

Nangipha Mnandi: 211541529, An assessment of the implementation of Batho Pele principles in waste management and water services in uMsunduzi local municipality.

**AN ASSESSMENT OF THE IMPLEMENTATION OF THE BATHO PELE
PRINCIPLES IN WASTE MANAGEMENT AND WATER SERVICES IN UMSUNDUZI
LOCAL MUNICIPALITY.**

By

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**A dissertation submitted in fulfillment of the academic requirements for the degree of
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DECLARATION-PLAGIARISM

I, Nangipha Mnandi, declare that:

1. The research reported in this dissertation, except where otherwise indicated, is my original research.
2. This dissertation has not been submitted for any degree or examination at any other University.
3. This dissertation does not contain other person's data, pictures, graphs, or other information unless specifically acknowledged as being sourced from other persons.
4. This dissertation 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 rewritten, but the general information attributed to them has been referenced.
 - b. Where their exact words have been used, then their writing has been placed in italics and inside quotation marks and referenced.
5. This Dissertation does not contain text, graphics, or tables copied and pasted from the internet unless specifically acknowledge and the source being detailed in the dissertation and reference sections.

Signed:

ACRONYMS

AG	-	Auditor General
ANC	-	African National Congress
COGTA	-	Co-operative Governance and Traditional Affairs
DA	-	Democratic Alliance
DPSA	-	Department of Public Service and Administration
EFF	-	Economic Freedom Fighters
HSRC	-	Human Sciences Research Council
IFP	-	Inkatha Freedom Party
IGR	-	Intergovernmental Relations
IMF	-	International Monetary Fund
PSC	-	Public Service Commission
UN	-	United Nations

ABSTRACT

Government policy has been an integral component of service delivery in the democratic dispensation. Since 1994, service delivery has been a top priority for the government, which has acknowledged it as a tool to reduce poverty and gear, South Africa, towards becoming a developmental state.

Through its admission, the government has acknowledged that service delivery is a continuous challenge that the government is working towards overcoming and improving by introducing more policies and streamlining services and restructuring certain departments. Challenges of this nature have been mainly evident in the local government level where municipalities, across the country, have been declared dysfunctional and therefore, unable to render essential services to its people. The Msunduzi local municipality is a perfect illustration of that where this embattled municipality has undergone several managerial changes and the recalling of two mayors in less than five years due to persistent challenges that continue to cripple the municipality.

It is against this backdrop that this master's dissertation looks to assess the implementation of *Batho-Pele* principles concerning waste and water services in the uMsunduzi municipality. The study is done by adopting a qualitative methodological study consisting of seven interviews interviews with key stakeholders from the uMsunduzi local municipality and the KwaZulu-Natal department of Cooperative Governance and Traditional Affairs. This project uses the theory of good governance and public administration, which establishes that *Batho-Pele* principles have, for the most part, been neglected in the municipality and has directly resulted in the significant decline in the provision of critical waste removal and water services amongst others. Moreover, the study also finds that the municipality has not been able to adhere to key principles of good governance and public administration, which also contributed to the challenges that currently confront the municipality.

This study further makes recommendations about the improvement of service delivery, which includes strict adherence to *Batho-Pele* principles. Furthermore, the strengthening of monitoring and evaluation capacity at local government level and the professionalization of public services to ensure that the most suitable public servants are appointed based on merit and so that the

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municipality provides the best possible services which are embodied by the *Batho-Pele* principles and enshrined in the constitution.

Chapter One: Introduction and Theoretical Framework.

“Any system of government’s success depends on the extent to which its policies are implemented” Chris Thornhill

(1.1) Introduction

One of the most important functions of government is delivering public services to citizens. In South Africa’s three-tiered system of government, Local government is considered to be a key point in the public service delivery process, given that municipalities operate closest to local communities (Thornhill 2008:492). As a result, municipalities at both the local and district level are entrusted with public resources to ensure that basic community needs are met through service delivery (Reddy 2016:3). Ndebele and Lavhelani (2017:34) point out that service delivery, from a Local government standpoint, refers to the provision of basic resources such as water and sanitation, electricity, and waste management. Therefore, Local government is largely responsible for providing basic services and fostering local development (Department of Public Service and Administration, 2003:8).

Constitutionally, municipalities are obligated to provide public services to local communities. Under the new democratic dispensation, access to basic services is no longer a privilege but instead a right that is enshrined in the constitution (Greenstein 2006:420). It is in recognition of this, as well as a key part of the developmental project of reconstructing South Africa that the Department of Public Service and Administration (DPSA) in 1997 drafted the White Paper on Transforming Public Service Delivery (WPTPS). The policy document also known as the *Batho Pele* white paper, lays out the strategy for transforming service delivery through the promotion of eight transformation priorities which seek to make service delivery more effective to meet the basic need of all South Africans (White Paper of Transforming Public Service Delivery, 1997). Moreover, these transformation priorities are referred to as the Batho Pele principles; *Batho Pele* is a Sotho word for people first. As the name suggests, an integral part of this policy is ensuring that the public service at all times priorities citizens and put them at the centre of all service delivery initiatives. To this point, Skweyiya (1997:5), states that a crucial part of Batho Pele is the relentless search for increased efficiency and the reduction of wastage within the public service. The eight *Batho Pele* principles, namely consultation, service standards, access, courtesy, information,

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openness and transparency, redress as well as value for money, though are not legislation but rather a white paper, local government is still expected to adopt or adhere to them, To this point, Mfene (2009:216), mentions that the *Batho-Pele* principles are practical steps which seek to transform public service delivery by making state and government institutions such as municipalities more responsive to people's needs.

The challenges that the *Batho-Pele* principles may present public sector servants are acknowledged by Skweyiya (1997:5), who admits that implementing these principles in the public service may prove to be difficult. In recognizing this (Ingle 2011:75) maintains that in South Africa, there is a gap between policy formulation and implementation and that this poses a huge challenge to the successful implementation policy directives like *Batho Pele*. Furthermore, as noted by (Kuye and Ile, 2007: 89), the implementation of Batho Pele principles, as well as the matter of local government being more responsive to people's needs and fulfilling its constitutional obligations is proving to be quite a daunting task given the current state that many municipalities find themselves in. As a result, municipalities are faced with ever-increasing residents' demands as well as growing incidences of violent protests against poor service delivery standards (Mofolo and Smith, 2009:430). Additionally, Local government has predominantly become associated with financial mismanagement, corruption, and non-compliance with financial legislation, as well as a lack of good governance overall (Institute for Democratic Alternatives in South Africa, 2010:6). Subsequently, all these factors contribute to poor performance and compromise the delivery of basic services as well as undermine key transformation priorities such as Batho Pele.

On that note, the uMsunduzi municipality has itself also been a victim to some of the key challenges stated above that continue to plague South Africa's local government system. The city of Pietermaritzburg, situated within the uMsunduzi municipal boundary, is the capital of the province of KwaZulu-Natal. The city is also known as uMsunduzi municipality and was established on the 5th of December 2000, under the Demarcation Act of 2000 when the area of jurisdiction was expanded to incorporate the old city council, Edendale valley, Ashburton, Lynn Field park, Claridge and Vulindlela (Cassimjee, 2003:12). The Msunduzi municipality is located along the N3 at the junction of an industrial corridor from Durban to Pietermaritzburg and an agro-industrial corridor stretching from Pietermaritzburg to Estcourt. It is the second large largest urban centre within the province of KwaZulu-Natal and is the main economic hub of the uMgungundlovu

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District Municipality. With the city currently inhabiting over 600-000 occupants, it is no stranger to having to accommodate the ever-increasing service demands of such a large and growing population. Subsequently, the municipality has experienced service delivery protests and anti-corruption marches emanating from a decline in service delivery standards and the poor application of *Batho Pele* together with other factors (Ntuli, 2018). Officials in the municipality have, on several occasions, been accused of corruption, irregular expenditure, and maladministration, which have resulted in the municipality being placed under administration by the provincial department of Co-operative Governance and Traditional Affairs (COGTA).

Local government is largely considered to be at the heart of poor service delivery, and any shortcomings in the provision of service delivery are likely to be attributed to bad governance (Mdlongwa, 2014:39). At a municipal level, the quality and efficient provision of basic services like running water continue to be a constant challenge; this is because despite significant gains made in the provision of water; many households still lack access to safe, affordable and reliable services of drinking water (Lehohla, 2016:14). Likewise, waste management continues to be a challenge in many municipalities, which may be attributed to the fact that the majority of local authorities lack the capacity and infrastructure to implement effective waste reduction and management strategies (Mannie and Bowers, 2014:19).

The research topic will provide an assessment of the implementation of the *Batho Pele* principles in local government using uMsunduzi local municipality as a case study, specifically focusing on their waste management and water services. The research is conducted by exploring service delivery and governance issues within the local sphere of government as well as engaging municipal workers and officials on their experience and perspectives concerning service delivery and *Batho Pele* implementation in local government. Moreover, the study will be undertaken with the aim of critically exploring service delivery and policy implementation challenges, as well as improving municipal performance, the application of *Batho Pele* principles, and promoting good governance. Furthermore, the Minister of COGTA Nkosazana Dlamini Zuma expressed concern at the Auditor-General latest report that out of 257 municipalities only 18 have achieved clean audits; furthermore, the minister cites issues ranging from weak governance and performance challenges that remain a major concern stressing that the department needs to address the deteriorating state of local government (COGTA, 2019). Besides, reports from the department

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itself show that 87 municipalities, which are over 30% of the country's municipalities, have been described as being dysfunctional or distressed (Herman, 2018). Government reports reflect that much of Local government is in distress and that the current state of affairs has become deeply embedded within the system of governance (COGTA, 2009:5). Hence, the government has become desperate to resolve several issues that are crippling good governance and service provision. As a result, there is a need now to continue to reassess which governance and service delivery standards embody municipal functionality, so has to ensure that local government fulfills its developmental role. The apparent dysfunctional state of local government necessitates research of this nature because it has the potential to inform policy choice and capacity development.

(1.2) Background

The current democratically elected South African government inherited challenging administrative, economic, and political structures emanating from decades of Apartheid rule (Franks, 2014:48). Both legal and administrative structures were not developed to serve the whole country but instead a tiny minority. These structures were used by the Apartheid regime to disenfranchise the population of non-whites further. Moreover, during this period, the majority of the population was systematically denied human rights, effectively limited access to land, and deprived of basic services (Venter, 2007:75). Under the Apartheid system, the public service was racially biased and characterized by exclusive authorities for different race groups, during this period; local government in the majority of rural areas where black people were confined was not adequately established (Sithole and Mathonsi, 2015). Moreover, in the homelands and urban areas in which blacks resided, citizen's experienced huge backlogs in basic services such as water, electricity, refuse removals, health, and education facilities (Venter, 2007:77). Most of the areas that were designated for the rest of the population were not provided with sufficient municipal services as opposed to the areas in which white South Africans resided (Sithole and Mathonsi, 2015).

That is why given the country's unequal past, the government of national unity that came into power in 1994 placed on the top of its agenda the complete redressing of the legacy of Apartheid by establishing a system of governance that would address the needs of the entire nation (Gilder, 2015:577), which saw the reconfiguration of government, the adoption of a new constitution. The new constitution was accompanied by a system of co-operative government, whereby national,

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provincial, and local spheres of government are required to collaborate and co-ordinate their efforts in providing public services and securing socio-economic development. However, Nkomo (2017:4) asserts that even more than two decades after the end of apartheid, many of the structural barriers to good service delivery continue and that municipalities may be perpetuating the apartheid era spatial design of most towns and failing to ensure effective integration and equality.

(1.3) Problem Statement

Service delivery in local government remains a major challenge across South Africa. According to Alexander (2010:25), protest action amongst which includes service delivery related protests have increased significantly since 2004. Besides, Muller et al. (2017:86) observe that violent and disruptive behaviour is seen as an effective tool to communicate dissatisfaction with local government service delivery amongst ordinary South Africans, this is further reflected by the community protests that continue to plague Local government together with high levels of dissatisfaction amongst residents (Kanyane, 2014:104). It is largely acknowledged that service delivery remains an issue of concern amongst South Africans across the board. Moreover, provided the fact that it has been 26 years since the first democratic dispensation and 23 years since the white paper on transforming public service delivery, a sense of frustration from citizens caused mainly by the slow pace of service delivery is observable.

Since the advent of democracy, there has been a significant increase in the demand for more efficient public services. As a result, municipalities' capacity to meet these demands has since been questioned by local communities (Mannie and Bowers, 2014:427), tasked with assisting in transforming the public service through a people-centered service approach. The *Batho Pele* principles are considered by the government to be the key to improving public service delivery and performance in municipalities (Mofolo and Smith, 2009:430). Furthermore, the *Batho Pele* policy seeks to enhance the provision of public service and promote good governance overall through a people-centered and service orientated approach (Mofolo, 2012:74). However, their implementation has come under question given the prominence of poor governance and a lack of efficient service delivery in local government.

More recently, local communities are unhappy with amongst other things, the deployment of unskilled, unqualified and inexperienced cadres to municipal management positions, as well as the

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excessive abuse of the tendering system, to enrich a few (Mpehle, 2012:222). Such a system can be argued negatively affects service delivery as well as prevents the successful implementation of *Batho Pele* (Ingle 2011). Furthermore, (Kanyane 2014:100) points out that many media reports indicate that there is a growing concern about the poor state of governance across all spheres of government, namely that corruption, maladministration, and political infighting are harming the provision of public services. Besides, Reddy (2016:5) maintains that Local government has been the most susceptible to these practices.

Such challenges have persisted across a majority of the municipalities all over the country. Therefore, it is in light of these acknowledged obstacles and others emanating from poor governance and systemic weaknesses in Local government that the study seeks to assess how effectively the *Batho Pele* principles are being implemented by civil servants within Local government (in this case Msunduzi municipality). Furthermore, this research looks to explore the effectiveness of measures put in place by the municipality to enhance the provision of basic services such as waste management and the provision of water as well as analyze the current service delivery and governance challenges within uMsunduzi municipality.

(1.4) Definition of key terms

Accountability: This is a means of ensuring that the actions and decisions taken by public officials are subject to oversight to guarantee that government initiatives meet their stated objectives and respond to the citizen's needs (Stapenhurst, 2019). Accountability is the assurance that any actions from a person or entity should answer to some authority or persons and must be measured against set standards or expectations (Sikhakane and Reddy, 2011:85). In other words, all government employees and representatives within all spheres must be held responsible for outcomes and must be subject to the law.

Batho Pele: Is a political initiative that was launched by the South African government under the first democratic administration to transform the public service at all levels. It is an approach to enhance service delivery by getting public servants to commit and prioritize serving people by providing good customer service (Nzimakwe and Mpehle 2012:282). *Batho Pele* serves as a service user-centred service delivery strategy that the democratic government of South Africa is using for its public service transformation agenda, the approach requires that citizen's needs

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become the central focus of public service delivery and that all citizens have equal access to public services of the highest order (Public Service Commission, 2012).

Corruption: Is any conduct or behaviour by a person assigned with obligations in the public office, which violates their duties as public officials and which are aimed at securing undue benefits for themselves or others (Department of Public Service and Administration, 2002). Corruption can also be understood as the abuse of entrusted power for private and personal gain (Sebeka and Sebola 2014:746). Corruption manifests itself in a numerous of forms in the public sector, however in all its forms, corruption negatively impacts resource allocation and government performance, therefore, it is widely considered to be one of the biggest threats to good governance and development on the African continent (Naidoo, 2012).

Cadre Deployment: Is the strategic appointment of individuals that are politically committed or loyal to the ruling party into key positions in government to effectively influence policy directives or other initiatives (Tshishonga, 2014:892). Cadre deployment or re-deployment involves appointing party members to any position, even in government, according to party interest (Maphunye, 2005:223). The deployment of African National Congress (ANC) cadres to strategic positions have played a key role in the governing party's control of the post-Apartheid state (Twala2014:159). To this point, the ANC used cadre deployment to subsequently restructure government structures by ensuring that the public service was staffed with individuals that would redress the legacy of Apartheid, and provide public services in a manner that is in line with the constitution under the new democratic dispensations (Maphunye, 2005). However, this policy has not come without a few challenges, especially in Local government where service delivery is most critical.

