



**UNIVERSITY OF KWAZULU-NATAL**

**AN ASSESSMENT OF THE MONITORING AND EVALUATION MECHANISMS FOR  
WATER SERVICE DELIVERY: A CASE STUDY OF UGU DISTRICT  
MUNICIPALITY.**

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**TITLE**

**AN ASSESSMENT OF THE MONITORING AND EVALUATION MECHANISMS FOR  
WATER SERVICE DELIVERY: A CASE STUDY OF UGU DISTRICT MUNICIPALITY.**

## DECLARATION

I Ronelle Tania Hlongwane, declare that

- (i) The research reported in this dissertation/thesis, except where otherwise indicated, is my original research.
- (ii) This dissertation/thesis has not been submitted for any degree or examination at any other university.
- (iii) This dissertation/thesis does not contain other persons' data, pictures, graphs or other information, unless specifically acknowledged as being sourced from other persons.
- (iv) This dissertation/thesis does not contain other persons' writing, unless specifically acknowledged as being sourced from other researchers. Where other written sources have been quoted, then:
  - a) their words have been re-written but the general information attributed to them has been referenced:
  - b) where their exact words have been used, their writing has been placed inside quotation marks, and referenced.
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Signature:





## **DEDICATION**

I dedicate this work to my late grandmother Florence Stuart, who made numerous sacrifices for me to get an education and a decent life even though she did not go far in her own education.

## **ACKNOWLEDGEMENTS**

I thank God for the strength and his ever sufficient grace in my times of weakness.

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## **ABSTRACT**

This study provides an assessment of the role of monitoring and evaluation mechanisms at Ugu District Municipality in relation to the delivery of water services. Ugu District Municipality is located in KwaZulu-Natal's lower south coast. A case study was used to measure the effectiveness of these mechanisms and their role in facilitating the monitoring and evaluation of water service delivery at Ugu District Municipality. A synopsis of local government restructuring and transformation at Ugu District Municipality is presented, with some reference on recent developments relating to restructuring and transformation in South Africa. The literature and policy framework for water service provision by municipalities provides an overview of literature on water service provision as well as a theoretical basis on which the study is based. The status of water services at Ugu District Municipality is outlined and emphasis is placed on the pivotal role of partnerships between municipalities and the public, private sector, community and non-governmental organisations (CBOs and NGOs), this has been viewed as a fundamental route to be considered by municipalities in their efforts to resolve infrastructure backlogs and shortages. This study analyses the legal framework for water services provision to promote life and personal hygiene as well as the different legislation that paved way for the amendments and the smooth transition of the delivery of water services to poor, rural households to a peripheral issue into the South African Department of Water Affairs. The study highlights the need for water and sanitation services to be carried out in a manner aligned to the broader objectives of water resources management and instils the principles of cooperative governance which focus mainly on capacity building in all government spheres. It outlines the framework for oversight which includes monitoring, support and the role of the Department of Water and Sanitation if there is non-performance by provincial and local governments.

The research design applicable to this study was exploratory in nature. A mixed methodology approach was employed and involved both quantitative and qualitative data collection. Interviews and surveys were the primary data collection instruments. Data analysis was guided by the application of thematic or content analysis. This enabled the researcher to obtain broader insight into the existing challenges that the municipality experiences with regards to water service delivery, and more insight into how alternatives could be introduced to promote more efficient water service delivery for the residents of Ugu District. Some of the challenges identified were

that Ugu District Municipality is currently facing a financial crisis, ailing infrastructure and community perceptions that politicians and officials are not accountable to the residents for service delivery, such as water. These challenges present major implications for the municipality's ability and responsibility to ensure that its mandate of water service delivery aligns with the prescripts of the South African Constitution, including those of the National Development Plan (NDP).

The engagements between the researcher and the officials of Ugu District municipality revealed that monitoring and evaluation systems at the municipality are in existence however; to a large extent these mechanisms are not adequately implemented. This results in their ineffectiveness for the facilitation of water service delivery. The key challenge faced by Ugu District Municipality is ensuring that the delivery of water services is enhanced, particularly in rural areas. The key recommendations of the study suggest that the Ugu District Municipality needs to prioritize challenges related to improving monitoring and evaluation, staffing, ailing infrastructure and customer services on the agenda of its Integrated Development Plan (IDP). It is further recommended that Department of Water Affairs should play a supportive role by providing suitable interventions and strategies to monitor whether projects are being executed as planned.

## **CHAPTER ONE: STUDY OVERVIEW**

### **1.1 INTRODUCTION**

The United Nations (UN) General Assembly (2010) adopted a resolution which recognizes access to clean water and sanitation as a human right, and also called on countries and governments internationally to make funds available, mainly to developing states, transfer expertise and build capacity, as a means to scale up initiatives for providing clean, safe, affordable and accessible drinking water and sanitation for all (UN Sixty Fourth General Assembly, 28 July 2010: 3). Since 1994 municipalities within South Africa have made provision for the delivery of basic services to millions of households who, prior to 1994, had no access to such services. Apart from the fact that many municipalities possessed very few or no previously existing institutional foundations upon which they could build, for South Africa this is an outstanding achievement. Nevertheless, local government is constantly going through the course of transformation in terms of improving the manner in which they function, and a significant number of challenges remain for service delivery in local government.

Ugu District Municipality is no different; they are experiencing challenges regarding their ability to achieve their Constitutional mandate as well as the goals relating to South Africa's National Development Plan (NDP) specifically in terms of water services provision. The Department of Public Service's Fifteen Year Review emphasized the lack of effective, ongoing system for monitoring service delivery, comprehensive medium-term planning, this included an absence of systems for ensuring government accountability for poor service-delivery performance (Department of Public Service and Administration, 2008: 36). To address this, the government developed an outcomes-based system as a means of reinforcing government's medium-term strategies. This, also an attempt to remedy the increasing dissatisfaction of the citizens with service delivery standards. As a result the outcome-based approach to frontline service delivery monitoring and evaluation was adopted. In light of the above, this study assesses the role of monitoring and evaluation mechanisms at Ugu District Municipality in relation to the delivery of water services. The study also seeks to measure the effectiveness of these mechanisms in

facilitating the monitoring and evaluation of water service delivery. Recommendations based upon the outcomes of the study are made in an effort to stimulate change in the delivery of water services within the Ugu District Municipality and serve as a model for other municipalities who operate with similar challenges.

## **1.2 AN OVERVIEW OF UGU DISTRICT**

Ugu District Municipality is home to areas such as Pennington, Hibberdene, Port Shepstone and Margate. It covers an area of 5 775 km<sup>2</sup>, half of which is traditional authority land. There is a perceptible country/urban partition, with a high percentage of poverty within the area. It is estimated that unemployment in Ugu stands at 44.8% (Stats SA, 2013).

## **1.3 SERVICE DELIVERY IN UGU DISTRICT**

Ugu District Municipality's Integrated Development Plan (IDP) provides evidence that additional funding is necessary if the water and sanitation backlog is to be overcome (Ugu District Municipality IDP 2011/2012: 55). In its second review of the 2011 IDP, there is an acknowledgment that the municipality will be unable to accomplish its goal of ensuring the provision of one hundred percent access to clean water to all of its residents by the completion of the 2015/2016 fiscal year. In Cele's (2012: 18) view, the central reason why the Municipality is seen not to be in a position to realise the goals of the NDP can be attributed to major shortages in funding, inadequate human resource capacity in water management and the poor management of financial resources.

The monitoring and evaluation of service delivery and other models of performance management are crucial in ensuring that state entities achieve their mandate of delivering services economically, effectively and efficiently to their citizens. This study therefore evaluates the role of monitoring and evaluation instruments at Ugu District Municipality to ensure that water services are adequately delivered to its residents.

## **1.4 BACKGROUND**

The study's aim is based upon the backdrop of the Organisational Performance Management System (OPMS), which is a policy and procedural framework adopted by the Ugu District Municipal Council on 30 June 2013 (Ugu District Municipality, 2013: 24-25). This Performance Management System (PMS) framework provides direction regarding performance planning processes, implementation, monitoring, evaluation, auditing including quality control systems within the Municipality (Ugu District Municipality, 2013: 24-25). Based on the above premise, the study was aimed at assessing the aspects of monitoring and evaluation, in relation to the mechanisms used by Ugu District Municipality to ensure effective, efficient and economic delivery of water services.

The 2011 Household Survey Data revealed that Ugu District Municipality's population is 722,484 (Stats SA, 2011:108). Ugu District Municipality bears the responsibility of providing water services to the six local municipalities located in its jurisdiction. Ugu District Municipality's mission is to provide quality drinking water and access to sanitation. The Municipality is also responsible for creating an enabling environment for social and economic development as well as to ensure community participation and coordinate public private players (Ugu District Municipality, 2014/2015: 12). The municipality is not only responsible for providing water services, but it also has the responsibility for ensuring the provision of the relevant infrastructure as a means to enable the extension of this service. Ugu District is the second most densely populated district area in the province with an overall density of 145 people living per square kilometre (Stats SA, 2011). There remains a major backlog concerning water provision with a large percentage of the rural residents who have restricted or no access to this basic service.

## **1.5 PROBLEM STATEMENT**

By the year 2030, it is envisioned that efficient administration of water and the services derived from it will sustain a thriving economy and a healthy environment (NDP, 2012: 161). Chapter 13 of the NDP makes a number of recommendations. These include methods on how municipalities

can improve their performance as a means to enhance the efficient, effective, economical and sustainable service delivery. It also recommends a review in the approach to municipal funding including the levels of services that they are expected to deliver in light of the challenges faced by those municipalities who mainly serve poor communities. The NDP also recommends that in municipalities where there are financial or staff shortages to an extent this hampers the adequate provision of services, they should approach neighbouring municipalities and their local water boards for assistance (NDP, 2012: 161). Municipalities are also advised to consider empowering local communities, especially those located in widely dispersed rural settlements, to run their own services (NDP, 2012: 160). A study conducted in 2012 revealed that urban coastal areas are awarded better levels of water and sanitation services overall as opposed to inland rural communities. This can be attributed mainly to historical inequalities, as well as a more recent focus on the improvement and extension of services in towns (Khomu, 2012:32). Khomo (2012) argues that the fundamental cause for the remaining backlogs in both urban and rural areas is due to the Municipality's lack of adequate financial resources to efficiently address the backlogs, which will cost approximately R1.8 billion for water alone (Khomu, 2012:32). In another study, it was revealed that Ugu District Municipality is currently facing a financial crisis, drying up water standpipes and the perception amongst community members that officials and politicians lack service delivery accountability (Cele 2012). Ugu District Municipality is facing significant challenges some of which can be attributed to lack of accountability. Many of the study's participants highlighted the poor attitude of municipal officials and managers towards monitoring and evaluation as well as the effectiveness of its mechanisms as a tool to improve water service delivery. These present major implications for the municipality's ability and responsibility in ensuring that its mandate to deliver water services aligns with prescripts of South Africa's Constitution including those of the NDP. One of the ways in which this can be achieved is through ensuring that there are effective monitoring and evaluation mechanisms in place as a measure for facilitating the effective, efficient and economic delivery of water services.



## **1.6 STUDY AIMS**

The study's aim was to provide an assessment of the monitoring and evaluation mechanisms used by Ugu District Municipality to ensure effective, efficient and economic delivery of water services to its residents.

## **1.7 STUDY OBJECTIVES**

The study's objectives were to:

- Critically review the legislative and administrative framework for water service provision in South Africa.
- Examine mechanisms in place to monitor and evaluate water services delivery in Ugu District Municipality.
- Assess the extent to which these mechanisms are effective in the facilitation of Monitoring and Evaluation of water service delivery in Ugu District Municipality.
- Propose recommendations for improving the quality of water service delivery in Ugu District Municipality.

## **1.8 RESEARCH QUESTIONS**

The study is aimed at responding to these questions:

- What are the legislative and administrative provisions for water provision in South Africa?
- What mechanisms are in place to monitor and evaluate water service delivery at Ugu District Municipality?
- To what extent are these mechanisms effective in the facilitation of Monitoring and Evaluation of water service delivery?
- What recommendations can be made from the study's findings to advance water service delivery at Ugu municipality?

## **1.9 RESEARCH METHODOLOGY**

The study adopted a positivist approach which is comprised of quantitative data analysis gathered by surveys, which represents the data collection and analysis methodology used for the purpose of this enquiry. A mixed method approach was employed and involves the collection of data that is both quantitative and qualitative (Cresswell, 2014: 217). This was done in the form of an exploratory sequential mixed methods approach (Cresswell, 2014: 220). The mixed method approach requires the integration of data during data collection, analysis, or discussion. Combining quantitative and qualitative methods into one study is useful to offer a broader perspective into an enquiry. The quantitative data included closed-end information that as subjected to statistical analysis with a numerical representation of the results. The qualitative data was more subjective and open-ended and allowed for participants to express their opinions and the interpretation of such observations. The mix method was used to provide in-depth understanding of the research problem.

The identified sample for this study was structured according to three categories namely; Category A: Political Office Bearers, Category B: Senior Managers (including the Municipal Manager) and Category C: Managers and Officials. The sample size included thirteen (13) Ugu District Municipality employees, ten (10) of which are officials (Categories B and C) and three (03) of which are political office bearers (Category A). Thirteen (13) of a total of seventy four (74) targeted participants participated in the study. Collection of data proceeded in three phases, beginning with qualitative data collection in the form of an interview schedule (targeted at senior managers and political officer bearers), proceeding to quantitative data collection through surveys (targeting all participants). Data analysed through a thematic or content analysis.

## **1.10 SIGNIFICANCE**

The study will contribute to understanding of the role played by Ugu District Municipality's monitoring and evaluation mechanisms as a means to ensure adequate water supply and services for its residents. The findings and recommendations can be used as a basis for considering opportunities for the improvement of water delivery in other municipalities in KwaZulu-Natal and across South Africa.

## **1.11 DEFINITION OF CONCEPTS**

### **1.11.1 Monitoring**

Monitoring can be defined as an ongoing function where a logical collection of data is used on quantified indicators. This is used to offer management and key stakeholders continuous growth interventions and gives clear indicators in relation to the level of progress and goal attainment including progress on the utilization of allocated funding. (UNDP, 2002: 6).

### **1.11.2 Evaluation**

Evaluation is the efficient and independent assessment of a project, programme or policy, evaluation also assess the design, implementation and results of projects, programmes or policies. The aim of evaluation is primarily to make a determination on the bearing and achievement of goals, development of efficiency, effectiveness, impact as well as sustainability. The process of evaluation should produce evidence that is reliable and valuable, which will allow for incorporating lessons learned, informed decision-making processes of both recipients and donors (Public Service Commission (PSC), 2008: 3).

### **1.11.3 Monitoring and Evaluation (M&E)**

Monitoring and Evaluation (M&E) is a continuous process aimed at performance enhancement and the attainment of results. Its objective is to improve current and future management of outputs, outcomes and impact. M&E is mainly used to measure the performance of projects, institutions and programmes set up by governments over time. It provides for links to be established between past, present and future actions (UNDP, 2002: 6).

### **1.11.4 Performance Management System (PMS)**

The Performance Management System (PMS) is a proactive, coordinated system used to manage the performance of employees. It is mainly geared at motivating individuals and organizations

towards desired performance and results. PMS involves striking a harmonious alignment between individual and organizational objectives so as to achieve excellence in performance. (Nielsen, 2013: 23).

#### **1.11.5 Integrated Development Plan (IDP)**

An Integrated Development Plan (IDP) gives an overall framework for development within a specific area. It is aimed at coordinating the developmental initiatives of municipalities and other government spheres into a coordinated plan as a means to enhance the quality of life for all the people who live in a particular area. The IDP must be cognisant of the current state of affairs, challenges and resources available for development. The plan must include economic and social development for the whole area. An IDP is expected to outline the spatial planning and land use management framework, including the services and infrastructure needed and environmental protection. (SALGA, 2004: 44).

#### **1.11.6 Service Delivery Budget Implementation Plan (SDBIP)**

Service Delivery and Budget Implementation Plans (SDBIP) are detailed short term plans approved by the mayor of a municipality. The SDBIP allows for effective alignment between municipal IDPs and their budgets. It is central to monitoring and evaluation of municipal performance in IDP and budget implementation. (Nelson Mandela Bay Municipality, 2015:1)

#### **1.11.7 Municipality**

Municipalities are areas geographically determined in terms of the Local Government Municipal Demarcation Act 1998 (Act No. 27 of 1998). A Municipality typically comprises of the structures, administration and political office bearers of the municipality; a geographically demarcated area; and the community of the municipality. (Local Government Municipal Demarcation Act 1998 (Act No. 27 of 1998).

## **1.12 STUDY FORMAT**

The format of this enquiry is based on the following structure:

Chapter 1: Introduction – This chapter gives an outline of the problem statement; provides background and gives a summary of the study's purpose and significance. It also presents key research questions and objectives of the research.

Chapter 2: The chapter on Local government restructuring and transformation with particular reference to UGU District Municipality - focuses on recent developments relating to restructuring and transformation in the South African context with particular reference made to UGU District Municipality.

Chapter 3: Literature and policy framework for water service provision by municipalities –presents an analysis of the literature on the research topic. It provides the theoretical basis and identifies the key variables for this study. This enquiry focused primarily on the relevant South African regulations, government procedures and universal guidelines, which have a bearing on people's rights to access water service delivery and the relevant South African regulations, government procedures and universal guidelines, which have any bearing on monitoring and evaluation.

Chapter 4: Research Methodology – This chapter defines the different methodologies to the topic. The preferred methods guiding the research were quantitative (questionnaire) and qualitative approaches and included interviews with participants. The sampling method, data collection instruments, data analysis and ethical considerations are also outlined in this chapter.

Chapter 5: Data collection, presentation and analysis of results – This chapter presents the study's findings through narrative and quantitative analysis. It also provides an analysis and interprets the findings of the literature review, objectives and research questions.

Chapter 6: General conclusions and recommendations - present the conclusions derived from the research and provides recommendations aligned to the study's theoretic framework and overall findings.

### **1.13 SUMMARY**

Chapter one provided an overview and contextualised the study. This was presented by highlighting the problem statement and research objectives, centred on the intended outcome of the study. The outline of the research format demonstrated how the studied data was packaged to respond to the problem statement. The succeeding chapter will examine South Africa's lineage of local government restructuring and transformation and particularly what the impact of these developments has been on Ugu District Municipality.

## **CHAPTER TWO: LOCAL GOVERNMENT RESTRUCTURING AND TRANSFORMATION WITH PARTICULAR REFERENCE TO UGU DISTRICT MUNICIPALITY**

### **2.1 INTRODUCTION**

In the previous dispensation, local government was the sphere which demonstrated the clearest instance of racial exclusion and imbalanced service access. Post the democratic dispensation, local government was in need of the most extensive transformation of the total system (Thornhill, 2008:509). Post 1994, embodied in the concept of developmental local government, and the White Paper on Local Government offered a new vision for post-apartheid society. This meant that South Africa's territory would be distributed and demarcated by municipal boundaries to be governed by elected municipal councils. Municipalities would incorporate racially divided group areas under one local authority and a mutual revenue and tax base. Local development plans were set out to guide programmes of national reconstruction and development (White Paper on Local Government, 1998). Municipalities and citizens would form partnerships in to build non-racial communities. Municipalities redistributed service delivery expenditure to poor black communities. By 2000, when the implementation commenced, the vigour of this transformative vision was already spent – overtaken by hard-hitting economic and political realities (Powell, 2012: 11). This chapter will examine South Africa's lineage of local government restructuring and transformation and particularly what the impact of these developments has been on Ugu District Municipality.

### **2.2 CONSTITUTIONAL MANDATE OF LOCAL GOVERNMENT**

After 1994, municipalities were assigned extensive functions and powers which was part of an attempt at re-engineering the system. The Constitution sets out these functions and powers in sections 156 and 229 and these comprise *inter alia*:

A municipality's right to administer local government matters as prescribed by Schedule 4(B) and 5(B) of the Constitution. Municipalities have authority to develop and enforce by-laws for the effective administration of assigned functions; this may include imposing rates, taxes and surcharges for the services provided. A municipality may develop and adopt policies, strategies

and plans, stimulate growth and development as well as promote the implementation of provincial and national legislation. Municipalities have the powers to do anything else within their legislative and executive competence (Constitution of the Republic of South Africa (Act No. 108 of 2006).

## **2.3 LOCAL GOVERNMENT RESTRUCTURING AND TRANSFORMATION IN SOUTH AFRICA**

The broad mandate of local government as described by Thornhill (2008:503) is that traditionally, municipalities are liable for the basic provision of core services such as water and sanitation, electricity distribution and refuse removal. A range of other major responsibilities assigned to municipalities include housing and health services, although the Constitution is clear that such functions can only be assigned and carried out locally if the said municipalities have the capacity to administer such functions. Restructuring and transforming the administration and management of the local government sphere entailed *inter alia*:

- The appointment of municipal managers as administration heads and also as accounting officers meant improved levels of accountability. The stabilization of local government transformation also meant the introduction of a contract-based management system and a move away from a system that was based on management by command (Binza, 2006:84);
- The establishment of a treasury and budget office which consists of a chief financial officer and additional municipal officials who manage the work of this office;
- The making of provisions for a performance management system which requires the municipality's administration to be responsive to the local community's needs through *inter alia*: public participation (IDPs), performance management (SDBIPs) and intergovernmental relations (IGR forums);
- Mandating municipalities to operate in accordance with strictly defined financial processes and practices. In order to achieve this objective, the Local Government Municipal Finance Management Act (Act 56 of 2003) was introduced to regulate municipal finance affairs. The Public Finance Management Act (Act 1 of 1999) which is set out to govern financial management of the national and provincial government spheres, provides the prescripts on which the Act is based;



- The defined role of provinces exercising oversight and provide support to municipalities by providing interventions in cases where municipalities fail or are unable to fulfil their executive duties as per the Constitution; and
- Addressing the political and administrative interface challenges, where the relationship between politics and administration and management does not resemble one of a servant-master relationship (Cameron, 2003:55).

The aim of restructuring and transformation of local government was primarily to ensure that municipalities are in a better position to provide more effective, efficient and economic service delivery to South African citizens.

### **2.3.1 The Reconstruction and Development Programme (RDP)**

The RDP provided a guiding framework for government policy based on the ANC's post-apartheid vision for social justice (ANC, 1994). It entrusted municipalities with an extensive mandate to provide basic needs and promote people-centred government. The RDP also clearly outlined the key principles of democratic local government. These principles entailed developing a participatory government with a single tax base and cross-subsidisation of service delivery. This also stipulated that debts accrued by black local authorities be written off. The White Paper presents a consolidated form of the RDP principles and translates them into a vision for developmental local government (Powell, 2012: 11/ANC/RDP).

### **2.3.2 Growth Employment and Redistribution (GEAR)**

GEAR was adopted in 1996, as an attempt to bolster the economy to reach a six percent (6%) growth index. This is the minimum rate needed for creating employment, extending service delivery and overcoming inequality. GEAR introduced short-term austerity measures which included stronger state coordination of fiscal and budgetary policy, budget reprioritisation and deficit reduction (Powell, 2012:11). GEAR became the guiding framework for a comprehensive process to reform budget processes. Over the next five years, it also guided the financial management and accounting practices including the intergovernmental fiscal system, which was rolled out. In 1996 the Consolidated Municipal Infrastructure Programme consolidated and incorporated the various streams of capital payments to municipalities. In order to subsidise a basic municipal services package to impoverished households, the local government equitable share

formula was introduced in 1998. These and other major local government financial reforms were introduced concurrently with the drafting of the White Paper (Powell, 2012: 11).

### **2.3.3 The White Paper on Local Government and other legislation**

Giving territorial and structural effect to the White Paper meant the promulgation of the Local Government Municipal Demarcation Act (Act No. 27 of 1998) and the Local Government Municipal Structures Act (Act No. 117 of 1998). The former Act created a demarcation board which determined the new municipal boundaries. This culminated in the establishment of 273 municipalities. The latter provides for the structural, political and functional institutions aimed at metropolitan, district and local municipalities, (Powell, 2012:15). The Local Government Municipal Systems Act (Act No. 32 of 2000) brought further reforms to the local government legislative framework. This introduced the regulation of planning, service delivery, and performance monitoring and public participation. In 2003 the Municipal Finance Management Act (Act No. 56 of 2003), provided a framework to regulate financial management, accounting, supply-chain management, reporting and budgeting. In the same year, the Traditional Leadership and Governance Framework Act (Act No. 41 of 2003), made provisions for relations between municipalities and traditional leadership in order to facilitate a coordination local government approach between local councils and traditional authorities. The Municipal Property Rates Act (Act No. 6 of 2004), was introduced to regulate property evaluations and taxes. During this time, the intergovernmental grant system was also undergoing major reforms. This resulted in a multi-phased introduction of the Municipal Infrastructure Grant in 2003. The introduction of international standards for financial management in all municipalities can be regarded as the most fundamental reforms to the finance management legislation. This initiative progressively consolidated the control of National Treasury over local government policy (Powell, 2012:17).

### **2.3.4 Service delivery in South Africa post 1994**

In the context of local government, service delivery is the provision of municipal goods, benefits, activities and satisfactions that are deemed public, for enhancing quality of life in local authorities. (Reddy, 2016:2). Reddy (2016:3) further describes municipalities as the custodians of public funds and subsequently have been tasked with spending resources to provide for the basic needs of local

communities, such as spatial development, infrastructure, water, sanitation, electricity and refuse removal.

In 2000 the first local government elections under the new administration took place, and this marked the final phase of the local government transition. This period saw the replacement of the Department of Constitutional Development with the Department of Provincial and Local Government. The main priorities of this term were; firstly to establish new municipalities and the induction of the new councils. Secondly, to complete the legislative, regulatory and policy frameworks for municipal finances and administration, planning and service delivery. In 2001 government regulated a free basic services (FBS) programme that provides a free minimum package of electricity, water, sanitation and refuse removal services to every citizen, focusing primarily on indigent households. Over the next 10 years, national subsidies to local government for basic services would increase. However, when FBS was introduced, there was no clear separation regarding the functional obligation for such services between local and district municipalities. These functional responsibilities were only finalised in 2003, and the transferring of water schemes and staff from the water sector to local government involved major restructuring (Powell, 2012:16).

The subsequent term after the 2005 local government elections prioritized inclusive growth and poverty reduction. The main objective of this administration was growing the economy by six per cent which included a fairer distribution of its benefits (Presidency, 2004:33-34). One of the central goals of local government transformation during this tenure was to deploy expertise to skills-depleted municipalities. This was to be achieved through, an initiative introduced in 2004 which extended over two years. Project Consolidate was as a national intervention with the specific intention to support municipalities that lacked the relevant expertise to discharge their service delivery mandate. This intervention facilitated the deployment of technical experts to economically depressed municipalities – largely in former homelands or rural areas which had the highest basic services backlogs in (Booyesen, 2012:12). However, in view of such interventions, the 2009/2010 Auditor-General report reported that even with the abundance of technical tools to support municipalities the outcomes were of marginal proportions when compared to the preceding year (Auditor-General, 2011a). There was also a focus on the need for more rigid coordination

of public spending on growth and fighting poverty. This, through more centralised intergovernmental relations as per the prescripts of the Intergovernmental Relations Framework (Act No. 13 of 2005).

2005 saw the Zuma administration taking office, burdened with an ailing economy in recession. Following President Mbeki's resignation, there was enormous pressure to combat growing job losses (Steytler & Powell, 2010:151). The approach to local government adopted by the new administration revealed a sense of crisis in the country. The Local Government Turnaround Strategy (LGTS) presented the platform from which the ANC would contest the 2011 municipal elections. The LGTS was presented as a national programme aimed at informing local government policy for the next five years (Powell, 2012:21). Government assessed the state of local government, and reached the conclusion that local government was in distress and that a comprehensive turnaround was imperative to ensure that it was on track (Reddy, 2015:328). Government conceded that previous interventions including Project Consolidate were not yielding desired outcomes because of their 'one size fits all approach' whereas the LGTS catered for individual municipalities and more importantly the specific challenges they faced (COGTA, 2010:1).

### **2.3.5 Initiatives to strengthen local government**

#### ***2.3.5.1 The Department of Cooperative Governance and Traditional Affairs***

The inception of the Department of Cooperative Governance and Traditional Affairs was geared towards building and strengthening capability and accountability of provinces and municipalities through:

- Establishment of support systems, building capacity, centred on pivotal areas like financial management, integrated development planning, public participation, service delivery and local economic development (LED) initiatives;
- Continuous monitoring and evaluation of government programmes and their impact on municipalities, refining the reporting quality on the Local Government Strategic Agenda (LGSA) to enhance accountability and performance; and
- Policy coordination and development support, implementation of the LGSA, and service delivery monitoring and support.

#### ***2.3.5.2 Municipal Infrastructure Support Agent (MISA)***

In 2013, MISA identified one hundred (100) priority municipalities where sixty eight (68) technical consultants and twenty four (24) service providers were deployed respectively to provide support to municipalities.

#### ***2.5.3.3 Local Government Turnaround Strategy (LGTAS)***

Aimed at promoting a more responsive, accountable, effective and efficient local government, the LGTAS was initiated as a national programme of action which provided the government's blueprint intended to improve service delivery. Fast-tracking implementation of the strategy focused on five key areas:

- governance
- fighting corruption.
- financial management
- infrastructure development
- service delivery

The Department of Cooperative Governance and Traditional Affairs has a strategy to review all legislation that hampers service delivery. In this category over three hundred (300) pieces of legislation have been identified and reviewed.

#### ***2.3.5.4 Operation Clean Audit***

This initiative was introduced in 2012 aimed at turning local government around and a means to ensure that all municipalities achieved clean audits by 2014. Achieving this meant that municipalities needed to improve accountability and the quality of data in reports.

#### ***2.3.5.5 Back to Basics Initiative of Local Government***

The Back to Basics approach was launched in 2014 as an urgent action plan to strengthen local government by getting the basics right. The approach focused primarily on six key aspects, namely; governance, institutional management, financial management, service delivery, community satisfaction and political stability.

#### ***2.3.5.6 Municipal Infrastructure Grant (MIG)***

The MIG was aimed at the eradication of infrastructure backlogs in municipalities with poor communities. It focused primarily on providing basic services such as water, sanitation, roads and electricity connections. The MIG is managed by the Department of Cooperative Governance and Traditional Affairs. The Department facilitates MIG transfers and supports provinces and municipalities on the implementation of MIG projects.

#### ***2.3.5.7 Community Work Programme (CWP)***

By the 2018/19 financial year, the CWP aims to create a million jobs across all local municipalities. In 2015/16 the projection was to provide 202 000 jobs at R2, 5 billion and one million jobs in 2016/17 at R3, 7 billion. The CWP is an initiative strategically targeted at community mobilization for the provision of stable and sustainable employment opportunities in the local government sphere. The programme focuses on providing an employment safety net and is intended for poverty alleviation. The programme recognizes that unemployment policies which are designed to create decent work do not always reach people living in marginalized areas where opportunities are scarce. Of the department's 105 priority municipalities, the CWP has been implemented in 76 local municipalities. The medium term target is for all municipalities to have at least one CWP site.

#### ***2.3.5.8 Local Economic Development (LED)***

The purpose of LED is to get the most out of the commercial potential of local municipalities and improve macro-economic growth resilience. This is achieved through expanding the local economy, creating employment and growth initiatives within the context of sustainable development. This economic development approach encourages people in local municipalities to work collectively to accomplish sustainable economic growth. LED allows local communities to access benefits from the local economy and residents' quality of life is improved. LED support programmes include:

- providing technical support and managing Nodal Economic Development Planning;
- managing the LED Fund;
- developing and reviewing national LED policies, strategies and guidelines;
- supporting LED capacity-building practices;

- coordinating, facilitating and monitoring donor programmes;
- providing practical support to provinces and municipalities.

Through such interventions and resources, interest groups and local role players are mobilized to create employment, achieve economic growth and reduce poverty.

#### ***2.3.5.9 Municipal Demarcation Board (MDB)***

The MDB is mandated with the responsibility of municipal boundary demarcation and functions as an independent authority. Various judgements by the Constitutional Court including the Local Government Municipal Demarcation Act, 1998 (Act 27 of 1998) protect and promote the independent authority of the MDB. Apart from municipal boundary demarcation, the MDB also has a statutory mandate to declare district management areas; to assess the capacity of municipalities to perform designated functions and to demarcate wards for local elections.

