involves a set of decisions regarding a topic to be studied, population it will be studied on, and the research methods and purpose of embarking on the research. It is a plan to meet the research objectives. The decision on how many subjects are to be used and the environments the research will be carried in is of particular importance. Bless (2006: 71) agrees that research design relates directly to the testing of a hypothesis. The function of a research design is to ensure that the evidence obtained enables the researcher to answer the initial question as unambiguously as possible. Mouton (1996:107) describes a research design as a route planner. It is a set of guidelines and instructions on how to reach the goals that have been set.

Research designs have two essential components. The first is observation. At some point in every research project the researcher must observe and measure the possible variations in the different variables involved in the research (Bless, 2006:75).

### 1.6.2 Research Method

The researcher deems focus group interviews to be the most appropriate method for purposes of data collection, for purposes of this study. The researcher is interested in understanding the perceptions of selected ward councilors and their respective ward committee members. Unlike in quantitative research, which is concerned with objectively measurable variables, qualitative research seeks to build a narrative about the issue and qualitative research further tries to understand the reasons why something is the way it is (<http://smallbusiness.chron.com/examples-qualitative-research-strategies-10244.html>). In terms of this study the researcher wishes to understand the reasons behind the service delivery protest actions affecting the Alfred Nzo District Municipality.

The basic qualitative research characteristics are:-

- Design is generally based on a social construction perspective;
- Research problems become research questions based on other prior research experiences;
- Sample sizes are quite small; and
- Data collection involves interviews, observations and / or archival (content) data (<http://researchrundowns.wordpress.com/qual/qualitative-research-design/>).

Methodology includes the following concepts as they relate to a particular discipline or field of study: a collection of theories, concepts or ideas; a comparative study of different approaches and critique of the individual methods (Creswell, 2005:37).

The researcher will employ the qualitative research approach. De Vos (1998: 38) defines a qualitative approach as useful when one wants to obtain a picture of the real practical situation. Through qualitative research, detailed, and often more valid information can be gathered not the least when the goal of the study is to explore people's experiences, practices, values and attitudes in depth and establish the meaning for the concerned.

Bless (2006:44) agrees that research which is qualitative in nature speaks to information that cannot be adequately recorded using quantitative data. In many cases

language provides a far more sensitive and meaningful way of recording human experience. In these cases, words and sentences are used to qualify and record information about the world.

The intention of the researcher is, therefore, to gather information from the key respondents and build a picture based on their responses and experiences, so there is a need for the interaction between the researcher and the respondents while their right to remain anonymous will be respected and maintained.

### **1.6.3 Data Collection Instrument**

#### **1.6.3.1 Sampling**

Bless (2006:98) defines sampling as the study of the population with the samples drawn from it, the subset of the whole population which is actually investigated by a researcher and whose characteristics will be generalized to the entire population. Bless (2006: 99) further states that it as the practical way of collecting data when the population is infinite or extremely large, thus making a study of all its elements impossible. Mouton (1996:110) agrees that during the process of sampling the aim is to obtain a sample that is as representative as possible of the target population. Representativeness is the underlying epistemic criterion of a “valid”, that is, unbiased sample. The researcher envisages using secondary and primary sources of data. Data collection for this study will vary according to the sources of data that are available. The primary data will be collected through focus-group interviews with selected ward committee members from each of the four local municipalities falling under the jurisdiction of Alfred Nzo District Municipality.

For purposes of this study, it has been established that there are forty ward committees in Alfred Nzo District Municipality. Ten will be interviewed from each municipality as they are directly involved with their communities. The participations will be able to provide information on their knowledge and experiences related to the topic under investigation in order to gain an in-depth understanding of the service delivery protests, the cause and effect, and more importantly, the role of the district municipality in ensuring that the needs of communities are met.

#### **1.6.4 Focus Group Interviews**

The researcher will interact with the participants in a natural and unobtrusive way to avoid influencing the results. The researcher will engage the following data collection strategy: focus group interviews. According to Bickman and Rog (1998: 11) a credible research design is one that maximizes validity, provides a clear explanation of the phenomenon under study and controls all possible biases or confounds that could cloud or distort research findings. The qualitative approach will be employed as the researcher intends to obtain detailed and “rich” information or data of the actual situations in the selected schools through the sample groups. Interviews will be held with the ward committee members to understand the situation correctly from their perspective

When qualitative research takes the form of an interview, the interviewer will ask open-ended questions. To reduce the risk of possible researcher’s bias, a qualitative research method using focus group interviews is considered by many scholars to be the most appropriate. Four meetings will be arranged to meet and conduct interviews with ten from each local municipality under Alfred Nzo District Municipality. In a focus group setting, several people are interviewed at once to gain their opinions on a particular subject.

#### **1.7 RESEARCH HYPOTHESIS**

The following hypothesis is proposed for purposes of this study:-

- That there is a correlation between the level of public participation and service delivery protest actions by communities falling under the jurisdiction of the ANDM

The following sub-hypothesis is proposed for purposes of this study:-

- That there is a further correlation between the lack of skills and financial capacity of the municipality and the increase in basic service delivery protest actions.

## **1.8 LIMITATIONS OF STUDY**

It is possible that there may be some limitations and difficulties as not all of the participants may be available for interviews because of the political commitments and reluctance by certain participants to answer the questions pertaining to their political heads and municipalities.

## **1.9 DELIMITATION OF THE STUDY**

The study will be limited to an investigation on the causes for service delivery protest actions and the impact on basic service delivery with specific reference to the Alfred Nzo District Municipality in the Province of the Eastern Cape.

## **1.10 LITERATURE REVIEW**

An overview of the existing literature regarding basic service delivery protest actions is essential to identify the gaps addressed by the research. A survey of literature pertaining to service delivery protest actions will be undertaken by the researcher from previous research, internet sources, journals, legislation and applicable literature. Neuman (2000:446) lists the goals of a literature reviews as follows:

- *To demonstrate a familiarity with a body of knowledge and establish credibility.* A review tells a reader that the researcher knows the research in an area and knows the major issues. A good review increases a reader's confidence in the researcher's professional competence, ability and background.
- *To show the path of prior research and how a current project is linked to it.* A review outlines the direction of research on a question and shows the development of knowledge. A good review should place a research project in a context and demonstrates its relevance by making connections to a body of knowledge.
- *To integrate and summarize what is known in an area.* A review pulls together and synthesizes different results. A good review points out areas where prior studies agree, where they disagree, and where major questions remain. It collects what is known up to a point in time and indicates the direction for future research.
- *To learn from others and stimulate new ideas.* A review tells what others have found so that a researcher can benefit from the efforts of others. A good review

identifies blind alleys and suggests hypothesis for replication. It divulges procedures, techniques, and research designs worth copying so that a researcher can better focus hypotheses and gain new insights.

Service delivery protest actions refer to community action through which the residents of an area decide to voice their dissatisfaction with the manner and scale at which public services are rendered to them. These protests could be either peaceful or violent (Craythorne, 1996:198).

When the ANC government was elected to power after the April 1994 elections, one of its challenges was to deliver equitable services to all South Africans. Understandably, the process would take some years (Twala 2014:159). The “new” Constitution of South Africa which was adopted in 1996, guarantees basic human rights and democratic governance and prescribes the need for the efficient delivery of services. In all its election promises and manifestos during the electioneering period, the ANC used the slogan of “A better life for all” as its trump card to win the election (Twala 2014:160). Along with other such statements, this slogan indicated a keen interest from the ANC to deliver services, particularly to the poor. Political campaign manifestos after 1994 created expectations as politicians made promises most likely to satisfy voters during each new campaign. In so doing, the politicians raised the public’s expectations. In some cases understood to be creating false perceptions that, following the elections, communities would receive the services promised. Once these promises services were not delivered, communities began to panic and resort to protest (Managa 2012:2)

The Alfred Nzo Municipality (ISD Guidelines of 2010) states that infrastructure development without the involvement of communities is a futile exercise as the communities do not have ownership of the projects. The Institutional and Social Development Unit (ISD) serves in most District municipalities as a unit that is responsible for facilitating strategies to ensure that communities are informed of the developments envisaged by their respective municipalities before the beginning of the project until it is concluded. The ISD remains responsible for community participation even long after the completion of the project (ANDM ISD Guidelines of 2010)

In terms of prescriptions contained in the White Paper on Local Government (1998: 25), municipal councils play a pivotal role in promoting local democracy. In addition to representing community interests within the council, municipal councillors should promote the involvement of citizens and community groups in the design and delivery of municipal programmes. Municipalities need to be aware of the divisions within local communities, and should find ways to promote participation of marginalised and excluded groups in community processes (White Paper on Local Government, 1998: 25-26).

A large part of the problem sparking protests has been poor communication between representatives of communities, essentially the task of ward councillors and local officials. The reason for this is partly pragmatic- informal settlements contain neither the number of registered voters nor the local branch lobbying strength of more formalised areas, but also because the fluidity of informal settlements is such that they do not necessarily present themselves as organised communities with representative leaders.

In thruth, including communities from informal settlements in local governance and planning processes requires far more work than in other more formal areas ([http://www.municipaliq.co.za/publications/articles/sunday\\_indep.pdf](http://www.municipaliq.co.za/publications/articles/sunday_indep.pdf)).

On 3 December 2009, the Department of Cooperative Governance and Traditional Affairs tabled a proposal to Cabinet concerning the Local Government Turnaround Strategy (LGTAS). The Strategy, which was the adopted by Cabinet, identified the following root causes of municipal problems:



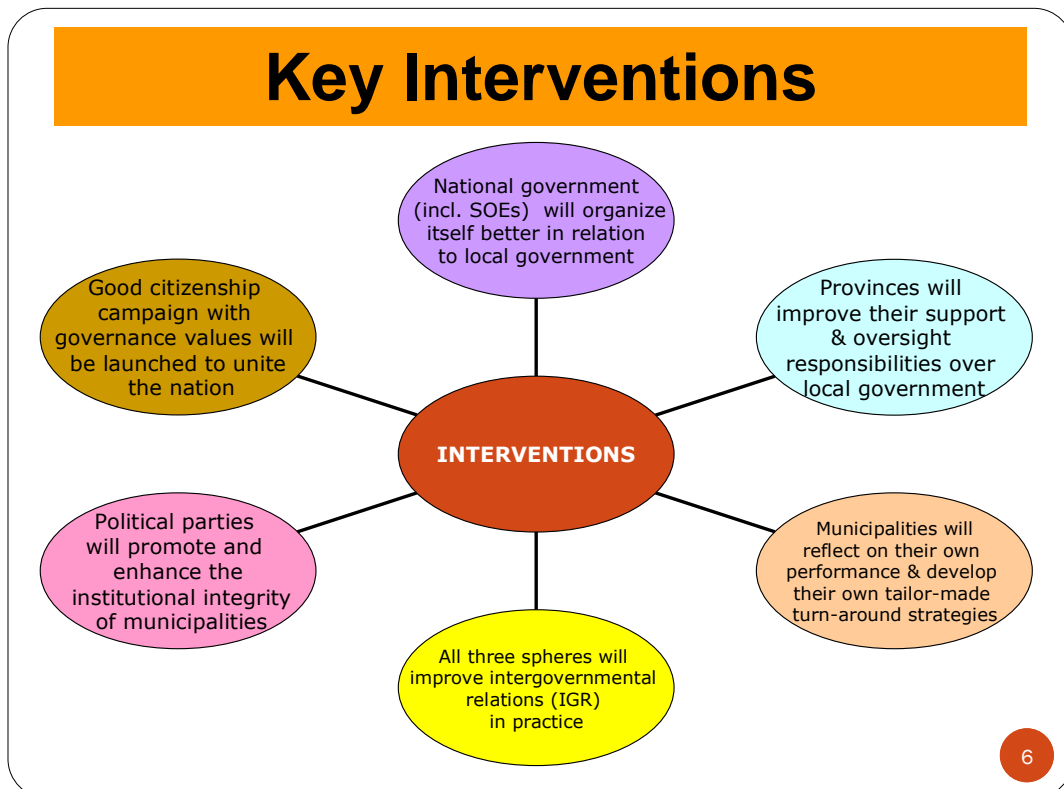
## Root Causes of Municipal Problems

<b>Systemic Factors</b> (two tier system; limited revenue base; demarcation)
<b>Legislative Factors</b> (inappropriate legislation; over- and under-regulation)
<b>Political factors</b> (inter- and intra-political conflicts and polarisation)
<b>Accountability Systems</b> (lack of performance management systems; poor oversight; poor community participation mechanisms)
<b>Capacity &amp; Skills</b> (lack of capacity in small & rural municipalities)
<b>IGR support &amp; oversight</b> (fragmented national and provincial support; weak oversight)
<b>Intergovernmental Fiscal Regime</b> (poor grant design & limited impact; grant dependency)

4

**Figure 1.2: Root causes for municipal problems - Cabinet Report dated 3 December 2009.**

During the said Cabinet meeting, a number of key interventions were mooted to address the current root causes of service delivery protests. These interventions are indicated in Figure 3 below and which will be analysed and discussed later in the study.



**Figure 1.3: Proposed key interventions to address municipality problems- Cabinet Report dated 3 December 2009.**

One of the root causes of service delivery protests identified by the LGTAS is weak, fragmented national and provincial support. It could, therefore, be argued that, if proven, this could be an indication that Chapter 3 of the Constitution of the Republic of South Africa, 1996, is yet to be given full effect with respect to matters of interdependency and interrelation between the three spheres of government.

In preparation for the study, the researcher has undertaken a review of relevant books, academic journals articles, research reports, government publications, legislations and internet sources to capture the existing material on the subject of service delivery protests.

### **1.11 ETHICAL CONSIDERATIONS**

A major ethical issue in research is the invasion of privacy. Therefore, the researcher will assure anonymity and confidentiality of the information provided. The names of participants will not be revealed and their identity will remain anonymous. Respondents may decide when and to whom to reveal their personal information if so

desired. The researcher will treat all respondents with dignity in an effort to reduce anxiety or discomfort. The researcher will further inform all respondents that he/she has a right to withdraw at any point during the research process without any negative consequences.

Given that most people who conduct social research are genuinely concerned about others, the question arises why a researcher may act in an ethically irresponsible manner. Unethical behavior results from a lack of awareness and pressures on researchers to take ethical shortcuts. Researchers face pressures such as publishing, advancing knowledge and gaining prestige. Ethical research takes longer to complete, costs more money, is more complicated, and is more likely to be terminated before completion. There are a few rewards available for ethical research. The unethical researcher, if caught, faces public humiliation, a ruined career, and possible legal action, but the ethical researcher wins no praise (Neuman, 2000; 90).