Governance: Is how power is exercised in the management of a country's economic and social resources (World Bank, 1994). It encompasses the process of decision making and the process by which decisions are implemented or not implemented (United Nations, 2019). Therefore, governance is a process whereby societies or organizations make key decisions, determine who they include in the process, and how they will enforce accountability (Graham and Amos and Plumptre, 2003:1). In the South African context in terms of local government, governs concerns how a municipality or department organizes itself, determines its priorities, and allocates resources

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and how it enforces laws and policies as well as how it holds its office bearers accountable (Venter, 2007).

Good Governance: Is the process whereby public institutions conduct public affairs, manage public resources, and ensure the realization of human rights in a manner that is devoid of abuse and corruption and abides by the rule of law (United Nations, 2019). In addition, it concerns the political and institutional processes and outcomes that are considered necessary for the attainment of development goals (Weiss, 2000). Good governance entails government institutions adopting certain principles or characteristics that enable them to coordinate their affairs better and successfully serve citizens.

Intergovernmental Relations: Is the interaction and shared responsibilities between all levels and spheres of government. It involves all the complex and interdependent relations among national, provincial and local spheres of government as well as the coordination of public policies within all spheres through programme reporting, grants-in-aid, the planning, and budgetary process and informal communication among officials (Fox and Meyer, 1995:66). Intergovernmental relations consist of facilitative systems and relationships that enable the units of government to participate effectively and carry out mandates so that government objectives are achieved; this includes executive mechanisms, coordinating mechanisms, co-operative agreements, judiciary and legislative mechanisms that all facilitate delivery by government machinery (Ile 2010:53). In South Africa, the constitution obligates all spheres and all organs of the state within each sphere to adhere to the principles of intergovernmental relations stipulated in Chapter 3, section 41 of the constitution (Constitution of SA, 1996).

Local government: Is a distinct sphere of government that consists of municipalities that are established for each demarcated area and are responsible for a significant range of services (Constitution of SA, 1996).

Maladministration/ Mismanagement: Refers to the failure by a government organization, agency, or entity to carry out its duties and responsibilities accordingly (Mhlauli, 2011:1352). It is a situation where an individual or group in charge is unjust, dishonest, or ineffective in their assigned duties; it is also used to describe corrupt behaviour by any public official.

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Municipality: Refers to the organizational units of Local government; in other words, they are organs of state within the local sphere of government consisting of political and administrative structures (Venter, 2007). Furthermore, a municipality can also refer to geographic areas, which is a municipal area determined in terms of the Municipal Demarcations Act (Nealer, 2016).

Municipal performance: refers to how municipalities provide services to the public as well as the consequences of their decisions and actions.

Municipal service: A service that the municipality provides in terms of its powers and functions (Venter, 2007). These are outlined in the constitution and include services such as water, electricity, and waste management among others.

Policy: Is the basic principles by which a government is guided, as well as the declared objectives that a government seeks to achieve (Business dictionary, 2019). It is also a set of interrelated decisions taken by a political actor or a group of actors concerning the selection of goals and the means of attaining them with a definite situation where those decisions should, in principle, be within the power of those actors to achieve (Jenkins, 1978:4).

Public Administration: Is the management of public affairs and the implementation of government policies (Theletsane, 2013:177). Public administration deals with the nature and practice of government and the public sector (Venter and Landsberg, 2011). In addition to this, it refers to the activities of public officials, also known as civil servants or public servants, on behalf of the public (Brown and roux 2003:69).

Political infighting: Refers to disagreements over who has power and control among members of a political party, group, or organization (Bakke et al., 2019).

Service delivery: The provision of public activities, benefits, or satisfaction, services relate both to the provision of tangible public goods and intangible services (Nealer, 2016).

Service delivery protest: This is when dissatisfied or aggrieved community members take to the streets to express their frustration with the standard or level of service delivery in a specific area or when residents demonstrate because they are unhappy with how a specific municipality is being managed (Botes, 2018). Service delivery protests can be peaceful; however, they can also be

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violent resulting in the blockages of roads, damage to property and clashes with the police, and even fatalities in some extreme circumstances (Nene, 2016).

(1.5) Rationale and Significance of the study

Local government is largely considered to be a critical point of service delivery given its proximity to local communities and therefore is expected to play a developmental role. However, in recent years, municipalities have come under intense scrutiny, mainly due to incompetence, corruption, and a decline in service delivery standards (Koelble and Siddle, 2012). Which is despite the introduction of the new constitution in 1996 as well as a plethora of policies and statues that were introduced to provide effective, efficient, and responsive government at a local level. Gilder (2015:775) suggests that local government to date still faces significant stumbling blocks in redressing the legacy of the past, particularly in ensuring for the provision of basic services such as water, electricity and waste services. For this reason, this research seeks to analyze key challenges in Local government to improve capacity and generate more innovative solutions that can aid in addressing these issues. Studies of this nature explore key issues around service delivery and policy implementation at municipal level have become increasingly important because even though the number of people that have access to basic services has increased significantly in post-apartheid South Africa, many citizens remain disenfranchised due to poor service delivery and a lack of compliance with legislative and regulatory frameworks.

A critical analysis of the challenges confronting municipalities and that are preventing civil servants from effectively providing public services and implementing key service delivery prescripts such as *Batho Pele* is needed to improve municipal performance and policy implementation. Furthermore, good governance is widely regarded as the key to establishing a functional local government that can fulfill its constitutional obligations and developmental objectives (Mle and Maclean, 2011). Therefore, studies such as this one seek to ensure that good governance principles are better understood and applied by officials can contribute to improving the running and management of municipalities. Moreover, exploring a wide range of factors that impede efficient municipal functionality in terms of public service delivery is crucial in assisting in improving capacity and better informing policy choice in local government.

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(1.6) Research questions

In assessing uMsunduzi municipality's implementation of the *Batho Pele* principles to enhance the delivery of waste management and waters service as well as improve overall performance, this research will focus on the following key questions.

- What is the role of the *Batho Pele* principles in local government?
- How are the *Batho Pele* principles being implemented in the uMsunduzi municipality's waste management and water services?
- How does the conduct of public servants' impact on service delivery and municipal performance?
- What are some of the key challenges to efficient service delivery and good governance within the municipal space?

(1.7) Research objectives

The main objectives of the study are the following:

- To critically assessing how effectively the *Batho Pele* policy is being implemented within local government.
- Critically analyze the current state of public service delivery within municipalities.
- Examine the impact of service delivery protests, corruption, mismanagement, and overall poor governance in local government on public service delivery transformation.
- Establish what innovative measures can be taken by municipalities to improve public service provision and the execution of *Batho Pele*.
- Interrogate policy implementation and public service delivery issues in uMsunduzi local municipality.

Ultimately, all the above steps will be undertaken with the aim of finding more innovative ways of improving the application of the *Batho Pele* approach, basic service provision as well as promoting good governance in local government.

The need to better promote good governance is further highlighted by the fact that reports from COGTA reveal that the majority of the country's municipalities have been described as being dysfunctional or distressed (Tandwa, 2019). Furthermore, that distress can, in some instances, be

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attributed to mismanagement due to political instability or interference, corruption and incompetence (Herman, 2018). As a result, given that the current state of local government in which only 7% of the country's municipalities have been classified as fully functioning, service delivery has become a major concern (Tabane, 2018). Moreover, a report conducted in 2016 by Statistics South Africa on the state of basic service delivery in the country, found that more than three-quarters of South African 75% households held the view that municipalities were not actively addressing service delivery issues (Lehohla, 2017:4).

Moreover, a study conducted by the PSC, on the state of compliance with the *Batho Pele* principles found that the rate or level of compliance is very low (Baloyi, 2008:10). Taking all the above in to account, it clear that there is growing discontent at the level of progress made to this point. According to Nkomo (2017:1-2), the ruling party losing power in some Metros in the 2016 local government elections reflects growing concerns of political and systemic weakness, including a lack of qualified staff, capacity, professionalism and accountability at the local sphere of government.

The issues around the transformation of public service delivery and effective policy implementation in South Africa's public service reflect a bigger challenge, that of leadership and good governance on the African continent. According to Matshabaphala (2015:497-498), there are many leadership and good governance lessons that can be learned from African traditions, philosophies, and systems. In particular, the adoptions of Ubuntu through the *Batho Pele* approach can ensure the effective and efficient provision of services that is in line with an African understanding of leadership. True leadership is about improving the lives of others and making the world a better place, one in which all life is valued. Besides, *Batho Pele* requires that politicians and officials incorporate the philosophy of Ubuntu as they discharge their responsibilities in the public service. However, improving governance in South Africa as well as other parts of Africa requires a greater understanding of one's history, culture and humanity together with the necessary skillset to establish systems that could address the realities that confront that given society (Matshabaphala, 2015:503).

It is acknowledged that expectations for substantial change in the lives of ordinary South Africans are higher than ever before. As a result, it is imperative that the government further builds on the

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gains made in tackling the legacy of apartheid by transforming the public service and ensuring good governance for the betterment of the entire nation. It may be ambitious but one of the broad objectives of this dissertation is to make a small contribution to the project of improving South Africa by analyzing some of the key issues in local government to hopefully manufacture creative solutions.

(1.8) Theoretical framework

A theoretical framework is a key component of a research study. According to Grant and Osanloo (2014:12), a theoretical framework serves as a cornerstone for the research and can be considered to be one of the keys supporting the research study's problem statement and research question. Besides, a theory is expected to enable one to understand, explain, and predict events within a specific frame of reference (Mafunisa and Dzegwa 2007:765).

The theoretical approaches that the researcher will use in this study are the theory of good governance and the theory of public administration.

- **Theory of Good Governance**

The concept of good governance was created as a response to the lack of sustainable economic growth in some regions of the world. Initially, the International Monetary Fund (IMF) and the World Bank used the concept as a requirement for providing financial aid and loans to developing countries (De la Harpe, 2008:3). Moreover, the concept became apparent because of instances of poor or bad governance, mainly characterized by corruption, unaccountable government, and human rights violations (Caluser and Salagean, 2007:18). It is important to note that there is hardly a shared definition of good governance; however, there are commonly accepted principles. These principles or pillars are identified by the United Nations Development Programme (UNDP, 2011) as the following: Accountability, Effectiveness and efficiency, Openness and Transparency, Participation, and the rule of law. The principles advocated with the notion that all states but more so developing countries would be better if they adopted these principles, by conducting public life within institutions that are fair, judicious, transparent, accountable, participatory, and responsive as well as well managed and efficient (Grindle, 2011).

The most common principles or attributes of good governance are the following:

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Accountability: Implies that all decision-makers in government and managers in the public sector are held responsible for carrying out their required tasks and duties, and for complying with the rules and standards applicable to their positions (Prinsloo, 2013:10).

Effectiveness and efficiency: This means those public institutions and their processes must be responsive to the people's needs and must serve all citizens without misusing resources. The government must ensure it delivers quality public services and commits to policy implementation. (United Nations Economic and Social Commission for Asia and the Pacific, 2019).

Openness and transparency: The decisions of public institutions must be communicated to the public, besides the government must ensure that there is a free flow of information and it is accessible to the public (Burger, 2009:16).

Participation: Inclusive participation requires that all men and women should be involved and have a say in decision making either directly or through some form of legitimate representation. The government should guarantee freedom of association and expression to facilitate meaningful participation (UNESCAP, 2019).

The rule of law: Legal frameworks must be fair and enforced impartially; there must be independent judiciary and capable law enforcement agencies (Burger, 2009:20).

Governance, when used with regards to the government or the public sector, is generally understood as referring to the institutional foundations of public authority and decision making (Grindle, 2011;2). In this sense, governance involves the institutions, systems and other factors that dictate how political and economic interactions are structured and how decisions are made and resources distributed (Sabella, 2007). One can infer from this general concept that good governance is a positive feature or desired outcome of political systems, while bad governance is an obstacle that states need to overcome.

Good governance describes how public institutions conduct public affairs and manage public resources inappropriate manner (UNESCAP, 2009). Moreover, the primary focus of the concept of good governance is the responsibility of governments and governing agencies or structures to

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meet the needs of all citizens. Also, to this end, good governance is sometimes used to refer to normative concerns about what government should do to address matters of national interest, for example, poverty reduction, economic growth, or providing basic services (Grindle, 2011:2). Good governance calls for the improvement of virtually all aspects of the public sector, and it raises questions about what needs to be done and who needs to do it (Grindle 2007:553), this is why any lapse in the politics or administration of the state is attributed to a lack of good governance.

Accordingly, good governance concerns various aspects of society, the economic dimension, the social dimension, and the political dimension, and therefore, it becomes very important when analyzing any affairs connected to the work of government (Caluser and Salagean, 2007:14). It is through adopting the above understanding of good governance that one will unpack or engage literature relating to *Batho Pele* and service delivery in local government. In the South African context, the constitution and the *Batho Pele* white paper are some of the key measures to enhance good governance in the local sphere of government (Mle and Maclean, 2011: 1366). According to Govender (2015:93), good governance is the commitment of officials to comply with the various legislation and protocols that inform their performance. Similarly, Nzimakwe (2014) states that good governance is built upon an effective interface between political office bearers, political structures, councilors and officials, the delegation of appropriate powers to achieve maximum operational and administrative efficiency and the amicable resolution of disputes between the respective role players. However, Prinsloo (2015:3) maintains that good governance begins with the political will to govern well; this point is significant given the plethora of challenges that local government is currently confronted with. Moreover, to address the challenges within municipalities and ensure efficient service delivery, capable leadership is required.

The researcher will adopt the above understanding of good governance and make use of accountability, effectiveness and efficiency, openness, and participation principles. Furthermore, the researcher adopts this theoretical framework because it can explain the various phenomenon that has infiltrated the public service and how such acts of malfeasance affect the government's ability to meet its service delivery objectives. Besides, this theoretical framework can challenge the researcher to look for common features that can be found in such a scholarly space from a

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research perspective and where gaps exist and any different contributions that the researcher can come up with within the application of this theoretical framework.

- **Theory of Public administration**

Definitions of public administration vary, and in most cases, the concept is mostly defined by using examples (Theletsane, 2013). Public administration comprises of two components, the first as being an academic discipline and the second being an activity (Theletsane, 2013). Besides, it encompasses the management and administration of, and interaction between public institutions and other role players and stakeholders, along with the accompanying dynamic processes (Shafritz, Russel and Borick, 2009:14). Stillman (1980:3) states that public administration is the implementation of government policy as well as an academic discipline that studies this implementation and prepares civil servants for working in the public service.

Furthermore, according to Cladden (1961:12), public administration is concerned with the activities of government and that the word administration refers to caring and looking after people, to manage their affairs and that an administrator is a servant and not a master. In other words, public administration is mostly concerned with the organization of government policies and programmes as well as the behaviour of officials (Thornhill and van Dijk, 2010:96). Besides, the public administration discipline as part of the social science field is also connected to human action and human behaviour; therefore, it is relevant when researching matters such as the implementation of *Batho Pele* and service delivery, which also emphasizes human relations. Furthermore, public administration is a multidisciplinary field that combines organizational theory, social theory, political theory and related studies (van der Waldt, 2007:184).

There are various approaches to public administration ranging from the classical or traditional to modern models. The traditional public administration approach states that there should be a clear distinction between politics and administration and that the bureaucracy should comprise of officials appointed purely on merit and whose purpose is to serve the public interest (Katsamunskia 2012:75-76). Other key elements of public administration are the dominance of the rule of law and emphasis on administering set rules and guidelines, as well as hiring professionals in the service delivery system.