#### ***2.3.5.10 South African Local Government Association (SALGA)***

In terms of Section 21 of the Companies Act, 1973 (Act 61 of 1973), SALGA was established and is a listed public entity, recognised by the Minister of Cooperative Governance and Traditional Affairs as per the prescripts of the Organized Local Government Act, 1997 (Act 52 of 1997). Local government is represented by SALGA on several intergovernmental forums such the Minister and MECs (MinMec), the Presidential Coordinating Council (PCC), the Financial and Fiscal Commission, the Budget Forum and the National Council of Provinces (NCOP).

SALGA is funded through a national government grant and other sources of funding include provincial and local government association membership fees, and project specific donations from donor communities. The establishment of public accounts committees on municipalities, is one of SALGA's key successes. This intervention allowed councils to exercise improved accountability.

#### ***2.3.5.11 Human Resource Management and Development Strategy***

The Human Resource Management and Development Strategy is targeted at turning municipal entities that are professionally skilled and responsive. It is aimed at providing support to municipalities to ensure optimum utilization of human capital at their disposal. This allows for the promotion of development in local government and accelerates service delivery. The strategy

emphasizes the employment of professional individuals, who constantly develop themselves and are prepared to serve the people's needs.

#### ***2.3.5.12 Financial Management***

Within the local government sphere an area of major distress is the poor state of municipal financial management which has resulted in recurrent poor audit findings from the Auditor-General. Operation Clean Audit was introduced in 2009 as part of the turnaround strategy in response to the plethora of non-compliance with supply chain management procedures; increase in unauthorized, wasteful and fruitless expenditure and the fact that a number of asset registers were not compliant with Generally Recognized Accounting Practices (GRAP) (Reddy, 2015:329). Reddy (2015) further points out that governance systems and structures currently operational at municipalities are questionable in terms of their quality and effectiveness (Reddy, 2015:330). This has resulted in the institution of Municipal Public Accounts Committees (MPACs) as a means to improve governance as well as to make sure that there are further checks and balances within municipal finance management.

#### ***2.3.5.13 Basic Service Delivery***

Considerable improvements have been made in addressing local government service delivery backlogs such as electricity, and refuse removal, water and sanitation. It cannot be disputed that the post 1994 government has made considerable strides in bridging the gap of access to basic services that was shaped by the apartheid dispensation, albeit in primarily urban areas of the country particularly the Western Cape and Gauteng provinces. Some of these service delivery strides are documented in the ANC's Manifesto (ANC, 2016:7-9) below:

- **Electricity**

Electricity supply for households increased from 69.7% in 2001 to 86% in 2014. An excess of 5, 8 million and 2,048,052 households benefited from indigent electricity provision schemes in 2014 (ANC, 2016:7-9). This means that millions of people no longer have to rely on candles to light their homes. This significantly reduces informal settlements fires, which were rife in cities and



often resulted in fatalities. Access to electricity also relieves many rural women of the burden of fetching firewood from forests.

- **Water**

Access to piped water increased to 90% in 2014 from 61.3% in 2001. Over thirteen years, there has been significant improvement in increasing the number of households with access to water infrastructure. Between 2007 and 2013 there was as dramatic increase in the proportion of households that were beneficiaries of free basic water services. Households receiving free basic water services increased to 11,794,526 in 2013, from 7,225,287 in 2007 (ANC, 2016:7-9). Bringing water facilities and water closer to communities improves the quality of people's lives. Most citizens, including rural communities, have access to clean water. Access to clean water and potable water significantly reduces exposure to diseases such as diarrhoea and related illnesses. Many women in rural communities no longer have to travel far distances to fetch water.

- **Sanitation**

Access to basic sanitation services increased from 62.3% to 79.5% between 2002 and 2014. These significant developments across all provinces have ensured that many South Africans live dignified lives (ANC, 2016:7-9).

There is however, common agreement that a substantial number of municipalities in the country have not been able to increase the rate of service delivery based on their inadequate capacity. Such can be attributed to deficient infrastructure or lack of employees where the unavailability of employees, particularly in district municipalities, constitutes a major problem as most of them are located in rural areas (Thornhill, 2013:17). Ugu District Municipality is not immune to such challenges.

## **2.4 TRANSFORMATION OF UGU DISTRICT MUNICIPALITY WATER AND SANITATION SERVICES**

Water and sanitation services at Ugu District Municipality in the previous dispensation were delivered to the urban, mainly white, municipalities (Ugu Dialogue Report, 2008). Water backlogs were predominantly in the rural areas, which were home to eighty four percent (84%) of the population. During this period a vast number of the municipality's residents did not have access to safe drinking water. One hundred per cent of urban residents as opposed to the thirty five per cent of rural residents had access to water in line with the RDP standards which stipulate that a standpipe must be located within two hundred metres of a dwelling (Khomu, 2012:15). In the early 1990s, with the transition to democracy, it was acknowledged that water and sanitation services would need to be significantly expanded to integrate areas previously excluded, particularly rural communities where there were minimum or no services rendered.

Up until the early 1990s, municipalities on the KwaZulu-Natal South Coast were supplied bulk water by the Lower South Coast Regional Water Services Corporation (LSCRWSC). The LSCRWSC was incorporated into the Ugu Joint Services Board in 1993, which became the Ugu Regional Council in 1996 (Khomu, 2012:15). Since the new Constitution mandated municipalities with the powers and functions of water service delivery *inter alia*, it therefore became mandatory for municipalities to undergo a re-demarcation and transformation process. Post transformation meant that municipalities would require some time to establish themselves before undertaking the delivery of services. Hence the period from 1994-2000 where the Department of Water Affairs and Forestry became compelled to deal with the massive backlogs in the delivery of water services.

The Department of Water Affairs and Forestry focused on extending services to previously disadvantaged rural communities (Ugu district being predominantly rural). The creation of local municipalities facilitated the integration of rural areas into the larger government. The current rural local municipalities largely resemble the areas that were under the KwaZulu homeland administration during the apartheid regime. Homeland areas were governed through a tribal, communal land tenure system under traditional tribal authorities. Bantu administration channels

made very little provision for water and sanitation services, including infrastructure and roads. Several homeland and local government structures were responsible for providing services such as education and health for most rural Africans. Restricted and limited access to spaces was afforded to Africans who lived in urban or semi-urban areas. They were also deprived of the service levels delivered to white residents.

The Department of Water Affairs and Forestry adopted a community-based delivery approach to water services in rural areas. This community-based delivery approach was done in collaboration with local and national non-governmental organisations (NGOs), like Mvula Trust. Collaborative models such as these have been promoted as the most effective, efficient, and cost effective approaches for rural communities with water services. Ugu District had about seventeen (17) various community-based water projects mandated with the operation and management of the District's water supply. There is no consensus on the potential and effectiveness of community-based organisations (CBOs), but judging by the Ugu experience, there is an indication that this was not an effective approach for the area.

Some case studies piloted at Ugu District Municipality during the time recommended a standardised model for extending services. To this end, the Department of Water Affairs and Forestry extended physical infrastructure through the then national Community Water Supply and Sanitation (CWSS). The Department's regional offices facilitated the issuing of infrastructure grants to an implementing agent. Through participatory processes at village level, local water committees were nominated and elected. The community water committee appointed a maximum of six paid employees who received training in project and financial management. The committee was also responsible for establishing an office with equipment to perform various functions such as water provision and management. These functions included decision making, billing and community communication. Some of these water committees at Ugu District became formal CBOs and signed Water Service Authority-Water Service Provider (WSA-WSP) contracts with the Ugu Regional Council (URC).

In the new democratic dispensation Ugu District Municipality was tasked to provide water services to all local municipalities in its jurisdiction. The Local Government Municipal Structures Act (Act 117 of 1998) prescribed that the function of Water Service Authorities (WSA) be passed on to district or local municipalities, according to their capability. Ugu District Municipality, based on the Municipality's Backlog Report (2008), commenced with providing water services to residents in some of its local municipalities namely Umdoni and Vulamehlo local municipalities since 2002/2003. By 2006, Ugu District Municipality revealed that the Umdoni Local Municipality's population had a hundred per cent (100%) access to water, *via* communal or yard taps (UGU District Municipality, 2008). Previously, almost no households were connected to water sources. The integration of rural and urban areas presented new challenges, which included shifting the focus from urban challenges to rural ones, where water became the main priority.

In 2008 the South African Local Government Association (SALGA) commissioned a study to gauge municipal performance as Water Authorities. Ugu District Municipality was rated as a good-performing municipality providing water of a decent quality (SALGA, 2008: 31). An attributing factor is that Ugu District Municipality has a dedicated laboratory and analyses water samples regularly. Yet, all its local municipalities, an estimated 282 580 residents did not receive water at RDP standards. RDP quality standards require; a daily minimum quantity of twenty five (25) litres of water per person; which includes minimum flow rates of not below ten (10) litres per minute. Additional RDP standards require that water should be available within two hundred (200) metres of a household. A crucial stipulation by these standards prescribes that water supply remains uninterrupted for over seven days in a year (SALGA, 2008: 31).

The report further revealed that in eMalangeni (Umdoni Local Municipality) every home has access to water at RDP standards, with the entire eMahlolongwa (Vulamehlo Local Municipality) community having access to water at communal standpipes. The Ugu Water Dialogue Report further noted that most residents who formed part of the community dialogues drew their water from communal standpipes or perennial rivers. Despite these notable improvements, there continues to be water services delivery backlogs especially in the more rural municipalities namely; Umzumbe, eZinqoleni, uMuziwabantu and parts of Umdoni and Vulamehlo. The

Municipality cited the lack of a strong financial base partly as the reason for the unresolved water backlogs both in rural and urban areas. An estimated R1.8 billion was required to effectively clear the backlogs (SALGA, 2008: 33). Further revelations in the report highlighted that water challenges, particularly burst pipes were frequently reported to the local councillors. However, only a few members of the community were aware of the municipality's customer care call centre.

Ugu District Municipality's Spatial Development Framework (SDF) Review outlined the status of the municipality's ability to meet its service delivery mandate which is summarised in the below listed services *inter alia* water, sanitation, electricity, telecommunications, storm water and water management.

- Water

Ugu District Municipality has a 34% water backlog, which excludes future low income housing. The Municipality is faced with numerous challenges hampering its attempts to eradicate the backlogs and improve service delivery to communities. As the designated Water Service Authority and Water Service Provider for the district Ugu District Municipality is tasked with providing water services, which constitutes 70% of the municipality's functions.

- Sanitation

In 2004/2005 the Municipality assessed sewerage infrastructure and established that it needed refurbishing. Ugu District Municipality developed an infrastructure maintenance strategy (Sanitation Master Plan) to improve levels of service delivery. The implementation of the strategy will enable the Municipality to significantly reduce the sanitation backlog currently at 37%.

- Electricity

Ugu District relies on Eskom as the District's electricity supplier and has an Electricity Sector Development Plan (ESDP) in place. Rural areas in high need of interventions were identified however; the infrastructure plans Eskom are not often in line with the needs of the Municipality.

- Telecommunication

Telecommunication infrastructure in all the municipal areas remains a major challenge. Telecommunication services at Ugu District are provided by Telkom and other licensed mobile service provider.

- Storm water

The District currently, has no Storm Water Management Plan. The Roads and Storm Water Management Plan should incorporate and manage storm water at local municipalities, focusing on built up areas. These plans must also be extended to include rural areas.

- Waste Management

Ugu District Municipality is preparing a Draft Waste Management Plan to determine the state of waste management infrastructure. This plan will assist the Municipality to study consider planned developments, service extensions and any IDP projects (Ugu District Municipality, 2011).

The table below illustrates the water backlog per local municipality.

***Table 2.4.1: Water Backlogs per Local Municipality***

| <b>Municipality</b> | <b>Households</b> | <b>Households in need (Dec-2009)</b> | <b>Backlog % (Dec-2009)</b> |
|---------------------|-------------------|--------------------------------------|-----------------------------|
| Ezinqoleni          | 10951             | 2895                                 | 26                          |
| Ray Nkonyeni        | 50650             | 9249                                 | 18                          |
| Umdoni              | 16383             | 1104                                 | 7                           |
| Umuziwabantu        | 20313             | 3078                                 | 15                          |
| Umzumbe             | 40579             | 27129                                | 67                          |
| Vulamehlo           | 12745             | 8067                                 | 63                          |
| <b>Ugu</b>          | <b>151621</b>     | <b>51522</b>                         | <b>34</b>                   |

***Source: (Ugu District Municipality, 2011)***

The following table illustrates the sanitation backlog per local municipality.

**Table 2.4.1: Sanitation Backlogs per Local Municipality**

| <b>Municipality</b> | <b>Households</b> | <b>Households in need (Dec-2009)</b> | <b>Backlog % (Dec-2009)</b> |
|---------------------|-------------------|--------------------------------------|-----------------------------|
| Ezinqoleni          | 10951             | 4235                                 | 39                          |
| Ray Nkonyeni        | 50650             | 18111                                | 36                          |
| Umdoni              | 16383             | 2159                                 | 13                          |
| Umuziwabantu        | 20313             | 10817                                | 53                          |
| Umzumbe             | 40579             | 17850                                | 44                          |
| Vulamehlo           | 12745             | 3591                                 | 28                          |
| <b>Ugu</b>          | <b>151621</b>     | <b>56763</b>                         | <b>37</b>                   |

*Source: (Ugu District Municipality, 2011)*

By 2014 the municipality required R621 million to stamp out the 43% backlog in the delivery of water. There is a comparative accumulation with respect to sanitation. There is additionally a huge excess in the procurement of electricity. The wide distribution of settlements makes procurement troublesome and excessive. Ugu district generally has average access to infrastructure in comparison to other districts in the province. Despite the wide perception that families lack access to supportive structures within the area, there has been a slight change from 40% in 1996 to 46% in 2009 (Stats SA, 2011).

The supply of water to the district is derived mainly from ground water, rivers, dams, and bulk purchases from eThekweni and Umgeni Water. Water treatment is conducted at several treatment plants, owned by Ugu before being distributed to households. Water distribution is done via more than 42 000 private household connections and over 5000 communal stand taps which mainly service the inland rural areas (Ugu District Municipality IDP Review, 2016 / 2017:88).

Ugu District Municipality and all its six local municipalities have enhanced their audit reviews over time to a financially unqualified opinion (ANC Today, 2016). As far as its Municipal Turn-Around Strategy is concerned, Ugu District Municipality recognized general access to water as a serious challenge, because of poor landscape, poor infrastructure due to lack of maintenance and illegal connections. There are likewise challenges with unsteady water supply frameworks and a deficient mass water limit.

This table illustrates Ugu District Municipality growth projections.

***Table 2.4.3: Population Projections (0, 08% growth)***

| YEAR | POPULATION |
|------|------------|
| 2001 | 704 028    |
| 2005 | 721125     |
| 2007 | 709918     |
| 2008 | 712047     |
| 2009 | 714183     |
| 2010 | 716326     |
| 2011 | 718475     |

***Source: (Stats SA 2012)***

## **2.5 SUMMARY**

This chapter examined the timeline depicting South Africa's attempts at the restructuring and transformation of local government and particularly the impact of these developments on Ugu District Municipality. It outlined recent developments relating to South Africa's local government restructuring and transformation, focusing primarily on the Constitutional mandate of local government and its bearing on the roles and functions of municipalities. Some mention was made of local government service delivery post 1994 and particular reference was made with regards to the transformation of Ugu District Municipality's water and sanitation services including its status quo. The next chapter highlights the literature and policy framework for water service provision by municipalities.



## **CHAPTER THREE: LEGISLATIVE AND POLICY FRAMEWORK FOR WATER SERVICE PROVISION BY MUNICIPALITIES**

### **3.1 INTRODUCTION**

It is evident that South Africa still faces daunting challenges with regard to municipal service delivery. Thus, the government through the White Paper indicated the need to achieve the Reconstruction and Development Programme with a focus on municipal service delivery (Republic of South Africa, 1998). Partnerships between municipalities and the public, private sector, community and non-governmental organisations (CBOs and NGOs) has been viewed as a fundamental route to be considered by municipalities in their efforts to resolve infrastructure backlogs and shortages. As the local government transition has reached its end, municipal service partnerships (MSPs) are no longer entirely new ground for South Africa.

There are now several of these partnerships in place in different sectors and a reasonably mature legislative framework to regulate them. Development of the partnership concept into a viable and beneficial approach required South Africa to review and consolidate its policies for the provision of good quality and cost effective services for all citizens. This study is an assessment of the effectiveness of the mechanisms facilitating Monitoring and Evaluation of water service delivery in Ugu district.

### **3.2 CURRENT STATUS AND CHALLENGES OF UGU DISTRICT AND ITS LOCAL MUNICIPALITIES**

Since 1994, municipalities have provided many South African households with basic services such as electricity, water and sanitation who before then had no access to such services. Notwithstanding the fact that many municipalities possessed very limited or no previously existing institutional foundations upon which they could build, from a South African perspective, this is an outstanding achievement. Nevertheless, local government is continuously going through the

course of transformation, and a significant number of challenges remain for service delivery in local government.

Ugu District Municipality is currently experiencing such challenges regarding its ability to achieve its Constitutional mandate as well as what is envisioned in the National Development Plan (NDP) in terms of water services provision to the country's citizenry. Documented in the Integrated Development Plan (IDP) of Ugu District Municipality is evident that additional funding is necessary if the water and sanitation backlog is to be overcome (Ugu District Municipality IDP 2011/2012:55). In its second review of the 2011 IDP, there is an acknowledgment that the municipality will not be in a position to accomplish the goal of ensuring the provision of one hundred percent access to clean water to all of its residents by the completion of the 2015/2016 fiscal year. In Cele's (2012) view, the central reason why the municipality is seen not to be in a position to realize the goals of the NDP can be attributed to major shortages in funding, inadequate human resource capacity in water management and the poor management of financial resources (Cele, 2012:18).

In light of the above, this study therefore assesses the role of Monitoring and Evaluation mechanisms at Ugu District Municipality to ensure that water services are adequately delivered towards its residents. By the year 2030, it is envisioned that effective management of water and the services derived from it will support a strong economy and a healthy environment (NDP, 2012:161). In Chapter 13, the NDP recommends methods on how municipalities can improve their performance as a means to ensure the effective, efficient and sustainable delivery of services. It also recommends a review in the approach to municipal funding including the levels of services that they are expected to deliver in light of the challenges faced by those municipalities who mainly serve poor communities. In municipalities where there are financial or staff shortages this hampers the adequate provision of services, to this the NDP recommends that they should approach neighbouring municipalities and their local water boards for help (NDP, 2012:161). Municipalities are also advised to consider empowering local communities, particularly in scattered rural settlements, to run their own services (NDP, 2012:160). Ugu District Municipality therefore, has a mammoth task in ensuring that its mandate to deliver water services aligns with prescripts of South Africa's Constitution including those of the NDP. The only way they can achieve this is

through ensuring that there are effective monitoring and evaluation mechanisms in place as a measure for facilitating the delivery of water services.

### **3.3 WATER RESOURCE MANAGEMENT IN AFRICA AND THE SOUTHERN AFRICA DEVELOPMENT COMMUNITY (SADC) REGION**

Water resources management in African countries is generally vested in the national governments. Ministries and departments are established to administer and enforce the provisions of the water legislation. These ministries and departments are mandated with developing vigorous management systems for assessing water resources. They are also tasked with the oversight of water uses to ensure the efficient management of water allocations and permits. Cooperation around international rivers is piloted at the level of governments within the framework of joint commissions. An active player in water resources management in Africa, among others, is the UN Economic Commission for Africa (ECA). The ECA focuses primarily on activities geared towards catalysing collaboration among African countries to resolve water resources management issues at national and river basin levels. These activities include providing technical assistance and regional advisory services to national governments and intergovernmental organizations such as the Regional Economic Communities (REC) and the African Union (AU). Interventions provided by the ECA are geared at catalysing cooperation around water resources management in Africa through offering advisory assistance and technical support to the REC's.

Lesotho, Malawi, South Africa and Zimbabwe are amongst those countries experiencing the highest levels of water stress. According to the Economic Commission for Africa, most countries in the sub region are below the threshold for vulnerability where water use amounts to twenty per cent (20%) of renewable water resources (Economic Commission for Africa, 2011:5). The 2002 World Summit on Sustainable Development acknowledged that eradicating poverty, altering production and consumption patterns and managing and protecting the natural resource base for social development and economic are overarching sustainable development objectives, and critical requirements for it to be achieved. The summit declared to focus on prominent issues such as the indivisibility of human dignity and resolved to intensify access rapidly to basic necessities such as clean water, sanitation, inter alia. The summit also made an undertaking to improve and strengthen

governance at all levels for the effective implementation of the Millennium Development Goals (MDG), Agenda 21 and the Johannesburg Plan of Implementation (JPOI), which were a result of the summit.

### **3.4 LEGISLATIVE FRAMEWORK**

#### **3.4.1 Legislative Mandate**

After democracy South Africa changed the welfare sector's focus from being exclusive, fragmented, and largely focused on the needs and welfare of the white population, to being inclusive and focused primarily on the needs of the previously deprived, black population (Department of Social Development, 2005). This was achieved through a set of legislative changes which will be articulated below.

The Apartheid focus on the advancement of the white population's needs was commendably overturned by the new Constitution of the Republic of South Africa (Act 108 of 1996). Chapter Two of the Constitution (Bill of Rights) enshrines the rights of South African citizens' to basic services and commands that the State must take impartial actions to realize the progressive recognition of such rights (Constitution of the Republic of South Africa (Act No. 108 of 2006). Other key legislative policies include the Reconstruction and Development Plan of the ANC (ANC, 1994); the Financing Policy for Developmental Social Welfare Services (Department of Welfare, 1996; and the White Paper on Social Welfare (Department of Welfare, 1997) Triegaardt, 2002:66).

The above legislation paved way for the amendments and the smooth transition of the delivery of water services to poor, rural households to a peripheral issue into the South African Department of Water Affairs. Currently known as the Department of Water and Sanitation, this Department serves as the umbrella statutory regulatory body for the overall policy setting, development and implementation of legislation, national water resources planning. The Department is also mandated with national water resources infrastructure development and management, regulation of water use and regulatory oversight over various water sector institutions (Lombard, 2000:103).

### **3.4.2 The National Water Act (Act 36 of 1998)**

The National Water Act (Act 36 of 1998) is implemented by the Department of Water and Sanitation and ensures the protection of water resources. The Act also makes provision for the development, use, management control and conservation, of water resources in a sustainable and equitable manner and in line with its constitutional mandate. The National Water Act (Act 36 of 1998) provides the legal frame for water resources management, which includes the allocation of water for beneficial use and water redistribution.

### **3.4.3 The Water Services Act (Act 108 of 1997)**

The Water Services Act (Act 108 of 1997), which is the key statutory instrument concerning water services provision and accessibility. The Act prescribes that municipalities (Water Service Authorities) are liable for ensuring access to water services. They are also responsible (through Water Service Providers) for ensuring access to both water supply services and sanitation services.

Efficient water service delivery is the necessary service that enables access to water resources sustainably. Various entities in South Africa offer water resources management and water services. Such organizations operate within a very complex structure and comprise of regulators, facilitators, suppliers, water users, and other interest groups. Besides the structured framework, there are legislative frameworks which work as monitoring and evaluation tools. Some of the key legislative frameworks which govern and guide the access and delivery of water services are mentioned below:

### **3.4.4 Constitutional rights**

#### ***3.4.4.1 The Bill of Rights***

The Bill of Rights (Chapter 2 of the Constitution) provides for the underpinning of South Africa's democratic principles. It is applicable to all legislations and must not be violated. It is the binding element of the arms of State (the executive, legislature, and judiciary) as well as all other State organs. Such institutions have an obligation to protect, respect and promote uphold the values enshrined in the Constitution and fulfil human rights. Of vital importance in relation to the protection of human rights, are the following:

- Equality (Section 9): Every person is equal before the law and has the right to equal protection and benefit of the law.
- Human dignity (Section 10): Everyone has inherent dignity and the right to have their dignity respected and protected.
- Environment (Section 24): All persons have the right to an environment that does not to their well-being. The environment must be protected, for the benefit of present and future generations, through reasonable legislative and other measures. Such measures should prevent pollution and ecological degradation and secure ecologically sustainable development and use of natural resources while promoting justifiable economic and social development.
- Water security (Section 27): All persons have the right to have access, among others, to sufficient water. The State must take reasonable legislative and other measures, within its available resources, to achieve the advanced recognition of this right. From a water perspective, the Water Services Act (Act 108 of 1997) and the National Water Act (Act 36 of 1998) give effect to these rights. In order to give effect to these rights, mechanisms must to be developed and implemented in terms of these Acts.

#### **3.4.5 White Paper on a National Water Policy for South Africa**

This document provides the legal framework for water services provision to promote life and personal hygiene. The White Paper on a National Water Policy for South Africa was developed concurrently with the drafting and promulgation of the Water Services Act which served to regulate basic water and sanitation provision and services. Organized local government was consulted and ensured that the statute was premised on the principles set out by the White Paper on Water Supply and Sanitation.

The legislation recognizes that water and sanitation services need to be carried out in a manner aligned to the broader water resources management objectives. This law also instils the principles of cooperative governance which focus mainly on capacity building in all spheres of government. It provides the framework for oversight which includes monitoring, support and the role of the DWAF if there is non-performance by provincial and local governments.

#### ***3.4.5.1 Access to basic water services***

The Water Services Act affords all citizens the right to access basic water supply; and prescribes the minimum potable water treatment and distribution standards, to promote quality of life and personal hygiene for all. Regulations are yet to be published, but unofficial drafts were presented for public comments. Therefore, standards are currently under consideration nevertheless, in terms of the draft, basic water supply must provide for:

A minimum capacity of seven (7) litres per person per day of potable water: for low-density areas; available on a daily basis. With a minimum capacity of twenty-five (25) litres per person per day of potable water: for high-density areas; available within a two hundred (200) metres walking distance. The standards prescribe for a minimum flow of ten (10) litres a minute, available daily; and provided from a fresh water source, with ninety eight percent (98%) availability, not exceeding one week's interruption in supply per year.

The Water Services Act mandates entities that are responsible for the distribution of water promoting quality of life and personal hygiene to ensure that equitable measures are taken for this to be realized. In their water-services development plans, Municipalities must make provisions for these rights to be realised.

#### **3.4.6 The Local Government: Municipal Structures Act (Act 117 of 1998)**

The Local Government Municipal Structures Act gives the directive for establishing municipalities and the division of powers and functions between municipality categories. Each municipality (metropolitan, district or local) has an obligation to assess the community's needs, its priorities to meet these needs, community processes, organisational and delivery mechanisms for addressing such needs.

#### **3.4.7 The Local Government: Municipal Systems Act (Act 32 of 2000)**

The Local Government Municipal Systems Act makes provisions for the municipality's development agenda. It outlines the core principles, framework and procedures as enablers of communities' economic and social upliftment and advances affordable universal access to basic services. The Local Government Municipal Systems Act refers to the provision of basic municipal services, services which are essential to ensure a reasonable and acceptable quality of life and absence of which would pose a risk to public health and environmental safety.

#### **3.4.8 The Local Government: Municipal Finance Management Act (Act 56 of 2003)**

Constitution, which obliges all three spheres of government to be transparent about their financial affairs, makes provision for the Local Government Municipal Finance Management Act. It also forms an integral part of the broader local government reform package, as defined in the 1998 White Paper on Local Government. The Act provides for sound and sustainable fiscal management of municipalities. The MFMA is intended to reform budget, accounting and financial management practices, so as to maximise municipalities' service delivery capacity. It clarifies and separates the responsibilities and duties of officials, mayor and the council in a bid to put a sound financial governance framework in place.

#### **3.4.9 The Public Finance Management Act (Act 1 of 1999)**

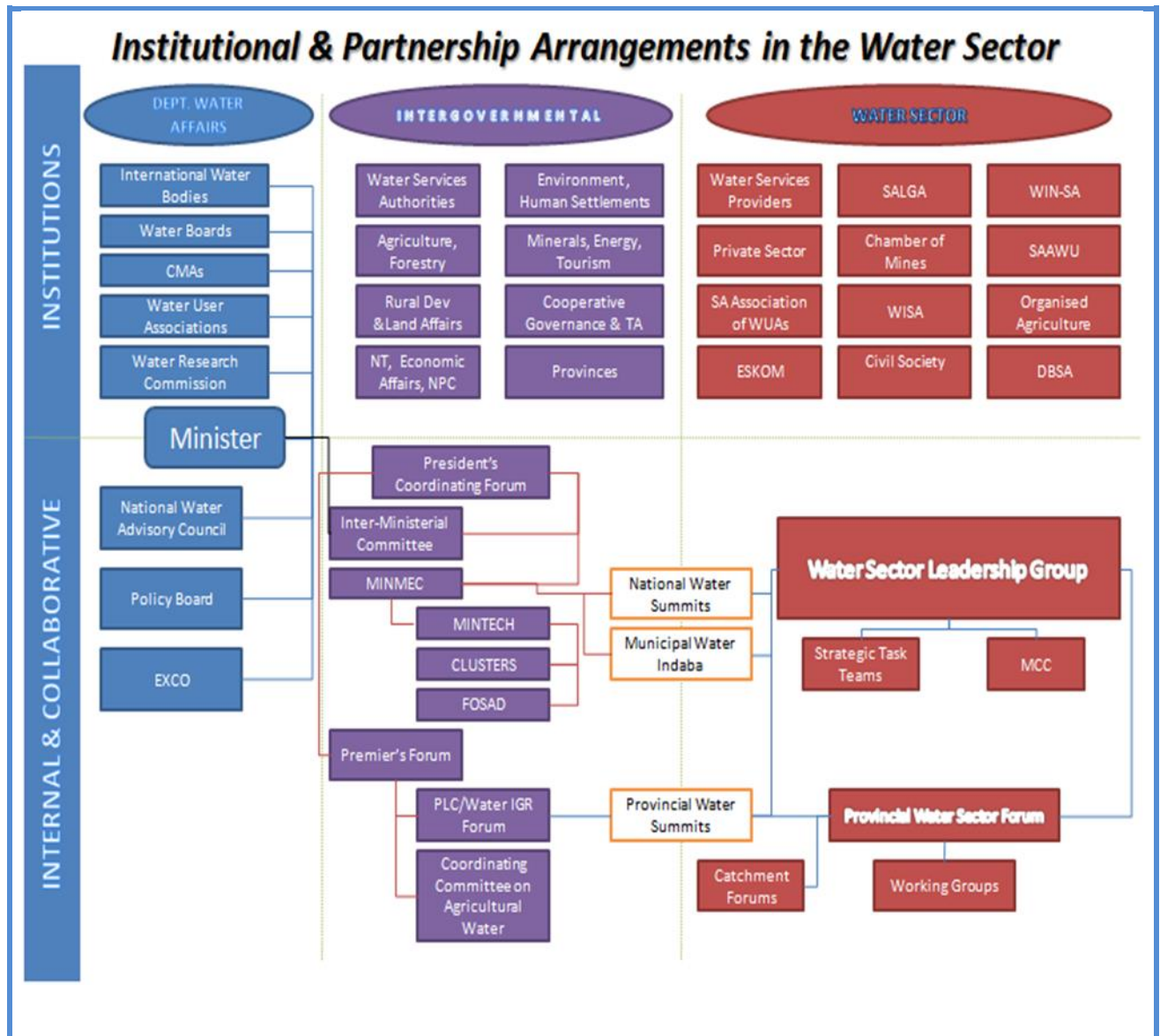
The Public Finance Management Act (PFMA), 1999 (Act. 1 of 1999) (as amended by Act. 29 of 1999) can be regarded as one of the most indispensable pieces of legislation promulgated by the post-apartheid administration. The PFMA provides the framework for fiscal management for all government departments and public enterprises. The Act upholds the objectives of proper fiscal management designed to enhance service delivery by using limited resources effectively and efficiently. The PFMA adopts a financial management approach which is focused on outputs and responsibilities. This is in contrast to the previous Exchequer Acts which were rules driven. The Act forms part of a broader strategic approach on improving the public sector's financial management practices.



### 3.5 THE WATER MANAGEMENT HIERARCHY

The diagram below depicts the current arrangements and linkages in the water sector.

