ENHANCING PARTICIPATORY DEMOCRACY IN MUNICIPAL AFFAIRS THROUGH THE WARD COMMITTEE SYSTEM: A PARTICIPATORY MONITORING AND EVALUATION APPROACH

By

STEPHEN DE VRIES

Student Number: 3379465

Submitted in fulfilment of the requirements for the degree

MAGISTER OF PUBLIC ADMINISTRATION (MAdmin)

Faculty of Economic and Management Sciences at the

University of the Western Cape

(School of Government)

June 2018

DECLARATION

I, Stephen De Vries hereby declare that the entirety of the work contained herein is my own, original work, that I am the sole author thereof (save to the extent explicitly otherwise stated), and that I have not previously in its entirety or in part submitted it for obtaining any qualification.

Signature: ....

Date: ....25./.6./.2018.........

ACKNOWLEDGEMENTS

I want to thank and express my appreciation to all individuals and institutions for their assistance and support that enabled me to successfully complete this study. I want to extend my sincere gratitude especially to:

- My precious wife and children, Esterline, Dineo and Renard, who have loved me unconditionally through this journey. This thesis is dedicated to you.
- My Supervisor, Prof Ile, for her excellent guidance and encouragement.
- The staff of Knysna Municipality for their never-ending enthusiasm and support.
- All the participants in the study, the ward committee members, councillors and officials for their time and willingness to participate in interviews.
- Mr Jacky Kalani, Manager Public Participation of Knysna Municipality for the support of his Unit and his time.
- In particular Mr Brian Cornelius of the Public Participation Unit for all the arrangements.
- Mr Geoff Brown of Black Oyster for financial assistance and availing his office with stunning views of the natural beauty of Knysna
- Ms Esmé Jefferys for the language editing of the thesis.
- The extended family and friends who supported me throughout this process, whether a word of encouragement or providing accommodation or assisting with transport.

ABSTRACT

Local government is a key point of service delivery and is the sphere where most people interface with government. A good relationship with communities at local government level is therefore critical. Ward committees were designed to improve the relationship between citizens and municipalities and to give effect to the constitutional obligations of municipalities, to provide democratic government and to involve citizens in the affairs of local government.

The establishment of ward committees has been met with great enthusiasm by local communities, as a platform to engage with municipalities. National government and provincial governments were key drivers in this project, with support to municipalities in the establishment of ward committee. This endeavour was intended to facilitate better relationships and cooperation between council and its communities.

This objective of this research study was to explore whether participatory democracy can be enhanced through a participatory monitoring and evaluation approach within the current ward committee system. The main research question was whether ward committees could be utilised as effective instruments for participatory monitoring and evaluation of municipal service? The sub-questions were: what is the theoretical and legal framework for ward committees; what was the status of ward committee in Knysna Municipality; what were the challenges of the ward committee system; is there a role for ward committees in participatory monitoring and evaluation; and were there recommendations for the involvement of ward committees in participatory, monitoring and evaluation and improvement of the efficacy of ward committees?

The study arose out of continuous service delivery protests by communities because of the dissatisfaction with the state of municipal services. Secondly, various research studies have found that, despite national, provincial and local government support programmes for ward committees, the majority remain ineffective and inefficient, and the social distance between communities and municipalities is growing. The lack of communication and the non-responsiveness of municipalities were found to be some of the main causes for the ineffectiveness of ward committees. Key theorists suggest that some of these protests would not occur if effective monitoring and evaluation are institutionalised and communities are involved in monitoring and evaluation. A participatory approach for

monitoring and evaluation was therefore examined within the local government legislative framework of South Africa.

A qualitative research method was chosen, using a case study design. The case study design was chosen because such studies do not attempt to make any generalisations in term of the results or that it will be similar in another case study. This study was focussed on exploring and understanding the issue. Primary data was collected through interviews and focus groups with ward committee members, ward councillors and municipal officials.

Key findings gave emphasis to challenges of lack of communication, non-responsiveness of municipalities and contestation from other community-based organisations that had a negative impact on the credibility and authority of ward committees. The effectiveness of the municipal performance management system as a monitoring and evaluation tool was also questioned in the findings.

The significance or value of the study lies in the finding that willingness for participatory monitoring and evaluation exists as does the insight into the status of municipal performance management systems. Recommendations are made for delegating monitoring and evaluation functions to ward committees. Further investigations into modalities for participatory or result-based monitoring and evaluation, as well as the impact of financial and audit driven performance management system are recommended.

KEY CONCEPTS: ward committee, citizen participation, participatory monitoring and evaluation, representative democracy, participatory democracy, municipality, public participation and stakeholder

LIST OF ABBREVIATIONS

ANC	African National Congress
CBOs	Community Based Organisations
COGTA	Department of Cooperative Governance and Traditional Affairs
CRM	Customer Relations Management
DPLG	Department of Provincial and Local Government
DPME	Department of Performance Monitoring and Evaluation in the Presidency
IDP	Integrated Development Plan
IDS	Institute for Development Studies
KPIs	Key Performance Indicators
LGNF	Local Government Negotiating Forum
LNF	Local Negotiating Forum
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
PM&E	Participatory Monitoring and Evaluation
RBM	Result-Based Management
RSC	Regional Services Council
SALGA	South African Local Government Association\
SANCO	South African National Civic Association
SDBIP	Service Delivery Budget Implementation Plan
TLC	Transitional Local Council
RSA	Republic of South Africa

CONTENTS

LIST OF FIGURES

Chapter 1: Introduction

1.1 Title

Enhancing Participatory Democracy in Municipal Affairs through the Ward Committee System: A Participatory Monitoring and Evaluation Approach

1.2 Introduction

South African municipalities are consistently exploring ways of improving relationships with its citizens. This endeavour is either a genuine desire to improve relations with its citizens or to reduce conflict with its citizens. Irrespective of the reason, the endeavour to seek better relations is consistent with the constitutional principles to provide democratic government and to involve citizens in the affairs of municipalities. This chapter outlines the background of the research study, the research problem, rationale of study, objectives of study, research questions, conception clarification and the chapterisation of the research study.

1.3 Background

For the last twenty-four years, the concept of participation in South Africa has been associated with citizen rights in democratic governance. Prior to the democratic dispensation in South Africa, the concept of participation and citizens' rights participation were foreign to the majority of the population.

Internationally, the concept of participation was mostly used in the field of development to refer to participation in the social development field and community development projects (Gaventa & Valderrama 1999). Participation was about involving communities as stakeholders in development projects and lobbying groups attempting to influence decisions. According to Gaventa & Valderrama (1999), in the latter years the emphasis of participation shifted from consultation to shared decision-making. The World Bank defined "participation as a process through which stakeholders influence and share control over development initiatives and the decisions and resources which affect them" (World Bank 1995).

Participation was also associated with political participation in which citizens are involved in elections, petition and lobbying to influence policy-making within government (Gaventa & Valderrama 1999). Political participation is defined as "those legal activities by private citizens that are more or less directly aimed at influencing the selection of governmental personnel and/or the actions they take" (Nie & Verba 1972; cited by Gaventa & Valderrama 1999, p.2). The activities of citizens were directed towards influencing their representatives in government, instead of active participation in governance. This political participation was closely linked with indirect participation and representative democracy (Richardson 1983; Cunill 1991; cited by Gaventa & Valderrama 1999).

The focus of participation has changed as the conception of participation has become increasingly concerned with citizens' rights in democratic governance (Gaventa & Valderrama 1999). The authors argued that citizen participation is now focussed on direct influence and control of decisions affecting them. According to Gaventa and Valderrama (1999) different concepts of participation also necessitate new participatory methodologies, which include bottom-up processes, interaction with the state, and sharing of information and knowledge. Citizen participation is defined as "the capacity of citizens to define their needs, their capacity to influence decisions and policies that affect their lives" (Gaventa & Valderrama 1999, p. 4). Citizens participation is also dependent on strong civil society to make input into policy and monitor government performance (Ile & Mubangizi 2012) and is dependent on citizens' knowledge of local issues, policy formulation and their rights in legislation (Esau 2007; cited by Ile & Mubangizi 2012)

Citizen participation became more concerned about the activities after the elective processes of political representatives and the participation of citizens has become an essential feature of good governance. According to Gaventa and Valderrama (1999), the world at the same time also experienced a push towards democratic and fiscal decentralisation to enhance citizen participation. Democratic and fiscal decentralisation, according to them, is a precondition for participation at a local level. Siddle and Koelble (2012), concurred with the relationship between decentralisation and participation, in identifying public participation as is a critical feature of decentralisation.

These views indicate that public/ citizen participation and decentralisation are intertwined. The United Nations defines decentralisation as "a process through which powers, functions, responsibilities and resources are transferred from central to local

government and/or other decentralized entities" (cited by Siddle &Koelble 2012, p. 19). The authors identified and defined three types of decentralisation, namely, administrative, fiscal and political decentralisation:

- Administrative decentralisation is the process whereby the authority to administer and execute powers and functions is transferred from national to sub-national government.
- Fiscal decentralisation is the process whereby revenues of the central government, and the power to raise revenues from local sources, are transferred from national to sub-national governments.
- Political decentralisation is the power whereby sub-national governments, elected by local participants are established within a constitutional framework and granted political power and authority to govern over particular geographical areas. (Siddle & Koelble 2012, p. 22)

This theoretical discourse on participation took place as democracy dawned on South Africa. It is the view of the researcher that the shift towards citizen/public participation has significantly influenced the design of the South African state as citizen participation is enshrined in the Constitution of the Republic of South Africa, 1996 (the Constitution). Great strides have been made in the legislative framework to ensure public participation at all levels of government. Public participation is guaranteed from the onset in the preamble of the Constitution, which is the supreme law of South Africa, which "lay the foundation for a democratic and open society in which government is based on the will of the people and every citizen is equally protected by law" (Republic South Africa (RSA) 1996).

The word 'democracy' derives from Greek which means rule by the people (Birch 1993) and therefore in a democratic society suggests that people will be involved in decision-making through some type of participation. The term "will of the people" implies that the democratic government will fulfil the desires or wishes of the people. It can therefore be reasoned that the Constitution envisaged that the rule by the people (democracy) to be based on the will of the people. The intent of the preamble was thus unambiguously for citizens to actively participate in the new democratic dispensation. The Constitution makes provision for a multi-party democratic state in which regular elections take place based on a common voters' roll and that is open, accountable, and responsive to its citizens.

Representative democracy is defined "as a government by men and women elected in free and fair elections in which each adult citizen's vote is equally weighted" (De Villiers 2001, p. 20). According to De Villiers (2001) elected political representatives in a representative democracy, represent their constituents and are entrusted to make decisions on behalf of their constituencies according to the mandate that they had received in the polls. The elected political representatives are not delegates of their constituents, although elected political representatives represent their constituents (Birch 1993). It can therefore be reasoned that in an exclusively representative democracy, there is no assurance that elected representatives will represent the will of the people. The only legislative means for voters to hold representatives accountable is the next election.

De Villiers (2001) also defined participatory democracy as a form of representative democracy, wherein citizens actively participate in decision-making processes of government. He therefore implies that in a participatory democracy, elected representatives must consult their constituencies before making decisions. Participatory democracy can therefore be seen as an expansion of representative democracy, in which there is participation from society. Siddle and Koelble (2012) contended that public participation as a mode of participatory democracy is an important aide to formal representative democracy. Participatory democracy leads to popular control in decision-making and policy implementation (Wolfe 1986). Representative democracy and participatory democracy are therefore not mutually exclusive and can co-exist within the same political system.

The multi-party system makes provisions for political party representatives to be elected to the national, provincial and local spheres of government. On a national and provincial level, citizens participate in the electoral system that is solely based on proportional representation. This is governed by the Constitution which only provides that national and provincial representatives be elected in an electoral system as prescribed by national legislation. However, for local government, the Constitution provides for councillors to be elected in an electoral system that makes provision for proportional representatives and directly elected ward representatives (RSA 1996).

The right of citizens to participate in national, provincial and local legislatures is guaranteed in sections 59, 66, 118 and 152 of the Constitution (RSA 1996). Public participation in local governance is entrenched within the objectives of local government in section 152 of the Constitution, which states, amongst others, that municipalities must

provide democratic and accountable governance to communities and encourage their involvement (RSA 1996). The founding fathers of the Constitution were unambiguous regarding their intention for the participation of local communities in the affairs of municipalities. It is important to note that the Constitution set no limitations on the matters that municipalities may involve communities in.

The Local Government Municipal Structures Act, Act 117 of 1998 (Municipal Structures Act), provides for the establishment of ward committees with the objective of enhancing participatory democracy in municipal affairs. Ward committees participate in municipalities through the ward councillor and are entitled to make recommendations on matters that affect the ward to or through the ward councillor, either to council, the executive mayor or executive committee. Section 74 of the Municipal Structures Act also gives legislative authority to council to delegate duties and powers to ward committees as it deems necessary (RSA 1998). These provisions allow municipalities to involve communities in any of the processes of policy formulation, decision-making and monitoring and evaluation.

The Constitution allocates functions and powers to local government in Part B of Schedule 4 and 5 (RSA 1996). Section 151(3) guarantees municipalities the right to govern its own affairs within the national and provincial framework and confers the executive and legislative authority of municipalities upon the municipal council (RSA 1996). South African municipalities are entrusted with fiscal powers to impose rates, surcharges, fees, levies and to raise loans, within the national legislative framework (RSA 1996).

The constitutional and legislative framework for local government provides for a democratic system that is both representative and participatory in nature and provides for decentralisation. The local government framework therefore meets the conditions for democratic (political & administrative) decentralisation and fiscal decentralisation for citizen participation as identified by Gaventa and Valderrama (1999), and Siddle and Koelble (2012).

1.5 Research problem

Progress of decentralisation in the new democratic dispensation in South Africa is evident across the legislative framework. Major steps have taken place through an abundance of legislation to decentralise political, administrative and fiscal powers to local government. According to Tapscott (2006) the devolution of meaningful power to local government received widespread appraisal, but the pre-conditions to effect decentralisation did not exist, mainly due to capacity and service delivery failures at local levels. Ile and Mubangizi (2012) also noted this progress toward citizen participation, but, however, argued that it largely remains on paper or, where implemented, it is found to be ineffective.

The establishment of ward committees have been met with great enthusiasm in local communities as a tool to engage with the municipality, but research over time indicated that it is not functioning to its potential. Academics and local government practitioners hold various views on the effectiveness and efficiency of ward committees. Tapscott (2006) argued that ward committees do not discharge their development mandate and do not enhance participatory democracy. The effectiveness of ward committees was found inconsistent and many have become ineffective or dysfunctional (Siddle & Koelble 2012). The lack of understanding of the role of the ward committees was also found by Buccus and Hicks (2008) to contribute to the ineffectiveness of committees, despite clearly legislated provisions and guidelines. Ward participatory processes were also found to legitimise pre-determined policy decisions of municipalities and that only a privileged few accesses the ward participatory processes (Buccus & Hicks 2008).

On the positive side, it is believed that the ward committee system plays a positive role in communities but needs capacity (Davids 2005; cited by Odfield 2008). In cases where there was political will to make ward committee function, and funding was made available for capacity building, the benefits of continuous participatory engagements were evident (Putu 2006). Also according to Ile and Mubangizi (2012) citizens' participation in some cases did improved resource management and participation processes. The authors cited the KwaNositha Water Project in the Hibiscus Coast Municipality and the eThekweni Zimabele infrastructure maintenance programme as successful citizen participation models.

Various support and intervention programmes by national and provincial governments have been implemented over the past eighteen years to improve the functioning and effectiveness of ward committees. The support and intervention initiatives included continuous induction and training programmes for ward committee members. A ward committee handbook was also developed by Department of Provincial and Local Government (DPLG) in 2005, with a revision in 2014 by the Department of Cooperative Governance and Traditional Affairs (GOGTA). These interventions seem not to have the desired results of improving the effectiveness and efficiency of ward committees.

Despite interventions on an on-going basis, to improve the functioning of ward committees, social unrest remains a daily occurrence in South Africa. According to Municipal IQ, "Violent protests increased from representing 75% of all service delivery protests between 2004 and 2016 to 86% in 2016. This means that while there was less service delivery protests, those that occurred were more violent"
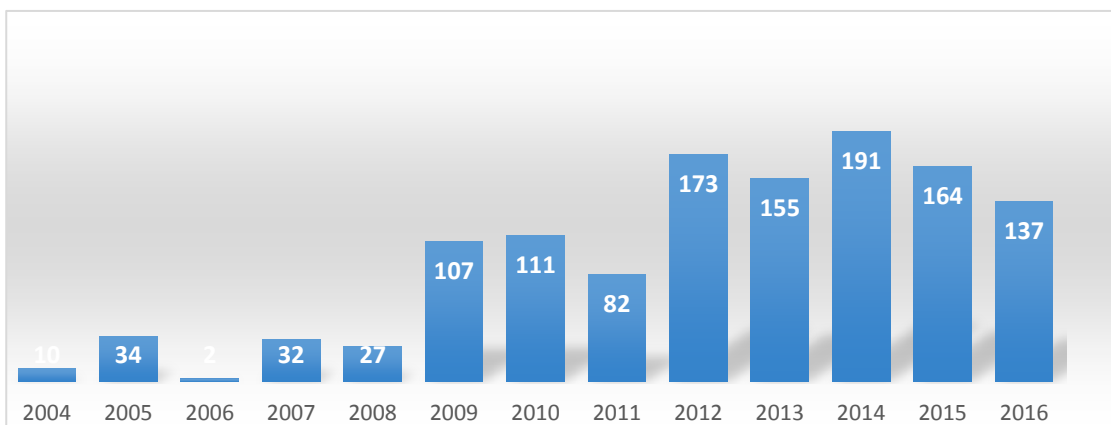
Figure 1 Major Service Delivery Protests

(Source: Municipal IQ Municipal Hotspots Monitor)

According to Akinboade, Mokwena and Kinfack (2013), the main reasons for service delivery protests are the dissatisfaction of communities with the state of basic municipal services, poverty, unemployment, management of municipality and communication. Their study found that participants in these protests believed that it was the only successful method to address their grievances. In another study by the Centre for Development Support of Free State University into service delivery protests in Phumelela, the main reasons identified were poor governance, political rivalries, a lack of communication, poor customer interface, inefficient management and issues of affordability and unfunded mandates (Centre for Development Support 2007).

The Back-to-Basics Strategy also highlighted the breakdown of trust between communities and councillors and the social distance caused by a lack of public participation and ineffective ward committee systems, as reasons for poor service delivery (Department of Cooperative Governance and Traditional Affairs 2014). The main causes of service delivery protest identified were the state of service delivery, the lack of communication and the non-responsiveness of the municipality. Communities complained about not being consulted on the type of services or the level of services to be implemented, the poor quality of services, and the maintenance of services. The lack of communication and non-responsiveness from the municipalities were about being non-existent or very slow. Service delivery protests being a regular feature in communities, resulted in municipalities spending a great deal of time responding to protests and its related issues, rather than implementing its approved developmental plans.

1.5 Rationale of Study

Local government is a key point of service delivery and it is the sphere where most people interface with government. A good relationship with communities at local government level is therefore critical. Ward committees were not only designed to improve relationship with citizens, but to provide democratic governance and to involve citizens in the affairs of local government as envisaged by the Constitution.

The Back to Basics Strategy correctly seeks to improve the effectiveness and efficiency of municipalities, which include basic service delivery and improved public participation through the ward committee system. The strategy outlines five programmes to be implemented by all municipalities (Department of Cooperative Governance and Traditional Affairs 2014). The first programme is to improve public participation, which aims to put people and their needs first. The second programme focuses on basic infrastructure, to ensure that minimum basic services are delivered without interruptions, at the right standard and quality. The third programme, good governance, is to ensure that municipalities are well governed, uphold good governance practises, are transparent and accountable. The fourth programme, on financial management, is to ensure sound financial management, good accounting practises and efficient use of resources. Lastly, the programme on institutional capacity will focus on building and maintaining capacity of the organisation and individual personnel.

The programme on public participation emphasises the endeavour to improve the functioning of the ward committees. It states that "municipalities must implement responsive and accountable processes to communities and that ward committees must be functional, and councillors must report back to their constituencies quarterly" (Department of Cooperative Governance and Traditional Affairs 2014). Although the programme states that municipalities must implement responsive and accountable processes, the focus of monitoring the programme is narrow. The monitoring and evaluation of the programme only focus on the functioning of ward committee, as opposed to efficiency and effectiveness. The main measurement of success for this programme will be whether meetings took place or not. As in the case with the Western Cape Draft Diagnostic Report, the Back-to-Basic Strategy identified ineffectiveness of ward committees and non-responsiveness of municipalities as the major challenges of ward committees (Western Cape Department of Local Government, 2016). Yet both interventions only concentrate on the functioning of the ward committees, narrowing it down to whether meetings took place or not. Little regard is given to how other matters influence the credibility and legitimacy of the ward committees, which in turn might have an impact on its effectiveness.

Human, Marais and Botes, in their study on community participation on the integrated development plans of municipalities, proposed that participation should not stop with the planning phase, but that communities must participate in project identification, setting priorities, implementation and the monitoring and evaluation of the project implementation (Human, Marais & Botes 2009). The Centre for Development Studies, in their research on local protest, supported this view and recommended more efficient client interface monitoring systems and strengthening the monitoring capacity of ward committees (Centre for Development Support 2007). Both these studies reasoned that ward committees may gain credibility and be more effective and relevant to communities, if they are involved in the monitoring and evaluation of municipal services.

Ile, Eresia-Eke and Allen-Ile (2012) contended that service delivery protests are because of lack of development and that these protests will perhaps not happen if effective monitoring and evaluation are institutionalised. The authors argued that transparent monitoring and evaluation, with result-based management, will improve the performance of municipalities and improve service delivery. Critical to this result-based monitoring and evaluation, is effective stakeholder participation, especially with the beneficiaries. It further states that "the result-based management approach is hinged upon the participation

of stakeholders and is really geared towards bringing about stakeholder satisfaction, through the delivery of agreed-upon results" (Ile, Eresia-Eke, Allen-Ile 2012, p.58).

The researcher believes the involvement of ward committees, as representatives of communities, in the monitoring and evaluation of municipal services, may reduce service delivery protest. Ward committees are an important component and stakeholder in municipalities and can be a key stakeholder as mentioned in Ile, Eresia-Eke, Allen-Ile (2012) result-based management approach. The Local Government Municipal Systems Act, Act 56 of 2000 (Municipal Systems Act) requires that communities must be part of decision-making processes, and the monitoring and evaluation of the performance of the municipality.

An abundance of research has been commissioned on the basic functioning and effectiveness of ward committees. The researcher is of the view that research on the efficacy of ward committees and possible involvement in monitoring and evaluation of municipal services may provide solutions to community protest or improve the efficiency of ward committees or/ and enhance participatory democracy.

1.6 Objectives of Study

The objective of this study was to explore whether participatory democracy can be enhanced through a participatory monitoring and evaluation approach within the current ward committee system.

The study:
1. Examined the theoretical and legal imperatives of the ward committee system.
2. Analysed the efficacy of the ward committee system in Knysna Municipality.
3. Determined the main challenges in the ward committee system in Knysna Municipality.
4. Explored opportunities for participatory monitoring and evaluation as a means of improving ward committee efficacy.
5. Made appropriate recommendations.

1.7 Research Question

The main research question was whether ward committees can be utilised as effective instrument for participatory monitoring and evaluation of municipal service? To answer this question, the following sub-questions were identified:

- What is the theoretical and legal framework for ward committees and its application in Knysna Municipality?
- What is the current status of ward committees in Knysna Municipality?
- What are the current challenges of the ward committee system?
- Is there a role for ward committees in participatory monitoring and evaluation?
- Are there recommendations for the involvement of ward committees in participatory monitoring and evaluation and improvement of the efficacy of ward committees?

1.8 Concept Clarification

1.8.1 Citizen Participation

Citizen participation is defined "as the capacity of citizens to define their needs, their capacity to influence decisions and policies that affect their lives" (Gaventa & Valderrama 1999). Citizen participation in this study refers to the activities of citizens to influence decision-making.

1.8.2 Public Participation

The World Bank defines participation as "a process in which the various stakeholders have shared influence over development decisions and its resources" (cited by Tapscott & Thompson 2013). The Human Science Research Municipal Council (cited by De Villiers 2001), on the other hand, defines public participation as "the various legal political behaviours that the public engages with government. These legislated behaviours range from just seeking information up to decision-making".

Public participation for this study refers to the legal activities of citizens engaging government to influence decision-making.

1.8.3 Representative Democracy

"Representative democracy is a government by men and women elected in free and fair elections, in which each adult citizen's vote is equally weighted, became standard Western form" (De Villiers 2001 p. 20). De Villiers further explained that these political representatives are elected to represent their constituencies, with a mandate to be the voice of that constituency in the legislature and are therefore entrusted to make decisions on behalf of their constituencies, according to the mandate that they had received

Representative democracy in this study will refer a democratic political system in which political representative are elected to represent their constituencies and are entrusted to make decisions on behalf constituencies without the legislature requirement to consult the constituency.

1.8.4 Participatory democracy

Participatory democracy is defined by De Villiers as a form of representative democracy, wherein citizens are actively participating in decision-making processes of government (De Villiers 2001). Citizens are not just represented by their elected representatives but are involved in actual decision-making processes

Participatory democracy in this study means a democratic political system in which political representatives are elected to represent their constituencies, with the legislative requirement to consult their constituencies and in which citizens actively participate in the decision-making processes of government.

1.8.5 Stakeholder

Freeman identified stakeholders as "those groups who have a stake in, or claim on, the firm" (Freeman 2001, p.145). 19). A stakeholder is a person or group that has a stake or claim in an organisation's activities (Bryson 1995).

A stakeholder in this study means any person, group or organisation that can place a claim on or is affected by an activities or output.

1.8.6 Participatory Monitoring and Evaluation

According to Marisol Estrella, no single definition or methodology exists for participatory monitoring and evaluation and that different terms are used to describe participatory monitoring and evaluation practices (Estrella 2000). These terms include participatory evaluation; participatory monitoring; participatory assessment; monitoring and evaluation; participatory impact monitoring; process monitoring; self-evaluation community monitoring; and stakeholder-based evaluation.

In this study, participatory monitoring and evaluation mean the involvement of communities in the development, implementation and review of monitoring and evaluation systems.

1.8.7 Municipality

Citizens often use the term municipality when referring to the administration of the municipality or the administration and municipal council. In some cases, members of council will also use the term municipality when referring citizens to the administration. The Municipal Structures Act defines a municipality as "an organ of state within the local sphere of government exercising legislative and executive authority within an area determined in terms of the Local Government: Municipal Demarcation Act, 1998; and consists of the political structures and administration of the municipality; and the community of the municipality" (RSA 2000).