Creswell (2009:87) advises that in addition to conceptualising the process for a proposal, researchers need to anticipate the ethical issues that may arise during their studies. Research does involve collecting data from people, about people. Researchers need to protect their research participants; develop a trust with them; promote the integrity of research; guard against misconduct and impropriety that might reflect on their organizations or institutions; and cope with new challenging problems. Ethical questions are apparent today in such issues as personal disclosure, authenticity and credibility of the research report, the role of researchers in cross-cultural contexts, and issues of personal privacy( Creswell 2009:87).

Blanche (2006:61) proposes that the ethical view is increasingly becoming mandatory for social science research globally. In South Africa, most leading universities require that all social science research involving human participants be reviewed by an independent research ethics committee before data collection commence. Similarly, many editors of leading international and local social science journals require authors to furnish proof of ethics approval before a research article will be considered for publication.

## 1.12 OVERVIEW OF CHAPTERS

This treatise will be structured as follows:

**CHAPTER ONE:** This chapter is the introductory chapter and will explain the background to the study, the problem statement and research methodology to be employed. This chapter will also review the primary research objectives and research question.

**CHAPTER TWO:** This chapter will introduce the literature that informed the study. It will provide the theoretical background on community participation and will provide a brief overview of theories put forward as a means to understand community development and what could cause unrests.

**CHAPTER THREE:** This chapter will review research methodologies with emphasis on the methodology employed for the purposes of the study.

**CHAPTER FOUR:** An analysis on the collected data by way of the literature review and empirical survey will be undertaken in this chapter.

**CHAPTER FIVE:** This chapter will present recommendations emanating from the study and will also include the conclusion.

## CHAPTER 2

### THEORETICAL OVERVIEW OF SERVICE DELIVERY PROTEST ACTION

#### 2.1 INTRODUCTION

In South Africa the phenomenon of violent confrontation against poor service delivery has become problematic over the past several years, with the Institute for Security Studies (2011:1) reporting one of the highest rates of public protests in the world. Numerous concerns have been recorded, many of which have been categorised as service delivery protests against local authorities (Parliament of RSA, 2009:02). This form of protest is regarded as a socio-economic phenomenon driven by extreme poverty and inequality, and has become increasingly violent.

This study focuses on the Alfred Nzo District Municipality as a case study and the researcher has also reviewed the legislative framework that pertains to the local sphere of government in South Africa, specifically in terms of service delivery. Policies that guide public participation strategies and how complaints are tabled by municipalities, have also been discussed. The reasons behind the protest actions in Alfred Nzo District Municipality and the consequences thereof, have also been briefly reviewed.

#### 2.2 THE LEGISLATIVE FRAMEWORK

A municipality is defined in Section 1 of the *Local Government: Municipal Systems Act 32 of 2000* as a geographic area whose inhabitants are incorporated. Section 178 of the *1993 Interim Constitution Act 200 of 1993* provided that local government conducts its administrative and financial affairs along the sound principles of public administration, good governance and public accountability. Local government must therefore be structured and adjusted to meet the dictates of *Chapter 3 of the Bill Of Rights*, as contained in the Constitution of the Republic of South Africa, 1996. The Constitution of 1996 assigns these responsibilities to local government and its officials (Gutto 1996:91). The Batho Pele (*People First*) principles were developed to serve as acceptable policy and legislative framework regarding service delivery in the public

service. These principles are aligned with the Constitutional ideals of (<http://www.musina.gov.za>):

- Promoting and maintaining the high standards of professional ethics;
- Providing services impartially, fairly, equitably and without bias;
- Utilising resources efficiently and effectively;
- Responding to people's needs, the citizens are encouraged to participate in policy making; and
- Rendering an accountable, transparent and development oriented local government.

In terms of the *White Paper on Local Government* (1998: 3) municipalities must be guided by the following principles in choosing delivery options for their municipalities:-

- *Accessibility to services*: - municipalities need to ensure that all citizens, regardless of race, gender or sexual orientation have access to at least a minimum level of service.
- *Affordability of Services*: - The services offered by local government must be accessible and within reach by the users, that is, communities. One cannot separate accessibility from affordability as these are interdependent.
- *Quality of Products and Services*: - The quality refers to the attributes such as suitability for purpose of timeliness, convenience, safety, continuity and responsiveness to service users.
- *Accountability for services rendered*: - Regardless of the delivery mechanisms used, municipal councils remain accountable for ensuring the provision of quality services which are affordable and accessible.
- *Integrated Development and Services*: - Municipalities should use an integrated approach to planning through the IDP Outreach Programmes and ensure provision of municipal services.
- *Sustainability of Services*: - Continuous and enduring service provision depends on financial and organisational systems which support sustainability. This involves financial, environmental and social just use of municipal resources.
- *Value for Money*: - This principle requires that the best possible use is made of municipal resources to ensure access to affordable and sustainable services.

- Ensuring and promoting competitiveness of local commerce and industry.
- *Promoting democracy*: - Local government administration must promote the democratic values and principles enshrined in the 1996 Constitution.

*Section 224 of the Local Government: Municipal Structures Act 117 of 1998* is a primary piece of legislation for municipalities which recognises municipalities as responsible local governments. The Act balances autonomy and flexibility with requirements for improved accountability and transparency of municipal operations. This Act further outlines the role of the municipalities as follows:-

- To represent the public and to consider the well-being and interests of the municipality.
- To develop and evaluate the policies and programmes of the municipality.
- To determine which services the municipality provides.
- To ensure that administrative policies, practices and procedure and controllership policies, practices and procedures are in place to implement the decisions of the council.
- To maintain the financial integrity of the municipality.
- To carry out the duties of council under this or any other Act.

Various government legislation positions the local sphere as a critical agent in social development, economic growth, integrated planning and service delivery. For the local sphere to fulfil this mandate effectively, consultative, democratic, integrated, participatory and developmental communication becomes central to the developmental agenda of local government (<http://www.etu.org.za/toolbox/docs/localgov/webdevlocgov.html>). A number of legislative prescriptions, particularly those that have a direct bearing on public participation, integration and coordination, have been taken into cognisance. Among such Acts are the *Promotion of Access to Information Act 2 of 2000*, the *Local Government: Municipal Systems Act 32 of 2000*, the *Local Government: Municipal Structures Act 117 of 1998* and the *Intergovernmental Relations Framework Act of 2005*.

## 2.3 BACKGROUND TO THE ALFRED NZO DISTRICT MUNICIPALITY

The Alfred Nzo District Municipality, formerly the Wild Coast District Municipality, is located in the north-eastern side of the Province of the Eastern Cape and stretches from the Drakensberg Mountains, borders Lesotho in the North, Sisonke District Municipality in the East and O. R Tambo District Municipality in the South.

As guided by Section 84 of the *Local Government: Municipal Structures Act* 117 of 1998, municipalities are divided into different categories according to their different sizes. ANDM is a *Category C* type of a rural municipality which is made up of four local municipalities that have come together to form a district municipality. The population of ANDM is estimated to be 801344 and it accounts approximately 12, 2% for the provincial population of the Eastern Cape. The district is made up of 102 wards.

**Table 2.1: The KM<sup>2</sup> and % of each local municipality that make up ANDM**

Municipality	Area KM <sup>2</sup>	Percentage of the District Area
Matatiele Local Municipality	4352	39 %
Umzimvubu Local Municipality	2506	23%
Ntabankulu Local Municipality	1455	13%
Mbizana Local Municipality	2806	25%
ANDM	11119	100%

The municipality coordinates development and delivery in the whole municipality and falls under a council. The council of ANDM comprises of two categories of councillors:-

*Elected Councillors*: those elected for the district council on a proportional representation ballot by all voters in the area (40% of the district councillors) and *Councillors who represent the local Municipalities in the area*: who are local councillors sent by their councils to represent them in the district council (60% of the district councillors).



The ANDM administration is headed by the Municipal Manager who is the accounting officer in terms of the *Local Government: Municipal Systems Act 32 of 2000*.

In terms of Section 84 of the *Municipal Structures Act 117 of 1998*, municipalities are divided into different categories and as such municipalities are entrusted with different powers and functions. In the case of ANDM, amongst others, it is entrusted with the following powers and functions:-

- Integrated Development Planning for the district as a whole including the Framework Plan for IDP's for Matatiele, Umzimvubu, Ntabankulu and Mbizana local municipalities within the ANDM's area of jurisdiction.
- The district municipality is a Water Services Authority and therefore provides bulk and Portable water supply as well as rural and urban sanitation.
- Municipal Health Services serving the district as a whole.
- Fire and Rescue Services as well as Disaster Risk Management in each of the local municipalities within the whole district.
- The implementation of the Expanded Public Works Programme.
- Environmental Management in the district.
- Financial Management and revenue collection through services it renders to urban communities, businesses and government departments.
- Promotion of Local Economic Development in the district as a whole.
- Provision of both capacity and financial support to local municipalities within its jurisdiction.
- Coordination of Special Programmes.
- Management of a Thusong Centre.
- Coordination of Sports, Arts, Recreation and Culture.

The ANDM is both a Water Services Authority (WSA) and a Water Services Provider (WSP) for its entire area of jurisdiction (Matatiele, Mbizana, Ntabankulu and Umzimvubu Local Municipalities).

## **2.4 THE ANDM DISTRICT CHALLENGES**

The *ANDM IDP Report 2015/16* identifies the socio-economic and service delivery challenges of the municipality as follows:

- High levels of unemployment and low income levels (30% employed and 70 % not employed or not economically active);
- High levels of poverty as a result of unemployment (over 40% of the population);
- High dependency levels on government social grants;
- Old infrastructure and high maintenance costs; and
- High number of household categorised as indigents.

Wilson (1987:15) agrees that a lack of available jobs close to where the disadvantaged unemployed workers live, or spatial mismatch contributes to long durations of joblessness, in part because social networks become largely populated by other jobless workers. Persistent joblessness for men is then linked to breakdowns in traditional family arrangements, increased use of public assistance and high crime. As long-term unemployment becomes more concentrated, the neighbourhood becomes a source of persistent poverty (Wilson,1987:15-16).

For the last four years ANDM has been struggling with the “service delivery hotspots”, of Matatiele Local Municipality and Mbizana Local Municipality. These residents occupy the biggest km<sup>2</sup> (Matatiele at 4352, and Mbizana at 2806 km<sup>2</sup>) and have the largest populations in ANDM. These municipalities have high rates of unemployment due to the high number of young people who reside there, and are referred to as semi-urban, because of the number of townships they have and are expected by the district to pay rates for the services of water and sanitation they are rendered (*ANDM Customer Care Survey 2015/16*).

Unemployment impacts on an individual’s ability to meet basic needs such as food, shelter, clothing and education, as well as one’s access to basic services such as water supply, sanitation and electricity, since the unemployed are less able to afford those services. The sustainable provision of these services depends, amongst other things, on the ability of users of services to pay for the services rendered by municipalities but the question that remains: how that can be afforded by an unemployed person (Jili, 2012:58).

Davids (2009:40) suggests that employment is seen as serving the multi functions of providing an income, conferring social legitimacy and granting the individual access to full citizenship rights - in other words, inclusion in the system. Unemployment may lead

to the unemployed viewing themselves as excluded from participation in government. Indicators of social exclusion emphasise political, social, and economic components of poverty and inequality.

#### **2.4.1 Issues Related to Structural Set-Up of Municipalities and Demarcation**

The Matatiele Local Municipality is one of the municipalities which has requested government to re-demarcate it into the Kwazulu Natal Province since 2002. The request has been turned down by the demarcation board (*ANDM IDP Report 2015/16*). According to the Department of Provincial and Local Government (DPLG 2008), communities can be involved in the demarcation process in three ways:

- Members of communities may respond to invitations by the Board to submit written representations on how boundaries in their area should be drawn;
- If the Demarcation Board decides to hold a public meeting to discuss boundaries; members of the public can air their views; and
- Any member of a community can object to the demarcation of a municipal boundary or the delimitation of a ward. The Board must take account of the objection and respond to the person.

It is the responsibility of municipalities to ensure that all community members participate, particularly those who are illiterate or who cannot transport themselves to a public meeting.

The community of Mpharane, in Matatiele, went as far as rejecting any participation in the ANDM Mayoral Outreach IDP's for 2015/16.

The area of Mbizana was "inherited" from the O.R Tambo District municipality, after the demarcation process following the local elections of 2010, and the residents feel that most infrastructure has already been developed by the Umzimvubu Local Municipality, which has always been part of Alfred Nzo District Municipality. The residents further feel that they have been ignored for too long by the O R. Tambo District Municipality and should be a priority for the District Municipality (*ANDM Survey Report 2015/16*).

While the community of Mbizana appreciate the fast tracking of construction of the pit toilets, they are complaining about the lack of water in their townships and rural locations, and sanitation in the town. Unemployment is also a challenge for the youth of this area. These have been the main causes for the dissatisfaction with the District Municipality (ANDM Survey Report 2015/16).

## **2.5 THE GATHERINGS ACT 205 OF 1993**

Section 17 of the *Regulation of Gatherings Act 205 of 1993* stipulates that every person has a right, peacefully, and unarmed, to assemble, to demonstrate, to picket and to present petitions. The regulation continues to say that every person has a right to assemble with other persons and to express their views on any matter freely in public and enjoy the protection of the State while doing so.

The violent developments associated with poor delivery of social services are a reawakening call to the authorities as well as an indication of frustration levels of communities. Communities can become destructive if local government councillors and political parties continue to ignore the needs of the people (ANDM Customer Care Survey 2015/16).

There is, according to a report on South African Local Government (<http://www.econimicswebsinstitute.org/essays/communityneeds.html>), little evidence that local government institutions are serious about responding to people's challenges once they have been expressed and there is a risk of creating a local government system that is not adequately responding to community needs. One of the key problems appears to be the poor communication between municipalities and local communities. Despite the outbreak of service delivery protests, this process remains poorly governed in the absence of appropriate structures and it compels one to quickly suggest that municipalities have learnt nothing and have forgotten everything (ANDM Customer Care Survey 2015/16).

Amongst the many causes of protests, the study will unpack the causes of community dissent, which is an indication of widespread frustration with the socio-political situation. The ANDM is one of the municipalities which has experienced a fair share of violent protest actions. *The White Paper on Local Government, 1998*, acknowledges

the fact that local government is the sphere of government that interacts closest with communities and is responsible for the rendering of essential public goods and services to residents. It is tasked with ensuring the growth and development of communities in a manner that enhances community participation and accountability.