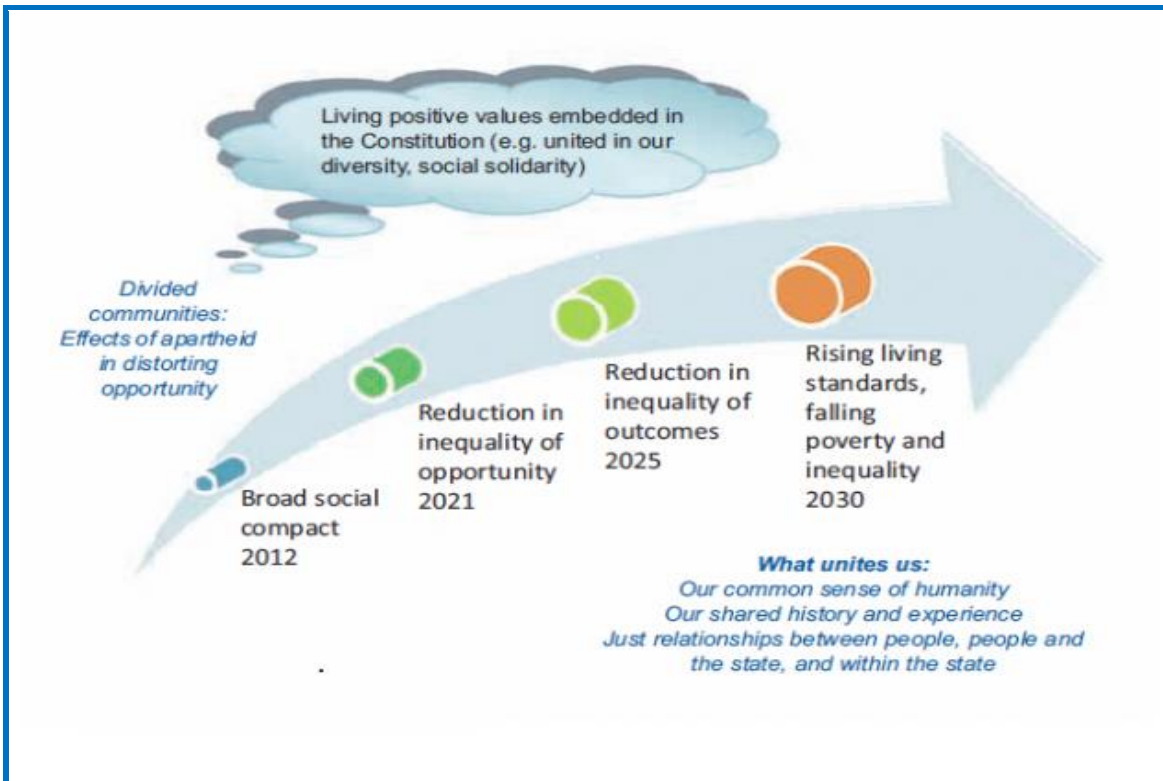
*Figure 3.5: Institutional and partnership arrangements in the water sector.*



*Source: (Department of Water Affairs, 2015)*

### 3.6 NATIONAL DEVELOPMENT PLAN – VISION 2030

Figure 3.6 (Vision 2030, National Development Plan, SA)



(Source: NDP, 2011)

Unsafe water and poor sanitation have been primary causal factors in the vast majority of waterborne diseases, especially diarrheal ones. According to the World Health Organisation (WHO), every year 1.6 million children die globally because of unsafe water and the lack of basic sanitation (UNICEF/WHO, 2006:41). Providing access to basic services such as water, electricity, education, housing and social security has been a major achievement of the post-apartheid era (NDP). Nonetheless, in spite of these dramatic expansions, the access to quality services is still unequal. These inequalities are a result of the spatial and governance systems owing to the apartheid era, in some provinces and many local government areas; this is further compounded by institutional weaknesses. Essentially, the country's capacity is weakest where socio-economic pressures are paramount. The NDP fittingly describes it as, the unevenness in capacity that results in uneven performance in the public service (NDP). This could be as a result of a series of underlying factors, including the instability of administrative leadership and tensions in the

political administrative interface. Further contributory factors could be linked to skills shortages, the lack of attention to State's role in reproducing the skills needed, weaknesses in organisational design and low staff morale. Additional causative elements included the absence of an ethos of continuous improvement, inadequate commitment to operational management and a deficiency of administrative accountability (South African Twenty Year Review, 2014:20).

President Jacob Zuma pronounced at the 2015 President's Coordinating Council (PCC) meeting that much more needed to be done by provinces and municipalities to fast track implementation of the NDP. He also reiterated that the NDP plays a paramount role in South Africa's bid to reduce inequality and end poverty by 2030 (Frankson, 2015). The PCC is a forum where the president meets Premiers (provincial heads) and the South African Local Government Association and focuses on means to improve local government performance. The PCC deliberated on the Back to Basics Programme and its implementation, aimed at enhancing service delivery in local government. The council also considers progress on the work of the Municipal Demarcation Board (Frankson, 2015).

### **3.6.1 NDP project successes at Ugu District Municipality**

In 2014 Ugu District Municipality set aside R 245 189 000 (two hundred and forty five million one hundred and eighty nine thousand) from the Municipal Infrastructure Grant (MIG) for the water and sanitation infrastructure programme. There was also a projected R 36 693 849 (thirty six million six hundred and ninety three thousand eight hundred and forty nine) from the Equitable Share for the provision of free basic water by means of communal standpipes. A further R19 346 765 (nineteen million three hundred and forty six thousand seven hundred and sixty five) was allocated to supplying free basic metered water. Owing to the challenging economic conditions within the Municipality, a further allocation of R 86 768 879 (Eighty six million seven hundred and sixty eight thousand eight hundred and seventy nine) was added to subsidise water tariffs. In response to the rural sanitation backlogs across the Municipality, R4 972 872 (Four million nine hundred and seventy two thousand eight hundred and seventy two) was allocated for the roll out of rural Ventilated Improved Pit toilets (Gumede: 2014:5).

According to the Ugu Water Dialogue (2008) report, Ugu District Municipality was performing quite well in comparison to the country's other district municipalities. However, the report pointed out that substantial funding was needed to afford cost effective, equitable and efficient water and sanitation. Coastal and urban communities still had access to better levels of water and sanitation services, due to increased attention focused primarily on the extension and improvement of services in towns but mainly due to historical inequalities that inland rural communities had suffered. One of the main reasons that the Municipality put forward for the remaining backlogs both in urban and rural areas was the lack of sufficient funds, which were projected at R1.8 billion for water alone. (Khomu, 2012:66).

### **3.7 MONITORING AND EVALUATION AS MECHANISMS FOR SERVICE DELIVERY**

#### **3.7.1 Monitoring**

According to Akinwumiju and Agabi (2008: 70) the central role of monitoring and evaluation is to improve service delivery and all are potential tools for quality assurance. Previous studies have reported that various models of monitoring emanating from an industrial management perspective have developed over the years and some of these are referred to as scientific evaluation (Sergiovanni and Starrat 2006:14). Uysal, (2012: 338) traces the development of the evolution of monitoring roles from a historical perspective and found it matched the development of the management in the following trend: inspection, scientific supervision, bureaucratic supervision, cooperative supervision, monitoring as curriculum development.

According to Hass, (2008: 121) traditionally, monitoring was primarily engaged in inspecting, an approach centred on the assumption that the job of a project manager was to find out all the wrong things that the employees were doing in their fields. The traditional Inspectional model was characterised by strict control (Hass, 2008:121).

Shepherd (2011: 14) defines scientific monitoring as the process of systematically observing and analysing instructions to determine the employee's effectiveness in achieving predetermined outcomes. Sergiovanni and Starrat (2007: 1), Nolan and Hoover (2005: 23) give the following description of the scientific model of monitoring:

- There is one perceived best method of performing a job.

- It is possible to scientifically select the best person for the job through training, and letting him/her master the stages / motions of the job.
- It is essential for management and subordinates to cooperate and ensure the job is done according to prescribed standards.
- There is division of labour.

The above features seem to indicate that supervisors are instructed over what to do and are not allowed to depart from pre-specified procedures. According to Sergiovani and Starrat (2007: 15) very often, there is too much emphasis on control, accountability and efficiency. Some of the identified forms of control in the service delivery system (Athanasoula-Reppa & Lazaridou, 2008: 65) are:

- Specified mission statements.
- Set deadlines for performing certain activities.
- Prescribed methods of delivery.

The scientific model of monitoring is largely criticised because subordinates comply with directives without giving it much thought (Sergiovanni and Starrat, 2007: 15). In contrast Sullivan & Glanz (2013: 101) argue that districts or municipalities rest in the shadow of hierarchical and bureaucratic tradition which distinguishes the superior-subordinate type of relationship. The point of argument is that these traditional approaches rely on judgemental, direct control and appeasement (Sullivan & Glanz, 2013: 101). The implication is that scientific supervision and inspections do not conform to Total Quality Management (TQM) principles. This approach to monitoring was referred to with the words control and evaluation in the literature on industrial bureaucracy. The purpose of monitoring is to work in cooperation with the service delivery institutions, not to judge their efficiencies and control them (Sullivan and Glanz, 2013: 101).

### **3.7.2 Evaluation**

According to Goetsch, David and Davis (2009: 131) the formal determination of the quality service delivery, or value of a project, product, process or objective is through evaluation. Evaluation uses inquiry and judgement issues, including

- Determining standards for quality judgment and deciding whether those standards should be relative or absolute;
- Applying the standards to determine quality; and
- Collecting relevant information

From the above (Goetsch *et al*, 2009: 131) definitions, judging and valuing on the basis of standards have been identified as crucial aspects of the evaluation according to this study. Within the context of these definitions is the aspect of decision making which seems to play a significant role during and after the process of evaluation in determining the worthiness of performance. Suresh (2012: 193) concurs with the stipulation that evaluation is a judgmental role. In addition, Suresh points out that in performing this judgmental role, the supervisor scrutinises and judge teacher performance in order to determine its quality. In turn, service delivery' evaluation is an organizational duty that accomplishes an overall formal assessment of the service provider competence and performance. Proponents of service delivery evaluation have to make sure that each service provider's performance in the system reveals a minimum level of competence, taking into account the project's success.

Many studies (Moloi, 2007: 460; Spillane, 2009: 75; Van der Westhuizen & Van Vuuren, 2007: 433) of perceived roles and the purpose of evaluation agree that both monitoring and evaluation are different in purpose and meaning, they all concur that both should be done concurrently since the central common themes include the diagnosing and improving of service delivery to improve project success. This also involves accountability to stakeholders; assisting administrators with decisions on continued delivery; developing remediation plans for underperforming service providers (Aketch & Simatwa 2010: 489). One question that needs to be asked, however, is why sometimes performance evaluation systems are faced with implementation challenges. In an attempt to respond to this question however, Burton et al. (2011: 27) are concerned that without understanding the role of monitoring versus evaluation, an instructional leader runs the risk of only playing an Inspectional role (Burton et al., 2011: 27).

In comparison with the above highlighted views, evaluation is neither intended to judge the competence of service projects nor to control them, but rather to work cooperatively and informally improve their service delivery (Burton, et al. 2011: 112). Thus, evaluation measures service

provider's proficiency and supervision aim to raise the quality of project delivery (Dönmez and Beycioğlu, 2009:78). The same authors seem to agree that the features and characteristics of the above monitoring strategies are important components of the developmental evaluation model. Apart from catering for variances in the different professional development levels, commitment and expertise, the following characteristics may be associated with monitoring and evaluation:

- Providing opportunities for cooperative, professional development when two or more institutions work together for their own development;
- Providing prospects for institutions to observe their peers, discuss and share professional challenges without the anxiety of evaluation;
- Focusing on teaching as a thinking process which stimulates reflective practices;
- Providing peer coaching which facilitates collaborative development;
- Initiate action research, grounded on the problem-solving model and allows for corrective interventions; and
- Allow for collaborative consultation and planning (Dönmez and Beycioğlu, 2009:78).

### **3.8 MONITORING INSTITUTIONS FOR WATER SERVICE DELIVERY IN SOUTH AFRICA**

The Constitution makes provision for three spheres of government and clearly stipulates the functions of each sphere. The delivery of water services falls within the competence and jurisdiction of local government. This is confirmed in the statutory framework, which allocates the responsibility for ensuring access to Water Service Authorities, for instance municipalities. Where there is a backlog in the delivery of water services, and where municipalities are unable to meet their constitutional and statutory obligations, local government is also most likely to be held legally accountable. However, national or provincial governments should also take responsibility for the failure to perform local government functions or performing them inadequately.

#### **3.8.1 Department of Performance Monitoring and Evaluation**

The Department of Performance Monitoring and Evaluation came to being on 1 January 2010 was a unique demonstration of Government's dedication to guarantee monitoring and evaluation of municipality service delivery. In close participation with the National Planning Commission, the Department assumed an important role in setting requirements of enhanced results across

government departments. The Department's purpose was to drive outcomes on different government projects.

State administrators are progressively mandated to demonstrate results, primarily by ensuring that value for money has been delivered while citizens' quality of life is improved. With an increase in the number of recipients of basic services and the massive costs of service delivery, community dissatisfaction with poor service delivery continues to increase in many municipalities around the country (Presidency, 2009: 4). Some of the causes of inadequate service delivery include: inadequate leadership, inappropriate institutional design, management weaknesses and a lack of political will, (Engela and Ajam, 2010:13). An increase in media reporting on service delivery protests, increased rates of corruption and fraud in the public sector, Auditor General issuing of qualified reports, are clear indications that effective and good governance is at an all-time low. This might equally be caused by the lack of effective and operational Monitoring and Evaluation systems.

### **3.8.2 The national and provincial government**

The Constitution sets out the legislative and executive authority of national and provincial governments to see to it that municipalities execute their functions effectively. National and provincial governments are compelled by Section 154 of the Constitution to support municipalities and augment their capacity of to exercise powers, manage their own affairs and perform their functions efficiently. Section 139 of the Constitution stipulates the duty of provincial and national government to monitor the performance of local government. This includes measures where the member of the executive council (MEC) for Local Government may request for information to be submitted by municipalities about a specific municipal function. When the MEC has reason to suspect that a municipality fails to fulfil a function (which is an executive obligation), he or she can request more information, investigate the matter or even organise a public hearing into the matter.

The MEC can also choose to assume the responsibility of the municipality and in the process take over the relevant obligations of the municipality (De Visser, 2000:40). In other words, where a municipality fails to deliver water services, the provincial Local Government MEC may take on the responsibility of water service delivery. The Water Services Act likewise recognises that it is



the duty of all government spheres to safeguard equitable, efficient and sustainable water services delivery; and to strive to provide such services for a sustainable economy. Although the authority to administer water services lies with municipalities, the remaining government spheres have a responsibility to achieve this objective, within the parameters of financial and physical viability.

The National Environmental Management Act (Act 107 of 1998) (NEMA) mandates provinces to ensure municipal functions are exercised in line with national and provincial environmental management and implementation plans (Section 16(4)). Both these plans have specific reporting obligations in terms of compliance with policies, plans and programmes; national norms and standards and the NEMA principles (Section 13 and 14 of the National Environmental Management Act (NEMA)). Failure by a local government to comply with such plans may result in a notice to rectify the non-compliance (Section 16(2) and (3) of the NEMA). In terms of Section 139 of the Constitution, failure to comply with such a notice may result in provincial supervision. The Water Services Act prescribes the monitoring functions of national and provincial government, which are enforceable obligations. National and provincial government prescribe specific roles and obligations in relation to water services including:

### **3.8.3 The civil society**

Civil society can through oversight of national and provincial decision-making, for example, put pressure on national and provincial governments to exercise their functions. Civil society and residents can also use the mandamus procedure (obtain a court order compelling an administrative agency to act in terms of a power created by statute where it is reluctant or failing to act). There is also an opportunity to enhance public participation in decision-making processes and to encourage statutory bodies such as the South African Human Rights Commission and the Water Tribunal to play watchdog functions (SAHRC 2011). The principles of public participation and holding local government accountable to its citizens stem from Section 152 of the Constitution, which states that municipalities must; provide accountable and democratic governance and stimulate community participation in local government matters. Litigation against municipal failure can extend to national and provincial government for their failure to ensure adequate municipal performance. The aim of any such actions should be focus primarily on the integration of national, provincial and local government initiatives, with improved coordination within provinces as a key decentralisation point.

### **3.8.4 National Treasury and the Public Finance Management Act (PFMA)**

The National Treasury has been a significant driver of M&E initiatives in South Africa. Undeniably, prior to a clear M&E strategy being considered, South Africa's Treasury had by this time started to increasingly place emphasis on nonfinancial evidence, relating to service delivery outputs and outcomes, to improve efficiency, effectiveness, and cost effectiveness, as prescribed by the Public Finance Management Act (PFMA, 1999). The PFMA stipulates that gaugeable objectives must be submitted for every key programme within the budget allocation of a department. It also calls for departmental annual reports to fairly represent performance against predetermined objectives. A very proactive approach that Treasury has taken to these legal requirements has been the development of prescribed formats for five-year strategic plans and annual performance plans that align output measures to allocated resources in budget programmes and sub-programmes. In line with the annual budgets in Parliament and the provincial legislatures, national and provincial ministers are also obligated to institute these annual performance plans (PFMA, 1999).

### **3.8.5 Municipal Finance Management Act 56 of 2003 (MFMA)**

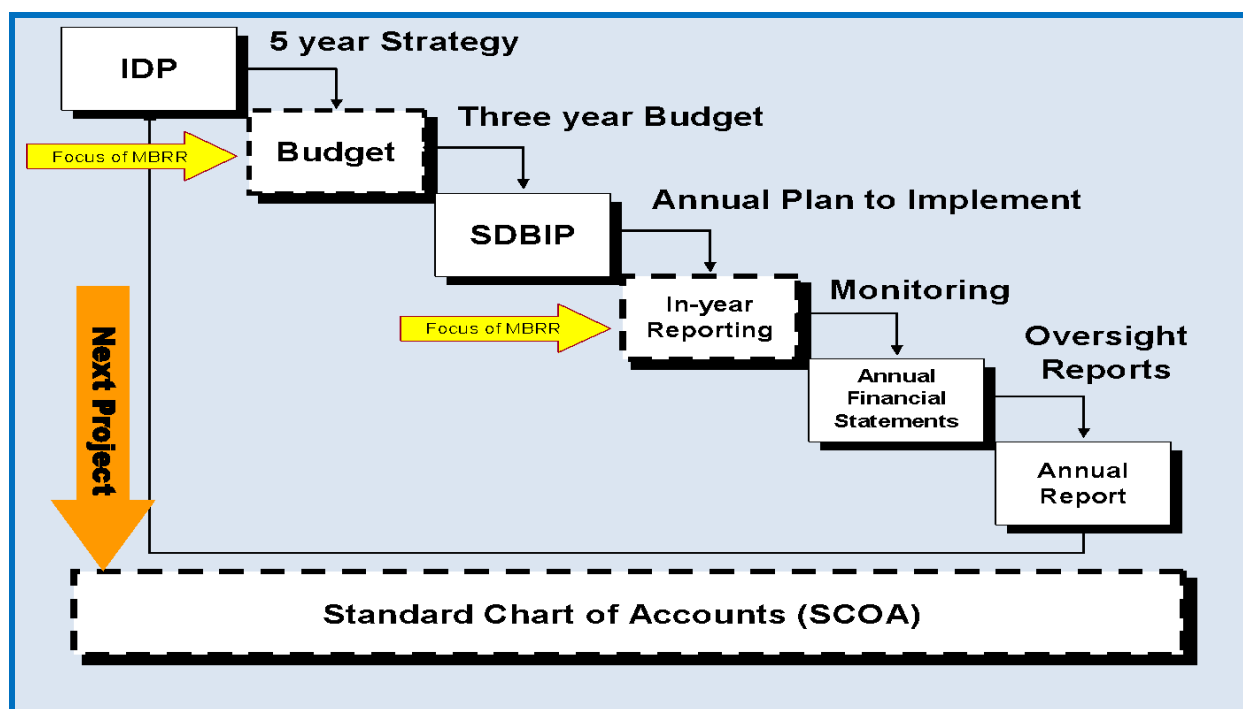
Some MFMA reforms comprise the certifying of transparency and accountability for the fiscal and financial undertakings of municipalities through in-year and annual reports. Genuine transparency and accountability can only be accomplished where there are clear links between the strategic objectives agreed with the community, the IDP, the Budget, SDBIP, service delivery agreement with any municipal entity, performance agreements of senior management and officials, in-year reports covering financial and non-financial information, such as MFMA Sections 71, 72 & 74 and MSA Section 41 among others, annual financial statements, annual performance reports and Annual Reports (MFMA, 2003).

The above components make up a single process which ensures that tangible performance is reported against what was planned and contained in the IDP (MFMA, 2003). This method translates to Annual Reporting as a backward-looking process of financial and non-financial performance for the financial year just ended. This means that it becomes a post-financial year document. The budget, which is fed by the information obtained from the Annual Report, is forward looking and therefore a pre-financial year document. Annual Reports must align with municipal budgets and planning documents for the year reported on. There must be alignment

between IDPs, budgets, SDBIPs, in-year reports, annual performance reports and Annual Reports. All these documents should have similar and reliable information to simplify understanding and to facilitate the link between plans and actual performance (MFMA, 2003).

The above is reliant on ability the municipalities to set appropriate key performance indicators and performance targets regarding their IDP's priorities, objectives and outcomes. This requires an approved budget together with measurable performance objectives (MFMA, S24). It is recommended that a municipality limits its performance targets not to exceed five, for every strategic objective as identified in the IDP to make monitoring and evaluation more manageable (MFMA, 2003).

**Figure 3.8.5 - Municipal Accountability Cycle**



*Source: National Treasury, 2011*

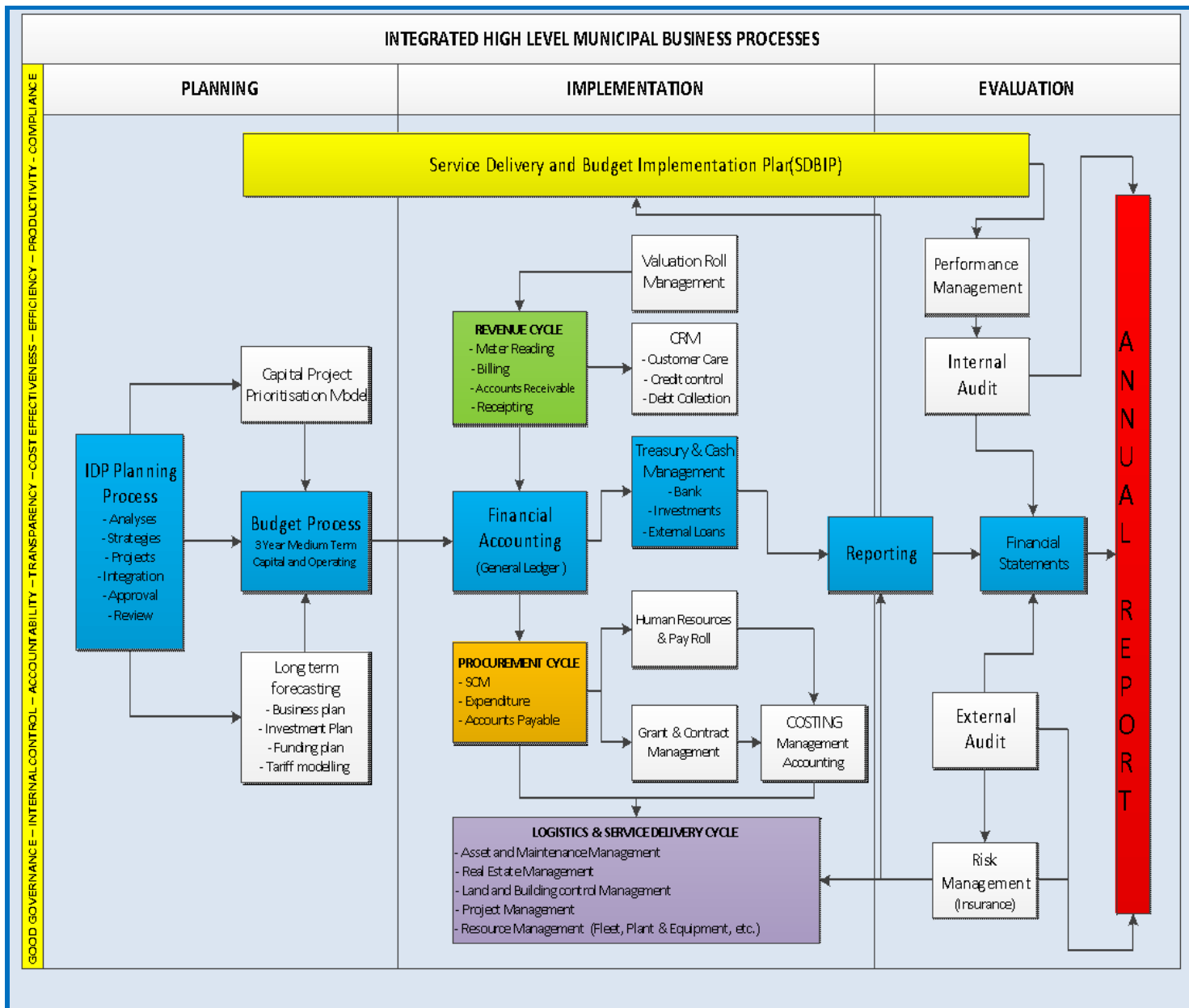
### **3.8.6 Department of Cooperative Governance and Traditional Affairs (COGTA)**

COGTA has the fundamental obligation of executing oversight of municipal performance and for supporting local government. COGTA directs local government's five-year transformation agenda which focuses on three main priorities. Firstly, to ensure the mainstreaming of hands-on support

in order to enhance municipal governance, performance and accountability in the following significant performance areas: (1) good governance and public participation (2) basic service delivery; municipal transformation and organizational development; (3) financial viability and management; (4); and (5).local economic development. The second priority addresses the state's structural and governance arrangements designed to reinforce, monitor and support local government. Thirdly, to strengthen the fiscal, regulatory and policy environment, including enforcement measures (COGTA).

Grounded on local government's five-year agenda, COGTA has developed a system for monitoring local government performance. This involved 120 core performance measures which focused on the above mentioned on the five key performance areas (COGTA). Local government delivers core services which include the provision of clean drinking water, waste removal electricity, sanitation, shelter and roads. All of which are basic human rights and central components of the right to dignity enshrined in the Bill of Rights (RSA Constitution, 1996).

**Figure 3.8.6 Integrated High Level Municipal Business Processes**



*Source: National Treasury, 2011*

### 3.8.7 Government Wide Monitoring and Evaluation System (GWMES)

Before 2006 the South African public service did not have a clear structure of systematic policy monitoring and evaluation. The Government-wide Monitoring and Evaluation System (GWM&ES) was introduced in 2006 with the intention to establish a uniform system of monitoring and evaluation across all government spheres. If successful, it had the potential to improve public

policy outcomes and impacts in South Africa (Cloete, 2009:293). However, the then GWMES was not fully implemented and cascaded to the Provincial and Local Government spheres which led to M&E initiatives not being fully aligned to the national policies. Absence of effective performance management systems and accountability mechanisms led to community dissatisfactions with service delivery thus adversely affecting governance and government legitimacy. M&E capacity development interventions needed to be implemented urgently so as to create an awareness of the techniques, tools, terminology, principles and benefits. The greatest challenge for government was to undertake accountability reforms that responded to the emerging social demands, to improve effectiveness in service delivery and to manage the state funds in an accountable and transparent manner with the aid of an effective M&E system. With high levels of inequality, South Africa had to choose between persistently focusing its energy necessary to deal with the country's main problems or, allowing the public sector to degenerate to eternal ineffectiveness.

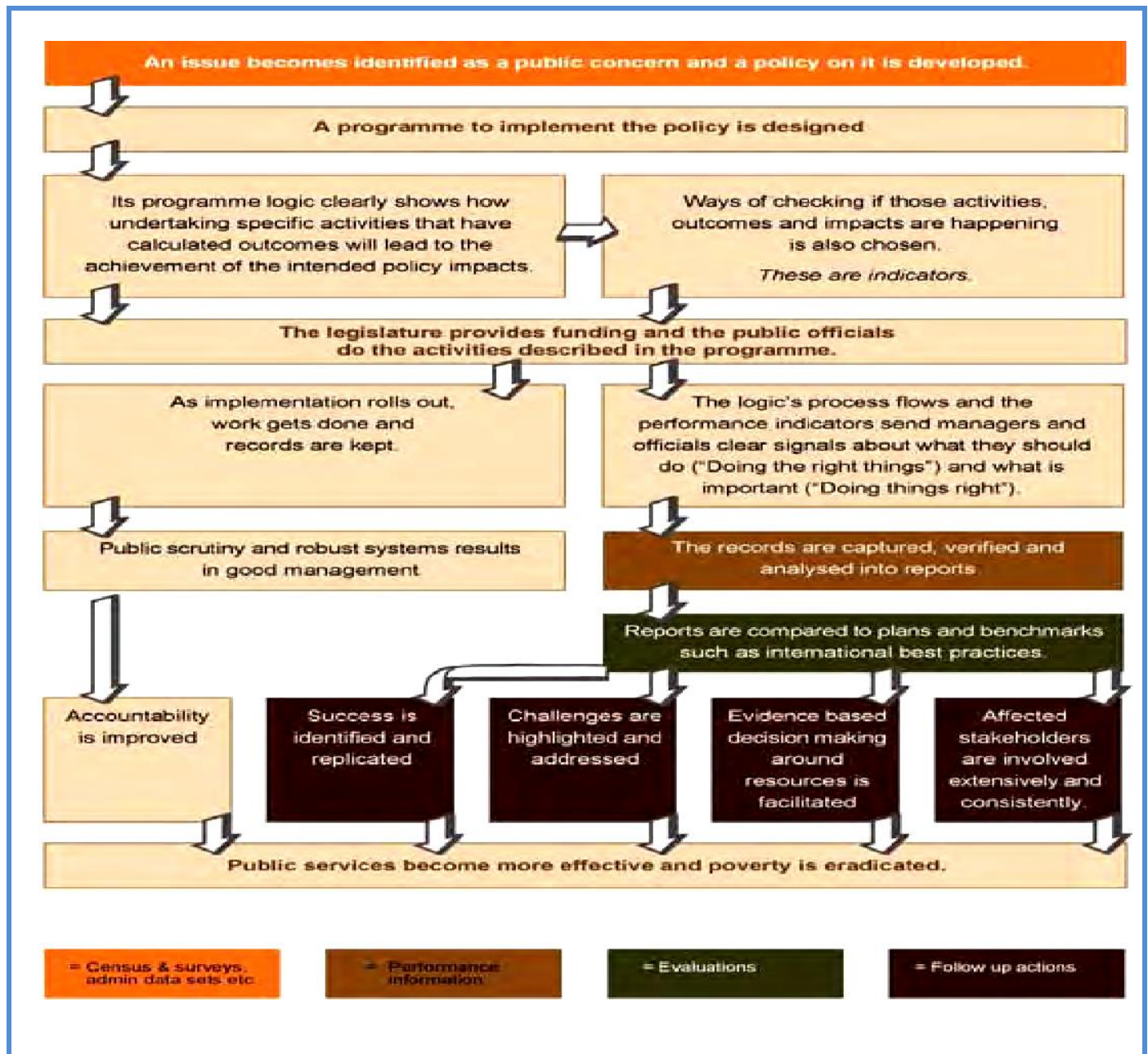
In 2009 a dedicated Ministry of Performance Monitoring and Evaluation (PME) in The Presidency signalled a new phase in the development trajectory of South Africa's public sector M&E systems. The ministry's establishment was triggered by a growing concern that although there was significant improvement in terms of access to basic services since the transition to democracy, the outcomes delivered in various areas have often been below standard. The increased spending on services has not always delivered the desired outcomes. The underlying causes for this differ from, among others, management weaknesses, inadequate leadership, lack of political will and inappropriate institutional design.

*A Policy Paper on Improving Government Outcomes* was introduced by the new Ministry in Parliament, delineating its approach. The policy's position draws on the current GWM&E system and broadens its scope through a specific emphasis on performance. This targeted at creating early warning systems which allow government to identify blockages in delivery times. Not only does the policy paper place major emphasis on monitoring at the level of politically decided outcomes, it also highlights the necessity for an understanding of all the fundamental stages in the delivery chain which will support government to achieve these outcomes. Even though monitoring only for outcomes sounds operationally correct, setting and monitoring outcomes alone is not likely to make a difference. In order to unblock service delivery, there needs

to be a more thorough understanding of managing delivery than the information provided by high-level outcomes. Cabinet requires data-driven and evidence-based strategies in order to improve the management of delivery and the activities between the input and the output stage. Therefore, it becomes paramount for South Africa's M&E system to know and gauge, on a consistent basis, the sequence of fundamental stages in the delivery chain leading to an outcome.