For the purposes of this study, a municipality is defined as a local organ of state, with both legislative and executive authority, that consists of the political structures, administration and the community of the municipality

1.8.8 Municipal Council

A municipal council in this study means a council that consists of elected members in accordance of the national legislation in which the executive and legislation authority of the municipality is vested

1.8.9 Political structure

A political structure in this study refers to the municipal council and any committee or structure elected, appointed or designated by the municipal council.

1.8.10 Political office bearer

Political structure in this study means the executive mayor, deputy executive mayor speaker, mayor and deputy mayor, member of executive and mayoral committees.

1.8.11 Public Administration

Public Administration (upper case) refers to the discipline that studies specific phenomena in the public sector

1.8.12 public administration

P/public administration (lower case) refers to the activities performed by public officials

1.8.13 Public Sector

Public sector refers to those sectors that provide a public service to society under the direction of a government.

1.9 Chapter Outline

Chapter 1: Introduction

This chapter includes the background, research problem, the rationale and objective of study and the research question. The researcher outlines the background to the study and explains the current problem and reasons for the study. The objective of the study and research question is also discussed and the chapter concludes with concept clarification.

Chapter 2: Literature Review

The literature review consists of the theoretical framework. In the theoretical framework the researcher discusses stakeholder theory, general systems theory, participatory monitoring and evaluation approach and public administration and its relevance to the research topic

Chapter3: Legislative Framework

The legislative framework outlines key legislation and regulations that affect the research area. Amongst the key legislation discussed is the Constitution of the Republic of South Africa; The White Paper on Local Government; The Local Government Municipal Structures Act, Act 117 of 1998; the Local Government Municipal Systems Act, Act 32 of 200; and the Local Government Municipal Financial Management Act, Act 56 of 2003.

Chapter 4: Research design

This chapter explains the research methodology and design that was used in this research. The chapter will also explain the rationale of the research methodology and design. This includes the population and sampling, data collection techniques, the reliability and validity, data analysis and interpretation and ethical consideration.

Chapter 5: Research findings and analysis

This chapter covers the analysis and findings of this research. The process that the researcher has used includes the following steps: identify the main themes; assign codes to the main themes; classify responses under the main themes; and integrate themes and responses into the text of report.

Chapter 6: Conclusion and recommendations

In this chapter the researcher concludes the study with concluding remarks and makes recommendations based on the research analysis and findings.

1.10 Conclusion

The legislative provisions clearly indicate that public participation was envisaged to be an integral part of the new democratic dispensation in South Africa. Ward committees were established to strengthen the democratic system at local government level through citizen participation. In exploring the feasibility of the involvement of ward committees in the monitoring and evaluation of municipal services, the researcher is mindful of both the challenges and successes of ward committees.

Chapter 2: Literature Review

2.1 Introduction

The main research question under investigation is whether ward committees can be utilised as effective instruments for participatory monitoring and evaluation of municipal service. Ward committees and monitoring and evaluation are all part of municipal systems. Secondly, both systems involve different stakeholders and municipalities fall within the discipline of Public Administration. The research question is therefore investigated within theoretical discourses of systems theory, stakeholder theory, participatory monitoring and evaluation, and Public Administration.

2.2 General Systems Theory

Ludwig von Bertalanffy, in explaining the history of systems theory, said that in all scientific fields the term 'wholeness' was found (Bertalanffy 1950). He cited the Laplacian spirit, which explains the world in atoms that are governed by laws of nature, the statistical laws of Boltzmann originated in the principles of thermodynamics and in physics where "organism is considered to be an aggregate of cells as elementary life-units ... and relations of organisation resulting from a dynamic interaction and manifesting themselves by the difference in behaviour of parts in isolation and in the whole organism" (Bertalanffy 1950, p. 1).

Ludwig von Bertalanffy further acknowledged Virchow's programme of cellular pathology which argued that, in order to treat a disease of a singular cell, the organism must be considered in its entirety. The concept of wholeness is also found in Gestalt psychology which "has demonstrated the existence and primacy of psychological entities, which are not a simple summation of elementary units, and are governed by dynamical laws" (Bertalanffy 1950, p. 1)

Ludwig von Bertalanffy concluded that, although the different systems are completely opposed scientifically, theoretically and socially the systems are similar to the principles of dynamic wholeness (Bertalanffy 1950). Laszlo and Krippner also agreed that general systems theory benefited from developments in different scientific fields (Laszlo and Krippner 1998). These parallel developments in the different fields, according to Bertalanffy, necessitated a theory of universal principles that could apply to systems in

general and therefore declared that "in this way we postulate a new discipline called General System Theory" (Bertalanffy 1968, p. 32). Skyttner affirmed this statement when he stated that systems theory provided a common language for different science (Skyttner 2001, p. 3)

According to Bertalanffy, general system theory therefore "is a general science of wholeness which up till now was considered a vague, hazy, and semi-metaphysical concept. In elaborate form it would be a logico-mathematical discipline, in itself purely formal but applicable to the various empirical sciences" (Bertalanffy 1968, p. 37). Russell Acknoff explained a system as "a set of interrelated elements" (Acknoff, 1971), while Laszlo and Krippner defined a system as "a complex of interacting components together with the relationships among them that permit the identification of a boundary-maintaining entity or process" (Laszlo and Krippner 1998, p. 7)

Skyttner attributed the following basic principles of the system theory to Ludwig Bertalanffy and Joseph Litterer respectively (Skyttner 2001). A system is greater than the sum of its parts; the system must display some predictability; each sub-system is an independent unit; each sub-system is part of a higher hierarchical order; each sub-system perform a special function; a system is an information system; all systems are interrelated and interdependent; a system consists of a set of objectives; a system is an active network of interconnected elements; a change in one unit must produce change in all the others; in a system, various inputs are transformed into outputs, boundaries of a system can change; a system is strongly goal-directed, gives feedback and is adaptable to change.

Russell Acknoff also contributed to and affirmed the above-mentioned principles, stating that, to address problems in the system approach, the focus must be on the entire system and the separate parts (Acknoff 1971). He further stated that the systems approach is concerned with the performance of the entire system and that even a small change in one or a few parts must be addressed or evaluated from a holistic point. The concerned with the entire system existed because there is a relationship between all parts of the systems.

2.2.1 Classification of Systems

Russell Acknoff identified different types of systems according to the behaviour of the system, called behavioural classifications of systems (Acknoff 1971). The first system is called a state-maintaining system which only reacts in one way to an internal or external occurrence but reacts differently to dissimilar occurrences and produce similar internal or external outcomes. This system is commonly referred to as a closed system that does not have equifinality (Bertalanffy 1950). Secondly a goal-seeking system is a system that responds differently to one or more occurrences and can accomplish the same outcome differently. A goal-seeking system is described as having equifinality. The third system identified by Acknoff is a multi-goal-seeking system that can achieve two different goals from the same initial state with two or more occurrences. Fourthly a multi-goal-seeking system, with different goals with a common property, is called a purposive system. Purposiveness means "that the actual behaviour is determined by the foresight of the goal" (Bertalanffy 1950, p. 160). Fifthly, a purposeful system is a system that can produce the same outcome from dissimilar ways and different outcomes from the similar states. Lastly, an ideal seeking system is a purposeful system that seeks another goal on attainment of its previous goal or objective.

2.2.2 The organisation as a system

Acknoff defined an organisation as "a purposeful system that contains at least two purposeful elements which have a common purpose" (Acknoff 1971, p. 669). To illustrate, Acknoff stated that, while wires, poles and a switchboard make up a communication system, it is not an organisation. However, employees of the telephone company make up the organisation that operates the system, with the common purpose to operate the system. In this case the two purposeful entities are the communication system and the people that operate it. The second characteristic of an organisation is that it has a division of work (labour). Thirdly, the distinct components influence or respond to each other's conduct through communication or observation. The last characteristic of an organisation as a system is that at least one of the components or sub-systems has a systems-control function.

2.2.3 Recent trends in systems thinking

Laszlo and Krippner stated that the endeavour to apply and understand systems theory over time has resulted in the further development of systems theory and the exploration of systems design methodology (Laszlo and Krippner, 1998). This has led to a three-fold distinction of system approaches. The first is the hard systems approach, which is found in areas such as engineering. Secondly, is the soft systems approach that is mainly found in humanistic psychology, with people as the main component. The third systems approach is the mixed systems approach that is found in operations research.

Another key development in systems theory was critical systems thinking. Critical systems thinking promotes the analytical and complementary use of different systems approaches (Laszlo and Krippner 1998). According to Laszlo and Krippner, the critical systems approach is committed to the following five areas, critical awareness; social awareness; complementarism at the methodology level; complementarism at the theory level; and human emancipation and explained it as follows (Laszlo and Krippner 1998, p. 16):

> Through critical awareness, a person is enabled to analyse the assumptions, strengths, and weaknesses of the theoretical underpinnings of the systems methods and techniques brought to bear both at a particular level of the system under consideration, and at the level of the system as a whole. Social awareness brings into play the societal or organizational climate that influences the acceptability of a given systems approach at a particular time. Complementarism of methodology addresses the use of different sub-methodologies for the attainment of particular tasks. Theory-complementarism advocates respect for different theories while seeking to address constitutive interests. Finally, the notion of human emancipation seeks to raise the quality of life and work for the persons involved in a systems intervention.

2.3.4 General systems theory and the municipality

A municipality is often wrongly referred to as an organisation, instead of a system. The reference to a municipality as organisation is normally applicable to one of the components of the municipality, the administration. This is despite the definition of a municipality as consisting of the council, administration and the community in the Municipal Systems Act. A municipality therefore should be seen as an open system with three components that are interrelated and each of these components consists of more than one sub-components. A municipality is both a purposive system and a purposeful system. A municipality is a purposive system because it has multiple goals with a common

purpose to deliver services to its residents. As a purposeful system a municipality can produce the same result differently as the same organisation (in the same state) and can also produce different results as the same organisation.

Often interventions of different policies are applied to produce the same outcome or one policy intervention can have multiple outcomes. In terms of systems approach, a municipality can be defined as a mixed systems approach. Certain components of a municipal system are hard systems, found in the technical divisions such as water and electricity departments. Also, parts of these hard systems have a human element that needs to operate these systems, hence they are also mixed. An important component of a municipal system is its community, which is a soft system. It is important to understand and analyse the community as a soft system, as it interacts differently, in different times and in different forms with itself, with other components of the municipality and with the municipality as a whole.

2.3 Stakeholder Theory

"According to Freeman, the main assumption of stakeholder theory is that an organisation's effectiveness is measured by its ability to satisfy not only the shareholders, but also those agents who have a stake in the organisation" (Freeman 1984, cited by Gomes 2006, p. 47). The agents referred to by Freeman are those who are affected by the actions of the organisation. Gomes explained that "stakeholder theory embeds two distinct approaches: the organisation focusing on its stakeholders in order to propose suitable managerial techniques, and the manner a stakeholder approaches the organisation claiming his/her rights" (Gomes 2006, p. 47).

Two arguments are advanced by Freeman (2001) for his motivation for stakeholder theory of the company. His first argument is a legal argument that corporations cannot just run companies in the interest of shareholders, because corporations are legal entities that operate within legal systems and are legally compelled to look after the interest of other stakeholders. Freeman cited the erosion of the "privity of contract" doctrine with verdicts such as the Greenman vs Yuba Power that held the company liable for damages caused by its products and labour legislation that gives workers the right to form unions, bargain and equal pay. He further supported this legal argument by citing legislation that had been enacted to protect communities' interest such as the Clean Air and the Clean Water Acts

in the USA, protecting the environment and the rights of communities to clean air and water. These changes in the legal system according to Freeman gave rights and duties to stakeholders that have a stake in a company, whether as shareholders, customers, suppliers, employees or community.

The second argument for stakeholder theory is an economic argument in which benefits are internalised and costs externalised (Freeman 2001). Freeman argued that managers always seek to maximise profits for shareholders, therefore legislative costs (tax) on business are often partially or entirely passed on to other stakeholders. For example, costs to mitigate negative impact of the environment by companies are not borne by companies alone, but rather shared or transferred to customers and/or suppliers. An example in South Africa is the cost of shopping bags that was passed on to customers. George (2003) further advanced the economic argument by stating that serving all stakeholders will produce long term end results and contribute to the growth of a prosperous company and no conflict exists between profits and serving all your stakeholders (George 2003; cited by Freeman 2010)

2.3.1 Issues in stakeholder theory

According to Gomes, stakeholder theory remains vague because of the lack of clarity that exists explaining the complex relationships between an organisation and its stakeholder (Gomes 2005). Donald and Petersen therefore proposed for stakeholder theory to be accepted, "it must describe how stakeholders interact with the focal organization; establish a framework for examining the connections, if any, between the practice of stakeholder management and the achievement of various corporate performance goals and define how the organization needs to deal with its stakeholders in fair and honest relationships" (Donald & Preston 1995; cited in Gomes 2005, p.48)

Gomes explained resource dependence as an open system that requires resources from other stakeholders (Gomes 2005). This need for resources (supplies, equipment, labour) led to a dependency relationship, despite the organisation having the financial resources. Resource dependency deals with the manner an organisation manages the dependency with its suppliers, financiers, shareholders or labour. Institutional theory can be defined as the way in which an organisation conforms to its external environment (Scott 1998; cited by Gomes 2005). The external environment normally influences institutional changes to an

organisation. In Knysna Municipality pressures for more public participation resulted in an expansion of the organogram.

The power of stakeholders to influence an organisation determines policies of the organisation as well as the benefits derived from stakeholder involvement. In local government in South Africa, this power to influence is often at the centre of discontent or conflict between components in the municipalities. Power is the ability to force a person or organisation to do what that person or organisation otherwise would not do and is based on the control of resources, technical skill and knowledge, legal prerogatives and access to power (Mintzberg 1983; cited by Gomes 1995).

2.3.2 Stakeholder theory and the municipality

Both the legal argument and the economic argument are valid in the public sector, including in local government. Legislation gives rights to various stakeholders in municipalities. Communities have vested constitutional rights in municipalities, which provide for communities to be involved in local government issues (RSA 1996). The Bill of Rights in the Constitution of the Republic of South Africa and labour legislation, such as the Labour Relations Act and the Basic Condition of Employment Act gave employee's rights to unionise and collective bargaining for conditions of employment and wages. Municipalities are liable for non-delivery or poor delivery of services. The major share of municipality's costs for goods and services are transferred to communities (customers) through rates, levies and fees. Management is required to act in the interest of the community, who are both the shareholder and beneficiary.

Stakeholder management in municipalities is more complex than in a private company, due to legislative prescripts and the differential role of stakeholders. The Municipal Systems Act states that a municipality consists of a council, administration and community (RSA 2000). This definition of a municipality prompts the complex relationship of the community with the other two components of the municipality. Despite the legislative inclusion as part of the municipality, the community is often treated as an external stakeholder, which is often the cause of community dissent.

Councillors are being elected by the community to represent them in council and must ensure that services are delivered to communities. The community therefore takes the role of shareholder (represented by councillors) and is also the beneficiary of the service to be

delivered. While the municipality executive authority is vested in the municipal council, responsibilities of stakeholder engagement is legislated for both the council, administration and communities (RSA 2000). Chapter four of the Local Government Municipal Systems Act outlines the municipal affairs that communities must be consulted on, with the mechanism, processes and procedures (RSA 2000). This allows for municipalities to identify stakeholders, their influence and the needs of each stakeholder. Management in municipalities is directed to be responsive to the needs of communities, establish relations and communication channels, inform communities on the management of the municipality and the cost associated with it (RSA 2000). South African legislative framework is consistent with the role of communities and other stakeholders in the public sector.

2.4 Participatory Monitoring and Evaluation (PM&E) Approach

Monitoring and evaluation are two separate activities of the same process. These two processes often take place at the same time. In addition, the monitoring activities can be evaluated and evaluation activities can be monitored. According to Kusek and Rist (2004) monitoring and evaluation is distinct but complementary. Monitoring is defined as "a continuous function that uses the systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds" (OECD 2002a; cited by Kusek &Rist 2004, p. 12). Monitoring thus focusses on the activities of a project and whether it is delivered against agreed targets. The focus of monitoring is on the progress of the activity and the completion of the final product (output).

Evaluation, on the other hand, is defined as "the systematic and objective assessment of an ongoing or completed project, program, or policy, including its design, implementation, and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact, and sustainability of funds" (OECD 2002a; cited by Kusek &Rist 2004, p.12). Evaluation provides credible and useful information on lessons learned, that can be used in decision-making and focusses on the effectiveness and efficient use of resource and secondly on the outcome and impact. It is evident that is a there is a close and complementary relationship between monitoring and evaluation, and both processes are part of performance management systems. Monitoring

answering the "where" and "when questions", and evaluation provides the answers to the "why" questions.

Participatory monitoring and evaluation is a different approach than traditional monitoring and evaluation. Traditional monitoring and evaluation are said to only focus on the inputs and outputs (Kusek & Rist 2004). Institute of Development Studies (IDS) referred to traditional monitoring and evaluation as an internal process that excludes other stakeholders or involves them in a very minimal and predetermined process (IDS 1998). With participatory monitoring and evaluation, policy makers, beneficiaries and other stakeholders jointly make decisions on both the result and method of measurement of a development (IDS 1998). The Institute of Development Studies believes that a participatory monitoring and evaluation approach hold important lessons for development and improve accountability.

Participatory monitoring and evaluation approaches benefited from twenty years of participatory research traditions, which includes participatory action research (PAR), participatory learning and action (PLA) and participatory rural appraisal (PRA) (Estrella 2000). Interest in PM&E is driven by achieving better results, taking into account local perspectives, greater accountability, scarcity of resources, a shift towards decentralised local government and a trend towards decision-making based on own capacity and experiences (Estrella 2000).

Many variations of participatory monitoring and evaluation exist, but the variations have four common principles and four major steps (Estrella 2000). The four common principles are participation, learning, negotiation and flexibility. Participation involves the inclusion of the beneficiaries and other directly affected parties in all processes of the development. Negotiations in PM&E must take place to reach agreement on what must be monitored and evaluated and how. Learning is used to improve monitoring and evaluation, and what corrective actions are needed. Flexibility is needed to accommodate changing environments that might impact on the role of different stakeholders and the system for PM&E.

Marisol Estrella (2000) also identified planning, data gathering, data analysis, and documentation as four major steps for the PM&E process. In the planning phase which is

considered the most critical, stakeholders determine the objectives for monitoring and what information should be monitored. During the planning phase, the indicators for monitoring are also determined. Various participatory data gathering methods are used such as audio-visual, group work, interviewing and community surveys. In the data analysing phase, the involvement of stakeholders is paramount. The final phase of documentation includes reporting and information sharing.

The Institute of Development Studies outlined a more comprehensive sequence of steps found in most PM&E processes. These steps are: identify participants; clarify participants' expectations; determine monitoring and evaluating priorities; identify the indicators; agree on information collection processes; collect information; analyse information; usage of findings and; decide whether the PM&E process needs to be sustained (IDS 1998). These steps include the four major steps for the PM&E process of planning, data gathering, data analysis, and documentation, as outlined by Estrella.

2.4.1 Lesson Learned in PM&E

Jutta Blauert and Eduardo Quintanar documented lessons learned in developing methodologies and indicators for participatory evaluation (Blauert & Quintanar 2000). The research was done in an on-going farming programme run by CETAMEX in Mexico with farmers, funders and CETAMEX. According to Blauert and Quintanar (2000), PRA methods assisted them to identify the evaluation criteria, specific indicator areas and the indicator itself. The advantage of this approach was that it clearly pointed at the interest of enquiry of different stakeholders. This exercise proved that different stakeholders have different interests in what is important (for them) in monitoring and evaluation. Priorities for the farmers were social and economic well-being, and performance of workers. For CETAMEX it was issues such as owning the project, changes in income levels, learning and commitment of farmers. Priorities for the funders were support, impact on communities and involvement of local community. These different stakeholder indicators were integrated into one set of indicators after agreement by all stakeholders. Important lessons learnt were that PM&E can contribute to institutional learning, PM&E takes time and appropriate leadership and are required within the organisation (Blauert & Quintanar 2000).

In another study by Ruben Dario Espinosa Alzate, the ACIN experience illustrated the advantages in PM&E that was made possible by legislative reforms (Alzate 2000). ACIN

is a public organisation that represented 12 cabildos (town councils) in rural Colombia and was responsible for the administration and development of these areas. The legislative reforms included local and regional indigenous political representation and local and regional development plans, designed to be managed by communities. Monitoring and evaluation were an integral part of the local development plans and communities identified the monitoring and evaluation indicators themselves. Ruben Alzate (2000, p.12) argued that "this process enables communities to review the expected results of their development plans and projects, adjust their goals, formulate new strategies and projects, and learn how to record information systematically, interpret, compare and analyse data". This entire process was done by an assembly of 300 to 600 people, made of 12 representatives per local area, consisting of two delegates representing different sectors. The decisions of these assemblies were binding on local government leaders and officials. The monitoring and evaluation were three-fold, which included a three-year evaluation on local development plan, annual evaluation of local development projects and monthly monitoring of project activities. The impact of the PM&E process, according to Rube Alzate, was that it strengthened public participation and accountability, improved decision making and changed the power relationship to a more equal relationship amongst stakeholders (Alzate 2000).

2.4.2 Insights from PM&E

According to the IDS (1998), participatory monitoring and evaluation is not only a research process, but also a social, political and cultural process. The PM&E process needs openness, listening to different views, recognising of knowledge of participants and giving credit to contribution. Dindo M. Champilan identified four emerging issues and challenges for PM&E:

- PM&E is new as formal field of study therefore refining concepts and definitions is part of the building the theoretical base.
- PM&E and M&E in general is an inter-disciplinary field that draws from concepts from various disciplines, and therefore a major challenge is helping multi-disciplinary community of PM&E practitioners communicate through a shared understanding of PM&E.
- The rapid expansion of PM&E has not been accompanied by a similar development towards building its theoretical foundation.
- The effort to document and consolidate diverse PM&E experiences into updated and comprehensive 'state of art' processes still remains limited. (Champilan 2000, p.198)

To address these emerging issues, Champilan (2000) proposed that as PM&E are developed conceptually, diversity of concepts must be accepted and that clarification of understandings is given at all times. Guijt (2000) also emphasised five methodological challenges and dilemmas with participatory monitoring and evaluation that need better understanding. First is the perceived lack of rigour of scientific standards for PM&E processes which includes methods, data collection and selection of indicators. Second, is the tension between strict project cycles and the need for flexibility. Thirdly, roles and responsibilities are confused because of the number of people involved. The fourth challenge is that there are too many levels of analysis, because of interest of different participants, which may lead to incompatible data. Lastly, documentation and sharing are complicated because of the many participants involved that need accommodation for different communication styles, literacy levels and practises. To accommodate participation, Guijt (2000) proposed that the design and implementation of monitoring and evaluation require openness to new types of indicators, new roles of partners (participants) and new ways of learning from experiences/practises.

2.4.3 Result-Based Monitoring and Evaluation and PM&E

According to Estrella (2000), the many variations of participatory monitoring and evaluation have four common principles and four major steps. The four principles are participation, learning, negotiation and flexibility; and the steps are planning, data gathering, data analysis, and documentation & sharing.
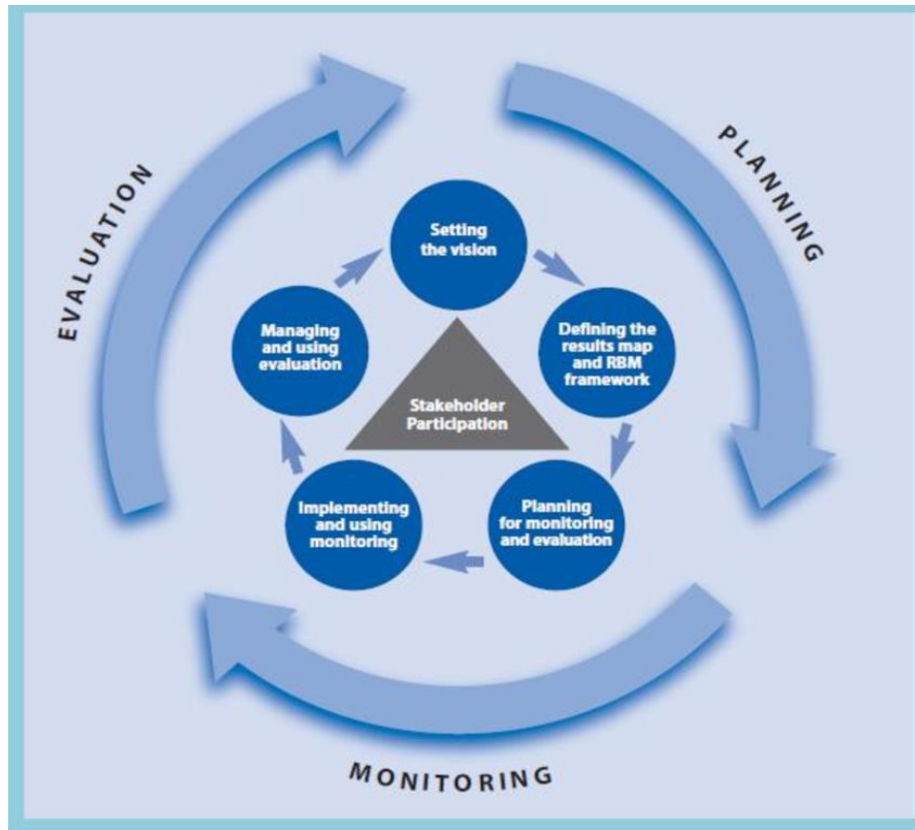
Figure 2: The RBM Life Cycle

(Source: Ile, Eresia-Eke & Allen-Ile, 2012)

Participatory monitoring and evaluation and Result-Based Monitoring and Evaluation have common principles and involve similar steps. According to Ile, Eresia-Eke and Allen-Ile (2012) the result-based management (RBM) lifecycle consists of five components, namely envisioning, result definition, planning for M&E, implementing and managing and using evaluation. At the centre of all these components or steps, is the involvement of stakeholders. According to Ile, Eresia-Eke and Allen-Ile (2012) the result-based management approach is entirely dependent on stakeholder participation and its endeavour to satisfy stakeholders. These two features are also the main drivers for participatory PM&E.