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The New Public Management (NPM) approaches advocate adopting and incorporating private sector management practices into the public sector. This approach places emphasis on the economy, efficiency and effectiveness of government institutions, processes, and programs, and higher quality service delivery (Katsamunski 2012:77). Furthermore, the new public management approach is results-driven and focuses on clients, performance, objectives, and outcomes. Besides, NPM attempts to instill a culture of productivity, accountability, and flexibility in government (Denhardt and Denhart, 2015). The NPM approach is widely regarded as a new paradigm to promote the principles of decentralized, democratic and free market-orientated government (Doorgapersad, 2011:239).

Public administration, both the traditional approach and modern new public management are appropriate theoretical frameworks for analyzing local government specifically about service delivery. Both approaches could prove useful and attempting to address some of the key challenges confronting the local government, particularly governance issues in many municipalities. It is for these reasons that the researcher has chosen to adopt the theory mentioned above as part of this study. Social sciences studies tend to be multi-disciplinary and encompasses different ideas and when conducting social sciences research, different theoretical frameworks can contribute meaningfully towards the study. Local government, also by its very nature, encompasses several different dynamics. Furthermore, public administration plays an important role in developing countries to deal with socio-economic challenges that continue to exist; also, public administration does not exist in isolation. It exists in the political and governmental realm. The political-administrative relationship in local municipalities is strained by instances whereby municipal officials and councilors are struggling to find roles for themselves that will ensure that service delivery objectives are met (de Visser, 2010: 94).

Moreover, the relationship between public administration and the political system is also inclusive of the role of academia. Upon adopting this theoretical framework, the researcher will be able to fulfill the study objectives that are stipulated in the research study. Moreover, the research questions posed by the researcher can be adequately addressed by adopting the public administration theory as a guiding framework. Besides, the theoretical framework chosen will be able to explain the intrinsic dynamics that a study of this nature tries to understand.

(1.9) Research assumption and limitations

The key assumptions in this research are that *Batho Pele* remains the key to improving public service delivery, particularly at a local level where municipalities operate within local communities. Furthermore, that civil servants need to form a deeper understanding of the *Batho Pele* approach to implement it more effectively and enhance public service transformation. Besides, improving the functionality of municipalities as well as service delivery is dependent on good governance; however, good governance requires more ethical leadership together with a greater commitment to the people from all those in government.

This study will not focus on the implementation of the *Batho Pele* principles in the national and provincial spheres. It will turn its attention solely to the local sphere, focusing primarily on the experience and perspective of local government officials and municipal workers concerning Batho Pele, service delivery and municipal governance

1.9.1) Chapter overview

Chapter 1: Introduction and overview of the study

This chapter is introductory and provides an overview of the research as well as the definition of key terms, and rationale of the study along with the research questions, key objectives, theoretical framework, research assumptions, and limitations.

Chapter 2: Literature review

This section comprehensively covers a wide range of literature on *Batho Pele* and service delivery within local government outlining key debates and findings.

Chapter 3: Research Methodology

This chapter provides a concise overview of how this research will be conducted, employing a qualitative research design approach using a case study design. This research will use primary data in forms of conducting semi-structured interviews and the use of proxy documents.

Secondary data in the form of books and journals were used to compile the literature section.

Chapter 4: Analysis and discussion of results

The analysis and key findings are discussed in this chapter, which discusses the themes that emerged from the analysis of the interviews. Themes reflect that service delivery, along with the implementation of *Batho Pele* principles, remains a huge challenge in the uMsunduzi municipality.

Chapter 5: Conclusion and recommendations

This chapter concludes the study covering key summaries on the research conducted on the *Batho Pele* principles and municipal service delivery; it also provides recommendations on how the *Batho Pele* policy can be better implemented and service delivery challenges can be better addressed.

(1.10) Conclusion

This chapter provided a broad insight into the nature of the study conducted. It discussed the relevant background information of the study and provided a rationale that motivated the researcher to undertake a study of this nature. After that, the chapter described the key research questions as well as the aims and objectives of the study together with the theoretical approach as well as limitations of the study. The following chapter presents the literature review looking at issues around service delivery and *Batho Pele* in local government.

Chapter Two: Literature Review

“Public service must be more than doing a job efficiently and honestly. It must be a complete dedication to the people and the nation” Margaret Chase Smith.

(2.1) Introduction

The pursuit of socio-economic development through good governance and effective public administration remains a major challenge in post-colonial Africa. One of the most persistent challenges has been public service transformation and policy implementation in African governments. In recognition of this, some academic work about public administration and service delivery in African states has been carried out.

Furthermore, various scholars across the continent have attempted to study governance and public administration to understand the causes, consequences, and possible solutions to the challenge of ineffective policy implementation and poor service delivery in the public sector. In the South African context, similar work has been done to examine the role of the civil servants in the public sector and their impact on key government priorities such as service delivery.

Consequently, the literature on public administration and service delivery in South Africa dates back from the Apartheid period to the current democratic dispensation. It details a wide range of topics related to public sector service delivery. This literature review chapter will visit the extensive literature written on public service transformation and service provision within the South African government. Besides, it will explore how policy initiatives like the White Paper on the Transformation of the Public Service of 1997 (WPTPS) through the *Batho Pele* principles are being implemented in local government to attain key government listed priorities such as socio-economic development through sufficient service delivery.

The ANC led government came into power in 1994 under the new democratic dispensation recognized the need to address all the challenges relating to service delivery in post-apartheid South Africa. As a result, the government of national unity was faced with the huge task of rebuilding the country after decades of colonial and Apartheid rule, which had marginalized the black African majority. To undertake the momentous task of redressing the historical imbalances, the ANC government prioritized the transformation of the public service seeing it as an integral

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part of promoting democracy and securing the socio-economic development of the country's people. Furthermore, to better ensure that the project of building a new South Africa was a success, the government focused on improving public service delivery for all the country's population, something which had been grossly neglected previously. Hence the WPTPS was drafted in 1997 to reform the public service to enhance public service provision.

Furthermore, it is through this policy framework that the Batho Pele principles were established to guide the public service and ensure that the government becomes more inclusive, people-centered, and development orientated. Moreover, as Mfene (2009; 209), points out, service delivery depends on the quality of the administration practiced by public institutions. In this regard, the *Batho Pele* principles seek to improve the quality of government institutions through public service to transform service provision.

The provision of public services remains a central component of governance in South Africa, especially given the country's history of racial exclusion under Apartheid, in which the delivery of basic services was heavily skewed in favor of a minority of the country's population (Sithole and Mathonsi 2015), this is why under the new democratic dispensation, the ANC government looked to prioritize the transformation of the public service to significantly improve access to public services which had been limited in the past (Kroukamp 2008). As part of the transformation project under the new democratic regime, the government introduced the White Paper on the Transformation of the Public Service and *Batho Pele* principles primarily to set up the implementation of steps that would facilitate the reformation of service delivery and governance (Nzimakwe and Mpehle 2012:280). Furthermore, municipalities provided their proximity to the citizenry as local government entities are mandated by the constitution to provide a democratic and accountable government for local communities, to ensure that they provide services as well as promote social-economic development and encourage the involvement of communities and organizations in matters of local governance (Constitution of SA 1996).

South Africa consists of 278 municipalities comprising eight metropolitan, 44 districts, and 226 local municipalities (Department of Cooperative Governance and Traditional Affairs, 2009). The constitution categorizing them into three types, category A (metro), category B (local municipalities), and category C (district municipalities); all municipalities are required to develop

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their local economies and provide public services (South African Yearbook 2017/18:10). Moreover, how municipalities are structured varies; however, each municipality has a council where decisions are made, as well as municipal officials and staff who carry out the work of the municipality (Pillay 2007:2).

Msunduzi Local Municipality is one of such local government entities mentioned above, the municipality was established in December 2000 as a result of the new democratic dispensation's post-apartheid demarcation of municipal boundaries. uMsunduzi, most commonly known as Pietermaritzburg, forms part of a larger district municipality called uMgungundlovu district. Furthermore, uMsunduzi is the main economic hub of the uMgungundlovu district municipality and is divided into 37 wards which have different councilors.

Like its counterparts in local government, uMsunduzi is committed to fulfilling the constitutional obligation place on it, in fact with regards to *Batho Pele* and service delivery Msunduzi municipality has established a corporate *Batho Pele* forum consisting of six members who are all business units Batho Pele champions, managers representing all the business units, as well as one representative from each trade union represented in the municipality plus the Batho Pele manager who is the chairperson of the forum. Moreover, the forum's responsibilities include attending meetings, receiving reports on the implementation of *Batho Pele* by management units within each business unit, as well as submitting monthly reports, conducting workshops, and monitoring the implementation of *Batho Pele* and Customer Service Charter. In addition to the establishment of the corporate *Batho Pele* forum, uMsunduzi municipality drafted a Customer Service Charter which sets out service standards that the public can expect to receive when they access services or contact the municipality as well details on how local communities can help the organization to meet their expectations in the provision of public services. Moreover, the Customer Service Charter seeks to ensure that the uMsunduzi municipality better commits to serving customers as envisioned by the Batho Pele principles in the White Paper on the Transformation of the Public Service of 1997. Subsequently, the *Batho Pele* corporate forum and Customer Service Charter forms part of the municipality's strategic vision to develop the city. Furthermore, the municipality has outlined six strategic priorities that it seeks to attain by 2030 amongst others this includes making uMsunduzi a well-serviced city with quality water and sanitation, and regular waste removal for all neighborhoods, communities and centres of business. In addition to this, the

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municipality has also included service delivery improved plans to ensure that every business unit implements *Batho Pele* principles in meeting their service delivery obligations.

However, meeting service delivery compulsions has proved quite challenging for the Msunduzi municipality over recent years. The municipality has recently been placed under administration as per section 139 of the constitution; this is following a host of issues including irregular expenditure, maladministration and a collapse of service delivery (Sigh 2019). Furthermore, this is the second time in 10 years having been placed under administration in 2010 when it was on the brink of collapse. According to reports from the Mercury, a leaked highly confidential report by the recently appointed administrator Sbusiso Sithole, cited ineffective lack of consequence management, ill-discipline and political interferences as key factors in the collapse of the uMsunduzi municipality (Magubane and Pillay 2019).

The literature review is structured into five subsections to secure a more concise flow of ideas and structure. Furthermore, this chapter covers the main subjects of the topic study in detail, including themes of service delivery and further looks at the structure and role of local government in South Africa concerning service delivery.

2.2 Legislative Framework for service delivery in post-Apartheid South Africa

(2.2.1) Constitution of the Republic of South Africa 1996

Chapter 3 Section 40 and 41 of the South African constitution clearly states that the country should operate as a co-operative government in which government is constituted of national, provincial and local spheres which are distinctive, interdependent and interrelated. In other words, each sphere has responsibility for its jurisdiction, where it exercises its powers and functions; however, all spheres must still work together to secure the needs of all South Africans (Constitution of SA 1996). Chapter 7 focuses on local government; Section 151 outlines the status of municipalities giving them the right to govern on their own accord without being impeded by both national and provincial governments. Furthermore, section 152 clearly states that the objectives of local government are to provide public services suitably as well as promote social and economic development (Constitution of South Africa, 1996). Besides, section 156 covers the powers and functions of municipalities listed in part B of schedule 4 and part B of schedule 5, listing water

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and waste management services amongst others that municipalities are responsible for providing. Furthermore, Chapter 10 section 195 details the basic values and principles that ought to govern public administration and which also informs the *Batho Pele* approach. Amongst others, these include a high standard of professional ethics by public servants, the efficient economic and effective use of resources as well as a development orientated public service, in which services are provided to all citizens without favor and people's needs are responded to (Constitution of SA 1996). Likewise, the public is thus encouraged to participate in policymaking and the public administration must ensure accountability as well as transparency by providing the public with timely accessible and accurate information (Constitution of SA 1996). By all accounts, therefore, the constitution along with several other key pieces of legislation, clearly obligates the government to prioritize the needs of citizens and deliver public services.

(2.2.2) White Paper on Transforming Public Service Delivery 1997

The white paper on transforming public service delivery (WPTPS) or *Batho Pele* white paper provides a policy framework and a practical implementation strategy for the transformation of public service delivery. Furthermore, as can be observed in Mubangizi (2005:642), the white paper also accepts that it is not about what services are rendered as there are political realities to contend with, but rather, it is more about ensuring that the services are rendered and how they can improve the lives of people. Besides, Levine (2009:949), the document outlines the *Batho Pele* principles which dictate how the public service ought to provide services, *Batho Pele* focuses on outcomes and efficiency through promoting the better management of public funds. Furthermore, while also ensuring that all those employed by the government prioritize the needs of all citizens and that they commit to constantly improving public service provision (Tshandu and Kariuki 2010:196). Also, as can be noted in Maluka, Diale and Moeti (2014:1020), the adoption of the white paper was largely influenced by the widely acknowledged desire for the improvement of public service delivery. Furthermore, the transformation of the public service was seen as an important step towards creating a public service, which would be able to cater to the needs of all South Africans through service delivery improvement (Koma and Tshiyoyo, 2015: 34). Thus, the *Batho Pele* White Paper should apply to employees in all spheres of government as well as to state-owned enterprises, The South African Police Services (SAPS), South African National Defence Force (SANDF), and intelligence services (Tshandu and Kariuki, 2010).

(2.2.3) White Paper on Local Government 1998

The white paper on local government outlines the characteristics of developmental local government, emphasizing that a developmental local government is the necessary type of local government (White Paper on Local Government 1998). Furthermore, as observed by Meyer and Meyer (2016:151), the paper is thus committed to working with citizens as well as other groups within the community to find sustainable ways to meet their social, economic and material needs. It is, however, worth noting that local government development is premised on the auspices of a developmental democratic state which South Africa continues to aspire to be (Siddle and Koelble, 2016). Furthermore, the development challenges that persist all around the globe inform the need for local government which would enable services to be rendered to residents (Khambule and Mtapuri, 2018: 439). Hence, Govender and Reddy (2016), point out that the white paper on local government encourages municipalities to be responsive to the people as both as citizens and customers or end-users of municipal services. Moreover, the period between 1998 and 2000 was characterized by the adoption of several legislations that aimed at ensuring that municipalities can serve communities and provide basic services (Koma, 2010: 113). Besides, the White Paper on Local Government further emphasized that adopting the *Batho Pele* approach to building a culture of customer service is key to improved service provision (Nzimakwe and Mphele, 2012).

(2.2.4) Municipal Structures Act 58 of 1999

The Municipal Structures Act outlines the functions and powers of the various types of municipalities who are constitutionally obligated to provide several basic services to local communities while also co-operating in doing so (Municipal Structures Act 1999). Moreover, as can be noted in Ncoko (2009:5), the municipal structures act also makes room for the exercising of political oversight through the establishment of committees which would, among others, make policy-related decisions, pass by-laws and approve loans and municipal financial assistance if needed. As a result, the Municipal Structures Act acknowledges the individual powers and responsibilities of each structure of local government; it also accepts that there may be overlap in the duties and functions of such institutions (Van der Mescht and Van Jaarsveld, 2013). It should be noted that the act has been subjected to legal scrutiny in the past, given the overlapping roles of the various types of municipalities in local government. As can be observed in Ntliziywana (2012),

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none the less the act is considered to be a critical role player in local municipal government. As a result, the municipal structures act provides clarity on what municipal government entails and gives guidance on how a municipality should function.

(2.2.5) Municipal Systems Act 32 of 2000

Section six, in chapter two of the Municipal Systems Act, outlines the duties of municipal administration, listed amongst others is that municipalities should be responsive to the needs of local communities, that they should create a culture of public service and accountability (Municipal Systems Act, 2000). Furthermore, Steyler (2003) points out that municipalities have a wide range of objectives regarding delivering services, including sub-contracting and outsourcing. Moreover, the municipal staff takes measures to curb corruption as well as establishing an open relationship with the public by being transparent about the operations and functioning of the municipality (Makoti and Odeku, 2018). Furthermore, section 16 in chapter 4 states that municipalities must develop a culture of municipal governance that effectively promotes community participation. On this note, Masiapato and Wotela (2018:108) posit that although there is plenty of legislation of this nature, there have not been a lot of tangible results to show for it. Chapter 8 covers municipal services, and section 73 states that municipalities must deliver services in a manner that is in line with the provisions in the constitution and that priority must be given to the basic needs of local communities as well to promoting development and improving access to basic services (Kraai, Holtzhausen and Malan, 2017). Furthermore, section 76 states that municipalities must have mechanisms for providing services, while schedule 1 outlines the code and conduct for councilors, and schedule 2 outlines the code of conduct for municipal staff members (Ndevu and Muller, 2018: 185).