In the past decade significant headway has been achieved in the improvement of government performance with regards to service delivery in many areas, more attention has mainly been focused towards the improvement of operational management. South Africa has seen significant improvements in the services provided by the Department of Home Affairs turnaround time for processing and issuing of passports and identity documents and South African Revenue Service (SARS). Such examples are a clear indication that much can be accomplished when there are improvements in information technology, when productivity levels are set, measured and monitored and when there is standardisation and continuous improvement of work processes (Twenty Year Review, 2014:31). The Department of Performance Monitoring and Evaluation measures the quality of management practices at national, provincial and municipal levels and these are made public in government's attempts to increase accountability of managers.

Figure 3.8.7 M&E Processes



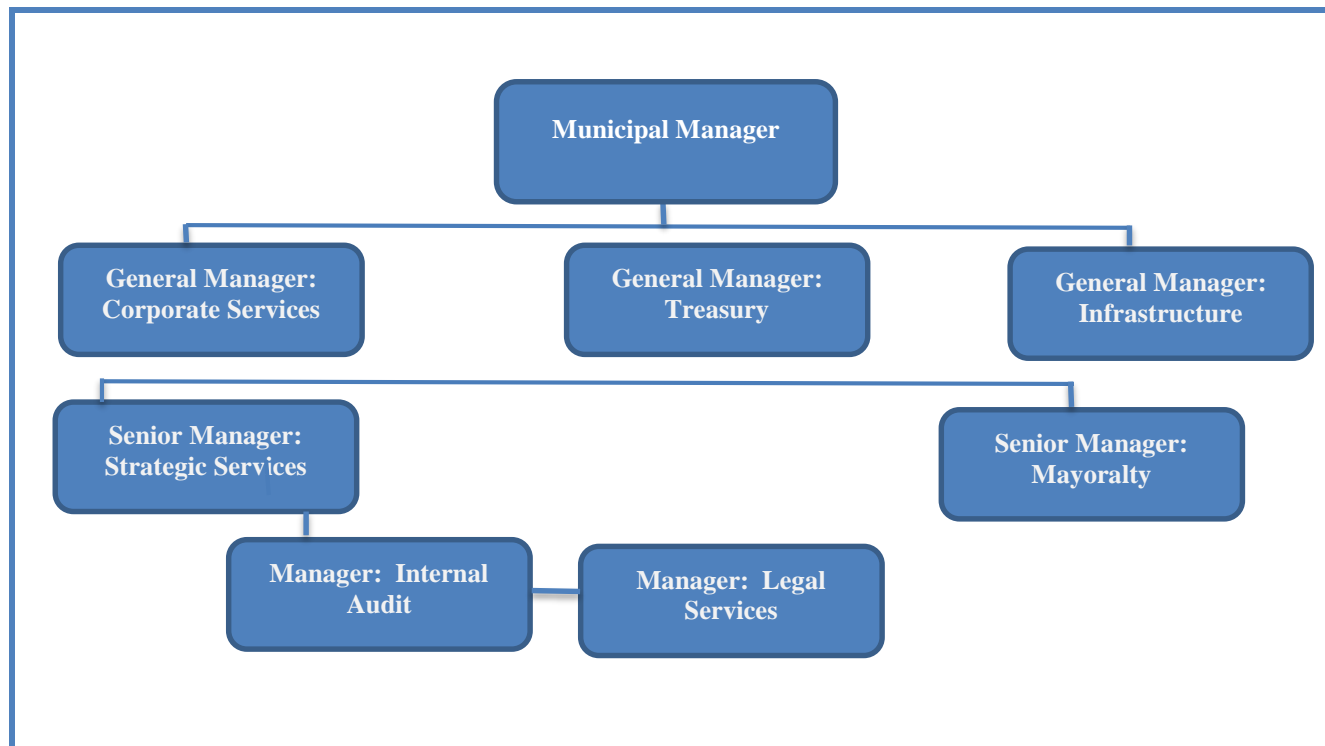
Source: (The Presidency, 2007)



### 3.8.8 GOVERNANCE ARRANGEMENTS FOR WATER AT UGU DISTRICT MUNICIPALITY.

In 2013, Ugu District Municipality adopted the Operational Performance Management System (OPMS) policy and procedural framework. This framework guides the cycle and processes of performance planning of the Municipality, implementation, monitoring, evaluation, auditing and quality control of water service delivery. A broad and intricate system of monitoring municipal performance has been legislated in the local government context. The policy framework, set out in the Local Government Municipal Systems Act (2000) and The Municipal Performance Regulations (2006), aims to put in place a results-based performance measurement tool to review performance, and track progress in achieving desired outcomes. Ugu's policy framework therefore ensures uniformity and the standardized application of performance management processes in order to ensure that accountabilities, responsibilities, data, and process control points are clear at any stage.

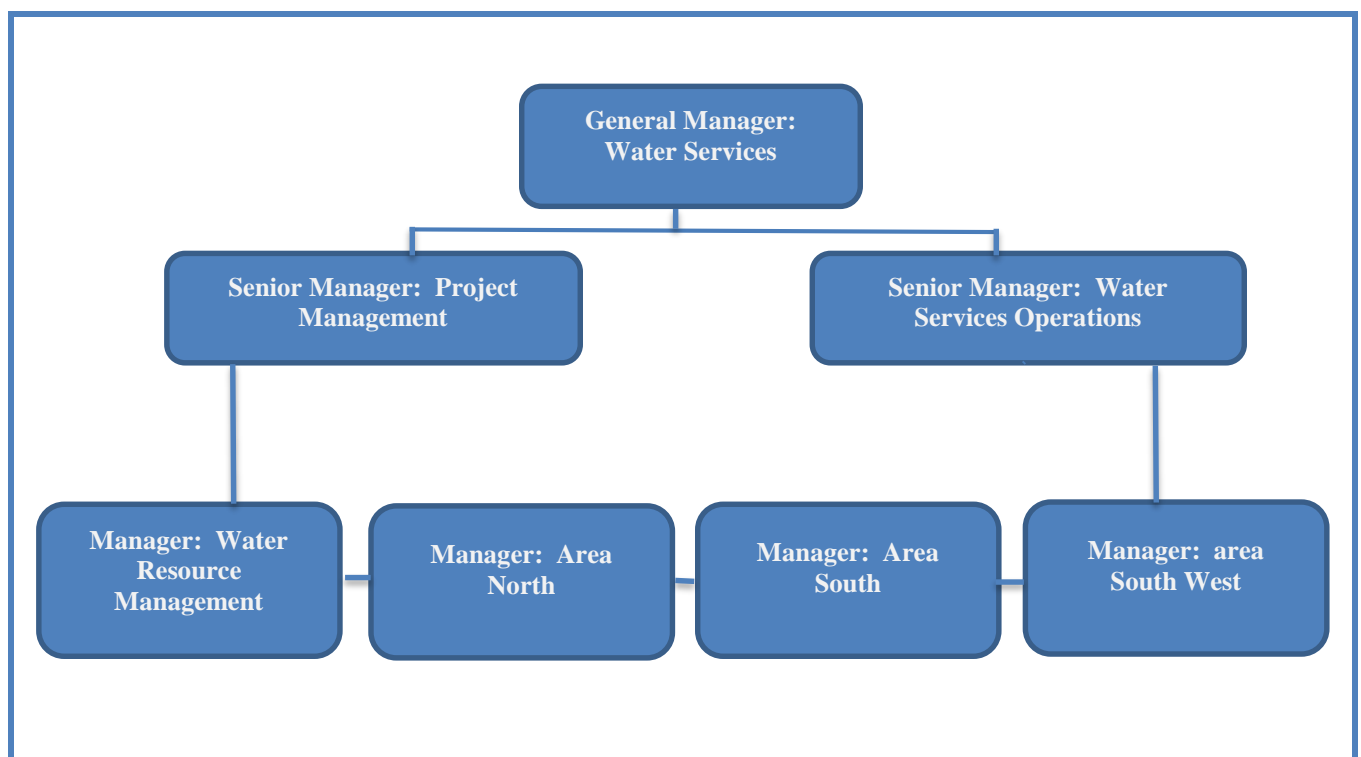
*Figure 3.8.8.1 Ugu District Municipality Management Committee*



*Source: (Ugu District Municipality, 2017)*

The Management Committee plays an important role as both leader and decision-maker within Ugu District Municipality. Responsibilities include establishing the ethical principles, fundamental values and strategic direction that the Municipality operates in. This includes ensuring that everything that the Municipality achieves is in support of its vision, purpose and aims. The Management Committee oversees the monitoring and evaluation of all areas of the Municipality's performance. They make sure that there is compliance with all relevant legal and regulatory prescripts and seek direction around any uncertainties. The Management Committee sees to it that the Municipality operates within the prescripts of its governing document. They make sure that all property, financial and human resources are appropriately utilized, managed and accounted for. This is achieved through ensuring that accountability mechanisms and systems are in place and kept up to date. The committee's role involves ensuring that appropriate procedures and policies are available for staff, and that these are well managed and supported.

***Figure 3.8.8.2 Ugu District Municipality Water Services Department***



***Source: (Ugu District Municipality, 2017)***

The Water Services department is responsible for the provision of Water, Sanitation and Environmental Services. Water Services Operations incorporates: mechanical workshops, laboratory services, operation and maintenance of water and sewage treatment plants, sewer and water reticulation systems. The Water Services Department also deals with development control and plan approvals, water resources planning, design and the drawing office. The Project Management Unit comprises of the leakage division, meter section and pipe extensions. This unit also has an administration component comprising of information management and document control with respect to staff issues, budget control, cash flows, statistics, policies and fleet management.

The Municipality's IDP outlines how the sustainable development challenges of in the Municipality are to be achieved through strategic service delivery interventions over the five year period. The Municipality in conjunction with the community develop a credible IDP and ensure that it is supported by a realistic budget. Integrated development planning, budgeting and performance management at Ugu Municipality serve as vital instruments in assisting the Municipality to develop an integrated developmental perspective in the area. The performance management system monitors water service delivery progress and provides focus towards priorities within an increasingly complex and varied set of demands.

The Municipality's performance management system (PMS) monitors actual performance against set targets and contractual obligations. The purpose of measuring performance is to make sure that what gets measured gets done. Effective service delivery relies upon the IDP, efficient utilization of resources and the integration of PMS across all functions at organizational and individual levels. Once performance planning has been completed and departmental SDBIP's are in place, the next step is implementation through the execution of activities in accordance with these plans. As activities are executed, they must be continuously monitored and periodically measured and reported on. Reporting requires that the Municipality takes the organization's priorities, its performance goals, indicators, targets, assessments and analysis, and present this information in a simple and accessible format, which meets all the legal prescripts for reporting.

The monitoring and evaluation framework/model applied to assess water service delivery at Ugu District Municipality is based on the following:

**Figure 3.8.8.3 Water Service Delivery Monitoring and Evaluation Framework**

| OBJECTIVE   | TARGET   | BASELINE   | INDICATOR  |
|---|--|--|--|
| Ensuring that citizens have reliable access to clean water in a way that respects their rights, dignity, and natural environment are respected. | % of target population as per IDP and SDBIP prescripts | Existing number of households with access to safe water within RDP standards | % of target population with access to safe water - aimed at measuring accessibility of reliable water sources. |

**Source:** (Ugu District Municipality, 2017)

### **3.9 SUMMARY**

South Africa has come a long way in its attempts establish a clear structure of systematic policy monitoring and evaluation. This chapter has provided the conceptual framework which underpins the study by affording the reader a critical appraisal of different regulations that advocate for the paramount obligation of South Africa as a state in ensuring that citizens access safe water. This chapter also attempted to address the research questions by interrogating the evolution of Monitoring and Evaluation in South Africa and its bearing on improved service delivery.

## **CHAPTER FOUR: RESEARCH METHODOLOGY**

### **4.1 INTRODUCTION**

The discussion that follows is on the research methodology, philosophy and design of the study. The justification for the choice of study will be given by understanding the distinction between qualitative and quantitative methodologies. This is an empirical study because its aim is to discern the reality of the situation. Therefore, due to its nature, this enquiry dictates that data or factual information be gathered through systematic enquiry. The research design applicable to this study was exploratory in nature. This enabled the researcher to obtain broader insight into the existing challenges that the municipality experiences with regards to water service delivery, and more insight into how alternatives could be introduced to promote more efficient water service delivery for the residents of Ugu District Municipality. A case study method was adopted through the application of an in- depth qualitative approach. An interview transcript was designed based on the existing literature, in the field of monitoring and evaluation. A survey was also used as part of the data collection mechanisms. A survey was used because it complements the quantitative research paradigm while the case study compliments the qualitative research style. The best choice of methodology was chosen and justified to fit the aims of the study. The population and the sampling thereof are discussed and sampling methodology is justified based on the adopted research design. Finally the ethical considerations that guided the research from the perspective of the participant and the other stakeholders are delineated. The approach did not lose sight of the primary focus of the study which was based on the monitoring and evaluation mechanisms for water service delivery at Ugu District Municipality.

### **4.2 THE RESEARCH DESIGN**

Smith, Thorpe and Lowe (2002: 43) explain that research designs are about organising research activity, including collection of data, in ways that are most likely to achieve the research aims. Kothari (2004: 32) explains that a research design is needed because it facilitates the smooth sailing of the various research operations, thus making research as efficient as possible, yielding maximal information with minimal expenditure of resources. Paratoo (1997: 142) describes a research

design as a plan that describes how, when and where data are to be collected and analysed Research design is generally grounded on two methods of data collection namely; quantitative and qualitative research methodology. Both methods can be used together depending on the nature of the study. According to Myers (2013:7), quantitative research methods were originally developed in the natural sciences to study natural phenomena. The motivation for doing qualitative research, as opposed to quantitative research, comes from the observation that, if there is one thing which distinguishes humans from the natural world, it is our ability to talk (Goodman, 2011:9). Qualitative research methods are designed to help researchers understand people and the social and cultural contexts within which they live. Kaplan & Maxwell (1994:34) argue that the goal of understanding a phenomenon from the point of view of the participants and its particular social and institutional context is largely lost when textual data are quantified.

A mixed method approach was employed for the purpose of this study. Mixed methods research involves the collection of data that is both quantitative and qualitative (Cresswell, 2014: 217). This was done in the form of an exploratory sequential mixed methods approach (Cresswell, 2014: 220). It took place in three phases, beginning with qualitative data collection (interview schedule), proceeding to quantitative data collection (questionnaires) and data analysis.

This study seeks to form an in-depth understanding of the monitoring and evaluation mechanisms in South Africa particularly in Ugu district municipality. Qualitative study considers alternatives notions of knowledge and it understands that reality is socially constructed. It showcases a variety of meanings and truths, and draws on a belief in and support of a researcher's active role in the research process (Brennen, 2017:4). In most instances qualitative investigation adds a small dimension and only focuses on a single or small number of cases, and they provide depth and contextualised detail (Giacomini and Cook, 2000: 358). For that reason a qualitative approach was deemed appropriate for this study.

The research design used for this research was a mixed method type (quantitative and qualitative). The rationale for mixing is that neither quantitative nor qualitative methods are sufficient by themselves to capture the trends and details of the monitoring and evaluation mechanisms for water service delivery situation in Ugu district municipality. When used in combination, quantitative and

qualitative methods reinforce each other and allow for more complete analysis (Zubir and Brebbia, 2013:441).

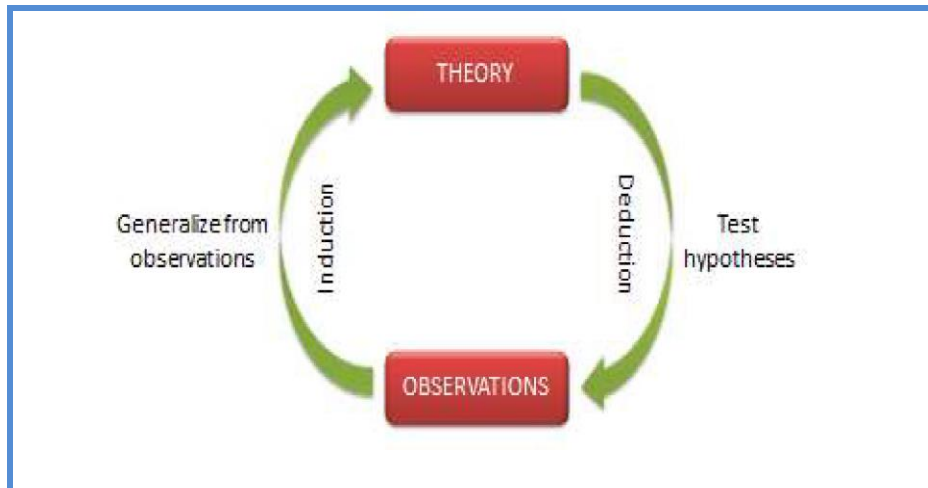
Bryman (2006: 98) points out that mixed method research involves collecting and analysing data to characterise a group, concept or phenomenon. It can use quantitative or qualitative methodologies. Quantitative descriptive methodologies include surveys, measurement tools, charts and record reviews (Bryman, 2006: 111). The mixed method research approach has been chosen because it is able to aptly describe the opinions, perceptions, and beliefs about inequality, monitoring and evaluation mechanisms in Ugu district. The mixed method has several strengths such as the ability to confirm findings, test theory and obtain breadth and depth on a research topic. The major drawbacks include prolonged time to conduct the study, complexity in putting the method into practice and cost implications. Thus proper planning, an appropriate design/strategy, and funding were required to carry out the mixed method effectively and efficiently (Johnson and Onwuegbuzie, 2004:57).

#### **4.3 THE RESEARCH PHILOSOPHY**

Smith, Flowers, and Larkin (2009:11) argue that phenomenology is philosophical methodology to study humans in a natural setting while Lewis and Thornhill (2009: 480) argue that the qualitative study is non-numerical data or data that has to be further quantified. Creswell (2011:17) and Smith et al (2009: 11) argued that the phenomenological (qualitative) research method identifies (the phenomenon) the issues at hand, in this case the monitoring and evaluation mechanisms for water service delivery.

In the diagram below Bhattacharjee (2012:4) sets out the principles that are used to guide the phenomenological (inductive) and positivist (deductive) approaches to research. These phenomenological principles will guide the study on monitoring and evaluation mechanisms for water service delivery.

**Figure 4.1 The Cycle of Research**



**Source: Bhattacharjee (2012:4)**

Smith et al. (2002: 27) also state that there are at least three reasons why understanding of the philosophical issues is very useful:

It can clarify the research design. This not only involves considering what kind of evidence is required and how it is gathered and interpreted, but also how this will provide good answers to the basic questions being investigated in the research.

Knowledge of philosophy can help one recognise which designs will work and which will not.

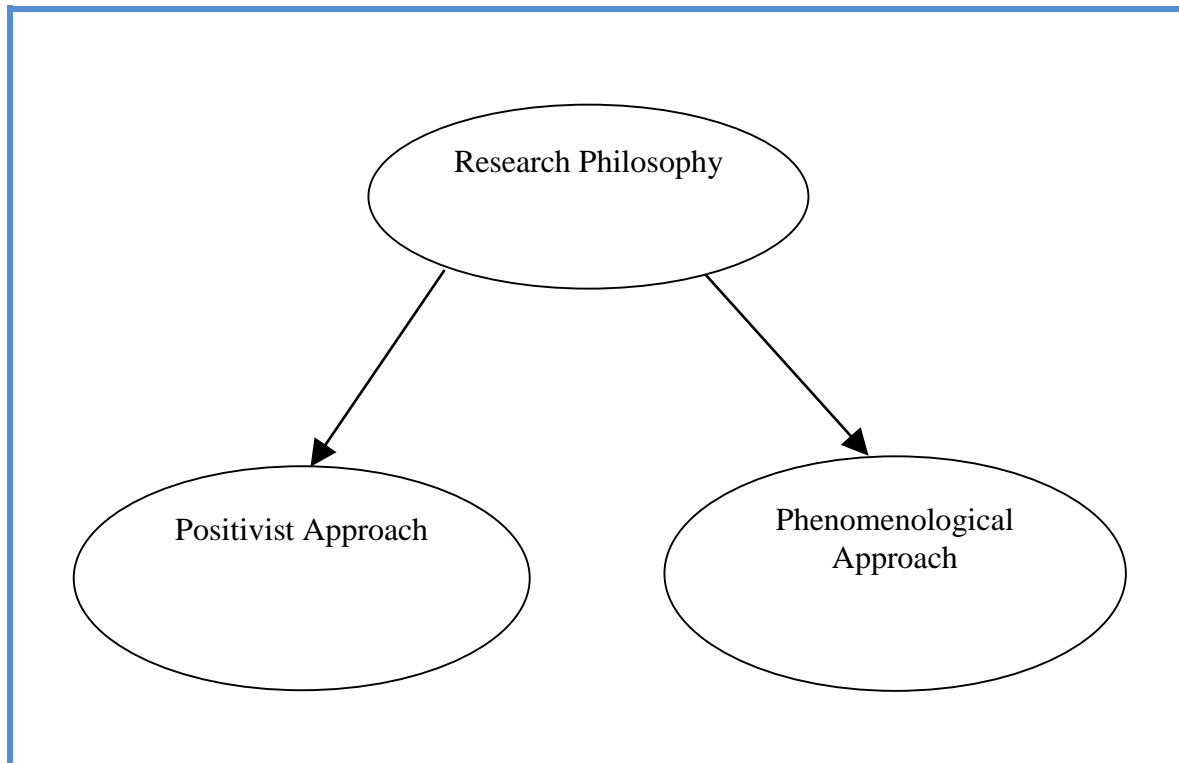
Knowledge of philosophy can help one identify and even create designs that may be outside one's past experience. It may also suggest how to adapt research designs according to the constraints of different subject or knowledge structures.



According to Krishnaswamy, Sivakumar and Mathirajan (2006: 561), there are two recognised research paradigms:

- The quantitative (positivist); and
- The qualitative (phenomenological).

**Figure 4.2 Research Philosophy Alternatives**



*Source: Krishnaswamy et al. (2006:561)*

#### **4.4 RESEARCH STRATEGIES**

There are two main categories of research methodology which are qualitative and quantitative (Mora, 2010: 1). According to Narasimhan (2013: 941), a quantitative and qualitative research method contributes to management research and is essential for theory building and knowledge development. Furthermore, qualitative research approaches contribute to theory building and progression of knowledge to afford new conceptualisations of monitoring and evaluation mechanisms. A qualitative approach was selected to gain a wide view of the study. This

methodology was used to determine and discover how the implementation of lean six sigma affects the organisation. The table below sets out the characteristics of both quantitative and qualitative research that have been rigorously tested and will be applied to the study.

The table below summarises the main features of the two paradigms as they relate to the research methodology.

**Table 4.2 Quantitative versus Qualitative Paradigm**

| Quantitative Paradigm                | Qualitative Paradigm                    |
|--------------------------------------|---|
| Tends to produce quantitative data   | Tends to produce qualitative data       |
| Uses large samples                   | Uses small samples                      |
| Concerned with hypothesis testing    | Concerned with generating theories      |
| Data is specific and precise         | Data is rich and subjective             |
| Location is artificial               | The location is neutral                 |
| Reliability is high                  | Reliability is low                      |
| Validity is low                      | Validity is high                        |
| Generalises from a sample population | Generalises from one setting to another |

*Source: Saunders (2007:145)*

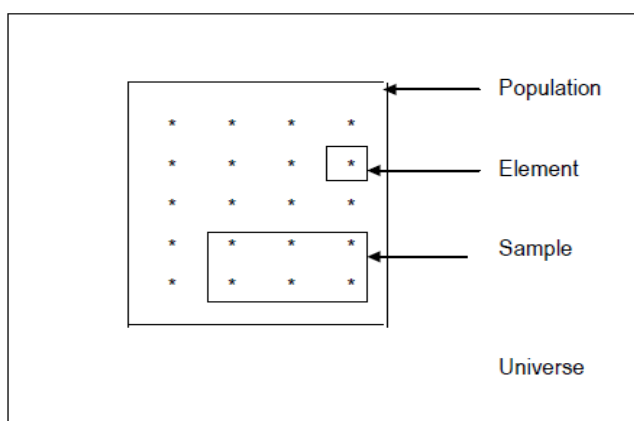
The positivist approach is used for the purpose of this study, as it comprises quantitative analysis of data gathered by surveys, which is the essence of how data will be collected and analysed for this research. Bess and Dee (2008: 468) mention that the positivist approach helps anticipate future

conditions and helps make more accurate predictions. It also allows participants to be more confident about the results and has the advantage of reducing complexities.

#### 4.5 TARGET POPULATION

Saunders, Lewis and Thornhill (2009) state that the whole population is not always likely to participate in the study due to inability to contact all of the population, the cost of contacting, adequacy of sample results and the time consuming effort. According to Creswell (2011: 68), the researcher will do a theoretical extrapolation of the population that is finite which in this instance are various Portfolio Committees. The data was obtained from the Ugu District Municipality's 2013/2014 Annual Report; the Municipality has a total of eight hundred and sixty two (862) employees. Six hundred and five of these employees are located within Water Services which constitutes seventy (70) per cent of the total number of employees of the Municipality. Therefore the target population for this study comprises of the officials of Ugu District Municipality as well as the political office bearers. Cant, Gerber-Nel, Nel and Kotze (2003: 47) define a population as the total group of people from whom the information is needed and the target population that is selected to participate in the study.

**Figure 4.3: Target Population**



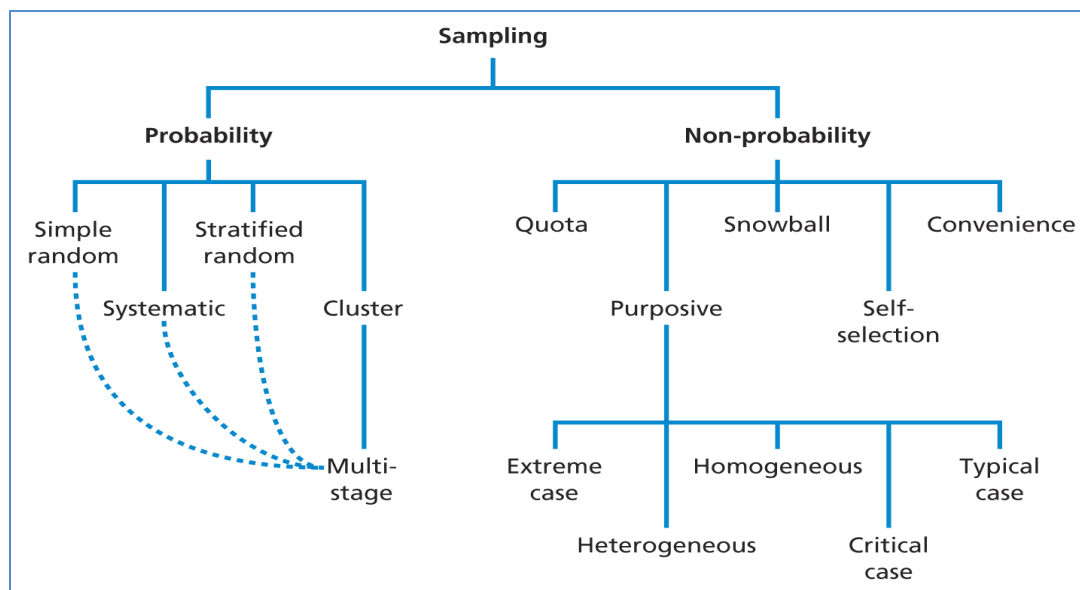
*Source: Saunders et al. (2009)*

### 4.5.1 Sampling

Welman, Kruger and Mitchell (2010: 48) point out that the sampling structure is used to categorize the elements of the population, denoted to be part of the survey population which is a subcategory of the target population. Cooper and Schindler (2011: 364) came to a similar conclusion that sampling is the selection of a few elements in a population from which inferences will be extrapolated about the whole population. In this study a non-probable sample will be of Category A: Political Office Bearers, Category B: Senior Finance Managers (including the Municipal Manager) and Category C: Managers and Officials:

Saunders, Lewis and Thornhill (2009: 218) identified that the sample size is regulated by the size of the population, the assurance level of data, the error margin and the nature of data analysis. Furthermore, Saunders et al. (2009) expounded that the greater the sample size the better representative is the sample of the population. Cooper and Schindler (2011: 370) and Saunders, Lewis and Thornhill (2009: 213) concur that non- probability sampling on a problem definition tree can be between quota and snowball for a purposive sampling from the entire population.

**Figure 4.4: Sampling Techniques**



**Source: Saunders, Lewis and Thornhill (2009: 213)**

## **4.6 THE RESEARCH INSTRUMENT**

For this study there were two types of research instruments, the interview (qualitative) and the questionnaire (quantitative) approach.

### **4.6.1 Qualitative**

Qualitative research is undertaken in order to understand the information that lies behind a problem. Data is usually collected in the participant's environment, while it is the researcher's task to ascribe meaning to this data (Cresswell, 2014: 4). The qualitative section consisted of two phases.

#### ***4.6.1.1 Phase one - Experts Interviews***

The first phase consisted of interviewing at least ten officials of Ugu District municipality. Sampling for this group was based on judgement which is a purposive sampling method. This method describes selecting candidates who are most well placed to provide the information that is required (Sekaran and Bougie 2010: 277).

Participants were recruited by means of a personal request either via telephone or e-mail, once the correct persons are established. A permission letter was sought from the municipality prior to interviews taking place. Participants in the interviews were also provided with a letter of information and informed consent. The interviews were documented, with the permission of the interviewees.

### **4.6.2 Quantitative**

Quantitative methods make use of hypotheses which are proposed and then tested (Leedy 1993: 143). The quantitative measurements obtained from the tests are used to make generalisations based on the representativeness of the sample and how valid the design is (Cooper and Schindler 2011: 137)

Questions were derived from the interviews and focus groups as well as validated items from previous research which will be gathered from the literature review. A pilot study was used to evaluate potential questions for content and face validity after which any items that are seen to be unclear, unrepresentative or ambiguous were removed, once deemed necessary. A draft questionnaire can be found attached in the addendum. Data was collected by means of a web survey with the help of an assistant researcher. E-mail cover letters was sent to members of the database asking for their voluntary participation in the research. Permission was obtained from the Executive Committee (EXCO). Participants were offered the alternative of a paper version of the survey via email or fax, should they so wish.

#### ***4.6.2.1 Questionnaire***

The questionnaire began with closed, fixed-response type questions, immediately followed by open ended questions which allowed participants to give a voice and offer further explanations which assisted with synthesising the findings. Open ended questions produce greater detail and depth; they are greatly favoured by qualitative researchers (Royce, 2008:184). The quantitative survey instrument was pre-tested in a pilot study constituting two participants to ensure that the questions are clear and concise.

### **4.7 PILOT STUDY**

Saunders et al. (2009: 394) states that a pilot test should be done to collect actual data. A pilot study is a smaller version of the greater study. Banuelas, Tennant, Tuersley, and Tang (2006: 520) observed that pilot studies are characterised by initial or small-scale effort designed to test the applicability. The sole purpose of the pilot study is to interview two belts trained in lean and SS in an effort to see if the results answer the research questions and that the questions are understandable. Two municipal officials were chosen to do the pilot study to then refine the interview script to see if it is understandable. The pilot was conducted in Ugu district.

## **4.8 DATA ANALYSIS**

### **4.8.1 Qualitative**

Saunders *et. al* (2012: 575) postulated that the collection of data using narratives reflects the experience of the research participants. Further, Saunders et al. argue that through an analysis of the narratives, meaning is derived from the fragmented data. For this research study, thematic or content analysis is used to evaluate the monitoring and evaluation mechanisms for water service delivery at Ugu District Municipality.

#### ***4.8.1.1 Thematic Analysis***

Creswell (2013: 235) expounds that thematic analysis being a qualitative data analysis method identifies patterns and merging themes in the data set. In addition, thematic analysis makes provision for rich, comprehensive and multi-dimensional description of data (Braun & Clark, 2006:81-82).

#### ***4.8.1.2 Six Steps of Thematic Analysis***

Creswell (2009: 185-186) states that thematic analysis has six clearly defined phases that ensure clarity and rigour in the data analysis process. Herein below the six steps for data analysis are discussed:

*Step 1* entails the preparation and organisation of the data for data analysis. The recorded interviews are transcribed and sorting the data according to general themes. According to Saunders et al. (2009:339), an audio recording will be used to gain an in-depth understanding of lean six sigma concepts. A professional transcriber was used to transcribe the interviewee data. Every word including utterances will be used to get the natural thoughts of the interviewee even if they have grammatical errors.