Shaidi (2013:88) states that in terms of Section 4.1 of the *White Paper on Local Government*, 1998, municipalities all over the world face the challenge of managing viable and environmentally sustainable urban and rural systems, while South Africa faces the following challenges:-

- Skewed settlement patterns, which lead to a difficulty for infrastructure to take place;
- Extreme contradictions of taxable economic resources in formally white areas demanding redistribution between and within local areas;
- Huge backlogs in service delivery infrastructure in historically underdeveloped areas, requiring municipal expenditure far in excess of the revenue currently available within the local government system;
- Creating viable municipal institutions for dense rural settlements close to the borders of former homeland areas, which generally possess large populations with minimal access to services, and little or no economic base;
- Great spatial separations and disparities between towns and townships and urban sprawl, which increase service provision and transport costs enormously;
- Creating municipal institutions that recognise the linkages between urban and rural settlements;
- Entrenched modes of decision making administration and delivery inherited from municipalities geared for the implementation of urban and rural apartheid;
- Inability to leverage private sector resources for development, due to the breakdown in the relationship between capital markets and municipalities, the lack of a municipal bond market, and the poor credit worthiness of many municipalities;
- Substantial variations in capacity, with some municipalities having little or no pre-existing institutional foundations to build on; and
- The need to rebuild relations between municipalities and the local communities they serve.

Citizens and communities are concerned about issues such as the environment in which they live, access to services and economic opportunities, mobility, safety, pollution and proximity to social and recreational facilities (Shaidi, 2013:89). In this regard, Section B (2) of the *White Paper on Local Government, 1998*, sets out four desired outcomes, namely: the provision of infrastructure and services; the creation of liveable, integrated cities, towns and rural areas; local economic development and community empowerment and redistribution.

## **2.6 SERVICE DELIVERY AND THE LOCAL GOVERNMENT CONTEXT**

Mbazira (2013:253) states that one of the key features which define service delivery in many countries is decentralisation and the systems of local government. Decentralisation could be understood as the assignment of fiscal, political and administrative responsibilities by the central government to lower level governments, characterised by delegation and devolution.

Municipalities form part of the local government third sphere, and they are considered to be the government closest to communities. However, the inadequate pace of service delivery by many municipalities has resulted in growing impatience and dissatisfaction, particularly in rural communities with poor households like those of ANDM, and that has been demonstrated by the number of protests and unrest across South Africa (ANDM IDP Report 2015/16). It is imperative that any study which focuses on the protests should examine the fundamental grounds for these protests.

Seekings (2000:354) states that there are grounds for tracing service delivery protests back to the former apartheid era. Cloete (1997: 46) agrees that a race- based municipal dispensation and unequal access and provision of services and resources to local inhabitants have for many decades been part of South African constitutional history. Allan (2011:10) proposes that this may be caused by the previous system of government, which had rigid policies pertaining to protest actions.

## **2.7 PROTESTS AS A MECHANISM TO REACH OUT TO MUNICIPAL AND GOVERNMENT AUTHORITIES**

Behind every protest there is a necessity that needs to be addressed, whether the community needs the powers-that-be to listen to their pleas or whether they actually feel neglected. The protests will mostly occur as a strategy or mechanism to address whatever they deem has not been taken seriously (Booyesen,2007:21).

Atkinson (2007:63) observes that at the municipal sphere protesters have regularly complained about the unresponsiveness of officials and councillors. Channels of communication between municipal mayors and councillors are usually blocked in many instances.

Most local government systems are designed in such a manner that local autonomy is exercised within the framework of standards set by national legislation and policy. Examples in the case of South Africa are policies that define minimum levels of services such as water, which all municipalities are under duty to implement. Additionally, the democracy-related advantages of decentralisation are based on the assumption that the local citizens will always have an influence on decisions made by their local government institutions. Evidence from many parts of the world, however, suggests that local authorities have largely failed to move beyond mere consultation to engaging the poor and taking into account their needs in decision-making (Mbazira, 2013:254).

Booyesen (2007:21) agrees that it is the nature of command and control in South Africa because the politics of service delivery in South Africa is both a top-down and a bottom-up process. From the top-down perspectives, the government determines policy frameworks and mechanisms of implementation, sets budgets and interprets mandates. Bottom-up perspectives illuminate the struggles of ordinary people for service delivery. Service recipients struggle to make their voices heard in the corridors of power that meander from local municipalities upwards into the emporiums of provincial premiers and the circuit of national task teams and presidential think-tanks (Booyesen, 2007:21).

Atkinson (2007:64) states that a large part of the problem sparking protests has been poor communication between representatives of communities, essentially the task of ward councillors and local officials. The *Municipal Systems Act 32 of 2000* introduced the process of municipal planning for district and local municipalities and the Integrated Development Process, through which IDPs are developed. Bottom-up participatory or Community Based Planning (CBP) is a way of identifying locally appropriate poverty reduction interventions, and to contribute to the IDPs (ANDM IDP Report 2015/16).

## **2.8 LACK OF ACCOUNTABILITY SYSTEMS**

One other aspect that can lead to service delivery protests would be the accountability systems that are either weak or blurred. Weak evaluations or performance systems that are also weak can lead to organisations “getting away” with non-performance. These include oversight provided, performance management systems and community participation mechanisms (ANDM Survey Report 2015/16).

The *White Paper on Reconstruction and Development 1994*, requires municipalities to develop local infrastructure investment plans on the basis of their IDPs. The mobilisation of own revenues and private investments, in combination with the IDPs remain part of the current system. Grants will be increased for those municipalities that have been evaluated and those found to be high performers will be given incentives.

The National Government in South Africa realises that it needs to support municipalities to ensure the successful implementation of their programmes. As part of the broader support framework, the Department of Provincial and Local Government developed a guide in 2001 to enable local government practitioners in the sector to implement a performance management system (Van Der Waldt, 2004:338). The guide is intended to serve as a set of simple, user friendly, non-prescriptive guidelines to assist municipalities in developing and implementing their legislatively required performance management system. It is designed to enable the development and implementation of such a system within the resource constraints, suited to the particular circumstances and in line with the priorities, objectives, indicators and targets contained in a municipality’s IDP (Van Der Waldt, 2004:338).



### **2.8.1 Performance Management Systems**

Performance accountability connects resource use with the achievement of mandated and/or expected results. IDP Mayoral Outreaches form part of this dimension which encompasses effectiveness and goal attainment. When the ward councillors and ward committees attend IDP meetings to interact with the communities in terms of what has been achieved, how much money has been spent, and what will be achieved, with what resources it refers to demonstrating and accounting for performance in the light of agreed-upon performance targets, its focus is on the services, outputs and results of municipal institutions and their programmes (ANDM IDP Report 2015/16).

In the local government context, a comprehensive and elaborate system of monitoring performance of municipalities has been developed. The system is designed to continuously monitor the performance of municipalities in fulfilling their developmental mandate. Central to the system is the development of key performance indicators as instruments to assess performance. The indicators have proved crucial to all performance management systems the world over (DPLG, 2003:35).

The *Constitution of the Republic of South Africa, 1996*, places an injunction on national and provincial government to ensure that municipalities perform their functions efficiently and effectively. A set of national key performance indicators for local government that municipalities will have to incorporate in the process of compiling their own integrated development plans (IDP's) has been outlined. The rationale behind a national set of KPIs is that it will (ANDM IDP Report 2015/16):

- Ensure accountability;
- Direct municipalities to focus on national goals and priorities;
- Measure the impact of municipalities on national transformation, development and service delivery programmes;
- Enable benchmarking and create the basis for performance comparison across municipalities; and
- Bring some uniformity to the system and ensure that there is commonality of measures in performance evaluation across municipalities.

Citizen's expectations of fairness strongly influence their level of trust in public officials. Service delivery, in contrast to citizen oversight mediated through representative bodies, brings citizens in direct contact with government. Citizens have a role in determining service delivery standards (Van Der Waldt, 2004:47). One method for such input is through service delivery surveys, which collect and report on citizen's views of service quality, availability, cost and impact. The surveys provide feedback to service delivery providers and public policy makers, and constitute an accountability mechanism. These surveys usually use a combination of focus groups, household questionnaires, key informant interviews and community surveillance committees to gather information. The link to services standard setting comes from the use of the surveys in contributing to determinations of appropriate and desirable levels and quality of service, so called benchmarking (Van Der Waldt, 2004:47).

Since public institutions like municipalities are created solely for the purposes of promoting the public good, the actions of the officials manning the institutions should be aimed at the implementation of the policies in accordance with the intentions and aims of, and with the same goodwill as, the policy makers without prejudice, ill-will, delay or interruptions (Hanekom, 1992:56). It is for this reason that the South African Government has placed increasing importance on Monitoring and Evaluation as part of performance management strategies. There are a number of strategic priorities but key amongst these has been a challenge of increasing effectiveness, so that a greater developmental impact can be achieved. One important way in which to increase effectiveness by municipalities is to concentrate on M& E. This is because M& E is a central competency that has the positive effect of improving policies, strategies and plans, as well as improving performance and optimising impact (Mackay, 2007:2).

Mbazira (2013:264) agrees that in many respects, the system of local government is a manifestation of government failure, which is the inability of government to achieve its intended outcomes.

Akinboade (2013:461) proposes that the majority of the population in South Africa live without access to basic public services. The reasons for dysfunctional service delivery are complex, but most often, they relate to lack of accountability, transparency and commitment in making services work for poor and marginalized citizens. Therefore,

the only option available is to voice dissatisfaction with service delivery. Three methods of doing so are (Akinboade, 2013:465):

*Individual voicing of dissatisfaction:* This is when an individual complains about the poor quality goods provided to households, directly to the local provider (whether private or public) or to public officials such as local or national bureaucrats or to local or national elected politicians.

*Collective Voice Voting:* this could be either in the form of voting to complain about services (voting against an elected council on the grounds of poor services or against the national government for its record on public services); or to defend the elected governments against the opposition that the voter feels will provide worse services.

*Collective voice pressure politic:* This occurs through the organized pressure lobbies; or through joining in collective protests. Collective voice might be used to defend services or to attack poor service provision (Akinboade, 2013:465).

Three major trends in performance management can be identified as follows (Akinboade,2013:465):

- The development of measurement systems which enable comparisons of similar activities across a number of areas (benchmarking instruments; such as charters and quality awards);
- Efforts at measuring customer satisfaction (surveys, outputs as indicators, such as the number of complaints; and throughput measures such as indirect proxies for measuring direct impact of programmes and projects on community members); and
- Some lessening in the focus on the long term impact of programmes and projects.

It is important to note that the ANDM established a fully-fledged customer care centre in 2012 and only started with the surveys in 2014/15. This means that there was no systematic way to capture petitions and complaints and address them. This has led to a backlog in the Presidential Hotline complaints and maintenance related complaints for the municipality (ANDM IDP Report 2015/16). The general impact of the performance of the municipality towards service delivered to the communities was only

measured through imbizos and the IDP. The implementation of performance evaluations for employees other than the Section 57 managers is still yet to be launched.

### **2.8.2 Public Participation through IDP's and other Platforms**

The ANDM IDP Document (2015/16:2) describes a budget as a quantified financial plan for a forthcoming accounting period. Budgets are done to help aid the planning of actual operations by forcing managers to consider how the conditions might change and what steps should be taken and by encouraging managers to consider problems before they arise. It helps coordinate the activities of the organisation by compelling managers to examine relationships between their own operation and those of other departments. Other essentials of the budget include:

- To control resources;
- To communicate plans to various responsibility centre managers;
- To motivate managers to strive to achieve budget goals;
- To evaluate the performance of managers;
- To provide visibility into the municipality's overall performance; and
- For accountability.

## **2.9 CAPACITY PROBLEMS**

With regard to service delivery, local governments' failure in South Africa is broadly associated with the limitations of South Africa's macro-economic model which has failed to advance inclusive economic and human development. In many cases, the lack of implementation and absorptive capacity of government agencies and citizens, respectively, are problems that hamper service delivery (Shaidi, 2013:89).

Dauids (2009:11) agrees that capacity weakness among local government structures (enabling systems and settings, improving coordination) and the officials (poor skills and training regarding project management and participatory development management); has resulted in low commitment and even corruption in some quarters. There is a need for learning organisation-type local governments. There is also a need for change agent-type local government officials who are politically savvy,

democratically confident, developmentally conscious and administratively competent in working through social learning approaches towards municipal community partnerships (Davids, 2009:11).

Schoeman (2006:110) writes that the international evidence reflects a disappointment with the classical view that a government which is closer to the people addresses the fiscal allocation problem more effectively, and that the lower spheres of government are more accountable to communities. This means that municipalities are expected to perform well because they are closer to the communities and they have been allocated funds not because they have the human capacity to carry out the developments.

The lack of hard budget constraints with revenue support in the form of grants and subsidies also causes fiscal prudence to be eroded and in many instances local fiscal objectives are not aligned with those of the national government (Jili, 2012:25).

Under this model the bringing of services closer to the homes of the residents means that most municipalities are under considerable financial pressure to limit services to households that cannot pay for them, and the income derived from water, electricity and sanitation services is the most important source of revenue for local government (Jili,2012:25).

For a district municipality which is predominantly rural like the ANDM, it is a challenge to expect to collect sustainable revenue as a high percentage of residents are unemployed and struggle to make ends meet. Of the 986 households selected in the *ANDM Customer Satisfaction Survey 2015/16* (2015:30), a significant percentage of 68 residents indicated that unemployment and dependency on social grants is a key area for concern. The overall rating of the extent to which the ANDM assists the customers or recipients of services to participate in the budget, tariffs and planning was rated at 27% (*ANDM Customer Satisfaction Survey, 2015/16*).

A critical challenge facing many municipalities, according to the *Treasury Local Government Budgets and Expenditure Review Report* (2011:192) in the short term, is to ensure that municipal spending is aligned with local development needs and priorities. In the medium term, rural municipalities need to ensure that they raise their own revenues in accordance with their fiscal capacity so as to reduce their

dependence on national transfers and optimise their ability to deliver services and facilitate development. One of the major causes of protest actions is the poor planning system which is critical in how resources are allocated. Unless poor people can influence these budgets, the ability to promote sustainable livelihoods for poor people will be limited as will be the impact of local democracy and thus service delivery protests (Government Budgets and Expenditure Review Report, 2011:192).