(2.2.6) Municipal Finance Management Act 56 of 2003

The Municipal Finance Management Act was introduced to ensure that municipalities manage funds in a sound and sustainable manner to make certain that services are provided accordingly and that their constitutional obligations are fulfilled, on this point, Hanabe, Taylor, and Raga (2018:169), note that this act was designed to ensure that the necessary budget reforms adopted

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can provide long term financial sustainability of the municipality. A stance of this nature is considered as being important because any municipality must administer its affairs taking into consideration the budgeting and planning processes and provide basic services for its residents (Majam and Uwizeyimana, 2018: 143). The act further stipulates, in Ngcobo and Mafelane (2017:80), that the Municipal Systems Act allocates responsibilities to municipal managers and senior staff to duly perform adequate financial administration for the municipality.

All the mentioned legal prescripts are considered to be critical in ensuring that local government effectively executes its powers and functions. Furthermore, they are also aligned to the *Batho Pele* approach to confirm that public services are provided in a sufficient manner that prioritizes the people's needs and better secure socio-economic development.

(2.3) Batho Pele Principles

In October 1997, under the Mandela administration, the Department of Public Service and Administration (DPSA), which in South Africa is the government department mandated with ensuring that the entire public sector is working according, introduced the *Batho Pele* principles. The policy is detailed in the White Paper on the Transforming of the Public Service (WTPPS); the document outlines the *Batho Pele* principles and serves as a strategic framework for implementation (Khoza and Du Toit, 2011).

Moreover, the *Batho Pele* principles are a guide that provides practical steps on how government within all spheres can improve public service delivery by becoming more people-centered and by increasing efficiency, reducing waste and redressing the imbalances of the past (Crous, 2004:575). Thus, it is stated by Fourie (2005), that the *Batho Pele* approach is primarily concerned about how public services are provided and enhancing how services are delivered. Moreover, the nature of the principles encourages the public service to consider or regard citizens as customers or clients of the public (Mubangazi, 2007).

The eight national service delivery principles are:

- **Consultation:** Citizens must be consulted about the level and quality of the public services that they are provided with and, whenever possible, should be given a choice about the services that they are offered.

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- **Service standards:** Citizens should be informed of the level and quality of public services that they will receive so that they can know what to expect.
- **Access:** All citizens should have equal access to public services as it is their constitutional right, which they are entitled to.
- **Courtesy:** Citizens should be treated with courtesy, respect, and consideration.
- **Information:** Citizens should be provided full, accurate information about the public services that they receive.
- **Openness and Transparency:** Citizens should be informed about how national and provincial departments, as well as municipalities, are run, how much they cost, and who is in charge.
- **Redress:** If the promised standard of service is not delivered, citizens should be offered an apology, a full explanation, and a speedy and effective remedy; and when complaints are made, citizens must receive a sympathetic, positive response.
- **Value for Money:** Public services should be provided economically and efficiently to reduce costs and give citizens the best possible value for money.

Moreover, it is important to note that the principles are defined broadly to enable national and provincial departments as well as municipalities to apply them most suitably according to their conditions or circumstances (Pietersen, 2014). KwaZulu-Natal, for instance, has an additional three principles (KwaZulu-Natal department of Health, 2019)

- **Innovation and Reward:** Public services should be provided in new and better ways that improve services and cut costs. Also, that staff that excels should be rewarded.
- **Customer Impact:** Involves looking at the benefits provided to the citizens as well as linking all the principles to improve overall service delivery (Ngidi and Dorasamy, 2014: 33-34).
- **Leadership and Strategic direction:** Emphasizes good leadership, given that it is considered to be one of the most critical ingredients for successful organizations, this stresses the importance of establishing organizations that will serve their customers well and have leaders who lead by example, who set the vision, and ensure that all own the strategy for achieving the vision and properly employed throughout the organization.

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The *Batho Pele* project was enacted to simplify and enhance the relationship between public servants and the citizenry, as well as facilitate service delivery and promote good governance through public participation (Mbecke 2014:265). For this reason, the national *Batho Pele* principles are similar to good governance characteristics.

(2.3.1) Role of Batho Pele in Local Government

The South African government introduced the *Batho Pele* policy as a vehicle for transforming the public service to restore past imbalances and foster socio-economic development in a manner that is in line with the democratic principles and values enshrined in the constitution (James and Miza, 2015). Moreover, according to Mofolo and Smith (2009:430), Batho Pele principles, particularly in local government, are a collective approach for addressing the needs of communities. Furthermore, the *Batho Pele* principles serve as an initiative to get public servants to be more people-centered and service orientated, to strive for excellence in the provision of public services and to commit to constantly improving service delivery (Nzimakwe and Mpehle 2012:281). Moreover, Pillay et al. (2015:49) note that *Batho Pele* is a call to all stakeholders within local government to prioritize the needs of the people by committing to adopting an attitude that seeks to discover and implementing new ways of interacting with the citizenry and transforming service delivery. In other words, *Batho Pele* is not just a plan but rather an attitude or set of values that are designed to shape the character of the public service through officials (Nzimakwe and Mpehle 2012:282). Besides, the *Batho Pele* principles are meant to regulate the conduct of civil servants in their dealings with the public (Ingle 2011:67). Therefore, the *Batho Pele* approach is supposed to be a transparent mechanism that allows citizens to hold public servants accountable for the kind of services that they deliver across all spheres of government (Batho Pele Handbook, 2003). Gopal et al. (2015:23) maintain that the *Batho Pele* principles are aimed at establishing an interactive and responsive relationship between clients in the form of citizens and public officials to inspire confidence in the public service. Essentially through promoting *Batho Pele* principles government wanted to ensure that the reconstruction and development of South Africa are successful, acknowledging that change in this country will not have the desired effect on the living conditions of the citizens especially those in most need unless services are significantly improved (Kroukamp, 1999). Moreover, ultimately *Batho Pele* focuses on outcomes and

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efficiency through better management of public funds and also ensuring that all those employed by the government prioritize the needs of citizens by committing to constantly improving service delivery (Tshandu and Kariuki 2010:196).

(2.3.2) Implementation of Batho Pele principles within municipalities

The *Batho Pele* principles are widely regarded as the key to improving public service delivery as well as restoring confidence in the public service (Subban and Theron, 2016). However, their implementation has been, for the most part, poor in local government, and this seriously compromises the efficient provision of basic services (Draai, 2010:132). Moreover, there are several perspectives on the implementation of *Batho Pele* principles, even though stating various reasons most researchers agree that implementation is poor overall, which harms public service delivery (Mofomme and Barnes, 2004).

In a study reviewing the *Batho Pele* policy and other service delivery reforms carried out in South Africa, Mokgoro (2003:7) contends that the main criticism of *Batho Pele* is that there is poor attention given to its implementation, mainly attributed to a shortage of resources to monitoring and implementation. Furthermore, the study found that the *Batho Pele* policy is impeded by several implementation shortages, which include amongst others the absence of a people-centered culture in the public service; a lack of strategic visions and missions, the failure to integrate *Batho Pele* into the daily activities of public servants at work. Similarly, a study conducted by the Human Sciences Research Council (HSRC) on the attitudes of South African citizens on *Batho Pele* in 2007 found that the public see that there are clear discrepancies or a gap between principle and implementation at the municipal level (Hemson and Roberts, 2008:13). On the other hand, Ingle (2011:67) states that the failure to implement *Batho Pele* principles is largely due to questionable recruitment policies in the public sector. Presently, the public service in South Africa is also burdened with unqualified political appointees (Fourier and Mazibuko, 2017). Consequently, government within all spheres is struggling to attract motivated managers as well as failing to employ personnel is equal to the job (Paterson and Mafunisa, 2005).

Noting key factors in the successful implementation of *Batho Pele* principles, Nzimakwe and Mpehle (2012:285-286) suggest that the successful implementation of Batho Pele principles

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requires a significant change in the organizational culture of public institutions. Furthermore, civil servants need to become more service orientated and accountable as well as develop a strong sense of duty (Khoza, Du Toit, and Roos, (2010). In Sayeed, Pillay, and Reddy (2014), list, amongst others, government official's attitudes when dealing with the public, insufficient training of civil servants on customer service, as well as a lack of awareness by citizens of their rights and a shortage of management and leadership skills at the local government level as key challenges and factors contributing to the poor implementation of *Batho Pele*. Moreover, Maluka et al. (2014: 1031) in a study assessing the transformation and modernization of public service delivery in South Africa using the Department of Public Service and Administration (DPSA) found that the common perception within DPSA is that Batho Pele principles are not being adequately promoted within the department and in the public service as a whole.

Moreover, according to Van Der Waldt (2004:9), Local government councilors and municipal staff need to become more active and accountable partners in the implementation of policies while adhering to the *Batho Pele* principles. Likewise, Mkhanyane (2004:3) reiterates that *Batho Pele* principles require that the behavior of all public managers in terms of both good morals and commitment to public service be raised to the highest level. However, even though *Batho Pele* principles are often preached in government, they are seldom followed (Mofolo 2012).

It is evident that the effective implementation of *Batho Pele* is critical to enabling municipalities to provide public services more efficiently; however, this requires a concerted effort on the part of all civil servants given that the proficient implementation of *Batho Pele* remains a major challenge in local government (Roberts and Hemson, 2008). As noted by Smith and Mofolo (2009:439), the broader implementation of Batho Pele principles is necessary to address impatience and protests resulting from failures of municipalities to fulfill their constitutional commitments. Furthermore, that broader implementation requires that municipalities become more flexible, innovative and proactive when implementing such legislation (Williams, 2006). Moreover, on that note, it is important to highlight that the majority of the research primarily focuses solely on senior managers and political heads with regards to implementation. However, as argued for by Mofomme and Barnes, (2004), this approach has to be reconsidered to bring more attention to the public servants at the lower

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levels, who often deal with the public on a more regular basis if the challenge of ineffective implementation of the policy is to be addressed adequately. On the other hand, it is also important to be cognizant of the fact that the implementation of *Batho Pele* principles is also severely impacted by inherent challenges in South Africa's local governance system (Mzini and Ababio, 2009). For this reason, Pillay (2004:592), points out that the success of the *Batho Pele* approach as a tool of service delivery hinges on a transformed public service capable of understanding and implementing key government policies.

(2.4) Local Government and Service Delivery

Van der Waldt (2014:3) sites Reddy (199:9) defining local government as the level or sphere of government created to bring the government to local communities and give citizens a sense of participation in the political processes that have a bearing on their lives. Furthermore, local authorities or municipalities were introduced to provide goods and services; municipality can be taken to refer to the area of jurisdiction of a local government (Ndebele and Lavhelani, 2017) Municipalities are in other words organizational units of local government that have the responsibility to ensure that all citizens are provided with basic services (Olson 1969:480). In addition to this local government, authorities are also expected to ensure socio-economic development, bring democracy to local communities as well as redress the legacy of Apartheid (Nkomo, 2017:10).

Besides, when speaking about the work of municipalities, top on the agenda is the provision of public services, service delivery, as written in the constitution, is a duty of municipalities. Section 152 (1) (B) states that one of the objects of local government is to ensure that the provision of services to communities is conducted efficiently and sustainably. Nealer (2016:129) defines service delivery as the provision of public activities, benefits or satisfaction, and that such services include both the provision of tangible and intangible services. Ndudula (2013:10) further states that service delivery in the context of local government is the provision of municipal goods, benefits, activities, and satisfactions that are considered public, to improve the quality of life within a given municipal area. Furthermore, section 73 of the Municipal Systems Act defines a basic municipal service as a municipal service that is necessary to ensure an acceptable and reasonable quality of life, and if not

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provided, would endanger public health, safety or the environment (Pretorius and Schurink, 2007). Subsequently, critical services provided by the municipality include, although not limited to, waste removal and water services.

(2.4.1) Waste management services

Waste forms as a result of human activities, and how it is handled, collected, stored, and disposed of can pose a huge risk to the environment and public health in general; therefore, such services must be provided accordingly to perverse human dignity (Fakoya 2015:119).

In South Africa, municipalities are responsible for general waste management both in residential and commercial areas. Waste management activities by municipalities include the collection and disposal of dump, rubbish, and trash as well as the removal of human waste products through drains, sewers, or other means as assigned to them by section 156(a) of the constitution (Stats SA, 2016:52). Furthermore, the basic requirements for domestic waste collection are outlined in the national domestic waste collection standards (SA state of waste 2018:23). The main goals of the standards are to ensure that all households within a specific municipal area are provided with equitable waste collection services. In addition to providing regular waste collection services, municipalities are also required to encourage and support separation at source, particularly in metropolitan and secondary cities (Godfrey and Oelofse, 2017). Moreover, as for the roles of national and provincial governments on waste management, they are outlined in the national environmental waste act (Act No. 59 of 2008).

In 2001, the South African government set a target of providing all households with access to refuse removal services by 2012; however, this goal has not been reached (Fakoya 2015:120). Even though solid waste services have improved significantly in various geographical areas, service levels vary between different types of municipalities. Furthermore, the report by Stats SA in 2016 on the state of basic services in South Africa clearly states that the management of solid waste management is currently confronted with many challenges, including the lack of accountability caused by an overlap of functions between districts and local municipalities (STAT SA Report 2016:152). In addition to that, poor financial management, together with poor equipment management as well as skills shortage and a lack of qualified staff, are amongst

the key challenges facing the effective provision of municipal waste management services (Fakoya 2015:119).

(2.4.2) Water services

Since 1994 the fair provision of adequate water services to all in an ecologically sustainable and economically sufficient manner has been a top priority for the South African government (Algotsson, 2011). Provided that water is a source of life and livelihood, access to safe drinking water is considered as a basic human right (Sershen et al. 2016:456). Furthermore, safe and sufficient drinking water is an essential ingredient to secure the health and wellbeing of human beings and is necessary for economic development (Stats SA Report 2016:12).

The white paper on national water policy for South Africa, together with other documents, entrusts the provision of water services to local government. Moreover, South Africa's waters are regulated by the Water Services Act of 1997 and the National Water Act of 1998. These statutes lay out the regulatory framework for institutes assigned the responsibility of providing water services and make provision for the establishment of various water institutions; these include municipalities and other water service providers who are tasked with supplying water and sanitation services to communities (Sershen et al. 2016:4558). As per the constitution, part B schedule A states that the provision of water services is entrusted to municipalities, however not all municipalities are authorized to provide water. In the country's two-tiered local government system, powers and functions are shared between local and district municipalities. For instance, in some cases, a local municipality may be responsible for water services while a district can be handed the same responsibility in others (Department of Water Affairs and Forestry, 2005).

According to Troopers (2019), municipalities that are regarded as water services authorities account for over two-thirds of South Africa's 257 municipalities. However, these municipalities are currently experiencing many setbacks that are seriously affecting their ability to deliver basic water services to the communities. Moreover, the 2016 report from the World Wildlife Fund South Africa (Calvin et al.. 2016:59) listed the following as key challenges to the provision of municipal water services.