*Step 2* involves reading through the transcribed transcripts to obtain a general overview of the data. During this process the researcher is required to gain an overall understanding of what the data reflects.

*Step 3* includes the organisation of the data set into broad segments before translating meaning to the text.

*Step 4* proposes the description and identification of themes. The researcher generates five to seven themes that will be regarded as the major findings and is used to create focal points of discussion in the dissertation report.

In *Step 5*, the researcher makes a decision on the presentation of the findings. The most common approach is to use narrative passages to highlight the findings of the study.

For *step 6* the data and emerging themes are interpreted to convey meaning by using the extant literature as a framework.

For the purposes of this study, the data was analysed using a professional transcriber and organised to present the findings of the study

#### **4.8.2 Quantitative**

Data was analysed making use of the appropriate descriptive and inferential statistical techniques. The quantitative data was analysed and interpreted with the assistance of tools such as Statistical Package for the Social Sciences (SPSS) or Stata. Stata is a full-featured statistical programming language for Windows, Mac OS X, Unix and Linux. This involves descriptive statistics (frequency, percentage, distribution and cumulative shares) and inferential statistics (*t-test, chi-square and correlation coefficient*) (Tashakkori, and Teddlie, 2003:78). The integration of qualitative and quantitative data was employed during the final phase of the analysis (Tashakkori and Teddlie, 2003:78).

### **4.9 VALIDITY AND RELIABILITY**

#### **4.9.1 Validity**

Cooper and Schindler (2008:289) define validity as the extent to which a test measures what one actually wishes to measure. Taylor, Koper, and Woods, (2011:152) add that if a method is valid, differences in the result between individuals or groups or organisations can be taken as representing true differences in the characteristics under study. There are four specific types of validity, according to Cooper and Schindler (2008:289), namely face validity, content validity,



criterion validity and concurrent validity. Each of these was established for the research instrument:

Face validity requires the research instrument to be relevant to participants in the study. Face validity was established by asking colleagues and individuals from the target population to comment on the relevant balance and adequacy of the research instrument in relation to the research objectives. Respondents were cooperative and agreed that there was frankness and no misinterpretation.

Content validity of a measuring instrument is the extent to which it provides adequate coverage of the investigative questions guiding the study (Cooper and Schindler, 2008:290). The questionnaire design covered the topics that had been defined as the relevant dimensions adequately.

Criterion validity, sometimes known as predictive validity, is concerned with the ability of the measures (questions) to make accurate predictions (Saunders et al., 2007:366). The validity criterion used is valid, as it was found to be relevant, free from bias, reliable and the information specified by the criterion was available.

Concurrent validity is a description of the present. It assesses the organisation's ability to distinguish groups that it should theoretically be able to distinguish (Trochim, 2009:24) Based on the level of responses to items in the research instrument, it was found that the new measure correlated with the criterion measure taken at the same time (Zikmund, 2003:303).

#### **4.9.2 Reliability**

Joppe (2002: 234) defines reliability as the extent to which results are consistent over time; hence reliability is the degree to which the instrument can be depended upon to yield consistent results if used repeatedly over time involving the same person. A pilot study was conducted in order to ensure the reliability of the data collection instrument.

#### **4.10 LIMITATIONS OF THE STUDY**

The research is limited in that it is confined to a single typology, namely water service delivery.

The study is a once-off event and cannot predict changes in monitoring and evaluation mechanisms for water service delivery.

The method of investigation is a mixed method as this kind of data collection sometimes is misleading.

The study is only based on one district municipality out of eleven in KwaZulu-Natal. This presents a need for further research to be conducted in other provinces as a means of enhancing the generalizability of studies such as this one

#### **4.11 ETHICAL CONSIDERATIONS**

Singh (2006: 219) states that data collection involves a range of ethical issues. The list with which this research will abide is as follows:

##### **4.11.1 Ensuring informed consent by participants**

All participants were made aware of the nature and details of the research being conducted. Participants were made aware of their right to discontinue their participation in the research study and were in no way coerced into participating in the study. Participants made an autonomous decision to participate in the study.

##### **4.11.2 Ensuring that participants are not exposed to any harm**

No physical or psychological stress, feelings of dignity, self-esteem or self-efficacy was compromised in this research. Other types of potential harm such as economic damage or financial costs, or harm to family and social groups did not occur.

##### **4.11.3 Ensuring participant anonymity and confidentiality**

As much as the participants were assured of anonymity and confidentiality, the risk of the participants being identified was discussed with them. The researcher accordingly considered a more nuanced view of consent. This suggested moving away from the assumption that every respondent desired ‘complete confidentiality’, and instead recognised that a participant in the research might want to receive recognition for some of or all of what he or she contributed. Participants were also fully informed about who the audience of the research project would

possibly be, so that they could make informed choices about what to share. The researcher was, however, careful to ensure that the names of the participants were not identifiable in print. Instead, pseudonyms were used and the descriptions of areas were disguised. The participants were also assured that the raw data that had been collected would be kept in a safe place where it would be accessible to the researcher only.

The identities of all participants were protected, as no names were mentioned in the research or the questionnaires. Reporting on the findings of this research study does not mention the identification of any participant.

#### **4.11.4 Ensuring that consent to conduct the study is obtained**

A memorandum was written to the Executive Committee (EXCO) in Ugu district municipality to obtain permission to conduct the study and a confidentiality agreement was signed. In this study, information was obtained directly from officials and employees who are located within Water Services which constitutes seventy (70) percent of the total number of employees of the municipality. The interviewees were ensured of confidentiality and anonymity by keeping their identification confidential and they were assured that no harm was anticipated to be caused upon the participants.

#### **4.12 SUMMARY**

In this chapter the research methodology that was selected to obtain the primary data for this study was discussed. A mixed method approach was employed for the purpose of this study. Mixed methods research involves the collection of data that is both quantitative and qualitative. This was done in the form of an exploratory sequential mixed methods approach. The mixed method research methodology was used primarily because it presented the ability to gather data from a large population and was found to be more objective in respect to the results to be gathered. The research instruments were also specified, as well as the sampling method used. Qualitative data was collected from the senior managers and the executive committee members of the Municipality, while quantitative data was collected from all participants (officials, senior managers and

executive committee members). This chapter also discussed ethical issues which ensured that no harm was caused to participants. The next chapter presents the data collection process which includes an analysis and findings of the primary data.

## **CHAPTER FIVE: DATA COLLECTION, PRESENTATION AND ANALYSIS OF RESULTS**

### **5.1 INTRODUCTION**

For this research study, thematic or content analysis was used to evaluate the monitoring and evaluation mechanisms for water service delivery at Ugu District Municipality. The gathering and measuring of information on variables for this research was done with respondents from Ugu District Municipality. An instrument in a form of a questionnaire was distributed to the identified sample and the participants responded to questions. An analytical process of the returned questionnaires in a form of coding was done to facilitate analysis which transformed the data into a form understandable by computer software. The questionnaires were then captured and analysed using SPSS. Below, the results are analysed and presented in the form of tables, figures and statistical analysis.

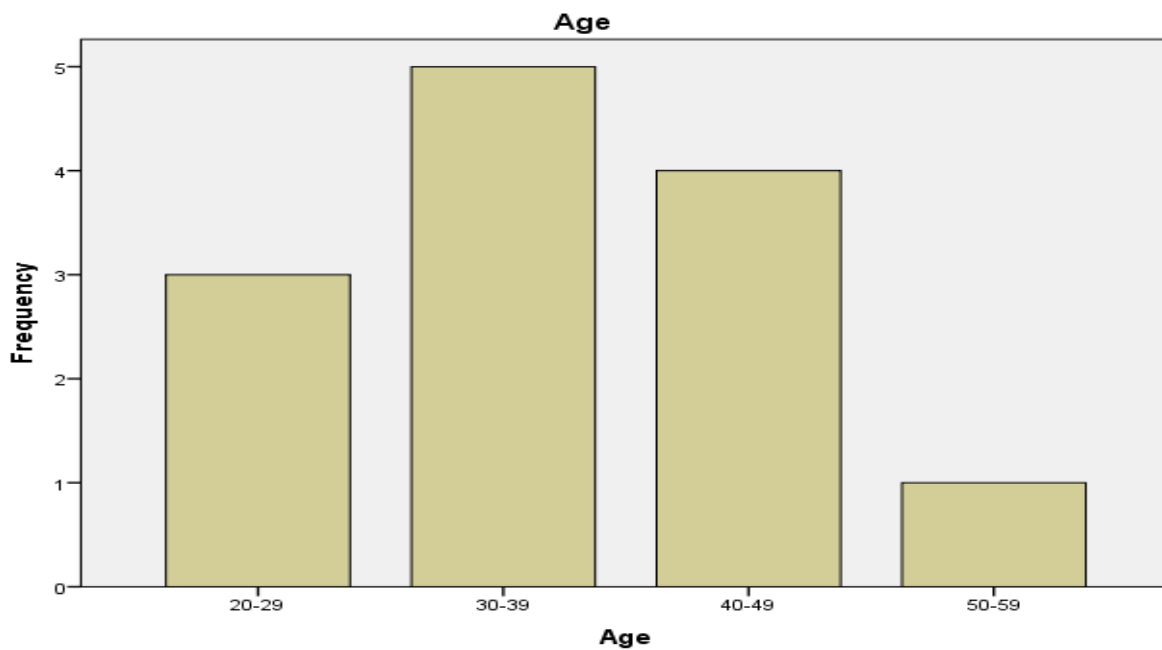
#### **5.1.1 METHODOLOGY ADOPTED**

The data from completed survey questionnaires were coded and captured in SPSS (Statistical Package for Social Science) version 23, for Windows and used for descriptive and inferential analysis. The results from the data analysis are also presented in this section. The findings of the research are discussed in the light of the literature. By interpreting the statistical analysis of the data collected, the extent of the research objectives are met and the research questions are answered is demonstrated.

A total of thirteen questionnaires were received out of thirteen questionnaires distributed. All the questionnaires received were sufficiently completed for statistical analysis. This represents a 100% usability rate.

**Table 5.2 Age Distribution of respondents**

| Age         |           |          |                |                    |
|-------------|-----------|----------|----------------|--------------------|
|             | Frequency | Per cent | Valid Per cent | Cumulative Percent |
| Valid 20-29 | 3         | 23.1     | 23.1           | 23.1               |
| 30-39       | 5         | 38.5     | 38.5           | 61.5               |
| 40-49       | 4         | 30.8     | 30.8           | 92.3               |
| 50-59       | 1         | 7.7      | 7.7            | 100.0              |
| Total       | 13        | 100.0    | 100.0          |                    |



**Figure 5.2 Age Distribution of respondents**

Table 5.2 and Figure 5.2 reveal the age of respondents in this research. The largest percentage of the respondents fell in the 30-39 years group (38.5%), followed by the group 40-49 years (30.8%), 20-29 years (23.1%) and 50-69 years (7.7%).

**Table 5.3 Gender Distribution of Respondents**

| Gender  |        | Frequency | Percent | Valid Per cent | Cumulative Per cent |
|---------|--------|-----------|---------|----------------|---------------------|
| Valid   | Male   | 5         | 38.5    | 45.5           | 45.5                |
|         | Female | 6         | 46.2    | 54.5           | 100.0               |
|         | Total  | 11        | 84.6    | 100.0          |                     |
| Missing | System | 2         | 15.4    |                |                     |
| Total   |        | 13        | 100.0   |                |                     |

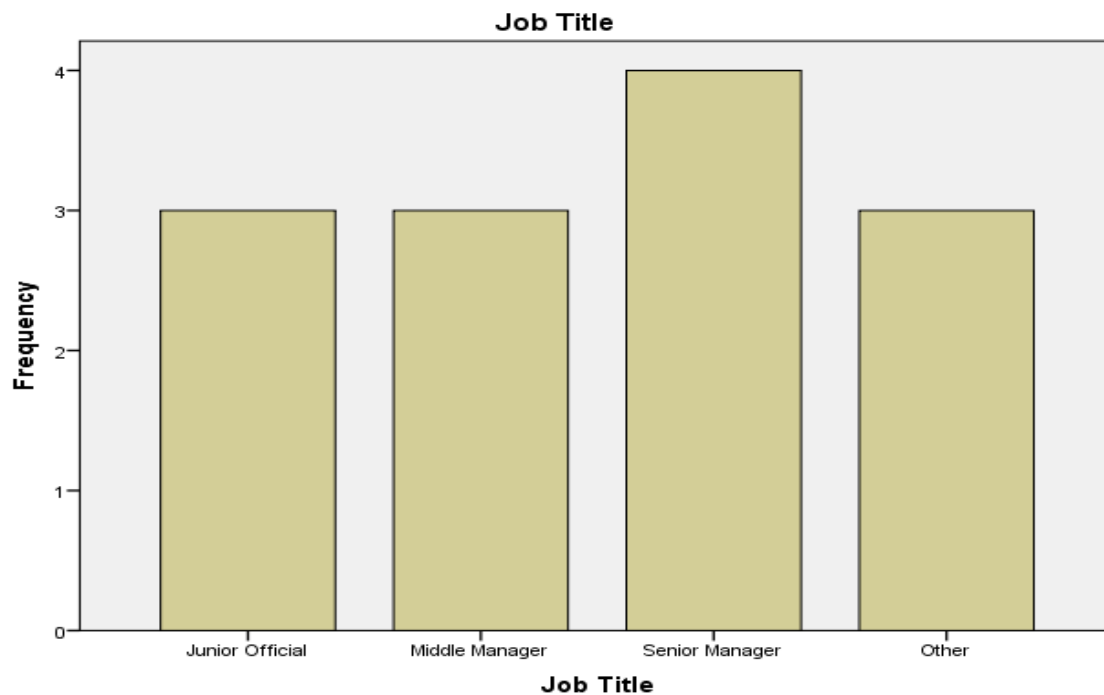


**Figure 5.3 Gender Distribution of Respondents**

Table 5.3 and Figure 5.3 reveal gender of respondents in this research. The highest gender of participants in this research is female (46.2%), followed by male (38.5%) and no response (15.5%).

**Table 5.4 Job Title Distribution of Respondents**

| Job Title |                 | Frequency | Percent | Valid Percent | Cumulative Percent |
|-----------|-----------------|-----------|---------|---------------|--------------------|
| Valid     | Junior Official | 3         | 23.1    | 23.1          | 23.1               |
|           | Middle Manager  | 3         | 23.1    | 23.1          | 46.2               |
|           | Senior Manager  | 4         | 30.8    | 30.8          | 76.9               |
|           | Other           | 3         | 23.1    | 23.1          | 100.0              |
|           | Total           | 13        | 100.0   | 100.0         |                    |



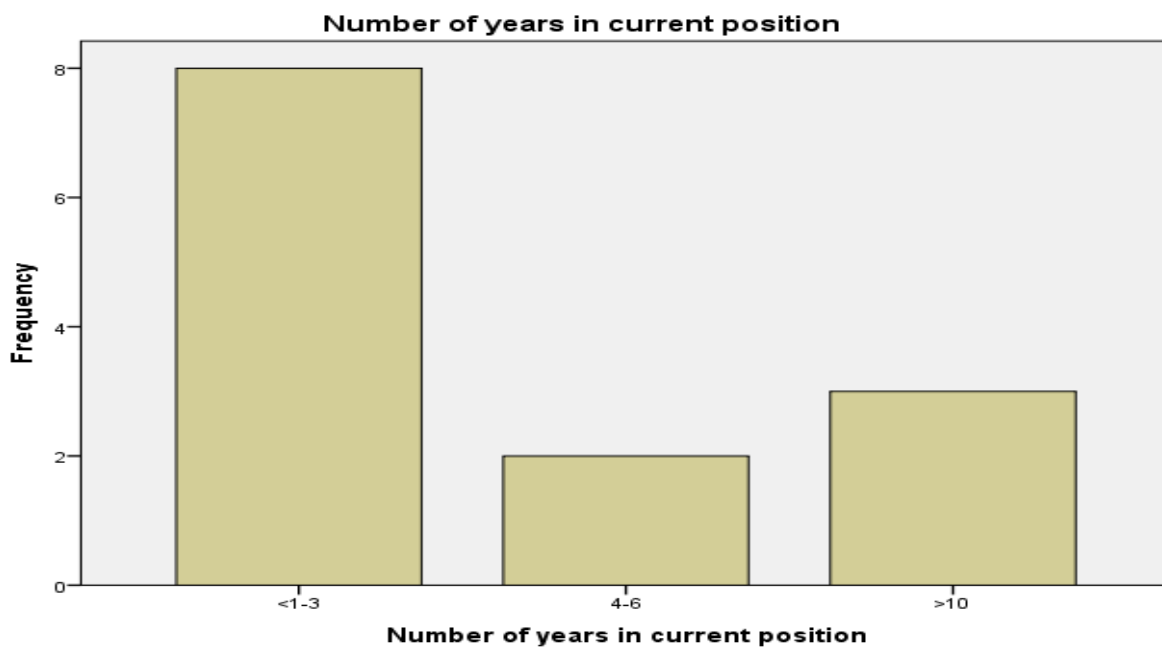
**Figure 5.4 Job Title Distribution of Respondents**

Table 5.4 and Figure 5.4 reveal job title of respondents in this research. The highest job title of participants in this research is senior manager at (30.8%), followed by middle manager at (23.1%), junior manager (23.1%) and other also at (23.1%).



**Table 5.5 Number of years in current position (Distribution of Respondents)**

| Number of years in current position |           |         |               |                    |
|-------------------------------------|-----------|---------|---------------|--------------------|
|                                     | Frequency | Percent | Valid Percent | Cumulative Percent |
| Valid <1-3                          | 8         | 61.5    | 61.5          | 61.5               |
| 4-6                                 | 2         | 15.4    | 15.4          | 76.9               |
| >10                                 | 3         | 23.1    | 23.1          | 100.0              |
| Total                               | 13        | 100.0   | 100.0         |                    |

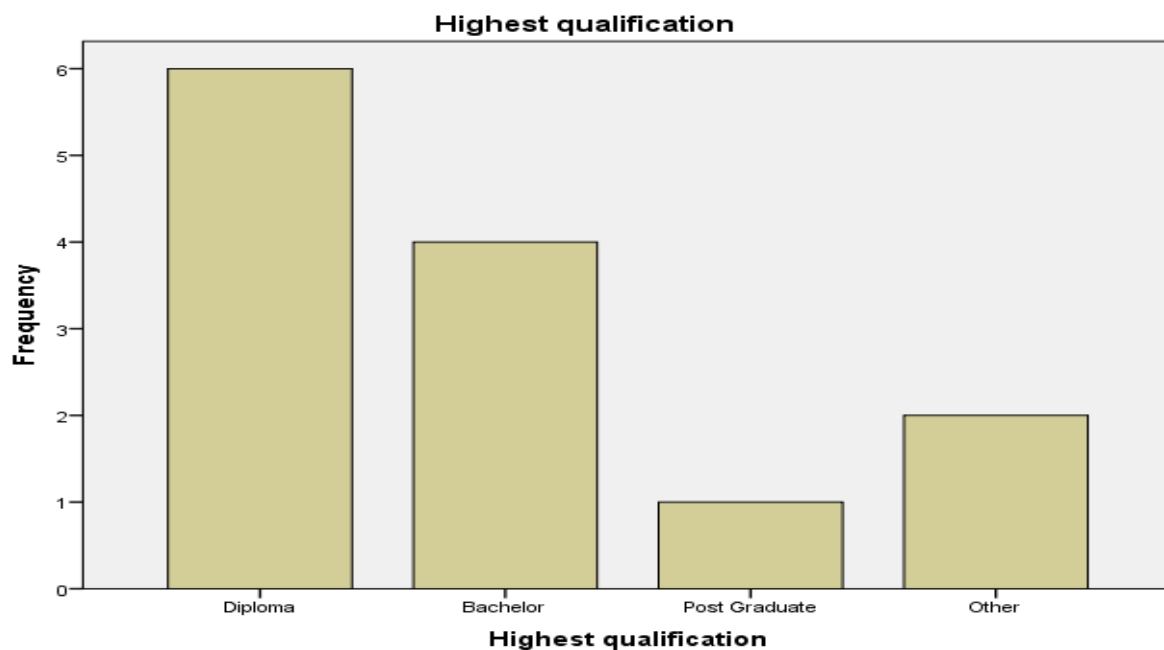


**Figure 5.5 Number of years in current position (Distribution of Respondents)**

Table 5.5 and Figure 5.5 reveal the number of years in current position of respondents in this research. The highest number of years in current position of participants in this research is 1-3 at (61.5%), followed by >10 at (23.1 and 4-6 at (15.4 %).

**Table 5.6 Highest Qualification Distribution of Respondents**

| <b>Highest qualification</b> |           |         |               |                    |
|------------------------------|-----------|---------|---------------|--------------------|
|                              | Frequency | Percent | Valid Percent | Cumulative Percent |
| Valid Diploma                | 6         | 46.2    | 46.2          | 46.2               |
| Bachelor                     | 4         | 30.8    | 30.8          | 76.9               |
| Post Graduate                | 1         | 7.7     | 7.7           | 84.6               |
| Other                        | 2         | 15.4    | 15.4          | 100.0              |
| Total                        | 13        | 100.0   | 100.0         |                    |



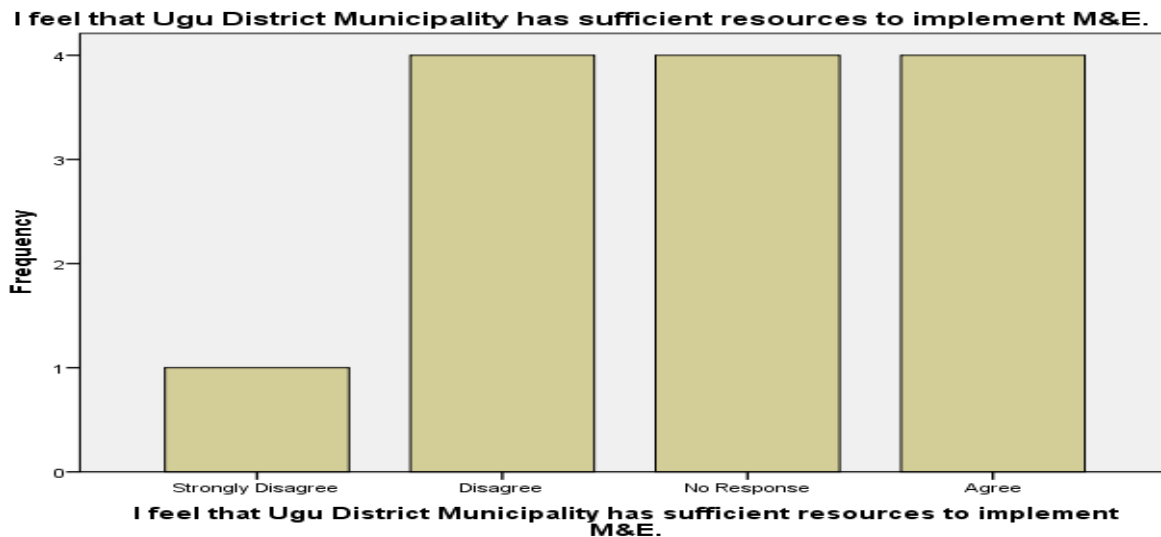
**Figure 5.6 Highest Qualification Distribution of Respondents**

Table 5.6 and Figure 5.6 reveal the highest qualification of respondents in this research. The highest number for highest qualification of participants in this research is diploma (46.2%), followed by degree (30.8%), other (15.4%) and post graduate (7.7 %).

**Table 5.7 Ugu District Municipality has sufficient resources to implement M&E Distribution of Respondents**

**I feel that Ugu District Municipality has sufficient resources to implement M&E.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 4         | 30.8    | 30.8          | 38.5               |
| No Response             | 4         | 30.8    | 30.8          | 69.2               |
| Agree                   | 4         | 30.8    | 30.8          | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |



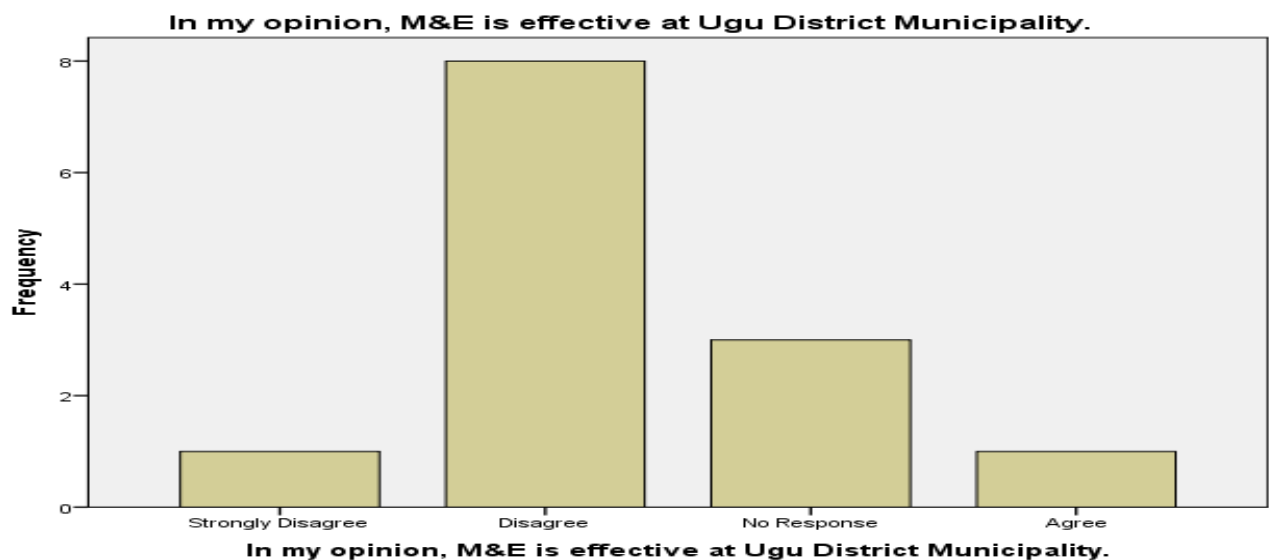
**Figure 5.7 Ugu District Municipality has sufficient resources to implement M&E Distribution of Respondents**

Table 5.7 and Figure 5.7 reveal that 30.8 % of the participants agree that Ugu District Municipality has sufficient resources to implement M&E. 30.8 % of the participants disagree, while 7.7 % of the participants strongly disagree and 30.8% of the participants provided no response to the question.

**Table 5.8 M&E is effective at Ugu District Municipality Distribution of Respondents**

**In my opinion, M&E is effective at Ugu District Municipality.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 8         | 61.5    | 61.5          | 69.2               |
| No Response             | 3         | 23.1    | 23.1          | 92.3               |
| Agree                   | 1         | 7.7     | 7.7           | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |



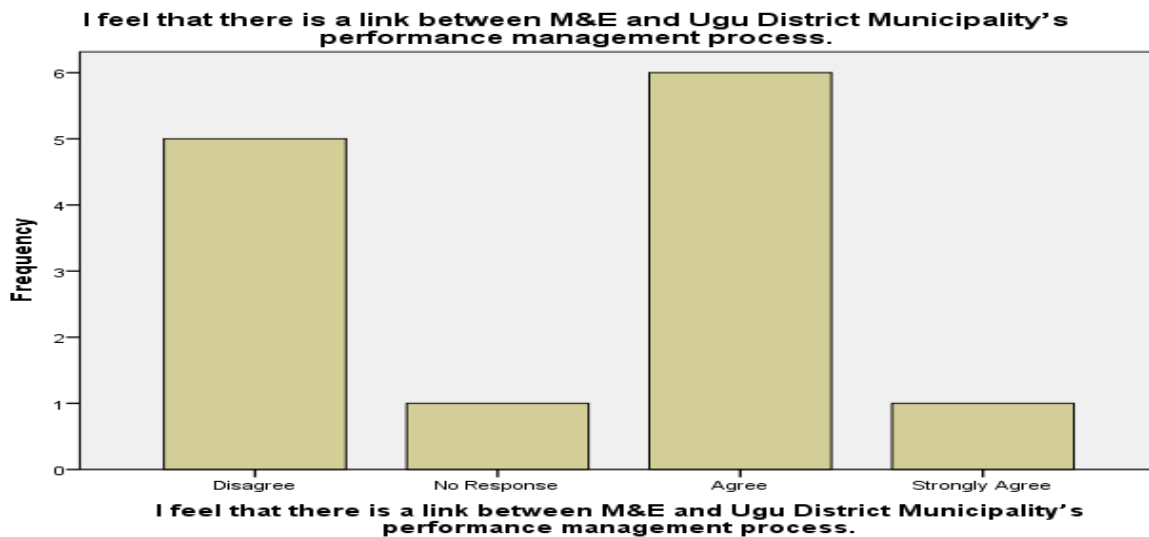
**Figure 5.8 M&E is effective at Ugu District Municipality Distribution of Respondents**

Table 5.8 and Figure 5.8 reveal that most participants disagree (61.5%), followed by no response (23.1%), strongly disagree (7.7%) and agree (7.7 %).

**Table 5.9 There is a link between M&E and Ugu District Municipality's performance management process (Distribution of Respondents)**

**I feel that there is a link between M&E and Ugu District Municipality's performance management process.**

|                | Frequency | Percent | Valid Percent | Cumulative Percent |
|----------------|-----------|---------|---------------|--------------------|
| Valid Disagree | 5         | 38.5    | 38.5          | 38.5               |
| No Response    | 1         | 7.7     | 7.7           | 46.2               |
| Agree          | 6         | 46.2    | 46.2          | 92.3               |
| Strongly Agree | 1         | 7.7     | 7.7           | 100.0              |
| Total          | 13        | 100.0   | 100.0         |                    |



**Figure 5.9 There is a link between M&E and Ugu District Municipality's performance management process Distribution of Respondents**

Table 5.9 and Figure 5.9 reveal most participants agree at (46.2%), followed by disagree at (38.5%), no response at (7.7%) and strongly agree also at (7.7 %).

**Table 5.10 M&E is the responsibility of line function managers (Distribution of Respondents)**

**I am of the view that M&E is the responsibility of line function managers.**

|                | Frequency | Percent | Valid Percent | Cumulative Percent |
|----------------|-----------|---------|---------------|--------------------|
| Valid Disagree | 1         | 7.7     | 8.3           | 8.3                |
| No Response    | 2         | 15.4    | 16.7          | 25.0               |
| Agree          | 8         | 61.5    | 66.7          | 91.7               |
| Strongly Agree | 1         | 7.7     | 8.3           | 100.0              |
| Total          | 12        | 92.3    | 100.0         |                    |
| Missing System | 1         | 7.7     |               |                    |
| Total          | 13        | 100.0   |               |                    |



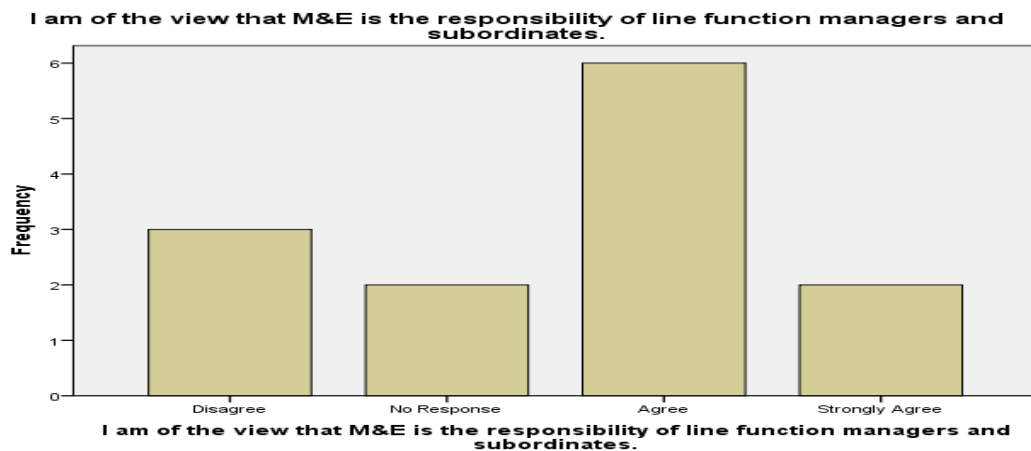
**Figure 5.10 M&E is the responsibility of line function managers Distribution of Respondents**

Table 5.10 and Figure 5.10 reveal that the highest number of participants agrees at (61.5%), followed by no response (23.1%), disagree (7.7%) and strongly agree (7.7 %).