The result-based management approach focusses on effectiveness and efficiency (Ile, Eresia-Eke & Allen-Ile 2012). Effectiveness is concerned with the extent results have been met and efficiency is concerned how resources were utilised.

2.4.4 PM&E and Knysna Municipality

Chapter four of the Local Government Municipal Systems Act, Act 32 of 2000 (Municipal Systems Act), outlines the public participation framework for municipalities. Municipalities are urged to develop a culture of community participation and establish mechanisms, processes and procedures for community participation. Section 16 of the Municipal Systems Act states that a municipality must encourage and create conditions for communities to participate in, amongst others in the development, implementation and review of the integrated development plan (IDP), the establishment, implementation, monitoring, and review of the performance management system (RSA 2000).

The legislative framework for performance management is outlined in chapter six of the Municipal Systems Act. Section 42 provides for community involvement in the performance management of the municipality, which states that a municipality must "in particular allow the community to participate in the setting of appropriate key performance indicators and performance targets of the municipality" (RSA 2000). This right is further entrenched within the Municipal Planning and Performance Management Regulation of 2001, which states that "in setting key performance indicators a municipality must ensure that communities are involved" and "in the absence of an appropriate municipal-wide structure for community participation, a municipality must establish a forum that will enhance community participation in the monitoring, measurement and review of the municipality's performance in relation to the key performance indicators and performance targets set by the municipality" (Department of Cooperative Government and Traditional Affairs 2001).

It is evident from these provisions in the Municipal Systems Act that communities must not only take part in decision-making, but also in the monitoring and evaluation of the performance of the municipality and that the intention of legislation was for a participatory monitoring and evaluation approach. These legislative obligations for participatory monitoring and evaluation are however mostly ignored by local government practitioners.

Knysna Municipality's Performance Management Framework for 2014/15 "describes how the municipality's performance process for the organisation as a whole will be conducted, organised and managed" (Knysna 2015). This framework is silent on community participation, despite the legislative requirements that communities must be involved in

the establishment, implementation, monitoring and review of the performance management system, and the right to participate in the setting of performance targets and key performance indicators. Below is an extract of the approval process of the top-level service delivery budget implementation plan (TL SDBIP) and an update of performance indicators in Knysna Municipality's Management Framework for 2014/15, to illustrate the researcher's viewpoint:

> "The municipal scorecard must be submitted to the Executive Mayor within fourteen days after the budget has been approved. The Executive Mayor needs to consider and approve the SDBIP within twenty-eight days after the budget has been approved. The scorecard must be updated after the adjustment estimate has been approved and any changes to the scorecard must be submitted to Council with the respective motivation for the changes suggested, for approval.
>
> Important note: The Executive Mayor should review the document for compliance, alignment and adherence to the Council's Agenda as Municipal Manager and Directors will use the TL SDBIP as a basis for reporting on performance to the Executive Mayor, Council and the public. The performance agreements of the senior management team may also be based on this document".

The only adherence to the legislative requirements for community's involvement in performance management system was reporting to the public in the Annual Report. There is no involvement of the community in the development and setting of KPI as prescribed by the Municipal Systems Act. The only area of involvement from the public in performance management, is the composition of the evaluation panel that evaluates the annual performance of the municipal manager, in terms of section 27 of the Municipal Performance Regulation, 2006. It must be noted that the evaluation panel is not involved in the identification of key performance areas and key performance indicators of the municipal manager.

2.5 Linking theoretical framework to Public Administration

Denhardt (2011) argued that, in building theories of public organisations, theorists have followed three orientations. The first orientation viewed public administration as part of government processes, and therefore regarded the theory of public organisations as basic components of political theory. Second, orientation just viewed public organisations the same as private organisations or companies. Thirdly, theorists viewed public administration as a professional field.

2.5.1 Public Administration and Government

According to Denhardt (2011), the view that Public Administration is characterised as part of governmental processes, was supported by most of the earlier contributors to the theory of Public Administration. Supporters of this view see public organisations as an extension of government and as being vital players in the processes of government. Not only do public organisations implement decisions or deliver services, it also influences the development and execution of policies. Because of this influence of the public organisations on policy formulations, proponents of this orientation believed that public organisation must be under the same evaluation criteria as other political components (Denhardt 2011). Also, according to Denhardt (2011), values such as freedom, justice, responsiveness and equity are then appropriately applied to public organisation and therefore proponents of this orientation see the public administration as part of political theory.

2.5.2 Public Administration and Private Organisations

According to Denhardt (2011) proponents of this view see both the individual and organisational behaviour in public organisations and private organisations as the same. This generic approach has "created an interdisciplinary study drawing from work in business administration, public administration, organisational sociology, industrial psychology and other fields" (Denhardt 2011, p. 12). Supporters of this view further argued that in both public and private organisations, the basic concerns of management remain the same. Efficiency is the main concern within the organisation and Denhardt (2011) attributed the introduction of efficiency into public administration to Woodrow Wilson, who argued that research be done on the gains of efficiency in the public organisations.

2.5.3 Public Administration as a Profession

The last orientation of Public Administration is that "public administration is best viewed as a profession" (Denhardt 2011, p. 13). Waldo is cited as a vocal proponent of this viewpoint using an analogy with the field of medicine, "there is no single, unified theory of illness or health and the technologies based on constant change, there are vast unknowns, there is bitter controversy over medical questions of vital importance…" (Denhardt 2011, p. 13). According to Denhardt (2011), Waldo argued that despite these

unknowns and lack of coherence in theory, medical practitioners are being trained drawing from different disciplines and therefore suggests that public administrators must draw lessons from the many theoretical disciplines and be less concerned with the public administration discipline. Denhardt (2011) argued against this approach, citing that it excludes the possibility of a complete and unified theory of public organisation and that the possibility of a theory that addresses the concerns of public practitioners.

According to Denhardt (2011) the theory for public administration must be linked to their direct concerns, hence the study of political theory will be incomplete. He therefore proposed that, through the redefinition of the field of public organisation, a theory for public organisation might be possible by looking beyond earlier restrictions of the definition. According to Denhardt, to achieve this, it is necessary to "clarify the perspectives of earlier approaches to the field, the political, the generic, and the professional; it should identify public administration as a process rather that as something that occurs within a particular type of structure and should emphasise the public nature of that process rather than its connection to formal systems of government" (Denhardt 2011, p. 16).

Denhardt (2011) advocated that this can be done by combining democratic political theory and theories of public organisations. He defined democratic political theory as being concerned with the manner in which public organisations promote societal values, in which citizens have been involved in the development of such values and a high responsiveness to the interest and needs of citizens. On the other hand, theories of organisations are concerned with the management by individuals of change processes, whether for their own or organisations; interests. These theories are normally concerned with power, authority, leadership and group dynamics. Public Administration therefore is concerned with "managing change processes in pursuit of publicly defined societal values" (Denhardt 2011 p.16)

Denhardt (2011) believed that his definition of public administration allows for theories of Public Administration instead of theories associated with public administration. This allows for the development of an integrated and coherent theory of public administration that correlates with the emerging practical trends or concerns of government processes. He described the role of the public manager as "an individual sensitive to the impact of interpersonal and structural relationships changing patterns of the organisations, and his/her relationship to the design and implementation of societal values" (Denhardt 2011,

p.16). He characterised the manager as neither independent nor solely an instrument in the political and administrative interface.

2.5.4 The Ideal-Type Bureaucracy

The ideal-type bureaucracy or rational model of public administration is attributed to Max Weber, who defined the features of bureaucracy in his analysis of the organisation which identified three types of legitimate authority in the organisation, namely legal authority, traditional authority and charismatic authority (Denhardt 2011). The ideal-type bureaucracy is described with the following characteristics by Denhardt (2011): Firstly, fixed and official jurisdictional areas are generally ordered by rules. This means that authority derives from law and rules are made according to the law. Secondly, hierarchy and levels of graded authority means a firmly ordered system, in which authority is delegated to the position and not the individual. Thirdly the management of the office is based upon written documents which are preserved. This is important because previous cases/events become precedents and with the existence of files, kept the organisation consistent. Fourthly, specialised office management, recognising that bureaucratic administration is a specialist occupation and requires training. Fifthly, official activities demand the full working capacity of the official, as a full-time occupation. Sixthly, office management follows general rules which can be learned, and these rules can be executed by whoever is occupying the position.

The ideal-type bureaucracy replaced earlier kingdom and feudal models that were based on loyalty and this rational model of public administration was supposed to ensure equity in the delivery services, prevent the abuse of power and ensure greater accountability (Woolridge & Cranko 1995). The American government also underwent major changes in the 1890s to stop abuse of power by politicians to dispense patronage and created a bureaucracy that limited the power of politicians, split management functions, created different levels of governance for checks and balances to reduce abuse (Osborne & Gaebler 1992). This model was dependent on rigid rules, strict hierarchical command and centralisation of decision-making.

2.5.5 New Public Management

The ideal-type bureaucracy was criticised by various theorists as being too big, bureaucratic, inefficient and expensive to maintain. According to Osborne and Gaebler

(1992) in its efforts to stop abuse and bring more accountability, government became more obsessed with how things should be done by regulating processes and controlling inputs, than concentrating on the results and outputs.

Osborne and Gaebler (1992) dispelled the notion that government can be run like a business, because it is fundamentally a different institution. They argued that business is driven by profit and politicians are driven to be re-elected; mostly businesses are driven by competition and government by monopolies; government collects taxes and businesses' income is dependent on willing seller and buyer; government is democratic and transparent therefore decision-making is slow and businesses can take quick decisions behind closed doors. The authors therefore argued for better governance and not necessarily more government or less government and therefore describe their new model as entrepreneurial government, which is generally referred to as new public management.

Osborne and Gaebler identified and described the following ten principles on which entrepreneurial government are built for entrepreneurial government:

1. Catalytic government: Steering rather that rowing. Government's systems should be separated into steering (policy decisions) and rowing (service delivery)
2. Community-owned government: Empowering rather that serving. Government services like community policing, social services, housing and recycling to be run by non-governmental organisations (NGO's) and community-based organisations (CBO's);
3. Competitive government: Injection into service delivery. The view is that government agencies will be more effective and efficient if it has to compete with the private sector for delivering services
4. Mission-driven: Transforming rule-driven organisations. Government is being seen to be more concerned with following rules than to achieving its mission.
5. Results-driven: Finding outcomes, not inputs. Budget must be geared towards the outcome or result rather than concentrating on controlling the expenditure of inputs.
6. Customer-driven government: Meeting the needs of the customer, not the bureaucracy. The focus must be to satisfy the needs of customer and not the needs of the bureaucrats and the bureaucracy.
7. Enterprising government: Earning rather than spending. Public entrepreneurs to make public institutions for profit and rely more on charges and fees for public services
8. Anticipatory government: Prevention rather than cure. Public entrepreneurs to refocus efforts and resources to prevent services delivery challenges or blockages, instead of spending resources to solve or fix problems.

9. Decentralised government: From hierarchy to participation and teamwork. Public entrepreneurs to breakup bureaucracy and hierarchy, and rather work in smaller more participatory teams or units.

10. Market-oriented government: Leveraging change through the market. Public entrepreneur should rather direct the market to deliver services with new innovations and products through policy decisions, than attempting to deliver the services itself.

(Osborne & Gaebler 1992, pp. 25-310)

They authors contended that they were merely defining what was already happening in state departments and local government across the United States of America at that time, as these public organisations responded to tax cuts and increasing costs of delivery services.

According to Denhardt (2011) these core principles of the new public management have three limitations. It is not feasible to apply the market model to service providers and not to policy agencies as a means of balancing social interest versus self-interest of private service providers, because of the self-interest for profit of the private sector. His second argument was that most services are intended to have a collective benefit and therefore questioned the principle of a customer-driven government, where choice is presented to citizens as customers. Denhardt also questioned the concept of entrepreneurial government as public organisations or public entrepreneurs cannot on the same scale explore innovation, as risks are often associated with it.

2.5.6 New Public Services

The conceptual foundations of the New Public Service are attributed to theories of democratic citizenship; models of community and civil society; and organizational humanism and discourse theory (Denhardt & Denhardt 2000). Democratic citizenship is about the active involvement of citizens in governance (Sandel 1996; cited by Denhardt & Denhardt 2000). Citizens are not just voters or customers, but share authority and collaborate with administrators (King & Stivers 1998; cited by Denhardt & Denhardt 2000). Public administration is a model of community and civil society. "In public administration, the quest for community has been reflected in the view that the role of government, especially local government, is indeed to help create and support community (Denhardt & Denhardt 2000, p. 552). Government is seen as a facilitator between individual citizens and their communities. Theorists of organizational humanism and discourse theory suggest "traditional hierarchical approaches to social organization and

positivist approaches to social science are mutually reinforcing" (Denhardt & Denhardt 2000, p. 553). These approaches, they claim, had asked of public organisations to concentrate more on the needs of its employees and citizens and called for sincere and open governance amongst all parties.

Denhardt and Denhardt therefore proposed new public service as an alternative to the ideal-type bureaucracy and new public management with the following seven key principles (Denhardt & Denhardt 2000):

1. Serve, rather than steer. Public administrators must assist citizens to articulate and meet their demands and shared interests, instead of trying to control or steer society.
2. The public interest is the aim, not the by-product. Public administrators must contribute towards the creation of shared interest and responsibility and not seek to find instant solutions for individual choices.
3. Think strategically, act democratically. Public organisations must ensure that its policies and programs meet the need of the public through collective and collaborative processes.
4. Serve citizens, not customers. The public administrators must build relationships of trust and collaboration with citizens and not just respond to the demands of customers (citizens).
5. Accountability isn't simple. Public administrators must ensure that accountability is not just about performance targets of productivity and/or profits, but also account on legislative requirements, values and interest of citizens.
6. Value people, not just productivity. Public organisations are argued to be more successful when it operates in a collaborative manner and valued and respect its citizens, rather than just driving productivity.
7. Value citizenship and public service above entrepreneurship. The interest of citizens is better advanced by public organisations that are committed to make a significant contribution to society than public organisation with entrepreneurial managers.

2.5.7 South African Public Service and Public Administration Models

The post-1994 democratic South African government was handed a very fragmented and racially-orientated public service. The public service did not only necessitate an organisational overhaul, but also radical fiscal reforms. The ANC government was challenged to transform the public service into public organisations that can fulfil its policy objectives of democracy, redress, equity and basic human rights. The ANC government had to choose which model of public administration was best suited to implement its policy objectives. Woolridge and Cranko stated that "the South African

transition poses a significant challenge regarding the transformation of administrations" (Woolridge & Cranko 1995, p.338).

Woolridge and Cranko (1995) proposed that the objectives and strategic priorities of the new government should be the drivers for organisational transformation. This approach was supported by Graig W. Thomas, who advocated that the transformation and reorganisation of public organisations is an instrument for political parties to achieve its strategic objectives (Thomas 1993). The challenge for the ANC government was how to best effect organisational and management change of the public organisations to achieve its strategic objectives. Decision-making choice for a new public service was confronted with tensions in terms of public management theories and the objectives of the new government (Woolridge & Cranko 1995). The ANC government had to mitigate disparities between the need for regulation and standardisation versus the need for innovation and flexibility; immediate basic services demands versus short and long-term infrastructure objectives; and the need for public organisations to reflects the demographics of the population versus abiding to the sunset clause relating the job protection of white civil servants (Woolridge & Cranko 1995).

The new government therefore had the dual tasks, to transform the public service into a democratic institution that values all people and at the same time improve the capacity of public organisations to play a developmental role. One of these immediate tasks was to ensure a capable public service that was willing to deliver and improve services to all citizens without exception. This intent was written into the White Paper on Transforming Public Service Delivery, which stated that "the guiding principle of public service transformation and reform is service to the people" (Department of Public Service and Administration 1997). Government therefore started in its endeavour to build professional organisations that must play both a developmental and transformative role, which it referred to as the developmental state.

Former President Thabo Mbeki described the political objective of the developmental state as "a state that decisively intervenes and directs growth and the development trajectory of the country" (Presidency 2006; cited by Levin 2006). Levin (2006) defined the developmental state "as a state that is not only facilitative, but interventionist with (a) an adequate security and criminal justice capability to handle any lawlessness, thus protecting the constitution and the rule of law; (b) the ability to take initiative by promoting certain programmes and the interests of certain groups and (c) the capability to

achieving coherence across the entire system by coordinating, integrating and achieving seamless administration across the whole of government machinery and broader society". The central characteristics of the development state as defined by former President Mbeki and Levin seems to be an interventionist state, ability to direct initiatives and coordination and integration.

Developmental local government is defined in the White Paper on Local Government as a government that is committed to work with its citizens in communities in its endeavour to find sustainable ways in meeting the communities' basic, social and economic needs and to improve their quality of lives (Department of Provincial Affairs and Constitutional Development 1998). The White Paper on Local Government identified four interrelated characteristics of developmental local government. The first characteristic is for local government to maximise social and economic development in meeting the basic needs of communities and growing the local economy. Secondly, is for local government to play a leading role in integrating and coordinating public, private and community service providers and all development initiatives. Thirdly, is the central role of municipal councils in promoting local democracy, including actively encouraging the involvement of local communities in municipal governance. The fourth characteristic of developmental local government is a leading and learning local government that requires municipalities to become more strategic, visionary and influential in the way they do business in achieving its developmental goals. The developmental state and developmental local government have the similar features, with the main objective to enhance social and economic development. Central to developmental local government is the role of citizens in the development of their communities.

According to Levin (2005), public management and transformation of the public service in the new South Africa has been influenced by theories of both new public management and the new public governance. The characteristics of the new public management model in the South African Public Administration includes the freeing of markets, downsizing of the state, privatisation, citizens as customers and performance management. The new public governance characteristics in South African Public Administration are active citizen participation, democracy and citizen centred. Schmidt argued that the ideal type bureaucracy, new public management and network governance co-exist in South Africa (Community Law Centre 2008). To illustrate his view, Schmidt argued that the Municipal Systems Act advocates performance management and public-private-partnership as features of new public management, public and community participation of features of

new public service and the Municipal Financial Management Act's regulatory framework as rational public management (Community Law Centre 2008).

According to Levin (2005), South Africa will continue to borrow progressive practises, such innovation and management from new public management and more citizen participation and accountability from new public service models and suggests that, like Korea and Malaysia who develops its own models of a developmental state, the developmental state become our own model of public administration. Levin's view supports the view of Denhardt (2011) that we must not be restricted by definitions of earlier models and that public administration must be defined as a process, rather that something that occurs within a particular structure.

2.6 Conclusion

Being a young democracy, opportunity for new initiatives and practises still exist within the South African public administration. The researcher is of the opinion that seeing public administration as a process, participatory monitoring and evaluation are possible when the correct stakeholder holders are involved within the system of local government.

Chapter 3: Legislative Framework

3.1 Introduction

The democratic dispensation after 1994 has seen a major shift towards the decentralisation of power and functions. This shift towards decentralisation is evident in the Constitution of the Republic of South Africa of 1996 and subsequent legislation. According to Chris Tapscott, decentralisation was a marked change from the apartheid era, where local municipalities had little authority, thus elevating the status of local government (Tapscott 2008). Unlike before 1994, the Constitution recognised local government as a sphere of government with originating powers.

To give effect to this new status of local government, parliament and national government approved and introduced an abundance of legislation and policy instruments such as regulations. This seems to be an on-going project, although in the latter years the researcher believed that legislation and regulations are being used to reverse earlier gains of decentralisation.

The goal of this chapter is to provide a historical background on the development of local government in South Africa. The chapter will cover a brief history from (1652 -1994), the transitional period (1990- 1995) and the new dispensation after 1995. The new dispensation period will cover key present-day local government legislation, includes legislation that relates to public participation and performance management.

3.2 History Synopsis of the Local Government System

The Stellenbosch Council was the first historical prototype of a local authority in South Africa comparable to present day local authority and was replicated in all other major urban settlements outside Cape Town in the Cape Colony (Green 1957; Cloete 1997; cited by Scheepers 2015). Simon van der Stel established the settlement of Stellenbosch in the Eerste River valley in 1679 and in 1682 appointed four persons called the Heemraden from the free burghers to deal with local matters and to settle disputes amongst free burghers. A Landdrost for Stellenbosch was appointed in 1685 by visiting Special Commissioner, Van der Rheede and the Landrost and the Heemraden formed a council known as the College of Landdrost and Heemraden, which was chaired by the Landdrost (Scheepers 2015 & Tsatsire et. al 2009).

The first local authority in South Africa that can be compared to a municipality today was established in terms of the Cape Municipal Ordinance of 1836 that provided for the election of a board of commissioners. The Cape Municipal Ordinance No.9 of 1836 which took effect on the 15 August 1836, provided for a legal framework for municipalities to develop regulation for their needs. Only property owners could take part and be elected in the elections (Tsatsire et. al 2009). According to Tsatsire and others, the framework was of a participatory manner that allowed for participation of property owners in the governing of the municipality which included the levy of property rates determined by public assembly, which was levied annually (Tsatsire et. al 2009). Beaufort West was the first town to obtain a municipal council on 3 February 1837 in terms of the Cape Municipal Ordinance (Scheepers 2015). The Cape Ordinance formed the basis for the Natal Municipal Ordinance of 1847 and the municipal ordinance for Orange Free State and Transvaal in 1856 and 1877 respectively (Tsatsire et. al 2009).

The South Africa Act, 1909, which was a prelude to the establishment of the Union of South Africa on 31 May 1910, gave the responsibilities of local authorities to provincial councils and it should be noted that the South African Act of 1909 was an act of the British Parliament, as no parliament existed in South Africa (Tsatsire et. al 2009). Provincial Councils continued to regulate local authorities after South Africa became a Republic, with the Provincial Government Act, Act 32 of 1961.

Despite this provision for provincial councils to govern municipalities, no unified model existed for local government. This was mainly due to the fact that municipalities' powers originated only from provincial ordinances from the four different provincial councils and it allowed for the different provincial councils to structure and govern municipalities as they saw fit (RSA 1961). Municipalities had no original powers and the provincial administrator, an appointee by the Prime Minister and later President, could repeal any decision of a municipality, including by-laws or regulations. Municipalities thus had limited authority and were perceived rather as an agency that delivers services on behalf of provincial and central government (Tapscott 2008).

A more aggressive legislative framework from 1948 was implemented, to exclude blacks (Africans, Coloureds and Indians) from participating in legislation process at local level. Local government was characterised by racial segregation, influx control and disenfranchisement of blacks, including being denied the right to vote and the delivery of

basic services became a privilege for mostly whites. Democratic participation of all races during the apartheid era was low, although for different reasons (Tapscott 2008). According to Tapscott (2008), the participation of whites in the elections and municipal processes were low, because of its limited authority and perception that it was just an agency for provinces and national government and on the part of Africans, Coloureds and Indians because of the rejection of the apartheid system. At a local level in the Republic, advisory boards for Africans and management committees for Coloureds and Indians were established.

3.2.1 Black local authorities

Black advisory committees were established in African townships in terms of The Natives (Urban Areas) Act No 21 of 1923 and gave white local authorities the power to demarcate and establish African locations outside of white urban and industrial areas. This Act provided for black advisory committees to be appointed or elected in segregated urban areas to advise the white local authorities, which were responsible for the management of townships within their municipal areas. These advisory committees could only make recommendations to the white local authorities, with whom the decision-making power rested, together with the Department of Native Affairs (Havenga 2002). Also, under this Act, Africans residing in these areas had no voting rights and could not own property outside the designated homelands.

The advisory committees were replaced by Urban Bantu Councils in 1961, established in terms of the Urban Bantu Councils Act, Act 79 of 1961 but remained under the control of white local authorities which could delegate powers to these councils (RSA 1961). Only in 1982 with the Black Local Authorities Act, Act 102 of 1982 were formal black authorities established and were then administered and controlled by the four provincial administrations (RSA 1982).

3.2.2 Management Committees and Local Affairs Committees

No separate local authorities existed for Coloureds and Indians when the National Party came to power in 1948. In the provinces of Orange Free State and Transvaal, only whites were on the voters' roll and were allowed to vote, unlike in the Cape and Natal where Coloureds and Indians were on the voters roll. Voting for Coloureds in the Cape, and

Indians in Natal, was only for those who qualified to be voters. One of the criteria to vote was that your property must has been above a certain property value. This provision effectively barred the majority of Coloureds and Indians from being eligible to vote (Cameron 1991).

The Group Areas Act of 1950 made provision for separate racial residential areas and the introduction of separate local government structures for the Coloured and Indian areas. Section 25 of the Group Areas Act, Act 41 of 1950, provided that a governing body could be established for urban areas inhabited by Coloureds and Indians separately. Despite these provisions local government structures for Coloureds were only established after the Niemand Committee of Investigation recommendations resulted in the Group Areas Amendment Act, in 1962, which made provision for the establishment of consultative committees or management committees (Cameron 1991).

The consultative committees consisted of nominated members, with advisory powers only, under guidance of the white local authority and management committees, consisting of partly elected and nominated members, with advisory powers and delegated power from white local authority and fully-fledged municipal status with equal power as white local authorities (Cameron 1991). Only a few Coloured and Indian urban areas progressed to fully-fledged municipal councils from consultative, management or local affairs committees, as those serving in those committees had to gain experience and knowledge of municipal affairs (Havenga 2002). The Provincial Council of Natal, however, authorized the establishment of local affairs committees, with the same functions and powers as the consultative and management committees' (Havenga 2002). According to Cameron, the local affairs committees had more powers than the consultative and management committees in the other three provinces. The committees were legal entities and the white local authorities could delegate more functions to the local affairs committee (Cameron 1991).

3.2.3 Regional Services Councils

Cameron described the Regional Services Council Act, Act 109 of 1985 (RSC Act) as the major manifestation of the government devolution policy. Minister Heunis outlined the following objectives of the Regional Services Council Act:

    i.   to provide certain bulk services in a more cost effective and efficient manner;

ii.   to provide extra sources of revenue to alleviate the limited growth potential of property rates;

iii. to promote multi-racial decision-making at local government level
(Heunis cited in Cameron 1991)

Havenga (2002) believed that the implementation of the RSC Act changed local government in South Africa, which provided for black local authorities to participate in Regional Services Councils (RSC's) by means of the establishment of a regional services council for each region, which was initially only intended for White, Coloured and Indian cooperation.

The RSC Act provided for the establishment of regional services councils by the provincial administrator, after consulting the Ministers of Constitutional Development & Planning and Finance and with the agreement of the different Ministers' Councils of the three Houses of Parliament (Cameron 1991). It is important to note that RSC's had no jurisdiction over the local councils within its borders.