The South African government is cognisant of the challenges that the local government system is facing. In 2009, the Department Of Cooperative Governance and Traditional Affairs adopted what it described as the Local Government Turnaround Strategy. In this strategy, government acknowledges the fact that municipalities are not working as effectively as they should because of a number of problems linked to systematic factors, such as, policy and legislative formulation, political challenges, capacity and skills constraints; weak intergovernmental support and oversight; and intergovernmental fiscal system issues (Mbazira,2013:265). One of the bases of the strategy is what is described as the objectives of an ideal local government, which includes: providing democratic and accountable government for local communities; being responsive to the needs of the local community; ensuring the provision of services to communities in a sustainable manner; promoting social and economic development; promoting a safe and healthy environment; encouraging the involvement of communities and community organisations in the matters of local government; facilitating a culture of public service and accountability amongst its staff and assigning clear responsibilities for the management and coordination of the administrative units and mechanisms (Mbazira, 2013:265).

## **2.10 APPROPRIATENESS OF GRANT FUNDING FOR RURAL MUNICIPALITIES**

It is of importance to objectively evaluate the efficiency in which public funds are being spent to meet the stipulated policy objectives in rural municipalities. The questions to be answered in this regard include: are the grants easy to spend and suitably differentiated between rural and urban areas (Mbazira, 2013:265). The necessity for differentiation is needed because for metropolitan municipalities, correcting historic inefficient and inequitable spatial patterns is a priority; while in rural municipalities the

provision of basic household infrastructure across sporadically populated areas is the main concern. These municipalities have different needs from the infrastructure grant system (Mbazira, 2013:265).

*The Review Of Local Government Infrastructure Grants Report (2013:8)* states that an efficient grant system should make provision for flexible adjustments to changing municipal needs in future years. To some extent, historical backlogs were initially the primary target of the local government infrastructure grant system. Discrepancies in economic growth and the speed of service delivery across the country, however, led to new kinds of backlogs (*The Review Of Local Government Infrastructure Grants Report, 2013:8*). The maintenance costs prove problematic at the municipal level due to insufficient funding, be it via the grants or own revenues, and this leads to rapid deterioration of infrastructure which then leads to grumpy communities (*The Review Of Local Government Infrastructure Grants Report, 2013:8*).

## **2.11 THE RATE AT WHICH SERVICES ARE DELIVERED**

One important factor that leads to service delivery protest action could be linked to the pace at which development is brought to local communities. Residents observe how a certain ward has RDP houses, access roads, perhaps with taps and may feel they need to pressurise the government to also provide the same services to the neighbouring wards (ANDM Customer Care Survey 2015/16). This has been the cause of most riots in Mbizana Local Municipality. Development in the neighbouring wards will perpetuate the feeling of being neglected by residents still awaiting such development. Most projects need feasibility studies in order to be on track, because of many factors that may lead to a completed project being started afresh if certain essential calculations were not done (ANDM Customer Care Survey 2015/16).

IDP provides an opportunity for stakeholders with different needs and priorities to learn from each other and to negotiate and compromise around their viewpoints, leading to unification and consensus building (Davids, 2009:145). An important consideration is that an IDP is seen as more than just a theoretical document.

Integrated Development Planning must recognise specific conditions and circumstance. An important task in strategic planning is to question past as well as

existing policies, practices and procedures. Once again, these can only be assessed through a SWOT analysis. However, IDP is not only concerned with the current reality. Through its IDP, the municipality manages the future. This demands a proactive approach and shifts in planning strategy (ANDM IDP Report 2015/16).

## **2.12 CONCLUSION**

This chapter has endeavoured to provide an overview on service delivery, nationally and locally since the democratic dispensation. Applicable literature was reviewed from previous research, legislation and documents pertaining to the ANDM. It appears from the review that public participation processes and IDP are at the centre of building an efficient developmental local government.

In the chapter that follows an overview is provided on the research methodology employed for purposes of the study.



## **CHAPTER 3**

### **RESEARCH DESIGN AND METHODOLOGY**

#### **3.1 INTRODUCTION**

This chapter focuses on describing the research methodology applied during the practical component of this study and methodological procedures used in this study. In particular how data has been collected is discussed in order to clarify the quality and importance of procedures that have been applied. Methodology plays a vital role in applying a research study and gives trail to what design was chosen and implementation, and in the case of this study it was qualitative.

#### **3.2 RESEARCH DESIGN**

According to Babbie (2011:93), research design involves a set of decisions regarding what topic is to be studied, among what population, with what research methods and for what purpose. Research design is the process of focusing on one's perspective for the purposes of a particular study. Flick (2006:137) agrees that a research design is a plan for collecting and analysing evidence that will make it possible for the investigator to answer whatever questions he or she poses to the target population. Primarily, there are two distinct approaches that inform the gathering of data in any research project, namely the qualitative approach and the quantitative approach. This study is qualitative and has/uses applied focus interviews.

Mouton (1996:107) views a research design as a research precondition for any study. Following logically from a research problem, the development of a research design comprises a set of guidelines and instructions to be followed in addressing the research problem. The main function of a research design is to enable the researcher to anticipate what the appropriate research decisions should be so as to maximise the validity of the eventual results. According to Pollit and Handler (1993:445), the term "research design" is used to refer to the overall plan for collecting and analysing data, including specifications for enhancing the internal and external validity of the study. Research design and planning also include the researcher's assessment of carrying out the study design within the requisites timeframe and with the available resources,

as well as an analysis of the trade-offs to be made in the design and other planning decisions (Bickman & Rog, 1998:6).

### **3.3 THE QUALITATIVE RESEARCH APPROACH**

The qualitative research paradigm arises from an antipositivistic, interpretative approach. It is idiographic and holistic in nature and its goal is to understand social life and the meaning that people attach to everyday life. It elicits participants' accounts of the meanings, experiences or perceptions and generates descriptive data in the participants' own written or spoken words. The participants' beliefs and values that underline the phenomena are thus identified by the qualitative paradigm. The key elements that qualitative research is concerned with are understanding rather than explanation, naturalistic observation rather than controlled measurement and the subjective exploration of reality from the perspective of an insider as opposed to the outsider perspective that dominates the quantitative paradigm (Devos, 2002:79).

Garbers (1996:283) states that the objective of qualitative research is to promote a better understanding and increase insight into the human condition. In qualitative research the emphasis is on improved understanding of human behaviour and experience and researchers try to understand the ways in which different individuals make sense of their lives and to describe those meanings. In qualitative research empirical observation is important as researchers need to study real cases of human behaviour if they are to be in a position to reflect on the human condition meaningfully and with clarity.

Because this study was conducted in a social context of a focus interview or setting, the selected methodology had to be appropriate for in-depth probing of the complexities of processes and exploring the perceived reasons of the service delivery protests from the selected ward committees in the Alfred Nzo District Municipality.

Creswell (2007:90) states that the focus group interview strategy is based on the assumption that group interaction will be productive in widening the range of responses, activating forgotten details of experience and releasing inhibitions that may otherwise discourage participants from disclosing information. In focus group interviews, participants are able to build on each other's ideas and comments to

provide an in-depth view not attainable from individual interviews. Unexpected comments and new perspectives can be explored easily within the focus group and can add value to the study being conducted.

### **3.4 POPULATION AND SAMPLING PROCEDURES IN QUALITATIVE RESEARCH**

Patton (1990:15) indicates that a sample is a finite part of a statistical population whose properties are studied to gain information about the whole. Baker (1988:144) defines a sample as a selected set of elements or units drawn from a larger whole of all elements, namely the population. In this study, the random sampling method was applied for participants from the two service delivery 'hotspot' areas interviewed by the researcher. An approved interview schedule was utilised for these focus group interviews. This entails a qualitative research paradigm in order to gain a deep understanding of the causes of service delivery protests first hand from community members who were involved in the protests themselves.

Sampling refers to the process used to select a portion of the population for study. Qualitative research is generally based on non-probability and purposive sampling rather than probability or random sampling approaches. Purposive sampling simply means that the participants are selected because of some defining characteristic that makes them the holders of the data needed for the study. Sampling decisions are therefore made for the explicit purpose of obtaining the richest possible source of information to answer the research questions. Qualitative research usually involves smaller sample sizes than quantitative research studies. Sampling in qualitative research is flexible and often continues until no new themes emerge from the data collection process - called data saturation (Creswell, 2007:79).

### **3.5 FOCUS GROUPS**

Creswell (2007:90) explains that in a focus group, a researcher directs discussion among five to 12 people with the purpose of collecting in-depth qualitative data about a group's perceptions, attitudes and experiences on a defined topic. Using focus groups can help the researcher identify the conditions that promote interaction and open discussion of participants' views and experiences within groups. Secondly, it can

assist the researcher in an analysis of the data through an understanding of what was happening in the group as well as why it might have happened.

A popular format for the focus group interview which was used in this research is known as a “funnel structure” where one starts with a broad and less structured set of questions to ease them/the participants into a process where they will easily debate issues. As the interaction picks up, the interview becomes more structured, and the goal is to lead into, or begin to cover, the topics pertinent to the study and to generate as many views and perceptions as possible from the group.

It is important to remember that the focus group is not a natural social setting, even when groups of friends or colleagues are convened in a natural setting such as one of the participants’ homes or a workplace cafeteria. Nor is the discussion in a focus group a natural conversation since few natural conversations focus on a single topic for such a sustained period of time under the direction, active or passive, of a moderator.

### **3.6 DATA COLLECTION INSTRUMENTS**

Data collection is the precise and systematic gathering of information relevant to the purpose or the specific objectives, question or hypothesis of the study (Neuman, 2004:20). A voice recording machine or tape recorder was used during the interviews with the consent of the focus group interviewees. This is because semi- structured interviews often contain open-ended questions and discussions may diverge from the interview guide. A voice recording device or tape recorder helps the researcher to transcribe the tapes for analysis.

The primary research method employed was focus group interviews. Focus group interviews are undertaken to cater for the possibility of a lack of literacy skills among members/respondents. The questionnaires used were distributed among ward committees who read the questions and all interpreted and wrote down the answers. In some instances the respondents requested clarity as they did not understand the questions.

Creswell (2007:34) agrees that once the researcher has made up his/her mind about the research strategy and tactics, a description is necessary of how he/she intends to

set about collecting the data to answer the research question. Numerous data collection techniques can then be used.

In this research the researcher interacted with participants in a natural and obstructive way to avoid influencing results. The researcher used focus group interviews as the only data collection method.

Babbie and Mouton (2001:292) state that focus groups are useful because they tend to allow space in which people get together and create meaning amongst themselves rather than individually. Focus group interviews were held with the ward committees from the target categories to understand the situation correctly from their perspective.

In a focus group, a moderator directs discussion among five to twelve people with the purpose of collecting in-depth qualitative data about a group's perceptions, attitudes and experiences on a defined topic. A popular format for the focus group interview is a funnel structure where one starts with a broad and less structured set of questions to ease participants into the situation. The goal is to hear participants' general perspectives and to ease them into a process where they will actively debate issues. As the interaction picks up, the approach becomes more structured, and the goal is to lead into, or begin to cover, the topics pertinent the study and to generate as many views as possible from the group (Creswell, 2007:91).

### **3.7 DATA COLLECTION TECHNIQUES**

According to Babbie and Mouton (2001:270), qualitative research distinguishes itself from quantitative research in terms of the following key features:

- a) Research is conducted in the natural setting of the social actors which in this research is the ward committees;
- b) The focus is on process rather than on outcome;
- c) The actor's perspective (the insider or emic views) is emphasised;
- d) The primary aim is depth (thick) descriptions and understanding actions events;
- e) The main concern is to understand social action in terms of its specific context rather than attempting to generalise to some theoretical population;

- f) The research process is often inductive in its approach, resulting in the generation of new hypothesis and theories; and
- g) The qualitative research is seen as the main instrument in the research process.

Based on the above, the qualitative approach was identified as the most appropriate method to extract data from the respondents in the two service delivery hotspots in Ntabankulu and Matatiele. The ward committees from the service delivery protests were regarded as being able to provide valuable information relating to service delivery expectations because they were directly involved in the protests or would be aware of the issues raised in the protests that took place in the wards in which they live.

Ward committees are the first point of contact between the community and local government. Community complaints are delivered to them for solving and they are expected to process them through municipal structures and systems.

Ward committees represent ward councillors who are deployed to deal with service delivery protests in the first instance. As such, the ward committees have a deep understanding of service delivery issues raised by communities in delivery protests.

### **3.8 DATA ANALYSIS**

Mouton (2001:108) defines data analysis as the breaking up of the data into manageable themes, patterns, trends and relationships. The interview processes was structured to gather data about the widest possible range of issues associated with the phenomena under investigation. The research questions guided the data gathering process in an effort to obtain rich and relevant information.

The analysis and interpretation of the qualitative data commenced after the interview processes had formally concluded.

### **3.9 ETHICAL CONSIDERATIONS**

McMillan and Schumacher (1993:397) caution qualitative researchers of the need to be sensitive to ethical principles because of the nature of their research topics, face-to-face interactions, data collection, an emergent design, and reciprocity with

participants. The criteria for a research design involved not only the selection of the information rich informants and efficient research strategies, but also the adherence to research ethics.

Yotsi (2015:49) writes that researchers therefore should tell the truth when writing up and reporting their findings. The most important trademark of researchers is their devotion to report what the data actually reveals. Fabricating and distorting data is the ultimate sin of a scientist.

The following ethical principles were promoted and observed: voluntary participation, no harm to participants, anonymity and confidentiality, informed consent, and no deception:

*Voluntary participation:* The researcher promoted and allowed voluntary participation by respondents with no fear of reprisals. No coercion or pressure was exerted on participants and withdrawal from participation was allowed.

*No harm to respondents:* Respondents were not exposed to any harm or danger, whether physical, emotional or psychological.

*Anonymity or confidentiality:* No names or any other form of participant identification were given.

*No deception:* The researcher identified herself and informed the respondents about the objectives of the research. All necessary documents explaining the purpose of the research and the choice of respondents were issued to the respondents in order to instil trust and consequently enjoy full cooperation and maximum participation.

*Informed consent:* The purpose of the study and risks involved were conveyed to the respondents in order for them to decide whether they were willing to participate in the research. The respondents were also informed of their right to withdraw from the study at any stage of the process should they not feel comfortable about participating.

### **3.10 CONCLUSION**

Research design is used to refer to the overall plan for collecting and analysing data, including specifications for enhancing the internal and external validity of the study. It talks to the set of decisions regarding what topics to be studied, among what populations, with what research, methods and for what purpose. Fundamental to every scientific research is a method which can be explained as a prescribed manner for performing a specific task, with adequate consideration of the problem, objectives and hypothesis. Creswell (2007:70) describes the research design as a plan or strategy which moves from the underlying philosophical assumptions to specifying in selection of respondents, the data gathering techniques to be used and the data analysis to be done. The choice of research design is based on the researcher's assumptions, research skills and research practices, and influences the way in which she or he collects data. Sampling decisions are therefore made for the explicit purpose of obtaining the richest possible source of information to answer the research questions. Sampling in qualitative research is flexible and often continues until no new themes emerge from the data collection process - called data saturation.