**Table 5.11 M&E is the responsibility of line function managers and subordinates  
Distribution of Respondents**

**I am of the view that M&E is the responsibility of line function managers and subordinates.**

|       |                | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------|----------------|-----------|---------|---------------|--------------------|
| Valid | Disagree       | 3         | 23.1    | 23.1          | 23.1               |
|       | No Response    | 2         | 15.4    | 15.4          | 38.5               |
|       | Agree          | 6         | 46.2    | 46.2          | 84.6               |
|       | Strongly Agree | 2         | 15.4    | 15.4          | 100.0              |
|       | Total          | 13        | 100.0   | 100.0         |                    |



**Figure 5.11**

**M&E is the responsibility of line function managers and subordinates Distribution of Respondents**

Table 5.11 and Figure 5.11 reveal that most participants agree (46.2%), followed by disagree (23.1%), no response (15.4%) and strongly agree (15.4 %).

**Table 5.12 Managers within this municipality have a positive attitude towards M&E  
Distribution of Respondents**

**I feel that managers within this municipality have a positive attitude towards  
M&E.**

|                | Frequency | Percent | Valid Percent | Cumulative Percent |
|----------------|-----------|---------|---------------|--------------------|
| Valid Disagree | 4         | 30.8    | 30.8          | 30.8               |
| No Response    | 7         | 53.8    | 53.8          | 84.6               |
| Agree          | 2         | 15.4    | 15.4          | 100.0              |
| Total          | 13        | 100.0   | 100.0         |                    |

**I feel that managers within this municipality have a positive attitude towards M&E.**



**Figure 5.12 Managers within this municipality have a positive attitude towards M&E  
Distribution of Respondents**

Table 5.12 and Figure 5.12 reveal that 15.4 % of the participants agree that managers within this municipality have a positive attitude towards M&E. 53.8% of the participants had no response to the question, while 30.8 % of the participants disagree.

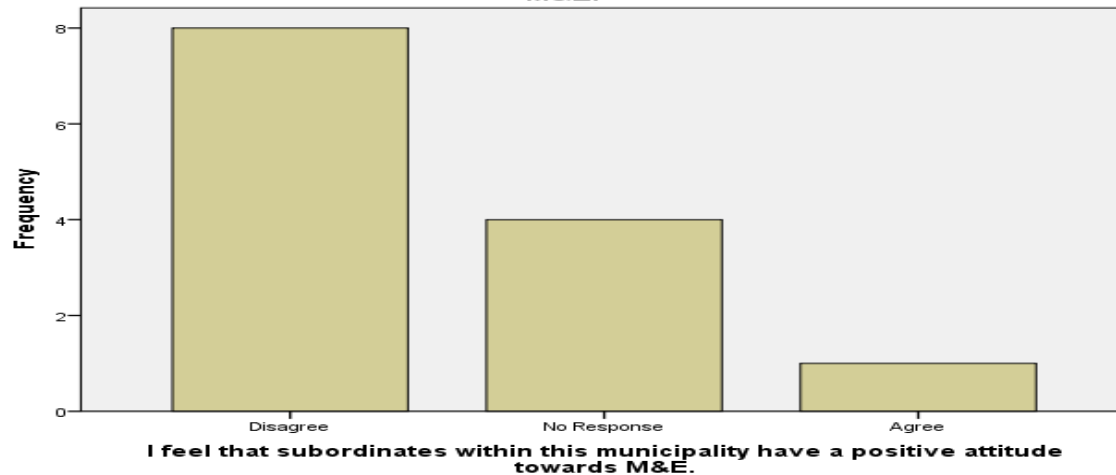


**Table 5.13 Subordinates within this municipality have a positive attitude towards M&E  
Distribution of Respondents**

**I feel that subordinates within this municipality have a positive attitude towards M&E.**

|                | Frequency | Percent | Valid Percent | Cumulative Percent |
|----------------|-----------|---------|---------------|--------------------|
| Valid Disagree | 8         | 61.5    | 61.5          | 61.5               |
| No Response    | 4         | 30.8    | 30.8          | 92.3               |
| Agree          | 1         | 7.7     | 7.7           | 100.0              |
| Total          | 13        | 100.0   | 100.0         |                    |

**I feel that subordinates within this municipality have a positive attitude towards M&E.**



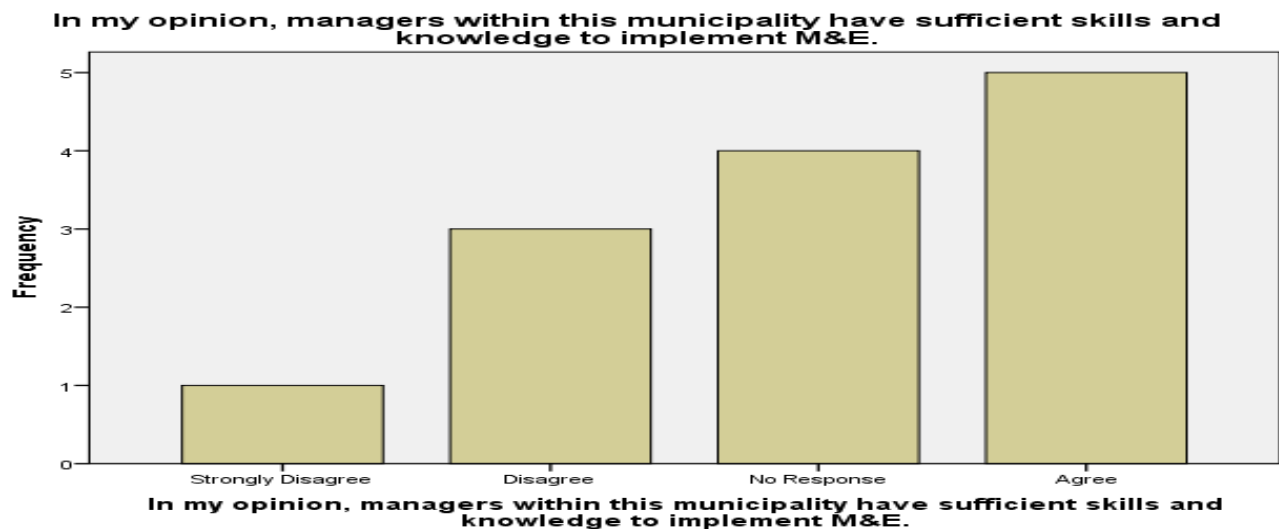
**Figure 5.13 Subordinates within this municipality have a positive attitude towards M&E  
Distribution of Respondents**

Table 5.13 and Figure 5.13 reveal that 7.7% of the participants agree that subordinates within this municipality have a positive attitude towards M&E while 30.8% provided no response while 61.5%) disagreed.

**Table 5.14 Managers have sufficient skills and knowledge to implement M&E Distribution of Respondents**

**In my opinion, managers within this municipality have sufficient skills and knowledge to implement M&E.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 3         | 23.1    | 23.1          | 30.8               |
| No Response             | 4         | 30.8    | 30.8          | 61.5               |
| Agree                   | 5         | 38.5    | 38.5          | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |



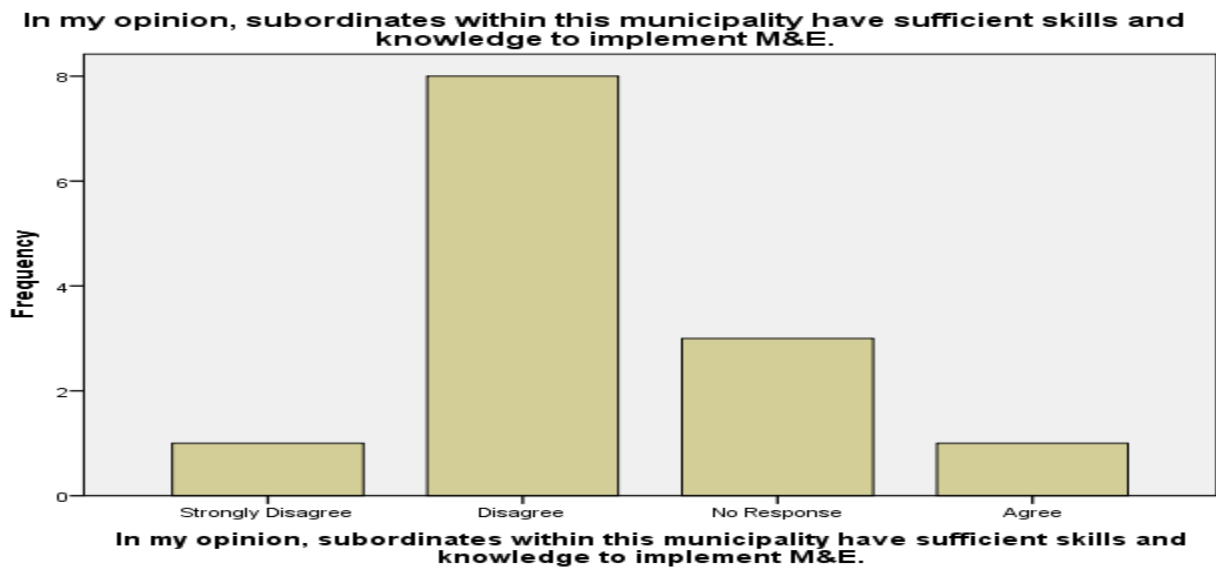
**Figure 5.14 Managers have sufficient skills and knowledge to implement M&E Distribution of Respondents**

Table 5.14 and Figure 5.14 reveal that most participants agreed (38.5%), followed by no response (30.8%), disagree (23.1%) and strongly disagree (7.7 %).

**Table 5.15 Subordinates have sufficient skills and knowledge to implement M&E  
Distribution of Respondents**

**In my opinion, subordinates within this municipality have sufficient skills and knowledge to implement M&E.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 8         | 61.5    | 61.5          | 69.2               |
| No Response             | 3         | 23.1    | 23.1          | 92.3               |
| Agree                   | 1         | 7.7     | 7.7           | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |



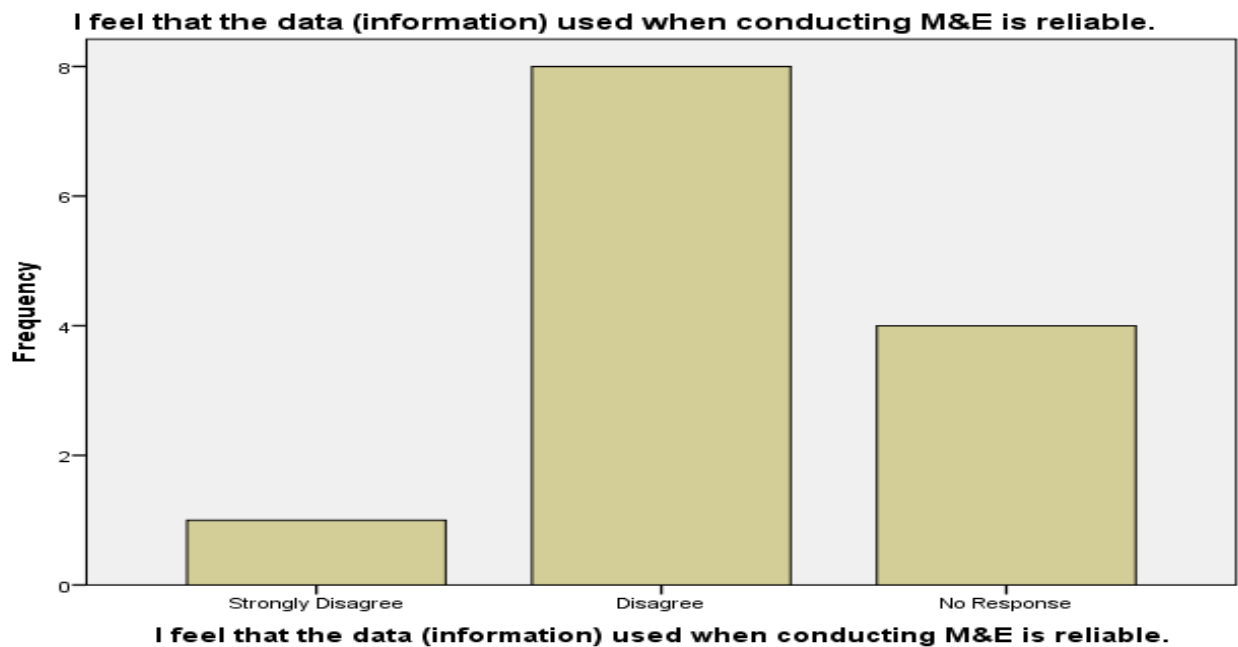
**Figure 5.15 Subordinates have sufficient skills and knowledge to implement M&E  
Distribution of Respondents**

Table 5.15 and Figure 5.15 reveal that 61.5% of the participants disagree followed by no response (23.1%), strongly disagree (7.7%) and agree (7.7%).

**Table 5.16 Data used when conducting M&E is reliable Distribution of Respondents**

**I feel that the data (information) used when conducting M&E is reliable.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 8         | 61.5    | 61.5          | 69.2               |
| No Response             | 4         | 30.8    | 30.8          | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |



**Figure 5.16 Data used when conducting M&E is reliable Distribution of Respondents**

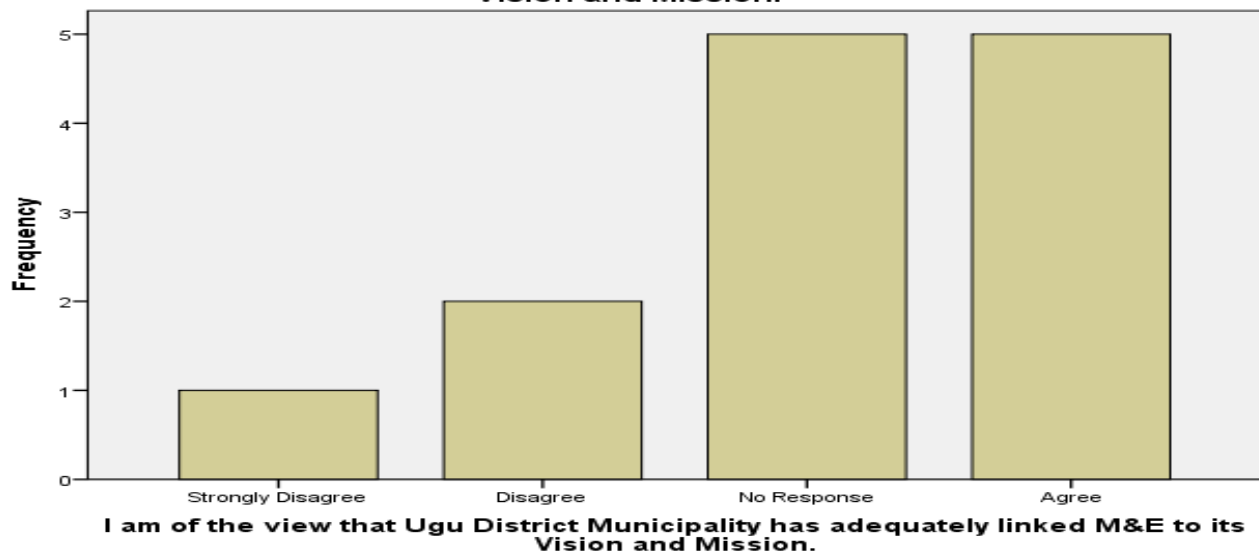
Table 5.16 and Figure 5.16 reveal that 61.5% of the participants disagree followed by no response (30.8%) and strongly disagree (7.7%).

**Table 5.17 Ugu District Municipality has adequately linked M&E to its Vision and Mission  
Distribution of Respondents**

**I am of the view that Ugu District Municipality has adequately linked M&E to its Vision and Mission.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 2         | 15.4    | 15.4          | 23.1               |
| No Response             | 5         | 38.5    | 38.5          | 61.5               |
| Agree                   | 5         | 38.5    | 38.5          | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |

**I am of the view that Ugu District Municipality has adequately linked M&E to its Vision and Mission.**



**Figure 5.17 Ugu District Municipality has adequately linked M&E to its Vision and Mission  
Distribution of Respondents**

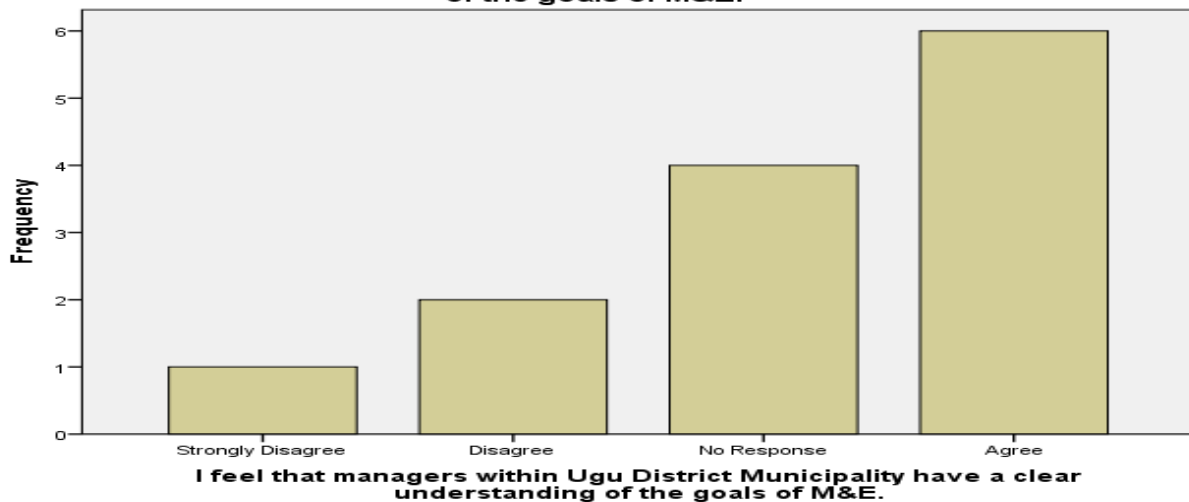
Table 5.17 and Figure 5.17 reveal that most participants disagree (61.5%), followed by no response (30.8%) and strongly disagree (7.7 %).

**Table 5.18 Ugu District Municipality managers have a clear understanding of the goals of M&E Distribution of Respondents**

**I feel that managers within Ugu District Municipality managers have a clear understanding of the goals of M&E.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 2         | 15.4    | 15.4          | 23.1               |
| No Response             | 4         | 30.8    | 30.8          | 53.8               |
| Agree                   | 6         | 46.2    | 46.2          | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |

**I feel that managers within Ugu District Municipality have a clear understanding of the goals of M&E.**



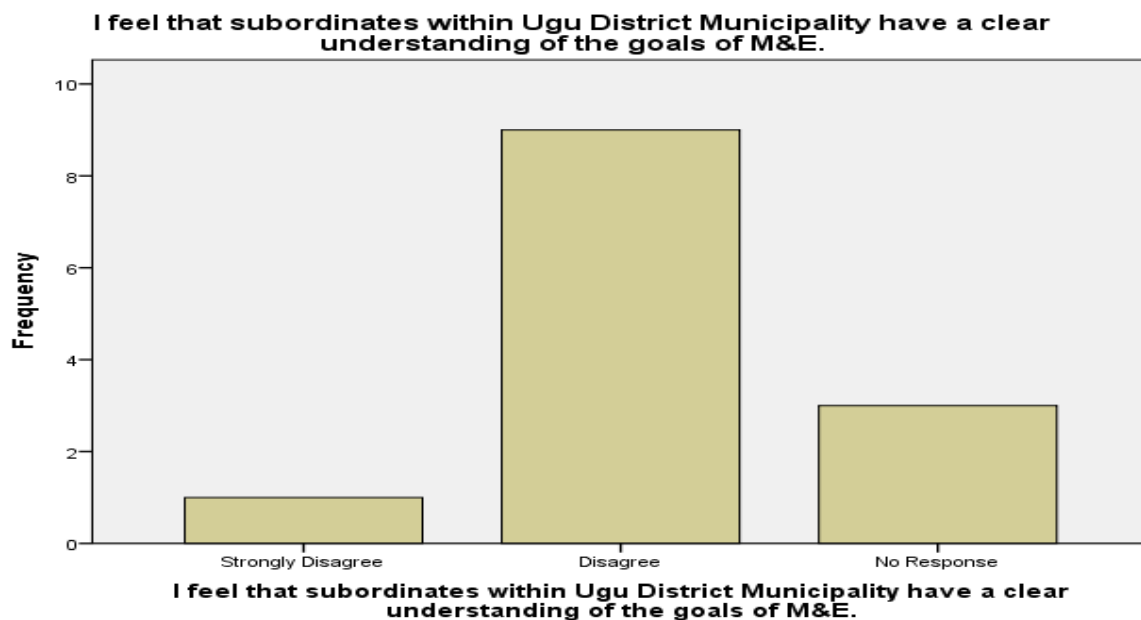
**Figure 5.18 Ugu District Municipality managers have a clear understanding of the goals of M&E Distribution of Respondents**

Table 5.18 and Figure 5.18 reveal that 46.2 % of participants agree that Ugu District Municipality managers have a clear understanding of the goals of M&E. 15.4 % disagree, while 7.7 % of participants strongly disagree, followed by no response (30.8%).

**Table 5.19 Subordinates have a clear understanding of the goals of M&E Distribution of Respondents**

**I feel that subordinates within Ugu District Municipality have a clear understanding of the goals of M&E.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 9         | 69.2    | 69.2          | 76.9               |
| No Response             | 3         | 23.1    | 23.1          | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |



**Figure 5.19 Subordinates have a clear understanding of the goals of M&E Distribution of Respondents**

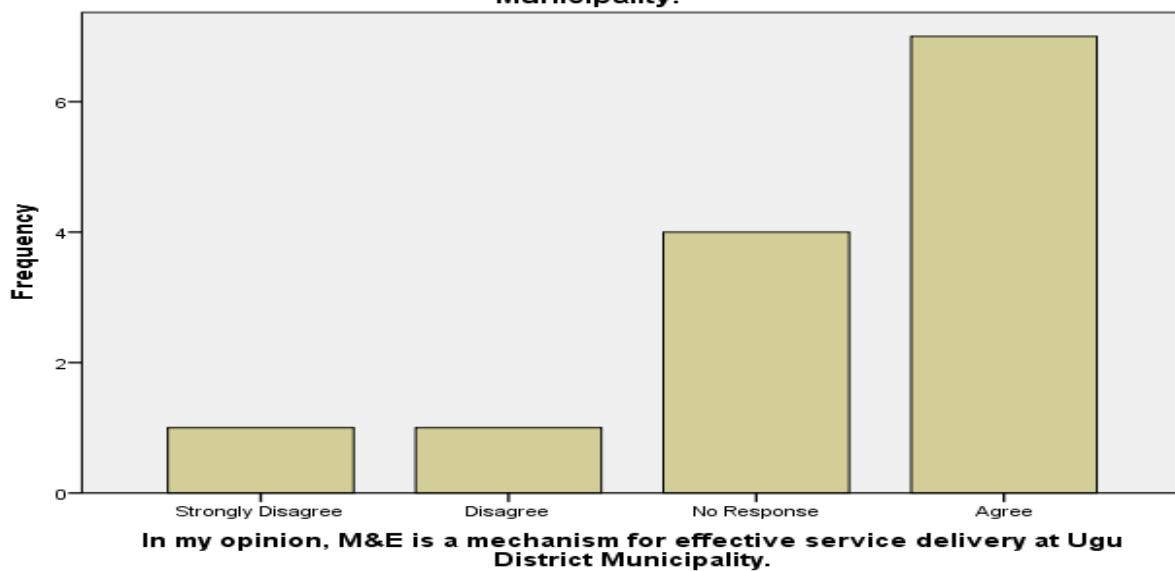
Table 5.19 and Figure 5.19 reveal that most participants disagree at (69.2%), followed by no response at (23.1%) and strongly disagree at (7.7 %).

**Table 5.20 M&E mechanism for effective service delivery Distribution of Respondents**

**In my opinion, M&E is a mechanism for effective service delivery at Ugu District Municipality.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 1         | 7.7     | 7.7           | 15.4               |
| No Response             | 4         | 30.8    | 30.8          | 46.2               |
| Agree                   | 7         | 53.8    | 53.8          | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |

**In my opinion, M&E is a mechanism for effective service delivery at Ugu District Municipality.**



**Figure 5.20 M&E mechanism for effective service delivery Distribution of Respondents**

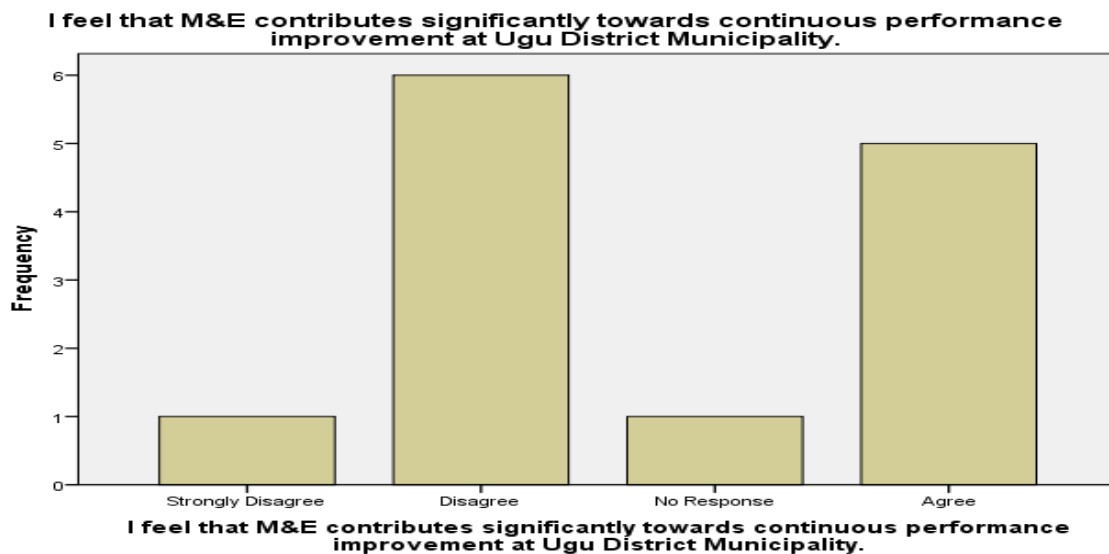
Table 5.20 and Figure 5.20 reveal that most participants agree at (53.8%), followed by no response at (30.8%), disagree at (17.7%) and strongly disagree also at (7.7 %).



**Table 5.21 M&E contributes continuous performance improvement Distribution of Respondents**

**I feel that M&E contributes significantly towards continuous performance improvement at Ugu District Municipality.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 6         | 46.2    | 46.2          | 53.8               |
| No Response             | 1         | 7.7     | 7.7           | 61.5               |
| Agree                   | 5         | 38.5    | 38.5          | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |



**Figure 5.21 M&E contributes continuous performance improvement Distribution of Respondents**

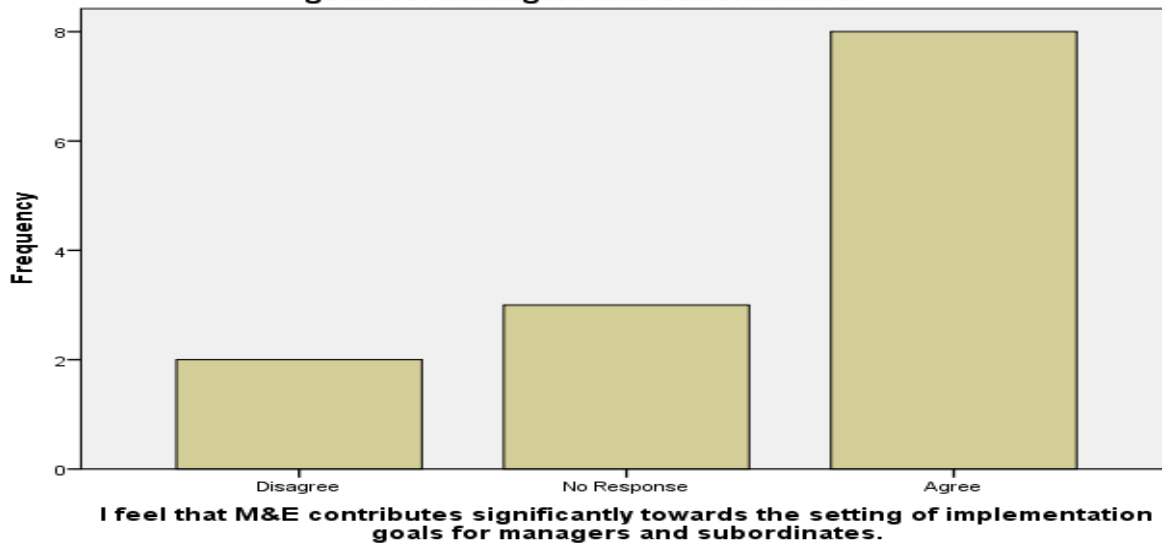
Table 5.21 and Figure 5.21 reveal that most participants agree (53.8%), followed by no response (30.8%), disagree (7.7%) and strongly disagree (7.7 %).

**Table 5.22 M&E contributes towards the setting of implementation goals for managers and subordinates Distribution of Respondents**

**I feel that M&E contributes significantly towards the setting of implementation goals for managers and subordinates.**

|                | Frequency | Percent | Valid Percent | Cumulative Percent |
|----------------|-----------|---------|---------------|--------------------|
| Valid Disagree | 2         | 15.4    | 15.4          | 15.4               |
| No Response    | 3         | 23.1    | 23.1          | 38.5               |
| Agree          | 8         | 61.5    | 61.5          | 100.0              |
| Total          | 13        | 100.0   | 100.0         |                    |

**I feel that M&E contributes significantly towards the setting of implementation goals for managers and subordinates.**



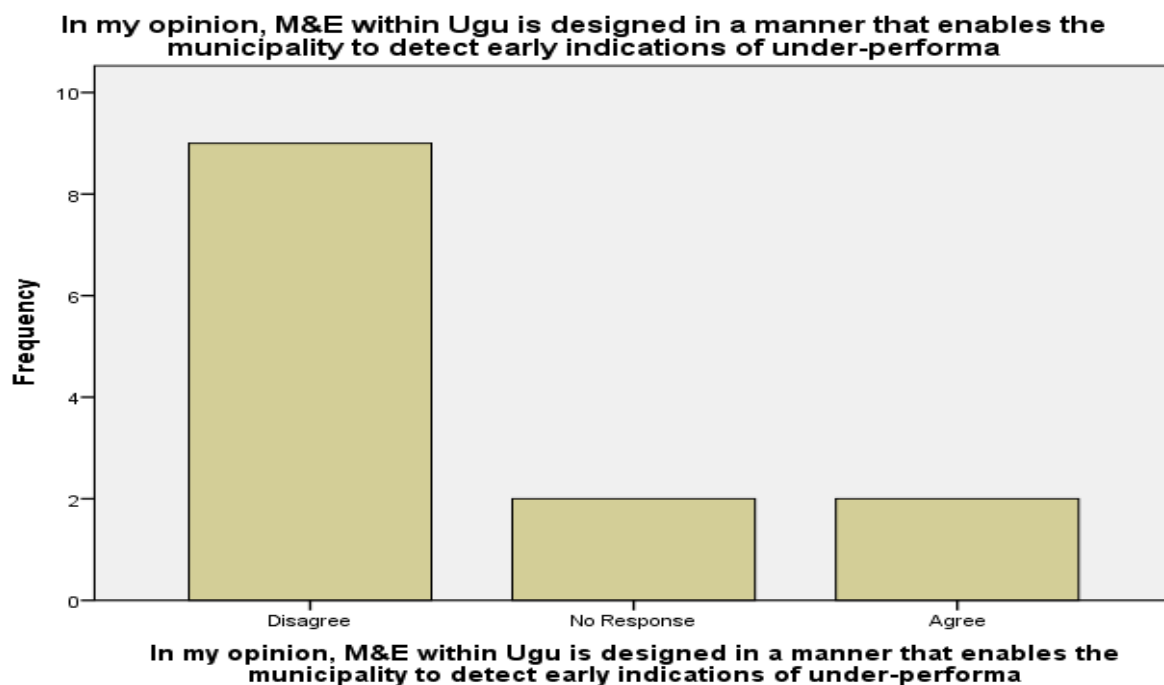
**Figure 5.22 M&E contributes towards the setting of implementation goals for managers and subordinates Distribution of Respondents**

Table 5.22 and Figure 5.22 reveal that most participants agree (61.5%), followed by no response (23.1%) and disagree (15.4%).