According to Cameron (1991) the Regional Service Act was driven by reformers that realised the need for political and economic reform to ensure greater stability in the country with the hope that the upgrading of services in Black areas would bring stability in Black townships. It is clear from the RSC Act that the objective to promote multi-racial decision-making did not have the intention of sharing power equally or of losing control. As Cameron (1991) pointed out, these reforms were only power-sharing while Whites remained in control, as the RSC Act provides for votes on Regional Services Councils to be in proportion to the amount of services consumed by the different local authorities and not the number of residents in an area. Therefore, it was logical that affluent White areas that consume more services would have the most votes. Havenga states that "Black local authorities were offered a potential veto in a stipulation that decisions must be taken by a two-thirds majority but on no Regional Services Council did the black local authorities ever gain the one-third of the votes needed to block decisions" (Havenga 2000, p.101)

All these structures were rejected by the majority of blacks (Africans, Coloureds and Indians) as illegitimate and unrepresentative. Opposition to these structures has resulted in protests and other actions (rent boycotts) that render them ineffective or dysfunctional. Local government became a primary site of struggle against apartheid in the 1970s and

1980s and the campaigns de-stabilised the attempt to establish effective local government in townships (Pycroft 1996).

3.3 The Transition

Negotiations for a new dispensation started in earnest in 1990 after the unbanning of the African National Congress and other liberation movements. The negotiations involved both a new dispensation and transitional measures. These transitional measures often paved the way for structures of the new dispensation. The Interim Measures for Local Government Act of 1991 gave provincial administrators the authority to dissolve existing local authorities and establish new joint local authorities (Pycroft 1996). Only established local authorities (white local authorities, black local authorities, management committees and local affairs committee) were recognised by the act and non-governmental organisation such as South African National Civic Organisation (SANCO) were seen as interest groups (Pycroft 1996). This initially slow down or stalled negotiations at a local level. Although the measures in this Act were flawed and favoured the National Party, it established the framework for future negotiations (Pycroft 1996).

This situation changed with the creation of the Local Government Negotiation Forum (LGNF) in September 1992 (Pycroft 1996). The LGNF consisted of 30 representatives from statutory bodies and 30 representatives from the non-statutory bodies and under the guidance of the Multi-Party Negotiating Council (MPC) were empowered to create a new dispensation for local government (Pycroft 1996). The recommendations of the LGNF for a process plan for local government transition were enacted in the Local Government Transition Act, Act 209 of 1993 (Local Government Transition Act) and the Constitution of the Republic, Act 200 of 1993 (the Constitution of 1993). The process plan consisted of three phases, namely the pre-interim phase, the interim phase and the final local government dispensation. This point is emphasised by Tsatsire and others who stated that the Local Government Transition Act "did not provide a blue print for a new local government system, but simply sketched a process of transformation" (Tsatsire et. al 2009, p.142). However it is clear that these two acts paved the way for the creation of democratic local government structures. According to Havenga (2002) the Constitution of 1993 and the Local Government Transition Act laid the foundation for the restructuring of local government in South Africa.

3.3.1 Pre-interim Phase (1993-1995)

The pre-interim phase basically entailed the establishment of local government negotiating forums that could appoint temporary council until the first local government elections. The pre-interim phase commenced from the promulgation of the Local Government Transition Act until the local government elections in November 1995. Pycroft (1996) described these forums, which consisted of representatives from established local authorities (statutory bodies) and groups were excluded from local authorities (non-statutory). This however, is an oversimplification of the statutory and non-statutory bodies. The Local Government Transition Act in schedule 1 defined statutory and non-statutory as follows:

- ✓ (a) the statutory component, comprising members of the existing local government bodies and persons representing bodies or organizations approved by the forum as being part of such component; or

- ✓ (b) the non-statutory component, comprising persons representing any other bodies or organizations not contemplated in item (a) having a vested interest in the political restructuring of local government and approved by the forum as being part of such component.

(RSA 1993a)

The statutory group tried to weaken the non-statutory group by establishing civic organisations within black areas that were often supporters of the Labour Party, National People's Party (NPP) and independents in African townships. In some areas during negotiations white ratepayers' associations also tried to gain membership of the non-statutory component and this even led to the National Party (NP), Democratic Party (DP) and Afrikaner Weerstandbeweging (AWB) claiming non-statutory status (Motsheka 1994; cited by Havenga 2002). Christianson (1994) also affirmed that the ANC complained that the statutory side tried to load the non-statutory side (cited by Havenga 2002).

The Local Negotiating Forum (LNF) had the powers to negotiate with regard to the functioning and membership of the LNF and sent to the administrator for concurrence (RSA 1993(2)). Once proclaimed, the LGF had the power to negotiate the establishment of the Transitional Local Council (TLC), the total number of seats in a transitional local council and the nomination of persons for appointment as members of a transitional local council and functions of the TLC (RSA 1993). The forums had to negotiate and agreed, amongst others, on the type of transitional local authority (TLC) and its functions, the

number of seats of the TLC and nominated councillors for the TLC (Havenga 2002). As with the forum, councillors were appointed to TLC's on a fifty-fifty basis, representing the statutory and non-statutory components respectively.

The fifty-fifty appointed Transitional Local Councils, with its polarized divide, made effective decision-making or action nearly impossible (Havenga 2002). According to Havenga, this contributed to the lack of decision-making on a long-term vision for development of municipalities, which included the implementation of the Reconstruction and Development Plan (RDP) and decisions that might be perceived to be unpopular (Havenga 2002).

3.3.2 The Interim Phase (1995-1999)

The first local government elections in 1995 took place in terms of section 179 (1) of the Constitution of 1993, which stated that local government elections must take place at "intervals of not less than three and not more than five years, provided that the first local government elections took place on the same day" (RSA 1993). The Constitution however was amended because of demarcation disputes in KwaZulu-Natal and the Western Cape to allow for staggered elections.

The interim phase was kick-started with the first local government elections in 1995, in which all race groups took part and ward and proportional councillors were elected. Forty percent of the councillors were elected by proportional representation and sixty percent of councillors were elected as ward representatives. These ward representations were divided on a fifty-fifty basis, with fifty percent of wards being in the traditional white local authorities (including Coloured and Indian areas) and the other fifty percent mainly from the black local authorities that were outside of the white authorities' jurisdiction. According to Havenga (2002) this phase was not a democratic process, but rather a power-sharing arrangement, as in some areas a white population of 5-10% had 50% of ward councillors.

The power-sharing arrangement was further entrenched in the Constitution of 1993 through provisions on how council resolutions must be taken, as in section 176 provided that all budgetary decisions before Council be taken by a two-thirds majority and town planning decisions by a majority of its members (RSA 1993). In addition, section 177

stipulates that all decisions of the Executive Committee be taken by consensus, failing which, be taken by at least a two-thirds majority (RSA 1993).

With the formation of non-metropolitan councils, especially in rural areas, challenges emerged because most areas did not have local government structures during the apartheid era and resulted in an absence of local negotiation forums (Havenga 2002). A decision taken during 1994, that the pre-interim phase in rural areas not be applied strictly, was reversed in 1995 with the amendment to the Local Government Transitional Act, Act 89 of 1995, that provided that the entire country be served by local authorities, hence the introduction for rural local government structures.

The Local Government Transitional Act made provision for the three types of rural local authorities namely, district councils, transitional rural councils and transitional representative councils (RSA 1995). A district council consisted of elected proportional members and representatives of each transitional local council, transitional representative councils and transitional rural councils within the district, in addition to members of remaining areas, where these existed. Transitional rural councils were councils for a rural area of local government that did not fall within the jurisdiction of a transitional local council or a transitional metropolitan council. A transitional rural council consisted of proportional elected members. Transitional representative councils were rural local government structures in which the members were elected in terms of a system of proportional representation and members representing interest groups up to twenty percent of members of council, if considered desirable by Minister of Executive Council (MEC). These provisions for rural councils ensured that all areas of the country were under the jurisdiction of a local authority.

The pre-interim and interim phases had various challenges. Havenga (2002) described the Local Government Transitional Act as cumbersome and ambiguous, which made implementation difficult for local government practitioners and councillors. This was due to the fact that the legal framework for local government was a last-minute product to the 1993 constitutional framework and that the Local Government Negotiation Forum had not adequately dealt with metropolitan and rural areas (Havenga 2002). A series of pre-and post-amendments to the Constitution of 1993 and the Local Government Transitional Act to govern metropolitan and rural areas, is evidence of this.

3.4 The New Dispensation

The new political representatives and administrators had a daunting task to put together a fragmented and racially segregated state, and develop new governance systems, including in areas where it had never existed before. The first five years of parliament were characterised by the repeal of numerous apartheid laws and the passing of numerous laws that radically changed public administration in South Africa. These new laws presented a complete overhaul of local government. The fundamentals of the final legislative framework for local government were crafted during the interim phase of local government. This included the Constitution of the Republic of South Africa 1996, the White Paper on Local Government of 1998, the Local Government Municipal Structures Act, Act 117 of 1998 and the Local Government Municipal Systems Act, Act 32 of 2000.

The Constitution in Chapter 3 sets the legislative framework for local government, recognising it as a sphere that is distinctive, interdependent and interrelated with provincial and national government (RSA 1996). The White Paper on Local Government in 1998 is seen as the forerunner of all local government legislation that followed. The foreword of the White Paper stated that "This White Paper spells out the framework and programme in terms of which the existing local government system will be radically transformed" (Department of Constitutional Development and Public Administration 1998).

3.4.1 The Constitution of the Republic of South Africa 1996

One of the four founding values of the democratic state is "universal adult suffrage, a national common voters roll, regular elections and a multi-party system of democratic government, to ensure accountability, responsiveness and openness" (RSA 1996).
These values are reflected throughout the Constitution and legislation governing local government. The Constitution set the framework for the powers and functions for all legislatures, executives and public institutions, and stipulates the process for the election of public representatives. Municipalities are given the authority to govern on its own, within a national and provincial framework and the guarantee that the other two spheres may not impede its ability to exercise its powers and functions (RSA 1996).

The rights of citizens to and their involved in national, provincial and local legislatures are guaranteed in sections, 59, 66, 118 and 152 of the Constitution (RSA 1996). Citizens involvement in local governance are entrenched within the objectives of local government

in section 152 of the Constitution, which states, amongst others, that municipalities must provide democratic and accountable governance to communities and encourage their involvement (RSA 1996). The founding fathers of the Constitution were unambiguous about their intention for the participation of local communities in the affairs of municipalities. It must be noted that the Constitution set no limitations on the matters that municipalities must involve communities.

3.4.2 White Paper on Local Government, 1998 (the White Paper)

The White Paper on Local Government defined developmental local government as "local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives" (Department of Constitutional Development and Public Administration 1998). Developmental local government is further explained as comprising of four interrelated characteristics, namely maximising social development and economic growth, integrating and coordinating, democratising development and leading and learning.

Democratising development as a characteristic promotes the principle that councillors, in addition to representing the interest of communities, promote the participation of residents and community organisations (Department of Constitutional Development and Public Administration, 1998). This principle of participation should therefore be reflected within the design and delivery of all services. To achieve this, the White Paper envisaged councillors that are committed to work with citizens to find sustainable methods to meet their social and economic needs and presented the concept of local government playing a role in the development of the local economy and the need for integrating planning. The White Paper laid the foundation for a local government that is centrally concerned with working with its residents to meet their needs and improve their quality of lives.

The White paper also highlighted the critical role of performance management in developing the local government sphere and advocated the requirement to involve communities in performance management and in setting performance indicators. Performance management, according to the White Paper, should not only measure the outputs but also the impact (Department of Constitutional Development and Public Administration 1998).

3.4.3 The Local Government Municipal Structures Act, Act 117 of 1998

The Local Government Municipal Structures Act, Act 117 of 1998 (Municipal Structures Act) sets the framework for the establishment of municipalities, the division of functions between the different types of municipalities and regulates the internal structures and systems of municipalities.

The Municipal Structures Act makes provision for three categories of municipalities namely; category A (metropolitan municipalities); category B (local municipalities) and category C (district municipalities). The different types of municipalities that are allowed within the three categories are a collective executive, executive mayoral or plenary (category B & C only), with or without a participatory sub-council (category A only) and ward system (RSA 1998).

The Municipal Structures Act also provides for the establishment of ward committees, with the objective to enhance participatory democracy in municipal affairs. Ward committees participate in municipalities through the ward councillor and are entitled to make recommendations on matters that affect the ward to or through the ward councillor, either to council, the executive mayor or executive committee and section 74 of the Municipal Structures Act gives legislative authority to council to delegate such duties and powers to ward committees as it deems necessary (RSA 1998). These provisions allow municipalities to involve communities in any of the processes of policy formulation, decision-making and monitoring-and-evaluation.

3.4.5 The Local Government Municipal Systems Act, Act 32 of 2000

The Local Government Municipal Systems Act, Act 32 of 2000 (Municipal Systems Act) provides for the core principles, mechanisms and processes for the functioning of municipalities. The Municipal Systems Act deals with the legal nature and the rights and duties of municipalities, municipal functions and powers, community participation, integrated development planning, performance management, human resources, municipal services, credit and debit control, legal matters and code of conduct (RSA 2000).

Section 8(2) of the Municipal Systems Act re-affirms the Constitutional provision that "a municipality has the right to do anything reasonably necessary for, or incidental to, the effective performance of its functions and the exercise of its powers" (RSA 2000). This

provision must be exercised together or in conjunction with other local government legislation and regulations.

Community participation is central throughout the Municipal Systems Act. The duties of the municipal council are explicit, in that it must encourage involvement of communities, provide services to the community, and consult the community regarding the level, quality, variety and impact of municipal services (RSA 2000). The mechanisms and processes for community participation and the right of access to meetings and information are outlined in chapter 4 of the Municipal Systems Act.

The Municipal Systems Act is unambiguous about the importance of monitoring and evaluation in local government, that it is included in how a municipal council exercises its legislative and executive authority. In relation to monitoring and evaluation, section 11(3) states that a municipal council exercises its legislative and executive authority by "monitoring and regulating municipal services; monitoring the impact and effectiveness of any services, policies, programmes or plans; and establishing and implementing performance management systems" (RSA 2000). The importance of monitoring and evaluation is further elaborated in chapter 6, which states that a municipality must establish a performance management system. The centrality of the community in performance management again is unambiguous. The Municipal Systems Act in section 42 states that a municipality "must involve the local community in the development, implementation and review of the municipality's performance management system and, in particular, allow the community to participate in the setting of appropriate key performance indicators and performance targets for the municipality" (RSA 2000). It is very clear that the intention of the legislators was that communities must be involved in all processes of performance management.

The Local Government Municipal Planning and Performance Management Regulations, 2001 (Municipal Planning and Performance Management Regulations) guide municipalities on how to comply with section 42 of the Municipal Systems Act, which states that communities must be involved with performance management. The Municipal Planning and Performance Management Regulations provides that municipalities can only "after consultation with local communities develop and implement mechanisms, systems and processes for the monitoring, measurement and review of performance in respect of the key performance indicators and performance targets set by it" (RSA 2001). The Municipal Planning and Performance Management Regulations goes further and provides

for a forum in section 15 for a structure, in the absence of a municipal-wide structure, to deal with the processes of integrated development plan and "the monitoring, measurement and review of the municipality's key performance indicators and the targets sets by the municipality" (RSA 2001). The involvement of communities, in terms of the Local Government Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers 2006, is further extended in the evaluation of the municipal manager performance, where a member of the ward committee must be on the evaluation panel (RSA 2006).

Scrutinising the Municipal Systems Act further, the involvement of communities in municipalities is cemented in the processes of the tariff policy (section 75), credit control and debit policy (section 98) or when it reviews mechanisms to provide municipal services (section 78). It is clear that the legislators had the intention for communities to be involved from initial planning phase to monitoring and evaluation, including the impact of these services.

3.4.6 Local Government Municipal Finance Management Act, Act 56 of 2003

The objectives of the Local Government Municipal Finance Management Act, Act 56 of 2003 (Municipal Finance Management Act) are "to secure sound and sustainable management of the financial affairs of municipalities and other institutions in the local sphere of government; to establish treasury norms and standards for the local sphere of government; and to provide for matters connected therewith" (RSA 2003). The responsibilities of political office-bearers and municipal officials and the budget process are also outline in the Municipal Finance Management Act.

The budget is the implementation plan of a government's policy and, as the principal plan, gives expression to how the governing political party will implement its policies. The Budget provides the key link between an institution's objectives and its detailed operational plans and should reflect the main areas of responsibility within an institution's mandate (Treasury 2010). The Municipal Finance Management Act recognises this importance of the budget and public participation and therefore obliges municipalities to consult communities before approving a budget. The accounting officer must publish the annual budgets immediately after it is tabled in council by the Executive Mayor and invites the local community to make submissions in connection with the budget and the council must consider the views of community (RSA 2003). The executive mayor must

respond to the submissions of the community in council and, if necessary, the council must amend the budget.

The Municipal Finance Management Act, in section 121 & 127, further entrenches the constitutional obligation to consult local communities in the affairs of municipalities. Municipalities must prepare and adopt an Annual Report to account for its activities and to provide an account on its performance against the budget for the financial year, to promote accountability to communities (RSA 2003). The accounting officer is obliged to make the Annual Report public and invite submission on the report from the community and the meetings of council, where the annual report is discussed, must be open to the public (RSA 2003).

3.4.7 Other Acts

Intergovernmental Fiscal Relations Act, Act 97 of 1997

Local Government Municipal Demarcation Act, Act 27 of 1998

Local Government Municipal Electoral Act, Act 27 of 2000

Disaster Management Act, Act 57 of 2002

Local Government Municipal Rates Act, Act 6 of 2004

Intergovernmental Relations Act, Act 13 of 2005

Municipal Fiscal Powers and Functions Act, Act 12 of 2007.

3.5 Conclusion

South Africa moved from a state of a fractured system of local government, without any original powers, to a unified system of local government with constitutional powers across the entire country. Municipalities before 1994 had no original powers and derived its powers from provincial ordinances from the four provincial councils respectively.

The Constitution now recognised municipalities as a distinct sphere of government with originating powers. This is further affirmed with municipalities' right to govern on its own initiative, within national and provincial legislative framework, and with the protection that other spheres may not impede its ability and right to perform or exercise its functions or powers.

The new legislative framework has also elevated the role of communities within the space of local government. The Constitution and local government legislation have not only made it compulsory to consult communities, but have, in the definition of a municipality, included communities as a component of a municipality (RSA 2000). Communities' involvement and participation in the affairs of the municipality is now enshrined in the Constitution and an abundance of local government legislation.

Public participation is also entrenched in local government legislation from the planning stage to the final monitoring and evaluation stage of the development of communities. This deliberate intent for citizen participation to be central to municipal processes has not yet been institutionalised. The intent of legislation, to make communities a component of a municipality, has mostly been ignored within the local government. Most municipal systems and organisational structures do not accommodate the full extent of legislative prescripts for the role of citizen participation in the planning, budgeting, and monitoring and evaluation processes of municipalities.

Municipalities have the executive and legislative authority to make citizen participation a reality as intended by the legislators and ward committees were provided as a tool to facilitate and realise citizen participation.

Chapter 4: Research design

4.1 Introduction

Research design provides guidelines for all facets of the research study and the use of existing designs allows researchers to conduct their research within grounded literature that is recognised by others (Creswell 2003). This chapter outlines the research design and motivation for the design. This includes qualitative research methodology; population and sampling; data collection techniques; data analysis and interpretation; reliability and validity; and ethical considerations.

4.2 Research Methodology

Research is undertaken to test or understand a way of thinking, critically examine various aspects in a profession, understand, test, formulate and develop procedures and theories (Kumar 2011). Leedy and Ormrod (2001) defined research as "a process in which data is collected, analysed and interpreted to understand a phenomenon". Research methodology therefore describes the processes of research and the decisions that the researcher takes to conduct a research project and must take place within agreed or recognised methodologies. "A research study is undertaken within a framework of a set of philosophies; uses procedures, methods and techniques that have been tested for their validity and reliability; and is designed to be unbiased and objective" (Kumar 2011, p.26).

This framework is characterised or exemplified by three main approaches to conducting research, namely quantitative, qualitative, and mixed methods (Creswell 2003; Leedy & Ormrod 2011). Quantitative research "involves the collection of data so that information can be quantified and subjected to statistical treatment in order to support or refute alternate knowledge claims" (Creswell 2003, p. 153). According to Leedy and Ormrod (2011) a quantitative research contains a numeric or statistical approach and normally involves surveys and experiments. Qualitative research, on the other hand, is not that structured, as it formulates and builds new theories and the outcome is more concerned with explaining and interpreting data, than giving statistics (Leedy and Ormrod 2001). The researcher is also able to extract or develop details from being involved in the actual experiences of the natural environment (Creswell 2003) and gives insights into individuals' beliefs, views, attitudes, perceptions, feelings and behaviour (Hakim 2000).

Lastly, a mixed method is a combination of both quantitative and qualitative methods. According to Creswell, in a mixed method research methodology, both numerical and narrative data are analysed to address the research question (Creswell 2003).

The researcher selected a qualitative research approach for this research study. The choice of research approach is underpinned by the characteristics of qualitative research described by Cresswell, that are built on the earlier characteristics advanced by Rossman and Rallis in 1998 (Creswell 2003). "Qualitative research takes place in the natural setting; uses multiple methods that are interactive and humanistic; is emergent rather than tightly prefigured and is fundamentally interpretive. The qualitative researcher views social phenomena holistically, uses complex reasoning that is multi-faceted, iterative, and simultaneous adopts and uses one or more strategies of inquiry" (Creswell 2003, p.181-183).

Various qualitative research designs exist. Auriacombe and Mouton (2007) listed & described naturalistic inquiry, grounded theory, ethnomethodology, case studies, participatory action research and institutional ethnography, as qualitative designs available for qualitative research. Qualitative researchers choose from amongst five designs, which are narrative, case study, ethnography, grounded theory and phenomenology. According to Auriacombe and Mouton (2007), these designs are more descriptive than explanatory (although not ruled out), with the goal of reaching a deeper and insider insight and understanding of the social phenomena.

4.2.1 Case study

Gilbert (2008) and Grinell (1918) defined a case study as "an approach in which a particular instance or a few carefully selected cases are studied intensively" and "very flexible and open-ended technique of data collection and analysis" (cited by Kumar 2011, p.123). A case study is a valuable design when there is little known, or a holistic understanding is needed, of the area of study and the focus is on exploring and understanding rather than confirming (Kumar 2011). Case studies further provide an "overview and in-depth understanding of a case(s), process and interactional dynamics within a unit of study but cannot claim to make any generalisations to a population beyond cases similar to the one studied" (Kumar 2011. p. 123).

Auriacombe and Mouton (2007) defined a case study as "a form of field research that investigates a specific phenomenon holistically or systemically, i.e. the focus is on the single (or few) case(s) in its entirety rather than on aspects or variables thereof". They argued that the unit of analysis in case studies can be an individual, an institution (government), an organisation or a collective of individuals, institutions or organisations. Auriacombe and Mouton (2007) concur with Kumar (2011) that the emphasis of a case study is on understanding and explaining and further stated that case studies make use of both qualitative and quantitative data, and primary and secondary data sources.

4.2.2 Why a Qualitative approach & Case Study

This research study will, as described in the characteristics of qualitative research take place within the Knysna Municipality, so participants will be in their natural environment. The study will be interactive, as data must be collected from ward committee members, officials and councillors. This will include individual interviews and focus groups. Data analyses will be interpretive, as the researcher will have drawn conclusions from personal experiences of participants. The research be will inductive, but the researcher does not start afresh and is aware of and at times take into account current existing theories. Therefore the researcher will make use of both inductive and deductive process, which is a trait of qualitative research.

The case study design was chosen because the research study looked at the municipality holistically in exploring the role of ward committees in participatory monitoring and evaluation. Secondly, the research study does not attempt to make any generalisations in term of the results and/or that it will be similar in another case study. This research study seeks to attain an in-depth exploration of and insight into the research problem statement. Ritchie & Ormston (2014) argued that the integration of different perspectives means that case study designs are able to build vastly detailed in-depth understanding and are used when a single perspective is not able to give a full account of a research issue.

4.3 Population and Sampling

"Population is the largest group of units that the cases actually used in the research could be said to represent" (Gorard 2013, p.76) and sampling is the process to select a sample that is representative of the population (Mouton 1996). In this research study, the population included ward committee members, senior management and councillors of

Knysna Municipality. To ensure that the sample was unbiased, the researcher was assisted by Knysna Municipality's public participation unit to select the ward committees, the ward committee members, officials and councillors that participated.

The type of sampling used for this study was stratified sampling. In stratified sampling, units are selected comparing the characteristics of the population and must know at least one variable about each unit in the list must be known (Gorard 2013). The known variables for this study were that participants of ward committee members were at least 3 years in office, only returning ward councillors participated and for officials, only directors and senior managers. These variables were chosen because this study analysed the status of the implementation of the ward committee system in Knysna Municipality; determine the main challenges in the ward committee system in Knysna Municipality; and explore opportunities for participatory monitoring and evaluation by ward committees. This could only be successfully explored if participants had experience of serving as members of ward committees, ward councillors had experience and councillors as chairperson of ward committees and municipal officials that understand and interact with ward committee on a regular basis.

In this sample five (5) ward committees were selected that represent forty-five percent (45%) of the wards in Knysna Municipality. The five ward committees selected reflected the different socio-economic characteristics of the municipal area. The five wards represented the different level of income groups, demographics, urban and rural areas in the municipal area. Thirty percent (30%) of the ward committee members in the five wards participated. In total fifteen (15) ward committee members participated in this research study. Due to regular turnover of ward committee members, only ward committee members who have served more than three (3) years were selected to be part of the research study.

Three out of the six senior managers were selected, which present a sample of fifty percent (50%) of the senior management in Knysna Municipality. In addition, another six managers were purposively targeted, which included the manager for public participation, manager integrated development plan, manager performance management and one manager from community services, technical service and planning departments respectively.

Lastly a sample of thirty-six percent (36%) was used for ward councillors. Four out of eleven ward councillors participated in the research study.

4.4 Data collection techniques

The choice of data collection in this research was to generate new primary data. Generated data are gathered during the research process through interaction between researcher and participants (Ritchie & Ormston 2014). Two main data collection techniques for generated data in qualitative research are in-depth interviews and the focus groups (Hakim 2000; Ritchie & Ormston 2014). This research study made use of both in-depth individual interviews and focus groups.

4.4.1 In-Depth Individual Interviews

Individual interviews are characterised by the in-depth focus on the individual participant. One-on-one interaction provides for comprehensive investigations of individual participants perspective, in-depth understanding of individual perspective and for more comprehensive subject coverage (Ritchie & Ormston 2014). All ward committee members, officials and councillors in the sample have been individually interviewed to ensure that personal history and experiences were explored related to individual circumstances.