The focus group interview strategy is based on the assumption that group interaction will be productive in widening the range of responses, activating forgotten details of experience and releasing inhibitions that may otherwise discourage participants from disclosing information (Creswell, 2007:90).



## CHAPTER 4

### DATA ANALYSIS AND INTERPRETATION

#### 4.1 INTRODUCTION

This chapter focuses on the analysis and interpretation of data collected from the ward committees of the ANDM on their perceptions about service delivery protests. It discusses the methodology that was employed in collecting research data. In addition, it explains why a specific research methodology was preferred as well as the advantages of this method. The chapter also covers, in detail, the sources of primary data, how the qualitative data was collected through focus group interviews and how samples were selected in this study.

Finally, the chapter gives an overview of the techniques that were used to assess the reasons behind the service delivery protests in the Alfred Nzo District Municipality.

#### 4.2 RESEARCH METHOD

This study employed a qualitative research method approach. The qualitative methodology was considered appropriate because the study was aimed at obtaining detailed descriptions or rich data.

The following study questions as given in Chapter 1 were proposed to address the aims of this research study:-

What is the primary cause for the recent violent protest actions?

- Were the recent service delivery protest actions fuelled by political motives?
- Does the Municipality have sufficient capacity to deliver adequate basic services to its communities?
- Are communities in the Alfred Nzo District Municipality well-informed about municipal matters that affect their respective wards?
- Has the implementation of the Municipality's strategies had a positive or negative impact on service delivery?

- Are there any potential political challenges that could lead to service delivery protests?
- Are there any administrative challenges that could lead to service delivery protests in future?
- Are ward committees generally aware of the provisions contained in the Local Government Turnaround Strategy (LGTAS) approved by the South African Cabinet in December 2009?
- Are ward committees generally aware of the provisions by the ANDM to promote public participation through IDPs?
- Are intergovernmental relations (IGR) an effective tool to ensure a synchronized way of delivering basic needs to communities falling under the jurisdiction of the ANDM?
- Is there is a general sense of commitment by the political leadership and bureaucracy of the ANDM to fully support the Municipality's strategies to curb protests and dissatisfaction?
- Do ward committees receive adequate administrative and technical support from the Municipality to enable them to achieve the municipal activities?
- Are ward committees frequently consulted with regard to service delivery implementation plans?
- Are strategic objectives of the district and sector departments periodically assessed and reviewed by the Municipality?
- Are communities in the ANDM are well informed about the developmental role of local government (municipality)?
- Has the ANDM developed adequate policies and strategies for the purpose of promoting public consultation and participation within the district?
- Does the ANDM Integrated Development Plan make adequate provision for enhanced service delivery in terms of the Municipality's turnaround strategy?
- Does the ANDM's turnaround strategy provide a detailed overview on strategies to improve the quality of basic services to its communities?
- Has the ANDM set performance management standards in order to monitor the implementation of its policies?
- Is there a division/department in place in the ANDM to promote the communication between the Municipality and communities it serves?

- Does the Customer Share Line that was established at the ANDM to respond to operational challenges experienced by the communities serve the purpose it was meant to serve?

In order to collect sufficient data to answer all these questions, the researcher employed both a literature study and an empirical investigation based on the qualitative research design. The researcher consulted literature which is relevant to the topic in order to provide a critical synthesis of what has already been written on the causes of service delivery protests (Duma, 2011:46). The researcher focused on the extrapolation rather than generalization of the research findings, especially when the biographic and demographic data of ward committees are taken into account (Joubert, 2008:240).

According to Henning and Mangun (1989:8), qualitative research is research that utilizes open-ended, semi-structured group discussions to explore and understand the attitudes, opinions and feelings of individuals or groups.

### **4.3 FOCUS GROUP INTERVIEW SETTING**

As indicated in Chapter 3, focus group interviews were the only source of empirical data collection for this research study. The researcher employed a qualitative approach in order to obtain detailed descriptions (rich data) at the actual situations impacting on service delivery or lack thereof in the Alfred Nzo District Municipality which leads to or has led to protests. These focus group interviews were held with the ward committees from two local municipalities known as the service delivery 'hotspots' in the ANDM, namely Matatiele and Ntabankulu. The 18 hotspot respondents were regarded as being able to provide valuable information relating to service delivery expectations, partly because they were either directly involved in the protests that took place or are aware of the issues raised in the areas in which they live. New questions that arose as a result of discussions were attended to and answered. The venues were the water offices in both the municipalities.

#### 4.4 ETHICAL CONSIDERATIONS

Ethical measures are important in all research (Mestry, 2006:30). The significance of this research project was explained to all the participants in the two focus groups interviews. Participants' anonymity as well as voluntary participation in the research project was assured. Participants were informed of their freedom to withdraw their participation in the research project at any given time. All participants willingly agreed to participate and contribute in the focus group interviews. All participants in the focus group interviews willingly gave their consent as indicated on the forms supplied to them by the researcher. A voice recording device was used during the focus group interviews and none of the participants indicated an objection to or reluctance concerning the use of the device. Field templates were also used to record participants' biographic and demographic information data.

The interview schedule was divided into two sections. **Section A** comprised of open-ended questions and **Section B** focused on SWOT analysis of ANDM by the respondents. Where applicable, the researcher tactfully probed responses to encourage further debate in an effort to obtain rich and relevant data.

#### 4.5 PRESENTATION, DISCUSSION AND ANALYSIS OF FINDINGS

The White Paper on Reconstruction and Development Programme (1994:7) stipulates that an integrated, people-centered development approach and a commitment to promoting a democratic, non-racial and non-sexist society are necessary. . The Paper warns that public- participations should not be confused with consultation which involves conducting surveys/ opinion polls but should be understood in the sense of the following:

- Decision-making participation;
- Participation in the implementation of development programmes;
- Participation in the monitoring and evaluation of programmes and projects; and.
- Participation in the sharing of the benefits of projects or development.

The researcher noted that there were complex and varying reasons in both local municipalities and though issues of service delivery were cited, they were not the only

motivation. Many of the protests took place in different wards within both areas and in all municipalities.

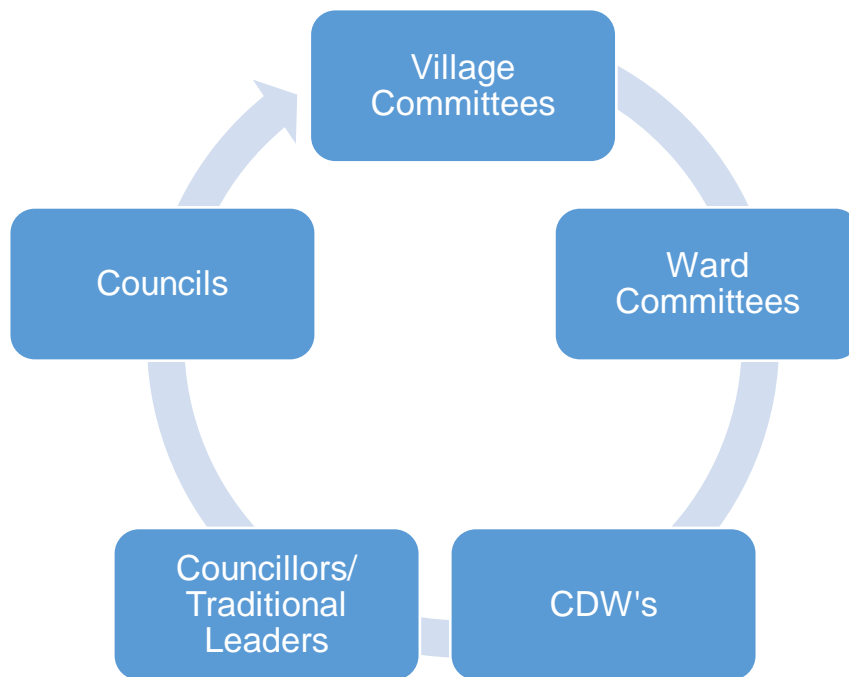
#### **4.6 FUNCTIONS AND POWERS OF WARD COMMITTEES**

Having considered Sections 54, 56 and 60 of the Municipal Structures Act 117 of 1998, it is evident that the service delivery functions bestowed upon the Executive Mayor by the Act are further delegated to the ward councillors, then ward committees. Section 74(a) and (b) of the Local Government: Municipal Structures Act 117 of 1998 makes provision for powers and functions of ward committees in general.

In this regard, the ward committees, composed of political office bearers, are equally responsible for rendering of public goods and services. Ward committees work with ward councillors and are the first point of contact. They are the people who receive the complaints first and they are the ones who process them through municipal structures and systems. As such they have a deeper understanding of issues related to service delivery raised by communities in service delivery protests.

Ward committees within the ANDM constitute 10 members from each ward. Twenty committee members were targeted for the purpose of the study. Ward committees from Matatiele and Ntabankulu were selected and out of approximately 40 committee members, only 18 were interviewed. This equals a fifty per cent (50%) response rate from the empirical survey and adequately justifies conclusions or recommendations made in terms of two local municipalities that were selected for the purpose of the study.

The diagram below illustrates how the lines of authority are supposed to be in both local municipalities and districts. The ward committees are the second point of contact after the village committees.



**Figure 4.1: Lines of Authority**

#### **4.7 ELECTION OF WARD COMMITTEE MEMBERS IN ANDM**

Section 74 (a) and (b) of the Local Government Municipal Structures Act 117 of 1998 makes provision for powers and functions of ward committees in general.

In line with the afore-mentioned section of the Local Government: Municipal Structures Act 117 of 1998, the ANDM adopted the following as functions and powers of ward committees operating within its area of jurisdiction:

- To do research with the purpose of understanding the conditions, problems and needs of residents in the wards.

Most respondents indicated that the ward committees in which they are serving were elected at a properly constituted meeting whereas about ten per cent (10%) of the respondents reported that a ward committee member was not elected in a meeting.

Section 74 of the Local Government: Municipal Structures Act 117 of 1998 stipulates that a ward committee:

- may make recommendations on any matter affecting its ward
- to the ward councillor or

- through the ward councillor, to the district or local council, the executive committee, the executive mayor or the relevant district sub- council and
- has such duties and powers as the district or local council may delegate to it in terms of Section 59 of the Local Government: Municipal Systems Act 32 of 2000.

Most respondents, namely ninety per cent (90%), displayed limited knowledge and understanding of the legislative roles of the ward committee members as provided for in the above Act. Only ten per cent (10%) provided a response that could be linked to the applicable legislation, whilst seventy per cent (70%) provided responses which were inclined to the duties and powers that may be delegated to ward committees by municipalities, namely the following:

- Identification of community needs and challenges;
- Issuing information from councillor to community;
- Assisting the ward councillor in the development of the ward,
- Monitoring of the projects in the ward; and
- Being aware of community needs, communicating them to the ward councillor to make a submission to council and providing feedback to the ward committees on council's response while the committee will in turn report back to the community.

#### **4.8 REASONS BEHIND SERVICE DELIVERY PROTESTS**

In order to understand the reasons behind the protests, the researcher had to understand the perceptions of ward committees as key participants. The respondents in both local municipalities were asked to cite what they thought were the various reasons. Various legislations were also explored to give the background on the validity and importance of each complaint they had mentioned.

##### **4.8.1 LACK OF MUNICIPAL SERVICES AND SECTOR DEPARTMENTS COORDINATION**

Intergovernmental relations are not working well, contributing negatively to the intentions of Chapter 3 of the Constitution of The Republic of South Africa. Public participation is inadequate, and misinformation and speculation are rife, fuelling

protestors into action. Sections 152(1) (b), 153 (a) and 155 (4) of the Constitution of 1996 provide for the requirements pertaining to local service delivery.

All the respondents demonstrated an understanding of basic services and amenities that a municipality should deliver to its citizens and that in municipalities, local and district, sector departments should be working together. The basic services mentioned by respondents were Fire and Rescue, Sanitation, Water, Disaster Management and Housing.

The 10 per cent of respondents who voiced their concern over the Human Settlements Development Grant that will flow directly from national level to district and local municipalities, worried that it would visibly reflect the lack of coordination that is already evident. The lack of coordination was already evident in the past service delivery strikes as most people had been complaining of either a lack of housing or non- communication about which ward would be prioritized for housing. The transfer of human resources, projects and assets, poses financial and fiscal implications for the ANDM. Since most of the ANDM is rural in nature, respondents also identified the agriculture-related infrastructure provided by Local Economic Development as a basic service together with fencing and ploughing of plough fields.

#### **4.8.2 LACK OF PUBLIC PARTICIPATION AND CONSULTATION**

Respondents were of the view that few recent service delivery protests were due to the unfulfilled promises made by politicians during national and local government elections. Another issue that they raised is that when contractors delay or leave projects unfinished the Municipality never comes to inform the communities.

The respondents are of the opinion that the IDP is not entirely informed by community needs and priorities though some indicated that community members also fail to attend discussions about budgets and IDP in their wards and only come when they need to complain.



### **4.8.3 THIRD FORCE ELEMENT' IN SERVICE DELIVERY PROTESTS**

The respondents highlighted that there are politicians that orchestrate service delivery protests. This is usually as a result of disgruntlement and dissatisfaction within the ANC: unhappy politicians will instigate service delivery protests to taint the image of their opponents.

### **4.8.4 DERMACATION PROCESSES**

The participation of communities and stakeholders in the demarcation process is important to ensure that the Demarcation Board considers all the different views people have about boundaries. It is governed by three different pieces of legislation, all of which relate to one each other, namely the Constitution, the Municipal Demarcation Act and the Municipal Structures Act of 2008. The Constitution and the Local Government Municipal Structures Act 117 of 1998 of the Republic of South Africa made provision for an Act of Parliament to authorize the establishment of a cross-boundary municipality.

According to the Department Of Provincial and Local Government (DPLG 2016), communities can be involved in the demarcation process in the following three ways:

- Members of communities may respond to invitations by the Board to submit written representations on how boundaries in the area should be drawn;
- If the Demarcation Board decides to hold a public meeting to discuss boundaries, members of the public can air their views; and
- Any member of a community can object to the demarcation of a municipal boundary or the delimitation of a ward. The Board must take account of the objection and respond to the person.

It is the responsibility of a local municipality to ensure that all community members participate, particularly those who are illiterate or who do not have means of transport to attend a public meeting.