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- Increasing urbanization
- Aging infrastructure
- Insufficient refurbishment
- Deteriorating operations and maintenance; and
- A lack of skilled personnel

Furthermore, Pillay et al. (2015:50) note that most municipalities in the country owe the water boards billions of Rands as they are in areas for the bulk water supplies, and by December 2010, debtors owed municipalities R 62.3 billion of which R46.9 billion had been outstanding for months. Such difficulties are further enhanced by the fact that local government is confronted with multiple challenges in service delivery. Furthermore, municipalities are under financial stress, mainly due to non-payment for services such as water and electricity (Kanyane, 2011). None the less, despite the continual obstacles' government has made some commendable strides in improving the provision of water service. The SEJA Baseline survey report states that 87 percent of adults in South Africa have access to piped water (SEJA Baseline Survey Report, 2018:6), However regardless of this progress, it is still evident that several challenges remain.

(2.4.3) Key Service delivery challenges in Local government

It is well documented that municipalities in South Africa are currently riddled with many challenges that contribute to the slow pace at which the legislated provisions to service delivery are implemented (Sithole 2015:14). In this regard, local government, as a result, is continuously overwhelmed by community or service delivery protests, which not only further disrupt the effective provision of public services but also expose crucial weaknesses within the system of local governance.

- **Service delivery protests**

Service delivery protests animate from the apartheid era; local communities used them to develop community-based structures and social movements to oppose the apartheid system (Reddy 2016:4). With that said, they, however, have also become rather prominent in democratic South Africa. In fact, since 2004, the public service delivery protests have become

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a constant feature in local government; over the years, these protests have also increasingly become more violent and destructive. Moreover, Nkomo (2017:3), sites municipal IQ (2017), which is a research organization that gathers data on service delivery related protest within municipalities, found that an average of 94 protests per year has taken place in the country between 2004 and 2016. Toxopeus (2019:2), reports that there were 144 protests in the first six months of 2019, which serves as an indicator that there is a strong sense of dissatisfaction from the public with the standard and quality of service delivery.

Service delivery related protests vary, some have been passive, and some have been violent while some have started as peaceful but later turned violent. Violence in South African protest action dates back to the apartheid period. Citing Van Holdt (2013), Peter (2010: 108) points out that in the case of deep inequality and poverty democracy creates an environment whereby violence is seen as a viable option, The protests are considered to be violent when public property is damaged which also includes the burning of infrastructure and tyres (Breakfast, Bradshaw and Nomarwayi, 2016:416). Besides, Mphehle (2012: 221), states that by 2009, violent service delivery protests in South Africa had become a nationwide occurrence.

Furthermore, Muller et al. (2017) note that South Africans consider violent protest action to be more effective than non-violent protest action. Also, Karamoko (2011: 11) notes that community protests have become less frequent; however, they have become more violent. Reasons behind this conception may be based upon the perceived ineffectiveness of public participation tools as a result; citizens lean on violent protest as a form of citizen participation regarding their dissatisfaction with service delivery efforts (Nembambula, 2014: 149). Through violent protests, Hough (2008:6) argues that citizens would seek to address various issues such as service delivery dissatisfaction. Besides, Netswera (2014: 265), suggest that protest turn violent due to their ability to attract local and international media attention while also promoting an urgent response from authorities regarding their service delivery needs. Another set of reasons for why protests would become violent also included dissatisfaction, lack of response from the local authorities, and, in some instances police involvement (Banjo and Jili, 2013: 265).

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Furthermore, according to Nene (2016:2), more often than not, service delivery protests are violent, involving the blockage of roads, stone-throwing, and burning of tyres. As well as clashes with the police, damage to public and private property, and in some instances, the protests have become so violent that they have resulted in casualties. Consequently, the nature and increasing occurrence of such protests necessitates that government deals with them more effectively, as they interrupt not only public service provision but also have far-reaching economic consequences, such as damage to infrastructure and in some instances a loss of investor confidence due to perceived socio-political instability (Meade, Shaw and Banks, 2016).

Researchers agree that public service delivery protests reflect several deficiencies in the local government machinery and that the causes of these protests are a combination of socio-economic and political factors. According to Matebesi and Botes (2018), these protests occur not only because of the perceived slow pace of service delivery but mostly due to poor quality of services and the politics of patronage and exclusion associated with their provision. He states that the main reasons for community or service delivery protests are the following:

- Protests as a result of a lack of political trust: mainly that community protests are due to what local communities perceive as non-responsive attitudes and culture of the self-interest of politicians and public officials (Matebesi and Botes 2018). In other words, communities take to the street because they are frustrated with uncaring, self-serving, and corrupt leaders who are failing to put the needs of people first.
- Protests as a means to ensure political accountability: A majority of social protests are mostly due to growing unresponsiveness of government as well as the lack of accountability of some of those in key positions in local government (Sikhakane and Reddy 2011). Furthermore, corruption, broken promises, unresponsive management, and incompetent leadership in local government are amongst the top concerns often raised by protestors (Matebesi and Botes 2018).
- Protest as an urge to restore human dignity: local communities in post-apartheid South Africa take to the streets because of their experiences of inequality and relative deprivation (Matebesi and Botes 2018). Moreover, large numbers of South Africans are not satisfied

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with the high levels of inequality and therefore protest as a means to get the government to improve the quality of their lives.

- Protest as a result of poor service delivery: despite the progress that has been by the government concerning service delivery since 1994. Protests continue to occur in democratic South Africa because service delivery backlogs have not been addressed adequately, essential basic services are constantly cited as key contributing factors leading to protest for example inadequate housing, a lack of access to clean water and electricity as well as sanitation and poor refuse removal services are listed amongst the top list of grievances (Mpehle 2012).
- Protest because of economic hardship: unfortunately, the fruits of democracy have not been able to reach all South Africans; as a result, many are still living in abject poverty and therefore protest because there are desperately trying to get the government to intervene and effectively respond to their concerns urgently.
- Protest due to a lack of consultation and participation: community protests also occur because consultation and public participation in South Africa has not reached a level that local communities are completely satisfied with; as a result, citizens tend to take to the street to protest as it has become the only viable platform for them to express their concerns (Mathekga and Buccus 2006).

Similarly, Mashamaite (2014:236) posits that most protesters have indicated that they are protesting as a result of a lack of services and their exclusion in the decision-making process in their respective municipalities. Furthermore, disgruntled residents accuse the local government of being unresponsive, corrupt, and having unfulfilled promises, as well as failing to address inequality and unemployment. On the other hand, the factors that cause what Van Holt et al. (2011:8-9) have categorized as typical protests, whereby local communities turn violent after seemingly fruitless engagement with politicians and municipal officials, are attributed to a combination of dynamic internal struggles within the governing party. However, other factors include poor basic service provision, communities growing frustrated with poverty, unemployment as well as corruption and nepotism in public institutions. Likewise, service delivery protests, according to Franks (2014:55), are the result of nearly two decades

of cadre deployment and redeployment, insufficient training, inadequate management and discipline, as well as the growing instances of corruption in public funds and processes.

Service delivery protests arise because large sections of the South African public are growing frustrated with the level or standard of service delivery that they are receiving from their local authorities. Besides, despite the significant gains made in improving the lives of many citizens since the advance of democracy, some people are still not satisfied with the progress that the government has made to this point in time. Mbecke (2014:265) posits that the high number of service delivery protests in South Africa reflects not only the failure of the government to effectively transform the public sector but also the futility of the *Batho Pele* strategy. Moreover, deficiencies in municipal governance have a direct bearing on service delivery, which results in community protest. However, service delivery protests, in turn, also reflect or animate from several other weaknesses which impede service provision and also add to growing public dissatisfaction at the state of local governance (Sithole 2015).

- **Other Key challenges**

The key service delivery challenges in local government that further hamper the ability of some municipalities to deliver basic municipal services efficiently are well documented. The government insists that this is largely due to a lack of infrastructure, increasing population growth, escalating urbanization, growing demand for public services and heavy infrastructure maintenance loads, as well as sluggish economic growth (Twenty Year Review 2014:34). Madumo (2015:162-163), notes that in South Africa the local government is confronted with the following key challenges and amongst others;

- Municipalities are unable to sustain themselves financially, and this challenge is made worse by the fact that municipalities are struggling to establish proper mechanisms to ensure the successful collection of revenue.
 - Municipalities cannot deliver constant and regular services.
 - There is an increasing failure on the part of municipal officials to comply with regulations.
- Furthermore, all the challenges that confront municipalities are further exacerbated by the unethical practices that have become prevalent in local government, and as a result, municipalities are failing to manage resources and provide basic services accordingly

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(Matsiliza 2013:110), this is also reflected in the Auditor general's 2016-17 municipal audit opinion, which reported that only 33 municipalities (15%) received clean audits, with over R28 billion in expenditure declared irregular, the auditor general also recorded the highest percentage of non-compliance with key legislation since 2013 (Auditor general, 2018). Moreover, other reviews of local government finances and financial management show several weaknesses, including poor audit outcomes, and revenue and expenditure management (Toxopeus 2019:2). Furthermore, cited below are some of the most prominent or key challenges that continue to impede the efficient delivery of public services as well hinder the effective implementation of policies relating to service delivery such as Batho Pele in local government.

- **Skills Shortages**

One of the most cited challenges to the efficient provision of basic services in local government is that of skill shortages or insufficient capacity. In general, a skills shortage refers to circumstances whereby the demand for a certain service exceeds supply (Daniels 2007:1). So, in the South African local government context, skills shortage speaks to the fact that currently, some municipalities are not adequately staffed to ensure that services are delivered accordingly (Ambe and Weiss 2011:454). Moreover, Breier (2009:1) posits that skills shortages emanate from several issues that arise from the country's Apartheid history, especially in the education system, as well as post-Apartheid attempts to address historical imbalances. Besides, the demand for skills from the global market in what is termed 'knowledge shipping' also plays a huge role in the loss of skills as qualified professionals leave the country in pursuit of more lucrative opportunities elsewhere.

Furthermore, Nengwekhulu (2009:351-53) argues that service delivery challenges or failures are due to skill deficiencies or shortages within local government, particularly that public sector managers mostly lack the necessary managerial skills training, and even though there are some courses provided in this regard, they, however, have not been able to provide the kind of public servant envisaged by the *Batho Pele* White Paper. Similarly, according to Sebola (2015:9), the lack of skills is largely considered to be one of the key causes of poor service delivery within municipalities. Research carried out in the 2005 and 2007 publications of Numbers and Needs indicated that there is a lack of engineering capacity in South African

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municipalities to deliver, operate and maintain local government infrastructure in a sustainable manner, which hampers the quality of public services (Lawless 2007:15). Moreover, Koelble and Lipuma (2010:5) attribute the service delivery crisis in South Africa to the skills shortage affecting local government officials, ranging from customer services and relations to financial management to technical competencies in the crucial areas of electrification, water and sanitation, and waste management. Furthermore, the problem of non-delivery is further exacerbated by the lack of state capacity as well as the inability of the national and provincial governments to enforce legislation on their operatives in local government. Besides, the role and function of local government are sometimes not fully understood by the majority of those in administrative and political positions within municipalities (Nene 2016:31). Moreover, municipalities, particularly the poorer ones and those in rural areas are in some instances, staffed by administrators that lack training that is inexperienced and does not possess the technical expertise to discharge their functions accordingly (Nealer 2007:157). On the other hand, Sebola (2015:4-5) is of the view that service delivery in local government is also hindered by the fact that local government is usually taken to be less significant by civil servants since it is at a lower level. Also, that in most cases, local politicians and public officials with commendable leadership and management skills are absorbed into either provisional or national politics and administration on the notion that their skills are under-utilized at local government (Twenty Year Review 2014:24). Yet the local government is the sphere that is most in need of creativity and high-level skills; however, it is the most deprived even though it should be the most significant given that it is the coalface of service delivery and is entrusted with the political, social and economic affairs at the grass-root level (Powell 2009:13). Subsequently, it is apparent that local government, in the form of municipalities, are severely affected by skills shortages and also directly faces the consequence of such shortages provided their proximity to local communities, and as a result, it is in most need of adequately skilled personnel.

- **Cadre Deployment**

Recruitment processes in local government continue to raise eyebrows and are amongst the top list of things that are blamed for poor service provision, ineffective policy implementation, and public protests within municipalities (Tshiyoyo and Koma 2011:120). Furthermore, according

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to Reddy (2016:2), appointments, dismissals, and the provision of services in the municipal service are governed mostly by political considerations determined by the political philosophy of the ruling political party at any given point in time. For instance, in South Africa cadre deployment, which is the practice of appointing loyal supporters of the ruling party into government positions across all spheres (Shava and Chamisa 2018:1). In other words, through cadre deployment, political party structures impose administrative decisions on administrators and therefore, appointments are primarily based on allegiance to the governing party by public servants (Mafunisa 2003:88). Furthermore, cadre deployment is a strategic model adopted by the ANC to place party loyalists in key government positions to execute policy and programme imperatives of government (Tshishonga 2014:892). Moreover, cadre deployment aims to ensure the successful translation of ANC policy and its election manifesto into government programs (Twala 2014:161).

However, the practice has more recently been associated with poor service delivery in local government. Kanyane (2014:98) argues that cadre deployment impedes municipal service delivery in instances where political party loyalty is put ahead of merit and competence, and as a result, incapable and unqualified individuals that are politically connected are deployed to senior positions. Similarly, according to Shava (2018:5) cadre deployment negatively affects public service delivery as it can result in the failures of service training initiatives when the political agents that make appointments or those that are deployed do not appreciate the value of training and skills development initiatives as a means of improving performance and service provision in the public sector. Besides, deployment based solely on political loyalty and partiality, as opposed to deployment based on ability, objectivity, and impartiality, will ensure that the quality of government will continue to suffer, as many capable individuals are excluded from contributing to the state (du Toit and de Jager 2014:113). Moreover, cadre deployment is a global phenomenon practiced in democracies all over the world. To this point, Sithole and Mathonsi (2015:18) argue that although there is nothing wrong with appointing personnel loyal to the ANC, the problem arises when the comrades appointed are not sufficiently skilled for their positions, and too often such is the case in local government.

Furthermore, as already discussed, cadre deployment is an ANC policy dating back to the first public administration. However, as pointed out by Ncapayi and Ntsebeze (2019), the cadre

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deployment policy in local government has, at times, not produced tangible results mainly because of political instability, corruption, and lack of accountability. Besides, the policy seems to be failing more in local government due to the lack of adequate structures to ensure that cadres deployed in local municipalities meet at least the minimum requirements for the position which they are about to occupy, a concession about the shortcomings of this policy has since been made by senior ANC officials as well (Pearson and Ndlovu, 2018:8).

On the other hand, Franks (2014:49) insists that the South African public system is a dynamic environment that is overwhelmed by politics largely due to the extensive use of cadre deployment, which exploits a loophole as public servants interpret policy in terms of their ideological perspectives or personal interest as well as those of fellow comrades. Concerning the above, according to Tshishonga (2014:893), Cadre deployment also raises some accountability issues as, in some instances, cadres consider themselves accountable not to their employers and the public but instead to the committee of the alliance that assigned them to their position (Twala 2014:162). Besides, the policy is also vulnerable to internal squabbles or factions within the ruling party, as in most cases, the cadre deployment committees of the ANC which function at national, provincial and local levels, are driven by factionalism (Twala 2014:163), this often can lead to less qualified or capable members of a more dominant faction occupying key positions in the public service, furthermore, as a result of cadre deployment, internal party battles often spill over to the state and impede the state from providing basic state services. Moreover, such acts as cadre deployment can have grave consequences for effective implementation of frameworks like *Batho Pele* it can be argued that such initiatives geared towards improving efficiency and accountability are struggling to change the politico-administrative culture currently crippling service provision and good governance especially within the municipal space (Franks 2014:50). Furthermore, given the current unsatisfactory quality of basic services, reflected by community protests, poor leadership, and abject poverty and growing unemployment. The ANC must deploy capable, competent public servants who will be able to significantly change the lives of the poor and provide public services efficiently (Tshishonga 2014:897). Besides, the policy has been detrimental in some municipalities because unfortunately, cadre deployment has opened up a way for corruption in the employment and appointment of public servants, which ultimately promotes nepotism,

favoritism, poor service level and extreme gatekeeping against the non-loyalists in government service (Sebake and Sebola 2014:749). For this reason, how the policy is currently implemented may have to be re-examined by the ANC in the face of growing service delivery challenges in local government

- **Corruption**

The phenomenon of corruption is well documented and widely agreed to be one of the most prominent threats to good governance, effective policy implementation, and the provision of public services as well as socio-economic development. Furthermore, in the South African local government context, corruption continues to prevent municipalities from fulfilling their constitutional obligations and functioning accordingly.