**Table 5.23 M&E designed to detect early indications of under-performance Distribution of Respondents**

**In my opinion, M&E within Ugu is designed in a manner that enables the municipality to detect early indications of under-performance**

|                | Frequency | Percent | Valid Percent | Cumulative Percent |
|----------------|-----------|---------|---------------|--------------------|
| Valid Disagree | 9         | 69.2    | 69.2          | 69.2               |
| No Response    | 2         | 15.4    | 15.4          | 84.6               |
| Agree          | 2         | 15.4    | 15.4          | 100.0              |
| Total          | 13        | 100.0   | 100.0         |                    |



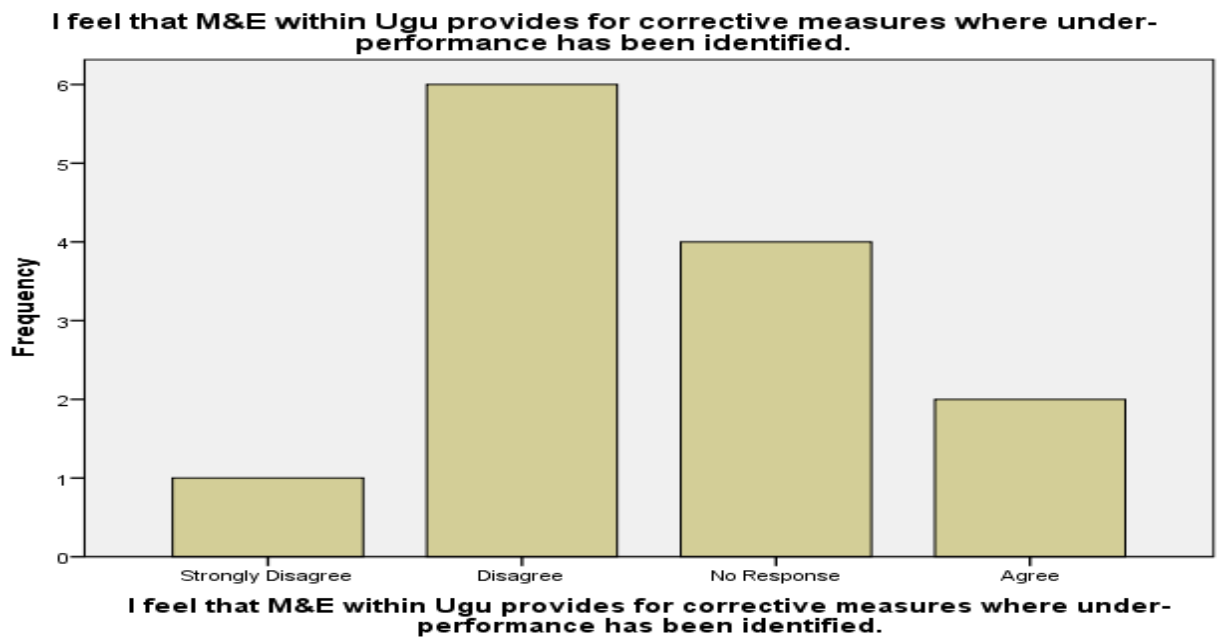
**Figure 5.23 M&E designed to detect early indications of under-performance Distribution of Respondents**

Table 5.23 and Figure 5.23 reveal that most participants disagree at (69.2%), followed by no response at (15.4%) and agree also at (15.4 %).

**Table 5.24 M&E provides for corrective measures where under-performance has been identified Distribution of Respondents**

**I feel that M&E within Ugu provides for corrective measures where under-performance has been identified.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 6         | 46.2    | 46.2          | 53.8               |
| No Response             | 4         | 30.8    | 30.8          | 84.6               |
| Agree                   | 2         | 15.4    | 15.4          | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |



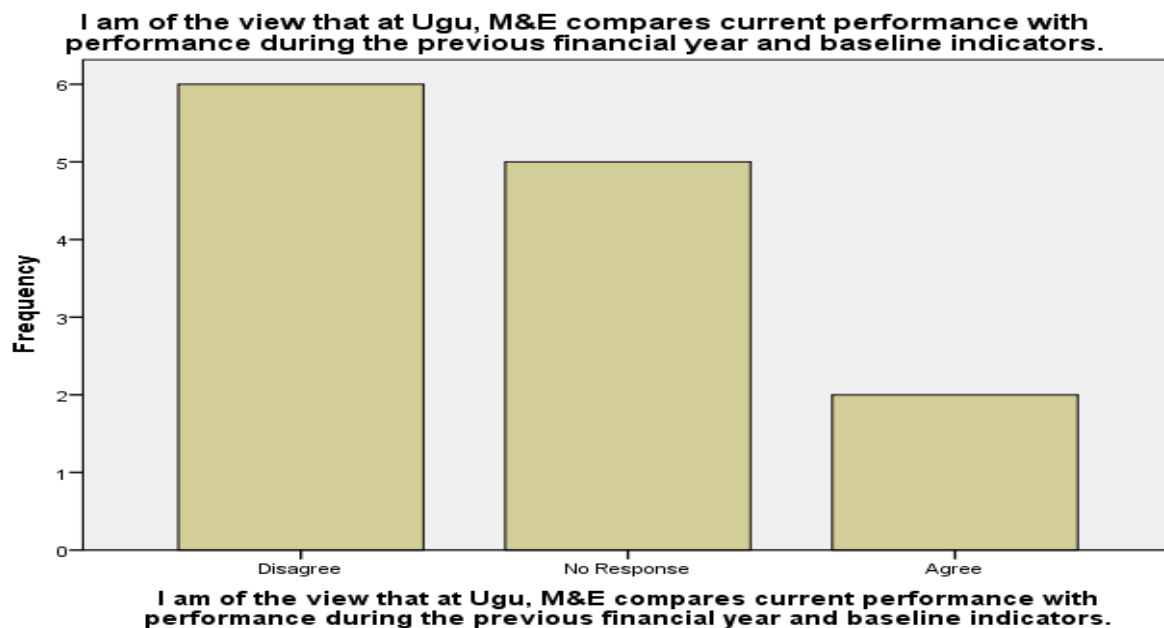
**Figure 5.24 M&E provides for corrective measures where under-performance has been identified Distribution of Respondents**

Table 5.24 and Figure 5.24 reveal that (46.2%) of the participants disagree followed by no response at (30.8%), agree at (15.4 %) and disagree at (7.7 %).

**Table 5.25 M&E compares current performance with previous performance Distribution of Respondents**

**I am of the view that at Ugu, M&E compares current performance with performance during the previous financial year and baseline indicators.**

|                | Frequency | Percent | Valid Percent | Cumulative Percent |
|----------------|-----------|---------|---------------|--------------------|
| Valid Disagree | 6         | 46.2    | 46.2          | 46.2               |
| No Response    | 5         | 38.5    | 38.5          | 84.6               |
| Agree          | 2         | 15.4    | 15.4          | 100.0              |
| Total          | 13        | 100.0   | 100.0         |                    |



**Figure 5.25 M&E compares current performance with previous performance Distribution of Respondents**

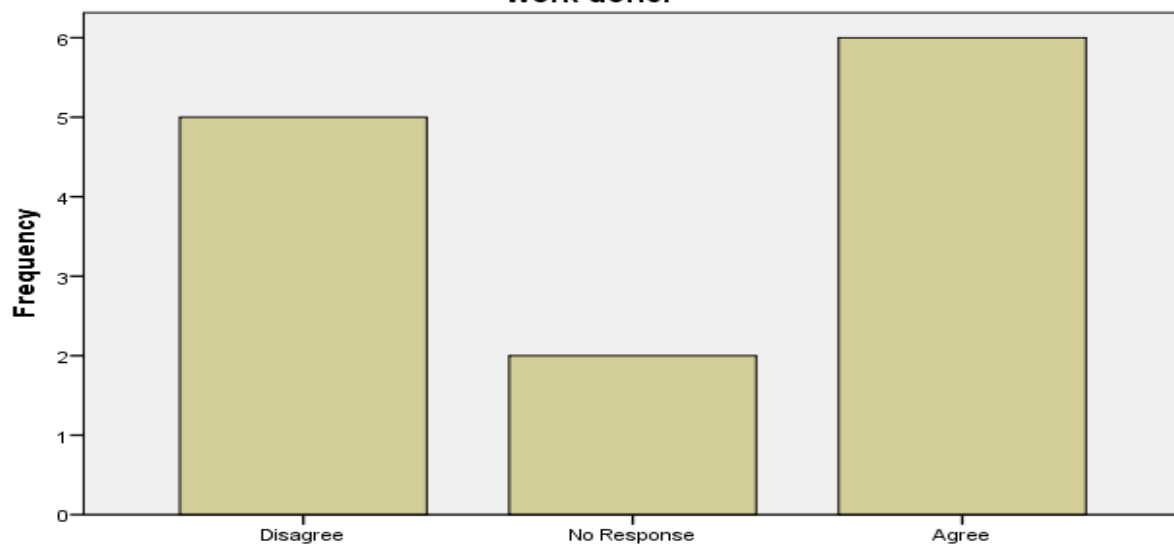
Table 5.25 and Figure 5.25 reveal that 46.2% of the participants disagree followed by no response at 38.8% and agree (15.4%).

**Table 5.26 Assessing performance looks beyond the delivery process Distribution of Respondents**

**In my opinion, when assessing programme performance, evaluations look beyond the delivery process and focus on the results of inputs delivered and the work done.**

|                | Frequency | Percent | Valid Percent | Cumulative Percent |
|----------------|-----------|---------|---------------|--------------------|
| Valid Disagree | 5         | 38.5    | 38.5          | 38.5               |
| No Response    | 2         | 15.4    | 15.4          | 53.8               |
| Agree          | 6         | 46.2    | 46.2          | 100.0              |
| Total          | 13        | 100.0   | 100.0         |                    |

**In my opinion, when assessing programme performance, evaluations look beyond the delivery process and focus on the results of inputs delivered and the work done.**



**In my opinion, when assessing programme performance, evaluations look beyond the delivery process and focus on the results of inputs delivered and the work done.**

**Figure 5.26 Assessing performance looks beyond the delivery process Distribution of Respondents**

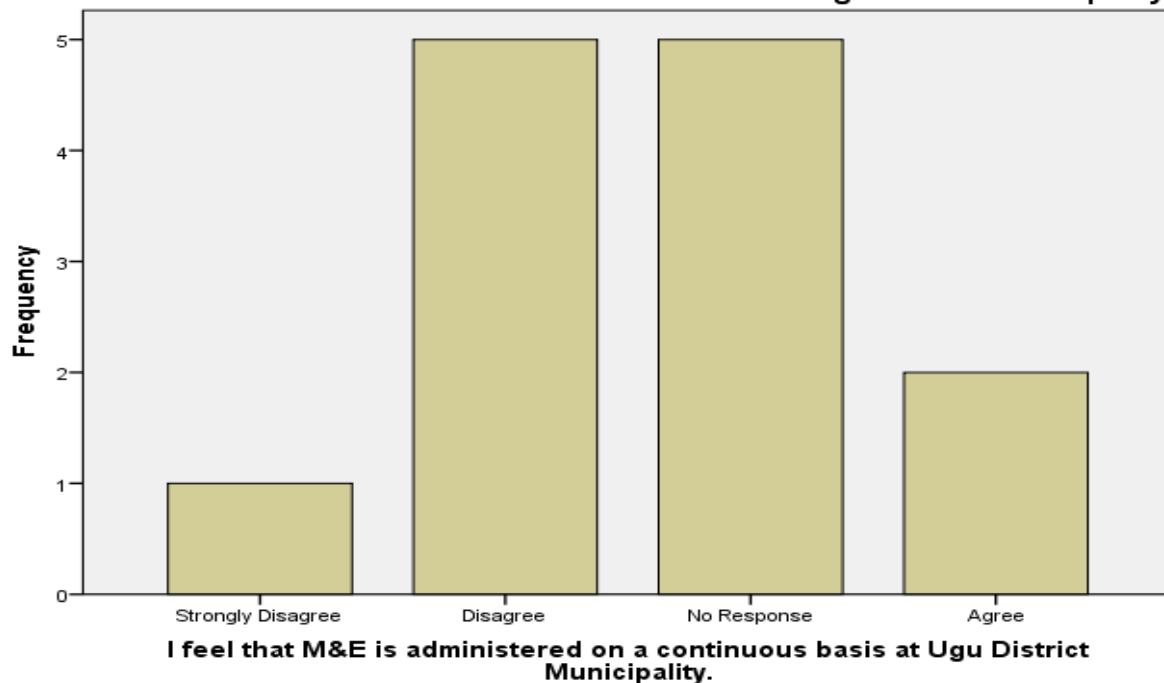
Table 5.26 and Figure 5.26 reveal that 46.2% of the participants agree followed by disagree (38.5%) and no response (15.4%).

**Table 5.27 M&E is administered on a continuous basis Distribution of Respondents**

**I feel that M&E is administered on a continuous basis at Ugu District Municipality.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 5         | 38.5    | 38.5          | 46.2               |
| No Response             | 5         | 38.5    | 38.5          | 84.6               |
| Agree                   | 2         | 15.4    | 15.4          | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |

**I feel that M&E is administered on a continuous basis at Ugu District Municipality.**



**Figure 5.27 M&E is administered on a continuous basis Distribution of Respondents**

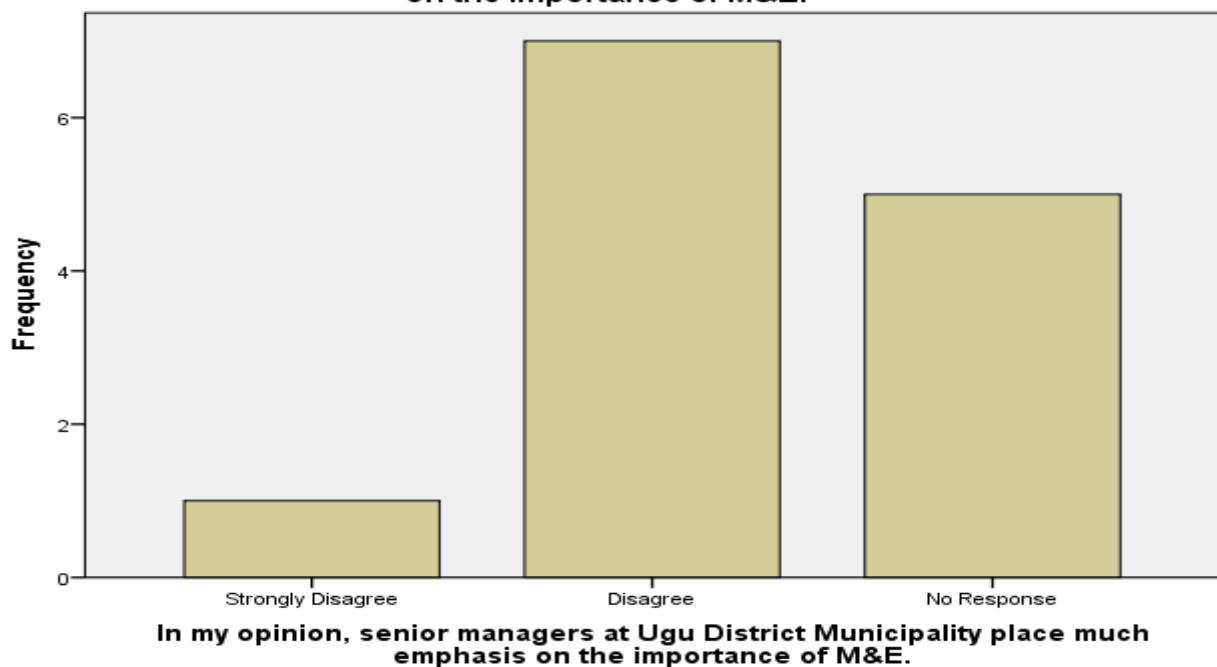
Table 5.27 and Figure 5.27 reveal that 38.5% of the participants disagree followed by no response (38.5%), agree (15.4%) and strongly disagree (7.7%).

**Table 5.28 Senior managers place emphasis on the importance of M&E Distribution of Respondents**

**In my opinion, senior managers at Ugu District Municipality place much emphasis on the importance of M&E.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 1         | 7.7     | 7.7           | 7.7                |
| Disagree                | 7         | 53.8    | 53.8          | 61.5               |
| No Response             | 5         | 38.5    | 38.5          | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |

**In my opinion, senior managers at Ugu District Municipality place much emphasis on the importance of M&E.**



**Figure 4.28 Senior managers place emphasis on the importance of M&E Distribution of Respondents**

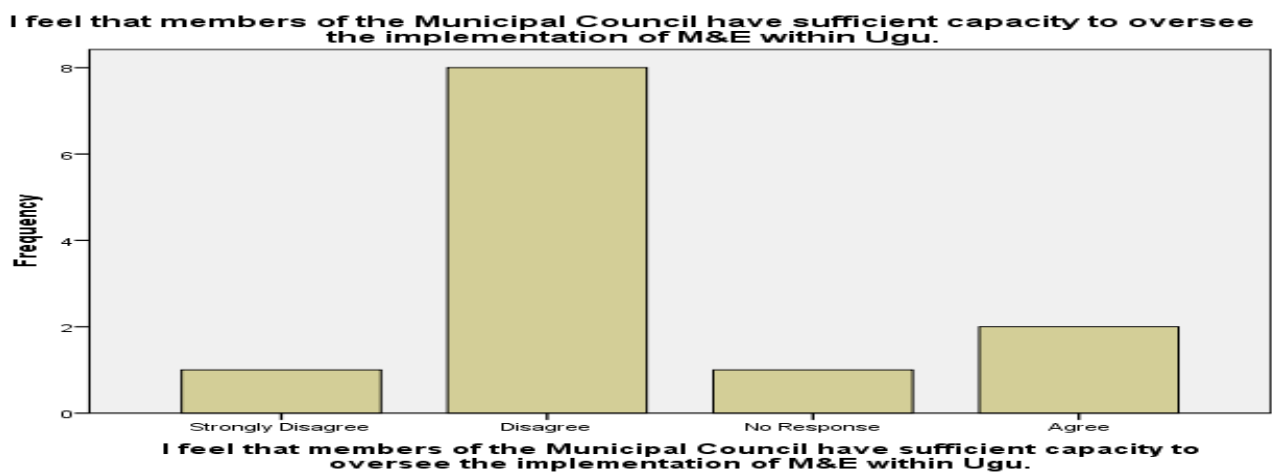
Table 5.28 and Figure 5.28 reveal that most participants disagree at (53.8%), followed by no response also at (38.5%) and strongly disagree at (7.7%).



**Table 5.29 Municipal Council has sufficient capacity to oversee the implementation of M&E  
Distribution of Respondents**

**I feel that members of the Municipal Council have sufficient capacity to oversee the  
implementation of M&E within Ugu.**

|         |                   | Frequency | Percent | Valid Percent | Cumulative Percent |
|---------|-------------------|-----------|---------|---------------|--------------------|
| Valid   | Strongly Disagree | 1         | 7.7     | 8.3           | 8.3                |
|         | Disagree          | 8         | 61.5    | 66.7          | 75.0               |
|         | No Response       | 1         | 7.7     | 8.3           | 83.3               |
|         | Agree             | 2         | 15.4    | 16.7          | 100.0              |
|         | Total             | 12        | 92.3    | 100.0         |                    |
| Missing | System            | 1         | 7.7     |               |                    |
| Total   |                   | 13        | 100.0   |               |                    |



**Figure 5.29 Municipal Council has sufficient capacity to oversee the implementation of M&E  
Distribution of Respondents**

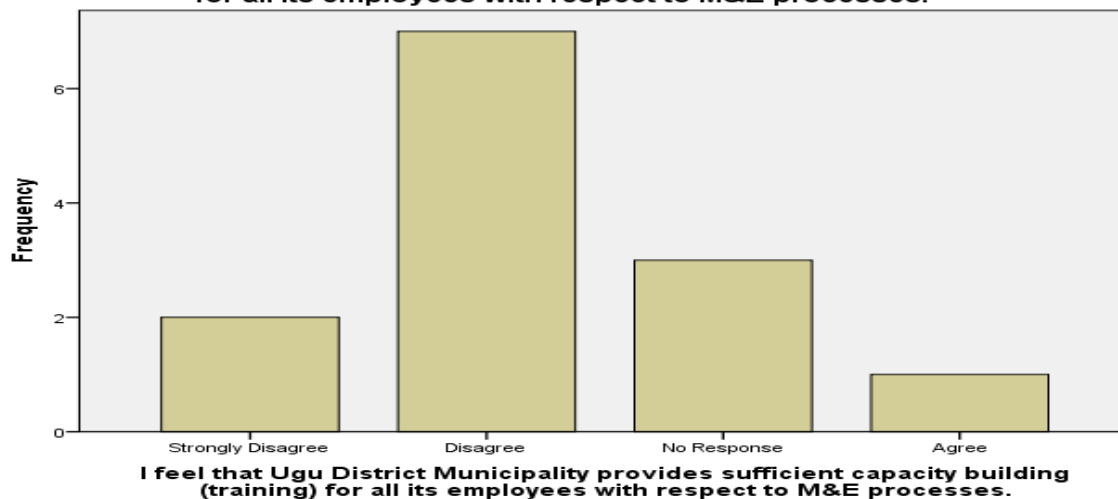
Table 5.29 and Figure 5.29 reveal most participants in this research is disagree at (61.5%), followed by agree at (15.4%) and no response also at (15.4%).

**Table 5.30 Provides sufficient capacity building (training) for employees Distribution of Respondents**

**I feel that Ugu District Municipality provides sufficient capacity building (training) for all its employees with respect to M&E processes.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 2         | 15.4    | 15.4          | 15.4               |
| Disagree                | 7         | 53.8    | 53.8          | 69.2               |
| No Response             | 3         | 23.1    | 23.1          | 92.3               |
| Agree                   | 1         | 7.7     | 7.7           | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |

**I feel that Ugu District Municipality provides sufficient capacity building (training) for all its employees with respect to M&E processes.**



**Figure 5.30 Provides sufficient capacity building (training) for employees Distribution of Respondents**

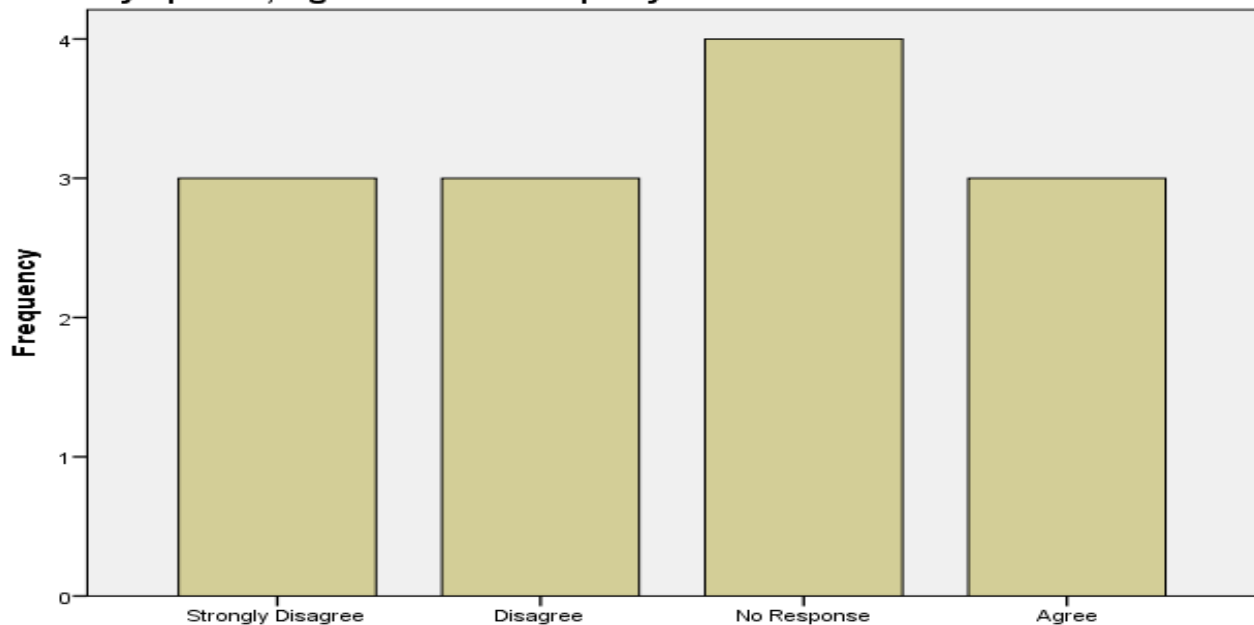
Table 5.30 and Figure 5.30 reveal that most participants disagree at (53.8%), followed by no response (23.1%), strongly disagree (15.4%) and agree (7.7%).

**Table 5.31 Ugu District Municipality has an effective M&E Framework Distribution of Respondents**

**In my opinion, Ugu District Municipality has an effective M&E Framework.**

|                         | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------------|-----------|---------|---------------|--------------------|
| Valid Strongly Disagree | 3         | 23.1    | 23.1          | 23.1               |
| Disagree                | 3         | 23.1    | 23.1          | 46.2               |
| No Response             | 4         | 30.8    | 30.8          | 76.9               |
| Agree                   | 3         | 23.1    | 23.1          | 100.0              |
| Total                   | 13        | 100.0   | 100.0         |                    |

**In my opinion, Ugu District Municipality has an effective M&E Framework.**



**In my opinion, Ugu District Municipality has an effective M&E Framework.**

**Figure 5.31 Provides Ugu District Municipality has an effective M&E Framework Distribution of Respondents**

Table 5.31 and Figure 5.31 reveal that (23.1%) of the respondents agree that Ugu District Municipality has an effective M&E Framework, (23.1%) disagree and (23.1%) strongly disagree. (30.8%) provide no response to the question.

### 5.32 Pearson Correlation

#### Correlations

|   | I am of the view that M&E is the responsibility of line function managers. | I am of the view that M&E is the responsibility of line function managers and subordinates. |
|---|--|---|
| I am of the view that M&E is the responsibility of line function managers. Pearson Correlation                  | 1  | .857**  |
| Sig. (2-tailed)   |  | .000  |
| N   | 12   | 12  |
| I am of the view that M&E is the responsibility of line function managers and subordinates. Pearson Correlation | .857**   | 1   |
| Sig. (2-tailed)   | .000   |   |
| N   | 12   | 13  |

\*\*. Correlation is significant at the 0.01 level (2-tailed).

The correlation (r) between M&E is the responsibility of line function managers and M&E is the responsibility of line function managers and subordinates is 0.857. This coefficient shows that there is a strong relationship between M&E is the responsibility of line function managers and M&E is the responsibility of line function managers and subordinates. The probability (p) of this correlation coefficient which is 0.000 is less than 0.05 thus implying that there is statistically significant relationship between M&E is the responsibility of line function managers and M&E is the responsibility of line function managers and subordinates ( $r=0.857$ ,  $p>0.05$ ).

### Correlations

|   | In my opinion, subordinates within this municipality have sufficient skills and knowledge to implement M&E. | I feel that subordinates within Ugu District Municipality have a clear understanding of the goals of M&E. |
|---|---|---|
| In my opinion, subordinates within this municipality have sufficient skills and knowledge to implement M&E. | 1   | .877**  |
|   |   | .000  |
|   | 13  | 13  |
| I feel that subordinates within Ugu District Municipality have a clear understanding of the goals of M&E.   | .877**  | 1   |
|   | .000  |   |
|   | 13  | 13  |

\*\* . Correlation is significant at the 0.01 level (2-tailed).

The correlation (r) between subordinates that have sufficient skills and knowledge to implement M&E and subordinates that have a clear understanding of the goals of M&E is 0.877. This coefficient shows that there is a strong relationship between subordinates that have sufficient skills and knowledge to implement M&E and subordinates have a clear understanding of the goals of M&E. The probability (p) of this correlation coefficient which is 0.000 is less than 0.05 thus implying that there is statistically significant relationship between subordinates have sufficient skills and knowledge to implement M&E and subordinates have a clear understanding of the goals of M&E ( $r=0.877$ ,  $p>0.05$ ).

### Correlations

|  | In my opinion, M&E is a mechanism for effective service delivery at Ugu District Municipality. | I feel that M&E contributes significantly towards continuous performance improvement at Ugu District Municipality. |
|--|--|--|
| In my opinion, M&E is a mechanism for effective service delivery at Ugu District Municipality. Pearson Correlation Sig. (2-tailed) N                     | 1<br><br>13  | .638*<br><br>.019<br>13  |
| I feel that M&E contributes significantly towards continuous performance improvement at Ugu District Municipality. Pearson Correlation Sig. (2-tailed) N | .638*<br><br>.019<br>13  | 1<br><br>13  |

\*. Correlation is significant at the 0.05 level (2-tailed).

The correlation (r) between M&E is a mechanism for effective service delivery and M&E contributes significantly towards continuous performance improvement is 0.638. This coefficient shows that there is a strong relationship between M&E is a mechanism for effective service delivery and M&E contributes significantly towards continuous performance improvement. The probability (p) of this correlation coefficient which is 0.000 is less than 0.05 thus implying that there is statistically significant relationship between M&E is a mechanism for effective service delivery and M&E contributes significantly towards continuous performance improvement (r=0.638, p>0.05).

### Correlations

|   | In my opinion, senior managers at Ugu District Municipality place much emphasis on the importance of M&E. | I feel that Ugu District Municipality provides sufficient capacity building (training) for all its employees with respect to M&E processes. |
|---|---|---|
| In my opinion, senior managers at Ugu District Municipality place much emphasis on the importance of M&E. Pearson Correlation Sig. (2-tailed) N                                   | 1<br><br>13   | .807**<br><br>.001<br>13  |
| I feel that Ugu District Municipality provides sufficient capacity building (training) for all its employees with respect to M&E processes. Pearson Correlation Sig. (2-tailed) N | .807**<br><br>.001<br>13  | 1<br><br>13   |

\*\*. Correlation is significant at the 0.01 level (2-tailed).

The correlation (r) between senior managers place emphasis on the importance of M&E and provides sufficient capacity building (training) for all its employees is 0.807. This coefficient shows that there is a strong relationship between M&E is a mechanism for effective service delivery and M&E contributes significantly towards continuous performance improvement. The probability (p) of this correlation coefficient which is 0.000 is less than 0.05 thus implying that there is statistically significant relationship between M&E is a mechanism for effective service delivery and M&E contributes significantly towards continuous performance improvement (r=0.807, p>0.05).

### Correlations

|   | I feel that there is a link between M&E and Ugu District Municipality's performance management process. | I am of the view that M&E is the responsibility of line function managers. |
|---|---|--|
| I feel that there is a link between M&E and Ugu District Municipality's performance management process. N | Pearson Correlation<br>Sig. (2-tailed)<br>1<br>13   | .595*<br>.041<br>12  |
| I am of the view that M&E is the responsibility of line function managers. N                              | Pearson Correlation<br>Sig. (2-tailed)<br>.595*<br>.041<br>12   | 1<br>12  |

\*. Correlation is significant at the 0.05 level (2-tailed).

The correlation (r) link between M&E and Ugu District Municipality's performance management process and M&E is the responsibility of line function managers is 0.595. This coefficient shows that there is a strong relationship between link between M&E and Ugu District Municipality's performance management process and M&E is the responsibility of line function managers. The probability (p) of this correlation coefficient which is 0.000 is less than 0.05 thus implying that there is statistically significant relationship between link between M&E and Ugu District Municipality's performance management process and M&E is the responsibility of line function managers ( $r=0.595$ ,  $p>0.05$ ).



### Correlations

|   | I feel that members of the Municipal Council have sufficient capacity to oversee the implementation of M&E within Ugu. | I feel that Ugu District Municipality provides sufficient capacity building (training) for all its employees with respect to M&E processes. |
|---|--|---|
| I feel that members of the Municipal Council have sufficient capacity to oversee the implementation of M&E within Ugu.                      | 1  | .828**  |
|   | 12   | 12  |
| I feel that Ugu District Municipality provides sufficient capacity building (training) for all its employees with respect to M&E processes. | .828**   | 1   |
|   | .001   | 13  |
|   | 12   |   |

\*\*. Correlation is significant at the 0.01 level (2-tailed).