Respondents from the first group interviewed in Matatiele highlighted that demarcation is one of the causes of service delivery protests in this area as the government has turned a blind eye to their request to be moved to KwaZulu-Natal Province. The

political party known as the AIC (African Independent Congress) was initiated during the service delivery protests in Matatiele with the main focus on the issue. The respondents feel their local municipality has a capacity of taking the mandate of water and sanitation that is currently being offered by the ANDM, and that they are located too far away from Mount Ayliff.

#### **4.8.5 LACK OF CAPACITY AND INFRASTRUCTURE**

In the face of the fast deterioration of quantity and quality of the groundwater resource, mainly attributable to overdrawal, wastage and polluting by competing sectors and/or individuals (typically large farmers), providing clean and safe drinking water has emerged as a major challenge, especially in rural areas. The dual phenomena of scarcity and use inefficiency qualify drinking water for an economic good. However, unlike the urban situation, levying user charges for using water for domestic purposes in rural areas has not been acceptable in rural regions.

The National Development Plan of 2012 highlights differences between urban and rural areas with regards to access to basic infrastructure services and their quality. While backlogs are a challenge to the reform of rural infrastructure, they also inhibit economic and social inclusion in rural areas.

The respondents communicated that most of the protests in Matatiele (the first focus group interview) are caused by the fact that the water for which ratepayers pay is brownish in colour. The quality of water is below that of acceptable and the frequency of water cuts is not reasonable.

The respondents in Ntabankulu (the second focus group interview) communicated that the lack of water, the quality of water supplied by the ANDM and the water projects that are slow in pace are a cause of impatience amongst the community.

#### **4.8.6 CADRE DEPLOYMENT AND POOR ADMINISTRATION**

Respondents shared their view that it is not easy for a ruling party not to deploy, as those deployees are deployed to carry out the mandate of their respective parties but

when it is overly exercised by deploying unskilled people it hinders service delivery, and thus causes service delivery protests.

#### **4.8.7 INSUFFICIENT SUPPORT FOR WARD COMMITTEES**

The respondents complained of the lack of administrative and technical support in terms of the necessary logistics like cellphones. The lack or insufficient support leads to the important information not being effectively disseminated to the communities. The lack or shortage of information is seen as one of the causes of service delivery protests.

#### **4.8.8 THE CUSTOMER SERVICE PRINCIPLES ARE NOT BEING ADHERED TO**

The respondents share a view that the principles like the “*Batho Pele*” are seldom followed by the leadership and ANDM staff. Those who neglect the principles are accountable. If the eleven principles were to be followed the service delivery protests would be minimized as there would be tools, measurements and systems put in place to effect customer care.

#### **4.8.9 ANDM CUSTOMER CARE CENTRE NOT VIABLE TO RURAL COMMUNITY**

The respondents agreed that although the centre was launched in 2012 to establish a mechanism for recording dissatisfactions, it is difficult for community members to reach the shareline as it is not a toll free number and it is expensive to make those calls from a cellphone. The area of ANDM is predominantly poor and the locations have no payphones so it is hard to make calls to report faults at Customer Care.

### **4.9 THE SWOT ANALYSIS**

#### **4.9.1 STRENGTHS**

The strengths that the respondents identified for ANDM is that there are raw natural resources like the Wild Coast in Mbizana. The Thusong Centres in Matatiele (Thaba Chicha) and Mount Frere (Nophoyi) that are one stop shops aimed at bringing services

to the people are also seen as the strength. If these resources are can be used by ANDM they could boost service delivery acceleration and the economical state of the district.

#### **4.9.2 WEAKNESSES**

Politics that are not separated from administration. The respondents have noted that IDP is a process that a municipality just goes through just for compliance's sake. Expectations of communities should be met rather than "just passing the buck".

#### **4.9.3 OPPORTUNITIES**

Accountability of public officials to their immediate superiors, the political leadership has a chance to account to the public. There has to be a relationship between government and the people. Some respondents said they do not see any solutions except bringing the previous government.

#### **4.9.4 THREATS**

The breaking of trust and confidence by ANDM leadership and administration which has been brought by constant lack of communication and information, unmet needs which lead to residents who will change their political leadership if they are not addressed.

#### **4.10 CONCLUSION**

In Chapter 4, the researcher presented an introduction and background to the study, which included the research questions. Articles and findings by past researchers on service delivery protests were consulted and quoted in an attempt to expose possible challenges faced by the Alfred Nzo District Municipality administration and political leadership in trying to ensure smooth delivering of services and curbing the hiccups faced by their communities, especially in rural areas. The 18 focus group participants from the two selected municipalities (Matatiele and Ntabankulu) displayed a high level of enthusiasm during their participation and in their responses to the interview questions.

Empirical data on biographic and demographic findings exposed a number of challenges municipal governance activities are faced with, especially in rural areas. The respondents' ward committees in both local municipalities were asked what they thought were the reasons for the protests. It has been established that amongst the complex and varying reasons in both the local municipalities, even though the issues of service delivery were cited, they were not the only ones. The protests were also about a range of other municipal issues, including maladministration, nepotism, fraud and corruption, as well as the failure of councilors and administrators to listen to residents in the ANDM.

## **CHAPTER 5**

### **FINDINGS DISCUSSION, CONCLUSION AND RECOMMENDATIONS**

#### **5.1 INTRODUCTION**

In this chapter, salient facts emanating from an extrapolation of the findings from this research will be presented. A summary of what transpired in the previous chapters will also be discussed and certain recommendations will be proposed.

The study has examined the causes of service delivery protests, with specific reference to the Alfred Nzo District Municipality (ANDM). Recommendations aimed at reducing service delivery protests and improving service delivery with specific reference to the Alfred Nzo District Municipality, have also been made.

#### **5.2 SUMMARY OF CHAPTERS**

##### Chapter 1

##### Research Proposal

This chapter served to present and justify the need of the phenomena and the structure the research was going to take.

##### Chapter 2

##### Literature Review

The background to the study and a literature review were explored in this chapter. This was undertaken to ground the theoretical component of the study. The literature review included, inter alia, books, journals, theses, dissertations, policy documents and legislation pertinent to the topic under investigation.

## Chapter 3

### Research Design and Methodology

In this chapter the overall plan for collecting and analysing data was explained. Fundamental to every scientific study is the method which can be explained as a prescribed manner for performing a specific task, with adequate consideration of the problem, objectives and hypothesis.

## Chapter 4

### Research findings and Interpretation

In this chapter the researcher presented the analysis of the findings from the focus group interviews held with 18 participants from two selected municipalities falling within the jurisdiction of the ANDM. Emerging themes from the qualitative study are presented in this chapter.

## Chapter 5

### Discussion of Findings, Conclusion and Recommendations

This chapter analyses the findings and data on the opinions of ward committees on what they viewed as the causes of protests in ANDM and possible solutions to the problem.

### **5.3 RESEARCH FINDINGS**

After analysing the data, the results show that poor service delivery is the main cause of the protests in both municipalities. The majority of respondents protested to vent their frustration and anger. The respondents indicated that although the protests were often political, and had a third force as a catalyst, most protests were about a breakdown in communication or simply a misunderstanding of the government by the communities.

Respondents revealed that communities have lost trust in the municipalities as they indicated that the municipalities often do not respond to their demands. Ward

Committees have indicated that communities have waited for too long for the services to be delivered, whilst promises for service delivery made by government, whom protesters view as elitist, have been largely unfulfilled.

Corruption, cadre deployment and nepotism are also major causes of the ANDM service delivery protests.

## **5.4 RECOMMENDATIONS**

In terms of the findings from this study, the critical challenge facing the ANDM, particularly the two local municipalities where the focus group interviews were carried out, is poor service delivery and the associated challenges that hinder the government in playing a meaningful role in enhancing basic service delivery.

The following recommendations are aimed at assisting in reducing protests within the district municipality and the province of the Eastern Cape as a whole.

### **5.4.1 PUBLIC PARTICIPATION IN THE ANDM**

Respondents made it apparent that most service delivery protests in the ANDM were caused by limited public participation of the communities they are serving. The participants believe it is possible to achieve effective participation by poor and previously marginalised groups specifically in municipal programmes such as the IDP and it should be made to fit the ever-changing environment. Respondents believe that the more information the communities are provided with, the more involved they would become. The main task is to involve the communities before the initiation of the projects and therefore lines of communications must be opened up.

Meetings with the community allow the sharing of information with large numbers of people from a ward through *imbizos* as they are also there for other issues in the traditional councils. That can be used as a platform for local government to market its processes through the ISD and ward committees. However, because not all community members are made aware of the meetings, a loud hailing resource can be used to mobilise people to learn about government strategies such as the IDP.



The other difficulty with which ward committees are confronted is the lack of interest in attending by the communities. Community members are only interested in attending meetings when they have been informed of a possibility of personal gain and do not consider the bigger picture of their area's development. Some community members have lost hope as they have been promised before and therefore they have become apathetic.

It is important therefore for the ANDM to employ a holistic approach in building relations with ANDM communities who appear to have lost hope and to forge relationships of mutual respect and trust through public participation.

#### **5.4.2 CONSIDERATION OF THE YOUTH**

The respondents indicated that it is the youth who are frequently behind the protests and that is mainly because of the unemployment rate and the illiteracy levels throughout the ANDM. The recommendations are that the ANDM municipality should:

- consider the importance of youth representation in executive bodies;
- amend policies to give youth a voice;
- treat the youth as agents of change;
- create an inter-municipal forum to advocate best practice;
- professionalise the youth development sector; and
- allocate a reasonable budget for youth development organisations, both governmental and non- governmental.

This can be done by exploring and harnessing partnerships with strategic role players such as the private sector, government agencies and independent donor agencies.

#### **5.4.3 COORDINATION AND INTERGRATION OF SERVICES FROM MUNICIPALITIES AND SECTOR DEPARTMENTS**

Participants complained of the non-coordination of services by the sector departments and municipalities under the ANDM. This is exemplified by developments such as the Thusong Centre in Thabachicha in Matatiele, which accommodates all departments but has no electricity. The local municipality should have been involved in the planning

stages by the district municipality, which facilitates the provision of electricity. Ward 13 in Ntabankulu has no clinic. The Department has people travelling for more than 30 km for this service. The hospital for the people in Ntabankulu is in Isiphethu and travelling there is difficult as the road is not up to standard.

It is recommended, therefore, that a multi-sectoral structure be set up between the three spheres of government to manage integration in the provision of services and public amenities in all new developments in South Africa.

#### **5.4.4 OVERCOMING NON-ACCOUNTABILITY**

The participants indicated that non-accountability by both administrative and political leadership has been an underlying cause for service delivery protests in the ANDM. An example was cited of contractors who leave their jobs unfinished and abscond with ANDM resources.

Another example was of certain councillors who enjoy luxurious benefits that come with being deployed, and only send ward committees to public meetings in the communities. There has to be a relationship between the government and the people. Community participation and accountability should be a priority especially at the local sphere of government..

In terms of the projects that are left incomplete by service providers, it is recommended that committees such as the Audit Committee and the Municipal Public Accounts Committee (MPAC) be utilised.

The Municipal Public Accounts Committee needs to be capacitated in order to perform an oversight function on behalf of the ANDM Council. One of MPAC's duties is to deal with the financial management issues such as budgets, revenue, expenditure and supply chain management. Audit committees can be allowed to fulfil their roles as an advisory body that advises councils and the municipal executives on financial and risk matters prior to consideration of financial reports by councils.

The Auditor-General (2012:19) listed the primary functions of the MPAC as follows:

- To consider any audit committee recommendation referred to council in respect of finance matters and to render an opinion on the acceptable recommendations referred to council in respect of finance matters and to render an opinion on the acceptable recommendation;
- To report to Council on the activities of the committee;
- To review the municipal and any municipal entity's annual report and develop the oversight report on the annual report;
- To examine the financial statements and audit reports of both the municipality's and municipal entities, and in doing so, the committee must consider improvements from previous statements and reports and must evaluate the extent to which the Audit Committees and the Auditor General's recommendations have been implemented;
- To review any proposal for improving efficiency, effectiveness and economy in the financial sphere of the organisation;
- To promote transparency and public accountability;
- To examine quarterly/ mid-year review documents; and
- To recommend any investigation in its areas of competency to the executive committee or council.

#### **5.4.5 GOVERNMENT TO LIVE UP TO ELECTION PROMISES**

It is clear that communities view political leadership and municipal administration as the relevant people who are capable of fulfilling the promises made through manifestos before elections. Unfulfilled promises are clearly the main cause of service delivery protests in the ANDM and if the leadership makes promises they cannot keep, there will be a likelihood of more service delivery strikes in the following terms of office of councillors as well.

Shaidi (2013:344) recommends that government take stock of all promises made during local and national elections since 1994, with a view to developing a communication plan to inform the communities of the timelines in which these promises will be honored, as well as the challenges faced by the government in delivering services.

The government should use the opportunity to tender an honest apology wherever its politicians overpromised communities on services it cannot deliver as previously committed.

#### **5.4.6 ADDRESSING GOVERNANCE ISSUES**

Corruption in municipalities can be defined and dealt with in terms of the ethical conduct expected from public officials and politicians. Ethical issues arise out of our interaction with other people, other beings and the environment (Babbie & Mouton, 2001:520).

Waite (2002:287) defines ethical behaviour as that which is morally correct, irreproachable, righteous, clean, awful, just, honorable, reputable, noble and respectable. In short, ethical behaviour deals with what is morally right or wrong in terms of the agreed policies, procedures and values of a society, group or institution.

The case of Matatiele comes to mind over the demarcation process, which remains a dark cloud over the leadership of the ANC in the region can be resolved if the rights, dignity and right to freedom of choice of the people of Matatiele are considered. The dispute has led to the formation of the opposition party known as AIC and has gone as far as the Constitutional Court. If the municipal demarcation process has not been political, then the political leadership has gone back on one of the Batho Pele principles that inform South Africa's legislative process. The will of the people of Matatiele should not be suppressed as it is tantamount to neglect.

#### **5.4.7 MANAGEMENT OF 'THIRD FORCES' IN PROTESTS**

Service delivery systems need to be tightened by a clear legislative environment to ensure that service delivery programmes, projects, and operations are not affected by political instability. One way of dealing with third force politics is to isolate ward development programmes from faction politics by delegating service delivery matters to the village committees while political matters are dealt with by the relevant political structures.

## **5.5 LIMITATIONS OF THE STUDY**

The study is limited to the following:

Only the perspectives of ward committees on reasons behind protests were used to formulate recommended solutions to the problem.

The research was conducted in only two local municipalities of the Alfred Nzo District Municipality.

## **5.6 CONCLUSION**

Overall this study has revealed the nature of the protests, the causes for service delivery protests, the response from government and possible solutions to reduce protests. It is recommended that the two municipalities, which formed the basis for this study, implement the aforementioned strategies to enhance basic service delivery. It is suggested that other researchers should further investigate the reasons behind the protests involving numerous other municipalities to assist government to propose feasible and practical solutions.