Corruption exists in every society; however, its existent differs from one state to another. Furthermore, scholars provide various definitions of corruption, but the majority of these definitions tend to center on the notion of abuse of public or private office for personal gain (Skenjana et al. 2009:37). Sebake and Sebola (2014:746) define corruption as an activity against the public interest to advance the minority in an extra-legal manner. Moreover, corruption can also take place through the exclusion of the majority through unlawful arrangements. According to Ruhiiga (2009:1091), corruption is the act of receiving benefits; one is not legally entitled to through one's position in the public service through personal networks and intermediaries. In other words, corruption in the public sector occurs when public officials use their positions to try benefiting themselves at the expense of public interest to meet their personal needs.

Tooley and Mahoai (2007:367) site Petter Langseth's (2000) perspective on defining features, manifestation, and forms of corruption that are significant in the public sector.

Different forms of corruption in the public sector

Different forms of corruption occur in the public sector. According to Graycar (2015:88), corruption manifests itself in different forms, including bribery and extortion. Moreover, bribery is therefore considered to be the most common form of corruption; it involves the promises, offering, or giving of a benefit that improperly affects the activity or decisions of a

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public servant. This benefit may be provided to the public servant, another person or a third party. Bribery also involves beneficiaries using illegal means of payment to acquire government favors and resource allocations (Morris, 2011).

Furthermore, Mashele (2009) provides an example of bribery whereby someone pays a government official to render a service they do not have to pay for.

Furthermore, Kennedy (2018) provides an example of embezzlement by noting that it involves the resources by persons entrusted with the authority over and controls such resources.

On the other hand, fraud involves actions or behaviour by a public servant, another person, or entity that persuades others to provide undue benefits to the public servant, another person, or entity (Sheehan, 1994). Besides, extortion then involves coercing a person or entity to provide a benefit to a public servant, another person or entity (Wu, 2005). At the center of corruption is that of abuse of power by those entrusted with the responsibility of doing so. Abuse of power as a concept is illustrated by Vyas-Doorgapersad (2007) who notes that abuse of power enables and fosters an environment of corruption in the public sector.

Moreover, an extension of the abuse of power can also result in rampant corruption and acts such as conflict of interest, especially in the procurement of contracts (Mantzaris, 2014:71). Besides, nepotism also constitutes a form of corruption in the public sector which involves the provision of services or resources according to personal affiliations. Nepotism also falls into this category because it is a form of favoritism. An example of nepotism is provided by Nyukorong (2014) by stating that if a manager appoints a relative of his over a more qualified candidate would thus constitute nepotism.

The impact of corruption in local government

Corruption completely contravenes the constitution and ultimately perverts how the government ought to provide services to its people. Besides, there is no doubt that corruption directly impacts service provision; in fact, corruption is associated with poor quality of public service delivery. Mpofu and Hlatywayo (2015:133) posit that poor performance and corruption by employees of municipalities is considered as one of the major obstacles to the efficient provision of basic services in local government. Furthermore, corruption in municipalities take

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place both on a grand and petty scale, a conceptual underpinning of both grand, and petty corruption are provided by (Prinsloo and Naudee, 2001) grand corruption involves those at the higher levels of the public service; however, petty corruption, on the other hand, occurs at the lower and middle administrative level mostly when there is direct contact between officials and members of the public regularly (Pilay 2016:118).

Nonetheless, all forms and levels of corruption can have a devastating effect on service delivery as corrupt activities within government can result in a loss of revenues from tax, a reduction in productive investment and growth (Moyo 2017:206-207). Besides, corruption often results in the diversion of resources from their intended use and impedes the effective implementation of public policy and the delivery of service as well results in the loss of confidence in public institutions (Tooley and Mahoi 2007:369).

Moreover, to further illustrate the extent to which corruption impacts public service delivery. Although it should be noted that the legacy of corruption, it can be argued was inherited from an extremely corrupt apartheid regime that committed grand corruption on various levels of government (Van Vureen 2017). Furthermore, corruption also completely undermines Batho Pele and the transformation of public services because it ensures that public funds are not channeled to improve the lives of citizens particularly those in most need but instead benefit a select few and endangers their social wellbeing enforcement (Sebuke and Sebola 2014: 746). However, despite the grim situation local government finds its self in, corruption remains rampant in all spheres of government mainly because in most cases the perpetrators of such practices belong either to the political elite or are highly related or connected to the political elite, therefore making reprimanding such individual a difficult task for law enforcement.

- **Poor Governance**

Municipal service delivery shortcomings are compounded by a range of governance, institutional, and financial weaknesses. Several challenges have been identified concerning governance within the local government. Besides corruption and patronage, these include a lack of political will and leadership, accountability, and political interference (Twenty Year Review 2014:30).

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Poor governance is associated with multifaceted issues such as corruption, lack of accountability, and political infighting and interference. According to Reddy (2016:1), political infighting and related clashes between the political and administrative management components within municipalities is adversely affecting municipal service delivery. Equally, tend to hinder service delivery as infighting as interference, political interference also takes shape in different forms. The most common form is when a political head instructs the accounting officer to take decisions that are contrary to the provisions of the law in terms of service delivery or the expenditure of public resources (Nengwekhulu 2009:356). Another form of political interference takes place when a political office bearer converts the ministerial support office into a parallel administration competing with the main department administration, which undermines the capacity to deliver services because, in certain instances, officials receive contradictory instructions which induce inefficiency (Mantzaris and Pillay, 2017).

Furthermore, the political interference is also said to hinder the functionality and effectiveness of ward committees, COGTA's state of local government 2009 report noted that tensions between ward committee's community development workers and councils continue to undermine municipal functionality (COGTA Local Government Report, 2009). Besides, according to Mofolo (2012:20) Municipalities in South Africa are struggling to perform efficiently and effectively due to a lack of internal controls and governance principles, and mismanagement.

On the other hand, the Local Government Turnaround Strategy (LGTAS) listed systemic failures, policy, and legislation, political factors, and weaknesses in intergovernmental support and oversight as the root causes of key failures within municipalities (LGTAS 2009:3).

Similarly, Mphehle (2012:222-224) states that the key contributing factors to a lack of service delivery in local government are the lack of proper financial and record-keeping skills, political infighting, corruption, and a lack of community engagement in decision-making processes. Alternatively, Nene (2016: 30) contends that the current configuration of local government whereby districts and local municipalities have similar roles and operate in the same area continues to cause significant confusion in terms of service delivery and functional responsibilities.

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Furthermore, local and district municipalities have the same functions, limited only by jurisdiction. Besides, given that there is a considerable overlap of functions and powers between the district and local municipalities, this has, in some instances, resulted in disputes over jurisdiction, functions, and powers. As a result, this can cause a degree of confusion about roles and responsibilities as well as conflict over resources and authority (Roux, 2005). In other words, as can be noted in Thornhill and Selepe (2010), the current two-tier system of district and local municipalities in local government also poses a challenge in that it creates inefficiencies in the provision of public services and reduces effective accountability.

- **Lack of Accountability**

Accountability challenges are rampant in local government; these include poor communication with local communities, role confusion, a lack of transparency in mayoral committee work, and weak and ineffective ward committees (Napier, 2007:377). Furthermore, the Auditor General's 2018-2019 report indicated that accountability continues to fail in local government (Auditor General, 2019). The Auditor-General (AG) has thus constantly emphasized the significance of accountability in the management of municipal affairs, starting with planning geared towards meeting the needs of citizens, and establishing appropriate internal control and supervision systems to ensure that there is proper financial and performance management (Auditor-General Media Release, 2016:2). Furthermore, financial accountability in the public sector emanates from the constitution and through the establishment of institutions such as the AG's office, which were created to enhance financial accountability in the public sector (Van der Nest, Thornhill, and de Jager, 2008: 541). Hence in most municipalities, the control measures that are mentioned above have not been implemented. Moreover, the AG has listed the following as instances of accountability failures in local government for the calendar year of 2016-17:

- Over audit outcome regression: The AG found that only 33 municipalities (13%) managed to produce quality financial statements and performance reports, as well as comply with all required legislation.
- Poor quality of submitted financial statements and performance reports: According to the AG, only 22% of municipalities provided financial statements without material misstatements.

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- High level of noncompliance with key governance laws: The AG reported that noncompliance with key legislation at 86% of the municipalities, the highest percentage since 2012-13.
- Irregular expenditure increased: AG reports a staggering 75% increase in irregular municipal expenditure, from R16, 21 billion in 2015/16 to R28, 376 in 2016/17.

Furthermore, the AG posits that accountability failure negatively impacts on the lives of citizens as municipalities are unable to achieve their objectives (Auditor-General Media Release 2018:6). AG's audits highlighted three key areas of impact, namely:

- The financial health of municipalities: Currently, a majority of municipalities are not able to collect the debt from municipal costumers, but also, they are struggling to pay creditors, this is evident in the large sums owed to ESKOM for the provision of electricity and to water boards for water supply respectively.
- Fruitless and wasteful expenditure amounted to R1, 5 billion in 2016/17.
- Shortcomings in the development and maintenance of infrastructure by municipalities

Moreover, Municipal leadership's lack of decisiveness has weakened accountability due to inadequate performance systems and processes. Besides, municipalities' lack of compliance with key legislation, as well as the failure of national and provincial spheres to sufficiently support municipalities, have been noted as key reasons behind the lack of accountability. Moreover, Madonsela (2018:25) argues that a lack of accountability and poor leadership have resulted in poor governance and lack of governance, which in turn has negatively affected service delivery.

The above mentioned several key challenges to sufficient public service delivery, which inherently also hinder the effective implementation of the *Batho Pele* principle in local government.

(2.5) Conclusion

This section presented the second chapter of this dissertation. As previously stated, the local government consists of several layers that are widely accepted to be critical components of service delivery, as understood in contemporary political sciences and public administration as a whole. Therefore, the structure of this chapter is designed in a manner that can review the

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relevant literature of the topic under discussion while also providing contemporary arguments that may have either been overlooked or not explored enough. A legislative overview of all relevant legislation adopted to ensure the improvement of service delivery within local government, specifically in municipalities, was thus conducted. Besides, beyond a review of legislation, a review of the different policies adopted to ensure the creation of an efficient service delivery led local government sphere was also conducted. An acknowledgment of the various shortcomings experienced within the local government concerning the implementation of *Batho Pele* principles and service delivery is also presented in this chapter. The following section will present the research methodology.

Chapter Three: Research Methodology

“After all, the ultimate goal of all research is not objectivity, but truth.” Helene Deutsch

3.1. Introduction

This section presents the third chapter of this research dissertation; this chapter will look at several issues relating to the process of collecting data. As is the norm in social sciences research, a chapter detailing the research methodology of a study is what this chapter primarily focuses on, the nature of the study necessities that a research methodology chapter is provided which aims to provide clarity on all methodological questions that may arise. Furthermore, this chapter focuses on wider issues, including matters of research ethics, and a detailed outlook is provided concerning the study participants who formed part of this study, their occupation and relevance to the research project.

3.2 Research design

A research design is considered an important component of the overall structure of a dissertation because it can provide detailed information about how the researcher plans to go about conducting their research. According to Van Wyk (2012), a research design outlines the type of study that will be conducted by the researcher and further provides a distinction on whether or not a study will be comparative, historical or exploratory. Besides, De Vaus (2001) further states that a research design is about how a study will be conducted and how all the components will be combined. This process, thus, involves decision making by the researcher on how the information will be arranged, studied, and interpreted (Sileyew 2019:2). Furthermore, another different outlook on the research design is provided by Webb and Auriacombe (2006), who states that a research design is simply a road map that the researcher will be using for their study. Moreover, it is through this road map that the researcher will look to conduct their research and prove their hypothesis using the different qualitative research paradigms.

As per the different research types, research designs differ as well. A qualitative research design does more than to outline steps that a researcher will take; if it is designed accordingly, it can be the gateway to unlocking data access and opportunities (Schurink 2009). Moreover, a similar point is also raised by Maxwell (2013:2), who states that if a research design is constructed well, it allows for a harmonious flow of all the data and resources but if planned poorly, it will jeopardise

the quality of the data obtained and the research in its entirety. Qualitative research designs tend to be the most flexible and open to alternations. On this point, Maxwell (2012), argues that the flexibility of qualitative research designs is what makes it stand out because each step is viewed as being a separate one leading into the larger project. Furthermore, qualitative research designs are typically the most favorable to study when dealing with issues involving the public and leadership because of their ability to get new insight into phenomena involving the public service (Wagner 2004). There are typically four major types of qualitative research design they are, phenomenology, ethnography, grounded theory and case study (Astalin 2013:119). Phenomenology study is typically concerned with understanding a phenomenon from the experiences of those involved in it (Williams 2007). Besides, ethnography type of study focuses on the collection of the data from a naturally socialistic and is exploratory (Reeves, et al. 2013: 1366). On the other hand, the grounded theory focuses on building theory through the data obtained, rather than using theory to obtain the data (Khan 2014: 227). Lastly, the case study qualitative research design is the most commonly used design in the social sciences. Baxter and Jack (2008: 544), the qualitative case study focuses primarily on studying a particular phenomenon from a certain settling and environment using different designs and sources.

3.3 Qualitative research

Upon conducting research, a researcher must decide what type of research they will be conducting. Will it be qualitative research, quantitative research, mixed methods research, or big data research? Such decisions become important because they inform the nature of the study, how it will be conducted and how the data will be conducted. According to Moon et al. (2016), qualitative research is defined by the different components such as ontology, methodology and epistemology that the researcher has chosen during the research design. Furthermore, qualitative research is primarily concerned with studying issues from several different perspectives; the continued belief influences this that reality can be subjective and not uniform (Cropley 2019: 8). A critical requirement of qualitative social sciences research is that a qualitative research question must ask, in a qualitative way, based on qualitative theory and the question asked must be centered on qualitative arguments (Crescentini and Mainardi 2009). Moreover, Aspers and Corter (2019: 6), states that “*Qualitative research is multimethod in focus, involving an interpretative, naturalistic approach to its subject matter, this means that qualitative researchers study things in their natural*

settings, attempting to make sense of, or interpret phenomena.” Besides, qualitative research requires its researchers to ingratiate themselves into either the study setting or text in which they will be collecting their data from (Tracy 2013:3), this is because qualitative data, as argued for by Yin (2011:7), is diverse and broad and includes different situations with different meanings and different people, therefore requiring a level of adaptability and diversity from a researcher that otherwise would not be required. In the social sciences, qualitative research continues to gain more traction because of how it can provide detailed analysis and understanding of how people react to them and their experiences on such matters (Mohajan 2018:2). Moreover, Drobot (2012), also states that qualitative research tries to answer both the ‘how’ and ‘what’ question instead of the more conventional ‘why’ framing. Thus, qualitative research focuses on a give and take sort of relationship between theory and methods; this is partly because most social sciences researchers do not denounce the ‘how’ from the ‘what’ from the data they collect (Marvasti 2004:11). From a time perspective, qualitative research is seen to be more demanding. This point is highlighted by Berg (2001), who argues that qualitative social sciences research is more challenging because it requires a constant presence and understanding of human behavior and their influences. Furthermore, Neumann (2014:20) points out that there are several steps towards social sciences qualitative research which is acknowledged to exist and to adopt a perspective, collect and analyze data and lastly, share the data. Moreover, through engaging in qualitative research, qualitative researchers are thus expected to collect their data in a natural environment and collect data themselves either through interviews or document analysis (Creswell 2009). This dissertation adopts a qualitative research methodology because of the long tradition of political sciences qualitative research and the preference is informed by the more in-depth structure in which qualitative social sciences research is conducted.