4.4.2 Focus Groups

In focus groups the perceptions, experiences and understandings of the group are explored, who have common experience of an event or situation (Kumar 2011). Focus groups allow the opportunity for discussion and allow participants to hear the views from other participants. The researcher in this case anticipated that the interaction between participants will illuminate the research study. Three focus groups were selected from the sample. The first focus group was the ward committee members, secondly municipal officials, and lastly a joint focus group consisting of ward committee members, municipal official and councillors. The participants in the different focus groups were as follows: ward committee focus group of four participants; the municipal official focus group of four participants; and mixed focus group of seven participants, consisting of two councillors, two ward committee members and three officials.

4.4.3 Secondary Data

Qualitative research also uses secondary sources as a method of data collection and, as stated by Kumar (2011), "qualitative research usually extracts descriptive (historical and current) and narrative information" Secondary data was sourced from the Department of Local Government in the Western Cape, Department of Cooperative Governance and Traditional Affairs (COGTA), and South African Local Government Association (SALGA) .

4.5 Data Analysis and interpretation

Qualitative data analysis is referred to as "all forms of analysis of data that was gathered using qualitative techniques, regardless of the paradigm used to govern the research" (Babbie & Mouton 2005; cited by Cloete 2007). Cloete (2007) described qualitative data analysis as a continuous process, comparing and assessing data from the beginning till the end of the research process and also that the aim of qualitative data analysis is to describe and contextualise events through logic to interpret, understand and explain future events. This involves the accumulation of additional data that may be collected from interviewees to clarify or deepen understanding. Cloete (2007) believed that the overlapping of data collection and analysis improve the quality of data collected and the quality of data analysis.

The framework model for analysis used by the researcher consisted of five key stages as identified by Lacy and Luff (2001), namely "data familiarisation, identifying thematic framework, indexing/classification/coding, charting, mapping and interpretation" (cited by Cloete 2007). The data familiarisation stage consisted of reading interviews and focus group notes and listening and document voice recordings. The researcher used both an inductive and deductive approach in the process. The thematic framework was identified from the research questions and interview questions and some emerged during the data familiarisation stage. The researcher then used textual codes to organise data according to the thematic themes identified. In the charting stage five generalised headings were used across the whole dataset. Lastly, the researcher searched for patterns, causal relationship and also critical stand-alone data.

4.6 Reliability and Validity

In natural science, reliability refers to replicability, meaning the ability to reproduce the same results if research is repeated and validity, which refers to the accuracy of findings (Lewis et al. 2014). The application of reliability and validity in qualitative research is often questioned or seen as inappropriate for qualitative research and that it is only applicable to natural science (Lewis et al. 2014). Some qualitative researchers (Lincoln & Guba 1985; Glaser & Strauss 1967) argued that these terms be substituted with credibility, plausibility, while others (Robson 2011) argued that in doing so they play into the hands of the detractors of qualitative research, who viewed it as unreliable and invalid (Lewis et al. 2014).

According to Seale (1999), reliability can be achieved through "showing the audience of research studies as much as is possible of the procedures that have led to a particular set of conclusions" (Lewis et al. 2014). Another criterion for reliability in qualitative research is the requirement of clear understanding of the features of data that must be consistent, dependable or replicable. The sample of data features was determined prior to the study and is consistent and dependable and can be replicated outside of the study.

As indicated above, validation refers to the extent evidence can be verified or substantiated. It has to do with accuracy or credibility of data captured from participants. According to Trochim and Donnelly (cited in Kumar 2011), "credibility involves establishing that the results of qualitative research are credible or believable from the perspective of the participant in the research". Creswell defined this process as member-checking, where the accuracy of finding is taken back to the participants (Creswell 2003). It is believed that the respondents will be the best judge to determine whether results reflect their opinions accurately. Also referred to as member or respondent validation, the research evidence is taken back to research participants to verify interpretation assigned to the data (Lewis et al. 2014)

The researcher validated data with participants throughout the research process. At the end of each individual session the research summarised notes taken for participant and allowed for ratification. The researcher also shared data collected to the mixed focus group from the focus groups of the ward committee members and officials.

4.7 Ethical Consideration

"Ethics refers to the appropriateness of your behaviour in relation to the rights of those who become the subjects of your work or who are affected by it" (Saunders, Lewis & Thornhill c2009, p.184). Ethics in research is concerned with the treatment of participants in research in the processes of data collection, analysis and reporting. Throughout the entire research process, the researcher must ensure confidentiality and also ensure that participants are not harmed as a consequence of the research.

Webster, Lewis and Brown (2014) raised various ethical issues that confront qualitative research. Firstly, the authors argued that data collection is influenced by cultural contexts and the skills and methods used by the researcher, which can create a tension between knowledge production and research ethics. Secondly, qualitative research is dependent on effective relationships between researcher and participants and therefore Webster, Lewis and Brown (2014) contend that researchers must be aware of comfortable relations being developed, which may present a challenge to professional boundaries. Researchers must therefore always be aware of the boundaries and have the responsibility to maintain them. The third ethical issues Webster, Lewis and Brown (2014), raised is the flexible and responsive nature of qualitative research, which may lead to script deviations that take place because of the interactive nature of data collection and the researcher deviates from prescribed processes to gain more information or to make a participant feel more relaxed. Focus groups also have the risks of participants not respecting confidentiality or disagreement amongst participants might leave participants with negative experiences of research. Lastly Webster, Lewis and Brown (2014) argued that the researcher must give special attention to the issue of confidentiality and anonymity and must be alert to power relationships between participants in their research study.

The researcher adhered to the following ethnical principles (Webster, Lewis and Brown 2014):

- The research should be worthwhile and should not make unreasonable demands on participants.
- Participation in research must be based on informed consent
- Participation must be voluntary and free from coercion or pressure
- Adverse consequences of participation should be avoided
- Confidentiality and anonymity must be respected

During this research, a participation information sheet that outlined the purpose of the study, description of study, and involvement of participant, confidentiality, voluntary

participation and withdrawal and signed informed consent, was provided to each study participant, prior to interviews and focus groups All participants signed a consent form before the commencement of individual interviews and focus group sessions. The consent form included a section for participants to choose whether to stay anonymous or give consent for name of department to be used in the research write-up.

4.8 Conclusion

This qualitative research approach for this research study meet all the criteria for qualitative research as described by Creswell: "the research takes place in the natural setting; uses multiple methods that are interactive and humanistic; is emergent rather than tightly prefigured and is fundamentally interpretive. The qualitative researchers view social phenomena holistically; use complex reasoning that is multi-faceted, iterative and simultaneous and adopts and uses one or more strategies of inquiry" (Creswell 2003, p.181-183).

A case study design has been chosen because the researcher sought to have a holistic approach to municipal processes in investigating ward participatory systems and participatory monitoring and evaluation. Secondly a case study was chosen because it is more descriptive than explanatory and the goal is to reach a deeper and insider insight and understanding of the social phenomena.

# Chapter 5: Research Findings and analysis

5.1 Introduction

The study was designed to explore whether participatory democracy can be enhanced through a participatory monitoring and evaluation approach within the current ward committee system. The study was designed to discuss the legal imperatives of the ward committee system; analyse the status of the implementation of the ward committee system in Knysna Municipality; determine the main challenges in the ward committee system in Knysna Municipality; explore opportunities for participatory monitoring and evaluation by ward committees; and make appropriate recommendations. This goal was pursued through individual interviews and focus group discussions with ward committee members, ward councillors and municipal officials

5.2 Legislative Framework for ward committees

Communities' involvement and participation in the affairs of the municipality is enshrined within the Constitution and an abundance of local government legislation. The Constitution of the Republic of South Africa, 1996 and local government legislation make it compulsory for municipalities to consult communities. More importantly, the community is defined in legislation as a component of a municipality (RSA 2000). Communities therefore cannot be treated as just a normal stakeholder and must be seen as an integral part of the municipal system.

The Municipal Structures Act provides for the establishment of ward committees, with the objective to enhance participatory democracy in municipal affairs. Ward committees can participate in the municipal affairs through the ward councillor and are entitled to make recommendations on matters that affect the ward to or through the ward councillor, either to council, the executive mayor or executive committee (RSA 1998). The municipal council may also delegate such duties and powers to ward committees as it deemed necessary (RSA 1998). The municipal council must therefore use the same legislative provisions it uses to delegate and assign responsibilities to other political structures, political office-bearers and officials in the municipality. The functions and powers delegated to ward committees in terms of section 59 of the Municipal Systems Act, have the same legal standing as the functions and powers delegated to other political structures, political office-bearers and officials. The Municipal Structures Act sets no limitations on

what may be delegated to ward committees, therefore the only limitations will be constitutional and legislative provisions. These limitations will include the functions that council may not delegate, those that may only be delegated to certain political structures, office bearers and officials and statutory powers assigned to specific political structures, office bearers and officials that may not be delegated according to the Constitution and legislation.
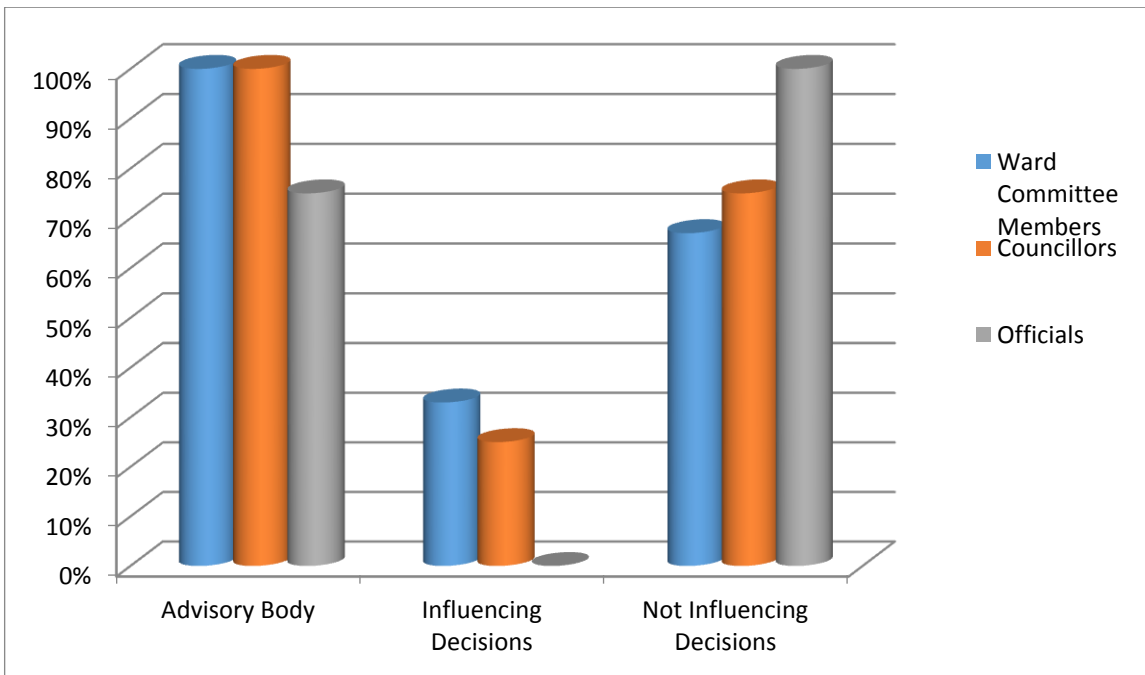
Figure 3: Legislative Issues

Participants' general view was that ward committees are advisory bodies. One hundred percent of the ward committee members and councillors, and seventy-five percent of officials were of the opinion that ward committees are advisory bodies. A further twenty-five percent of the officials were of the opinion that ward committees are not even fulfilling an advisory role, as they are not seen as influencing decision-making. All participants who were of the opinion that ward committees are advisory bodies, believe so because of their understanding of the legislative framework for ward committees. The ward councillors were of the opinion that one of the primary roles of ward committees is to assist the ward councillors and not to be in competition with them. Other researchers and local government practitioners also supported the view that ward committees are advisory bodies only. Putu (2006) stated that the ward committees' role is to facilitate; disseminate information; build partnerships and assist with the problems of communities experienced by the people at ward level. Ngqele (2010) also supports this view in stating

that ward committees' decisions are not binding on the councillor and have no legal powers (Ngqele 2010). Both researchers used the Department of Provincial and Local Government's Ward Committee Resource Book of 2005 as a reference, which states ward committees are "advisory bodies created within the sphere of the community to assist the ward councillor in carrying out his or her mandate in the most democratic manner" (Department of Provincial and Local Government 2005). The participants also referred to Ward Committee Resource Book in support of their opinion.

5.3 Status of Ward Committee System in Knysna Municipality
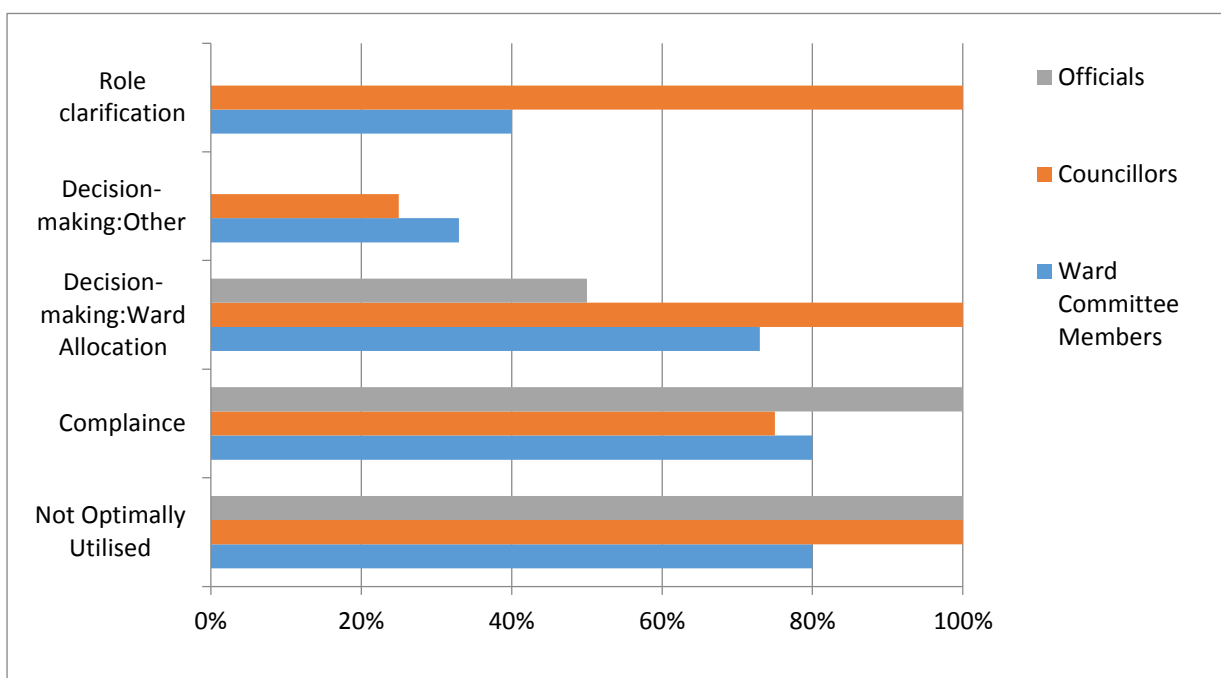
Figure 4: Status of Ward Committees

With the exception of twenty percent of ward committee participants, all participants were of the view that ward committees are not optimally utilised. Reasons given by ward committee members were that they only meet quarterly; only input insofar as ward budget allocations are concerned; and do not have formal direct access to officials, which impacts on their effectiveness. Ward committee members were of the opinion that the ward committees could be utilised to facilitate communication with communities, be involved in planning other than IDP, make recommendations on portfolio committees and council agenda items. Another reason given for the under-utilisation of ward committees was that communities do not understand the functions of ward committees or perceived the ward committees as political and therefore the majority abstain from participating in its election

and activities. Participants acknowledge that community members who serve on ward committees are often politically connected and that most of them were either lobbied or encouraged by the ward councillor, or their political party, to participate. Ward councillors concurred that an overwhelming majority of their ward committee members were active members or supporters of their political party. Ward councillors and officials were also of the opinion that ward committees are not utilised optimally because they do not have any specific authority and are therefore not taken seriously. The focus group was of the opinion that ward committees must have regular meetings to address ward issues and receive feedback. Focus group participants suggested that service delivery reports affecting the respective wards be tabled in ward committee meetings and that senior management be deployed to ward committee meetings.

Most participants were of the opinion that ward committees have become just another compliance matter within the municipality. Performance indicators for ward committees are more concerned with output than outcome and impact. These Key Performance Indicators (KPIs) are concerned whether ward committees were established, the number of meetings and how many members attended. No KPIs exist for outcome and impact.

Knysna Municipality annually allocates ward budgets for ward councillors with the delegated authority to approve projects, after consultation with his/her ward committee. According to all ward councillor participants, their ward committees influence the decisions relating to ward projects. Seventy-three percent of the ward committee participants and fifty percent of the officials participating were of the view that ward committees influenced decision-making on ward projects. A number of the ward committee participants (27%) said that ward councillors do not consult the ward committees or that their input does not influence final projects. The other fifty percent of the officials were also of the view that ward committees do not influence projects, because ward councillors change the projects, with the officials as implementers.

Only twenty-seven percent of ward committee members and twenty-five percent of ward councillors were of the opinion that ward committees are involved in decision-making other than the ward budget allocation. These other areas of decision-making include potholes, wheel-chair ramps, housing disputes and road signs. The focus group agreed that wards where ward committees are involved in decision-making in other areas of service delivery, depend solely on the ward councillor's discretion and his/her ability to influence senior management on operational projects. Participants in the focus group were of the

opinion that these other areas of decision-making must be part of the powers and functions within the ward committee constitution. All participants, however, agreed that ward committees should be more involved in decision-making on matters affecting their wards.

All ward councillor participants and forty percent of ward committee participants were of the opinion that there is a need for role clarification. Ward councillors were of the view that ward committee members and officials do not fully understand the role of ward councillors, while the ward committee members were of the view that councillors and officials do not understand the role of ward committees. Although a need for role clarification was not expressed by the officials, the researcher found during interviews with officials that they did not know the content of the constitution of ward committees. Some did not know the composition of the ward committees and others did not know the functions that were assigned to ward committees.

5.4 Main Challenges in the Ward Committee System in Knysna Municipality

Participants raised various challenges in the ward committee system that affect the efficacy of the ward committees. The figure below illustrates the main cross-cutting challenges identified by participants.
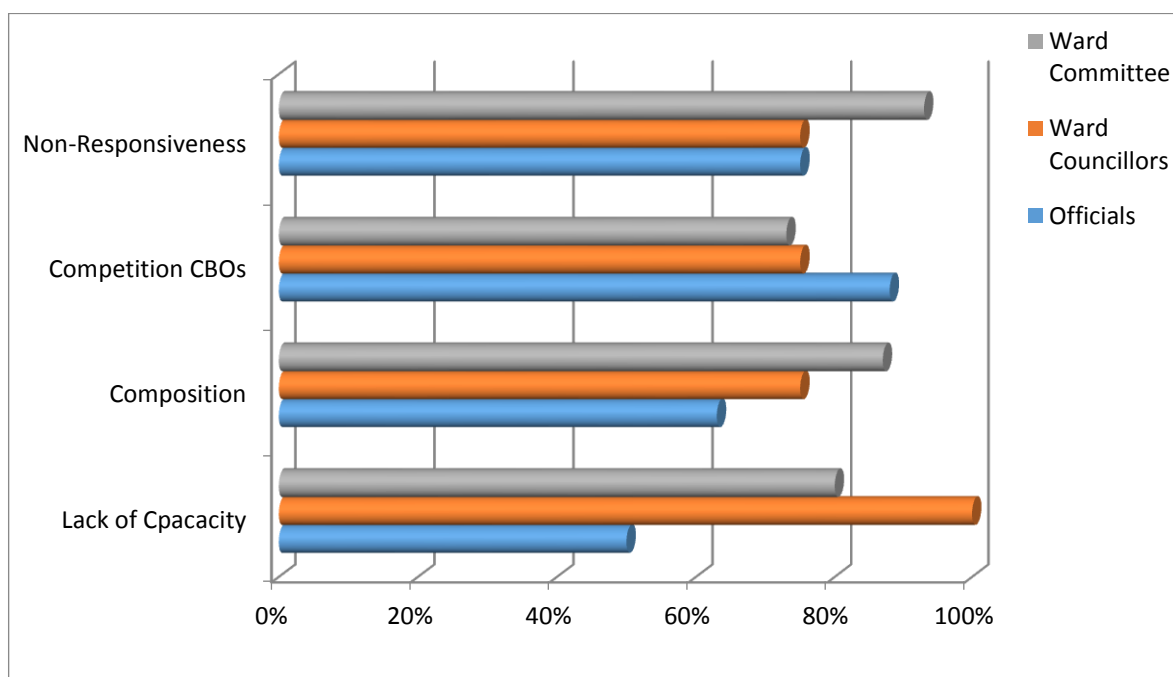

Figure 5: Main Challenges of Ward Committee System

The major challenge that affects the functionality of ward committees identified by participants was the non-responsiveness of the municipal council and administration. According to ninety-three percent of ward committee participants, feedback from the municipal council and administration on issues referred is often slow or non-existent. These issues range from faults reported, information on implementation, clarity-seeking questions and recommendations from ward committees on service delivery matters. A mere seven percent of the ward committee members were satisfied with the responsiveness of the council and administration. Participants were of the view that a major contributor to the non-responsiveness was the lack of communication from the administration and council.

Seventy-five percent of officials were of the opinion that the administration and council were non-responsive to the issues raised by ward committees. The non-responsiveness includes no or slow response from the administration and council on matters referred to it by ward committees. Officials attributed the non-responsiveness to systems and organisational structures that were not designed to process ward committee matters and therefore these matters often get lost in the system. Another factor was that municipal officials often regard ward committees as not important or as some external structure outside the municipality. A third reason was that municipal officials, especially management, rather respond to issues raised by community-based organisations.

This leads to one of the major challenge affecting the functioning of ward committees, competition from community-based organisations (CBOs). These community-based organisations (CBOs) include street committees, area/block committees, ratepayers' associations and homeowners' associations. Seventy-three percent of ward committee members were of the opinion that competition from CBOs negatively affects the authority and credibility of ward committees. The twenty-seven percent that did not raise the competition of CBOs as a challenge was notably from the rural wards, where these CBOs are not active. According to ward committee participants, the problem is two-fold, with community-based organisations preferring to address their issues directly with officials and councillors and secondly, councillors and officials who prefer to interact with CBOs. Participants were of the view that senior management and the executive of council were more readily available to interact with the CBOs than with ward committees. According to ward committee participants, issues or demands from these organisations are often resolved or met without consulting ward committees.

Officials strongly supported the view that ward committees face a challenge of credibility and legitimacy from ratepayers-and-homeowner associations and street-and-area committees. Seventy-five percent of the officials participating were of the view that the challenge from CBOs was a serious matter that must be resolved by the municipal council, to guide officials on how to deal with this phenomenon. According to these participants, they spent more time interacting with CBOs than with ward committees. These interactions mostly take place upon requests from the executive and office of the municipal manager. The successes of CBOs, according to participants, are due to the influence and access to the political elite by ratepayers and homeowner associations and the threat of service delivery protest by street and area committees. The successes of CBOs reduce the influence and credibility of ward committees and their ability to be the voice of their respective wards. All the officials were of the view that the municipality must change its approach and compel CBOs to work through ward committees, as their demands are singular based and often affect the overall planning and budget of the entire ward.

Ward councillor participants also viewed the competition from CBOs as a challenge to the authority and credibility of ward committees. Seventy-five percent of the ward councillors admitted that they are continuously confronted with demands from CBOs that are not included in ward and other service delivery plans and that they often concede to those demands without consulting their ward committees. This perceived influence and power of ratepayers associations, homeowner associations, street committees and area committees dominated the discussion in the mixed focus group. Officials again raised the issue that they spent more time interacting and addressing issues of these organisations than addressing issues of ward committees. Councillors were of the view that CBOs should work through ward committees. Ward committee members emphasised that the interaction with other CBOs must be resolved, for ward committees to regain their authority and credibility. All the participants in the focus group were of the view that council must change the approach of interacting with CBOs and decide on mechanisms to streamline public input through ward committees.

The composition of the committee was also identified as a major challenge for ward committees. Eighty-seven percent of ward committee participants were of the view that the sectoral representation was one of the major contributors to the weaknesses of ward committees and only thirteen percent did not see it as a weakness. Two reasons cited for the composition being a weakness, were that sectoral representation often do not cover all

geographical areas and the representatives do not report to sectors. Sectoral representatives often face credibility challenges because of the manner in which they were elected. An example cited by a participant was that he was the only representative of the clergy in the community hall and was automatically elected to represent the sector. As soon he convened the first meeting for the religious sector, he was told that he was not elected by sector and therefore does not represent the sector (De Vries 2015). In other cases, ward councillors will approach a person in a particular sector to avail themselves without consulting the sector as a whole. These sector representatives often then operate with no constituencies and therefore no dissemination of information takes place from ward committees. The majority of ward committee members proposed the introduction of geographical representation, whether through a mixed sector and geographical representation or a purely geographical representation to strengthen representativity.

Sixty-three percent of the officials and seventy percent of ward councillors were of the view that the municipality must change the ward committee composition to geographical representatives only, because large geographical areas are often not represented in ward committees. It is important to note that Knysna Municipality, during the period of this research in 2017, changed its ward committee composition to include a geographical or sector or a mixed sector and geographical representation. Ward councillors have an option now to choose a purely sectoral or geographical or a mixed representation for the ward committee. During an interview and in the focus group, the manager public participation, Kalani (2018) attributed, the change in the composition of the ward committees, partly to recommendations from an earlier research study by the researcher (De Vries 2015) that was conducted in Knysna Municipality which recommended a mix sectoral and geographical or an exclusive geographical representation.

The lack of capacity had been highlighted as a major factor affecting the ability of ward committees to function effectively and efficiently. All ward councillor participants proposed that ward committees must have targeted training in municipal systems, processes and budgeting. This training must include the policies and by-laws of the municipality. According to one ward councillor, ward committee members should have the knowledge and ability to immediately replace a councillor, with a full understanding of the role and responsibilities of councillors. Fifty percent of the officials were of the opinion that ward committee members do not understand municipal processes and that specific training is needed that focusses on Knysna Municipality's processes and systems. The participants were further of the view that ward committee members must be

capacitated with the necessary human and financial resources to execute their responsibility. They believed that the systems which are necessary to support ward committees were also not in place. Eighty percent of ward committee members were also of the view that ward committee members need further training in their functions and municipal processes and systems. The ward committee members further expressed the need for more administrative support, including access to office space to fulfill their role. They cited that their ward councillors' offices are often inaccessible.