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**APPENDIX 1: INFORMATION AND INFORMED CONSENT FORM**

**NELSON MANDELA METROPOLITAN UNIVERSITY**

***INFORMATION AND INFORMED CONSENT FORM***

<b>RESEARCHER'S DETAILS</b>	
Title of the research project	<b>AN INVESTIGATION INTO THE CAUSES AND IMPACT OF SERVICE DELIVERY PROTESTS IN ALFRED NZO DISTRICT MUNICIPALITY</b>
Interviewer	<b>BABALWA NGOMANI</b>

<b>A. DECLARATION BY OR ON BEHALF OF PARTICIPANT</b>		<b>Initial</b>
I, the participant and the undersigned	(full names)	
ID number		
I confirm that I am over 18 years of age.	Yes or No	

<b>A.1 HEREBY CONFIRM AS FOLLOWS:</b>		<b>Initial</b>
I, the participant, was invited to participate in the above-mentioned research project that is being undertaken by		
	Babalwa Ngomani	
from	Department of Public Management and Leadership	
of the Nelson Mandela Metropolitan University.		

<b>THE FOLLOWING ASPECTS HAVE BEEN EXPLAINED TO ME, THE PARTICIPANT:</b>			<b>Initial</b>
2.1	<b>Aim:</b>	The investigator is studying Masters in Public Administration. The information will be used for research purposes only.	
2.2	<b>Possible benefits:</b>	As a result of my participation in this study there will be no financial or other benefit to me.	
2.3	<b>Confidentiality:</b>	My identity will not be revealed in any discussion, description or scientific publications by the investigators.	
2.4	<b>Voluntary participation / refusal / discontinuation:</b>	My participation is voluntary	<b>YES × NO</b>
		My decision whether or not to participate will in no way affect my present or future care / employment / lifestyle	<b>TRUE × FALSE</b>

<b>A.2 I HEREBY VOLUNTARILY CONSENT TO PARTICIPATE IN THE ABOVE-MENTIONED PROJECT:</b>	
Signed/confirmed at	on 20
Signature or right thumb print of participant	Signature of witness:
	Full name of witness:

## APPENDIX 2: APPLICATION FOR APPROVAL



# APPLICATION FOR APPROVAL

## NMMU RESEARCH ETHICS COMMITTEE (HUMAN)

SECTION A:(To be filled in by a representative from the Faculty RTI Committee)					
Application reference code:	H	.....	.....	.....	.....
	HUMAN	YEAR	FACULTY	DEPARTMENT	NUMBER
Resolution of FRTI Committee:	<input type="checkbox"/> Ethics approval given (for noting by the REC-H) <input type="checkbox"/> Referred to REC-H for consideration(if referred to REC-H, electronic copy of application documents to be emailed to <a href="mailto:Imtiaz.Khan@nmmu.ac.za">Imtiaz.Khan@nmmu.ac.za</a> )				
Resolution date:					
Faculty RTI representative signature:					

### BEFORE YOU FILL IN THIS FORM PLEASE READ THE FOLLOWING DOCUMENTS:

- “Research Ethics (Human) Application Process” (<http://www.nmmu.ac.za/default.asp?id=4619&bhcp=1>)
- “Code of Conduct for Researchers at NMMU” (Students: <http://portal.nmmu.ac.za/default.asp?id=71&sp=0&bhcp=1> or Staff: <http://my.nmmu.ac.za/default.asp?id=308&bhcp=1>).

### WHO NEEDS TO FILL THIS FORM IN?

Any project in which humans are the subjects of research (hereafter called a *study*) requires completion of this form and submission for approval first to their Faculty RTI Committee (FRTI). The FRTI will refer projects to the Research Ethics Committee (Human) (REC-H) where deemed necessary.

### WHEN SHOULD THIS FORM BE HANDED IN?

The research proposal should first have been approved by the FRTI before Ethics approval may be given. It should also have first been reviewed by the FRTI for **Ethics** clearance before it is referred to the REC-H.

### HOW TO FILL THIS FORM IN:

- 1) Complete Sections 1 to 8 in typescript (Tab between fields, select from pull-downs, information may be pasted from existing Word® documents), and save (filename must contain your name). Handwritten forms will not be accepted.
- 2) Use the “Save as” option to save the application form with a filename containing your name(e.g. “**J Smith** REC-H Application Form.doc”).
- 3) Complete Sections 1 to 8 in typescript (Tab between fields, select from pull-downs, information may be pasted from existing Word® documents), and save (filename must contain your name). Handwritten forms will not be accepted.
- 4) Append the necessary information e.g. Research methodology, Informed consent form, Written information given to participant prior to participation, Oral information given to participant prior to participation (examples of these may be found on the Research Ethics webpage: <http://www.nmmu.ac.za/default.asp?id=4619&bhcp=1>)
- 5) **Electronic copy:**Email all the files (including any appendices) to the Faculty RTI Committee representative in the relevant Faculty.
- 6) **Hard copy, signed:**Print the document, get each page initialled on the lower right hand corner and get Sections 9 and 10 signed by the relevant parties. **Hand the signed hardcopy and attachments into** the Faculty RTI Committee representative in the relevant Faculty.

<b>1. GENERAL PARTICULARS</b>	
<b>TITLE OF STUDY</b>	
a) Concise descriptive title of study (must contain key words that best describe the study): <b>SERVICE DELIVERY PROTEST ACTIONS : A CASE STUDY OF ALFRED NZO DISTRICT MUNICIPALITY</b>	
<b>PRIMARY RESPONSIBLE PERSON (PRP)</b>	
b) Name of PRP (must be member of permanent staff. Usually the supervisor in the case of students): <b>Prof D Taylor, 2<sup>nd</sup> Avenue Campus, NMMU</b>	
c) Contact number/s of PRP: <b>041 504 3812/ 083 321 1737</b>	
d) Affiliation of PRP: Faculty <b>Arts</b> Specify here, if "other" Department (or equivalent): <b>Public Management and Leadership</b>	
<b>PRINCIPLE INVESTIGATORS AND CO-WORKERS</b>	
e) Name and affiliation of principal investigator (PI) / researcher (may be same as PRP): <b>Miss Babalwa Ngomani Gender: Female</b>	
f) Name(s) and affiliation(s) of all co workers (e.g. co-investigator/assistant researchers/supervisor/co-supervisor/promoter/co-promoter). If names are not yet known, state the affiliations of the groups they will be drawn from, e.g. Interns/M-students, etc. and the number of persons involved: <b>N/A.</b>	
<b>STUDY DETAILS</b>	
g) Scope of study: <b>Local</b>	h) If for degree purposes: <b>Master's</b>
i) Funding : <b>Privately funded</b> Additional information (e.g. source of funds or how combined funding is split) <b>Not applicable</b>	
j) Are there any restrictions or conditions attached to publication and/or presentation of the study results? <b>No</b> If YES, elaborate (Any restrictions or conditions contained in contracts must be made available to the Committee): <b>Not applicable</b>	
k) Date of commencement of data collection: <b>2015/07/31</b> Anticipated date of completion of study: <b>2015/11/30</b>	
l) Objectives of the study (the major objective(s) / Grand Tour questions are to be stated briefly and clearly): <b>The primary objective of this research is to investigate and evaluate the main causes for community dissatisfaction regarding service delivery levels by the Alfred Nzo District Municipality. It is envisaged that the findings from this study could contribute positively towards developing measures to ensure that the municipality fulfills its mandate as stated in, <i>inter alia</i>, the Local Government: Municipal Systems Act 32 of 2000.</b>	
m) Rationale for this study: briefly (300 words or less) describe the background to this study i.e. why are you doing this particular piece of work. A few (no more than 5) key scientific references may be included: <b>The researcher became interested in the topic under discussion because of the increase in basic service delivery protest actions that appear to be widespread throughout the country and the Eastern Cape Province. The current democratically elected government encourages local government structures to involve communities in all developmental processes and prescriptions contained in the Local Government: Municipal Systems Act 32 of 2000 and the Local Government: Municipal Structures Act 117 of 1998 are of particular importance in this regard. The causes of service delivery protests and the subsequent impact on safety and existing</b>	

infrastructure is a cause for concern. The researcher seeks to establish the reasons behind the protest actions and to investigate the role played by the Alfred Nzo District Municipality in encouraging public participation strategies.

#### METHODOLOGY

- n) Briefly state the methodology (specifically the procedure in which human subjects will be participating) (the full protocol is to be included as *Appendix 1*):  
 According to Pollit and Handler (1993: 445), the term-'research design'- is used to refer to the overall plan for collecting and analysing data, including specifications for enhancing the internal and external validity of the study. Research design and planning also include the researcher's assessment of carrying out the study design within the requisite time frame and with the available resources, and analysis of the trade-offs to be made in the design and other planning decisions (Bickman & Rog, 1998: 6-7). According to Babbie (2011: 93), research design involves a set of decisions regarding what topic is to be studied, among what population, with what research methods and for what purpose. Research design is the process of focusing one's perspective for the purposes of a particular study. Fundamental to every scientific research is a method which can be explained as a prescribed manner for performing a specific task, with adequate consideration of the problem, objectives and hypotheses. For purposes of this study, the researcher will employ the qualitative research method for data collection. Bloomberg and Volpe (2008: 10), define qualitative research as a broad approach to the study of social phenomena and it is based essentially on a constructivist or critical perspective or both. Kumar (2005: 12), states that the qualitative approach is classified as unstructured because it allows flexibility in all aspects of the research process. The researcher will interact with the participants in a natural and unobtrusive way to avoid influencing the results. The researcher will engage the following data collection strategies: individual questionnaires, as well as non-participant observation. According to Bickman and Rog (1998: 11), a credible research design is one that maximises validity, provides a clear explanation of the phenomenon under study and controls all possible biases or confounds that could cloud or distort research findings. Qualitative methods will be used in the entire research because the researcher intends to get detailed descriptions of the actual situations in the district municipality through the sample. Questionnaires will be distributed to the six ward committees from the local municipalities considered as "hotspots" of service delivery protests and the normal local municipalities to understand the situation correctly from their perspective, (Heystek, 2004: 309).
- o) State the minimum and maximum number of participants involved (Minimum number should reflect the number of participants necessary to make the study viable)  
 Min: 6 Max: 20

#### 2. RISKS AND BENEFITS OF THIS STUDY

- a) Is there any risk of harm, embarrassment or offence, however slight or temporary, to the participant, third parties or to the community at large? **No**  
 If YES, state each risk, and for each risk state i) whether the risk is reversible, ii) whether there are alternative procedures available and iii) whether there are remedial measures available.  
**Not applicable**
- b) Has the person administering the project previous experience with the particular risk factors involved? **No**  
 If YES, please specify: **Not applicable**
- c) Are any benefits expected to accrue to the participant (e.g. improved health, mental state, financial etc.)? **No**  
 If YES, please specify the benefits: **Not applicable**
- d) Will you be using equipment of any sort? **No**  
 If YES, please specify: **Not applicable**
- e) Will any article of property, personal or cultural be collected in the course of the project? **No**  
 If YES, please specify: **Not applicable**

<b>3. TARGET PARTICIPANT GROUP</b>
a) If particular characteristics of any kind are required in the target group (e.g. age, cultural derivation, background, physical characteristics, disease status etc.) please specify: <b>Not applicable</b>
b) Are participants drawn from NMMU students? <b>No</b>
c) If participants are drawn from specific groups of NMMU students, please specify: <b>Not applicable</b>
d) Are participants drawn from a school population? <b>No</b> If YES, please specify: <b>Type response here or select "Not applicable"</b>
e) If participants are drawn from an institutional population (e.g. hospital, prison, mental institution), please specify: <b>Type response here or select "Not applicable"</b>
f) If any records will be consulted for information, please specify the source of records: <b>Not applicable.</b>
g) Will each individual participant know his/her records are being consulted? <b>Not applicable</b> If YES, state how these records will be obtained: <b>Not applicable</b>
h) Are all participants over 18 years of age? <b>Yes</b> If NO, state justification for inclusion of minors in study: <b>Type response here or select "Not applicable"</b>
<b>4. CONSENT OF PARTICIPANTS</b>
a) Is consent to be given in writing? <b>Yes</b> If YES, include the consent form with this application [Appendix 2]. If NO, state reasons why written consent is not appropriate in this study. <b>N/A</b>
b) Are any participant(s) subject to legal restrictions preventing them from giving effective informed consent? <b>No</b> If YES, please justify: <b>Not applicable</b>
c) Do any participant(s) operate in an institutional environment, which may cast doubt on the voluntary aspect of consent? <b>No</b> If YES, state what special precautions will be taken to obtain a legally effective informed consent: <b>Not applicable</b>
d) Will participants receive remuneration for their participation? <b>No</b> If YES, justify and state on what basis the remuneration is calculated, and how the veracity of the information can be guaranteed. <b>Not applicable</b>
e) Which gatekeeper will be approached for initial permission to gain access to the target group? (e.g. principal, nursing manager, chairperson of school governing body) <b>The Speaker's Office will be asked to grant letter of permission</b>
f) Do you require consent of an institutional authority for this study? (e.g. Department of Education, Department of Health) <b>Yes</b> If YES, specify: <b>Consent for undertaking the study is to be granted by the Alfred Nzo District Municipality</b>
<b>5. INFORMATION TO PARTICIPANTS</b>
a) What information will be offered to the participant before he/she consents to participate? (Attach written information given as [Appendix 3] and any oral information given as [Appendix 4])
b) Who will provide this information to the participant? (Give name and role) <b>Babalwa Ngomani - Researcher</b>
c) Will the information provided be complete and accurate? <b>Yes</b> If NO, describe the nature and extent of the deception involved and explain the rationale for the necessity of this deception: <b>Not applicable</b>

## 6. PRIVACY, ANONYMITY AND CONFIDENTIALITY OF DATA

- a) Will the participant be identified by name in your research? **No**  
If YES, justify: **Not applicable**
- b) Are provisions made to protect participant's rights to privacy and anonymity and to preserve confidentiality with respect to data? **Yes**  
If NO, justify. If YES, specify: **Not applicable**
- c) If mechanical methods of observation be are to be used (e.g. one-way mirrors, recordings, videos etc.), will participant's consent to such methods be obtained? **No**  
If NO, justify: **Not applicable**
- d) Will data collected be stored in any way? **Yes**  
If YES, please specify: (i) By whom? (ii) How many copies? (iii) For how long? (iv) For what reasons? (v) How will participant's anonymity be protected? **(i) By the researcher; (ii) Two copies; (iii) For a period of 5 years; (iv) For possible verification of results; (v) The names of participants will be kept confidential and their anonymity will be protected. No names or designations will be cited in the final Treatise.**
- e) Will stored data be made available for re-use? **No**  
If YES, how will participant's consent be obtained for such re-usage? **Not applicable**
- f) Will any part of the project be conducted on private property (including shopping centres)? **No**  
If YES, specify and state how consent of property owner is to be obtained: **Not applicable**
- g) Are there any contractual secrecy or confidentiality constraints on this data? **No**  
If YES, specify: **Not applicable**