3.4 Case study research

As previously stated, case study research forms a part of qualitative and quantitative research methodologies. A case study can be defined as the process of studying a particular phenomenon in a detailed manner, taking into consideration the unique factors that affect certain relationships in that area (Zainal 2019:2). Besides, Yazan (2015), points out that case study research methodology is still one of the most frequently used research methods in the social sciences. For the social sciences, qualitative research is usually preferred because of the nature in which they

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can focus on one issue and can provide a different perspective that may otherwise not be made available through another approach (Rowley 2002: 16). Case study research, according to Ridder (2016:282), can focus on an individual, a group of people, an institution or an anomaly of a situation that is occurring. Also, conducting case study research can be viewed as a choice of what to study, rather than a purely methodology one (Schrunk 2009:814), this is to say that case study research continues to be used in the social sciences for various research studies and projects that are often focused on unique settings, situations and factors that influence the overall data outcome of the research. As a case study, Yin (2006) points out those case study research methods are used in different situations and social settings such as Police, political sciences and public administration. Thus, Krusenik (2016) citing Majam (2004) argues that case study qualitative research is the most suitable methodology to use when studying contemporary social sciences issues in which the data cannot be manipulated. Besides, case studies are ideal to use in circumstances whereby the purpose of the study is to answer the ‘why’ and ‘how’ questions and also focuses on the studying of a certain phenomenon that will later have to be further analysed (Teegavarapu and Summers, 2004:4). Furthermore, case study research can be further divided into three types which are variance-oriented, interpretivism, and process-oriented (Bartlett and Vavrus, 2017:28). Moreover, Alip and Evans (2019) point out that sources of qualitative case studies including, but not limited to documentation, archival records, interviews, direct observations, and participant observations.

Case study research methods have certain advantages that set it apart from others. McLeod (2014) notes that some of the advantages of the qualitative research method are that it can provide in-depth knowledge and information, provides insight for future research, and provides insight into certain human behavior that may not necessarily be easily obtained using other methods. Besides, Widdowson (2011) further argues that case study research methodology gives adequate scholarly attention to one subject to the point that the one case is thoroughly understood by all involved in the study.

Qualitative case study research is not without its critics, and contemporary academia continues to debate and raise questions around the validity and the ability of the case study method to obtain certain scholarly goals. One of the most common criticisms labeled against case studies is that it tends to generalize findings and not be able to empirically test its findings against other research

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methods such as quantitative data (Starmann 2013). Also, from an objective data standpoint, critics question how impartial the data obtained through a case study can be, this may be because the researcher's heavy involvement in the collecting of the data and the methodology used for the research may have been created to suit the personality of the researcher, therefore, compromising the integrity of the data (Verschuren 2001:122).

For this study, the researcher adopts a case study research methodology because of the advantages that come with using such an approach. The phenomenon under study is nationwide; therefore, a case study would allow the researcher to look at the unique circumstances that can be found in the case study of the uMsunduzi municipality. An example of a unique challenge that may be witnessed in uMsunduzi municipality is the fact that the ruling party remains the dominant hegemonic party in the province, however, when contrast with Gauteng, it may present different dynamics such as a municipality being governed under a non-formal coalition between the EFF and the DA. It is acknowledged that challenges of governance and service delivery are a nationwide problem; however, each municipality has its unique challenges that may not be uniform across other municipalities, therefore, and it is against this backdrop that a case study is deemed to be the most suitable research methodology.

3.5 Sources of data

During the data collection process, sources of data are the key component of where the researcher sources their data; this is because sources of data form part of a broader spectrum of data collection. Qualitative data, in particular, focuses on data collection to provide evidence on the subject being researched (Polkinghorne 2005:138). As pointed out by Hox and Boejie (2005), point out that when collecting data, social sciences make use of various data collection methods, including quasi-experiments and surveys/ interviews which can be more specifically distinguished into primary and secondary sources of data. Furthermore, coherence between the steps of research means that the data collection methods must be carefully planned, ergo, the sources of data (Paradis et al., 2016).

3.5.1 Primary sources of data

There are two main types of data, primary sources and secondary sources. Primary sources, according to Henn, Weinstein and Foard (2009: 114), are generally regarded as sources of data

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that are written and collected first-hand. The primary sources of data allow the researcher to be able to exercise control over how the data is collected and can only focus on the specific data which they intend on collecting (2017: 90). Furthermore, in qualitative research, two main techniques are relied upon for qualitative research; they are observation and in-depth interviews (Marshall and Rossman 1989:79). Furthermore, in-depth interviewing as a primary source of data enables the researcher to understand the context of each phenomenon including its causes, effects and potential impact (May 2002). Additionally, four main types of interviews can be found, i) structured interviews, ii) open-ended interviews, iii) semi-structured interview and iv) focus group interviews (Alshenqeeti 2014: 40). As pointed out by Merriam (2002), most qualitative interviews generally integrate all these three types of interviews. Besides, qualitative interviews tend to work better when they are conducted to understand the perspective provided by the researcher, instead of conducting it to make sweeping generalizations about a group of people (McGrath, Palmgren and Liljedahl, 2019:1002). Thus, before an interview can occur, due diligence must be paid to the very source of interviews to better understanding people's experiences in the area that is being researched (Knox and Burkard 2009). From a time consideration standpoint, qualitative interviews typically last between 30-60 minutes; it does, however, depend on the research study in question (Gill et al. 2008). For this study, the researcher utilizes one on one semi-structured in-depth interviews as a primary form of data collection.

3.5.2 Secondary Sources of data

Another key component of data is that of secondary sources, they too, like primary sources of data are critical aspects of the research data. According to Haris (2001: 192), secondary sources of data are sources that are not collected for the study but end up being utilized in a particular study. Furthermore, secondary data has a long history in qualitative social sciences ranging from the political sciences, sociology and psychology and other social sciences fields (Sherif 2018). An example of secondary data being utilized in the social sciences is provided by Mogalakwe (2019), who cites the usage of documentary study and analysis as part of an analysis of a different study. For this study, the researcher makes usage of secondary sources such as the municipality audit reports, the auditor general reports, and the departments of COGTA's documents. The nature of the field of research informs this selection of the study and the high number of secondary sources of data that have been published. The researcher is also going to be drawing from a broader source

component provided by secondary data in this subject area. However, awareness is also raised on the importance of this point in Boslaugh (2007), who states that one must be careful of the different slots when working with data because a particular source might be a primary source in a certain setting and a secondary source in another.

3.6 Sampling

Sampling in social sciences research is yet another of many steps involved in the conducting of a research project. Sampling is defined as the process of carefully selecting variables of your study, which you will be researching (Burger and Silima 2006). Elision (2010:154) further notes that there are a few main sampling examples that can be found; they are probability sampling, purposive sampling, and convenience sampling. Showkat and Parveen (2017), note that probability sampling is primarily focused on selecting respondents who have an equal opportunity of being chosen and uses random sampling techniques such as tossing a coin, raffle, throwing dice as well as blindfolding. Conducting a research study to include the entire population is virtually impossible, and the convenience sampling method acknowledges that. In a convenient sampling method, respondents are selected based on their availability, job they occupy, proximity they have towards the research question being researched (Etikan, Musa and Alkassim 2016: 2). Furthermore, it is stated in Elifl and Negida (2017:2), that primarily the convenience sampling methods empower the research to choose the population based on what is most convenient to them; typically, it is also associated with being cost-effective and time-saving. For purposive sampling, the researcher relies on their previous experience or knowledge of the research to find participants that are most suitable for the research study; generally, this sampling technique is mostly used in qualitative research techniques (Wagner, Kawulich, and Garner 2012: 93). Besides, Tongco (2007), states that typically, purposive sampling is used to find the best suitable respondents to answer the research questions posed. Lastly, the snowball sampling technique is also quite popular in social sciences research. In this sampling strategy, the researcher relies on other sampled respondents to assist in recruiting fellow like-minded participants to participate in the study (Naderifar, Goli and Ghaljaie 2017: 2). Moreover, as can be noted in Dragan and Isaic-Maniu (2013: 161), this type of sampling is not primarily concerned with the larger population but rather with the smaller, nuanced sample which is typically difficult to access and get a hold of.

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Small-sized sample studies have a critical role to play in research; this is because they can be utilized to study and explore a broader, long term phenomenon and enable the researcher to tap into a broader knowledge system of the various issues that can be found in studying the particular phenomenon (Davies, 2007: 140-141). Moreover, Auriacombe and Mouton (2007) further point out that sampling in qualitative social sciences work requires one to be able to utilize the information obtained from the informants and to stray away from potential generalizations. The researcher makes use of the three earlier mentioned sampling methods of convenient, purposive and snowball sampling. The convenient sampling method is adopted because of its ability to empower the researcher to pick a sample based on what is feasible for them in terms of time, resources and availability of the informants. Because the research involved provincial and local government officials, the researcher was of the view that the sampling is conducted through a convenient sampling method. Also, the researcher draws on his prior knowledge and purposively samples certain sections of public sector employees and is cognizant of the realities of accessing that sort of space, especially for academic purposes. Moreover, because the research also draws on interviews with municipal workers, the snowballing technique is used to aid in recruiting the municipal workers based on their willingness to be interviewed and participate in the study.

3.7 Profile of respondents

Respondent Name	Organization	Unit	Level of employment	Date
Respondent 1	uMsunduzi municipality	Water and sanitation	Junior level	08 April 2019
Respondent 2	uMsunduzi municipality	Water and sanitation	Junior level	08 April 2019
Respondent 3	uMsunduzi Municipality	Waste management	Junior level	09 April 2019
				11 April 2019

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Respondent 4	uMsunduzi Municipality	Waste management	Junior Level	
Respondent 5	KZN Department of COGTA	Municipal governance	Senior Management	10 April 2019
Respondent 6	KZN Department of COGTA	Intergovernmental Relations	Senior Management	03 May 2019
Respondent 7	uMsunduzi Municipality	Batho Pele	Senior Management	09 July 2019

3.8 Data analysis

Upon collection of data, the next step is that of data analysis. Generally, qualitative research, along with its analysis is expected to display evidence of working with small samples and utilising inductive and deductive approaches in attempting to gain better understanding of the social world (Bazeley, 2013:27). A definition of it is provided by Wong (2008:14) who states that data analysis in qualitative research involves systemically arranging the data collected in order to better understand the phenomenon being studied. These can include interview transcripts, observation notes, and other non-text material that was being utilised by the researcher. Thorne (2000:68) acknowledges the complexities that come with conducting qualitative data analysis for a research study which includes coding and categorisation of data accurately .

To mitigate against these complexities , a data analysis principle entails that data collection and analysis are both conducted simultaneously to enable the researcher to focus on the interviews and gain an ongoing understanding of the data while also thinking about the analysis (Maxwell, 2012:236). In keeping up with this principle, the researcher conducted the data analysis and collection concurrently. After conducting the qualitative interviews, analysis commenced immediately thereafter to ensure that the data is well understood and contextualised accordingly. A total of seven qualitative, semi-structured interviews were collected which officials from the uMsunduzi local municipality and the KZN department of CoGTA. All the interviews conducted formed part of the study's data analysis which was predominantly qualitative in nature.

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This research project utilised the NVivo software to conduct the data analysis. Leech and Onwuegbuzie (2011:71) note that NVivo software is commonly used in qualitative social sciences research. The rise in prominence of software programmes in qualitative research and has given legitimacy to research which is a practise that was previously associated with quantitative research (Johnston, 2006:381). Using the software, data was coded according to the emerging themes therefore adopting a thematic data analysis technique. Jones (2007) notes that the usage of codes upon collecting data enabled the researcher to better execute the analysis by saving time, better managing the data and also offer flexibility. The thematic aspect of the data analysis includes the identifying, reporting and analysing of patterns which emerged from the data (Braun and Clark, 2006). During the duration of the data analysis process, the researcher concurrently employs the Nvivo software technique and thematic analysis. In addition, the data analysis further utilised note taking and usage of notes obtained from the interview which formed as a guideline for the data analysis.

3.9 Ethical considerations

3.9.1 Overview of social sciences research ethics

Social sciences research is made up of several components which must be adequately catered to produce good quality research. It can perhaps be argued that of all the aspects, none are more important than research ethics; this is because the process of research can be long and strenuous; therefore, an emphasis on the ethical considerations to be made is thus made. A definition of research ethics is thus provided by Coetzee (2003: 114), who outlines that research ethics refers to the norms, values and principles that a researcher should adhere to if ever they have to deal with dilemmas in the process of conducting their research. Furthermore, research ethics also look to focus on formulating guidelines and codes which can help the research make ethically informed decisions should matter of that nature arise (Akpabio and Esikot 2014:231). In the work of Kimmel (1988: 37), there are three types of ethical problems that are likely to arise, i) on the individual level, ii) on the societal level and iii) the existent body of knowledge where the results from the study are incorporated into. Moreover, The widely accepted understanding of research ethics is that it has to i) gain approval especially when dealing with human objects and animals, ii)

plagiarism can be interpreted as intellectual theft, iii) data can be misrepresented and misinterpreted, iv) informed consent from participants to participate in the research, v) potential conflict of interest in the conducting of the research and vi) there should be no harm to be experienced by any of the participants (Lategan 2011: 75). Furthermore, mainly on the issue of anonymity, Dube, Mhlongo and Ngulube (2014: 202), state that anonymity in research refers to the process in which participants can participate in a study without having to disclose their identity. Besides, as can be observed in Kaiser (2009), confidentiality in social sciences research generally refers to what is communicated in confidence and what the participants agree will happen with the data that has since been collected.

3.9.2 Ethics in qualitative research

The nature of qualitative social sciences research requires a level of trust and intimacy because of the duration and generally lengthy period it takes to conduct a qualitative interview. As a result, Henn, Weistein, and Foard (2006) state that ethics in qualitative interviews must be given adequate attention and consideration. For example, if a researcher is interviewing an individual who once encountered violence and experiences some triggers, the researcher will face a dilemma of either continuing with the interview to gain more insight into the experiences of the respondent, or the researcher can cancel the interview and give the respondent time to regather themselves (Orb, Eisenhauer and Wynaden 2001:94). Besides, although an issue in quantitative research but it becomes more of a challenge in qualitative research, this is because the presence of the researcher in a lengthy qualitative interview may unduly influence the participant to continue participating in a study even though they may not be comfortable doing so (Jelsma, 2005). Furthermore, issues of social desirability may also arise, especially in interviews where the respondent may be of the view that the response they give is not necessarily socially desirable (Aluwihare-Samaranayake 2012).

The researcher takes several steps to ensure that all ethical protocol is observed. Firstly, the researcher applied for ethical clearance from the University of KwaZulu-Natal's Humanities and Social Sciences Research Ethics Committee. Furthermore, the researcher obtains a letter of permission from the uMsunduzi municipality, which enables the researcher to conduct a study involving officials and professional staff from the municipality. Upon obtaining ethical clearance from the university's ethics committee, the researcher then proceeded to conduct face to face interviews with key informants from the uMsunduzi municipality's water and waste units,

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respectively. Furthermore, interviews were also conducted with fellow stakeholders such as the KZN department of COGTA. Due to the sensitive nature of the study, the researcher only conducted interviews on a face to face basis. Also, throughout the entire interview process, the interviewer adhered to strict norms of qualitative interview research including maintaining anonymity and confidently. Moreover, the researcher also went over and above to ensure that the respondents are comfortable, free and able to partake in the study knowing that they are voluntarily participating and not being coerced to partake in the study. Informants were also informed that the interviews would be transcribed and analyzed and would form a key part of the data analysis as the primary sources of data for the study are obtained from the interview, which they participated in. Furthermore, the uMsunduzi municipality is experiencing heightened levels of political tension and sensitivity; as a result, some respondents were hesitant to partake in the interview. However, after being informed about the protocol related to data collection and protection, the selected respondents voluntarily participated in the interview processes. Linguistic competence was also taken into consideration during the process of the data collection, as some of the respondents were not fluent in English, interviews were conducted in IsiZulu and then translated and transcribed into English as the primary language used in this study. The researcher is of the view that this was an important step to take because of the respondent's comfort level and ability to express themselves in a language they are most comfortable speaking in.