The participants in the mixed focus group were of the view that the ward councillor's leadership role is pivotal to the efficient functioning of the committee. They believed that the ward councillor's role is more than just being chairperson and that the councillor must actually lead the committee in the development of the ward. The participants therefore expressed strong views that the municipal council must hold ward councillors accountable for the non-functioning of ward committees and that councillors must give written reports to council. In this regard, they proposed that council applies sanctions on councillors for the non-functioning of the committees and failing to submit reports to council.

5.4.1 Service delivery protest and challenges for ward committee system

Participants identified non-responsiveness and lack of communication from the municipality as the two main causes of service delivery protest. These two main causes of service delivery protests are similar to the two major challenges that negatively affect the efficacy of ward committees.
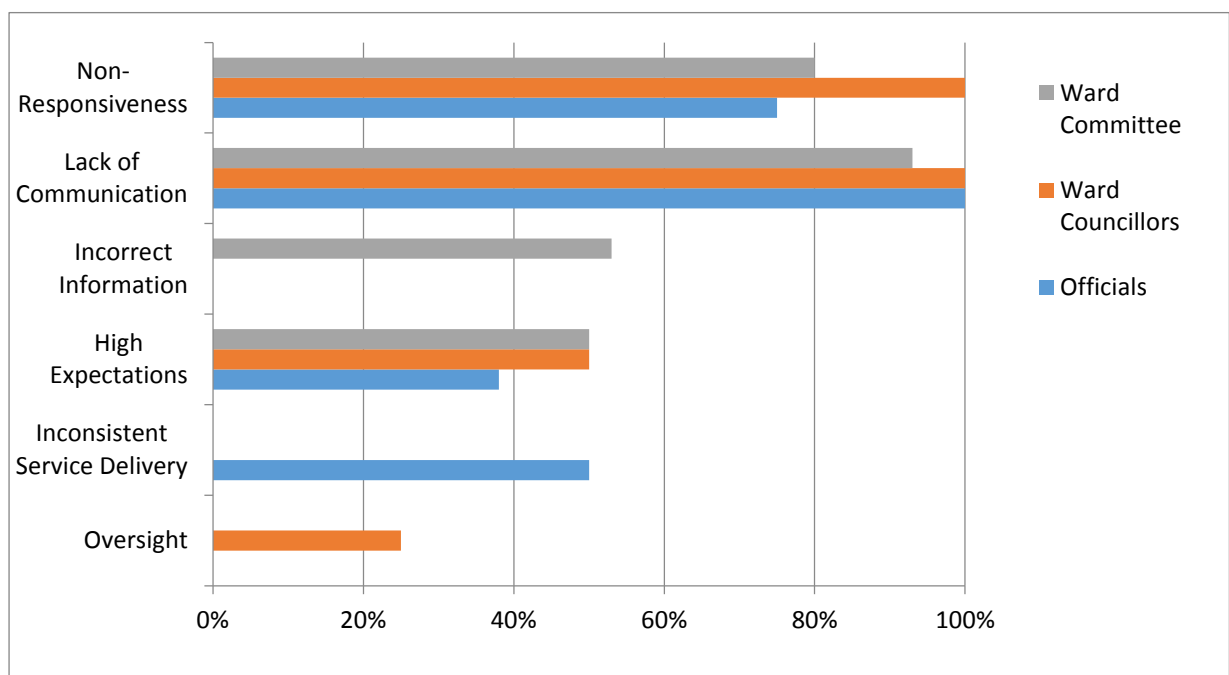
Figure 6: Reasons for Service Delivery Protests

Ninety-three percentage of ward committee members and one hundred percent of councillors and officials were of the opinion that the lack of communication between the community and the administration and council is the major cause of service delivery protest. According to ward committee members, incorrect or false information communicated by officials and councillors aggravates the lack of communication. Incorrect or false information is often communicated when officials and councillors want to placate communities, when confronted on public platforms. In the ward committee focus group, participants cited that projects are often implemented or service interruption took place, without their knowledge. Participants in this focus group also stated that the degree of success in sourcing information or feedback from the administration often depends on personal relationships with officials.

Officials identified inconsistent communication, not communicating important information/ decisions, one-way communication and not listening to communities, as factors contributing to the lack of communication. Thirty-eight percent of officials were also of the view that the municipality's structure and systems are not designed to properly receive and process communication from communities and ward committees. Ward councillors described the communication from the municipality to communities as reactive. They believed that the municipality only communicates after incidents or after communities have raised issues. An example cited was that a known delay in a housing project is often only communicated when communities protest.

The non-responsiveness of the administration and council was cited as the second major contributor to protest., The lack of communication and the non-responsiveness are intertwined. Ward committee members indicated that feedback on matters referred to the administration and council is often either very slow or non-existent. Participants cited various examples to illustrate this point, such as faults reported by ward committee members that were not fixed. An overwhelming seventy-five percent of the municipal officials also indicated that the non-responsiveness includes both slow or non-responses from the administration and council on matters that were raised by communities. Officials attributed this to municipal systems that were not designed to process matters raised by communities. Secondly, they cited the attitude of municipal officials and councillors, of

not taking communities seriously and of their opinion that the administration and council are the only decision-makers.

The high expectations of communities were also identified by all the participants as a major cause of service delivery protest. Fifty percent of ward committee participants said that pre-election and ongoing promises that are not realised into service delivery plans result in service delivery protest. Participants in the ward committee focus group were of the view that high expectations in communities is exaggerated by pre-election promises and other promises made in community/stakeholder meetings, by officials and councillors, that are not met. Also, fifty percent of ward councillors and thirty-eight of officials participating said that councillors and political parties do not go back to communities, once in government, when they realise that pre-election promises cannot be met.

Fifty percent of officials identified inconsistent service delivery as a reason for service delivery protest. Inconsistent service delivery according to officials takes places when the municipality applies different service standard levels. One example given, was of a resident from a poor area that wakes up in the morning with no water and reports the matter, leaving his/her house to work in an affluent area, where a similar issue arises and services are restored within a few hours of reporting and on returning home, the service has not been restored. The officials admitted that they are under pressure to respond quicker or first to issues in affluent areas. Another example was that of houses built that were not of the same standard. The responsiveness of the municipality after protest also often leads to other service delivery protest according to thirty-eight percent of participants. Communities view protest as an effective method of interaction with the municipality, because their demands are often met during protests.

One of the ward councillor participants was of the view that the lack of oversight by councillors also contributes to service delivery protest. The participant was of the opinion that effective oversight by councillors will ensure that the administration implements programmes timeously. He further believed that effective monitoring and evaluation by councillors would give early warning signals of possible delays and challenges of service delivery. The participant also argued that ward committees could assist councillors with monitoring and evaluation of service delivery.

All participants were of the opinion that ward committees could play a pivotal role in reducing service delivery protest and could assist municipalities in dealing with the above

causes of service delivery protests. Participants believed this was only possible if the administration and council were transparent and provided ward committee members with adequate and relevant information of matters and decisions affecting their wards and the municipality. Ward committee members said access to information such as service delivery plans, time frames of delivery programmes and progress reports would enable them to effectively communicate with communities.

5.5 Opportunities for participatory monitoring and evaluation for ward committees

This section will outline the status of monitoring and evaluation in Knysna Municipality, and the opportunities and challenges for ward committees with monitoring and evaluation.

5.5.1 Current Status of Monitoring and evaluation
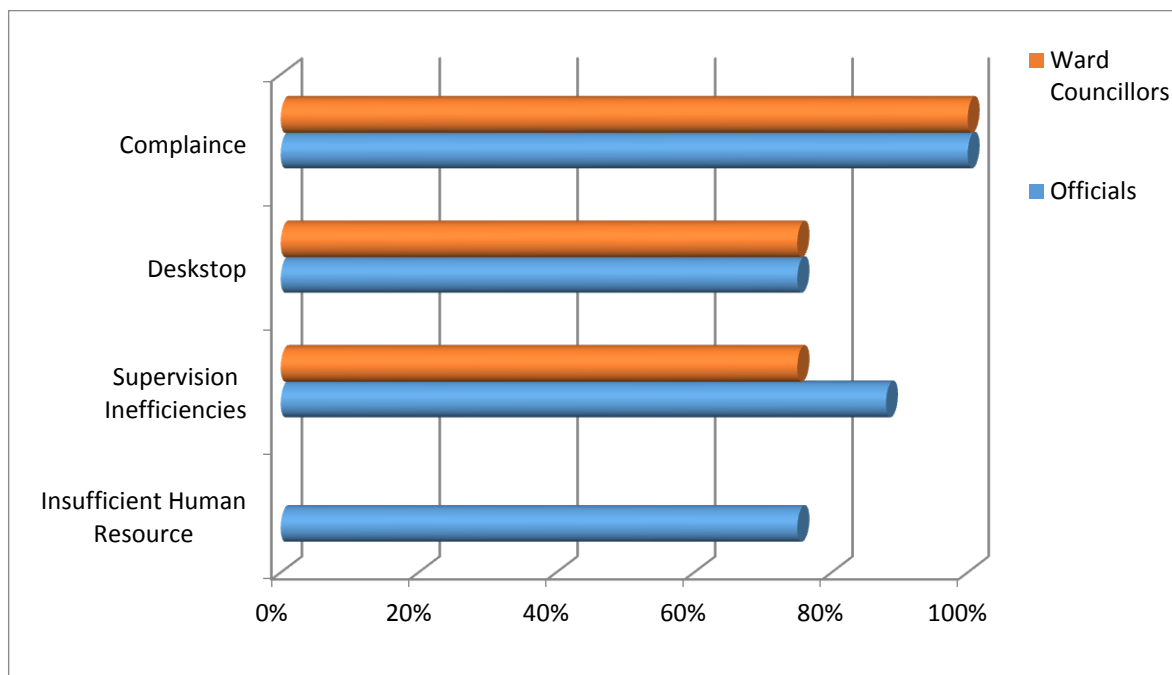
Figure 7: Status of Monitoring & Evaluation

Municipal officials were unanimous in their opinion that monitoring and evaluation in Knysna Municipality was just a compliance matter and seventy-five percent were of the view that the municipality's performance management was just a desktop exercise. The service delivery budget implement plan (SDBIP) was identified as the main desktop tool for measuring performance. The SDBIP is a financially driven system populated with data exclusively dependent on expenditure. SDBIP reports are often outdated, as invoices

and/or payments have not been captured and are therefore not a very accurate tool for the monitoring of service delivery implementation. The officials also said that monitoring and evaluation were barely taking place in the field where service are being delivered and that monitoring and evaluation were mostly taking place with the building of houses and other big capital projects.

During an interview and in the focus group, the manager performance, internal audit and risk management, Mc Cartney (2018) said the performance management of municipalities were expenditure-driven and is not concerned with outcomes and impact. Councillors and officials mostly used the monthly budget reports to measure performance. He further stated that "the performance management system has been hijacked by the audit of the auditors-general and the performance bonuses for the section 55 & 56 managers". Municipalities therefore develop easy and achievable key performance indicators (KPIs) to reduce their risks of negative audit findings. The key performance indicators inform the top level SDBIP that are audited by the auditor-general. An example of this practise is that the KPI for the development of a policy will be the tabling of the policy and not the approval of the policy. According to Mc Cartney (2018) Knysna Municipality and most other municipalities have reduced the number of their Top Level SDBIP indicators.

According to Mc Cartney (2018) directors' performance scorecards are a repetition of the top level SDBIP, due to the interpretation of MFMA section 53(c)(iii)(bb) and there is an incentive for directors to ensure that the performance indicators included in their scorecard, and thus the SDBIP, are easy to achieve, thereby attempting to ensure a positive performance outcome. Section 53(c)(iii) (bb) is linked to the measurable performance objectives approved with the budget and to the service delivery and budget implementation plan. This has a knock-on effect, as the SDBIP is aligned or linked to the IDP, which can and does have a negative impact on the IDP. Mc Cartney (2018) was therefore of the view that, until such time   municipal councils take or are allowed to take control over governance issues, including performance management, there will be an incentive for the municipal managers and directors to act as umpire and player.

Ward councillor participants concurred with officials that actual monitoring and evaluation in their wards and the municipality in general barely takes place. The participants were unanimous in their opinion that monitoring and evaluation in the municipality was a mere compliance matter. As a result, seventy-five percent of the participants were of the opinion that monitoring and evaluation in the municipality was

only a desktop exercise, and that the SDBIP as a tool of monitoring and evaluation is not sufficient.

Eighty-eight percent of the officials and seventy-five percent of ward councillors were of the view that supervision inefficiencies affect the monitoring and evaluation in the municipality. Ward councillor participants identified the challenge of monitoring at supervisor and junior management level. According to ward councillors, leadership at supervisor and junior management level was weak and that supervision barely took place over work teams and staff. Officials also revealed that monitoring barely took place over operational projects, which make up the greater part of the total municipal budget. Seventy-five percent of the officials' participants attributed this state of affairs to insufficient human resources. The participants contended that they did not have sufficient staff in the departments to do monitoring and evaluation. Participants from the technical departments emphasised that it was not only about the number of staff required, but also the appropriate skilled and experienced staff members to perform monitoring and evaluation functions.

A shocking revelation by officials was that capital projects are often delayed because departments do not have the necessary or required skilled internal project managers to manage external service providers. Another contributing factor to the supervision inefficiencies is the low level or lack of capacity of the supervisory levels in the municipality. According to participants monitoring and evaluation at this level is at its weakest. Reasons given for the low level or lack of capacity are low education levels and the lack of supervisory and management skills because of internal promotions. Internal promotions were blamed for the reluctance of supervisors to exercise their supervisory role in terms of monitoring, evaluation and discipline, because of familiarity with co-workers.

Ward committee members' views on monitoring and evaluation were divergent. The table below illustrates the responses of ward committee members to whether the municipality monitor and evaluates municipal service within their wards.

Monitoring & Evaluation by municiaplity
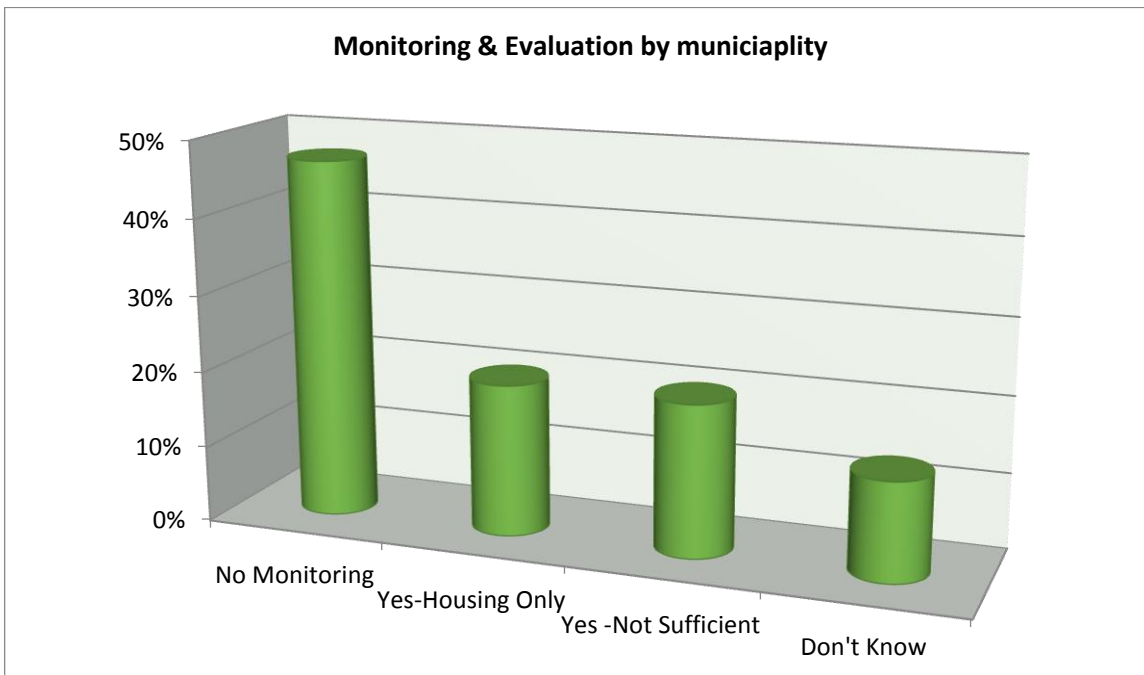
Figure 8 : Ward Committee Members – Status of M&E

Forty-seven percent of ward committee participants were of the view that the municipality does not monitor and evaluate service delivery programmes within its wards. Participants support their opinions based on what they experienced within their respective wards. Participants cited various examples, such as grass scattered in streets and neighbourhoods weeks after it had been cut; garbage on sidewalks after cleaning of storm water drains and culverts. The absence of supervisors and managers in wards was also advanced as a motivation for this opinion. Twenty percent of the participants were of the view that monitoring and evaluation only take places with housing projects and another twenty percent were of the view that monitoring and evaluation take place but that it is not sufficient. Thirteen percent indicated that they do not know whether monitoring and evaluation took place. In the mixed focus group participants agreed that monitoring and evaluation take place in all big capital projects and that the monitoring and evaluation of operating projects are desktop exercises. Participants were of the view that management mostly used budget spend as a monitoring tool and these reports are tabled in meetings of council.

5.5.2 Opportunities for participatory monitoring and evaluation

Participants across the three components were of the opinion that ward committees should be involved in monitoring and evaluation. Ward committee members, councillors and

officials gave concrete examples of areas in which ward committees can get involved in monitoring and evaluation.
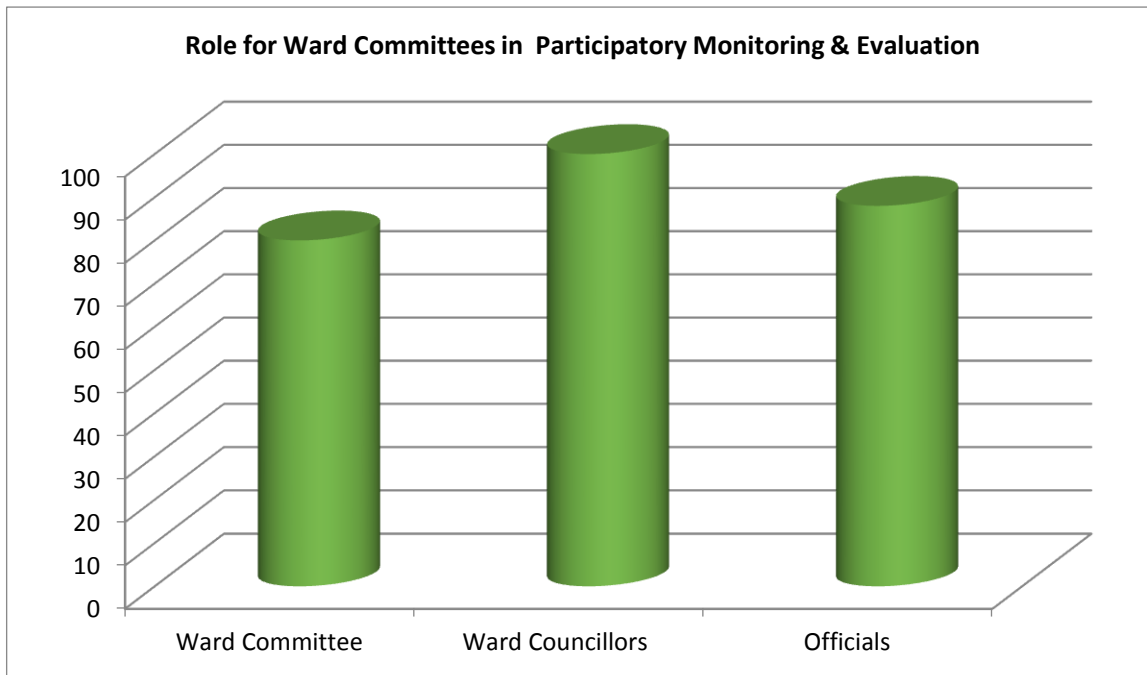

Figure 9: Role for Ward Committee in M&E

Eighty percent of the ward committee participants were of the opinion that ward committee members should be actively involved in monitoring and evaluation. This involvement included doing the actual monitoring in the field, without interfering in the work of municipal officials. Ward committee involvement will only be possible if ward committees have information on projects to be implemented. Participants proposed that ward committees could be involved in the monitoring and evaluation of ward projects, fault report progress, potholes, cleaning, grass cutting, refuse removal, communal complexes, service delivery budget implementation plan (SDBIP) and the Budget. The other twenty percent argued that the active monitoring and evaluation function is the responsibility of municipal officials and not ward committee members and argued that departmental service delivery reports tabled in council should be sufficient to be utilised by ward committees to monitor services.

Participants in the ward committee focus group unanimously agreed that ward committees should be involved in monitoring and evaluation. The focus group agreed that ward committees' involvement in monitoring and evaluation does not mean interfering in the responsibility of municipal officials and implementation of projects. It was proposed that monthly ward-based work plans must be used for all projects, for ward committees to do

monitoring. The focus group acknowledged that the current SDBIP reports are tabled monthly but are of the opinion that this desktop report-based spending was not a reflection of implementation.

All ward councillor participants were of the opinion that ward committees must be actively involved in monitoring and evaluation. Seventy-five percent of the participants wanted the areas of involvement in M&E to be very specific and to be communicated to all stakeholders. The municipality, in specifying the service delivery areas, must develop templates for the different ward committees, taking into account that different wards could have different areas of monitoring. One participant was of the view that ward committees should be involved in setting the key performance areas (KPIs) for maintenance services that must be provided by private contractors or municipal staff. This will allow ward committees to be involved in setting service delivery standards and then to monitor and evaluate the service. Lessons learned in the monitoring and evaluation of these services must then feed back into future planning process of rolling out these services.

Eighty-eight percent of officials that participated in the research study were of the opinion that ward committees have a pivotal role to play in the monitoring and evaluation of municipal services. Only twelve percent argued that the active monitoring and evaluation is the responsibility of municipal officials and not ward committee members. These participants were of the opinion that ward committee members will interfere in the responsibilities of officials and that they did not have the necessary expertise for monitoring and evaluation in their departments. Areas proposed for involvement of ward committees included the monitoring and evaluation of ward projects, fault report progress, potholes, cleaning, grass cutting, refuse removal, roads, storm water, electricity, water and sanitation, SDBIP, and the budget.

The officials made specific proposals on how ward committees could be involved. It was proposed that the ward committees must submit a monthly written report on monitoring and evaluation, as agreed by all stakeholders. This report must include whether service delivery activities took place and whether they were satisfied with the delivery of that service. Further monitoring and evaluation must be informed by the specifications of projects plans. The evaluation of municipal services by ward committees must be of a more satisfaction nature than a technical nature. These reports should be submitted to managers and be tabled at portfolio committee meetings of council, with feedback to the

following ward committee meeting. Another suggestion was that ward committee members form part of project steering committees and housing beneficiary committees. The officials' focus group supported and further proposed that ward committees meet monthly to discuss reports and receive feedback from officials and council. It was also suggested in the focus group that work programmes be developed for each ward that will be the main document to use for monitoring and evaluation.

In an interview with the former acting municipal manager, Douglas (2017) proposed that an integrated approach be developed for the Integrated Development Plan (IDP), Service Delivery Budget Implementation Plan (SDBIP), Annual Report and Customer Relations Management System (CRM). The CRM system is an electronic system that manages the municipality's relationships and interactions with its customers (communities) and seeks to improve customer relations and streamline municipal processes. Douglas (2017) was of the opinion that clear linkages exist between the IDP, SDBIP, CRM and the Annual Report and that the annual report should actually reflect the priorities in the IDP, what was achieved in the SDBIP, and the evaluation of services delivered. Douglas (2017) revealed that he was in the process of developing a model to integrate these processes and systems. According to him, ward committee involvement in monitoring and evaluation will enhance this process and he is of the opinion that a memorandum of understanding (MOU) must be signed with each ward committee in relation to its M&E functions and its own performance. This MOU must include the type and level of service that is to be expected and what ward committees must monitor and evaluate.

Sixty-three percent of municipal officials were of the opinion that ward committees must be involved in the planning processes of the municipality. These participants were of the opinion that communities must be more involved in the planning process after the identification & prioritisation processes of the IDP. They believed that ward committees must be involved with the setting of standards of services as envisaged by the Municipal Systems Act, which states that communities must be consulted "about the level, quality, range and impact of municipal services provided by the municipality and the available options for service delivery" (RSA 2000). The participants were of the opinion that community involvement in the implementation process is an essential part of monitoring and evaluation and argued that communities would take more ownership of the delivery of municipal services.

Participants in the mixed focus group were of the view that the municipality currently has the systems to implement a monitor and evaluation system that involves ward committees. The Knysna Municipality Citizen Engagement Application (Knysna APP) was given as an example of such a system that can be customised for ward committees to use in monitoring and evaluation. It was also suggested that ward committees' functions must be a programme or deliverable within SDBIP with its own KPIs to be measured by council. Participants in the group further suggested that ward committees must comment on annual performance plans and the annual report. The group emphasised that ward committee members' involvement in monitoring and evaluation, must not be direct interference or perceived supervision, but rather a desktop exercise. This desktop exercise should include regular reports on ward-based SDBIPs, operational work plans/programmes and customer relations management systems (faults and complaints), on which ward committees must comment, give input and analyse.