## 7. FEEDBACK

- a) Will feedback be given to participants? **Yes**  
If YES, specify whether feedback will be written, oral or by other means and describe how this is to be given (e.g. to each individual immediately after participation, to each participant after the entire project is completed, to all participants in a group setting, etc.): **The research findings will be made available to the Alfred Nzo District Municipality.**
- b) If you are working in a school or other institutional setting, will you be providing teachers, school authorities or equivalent a copy of your results? **Not applicable**  
If YES, specify, if NO, motivate: **Type response here**

## 8. ETHICAL AND LEGAL ASPECTS

- The Declaration of Helsinki (2000) or the Belmont Report will be included in the references: **No**  
If NO, motivate: **This is not medical-related research.**  
(A copy of the Belmont Report is available at the following link for reference purposes: <http://www.nmnu.ac.za/documents/fcd/The%20Belmont%20Report.pdf>)
- a) I would like the REC-H to take note of the following additional information:  
**All ethical protocols will be strictly observed during the distribution of the questionnaires and respondents will be timeously informed that their participation is voluntary. They will be allowed to withdraw from the study at any time.**

## 9. DECLARATION

If any changes are made to the above arrangements or procedures, I will bring these to the attention of the Research Ethics Committee (Human). I have read, understood and will comply with the *Guidelines for Ethical Conduct in Research and Education at the Nelson Mandela Metropolitan University* and have taken cognisance of the availability



(on-line) of the Medical Research Council Guidelines on Ethics for Research ( <a href="http://www.sahealthinfo.org/ethics/">http://www.sahealthinfo.org/ethics/</a> ). All participants are aware of any potential health hazards or risks associated with this study. <b>I am not aware of potential conflict(s) of interest which should be considered by the Committee.</b> If affirmative, specify: <b>Not applicable</b>	
	13 October 2016
SIGNATURE: <b>Prof D Taylor</b> (Primary Responsible Person)	Date
	13 October 2016
SIGNATURE: <b>Babalwa Ngomani</b> (Principal Investigator/Researcher)	Date

### 10. SCRUTINY BY FACULTY AND INTRA-FACULTY ACADEMIC UNIT

This study has been discussed, and is supported, at Faculty and Departmental (or equivalent) level. This is attested to by the signature below of a Faculty (e.g. RTI) and Departmental (e.g. HoD) representative, neither of whom may be a previous signator.		
NAME and CAPACITY (e.g. HoD)	SIGNATURE	Date
NAME and CAPACITY (e.g. Chair:FacRTI)	SIGNATURE	Date

### 11. APPENDICES

In order to expedite the processing of this application, please ensure that all the required information, as specified below, is attached to your application. Examples of some of these documents can be found on the Research Ethics webpage ( <a href="http://www.nmmu.ac.za/default.asp?id=4619&amp;bhcp=1">http://www.nmmu.ac.za/default.asp?id=4619&amp;bhcp=1</a> ). You are not compelled to use the documents which have been provided as examples – they are made available as a convenience to those who do not already have them available.
<b>APPENDIX 1: Research methodology</b>
Attach the full protocol and methodology to this application, as "Appendix 1" and include the data collection instrument e.g. questionnaire if applicable.
<b>APPENDIX 2: Informed consent form</b>
If no written consent is required, motivate at 4a). The intention is that you make sure you have covered all the aspects of informed consent as applicable to your work.
<b>APPENDIX 3: Written information given to participant prior to participation</b>
Attach as "Appendix 3". The intention is that you make sure you have covered all the aspects of written information to be supplied to participants, as applicable to your work.
<b>APPENDIX 4: Oral information given to participant prior to participation</b>
If applicable, attach the required information to your application, as "Appendix 4".
<b>APPENDIX 5, 6, 7: Institutional permissions</b>
Attach any institutional permissions required to carry out the research e.g. Department of Education permission for research carried out in schools.

**APPENDIX 3: LETTER OF INVITATION TO WARD COMMITTEES, ALFRED NZO DISTRICT MUNICIPALITY.**

**Letter of invitation to Ward Committees, Alfred Nzo District Municipality.**

Dear Sir/Madam

July 2015

**INVITATION FOR PARTICIPATION IN STUDY**

My name is Babalwa Ngomani and I am currently studying towards a Master's Degree in Public Administration at the Nelson Mandela Metropolitan University.

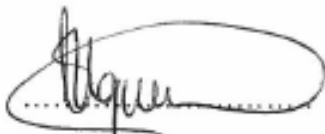
I hereby invite you to participate in my research project which is investigating the causes and impact of service delivery protests in Alfred Nzo District Municipality. Participation will be on a voluntary basis with the option of withdrawing at any stage of the process with no negative consequences.

Your responses will be used for the purpose of the study only. The information will be used in such a way that your identity will not be revealed. On conclusion of the study, the final version of the treatise will not contain any names or any other form of participant identification.

Should you consent to participate in this study, you are not obliged to answer all questions and may omit those which you may feel uncomfortable in answering.

I thank you for your kind participation in this survey.

Yours sincerely



Ms. Babalwa Ngomani (Researcher)  
Department of Political & Governmental Studies  
Nelson Mandela Metropolitan University

**APPENDIX 4: QUESTIONNAIRE FOR WARD COMMITTEE MEMBERS**

**(MA in Public Admin): SERVICE DELIVERY PROTEST ACTIONS: A CASE STUDY OF ALFRED NZO DISTRICT MUNICIPALITY.**

**SECTION A: BIOGRAPHICAL DATA**

**PLEASE MARK THE APPLICABLE BOX WITH AN "X"**

**A1. AGE GROUP (IN YEARS)**

1. 20-35	2. 36-45	3. 46-55	4. +55

**A2. GENDER**

1. MALE	2. FEMALE

**A3. HIGHEST TERTIARY QUALIFICATION**

1. GRADE 10 (STANDARD 8)	2. GRADE 11 (STANDARD 9)	3. GRADE 12 (MATRIC)	
4. CERTIFICATE	5. DIPLOMA	6. DEGREE	
7. POST-GRADUATE	8. OTHER (PLEASE SPECIFY)		

**A4. STATUS**

1. WARD COMMITTEE	2. OTHER

**A5. LENGTH OF SERVICE IN ABOVE POSITION**

1. <1 YEAR	2. 1-4 YEARS	3. 5-9 YEARS	4. 10-19 YEARS	5. >20 YEARS

**PLEASE ANSWER THE FOLLOWING QUESTIONS**

1. What is the primary cause for the recent violent service delivery protest action?

.....  
.....  
.....

2. Were the recent service delivery protest actions fuelled by political motives?

.....  
.....  
.....

3. Does the municipality have sufficient capacity to deliver adequate basic services to its communities?

.....  
.....  
.....

4. Are communities in the Alfred Nzo District Municipality well-informed about municipal matters that affect their respective wards?

.....  
.....  
.....

5. Has the implementation of the municipality's strategies had a positive or negative impact on service delivery?

.....  
.....  
.....

6. Are there any potential challenges politically that could lead to service delivery protests?

.....  
.....  
.....

7. Are there any administrative challenges that could lead to service delivery protests in future?

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.....  
.....

8. Are Ward committees generally aware of the provisions contained in the Local Government Turnaround Strategy (LGTAS) approved by the South African Cabinet in December 2009?

.....  
.....  
.....

9. Are Ward Committees generally aware of the provisions by ANDM to promote public participation through IDP's?

.....  
.....  
.....

10. Is Intergovernmental Relations (IGR) an effective tool to ensure a synchronized way of delivering basic needs to communities falling under the jurisdiction of the ANDM?

.....  
.....  
.....

11. Is there is a general sense of commitment by the political leadership and bureaucracy of the ANDM to fully support the municipality's strategies to curb protests and dissatisfaction?

.....  
.....  
.....

12. Ward Committees receive adequate administrative and technical support from the municipality to enable them to achieve the municipal activities?

.....  
.....  
.....

13. Are Ward committees frequently consulted with regard to service delivery implementation plans?

.....  
.....  
.....

13. Are strategic objectives of the district and sector departments are periodically assessed and reviewed by the municipality?

.....  
.....  
.....

14. Are Communities in ANDM are well informed about the developmental role of local government (municipality)?

.....  
.....  
.....

15. Has the ANDM has developed adequate policies and strategies for the purpose of promoting public consultation and participation within the district?

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.....  
.....

16. Does the ANDM Integrated Development Plan make adequate provision for enhanced service delivery in terms of the municipality's turnaround strategy?

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.....

17. Does the ANDM's turnaround strategy provide a detailed overview on strategies to improve the quality of basic services to its communities?

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.....  
.....

18. Has ANDM set performance management standards in order to monitor the implementation of its policies?

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19. Is there a division / department in place in the ANDM to promote the communication amongst the municipality and communities it serves?

.....  
.....  
.....



20. Does the Customer Share Line that was established to respond to challenges experienced by the communities serve the purpose it was meant to serve?

.....  
.....  
.....

**SECTION C:**

**SWOT ANALYSIS**

Please explain, in one or two brief sentences, your opinion on the Strengths, Weaknesses, Opportunities and Threats pertaining to the Alfred Nzo District Municipality in terms of prevention of service delivery protests.

1. Strengths:

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2. Weaknesses:

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3. Opportunities:

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4. Threats:

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.....

**THANK YOU FOR YOUR KIND COOPERATION IN ANSWERING THIS  
QUESTIONNAIRE**

## APPENDIX 5: LETTER OF AUTHORITY TO CONDUCT RESEARCH



**ALFRED NZO**  
DISTRICT MUNICIPALITY

**23 July 2015**

**Enq: Z.H Sikhundla**

Ms. B. Ngomani  
Department Of Political & Governmental Studies  
**Nelson Mandela Metropolitan University**  
**PORT ELIZABETH**  
**6001**

**Dear Ms. Ngomani**

### **LETTER OF AUTHORITY TO CONDUCT ACADEMIC RESEARCH**

Alfred Nzo District Municipality hereby grants you permission to conduct academic research as part of the requirement for your Master's Degree in Public Administration.

Regards

**MR. Z. H. SIKHUNDLA**  
**MUNICIPAL MANAGER**

PLACE OF UNITY IN DIVERSITY

ERF 1400 NTSIZWA STREET, PRIVATE BAG X 511, MOUNT AYLIFF, 4735, TEL: 039 245 5000, FAX: 039 254 0343

## APPENDIX 6: CHECKLIST FOR SUPERVISORS/PROMOTERS

### Checklist for Supervisors/Promoters Ethics Sub-Committee, Faculty of Arts

#### Candidate Details\*:

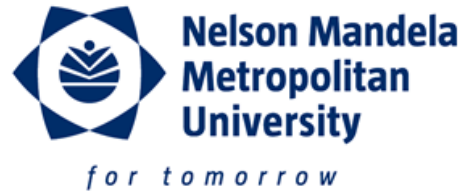
<b>Student's Name: Babalwa Ngomani</b>		
<b>Student's Number: 213479702</b>		
<b>Treatise</b>		
<b>Title: Service Delivery Protest Actions: A case study of Alfred Nzo District Municipality</b>		
<b>Degree: MA in Public Administration</b>		
<b>Promoter: Prof. Derek Taylor</b>		
<b>Department: Political and Governmental Studies</b>		
<b>Co-Supervisor: N/A</b>		
<b>Department: N/A</b>		
Proposal accepted at Departmental level		
Proposal accepted at School level		
Readers: Departmental Reader:		
Date submitted to secretariat RTI (HDC):		
<b>Please indicate that the following documents are attached</b>		
1	Research proposal	Yes
2	Research Instruments (questionnaire(s))	Yes
3	Ethics clearance form (REC-H)	Yes
4	Informed consent	Yes
5	Letters of introduction	Yes
6	Registration details	Yes
7	Letters from organisations granting approval for study	Yes
8	Institutional Consent (if applicable)	Yes
9	Status of submission (1 <sup>st</sup> / 2 <sup>nd</sup> etc)	2nd
10	Is the submission in a zipped file?	Yes
<b>Ethics Sub-Committee Information (to be filled in by Ms. Vermaak)</b>		
Date received from Ms. Mngonyama RTI (HDC):		
RTI (HDC) Readers: Dr K Asmah-Andoh (Reader) and Prof A Konik (Methodology Sub-Committee)		
Resolution:		

#### Additional Notes:

Please find the full Ethics Sub-Committee report, attached.

\*Please complete this information in full.

## APPENDIX 7: ETHICS CLEARANCE LETTER



• PO Box 77000 • Nelson Mandela Metropolitan University  
• Port Elizabeth • 6031 • South Africa • [www.nmmu.ac.za](http://www.nmmu.ac.za)

SOUTH CAMPUS  
FACULTY OF ARTS  
Tel . +27 (0)41 5042855 Fax. +27 (0)41 5041661  
[Noxolo.mngonyama@nmmu.ac.za](mailto:Noxolo.mngonyama@nmmu.ac.za)

Ref: H/15/ART/PGS-0014

29 SEPTEMBER 2015

Mrs B Ngomani  
P O BOX 210  
Tabankulu  
5130

Dear Mrs Ngomani

### **SERVICE DELIVERY PROTEST ACTIONS: A CASE STUDY OF ALFRED NZO DISTRICT MUNICIPALITY**

Your above-entitled application for ethics approval served at the FPGSC Higher Degrees sub-committee of the Faculty of Arts Faculty Postgraduate Studies Committee.

We take pleasure in informing you that the application was approved by the Committee.

The Ethics clearance reference number is **H/15/ART/PGS-0014**, and is valid for three years, from 29 SEPTEMBER 2015 – 29 SEPTEMBER 2018. Please inform the FPGSC, via your supervisor, if any changes (particularly in the methodology) occur during this time. An annual affirmation to the effect that the protocols in use are still those for which approval was granted, will be required from you. You will be reminded timeously of this responsibility.

We wish you well with the project.

Yours sincerely

Mrs N Mngonyama  
FACULTY ADMINISTRATOR

cc: Promoter/Supervisor  
HoD  
School Representative: Faculty FPGSC