The correlation (r) between Municipal Councillors that have sufficient capacity to oversee the implementation of M&E and provides sufficient capacity building (training) for all its employees is 0.828. This coefficient shows that there is a strong relationship between Municipal Council have sufficient capacity to oversee the implementation of M&E and provides sufficient capacity building (training) for all its employees. The probability (p) of this correlation coefficient which is 0.001 is less than 0.05 thus implying that there is statistically significant relationship between Municipal Council have sufficient capacity to oversee the implementation of M&E and provides sufficient capacity building (training) for all its employees ( $r=0.828$ ,  $p>0.05$ ).

### Correlations

|  | In my opinion, Ugu District Municipality has an effective M&E Framework. | Number of years in current position |
|--|--|-------------------------------------|
| In my opinion, Ugu District Municipality has an effective M&E Framework. | 1  | -.688**                             |
| Sig. (2-tailed)  |  | .009                                |
| N  | 13   | 13                                  |
| Number of years in current position                                      | -.688**  | 1                                   |
| Sig. (2-tailed)  | .009   |                                     |
| N  | 13   | 13                                  |

\*\*. Correlation is significant at the 0.01 level (2-tailed).

The correlation (r) between has an effective M&E framework and number of years in current position is -0.688. This coefficient shows that there is a strong relationship between has an effective M&E framework and number of years in current position. The probability (p) of this correlation coefficient which is 0.001 is less than 0.05 thus implying that there is statistically significant relationship between has an effective M&E framework and number of years in current position ( $r=-0.688$ ,  $p>0.05$ ).

### 5.33 Validity and Reliability

Cronbach's alpha is a test to determine the validity level of the questionnaire. A level above .7 is considered adequate to declare a question/questionnaire valid (Pallant, 2007:38).

Cronbach alpha was conducted on the questionnaire and the results are as follows

### Case Processing Summary

|       |                       | N  | %     |
|-------|-----------------------|----|-------|
| Cases | Valid                 | 11 | 84.6  |
|       | Excluded <sup>a</sup> | 2  | 15.4  |
|       | Total                 | 13 | 100.0 |

a. Listwise deletion based on all variables in the procedure.

### Reliability Statistics

| Cronbach's Alpha | N of Items |
|------------------|------------|
| .895             | 25         |

The questions in the questionnaire were drawn up based on the literature review. Cronbach's Alpha was used to measure the issue of reliability in order to understand whether the questions in the questionnaire all reliably measure the same underlying variable. The table above contains the results. Cronbach's Alpha was calculated at 0.895 which is above 0.7, so the scale can be considered reliable with the samples (Pallant, 2007:38). In other words, the Cronbach's Alpha coefficient of 0.895 shows that the questionnaire was sound.

### 5.34 Qualitative analysis

|  |   |
|--|---|
| To what extent has the <b><i>Policy and Procedural Framework for the Implementation of Organizational Performance Management</i></b> at Ugu District Municipality improved delivery of water services? |   |
| Exco is part of the quarterly reviews. I'm sitting on these meetings for the quarterly reviews. I have seen the small progress<br><b>SM1</b>   | I didn't see much progress because when the EXCO meets there is many issues of water in the community<br><b>SM2</b> |
| No too much because it's a new policy <b>SM3</b>   | Slight progress has been made this is due to the regular reviews & performance <b>SM4</b>                           |
| The water service delivery have improved to some extent but there are still some challenges being  | Some progress has been made through performance reviews <b>SM6</b>  |

|   |  |
|---|--|
| experienced which hamper delivery at the desired level<br><b>SM5</b>                      |  |
| To a very minimal extent because I don't think it is being applied affectively <b>SM7</b> |  |

|  |   |
|--|---|
| Has the policy framework provide guidance in terms of the municipality's cycle and processes of performance planning, implementation, monitoring, evaluation, auditing and quality control?  |   |
| It's the IDP is the main policy and other policies they must speak to the IDP and when IDP is not achieved then there must be monitoring and evaluation <b>SM1</b>   | Yes it provides the guidance but I think the quality of the work is not very good <b>SM2</b>  |
| Yes for the planning, implementation, monitoring, evaluation and the auditing. But the quality control is a different story <b>SM3</b>   | It does provide guidance on when and how to plan for performance, review, monitoring, evaluation and auditing. Quality control is not provided for <b>SM4</b> |
| There are well articulated & roles & responsibilities well defined for different stakeholders <b>SM5</b>   | The framework with regards to the above is very clear however the main challenge is quality control <b>SM6</b>  |
| The framework provides clear guidance in this regard, a through outlining the different roles of officials and other stakeholders. The question is whether these are adhere to through the prescribed above mentioned processes <b>SM7</b> |   |

|  |  |
|--|--|
| Has Ugu Municipality achieved the seven (7) compulsory key performance indicators emanating from Section 43 of the Local Government Municipal Systems Act and Regulation 5 (1) in the previous financial year? |  |
| No <b>SM1</b>  | No <b>SM2</b>  |
| No <b>SM3</b>  | Not all of them have been achieved <b>SM4</b>  |
| No <b>SM5</b>  | No. This is due to infrastructure challenges and a shortage of funding to deal with the issue of aging infrastructure <b>SM6</b> |
| No. This is attributed mainly to the lack of financial and human resources <b>SM7</b>  |  |

|  |  |
|--|--|
| Does Ugu District Municipality ensure that clear, consistent, and visible involvement by EXCO and managers is mandatory for successful performance measurement and management?             |  |
| The EXCO it is part of the quarterly review to see if the services of the municipality are delivered to achieve the IDP. Even the managers <b>SM1</b>                                      | The EXCO members are part of the Quarterly reviews as well as the managers <b>SM2</b>                            |
| The EXCO is a part of the Quarterly review process as well as the managers <b>SM3</b>  | Quarterly reviews are conducted where EXCO members are part of. Managers all also part of the reviews <b>SM4</b> |
| Through the Quarterly reviews where EXCO's is always present and play a pivotal role <b>SM5</b>  | The EXCO and managers are part of the Quarterly reviews <b>SM6</b>   |
| The EXCO are a significant part of the performance management processes conducted by the municipality on a quarterly basis. These processes also include the managers concerned <b>SM7</b> |  |

|  |   |
|--|---|
| What Monitoring and Evaluation mechanisms does Ugu District Municipality have in place to ensure effective delivery of water services to its citizens? |   |
| The different departments of the municipality they meet to review the performances <b>SM1</b>  | SDBIP is there <b>SM2</b>   |
| SDBIP also helps us to see that the officials are achieving the objectives of the IDP <b>SM3</b>   | Departmental performance meetings and reviews of performance <b>SM4</b> |
| Internal auditing <b>SM5</b>   | Performance reviews through SDBIP processes <b>SM6</b>                  |
| Quarterly reviews SDBIP's and annual performance reviews as well as continuous monthly performance reviews <b>SM7</b>                                  |   |

|   |   |
|---|---|
| Has the Municipality experienced any challenges in terms of the adequate delivery of water services to all its residents in the last financial year?    |   |
| Yes, there are one many. It is the pipes that are leaking some of them they bust. There is no water in Malangeneni for 3 months <b>SM1</b>              | Yes, the problem is with the pipes. They always break and leak <b>SM2</b>   |
| 'Yes the main issue is the pipes. They always leaking and bursting. The communities complain that there is no water <b>SM3</b>                          | Yes, pipe burst, sewer spillages <b>SM4</b>   |
| Yes, draught & aging infrastructure playing a major role <b>SM5</b>   | Yes. The issue of aging infrastructure leads to burst pipes, leakages and water shortage. As well as the drought <b>SM6</b> |
| The municipality has experienced some challenges of water shortages due to the drought. The challenge of the infrastructure is also a factor <b>SM7</b> |   |

|  |  |
|--|--|
| What targeted interventions have been undertaken by the municipality to address any challenges related to the delivery of water services to communities?                                       |  |
| The water tankers is taken to the communities. They tried to fix the pipes <b>SM1</b>  | Water truck is taking water to the community <b>SM2</b>  |
| The municipality sends the water tankers to deliver water. They also try to fix the pipes <b>SM3</b>   | Customer care, incident managed protocols <b>SM4</b>   |
| Pipe line replacements & draught relief programmes <b>SM5</b>  | The municipality dispenses water tanks to communities. Customer care as well as management and responding to reported incidents <b>SM6</b> |
| The municipality dispenses water tankers to municipality and also tries to mitigate the infrastructure challenge by responding to reported incidents through customer care services <b>SM7</b> |  |

## **5.2 SUMMARY**

This chapter has outlined the data collection methods employed, explained the data set used and some descriptive statistics. The results were also analysed and the analysis was presented in the form of tables, figures and statistical analysis. The impact of Monitoring and Evaluation of water service provision cannot be assessed in isolation from outstanding water problems such as ailing infrastructure. Therefore, the extent to which the Monitoring and Evaluation of water service provision positively impacts on the quality, efficiency, and effectiveness of service delivery. The next chapter will present the general conclusions and recommendations.

## **CHAPTER SIX: GENERAL CONCLUSIONS AND RECOMMENDATIONS**

### **6.1 INTRODUCTION**

This chapter concludes the study by revisiting the objectives and seeks to respond to the questions proposed by the study. The general conclusions of the study are discussed and the recommendations are advanced. This study has assessed the role of monitoring and evaluation mechanisms at Ugu District Municipality in relation to the delivery of water services. The study also measured the effectiveness of these mechanisms in facilitating the monitoring and evaluation of water service delivery. Recommendations based upon the outcomes of the study are made in an effort to stimulate change in the delivery of water services within the Ugu District Municipality and serve as a model for other municipalities who operate with similar challenges.

### **6.2 GENERAL CONCLUSIONS**

Prior to arriving at any conclusions, the objectives of this research study are revisited so as to advance recommendations in tandem with the overall objectives. The engagements between the researcher and the officials of Ugu District municipality revealed that monitoring and evaluation systems at the municipality are in existence, however; to a large extent these mechanisms are not adequately implemented. This results in their ineffectiveness for the facilitation of water service delivery.

#### **6.2.1 Objectives of the study**

The objectives of the study were to:

- Critically review the legislative and administrative framework for water service provision in South Africa.
- Examine mechanisms in place to monitor and evaluate water services delivery in Ugu District Municipality.

- Assess the extent to which these mechanisms are effective in the facilitation of Monitoring and Evaluation of water service delivery in Ugu District Municipality.
- Propose recommendations for improving the quality of water service delivery in Ugu District Municipality.

### **6.2.2 Research questions**

The key research questions of the study were as follows:

- What are the legislative and administrative provisions for water provision in South Africa?
- What mechanisms are in place to monitor and evaluate water service delivery at Ugu District Municipality?
- To what extent are these mechanisms effective in the facilitation of Monitoring and Evaluation of water service delivery?
- What recommendations can be made from the study's findings to advance water service delivery at Ugu municipality?

### **6.2.3 Format of the Study**

This initial chapter foregrounded the study, providing information on the problem statement, provided the background and outlined the significance and purpose of the study. This was further articulated through the research questions and objectives. Some of the challenges outlined in this chapter were that Ugu District Municipality is currently facing a financial crisis, water standpipes sometimes dry up; and community members perceive that politicians and officials are not accountable to the residents for service delivery, such as water (Cele, 2012:42). It was also noted that Ugu District Municipality is experiencing a number of other challenges, some of which can be attributed to lack of accountability. These challenges present major implications for the municipality's ability and responsibility in ensuring that its mandate to deliver water services aligns with the prescripts of South Africa's Constitution including those of the NDP.

The chapter regarding local government restructuring and transformation with particular reference to UGU District Municipality focused on recent developments relating to restructuring and transformation in South Africa. The timeline of local government restructuring and transformation



in South Africa was examined and particularly what the impact of these developments has been on Ugu District Municipality. According to the municipality's 2011 Spatial Development Framework Review, the water backlog was 34% excluding future low income housing. The District also faces many challenges in improving service delivery to the communities so as to eradicate these backlogs. Other identified problems with water, include burst pipes, which are regularly reported to the local councillors or ward committees. However, only an insignificant portion of the community members are aware of the municipality's customer care call centre. This results in communities staying for prolonged periods without water, especially in the rural areas.

The literature and policy framework for water service provision by municipalities provided an overview of literature on the dissertation topic that was researched. It also presented the theoretical basis and identified the key variables for the study. This chapter focused primarily on the relevant South African regulations, government procedures and universal guidelines, which have bearing on people's rights to access water service delivery. It also looked at the relevant South African regulations, government procedures and universal guidelines, which have a bearing on monitoring and evaluation. Such guidelines include the National Development Plan which is a twenty year plan and informs all spheres of government planning. The Integrated Development Plan (IDP) is a five year plan which outlines a municipality's activities against available resources. The Service Delivery Budget Implementation Plan (SDBIP) outlines municipal activities over a year and facilitates the monitoring of progress over time. As far as its Local Government Municipal Turn-Around Strategy is concerned the Ugu District Municipality recognized general access to water as a serious challenge, because of poor landscape, poor infrastructure due to lack of maintenance and illegal connections. Like challenges such as unsteady water supply frameworks and deficient mass water limits were also highlighted.

The research methodology chapter described the various approaches to the research topic. This discussion was on the research methodology, philosophy and design of the study. The justification for the choice of study was given based on understanding the distinction between qualitative and quantitative methodologies. An interview transcript was designed based on the existing literature, in the field of monitoring and evaluation. The best choice of methodology was chosen and justified

to fit the aims of the study. The population and the sampling thereof were discussed and the sampling methodology was justified based on the adopted research design. Finally the ethical considerations that guided the research from the perspective of the participant and the other stakeholders were delineated. Not losing sight of the primary focus of the study which was based on the monitoring and evaluation mechanisms for water service delivery.

The data collection, presentation and analysis of results chapter provided a report on the findings, the statement of the findings and a discussion was presented. This chapter also outlined the data collection methods employed, explained the data set used and some descriptive statistics. The results were also analysed and the analysis was presented in the form of tables, figures and statistical analysis. This study employed a quantitative and narrative analysis to present the investigation findings. The investigation also offered an analysis and interpretation of findings in relation to the literature reviewed, research questions and objectives.

## **6.3 CONCLUSIONS EMANATING FROM THE LITERATURE REVIEW**

### **6.3.1 Water backlogs**

Water backlogs are predominantly in the rural areas, which represents eighty four percent (84%) of the population. The integration of rural and urban areas means shifting the focus from urban challenges to rural ones, where water is the main priority. The 34% water backlog at Ugu District Municipality excludes future low income housing and the Municipality is faced with numerous challenges hampering its attempts to eradicate the backlog and improve service delivery to communities. General access to water is a serious challenge, because of poor landscape, poor infrastructure due to lack of maintenance and illegal connections. There are likewise challenges with unsteady water supply frameworks and a deficient mass water limit.

### **6.3.2 Poor RDP quality standards**

The South African Local Government Association's (SALGA) study revealed that Ugu District Municipality was rated as a good-performing municipality providing water of a decent quality (SALGA, 2008: 31). An attributing factor is that Ugu District Municipality has a dedicated

laboratory and analyses water samples regularly. Yet, most of its local municipalities, an estimated 282 580 residents did not receive water at RDP standards. RDP quality standards require; a daily minimum quantity of twenty five (25) litres of water per person; which includes minimum flow rates of not below ten (10) litres per minute. Additional RDP standards require that water should be available within two hundred (200) metres of a household.

### **6.3.3 Poor financial accountability**

The study also cited the lack of a strong financial base at the Municipality partly as the reason for the unresolved water backlogs both in rural and urban areas. An estimated R1.8 billion was required to effectively clear the backlogs (SALGA, 2008: 33). Further revelations in the report highlighted that water challenges, particularly burst pipes were frequently reported to the local councillors. However, only a few members of the community were aware of the municipality's customer care call centre.

## **6.4 RECOMMENDATIONS**

### **6.4.1 Backlog eradication**

Water and sanitation services need to be significantly expanded to integrate areas previously excluded, particularly rural communities where there are limited services rendered. The spatial development plan of the Municipality needs to consider and include future low income housing and the infrastructure implications. There is also an urgent need for the eradication the backlog to improve service delivery to communities. The Municipality needs to improve and stabilize water supply frameworks and increase the mass water limit.

### **6.4.2 Strengthening RDP quality standards**

The Municipality needs to strengthen its approach in ensuring that residents receive water at RDP standards. RDP quality standards require; a daily minimum quantity of twenty five (25) litres of water per person; which includes minimum flow rates of not below ten (10) litres per minute. Additional RDP standards require that water should be available within two hundred (200) metres of a household.

### **6.4.3 Improving financial accountability**

There is dire need for a strong financial base at the Municipality in order to resolve water backlogs both in rural and urban areas. More accountability is required partly to improve monitoring and evaluation processes and improve service delivery. Community members need to be made aware of reporting platforms such as call centres, help desks, social media platforms and ward councillors where they can report other water challenges, particularly burst pipes. Such reports should be prioritised and responded to efficiently within minimum turnaround intervals.

## **6.5 CONCLUSIONS EMANATING FROM THE EMPIRICAL STUDY**

### **6.5.1 Poor water service delivery**

The major challenge facing the Ugu District Municipality is the absence of efficient delivery of water services to its residents, particularly those in rural areas. As experienced by all organisations in the municipal, engineering and water sectors, Ugu faces the challenge of attracting and retaining skilled staff. Ugu mainly loses staff to provincial and national government, as well as to the private sector. The issue of poor customer services is evident in that communities experience erratic interruption of water services in the area. During these water cut-offs residents do not receive adequate notification; so that they are able make the necessary arrangements to see them through the interruptions. Even the interim water relief programmes that are provided only reach a few households, while most households go without water for prolonged periods of time.

### **6.5.2 Poor monitoring and evaluation**

Another key challenge is that of the ailing infrastructure, which includes broken and leaking pipes. This results in communities going for long periods of time without access to water. The lack of and poor management of financial resources within the Municipality also contributes to the poor levels of water service delivery. Monitoring and evaluation mechanisms are in place but do not seem to be efficiently utilized in order to ensure efficient, effective and economic water service delivery.

### **6.5.3 Dilapidated infrastructure poor and maintenance**

The conclusion arrived at is that Ugu District Municipality has sufficient resources to implement monitoring and evaluation. The study also revealed that there is a link between monitoring and evaluation and Ugu District Municipality's performance management process. A significant number of managers within the municipality have a positive attitude towards monitoring and evaluation, however a similar portion of the subordinates have a negative attitude towards monitoring and evaluation. A significant number of managers have sufficient skills and knowledge to implement monitoring and evaluation, with their subordinates lacking in skills.

### **6.5.4 Erratic water interruptions**

The correlation between monitoring and evaluation being the responsibility of line function managers as opposed to it being the responsibility of line function managers and subordinates is minimal. There is a clear indication that monitoring and evaluation is broadly viewed as the responsibility of line function managers as opposed to that of line function managers and subordinates. This shows that subordinates do not see monitoring and evaluation as part of their responsibility.

## **6.6 RECOMMENDATIONS**

### **6.6.1 Enhanced delivery of water services**

The major challenge facing the Ugu District Municipality is to ensure that the delivery of water services is enhanced. Hence, this research study strongly suggests that the Ugu District Municipality places this challenge first on the agenda of its Integrated Development Plan (IDP) in years to come. This would be in line with the obligation of local authorities to reflect their overall short- to medium-term development objectives. In addition, the Department of Water Affairs should intervene with suitable strategies and monitor whether projects are being executed as planned.

### **6.6.2 Strengthening monitoring and evaluation**

The purpose of this study was to assess monitoring and evaluation mechanisms particularly in relation to water service provision within Ugu District Municipality. Monitoring and evaluation mechanisms need to be strengthened to facilitate effective, efficient and economic delivery of water services. The municipal mayor needs to closely monitor the provision of water services in the areas under the municipality's jurisdiction to ensure that the mandate undertaken in the IDP is not compromised. This study suggests that this should be undertaken either at monthly, quarterly or semester intervals, to ensure that any problem identified is attended to within a reasonable time frame. Training and capacity building in monitoring and evaluation is essential for all officials in or to improve the delivery of water services at Ugu District Municipality

### **6.6.3 Infrastructure audit and maintenance**

The study found that most households have access to piped water sources; nevertheless, it was noted that the number of standpipes in the area is insufficient for the ever increasing number of households. It was also found that the dilapidated infrastructure and poor customer care services leave the communities without access to water for prolonged periods of time. The recommendation is that Ugu District Municipality needs to conduct an audit of the entire leaking and damaged infrastructure inventory and prioritize the repair and maintenance of such.

### **6.6.4 Innovative water relief programmes**

One of the challenges that communities experience is the erratic interruption of water in the area. The main problem with water cut-offs is that the residents do not receive notification well in advance, so that they can make the necessary arrangements to see them through the breakdown. The recommendation is that the Ugu District Municipality Water Desk develops a more efficient alerting system which communicates any foreseen disruptions to all affected households well in advance. Ugu District Municipality should consider introducing sufficient water relief programmes in addition to the current water tankers. They can be boreholes and springs which can be identified for water wells to be built in the areas.

#### **6.6.5 Joint ventures and partnerships**

Increased partnerships with other stakeholders such as the Departments of Water Affairs, Department of Agriculture and Fisheries and the Department of Rural Development and Land Reform is required to support Ugu District Municipality in achieving its prime objective of improving the lives of the many people under its area of jurisdiction.

### **6.7 HOW THE OBJECTIVES OF THE STUDY WERE ACHIEVED**

#### **6.7.1 Critically reviewing the legislative and administrative framework for water service provision in South Africa**

This review focused primarily on the relevant South African regulations, government procedures and universal guidelines, which have bearing on people's rights to access water service delivery. It also looked at the relevant South African regulations, government procedures and universal guidelines, which have a bearing on monitoring and evaluation such as the National Development Plan which is a twenty year plan and informs all spheres of government planning.

#### **6.7.2 Examining the mechanisms in place to monitor and evaluate water services delivery in Ugu District Municipality**

The Operational Performance Management System (OPMS) policy and procedural framework of the Municipality was reviewed. This framework guides the cycle and processes of performance planning of the Municipality, implementation, monitoring, evaluation, auditing and quality control of water service delivery. This was underpinned by looking at monitoring and evaluation as mechanisms for service delivery in South Africa and the Government Wide Monitoring and Evaluation System which provides the framework for monitoring in South Africa.

#### **6.7.3 Assessing the extent to which these mechanisms are effective in the facilitation of Monitoring and Evaluation of water service delivery in Ugu District Municipality**

This objective was achieved through empirical data collection, presentation and analysis of results and providing a report on the findings. The literature review also provided insight into the

legitimacy of the mechanisms that the Municipality employs to strengthen monitoring and evaluation of water service delivery.

#### **6.7.4 Recommendations for improving the quality of water service delivery in Ugu District Municipality**

Recommendations based upon the outcomes of the study were made in an effort to stimulate change in the monitoring and evaluation practices within the Ugu District Municipality and serve as a model for other municipalities who operate with similar challenges. This in turn may have a positive effect for the enhancement of water service delivery.

### **6.8 SUMMARY**

This study has assessed the role of monitoring and evaluation mechanisms at Ugu District Municipality in relation to the delivery of water services. The study also measured the effectiveness of these mechanisms in facilitating the monitoring and evaluation of water service delivery. Recommendations based upon the outcomes of the study were made in an effort to stimulate change in the monitoring and evaluation practices within the Ugu District Municipality and serve as a model for other municipalities who operate with similar challenges. This in turn may have a positive effect for the enhancement of water service delivery.



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## **ACRONYMS**

ANC – African National Congress

AU - African Union

CBO - Community Based Organisation

COGTA - Cooperative Governance and Traditional Affairs

CWP - Community Work Programme

CWSS - Community Water Supply and Sanitation

ECA - Economic Commission for Africa

ESDP - Electricity Sector Development Plan

EXCO - Executive Committee

FBS - Free Basic Services

GEAR - Growth Employment and Redistribution

GRAP - Generally Recognized Accounting Practices

GWMES Government Wide Monitoring and Evaluation System

IDP - Integrated Development Plan

IGR - Intergovernmental Relations

JPOI - Johannesburg Plan of Implementation

LED - Local Economic Development

LGSA - Local Government Strategic Agenda

LGTAS Local Government Turnaround Strategy

LGTS - Local Government Turnaround Strategy

LSCRWSC - Lower South Coast Regional Water Services Corporation

M&E - Monitoring and Evaluation

MDB - Municipal Demarcation Board

MDG - Millennium Development Goals

MEC - Member of the Executive Council

MFMA - Municipal Finance Management Act

MIG - Municipal Infrastructure Grant

MinMec - Minister and MECs

MISA - Municipal Infrastructure Support Agent

MPAC - Municipal Public Accounts Committee

NDP - National Development Plan

NGO - Non Governmental Organisation

OPMS - Organisational Performance Management System

PCC - President's Coordinating Council

PFMA - Public Finance Management Act

PMS - Performance Management System

RDP - Reconstruction and Development Programme

REC - Regional Economic Communities

SADC - Southern Africa Development Community

SALGA - South African Local Government Association

SARS - South African Revenue Service

SDBIP - Service Delivery Budget Implementation Plan

SDF - Spatial Development Framework

SPSS - Statistical Package for the Social Sciences

TQM - Total Quality Management

TQM - Total Quality Management

URC - Ugu Regional Council

URC - Ugu Regional Council

WHO - World Health Organisation

WSA - Water Service Authority

WSA - Water Service Authority

WSP - Water Services Provider

WSP - Water Services Provider

## APPENDICES

### APPENDIX A

#### Ethical Clearance



08 July 2015

Mrs Ronelle Tania Hlongwane (203513690)  
School of Management, IT & Governance  
Westville Campus

Dear Mrs Hlongwane,

Protocol reference number: HSS/0749/015M

Project title: An assessment of the monitoring and evaluation mechanisms for water service delivery: A case study of Ugu District Municipality

#### Full Approval – Expedited Application

In response to your application received on 22 June 2015, the Humanities & Social Sciences Research Ethics Committee has considered the above-mentioned application and the protocol have been granted **FULL APPROVAL**.

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

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

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

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

Yours faithfully

Dr Shonuka Singh (Chair)

/ms

Cc Supervisor: Professor PS Reddy and Dr C Mohammed Sayed  
Cc Academic Leader Research: Professor Brian McArthur  
Cc School Administrator: Ms Angela Pearce

Humanities & Social Sciences Research Ethics Committee

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Website: [www.ukzn.ac.za](http://www.ukzn.ac.za)



Supporting Departments: Edgewood Howard College Necosol School Pietermaritzburg Westville

## APPENDIX B

### Invitation to participate

#### **AN ASSESSMENT OF THE MONITORING AND EVALUATION MECHANISMS FOR WATER SERVICE DELIVERY: A CASE STUDY OF UGU DISTRICT MUNICIPALITY.**

Dear Participant,

This survey forms part of a dissertation for partial fulfilment of a Master of Public Administration degree by Ronelle Hlongwane (203513690) at the University of KwaZulu-Natal's School of Management, Information Technology and Governance.

The objective of the research is based on:

An assessment of the Monitoring and Evaluation mechanisms used by Ugu District Municipality to ensure effective, efficient and economic delivery of water services to its residents.

Your participation in this research project is completely voluntary. Your responses will remain confidential and anonymous.

For more information, please contact:

Mrs. Ronelle Hlongwane

Tel: 012 357 4353

Cell: 083 9779 396.

E-mail: [ronellehlongwane@yahoo.com](mailto:ronellehlongwane@yahoo.com)

Thank you for your participation.

Yours sincerely

**Ronelle Hlongwane**

***NB: Please complete the informed consent form below:***

.....  
I.....I.D.Number.....Hereby agree to participate in the study, I do so voluntarily and have not been forced or coerced into participating. I fully understand and agree with the terms of the study and am aware that I have the right to withdraw my participation if and when I deem necessary.

Signed.....at.....(Place) on this.....day of.....2016



## APPENDIX C

### QUESTIONNAIRE

#### PART A (All Participants)

#### BIOGRAPHICAL INFORMATION

Please respond to questions by selecting the applicable information in the blocks next to each question.

|  |                 |                |                |       |        |     |
|--|-----------------|----------------|----------------|-------|--------|-----|
| 1.Age:                                 |                 | 20-29          | 30-39          | 40-49 | 50-59  | >60 |
| 2.Gender:                              |                 |                | Male           |       | Female |     |
| 3.Job Title:                           | Junior Official | Middle Manager | Senior Manager |       | Other  |     |
| Specify:                               |                 |                |                |       |        |     |
| 4.Number of years in current position: |                 | <1-3           | 4-6            | 7-9   | >10    |     |
| 5.Highest qualification:               | Diploma         | Bachelor       | Post Graduate  |       | Other  |     |
| Specify:                               |                 |                |                |       |        |     |

## PART B (Junior Officials)

The following questions focus on Monitoring and Evaluation (M&E) at Ugu District Municipality and how it impacts on the delivery of water services.

Please respond to the following questions using the provided rating scale: headings:

**1=Strongly Disagree 2=Disagree 3=No Response 4=Agree 5=Strongly Agree**

1. I feel that Ugu Municipality Ugu District Municipality has sufficient resources to implement M&E.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

2. In my opinion, M&E is effective at Ugu District Municipality.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

3. I feel that there is a link between M&E and Ugu District Municipality's performance management process.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

4. I am of the view that M&E is the responsibility of line function managers.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

5. I am of the view that M&E is the responsibility of line function managers and subordinates.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

6. I feel that managers within this municipality have a positive attitude towards M&E.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

7. I feel that subordinates within this municipality have a positive attitude towards M&E.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

8. In my opinion, managers within this municipality have sufficient skills and knowledge to implement M&E.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

9. In my opinion, subordinates within this municipality have sufficient skills and knowledge to implement M&E.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

10. I feel that the data (information) used when conducting M&E is reliable.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

11. I am of the view that Ugu District Municipality has adequately linked M&E to its Vision and Mission.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

12. I feel that managers within Ugu District Municipality have a clear understanding of the goals of M&E.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

13. I feel that subordinates within Ugu District Municipality have a clear understanding of the goals of M&E.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

14. In my opinion, M&E is a mechanism for effective service delivery at Ugu District Municipality.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

15. I feel that M&E contributes significantly towards continuous performance improvement at Ugu District Municipality.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

16. I feel that M&E contributes significantly towards the setting of implementation goals for managers and subordinates.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

17. In my opinion, M&E within Ugu is designed in a manner that enables the municipality to detect early indications of under-performance.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

18. I feel that M&E within Ugu provides for corrective measures where under-performance has been identified.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

19. I am of the view that at Ugu, M&E compares current performance with performance during the previous financial year and baseline indicators.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

20. In my opinion, when assessing programme performance, evaluations look beyond the delivery process and focus on the results of inputs delivered and the work done.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

21. I feel that M&E is administered on a continuous basis at Ugu District Municipality.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

22. In my opinion, senior managers at Ugu District Municipality place much emphasis on the importance of M&E.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

23. I feel that members of the Municipal Council have sufficient capacity to oversee the implementation of M&E within Ugu.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

24. I feel that Ugu District Municipality provides sufficient capacity building (training) for all its employees with respect to M&E processes.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

25. In my opinion, Ugu District Municipality has an effective M&E Framework.

|   |   |   |   |   |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|

## PART C (Managers and Senior Managers)

The following questions focus on Monitoring and Evaluation (M&E) Framework at Ugu District Municipality and how it impacts on the delivery of water services.

### INTERVIEW SCHEDULE

1. To what extent has the ***Policy and Procedural Framework for the Implementation of Organizational Performance Management*** at Ugu District Municipality improved delivery of water services?

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2. How does the policy framework provide guidance in terms of the municipality's cycle and processes of performance planning, implementation, monitoring, evaluation, auditing and quality control?

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3. Has Ugu Municipality achieved the seven (7) compulsory key performance indicators emanating from Section 43 of the Local Government Municipal Systems Act and Regulation 5 (1) in the previous financial year?

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4. How does Ugu District Municipality ensure that clear, consistent, and visible involvement by EXCO and managers is mandatory for successful performance measurement and management?

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5. What other Monitoring and Evaluation mechanisms does Ugu District Municipality have in place to ensure effective delivery of water services to its citizens?

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6. Has the municipality experienced any challenges in terms of the adequate delivery of water services to all its residents in the last financial year?

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7. What targeted interventions have been undertaken by the municipality to address any challenges related to the delivery of water services to communities?

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