5.5.3 Challenges for participatory monitoring and evaluation

Participants identified various challenges for participatory monitoring and evaluation involving ward committees that must be addressed. Some of these challenges necessitate institutional changes within the municipality.
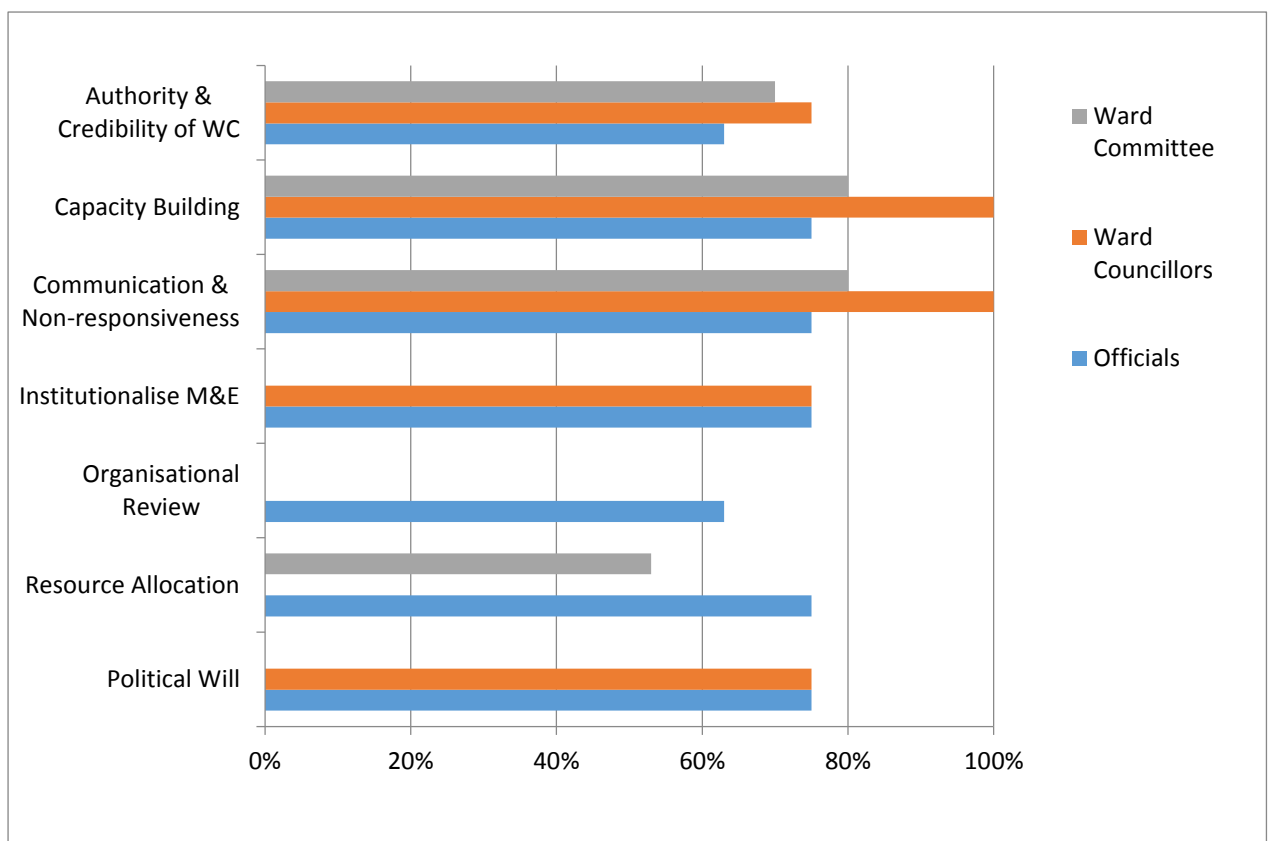
Participants identified the challenge of the ward committee's authority as a major challenge that the municipality must attend to and resolve. The challenge of ward committee authority refers to the enforcement of the powers and functions of the committee and the competition that ward committees face from other stakeholders. Seventy percent of ward committee members were of the opinion that all the powers and functions of ward committees, and especially those related to monitoring and evaluation must be incorporated into the delegations register of the municipality. Competition from CBOs was identified by sixty-three percent of the officials as a major challenge to the authority and credibility of ward committees. The participants believed that communities and CBOs must respect the authority of ward committees and raise service delivery matters affecting the ward through the ward committee. Such an approach will make ward committees more effective and efficient, if tasked with monitoring and evaluation. Seventy-five percent of ward councillors were of the opinion that council must enforce the authority of ward committees, by ensuring that decisions are implemented and non-compliance by officials are dealt with.

Participants also identified continuous capacity building as an impediment to overcome. Continuous capacity building should be institutionalised and must be part of the organisational culture of the municipality. Capacity building must include the training of ward committee members, municipal officials and councillors on the issues of monitoring and evaluation and their respective responsibilities. Ward councillors and officials want specific training for ward committees on planning, budgeting, implementation, monitoring and evaluation, oversight and the municipality's policies. Municipal officials were also of the opinion that training for ward committees must also include training on municipal electronic systems, especially the systems that track faults and monitoring services. Capacity building also refers to access to office space, administrative support and improved municipal systems and processes, to support ward committees

Effective communication and a responsive municipality were identified essential for participatory monitoring and evaluation by participants. An effective communication system must make provision for improved channels and processes to accommodate communication from and to ward committees, with feedback protocols and time-frames.

Participants were of the opinion that a responsive municipality is not only one that responds quickly, but a municipality that positively engages and responds to communities' needs. A non-responsive municipality negatively affects the authority and credibility of ward committees in communities when no feedback is received on matters that were referred by ward committees to the administration and council. Seventy-five percent of the ward councillors and officials were of the opinion that monitoring and evaluation must be institutionalised. They believed that monitoring and evaluation must be the norm and part of the culture of the organisational ethics. Some of the officials called it a mind-set change that must take place within the administration. According to the ward councillors and officials, the institutionalisation of monitoring and evaluation also requires changes to systems and processes within the municipality to enable ward committee participation.

An organisational review is imperative for the implementation of a participatory monitoring and evaluation system, according to sixty-three percent of the officials' participants. The participants indicated that the current organisational structure was not designed for participatory democracy and for ward committees to participate in monitoring and evaluation. The officials were of the view that the current organisational structure and systems are internally focussed. The proposed organisational review must therefore first look at processes and then at the organisational structure or staff establishment. Participants in the mixed focus group were of the view that ward committees are still treated as an outside stakeholder and it is reflected in the current organisational structure, in which there is no provision in other departments for staff who are responsible for public participation and ward committee activities.

Another obstacle for participatory monitoring and evaluation is the allocation of sufficient financial resources. Seventy-five percent of municipal officials and sixty-three percent of the ward committee members were of the view that the allocation of sufficient financial resources is crucial to overcome all other challenges for participatory monitoring and evaluation. Finances will be needed for office space, office stationary, computers, internet access, public engagements and staff.

Seventy-five percent of ward councillors and officials were of the opinion that the necessary political will to delegate more functions to ward committees is a major challenge. The ward councillors were of the view that the necessary political will does not currently exist in council to give more authority (functions and powers) to ward committee. The participants however were convinced of the need for ward committees to

be involved in monitoring and evaluation and therefore the need to have more functions and powers. The participants were convinced that with proper motivation, more councillors could be persuaded to see the benefits of ward committees having more functions and powers.

5.6 Conclusion

The findings divulge that the municipality has challenges with the functionality of ward committees, service delivery protest and monitoring and evaluation. It also shows the linkages between the different challenges and present solutions to resolve the challenges. The findings reveal opportunities for ward committees to be utilised optimally and to be involved in monitoring and evaluation.

Chapter 6: Conclusions & Recommendations

6.1 Introduction

This chapter outlines the researcher's conclusions on the literature review and empirical findings of the study. The chapter will also provide recommendations based on the findings that may enhance participatory monitoring and evaluation and improve the functioning of ward committees in general. The research study sets out to explore opportunities for ward committees in participatory monitoring and evaluation. The goal was pursued by investigating whether ward committees can be utilised as an effective instrument for participatory monitoring and evaluation of municipal service.

6.2 The realisation of the objectives of the study

The first objective of the research study was to examine the theoretical framework and legal imperatives of the ward committee system. Chapter Two presented the theoretical contexts of the research study. Chapter Three outlined and analysed the legislative framework for local government in South Africa.
.
The second objective was to analyse efficacy of the ward committee system in Knysna Municipality. Chapter Five discussed the empirical findings on the status of the ward committee system in the municipality.

The third objective was to determine the main challenges in the ward committee system in Knysna Municipality. Chapter Five outlined the main challenges in the ward systems as revealed by the empirical research.

The fourth objective was to explore opportunities for participatory monitoring and evaluation as a means for improving ward committee efficacy. Chapter Five discussed the empirical findings on the status of monitoring and evaluation in Knysna Municipality and the opportunities and challenges of participatory monitoring and evaluation for ward committees.

The fifth objective was to submit appropriate recommendations for opportunities for participatory monitoring and evaluation, as a means for improving ward committee efficacy in local government in general and, in particular, in the Knysna Municipality.

Chapter Six outlines the recommendations below for opportunities for participatory monitoring and evaluation as a means for improving ward committee efficacy.

6.3 General Conclusions

The objective of this research study was to explore opportunities for participatory monitoring and evaluation as a means for improving ward committee efficacy and enhancing participatory democracy. The theoretical discourses within which the conclusions and recommendations of the research study are presented are:

(1) systems theory;

(2) stakeholder theory;

(3) participatory monitoring and evaluation; and

(4) Public Administration.

This study presented a discussion on systems theory, stakeholder theory; participatory monitoring and evaluation; and Public Administration.

The study presents an argument that one of the fundamental flaws in addressing challenges in local government, and public participation in particular, is the understanding and interpretation of what a municipality is and the community's standing within the municipality. Often when reference is made to the municipality, it refers to the administration and/ or council. This was again verified during in this research study during interviews and focus group discussions. Ward committee members, councillors and officials often referred to "the municipality" when speaking about the administration, excluding council and/ or community. This research study also confirmed that the community is seen and treated as a stakeholder and not a component of the municipality. In addition participants consider the municipality as a closed organisation.

The legislative framework defined a municipality as consisting of the council, administration and community (RSA, 2000). A municipality and the standing of the community should be examined within the theoretical discourses of systems theory and stakeholder theory. A system is defined as a set of interrelated elements (Acknoff, 1971); and a complex of related components interacting as an entity (Lazlo & Krippner, 1998). Stakeholder theory assumes that the effectiveness of an organisation is measured by the satisfaction of its shareholders and those who have a stake in the organisation (Freeman, 1984). A stakeholder is any individual or group that is affected or can be affected by an

organisation, or that can lay claim to the output or is affected by an organisation's output (Freeman, 2001; Bryson, 1995). A community is therefore both a component and stakeholder of the municipality, a component of a system as enacted and a stakeholder as it affects (takes part in elections) and can be affected (receipt of services) by the actions of the municipality.

A municipality therefore should be seen and governed as an open system, with three components that are interrelated and each of these components consists of more than one sub-component. Municipal systems, processes and organisational structures should be developed with the understanding that a municipality is an open system with different components that influence each other. Secondly these systems and structures must take into account that the community is also a stakeholder. The design of municipal systems, processes and organisational structures must be flexible enough to absorb or respond to changes in one or more of the components and make provision for the dual role of the community, as both a component and a stakeholder of the municipality. In this regard, ward committees should be seen as acting as the official representatives for the community component of the municipality, and systems should be designed to include ward committees in the processes of the municipality.

Secondly, the study presents an argument that the local government legislative framework promotes participatory monitoring and evaluation, with regard to performance management and that ward committees, as representatives of the communities, must play a pivotal role in the performance management system. Municipalities are obliged to involve communities in the development, implementation and review of the performance management system (RSA, 1996). The Municipal Planning and Performance Management Regulations further compels municipalities to, in particular involve communities in the setting of its key performance indicators and the monitoring of the municipality's performance. The literature review on participatory monitoring and evaluation (PM&E) presented evidence that PM&E models can work with appropriate leadership and the necessary resources.

The empirical findings in the study suggest that there is consensus amongst the participants that ward committees must be involved in the monitoring and evaluation of municipal services. After analysing the different views, the researcher is of the view that officials should retain the primary responsibility of monitoring and evaluation. Ward committees should fulfil a secondary role in confirming whether services were delivered

(monitoring) and a primary role in the assessment of results, so as to determine the fulfilment of objectives, efficiency, effectiveness and impact (evaluation).

The empirical findings suggest that the municipality is heavily reliant on financial indicators to measure performance. Knysna Municipality and municipalities in general must change this over-reliance on financial reports as the main tool for monitoring and evaluation. Municipalities must develop monitoring and evaluation systems that are more concerned with effectiveness, efficiency and quality. Monitoring and evaluation systems must therefore involve physical monitoring and evaluation of municipal services where it is delivered. Municipalities must also explore results-based monitoring and evaluation systems that are focussed on the outcomes and impact, instead of its current implementation-focused monitoring and evaluation, that focusses on inputs and outputs.

In addition to reliance on financial indicators for performance management, the empirical findings of this study also suggest that the municipality reduces the risks of not meeting its Key Performance Indicators (KPIs), by developing easy and manageable targets. This is done to be compliant with the Auditor-General report and for senior management to receive bonuses. The impact of this approach to monitoring and evaluation of municipal services was not examined in this research study. Further research into the practise of developing easily achievable KPIs will be beneficial for the field of local government, to determine whether there is a link between this practise and the delivery of poor quality municipal services and the dissatisfaction of communities with service delivery which often leads to service delivery protests.

A direct link between credibility of ward committees, and competition from community-based organisations (CBOs), is also suggested by the empirical findings of this study. The empirical findings suggest that ward communities are in danger of becoming obsolete because of the space that these CBOs occupy. The researcher is of the view that, if the municipality does not address this urgently, communities will lose all faith in ward committees. The municipality must change the manner in which it interacts with CBOs and develop mechanisms to streamline public input through ward committees, without denying CBOs their constitutional right to interact with the political elite and to participate in municipal affairs.

6.4 Recommendations

The researcher makes the following recommendations, based on the literature review and empirical findings, to enhance participatory monitoring and evaluation and improve the functioning of ward committees in general.

Municipal processes, systems and organisational structures must be developed, with the comprehension that a municipality is an open system with different components that influence each other. This will necessitate municipal processes, systems and organisational structures to be flexible in order to absorb and adapt to changes or incidents in one or more its components, with minimum impact on service delivery. For example, IDP and Budget process plans should take into consideration that implementation may be disrupted by the community and should therefore ensure that sufficient time is available to meet regulatory deadlines. This will prevent situations were municipal processes have to be finalised without sufficient community consultation, in order to be legally compliant. Delays in one of the other components (administration and council) can also negatively affect the public participation processes of the IDP and Budget. A disruption in the one component will puts pressure on other components to flout processes in order to meet the regulatory and legislative deadlines.

Municipalities must take into consideration the unique position of the community, as both a component and stakeholder of the municipality, when designing processes, systems and organisational structures for the municipality. Ward committees, as representatives of the community must be an integral part of municipal processes, systems and organisational structures. Community involvement in municipal processes should make provision for its role as both stakeholder and component of the municipality. Community participation through direct public engagement or ward committee participation in stakeholder forums, can be classified as its role as a stakeholder of the municipality. Ward Committee involvement in decision-making and monitoring and evaluation, can be incorporated into the municipal processes and systems which can classified as its role as part of one of the components of the municipality. These activities may include preparing and scrutinising ward-based work plans, SDBIP reports and service delivery satisfaction score reports for ward committees and incorporating these reports for consideration by council committees and council. In addition, ward committees, as a component of the municipality should

be subjected to performance evaluation. Performance indicators should be developed against which ward committees can be measured.

Municipalities should delegate monitoring and evaluation functions to ward committees. This was partly proposed in the Guidelines for Ward Committees which stated that ward committee may conduct satisfaction surveys (DPLG 2005). It further proposed that ward committee must administer the survey with support from the municipal administration. Municipalities can delegate monitoring functions insofar monthly SDBIPs reports and ward-based work plans reports. These may include service delivery reports on water; electricity; refuse removal; fault reports; etc. Evaluation functions may include completion of monthly satisfaction score cards by ward committees for specific services delivered in the ward. A Ward key Performance Indicators (WKPI) Matrix, a performance-monitoring instrument, was already piloted with ward committees in some municipalities, but is currently only used by some community development committees (DPME 2011). Monitoring and evaluation delegations to ward committees should be done incrementally, as the capacity of ward committees, municipal systems and administration is improved. Further research to developing participatory performance-monitoring instruments and models for ward committees will be beneficial to citizens and the field of local government.

Municipalities should develop results-based monitoring and evaluation systems that are focussed on the outcomes and impact, instead of its current implementation-focussed monitoring and evaluation, that mainly focusses on inputs and outputs. Monitoring and evaluation systems (performance management) must include the measurement of outcomes and impact. Customer and community satisfaction surveys can be conducted after delivery has taken place and surveys amongst ward committees can be a starting point to measure outcomes and impact. Ward committees may also play a key role in facilitating customer and community satisfaction surveys and scorecards.

Training programmes to capacitate ward committees to fulfil monitoring and evaluation responsibilities should be comprehensive, to ensure understanding of the full cycle of municipal processes. Training programmes should therefore include all municipal processes, such as planning, budgeting, implementation, monitoring and evaluation and oversight. Secondly, training on the functions of ward committees and

their interface processes must be held for ward committee members, officials and councillors, to eliminate differing interpretations of responsibilities.

Municipalities should in in general delegate more decision-making authority to ward committees to make them more credible and relevant to communities. Municipal Councils may delegate the following functions to ward committees: ward budget allocations; make recommendation to committees of council on agendas items affecting their wards; make recommendations on ward service delivery plans (operational); make recommendations on municipal policies; and monitoring and evaluation. According to the Ward Committee Guidelines, ward committees role as advisory body for council policies and other issues affecting ward is one of its key functions, though most municipalities ignore this fundamental role ward committees can pay to enhance participatory democracy (DPLG 2005). The extent of the decision-making authority to be delegated should be an incremental approach and be guided by the capacity of ward committees and the development of municipal systems to accommodate these processes

Municipalities must improve communication and responsiveness, by developing seamless systems through which ward committees can be the facilitators and communicators for the community, administration and council. Communication must be Municipalities should have an integrated system to track service delivery, faults and customer relations that can be used or accessed by ward committee members.

To improve the legitimacy and credibility of ward committees, it is recommended that municipalities develop mechanisms through which they process matters from other community-based organisations (CBOs). It is further recommended that the municipality must continue to have interactions with other CBOs. However in cases where issues will affect or change municipal or ward service delivery programmes and have budget implications, the issues must be processed through the respective ward committees.

Municipalities must ensure that sufficient budget is available for operational matters of ward committees and ensure that ward committee members have access to offices, with the necessary office equipment to fulfil their functions. Budgets should include stationary, transport and office telephone costs.

The empirical evidence of financial performance management (over-reliance on financial performance indicators) and audit-driven performance management (the practise of developing easy targets for audit purposes) needs further investigation. The impact of this approach on monitoring and evaluation of municipal services was not examined in this research study. Further investigation of the impact of financial performance management and the audit-driven performance management, its challenges and proposed solutions might be of critical importance for the improvement of service delivery in local government. The research must consider challenges and solutions at the systemic and municipal levels.

Further research into modalities for participatory and result-based monitoring and evaluation is also recommended.

6.4 Conclusion

The study has attempted to establish whether participatory democracy can be enhanced through a participatory monitoring and evaluation approach within the current ward committee system. The study found that willingness exists amongst the different role players in the municipality to explore and implement the involvement of ward committees in monitoring and evaluation. The researcher believes that the findings and recommendations lay the foundation for further research on the topic and for municipalities to institute pilot implementation plans.

Bibliography

Acknoff, R. L. 1971. 'Towards a System of Systems Concepts', *Management Science*, Vol 17 (11), July, pp.661-671.

Akinboade, O. A. & Mokwena, M. P. & Kinfack, E. C. 2013. 'Understanding citizens' participation in service delivery protests in South Africa's Sedibeng district municipality', *Journal of Social Economics,* 40 (5), Pp. 458 – 478.

Auriacombe, C. & Mouton, J. 2007. 'Qualitative Field Research', *Journal of Public Administration*, Vol. 42, no. 6, pp. 441-457.

Alzate, R. D. E. 2000. 'Monitoring and Evaluating Local Development through Community Participation: The Experience of the Association of Indigenous Cabildos of Northern Cauca, Colombia' in *Learning from Change: Issues and experiences in participatory monitoring and evaluation*, Estrella, M. et al. 2000, London: Intermediate Technology Publications.

Blauert, J. & Quintanar, E. 2000. 'Seeking Local Indicators: Participatory Stakeholder Evaluation of Farmer-to-Farmer Projects, Mexico' in *Learning from Change: Issues and experiences in participatory monitoring and evaluation*, Estrella, M. et al. 2000, London: Intermediate Technology Publications.

Bertalanffy, L. 1950. 'An outline of General Systems Theory', *Journal of the Philosophy of Science*, 1, pp.134-165.

Birch, A. 1993. *The Concepts and Theories of Modern Democracy*. London: Routledge

Bryson, J. 1995. *Strategic Planning for public and non-profit organisations*, San Francisco: Jossey-Bass Publishers

Buccus, I. & Hicks, J. 2008. 'Democratisation with inclusion: Revisiting the role of ward committees', in *Consolidating Developmental Local Government: Lessons from the South African Experience,* van Donk, M. et al (Ed.), Cape Town: UCT Press.

Cameron, R. J. 1991. "Local government policy in South Africa, 1980-1989 (With Specific Reference to the Western Cape): Devolution, delegation, deconcentration or centralisation?" (DPhil, University of Cape Town, 1991).

Campilan, D. M. 2000. 'Conceptual Tools for tracking change: Emerging issues and challenges', in *Learning from Change: Issues and experiences in participatory monitoring and evaluation,* Estrella, M. et al. 2000, London: Intermediate Technology Publications.

Centre for Development Support (CDS). 2007. 'The cauldron of local protests: Reasons, impacts and lessons learned', *CDS Research Lekgotla, Social Development and Poverty Issues, 2007* (1), Bloemfontein: University of the Free State (UFS).

Chambers, R. 1997. *'Whose Reality Counts? Putting the First Last*. London: IT Publications.

Cloete, F. 2007, 'Data Analysis in Qualitative Public Administration and Management Research, *Journal of Public Administration*, Vol. 42, no. 6, pp. 512-527.

Cloete, F. & Wissink, H & De Coning, C. 2006, *Improving Public Policy*, Pretoria: Van Schaik Publishers 2006.

Community Law Centre. 2008. *The Strangulation of Local Government*. [Online]. Available from: https://ikamva.uwc.ac.za/portal/site/e923c63a [Accessed 3 August 2015].

Creswell, J. (2003). *Research design: Qualitative, quantitative and mixed methods approaches (2nd Ed.)*, Thousand Oaks: SAGE Publications c2003.

Cunning, F. 2002. *Theories of Democracy: A critical introduction*, London: Routledge 2002.

Denhardt, R. B. 2011. *Theories of public organization*, Boston: Cengage Learning.

Denhardt, R. B. & Denhardt, J. V. 2000. 'The New Public Service: Serving Rather than Steering', *Public Administration Review Public Administration Review, 60(6), Pp549 – 559.*

De Villiers, S. 2001. *A People's Government. The People's Voice*, Cape Town: The Parliament Support Programme.

De Vries, S. 2015. '*Enhancing Participatory Democracy', Hons*, University of the Western Cape.

Douglas, J.D. 2017. Interview with participant on 28 March 2017. Knysna Municipality, Knysna.

Estrella, M. 2000. 'Learning from Change', in *Learning from Change: Issues and experiences in participatory monitoring and evaluation,* Estrella, M. et al. 2000, London: Intermediate Technology Publications.

Freeman, R. E. 2001. 'Stakeholder Theory of the Modern Corporation' *Perspectives in Business Ethics Sie*. Volume 3, pp. 38-48.

Freeman, R. E. 2010. *Stakeholder Theory: The State of the Art,* Cambridge: Cambridge University Press.

Gaventa, J. et al. 2004. *Participation form Tyranny to Transformation.* New York: Zed Books.

Gaventa, J & Valderrama, C. 1999. Participation, Citizenship, and Local Governance. *Workshop on Strengthening participation in local governance, Institute of Development Studies*, Brighton, United Kingdom 21-24 June 1999.

George, B. 2003. *Authentic Leadership: Rediscovering the Secrets to Creating Lasting Value*, New York: Jossey-Bass.

Gomes, R. C. 2005. Stakeholder Management in the local Government Decision-making Area: Evidences from a Triangulation Study with the English Local Government', *Brazilian Administrative Review,* 3(1), June 2006, pp. 46-63.

Gorard, S. 2013. *Research Design: Creating Robust Approaches for the Social Sciences*, London: SAGE Publications Ltd.

Guijt, I. 2000. 'Methodological Issues in Participatory Monitoring and Evaluation', in *Learning from Change: Issues and experiences in participatory monitoring and evaluation*, Estrella, M. et al., London: Intermediate Technology Publications.

Hakim, C. 2000. *Research Design: Successful design for social and economic research*, 2nd rev.ed, London: Routledge.

Havenga B. 2002. 'Restructuring of Local Government with specific reference to the City of Tshwane', PhD thesis, University of Pretoria.

Human, F. & Marais, L. & Botes, L. 2009. 'Missing the boat? Community participation in the integrated development planning process in the Free State', *South Africa Journal for Development Support.* 2009 (1), Pp. 1-32.

Ile, IU. & Allen-Ile, & Kanyane, MH. 2012. 'Result-based monitoring and evaluation – A critical element for effective resource management', in *Governance & Resource Management in South Africa: Challenges and strategies for advancement*, Allen-Ile, CO. & Kanyane, MH. & Ile, IU. 2015 (Ed.), Wandsbeck: Research Publishers.

Ile, IU. & Mubangizi, BC. 2012. 'Making the case for citizen participation for good governance and sustainable livelihoods', in *Governance & Resource Management in South Africa: Challenges and strategies for advancement,* Allen-Ile, CO. & Kanyane, MH. & Ile, IU. 2015 (Ed.), Wandsbeck: Research Publishers.

Institute of Development Studies. 1998. *IDS Policy Briefings* 1998(12), November. Available at: www.ids.ac.uk/ids/particip [Accessed 03 April 2016].

Kalani, J. 2017. *Interview with participant on 08 August 2018*. Knysna Municipality, Knysna.

Knysna Municipality. 2000. *Performance Management Framework for 2014/15*, Knysna: Knysna Municipality.

Knysna Municipality. 2000. *Ward Committee Constitution*, Knysna: Knysna Municipality.

Kusek, J. Z. & Rist, R. C. 2004. *Ten steps to a results-based monitoring and evaluation system: A handbook for development practitioners*, Washington D.C: The World Bank.

Kumar, R. 2011. Research Methodology*: A Step-by-Step guide for beginners, 3rd rev.ed.* London: SAGE Publications Ltd.

Laszlo, A. & Krippner, S. 'Systems Theories: Their Origins, Foundations, and Development', in *Systems Theories and A Priori Aspects of Perception*, Jordan, J. S. (eds) 1998, Amsterdam: Elsevier Science.

Leedy, P. & Ormrod, J. 2001. *Practical research: Planning and design (7th ed.),* Thousand Oaks: SAGE Publications.

Levin, R. 2005. *Building a unified system of public administration*. SA Public Management Conversation, Gordon's Bay, South Africa 6 December 2004. Available online:
http://www.dpsa.gov.za/dpsa2g/documents/networks/2ndconversation/RichardLevin.pdf
[Accessed 1 September 2015]

Levin, R. 2006. *Keynote Address*. 5th Annual Service Delivery Learning Academy, 12 July 2006. South Africa. Available online:
http://www.dpsa.gov.za/dpsa2g/documents/networks/5thacademy/keynote.pdf . [Accessed 1 September 2015]

Lewis, J., Ritchie, J., Ormston, R. & Morell, G. 2014. 'Generalising from Qualitative Research', in *Qualitative Research Practice*, Ritchie, J. et al. (eds) 2014, London: SAGE.

Mc Cartney, W. 2017. *Interview with participant on 3 March 2017.* Knysna Municipality, Knysna.

Mouton, J. 1996, *Understanding social research,* Pretoria: Van Schaik Publishers 1996.

Municipal IQ Municipal Hotspots Monitor. Available online:
(http://www.municipaliq.co.za/index.php: [Accessed 11 March 2017]

Ngqele, S. W. 2010, 'An investigation of Ward Committees as a means for structured public participation: The case of the Knysna Local Municipality', MPA, Nelson Mandela Metropolitan University.

Pollitt, C. & Bouckaert, G. 2011, *Public Management Reform: A Comparative Analysis - New Public Management, Governance and the Neo-Weberian State (3rd Edition)*, New York: Oxford University Press 2011.

Putu, M. 2006, 'The role of Ward Committees in enhancing public participation in Rustenburg Municipality: A Critical Evaluation', Citizen Leadership Unit, IDASA.

Pycroft, C. 1996 'Local Government in the new South Africa', *Public Administration and Development*, Vol 16, pp. 233-245.

Odfield, S. 2008. 'Participatory Mechanisms and Community Politics: Building consensus and Conflict', in *Consolidating Developmental Local Government: Lessons from the South African Experience*, van Donk, M. et al. (eds) 2008,
Cape Town: UCT Press, 2008 pp. 525-538.

Osborne, D. & Gaebler, T. 1992, *Reinventing Government*, New York: Reading MA: Addison-Wesley.

Ritchie, J. & Ormston, R. 'The Applications of Qualitative Methods to Social Research', in *Qualitative Research Practice*, Ritchie, J. et al. (eds) 2104, London: SAGE Publications.

Republic of South Africa (RSA). 1961. *Urban Bantu Council Act, No.79 of 1961*. Pretoria: Government Printers.

Republic of South Africa (RSA). 1982. *Black Authorities Act, No.102 of 1982*. Pretoria: Government Printers.

Republic of South Africa (RSA). 1993. *Constitution of the Republic of South Africa, 1993, Act 200 of 93*. Pretoria: Government Printers.

Republic of South Africa (RSA). 1993a. Local Government Transitional Act, No.209 of 1993. Pretoria: Government Printers.

Republic of South Africa (RSA). 1996. *Constitution of the Republic of South Africa, 1996*. Pretoria: Government Printers.

Republic of South Africa (RSA). 1998. *Local Government Municipal Structures Act, No.117 of 1998*. Pretoria: Government Printers.

Republic of South Africa (RSA). 2000. *Local Government Municipal Systems Act, No.32 of 2000*. Pretoria: Government Printers.

Republic of South Africa (RSA). 2001. *Local Government: Municipal Planning and Performance Management Regulation*s. Government Gazette 22605, Notice R796, 24 August 2001. Pretoria: Government Printers.

Republic of South Africa (RSA). 2003. *Local Government Municipal Finance Management Act, No.56 of 2003*. Pretoria: Government Printers.

Republic of South Africa (RSA). 2006. *Local Government Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers*. Government Gazette 29089, Notice R805, 24 August 2001. Pretoria: Government Printers.

Republic of South, Department of Public Service and Administration. 1997. *White Paper on Transforming Public Service Delivery.* Pretoria: Department of Public Service and Administration.

Republic of South Africa, Department of Constitutional Development and Public Administration. 1998. *The White Paper on Local Government.* Pretoria: Department of Constitutional Development and Public Administration.

Republic of South Africa, Department of Provincial and Local Government (DPLG). 2005. *Guidelines for the establishment and operation of municipal ward committees*. Government Gazette 27699, Notice 965, 24 June 2005 Pretoria: Department of Provincial and Local Government.

Republic of South Africa, Department of Provincial and Local Government (DPLG). 2005(2). *Ward Committee Resource Book*. Pretoria: Department of Provincial and Local Government.

Republic of South Africa, Department of National Treasury. 2010. *Framework for Strategic Plans and Annual Performance Plans.* Pretoria: Department of National Treasury.

Republic of South Africa, Department of Performance Monitoring and Evaluation (DPME). 2011. *Citizen-based service delivery monitoring: research into practices.* Pretoria: Department of Performance Monitoring and Evaluation in the Presidency

Republic of South Africa, Department of Cooperative Governance and Traditional Affairs. 2014. *Back to Basic Strategy*. Pretoria: Department of Cooperative Governance and Traditional Affairs.

Ritchie, J. & Ormston, R. 'The Applications of Qualitative Methods to Social Research', in *Qualitative Research Practice*, Ritchie, J. et al. (eds) 2104, London: SAGE Publications.

Saunders, M. & Lewis, P. & Thornhill, A. 2009. *Research Methods for Business Students*, 5th rev.ed, Essex: Pearson Education Limited.

Scheepers, L. A. 2003, 'An Institutional Capacity model of Municipalities in South Africa', PhD thesis, University of Stellenbosch.

Siddle, A. & Koelble, T. A. *The Failure of Decentralisation in South African Local Government*, Cape Town: UCT Press.

Skyttner, L. 2001. *General Systems Theory: Ideas and Applications*, London: World Scientific Publishing Company.

Tapscott, C. 2006. The Challenges of Deepening Democracy in Post-Apartheid South Africa. *LORC Seminar Ryukoku University.* Kyoto 7 July 2006. Available form: https://lorc.ryukoku.ac.jp/phase1/docs/prof_tapscott_060707.pdf [Accessed 12 June 2015]

Thomas, G. W. 1993. 'Reorganizing Public Organisations: Alternatives, Objectives and Evidence', in *Public Management: Critical Perspective Volume 111*, Osborne, S. (Ed.), London: Routledge.

Tsatsire, I., Taylor, JD., Raga, K. & Nelaer, E. 2009. 'Historical overview of specific local government transformatory developments in South Africa', *New Contree*, May 2009, No. 57. pp. 129-147.

Wolfe, JD. 1986. 'Varieties of Participatory Democracy and Democratic Theory' (1986), *Political Science Reviewer*, Vol. 16, pp.1-38.

Woolridge, D. & Cranko, P. 1995. 'Transforming public sector institution', in *Managing Sustainable Development in South Africa,* Fitzgerald, P. & Mc Lennan, A. & Munslow, B. (Eds). Cape Town: Oxford University Press.

World Bank. 1995. *World Bank participation sourcebook (English)*. Environment Department papers; no. 19. Participation series, Washington, DC: World Bank.

Webster, S. Lewis, J & Brown, A. 2014. 'Ethical Consideration in Qualitative Research', in *Qualitative Research Practice: A guide for social science students & researchers,* Ritchie, J. et al. (Eds) 2014, London: Sage Publications Ltd.

Western Cape Department of Local Government. 2016. *Draft report for the assessment of the functioning and effectiveness of the current ward participatory System (ward committees) as well as public participation processes in five local municipalities: Saldanha Bay, Laingsburg, Langeberg, Overstrand and Mossel Bay*, Cape Town: Western Cape Department of Local Government.

APPENDICES

FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

PARTICIPATION INFORMATION SHEET

RESEARCH TITLE: Enhancing Participatory Democracy in Municipal Affairs through the Ward Committee System: A Participatory Monitoring and Evaluation Approach

Dear Participant

You are invited to participate in a research study conducted by **Stephen De Vries.** It is in partial completion of the researcher's thesis towards the MAdmin Degree at the School of Government, at the University of the Western Cape.

Before you decide to participate, it is important for you to understand the purpose of the research and what it would entail. Please take time to read the following information carefully and discuss it with others, if you wish. If you are unclear of anything, I would be happy to answer any questions you may have.

PURPOSE OF THE STUDY

The purpose of this research is to explore whether participatory democracy can be enhanced through a participatory monitoring and evaluation approach within the current ward committee system. The study will discuss the legal imperatives of the ward committee system, analyse the implementation of the ward committee system in Knysna Municipality, determine the main challenges in the ward committee system in Knysna Municipality, determine opportunities for participatory monitoring and evaluation by ward committees, and make appropriate recommendations.

DESCRIPTION OF STUDY AND YOUR INVOLVEMENT

The main research question is whether ward committees can be an effective tool for participatory monitoring and evaluation of municipal services. The research will also endeavor to answer the following questions:

- Is there a role for ward committees in monitoring and evaluation?
- How can ward committees be involved in monitoring and evaluation?
- What challenges might arise that will prevent or make it difficult for ward committees to be involved in monitoring and evaluation?

The researcher will interview ward committee members, councillors and municipal officials on a one-on-one basis in an attempt to gather the needed data for this study. In addition, the researcher will request participants to participate in different focus groups.

CONFIDENTIALITY

Please be advised that the results of the study will neither divulge the individual particulars nor the department or ward committee particulars, as to maintain confidentiality at all times. Any information that can connect the responses to an individual or organisation will remain confidential and will only be disclose with your permission. The researcher shall keep all records and tapes of your participation, including a signed consent form which is required from you, should you agree to participate in this research study and locked away at all times.

VOLUNTARY PARTICIPATION AND WITHDRAWAL

Your participation in this research is entirely voluntary, which means that you are free to decline participation. It is your decision whether or not to take part. If you volunteer to be part of this research, you may withdraw at any time without consequences and without giving reasons.

You may also choose not to answer particular questions that are asked in the research. If there is anything that you would prefer not to discuss, please feel free to say so.

PAYMENT FOR PARTICIPATION

There is no payment for participating in this research.

INFORMED CONSENT

Your signed consent to participate in this research study is required, before we commence with the interview/ focus group. I have included the consent form with this information sheet so that you will be able to review the consent form and then decide whether you would like to participate in this research or not.

QUESTIONS

Should you have further questions or wish to know more, you can contact my supervisor or me. See contact details below:

Student Name   : Stephen De Vries
Student Number   : 3379465
Mobile Number   : 082 431 6641
Email   : 3379465@myuwc.ac.za

I am accountable to my supervisor: Professor Isioma Ile

School of Government (SOG)   : University of Western Cape
Telephone   : +27 21 959 38291
Email   : iile@uwc.ac.za

FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

Interview Questions for Ward Committee Members

1) How will you describe the role your ward committee plays within the ward and municipality?

2) What are the current strengths and weaknesses of your ward committee?

3) In what areas of service delivery are your ward committee involved?

4) Do you believe that your ward committee is utilised optimally and explain your answer?

5) What in your view are the main causes of service delivery protest in Knysna?

6) Is there a role for ward committees in reducing or preventing service delivery protest? Explain

7) How does the municipality monitor and evaluate service delivery in your ward?

8) What role can ward committees play in the monitoring and evaluation of service delivery? Explain your answer

9) In which areas of service delivery can ward committees play a monitoring and evaluation role? Explain how.

10) What must the municipality do ensure that ward committees are able to be involved in monitoring and evaluation?

11) What obstacles are there for ward committees to be involved in monitoring and evaluation in the municipality?

A place of quality,
a place to grow, from hope
to action through knowledge

FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

INTERVIEW QUESTIONS FOR WARD COUNCILLORS

1) How will you describe the role of your ward committee in general within the municipality?

2) What are the current strengths and weaknesses of your ward committees?

3) Do you believe that the ward committee is utilised optimally? Explain your answer.

4) What in your view are the main causes of service delivery protest in Knysna?

5) What role can ward committees play in reducing or preventing service delivery protest? Explain your answer.

6) How does the municipality monitor and evaluate service delivery in your ward?

7) What role can ward committees play in monitoring and evaluation? Explain your answer.

8) In which areas of service delivery can ward committees be involved in monitoring and evaluation. Explain how.

9) What must the municipality do to ensure that ward committees are able to be involved in monitoring and evaluation?

10) What obstacles are there for ward committees to be involved in monitoring and evaluation in the municipality?

FACULTY OF ECONOMIC AND
MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

INTERVIEW QUESTIONS FOR MUNICIPAL OFFICIALS

1) How will you describe the role of ward committees in service delivery, in your department and the municipality in general?

2) Do you believe that ward committees are utilised optimally? Explain your answer.

3) What in your view are the main causes of service delivery protest in Knysna?

4) Can ward committees play a role in preventing service delivery protest? Explain

5) How effective is monitoring and evaluation in your department and the municipality in general?

6) What is the current monitoring and evaluation mechanisms in your department and how will you rate it?

7) How can you improve monitoring and evaluation in your department and municipality?

8) What role can ward committees play in the monitoring and evaluation of service delivery?

9) In which areas of service delivery can ward committees be involved in monitoring and evaluation. Explain how.

10) What resources and institutional changes will be required to involve ward committees in monitoring and evaluation?

11) What obstacles are there for ward committees to be involved in monitoring and evaluation in the municipality?

FACULTY OF ECONOMIC AND
MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

FOCUS GROUP QUESTIONS FOR WARD COMMITTEES

1) What are the current strengths and weaknesses of ward committees?

2) In what areas of service delivery in the municipality are ward committees involved?

3) Do you believe that ward committees are utilise optimally and explain your answer?

4) What in your view are the main causes of service delivery protest in Knysna?

5) Is there a role for ward committees in reducing or preventing service delivery protest? Explain

6) How does the municipality monitor and evaluate service delivery in your ward and the municipality?

7) What role can ward committees play in the monitoring and evaluation of service delivery?

8) In which areas of service delivery can ward committees play a role?

9) How can ward committee members get involved in monitoring and evaluation?

10) What obstacles are there for ward committees to be involved in monitoring and evaluation in the municipality?

FACULTY OF ECONOMIC AND
MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

FOCUS GROUP QUESTIONS FOR MUNICIPAL OFFICIALS

1) What are the current strengths and weaknesses of ward committees?

2) In what areas of service delivery in the municipality are ward committee involved in decision-making?

3) How will you describe the utilisation of ward committees and explain your answer?

4) What in your view are the main causes of service delivery protest in Knysna?

5) What role can ward committees play in reducing or preventing service delivery protest? Explain

6) How effective is monitoring and evaluation of service delivery in the municipality?

7) What are the current mechanisms that are utilise for monitoring and evaluation and does the municipality make use of any other stakeholders?

8) What role can ward committees play in the monitoring and evaluation of service delivery in their respective wards and municipality in general?

9) In which areas of service delivery can ward committees play a role?

10) How can the involvement of ward committees in monitoring and evaluation be structured?

11) What resources and institutional changes are required to involve ward committees in monitoring and evaluation as discussed above?

12) What obstacles are there for ward committees to be involved in monitoring and evaluation in the municipality?

FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

UNIVERSITY *of the* WESTERN CAPE

FOCUS GROUP QUESTIONS FOR MIXED GROUP

1) How will you describe the utilisation of ward committees and explain your answer?

2) What in your view are the main causes of service delivery protest in Knysna?

3) What role can ward committees play in reducing or preventing service delivery protest? Explain your answer.

4) How effective is monitoring and evaluation of service delivery in the municipality?

5) What are the current mechanisms that are utilise for monitoring and evaluation and does the municipality make use of any other stakeholders?

6) What role and which areas of service delivery can ward committees play in the monitoring and evaluation of service delivery in their respective wards and municipality in general?

7) How can the involvement of ward committees in monitoring and evaluation be structured?

8) What resources and institutional changes be required to involve ward committees in monitoring and evaluation as discussed above?

FACULTY OF ECONOMIC AND
MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

CONSENT FORM – INTERVIEWS –WARD COMMITTEE MEMBERS

KNYSNA MUNICIPALITY

RESEARCH TITLE: Enhancing Participatory Democracy in Municipal Affairs through the Ward Committee System: A Participatory Monitoring and Evaluation Approach.

I have read the information presented in the information letter about the study being conducted by Stephen De Vries towards the MAdmin Degree at the School of Government (SOG), University of the Western Cape.

This study has been described to me in a language that I understand and I freely and voluntary agree to participate. My questions about the study have been answered.

I understand that my identity will not be disclosed and was informed that I may withdraw my consent at any time by advising the student researcher.

With full knowledge of all foregoing, I agree to participate in this study.

Participant Name   : _____

Participant Signature   : _____

Date   : _____

Place   : _____

Student Researcher   : _____

Student Researcher Signature   : _____

Student Number   : 3379465
Mobile Number   : 082 431 6614
Email   : 3379465@myuwc.ac.za

I am accountable to my supervisor: Professor Isioma Ile

School of Government (SOG)
Telephone   : +2195938291
Email   : iile@uwc.ac.za

FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

CONSENT FORM - INTERVIEWS – WARD COUNCILLORS

KNYSNA MUNICIPALITY

RESEARCH TITLE: Enhancing Participatory Democracy in Municipal Affairs through the Ward Committee System: A Participatory Monitoring and Evaluation Approach

I have read the information presented in the information letter about the study being conducted by Stephen De Vries towards the MAdmin Degree at the School of Government (SOG), University of the Western Cape.

This study has been described to me in a language that I understand and I freely and voluntary agree to participate. My questions about the study have been answered.

I understand that my identity will not be disclosed without my consent and was informed that I may withdraw my consent at any time by advising the student researcher.

I am also aware that this interview might result in research which may be published, and my name and/or department **MAY/ MAY NOT** be used (circle appropriate).

With full knowledge of all foregoing, I agree to participate in this study.

Participant Name   : _____

Participant Signature   : _____

Date   : _____

Place   : _____

Student Researcher   : _____

Student Researcher Signature : _____

Student Number   : 3379465
Mobile Number   : 082 431 6614
Email   : 3379465@myuwc.ac.za

I am accountable to my supervisor: Professor Isioma Ile
School of Government (SOG)

Telephone   : +2195938291
Email   : iile@uwc.ac.za

FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

CONSENT FORM - INTERVIEWS – MUNICIPAL OFFICIALS

KNYSNA MUNICIPALITY

RESEARCH TITLE: Enhancing Participatory Democracy in Municipal Affairs through the Ward Committee System: A Participatory Monitoring and Evaluation Approach

I have read the information presented in the information letter about the study being conducted by Stephen De Vries towards the MAdmin Degree at the School of Government (SOG), University of the Western Cape.

This study has been described to me in a language that I understand and I freely and voluntary agree to participate. My questions about the study have been answered.

I understand that my identity will not be disclosed without my consent and was informed that I may withdraw my consent at any time by advising the student researcher.

I am also aware that this interview might result in research which may be published, and my name and/or department **MAY/ MAY NOT** be used (circle appropriate).

With full knowledge of all foregoing, I agree to participate in this study.

Participant Name   : _____

Participant Signature   : _____

Date   : _____

Place   : _____

Student Researcher   : _____

Student Researcher Signature   : _____

Student Number   : 3379465
Mobile Number   : 082 431 6614
Email   : 3379465@myuwc.ac.za

I am accountable to my supervisor: Professor Isioma Ile
School of Government (SOG)

Telephone   : +2195938291
Email   : iile@uwc.ac.za

FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

CONSENT FORM – FOCUS GROUP – WARD COMMITTEE MEMBERS

KNYSNA MUNICIPALITY

RESEARCH TITLE: Enhancing Participatory Democracy in Municipal Affairs through the Ward Committee System: A Participatory Monitoring and Evaluation Approach

I have read the information presented in the information letter about the study being conducted by Stephen De Vries towards the MAdmin Degree at the School of Government (SOG), University of the Western Cape.

This study has been described to me in a language that I understand and I freely and voluntary agree to participate. My questions about the study have been answered.

I understand that my identity will not be disclosed without my consent and was informed that I may withdraw my consent at any time by advising the student researcher.

I am also aware that this FOCUS GROUP might result in research which may be published, and my name **MAY/ MAY NOT** be used (circle appropriate).

With full knowledge of all foregoing, I agree to participate in this study.

Participant Name   : _____

Participant Signature   : _____

Date   : _____

Place   : _____

Student Researcher   : _____

Student Researcher Signature   : _____

Student Number   : 3379465
Mobile Number   : 082 431 6614
Email   : 3379465@myuwc.ac.za

I am accountable to my supervisor: Professor Isioma Ile
School of Government (SOG)

Telephone   : +2195938291
Email   : iile@uwc.ac.za

FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

CONSENT FORM – FOCUS GROUP – MUNICIPAL OFFICIALS

KNYSNA MUNICIPALITY

RESEARCH TITLE: Enhancing Participatory Democracy in Municipal Affairs through the Ward Committee System: A Participatory Monitoring and Evaluation Approach

I have read the information presented in the information letter about the study being conducted by Stephen De Vries towards the MAdmin Degree at the School of Government (SOG), University of the Western Cape.

This study has been described to me in a language that I understand and I freely and voluntary agree to participate. My questions about the study have been answered.

I understand that my identity will not be disclosed without my consent and was informed that I may withdraw my consent at any time by advising the student researcher.

I am also aware that this interview might result in research which may be published, and my name and/or department **MAY/ MAY NOT** be used (circle appropriate).

With full knowledge of all foregoing, I agree to participate in this study.

Participant Name   : _____

Participant Signature   : _____

Date   : _____

Place   : _____

Student Researcher   : _____

Student Researcher Signature : _____

Student Number   : 3379465
Mobile Number   : 082 431 6614
Email   : 3379465@myuwc.ac.za

I am accountable to my supervisor: Professor Isioma Ile
School of Government (SOG)

Telephone   : +2195938291
Email   : iile@uwc.ac.za

FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

CONSENT FORM – FOCUS GROUP – MIXED GROUP

KNYSNA MUNICIPALITY

RESEARCH TITLE: Enhancing Participatory Democracy in Municipal Affairs through the Ward Committee System: A Participatory Monitoring and Evaluation Approach

I have read the information presented in the information letter about the study being conducted by Stephen De Vries towards the MAdmin Degree at the School of Government (SOG), University of the Western Cape.

This study has been described to me in a language that I understand and I freely and voluntary agree to participate. My questions about the study have been answered.

I understand that my identity will not be disclosed without my consent and was informed that I may withdraw my consent at any time by advising the student researcher.

I am also aware that this interview might result in research which may be published, and my name and/or department **MAY/ MAY NOT** be used (circle appropriate).

With full knowledge of all foregoing, I agree to participate in this study.

Participant Name   : _____

Participant Signature   : _____

Date   : _____

Place   : _____

Student Researcher   : _____

Student Researcher Signature : _____

Student Number   : 3379465
Mobile Number   : 082 431 6614
Email   : 3379465@myuwc.ac.za

I am accountable to my supervisor: Professor Isioma Ile
School of Government (SOG)

Telephone   : +2195938291
Email   : iile@uwc.ac.za

OFFICE OF THE DIRECTOR: RESEARCH
RESEARCH AND INNOVATION DIVISION

Private Bag X17, Bellville 7535
South Africa
T: +27 21 959 2988/2948
F: +27 21 959 3170
E: research-ethics@uwc.ac.za
www.uwc.ac.za

UNIVERSITY of the
WESTERN CAPE

13 December 2016

Mr S De Vries
School of Government
Faculty of Economic and Management Science

Ethics Reference Number: HS/16/5/54

Project Title: Enhancing participatory democracy in municipal affairs through the Ward Committee System: A participatory monitoring and evaluation approach.

Approval Period: 13 December 2016 -13 December 2017

I hereby certify that the Humanities and Social Science Research Ethics Committee of the University of the Western Cape approved the methodology and ethics of the above mentioned research project.

Any amendments, extension or other modifications to the protocol must be submitted to the Ethics Committee for approval. Please remember to submit a progress report in good time for annual renewal.

The Committee must be informed of any serious adverse event and/or termination of the study.

Ms Patricia Josias
Research Ethics Committee Officer
University of the Western Cape

PROVISIONAL REC NUMBER - 130416-049

FROM HOPE TO ACTION THROUGH KNOWLEDGE.

KNYSNA
Municipality
Munisipaliteit
uMasipala

2016-05-30

TO WHOM IT MAY CONCERN

Dear Sir/Madam

CONSENT FOR RESEARCH: CLLR STEPHEN DE VRIES - STUDENT NUMBER: 3379465

Cllr Stephen De Vries is taking part in research focusing on "Enhancing Participatory Democracy in Municipal Affairs through the Ward Committee System: A Participatory Monitoring and Evaluation Approach", which is for his MAdmin Thesis in Public Admin.

I hereby grant Stephen De Vries permission to use Knysna Municipality as the site for his research, in pursue for his MAdmin Thesis in Public Admin.

Knysna Municipality will support him in his research topic: "Enhancing Participatory Democracy in Municipal Affairs through the Ward Committee System: A Participatory Monitoring and Evaluation Approach".

He will have permission to interview staff and ward committee members, and will have access to relevant documentation required for his field of study.

Kind Regards

GRANT EASTON
MUNICIPAL MANAGER
/ay

cc - Cllr S De Vries

KNYSNA
Municipality
Munisipaliteit
uMasipala

2017-02-08

TO WHOM IT MAY CONCERN

Dear Sir/Madam

CONSENT FOR RESEARCH: CLLR STEPHEN DE VRIES - STUDENT NUMBER: 3379465

Cllr Stephen De Vries is taking part in research focusing on "Enhancing Participatory Democracy in Municipal Affairs through the Ward Committee System: A Participatory Monitoring and Evaluation Approach", which is for his MAdmin Thesis in Public Admin.

I hereby grant Stephen De Vries permission to use Knysna Municipality as the site for his research, in pursue for his MAdmin Thesis in Public Admin.

Knysna Municipality will support him in his research topic: "Enhancing Participatory Democracy in Municipal Affairs through the Ward Committee System: A Participatory Monitoring and Evaluation Approach".

He will have permission to interview staff and ward committee members, and will have access to relevant documentation required for his field of study.

Kind Regards

JOHNNY DOUGLAS
ACTING MUNICIPAL MANAGER
/as

cc - Cllr S De Vries

Please address all correspondence to the Municipal Manager and quote the above reference
P O Box 21 • Knysna • 6570 • Tel: 044 302 6300 • Fax: 044 302 6333 • E-mail: knysna@knysna.gov.za

122