3.10 Reliability and validity

When conducting a research study, it is important to pay due consideration to the validity and reliability of the research project. "Reliability and validity should be taken into consideration by qualitative inquirers while designing a study, analyzing results, and judging the quality of the study, but for too long, the criteria used for evaluating rigor are applied after the research is completed a considerably wrong tactic" (Cypress 2017:256). Furthermore, according to Golafshani (2003: 598), reliability in research is essentially about establishing whether or not the research results of the study can be seen to be similar to other studies that have been conducted over time and also exploring whether or not similar studies would produce a similar outcome. Furthermore, reliability can be better understood as meaning to mean that the procedures undertaken in the study are done so consistently throughout the research project (Noble and Smith, 2015: 34). Moreover, Kimberlin and Winterstein (2008) state that measures of reliability are used

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to assess if the stability of the measures to produce the same outcome even when administered at different intervals and to measure the consistency of the measures put in place.

The validity, on the other hand, is more concerned with the significance and meaningfulness of the research (Drost 2011). Moreover, as can be noted in Brink (1993) and further in Whitmore, Chase and Mandle (2001), validity in research generally focuses on whether or not the findings of the research can be accurate and trustworthy. Emphasis is likely to be put more on case study research, and this is further expanded on in Snodgrass et al. (2018), who state that validity is even more critical in single case studies because it may be difficult to assess on whether or not the same methodology could be applied elsewhere. Furthermore, there are three main types of validity for social sciences research which are descriptive, interpretative and theoretical validities (Hayashi Jr, Abib and Hoppen 2019).

A long tradition of a qualitative case study based social sciences research continues to hold in the political sciences. As a result, the researcher is of the view that a study of this nature would produce reliable findings because the methodology adopted has a long successful history in academic research. Furthermore, the research believes that the methodological steps taken during the process of this research enable it to be a reliable and trustworthiness of the study. Besides, from a validity standpoint, the research takes several steps that have been detailed in this chapter to ensure that there are a meaningful explanation and justification of how and why a study of this nature is important and can be impactful.

3.11 Limitations of the study

Conducting a social sciences study is always bound to encounter some limitations either in terms of the subject area or even methodologically, a study is bound to face certain limitations. The researcher acknowledges that this study faces several limitations; firstly, because this is a qualitative study, the sample is much smaller in size. Malterud (2001) points out that from a sample standpoint, qualitative studies rely heavily on their sampling for them to be reflective of the realities currently being experienced in the study area. This study interviews ten key informants, and while the researcher is of the view that the sampling technique used provided the best possible candidate selection option, the research also acknowledges that this may also have some

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shortcomings. Furthermore, the study did not interview any political actors; therefore, this may be a limitation because it only visits the perspective of either junior or senior workers. The study also focused bureaucrats who may not be privy to the challenges that are faced and may not be able to take into consideration the political dynamics that may be at play when conducting a study concerning the governing of a municipality. It should, however, be noted that the researcher made several attempts to conduct interviews with political principles from the governing ANC and opposition parties like the D.A and the IFP but was unable to secure an interview with either one of the three political actors.

3.12 Conclusion

This presents the third chapter of this research dissertation. This chapter discusses at length all relevant topics concerning research methodology; this includes a wide-ranging overview of various research steps and procedures of data collection and methodology. In keeping up with social sciences research, the researcher outlines the importance of a research methodology when conducting a study. The section includes the significant role that something like a research design plays when planning for research. Furthermore, deciding on whether to use a qualitative, quantitative, mixed, or big data methods methodology is also discussed at length in this chapter. A detailed outline on the significance of case study research is also provided in this chapter along with a thorough outlook on the sample procedures that the researcher used is also covered in the chapter along with due consideration for the various sources of data where information about the research study can be sourced. Besides, a detailed outline of the respondent's profile which explains who the respondents are and their relation to the study in terms of their occupation is also accounted for in this chapter. From a research ethics standpoint, issues of ethics in research are acknowledged and the researcher also outlines how they sought to deal with any ethical dilemmas that may arise including the observing of all basic research ethics protocol including the maintaining of confidentiality and privacy of respondent details, obtaining ethical clearance from the relevant office and taking all the relevant steps towards the protection of data.

Chapter Four: Analysis and Discussion of Results

“Your most unhappy customers are your greatest source of learning” Bill Gates

(4.1) Introduction

This chapter presents the analysis and interpretation of the results of the research study. This chapter continues from the previous chapters by providing an analysis of the primary data that was collected to address the objectives of the study. Furthermore, it has been established from the literature review that the *Batho Pele* principles form an integral part of local government’s service delivery objectives and therefore play a key role in transforming the public service, however, their implementation continues to be riddled with several challenges, which will be discussed in this chapter.

This segment provides an analysis of the responses gathered from the participants regarding the implementation of *Batho Pele* principles and the provision of waste management and water services in uMsunduzi local municipality. The data was gathered from participants who work in the uMsunduzi municipality as well as other key stakeholders from the KwaZulu-Natal Department of COGTA. The researcher conducted seven interviews, five of which were with a senior official and four municipal workers from the uMsunduzi municipality water and waste management units, as well as another two with senior officials from the KZN Department of COGTA. The analysis is further divided into subsections looking at the implementation of Batho Pele principles in uMsunduzi municipality’s waste management and water services. Moreover, the chapter also looks at service delivery challenges and governance issues in the uMsunduzi municipality. Furthermore, the data was analyzed by considering the themes that emerged from the interviews conducted with participants. The main themes that emerged from the data are the implementation of *Batho Pele* principles, water, waste management services, and service delivery challenges. Some themes are mentioned as aspects of the implementation of *Batho Pele* principles and service delivery challenges. The data is therefore presented according to these themes and sub-themes. The first segment of this chapter begins with an analysis of the nature of the *Batho Pele*, specifically focusing on the participant's understanding of the policy, looking at its importance, purpose and its role in local government. The chapter will then proceed to analyze other key themes

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that appeared in the process of collecting data; furthermore, key concerns that arise from the data analysis will be highlighted in the discussion or presentation of findings and results.

(4.2) Understanding of the significance of Batho Pele and its role in local government

It is evident that, to a large extent, the success of the government's programs and policies depends on the public service (Koma and Tshiyoyo 2015). In this regard, the *Batho Pele* principles seek to transform the public service and thus have a key role to play in the provision of public services. More so, given that they are the main approach and belief set that the South African government has committed to using to enhance service delivery in the public service. Consequently, as observed by Fourie (2005), *Batho Pele* principles are concerned about how public services are provided and improving how services are delivered. Moreover, *Batho Pele* is central to public service delivery transformation in South Africa because the policy is meant to guide the entire public service and its interactions with citizens (Venter 2018). Besides, the nature of *Batho Pele* encourages the public service to consider and regard all members of the public as valued customers and clients, ensuring that their needs are prioritized at all times (Mubangazi, 2017). Respondent two (08 April 2019) to this point added that:

"...The Batho Pele policy is meant to guide public servants on how to perform their duties in their relevant business units or departments when rendering services to the local community."

Similarly, respondent three (09 April 2019) said that:

"...From what I understand, Batho Pele is about giving good service, providing excellent service to our customers, my perception of Batho Pele is that it is a service delivery courtesy."

On the same note, respondent 5 (10 April 2019) mentions that:

"...Batho Pele is essentially about putting people first in terms of delivering services and ensuring that we deliver the highest quality of services to communities."

Also, respondent four (11 April 2019) stated that: *"...Batho Pele is about municipalities putting the community first before anything else."*

The primary objective of *Batho Pele* is that the policy is meant to improve the quality of service delivery by prioritizing the needs of citizens and ensuring that the public is treated as valuable

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customers by public servants. Observed by Crous (2004:575), *Batho Pele* principles are a guide that provides practical steps on how government within all spheres can improve public service delivery by becoming more people orientated and by increasing efficiency, reducing waste and redressing the inequalities of the past. All the participants were asked to share their perspectives and understanding of *Batho Pele*.

Respondent seven (09 July 2019) stated that:

“...Batho Pele is a policy that was introduced to be a catalyst for change in public institutions. Batho Pele is meant to transform the public institutions inherited from the Apartheid regime to ensure that they put people first; the principles are a guide for all officials in the public service.”

Furthermore, *Batho Pele* is not only merely a plan or practical steps but also an attitude or set of values which are designed to shape the character of the public service through officials (Nzimakwe and Mpehle, 2012). Concerning this aspect, respondent Five (10 April 2019) said:

“...The Batho Pele principles talk to the type of character and the caliber of public servant that the government should employ to deal with people on a day to day basis.”

This point is further emphasized by respondent six (03 May 2019) who maintained that:

“...Batho Pele is the guiding principle for us public servants, and the approach is about looking at what we are doing and whether we are doing enough to support local communities. It is about the principles; it is about integrity and how we work so that we serve the public. Batho Pele is the underlying principles and values that we are supposed to have to do what we are being paid to do so that we benefit local communities. The Batho Pele principles are meant to be instilled in us as a basic principle for us to work.”

A similar point is raised in the literature by Ingle (2011) that the *Batho Pele* principles are meant to shape the character of the entire public service, as well as dictate the conduct of civil servants in all their interactions with the public. Moreover, the *Batho Pele* principles are also aligned to the constitution and are a key policy directive geared towards transforming public service delivery within all spheres. Nevertheless, the local government is where such initiatives are said to play a crucial role given that municipalities, in particular, are the citizens' first point of contact with the

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government. Discussing the role of *Batho Pele* in local government, respondent one (08 April 2019) said that:

“... Batho Pele in the municipal space is meant to ensure that people are informed about what happens within the government as well, ensuring that the public is made aware that they also have a key role in service delivery. The Batho Pele principles are there to promote democracy in local government.”

Sharing the same sentiments respondent seven (09 July 2019) added that:

“... The role of Batho Pele in the local government is ensuring that public servants become aware of the fact that they are servants of the people and have a duty to make sure that the government is responsive to people’s needs. Batho Pele helps to bridge the gap between the people and the government.”

Furthermore, respondent six (03 May 2019) points out that:

“...The role of Batho Pele is to provide communities as well every citizen with the opportunity to interact with the government at a grass-root level. The Batho Pele approach is meant to make the public feel valued by municipalities and should help develop a sense of pride in the public service, and give citizens a government that they can be proud of.”

Central to the understanding of the nature, purpose, and role of *Batho Pele* principles in local government is the idea that *Batho Pele* principles are supposed to shape the character or significantly change the attitudes of public servants and ensure that government institutions become more responsive to people’s needs. Furthermore, *Batho Pele* is meant to improve public participation and better promote good governance. To this point respondent, seven (9 July 2019) stated:

“...Once you have public consultation participation being implemented at the local government, that is Batho Pele. Once you have systems of Batho Pele in place, you consult daily with communities, and you can better inform them of what is happening and can account.”

Furthermore, this point is also highlighted in the literature Gopal et al. (2012) note that *Batho Pele* principles are aimed at establishing an interactive and responsive relationship between clients in the form of citizens and public officials. Besides, according to Mbecke (2014), the *Batho Pele*

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project was introduced to simplify and enhance the relationship between the public service through its officials and the citizenry, as well as facilitate service delivery and promote good governance through effective public participation. Furthermore, to emphasize the key role of *Batho Pele* in the provision of public services in local government, respondent Five (10 April 2019) points out that:

“...At the key point of service delivery, such as local government, is where you need to the principles of Batho Pele being implemented...”

The above segment aims to provide an overview of the participant's understanding of *Batho Pele*, looking at the nature, purpose, significance and role of *Batho Pele* principles in local government. Batho Pele plays a crucial role in influencing how municipalities deliver basic services because it seeks to provide key guidelines on how the government ought to serve and interact with the public. Furthermore, local government remains a key point for policy implementation and service delivery. More so for initiatives such as *Batho Pele*, which is geared towards transforming public service delivery through improved consultation and participation.

(4.3) Implementation of Batho Pele principles in uMsunduzi local municipality

It is well documented that the effective implementation of *Batho Pele* principles remains a major challenge in local government, as noted by Kuye and Ile (2007:89), it appears that implementation of Batho Pele is almost nonexistent. uMsunduzi municipality is also not a stranger to some of the obstacles that currently confront *Batho Pele* and the local government as a whole. Furthermore, the municipality has recently been placed under administration, which is, to some degree, an indication that uMsunduzi is failing to successfully implement *Batho Pele* principles as well as provide public services accordingly. However, it is with noting that the key concern which is often raised concerning section 139 interventions is whether these interventions are an accurate reflection of municipalities failing to function as prescribed by law, or whether the provincial government are themselves falling short in monitoring and supporting municipalities when administrative weaknesses arise (Makoti and Odeku 2018:77). about the implementation of *Batho Pele* principles in uMsunduzi municipality, there are some administrative frailties, respondent one (08 April 2019) said:

“...Batho Pele is not being implemented in uMsunduzi municipality.”

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Sharing the same view respondent three (09 April 2019) stated that:

“...Batho Pele, in principle, is there, but unfortunately, it is not being practiced or implemented extensively.”

To this point, respondent six (03 May 2019) added that:

“...Batho Pele principles are not being implemented accordingly, because if they were being implemented, we would not be in this situation in which uMsunduzi municipality has been placed under administration.

Besides, respondent two (08 April 2019) mentions that:

“...Batho Pele has not had the desired impact on service delivery in uMsunduzi, which is a clear indication that implementation is poor at the moment.”

The uMsunduzi municipality’s failure to effectively implement *Batho Pele* Principles, amongst other things, has had a detrimental effect on the municipality’s ability to efficiently deliver public services such as water and waste management services. For instance, the study participants maintain that the declining level of service quality in the municipality can be attributed to the ineffective implementation of *Batho Pele* principles on the part of public servants. Moreover, the current state of affairs in which the performance of the municipality continues to suffer has resulted in intervention from the provincial government to help improve the situation. Intervention from the provincial government in local government’s affairs is deemed necessary when municipalities are unable to sufficiently fulfill their constitutional obligations, of which providing public services through implementing *Batho Pele* is considered a key priority (The White Paper on Local Government 1998). When asked about the implementation of specific *Batho Pele* principles in uMsunduzi municipality, respondent three (09 April 2019) said:

“...You find that when dealing with the municipality, the approach from staff is that we are doing the public a favor, so in this regard, there is a lack of courtesy.”

These sentiments are also shared by respondent six (03 May 2019) who says:

“...uMsunduzi currently lacks courtesy; the attitude from some of the employees is that everybody owes them they have no pride in serving the community.”

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Respondent five (10 April 2019) added further saying:

“...Batho Pele is about public servants showing that they care, showing fairness and compassion towards the public whenever they need to access government offices. However, when you come to uMsunduzi offices in some instances, we are treated as if we have come to beg, we are not treated like customers but instead are treated with disdain.”

In the literature, Sayeed et al. (2004) raised a similar point that government official's attitudes when dealing with the public is one of the key principles that are not being implemented as required in local government. Participants were also not satisfied with the implementation of some of the *Batho Pele* principles, respondent one (08 April 2019) stated that:

“... I am going to talk about transparency; members of the public have the right to know how the municipality operates, and this right also extends to municipal workers but here if you demand openness and transparency staff members take it personally as if you are attacking them; therefore openness and transparency are lacking. There is also no consultation. For instance, if there is a change in management, the new management should explain the changes that will take place so that workers and the public at large are aware of what is happening such information, however, is never relayed on time, this is why municipalities are dysfunctional; they do not promptly consult, and there are not open and transparent in the things that they do. Besides, they do not follow local government principles and legal prescripts. For this reason, municipalities end up being in a crisis, as is the case with uMsunduzi.”

Also, respondent five (10 April 2019) maintains that:

“...In uMsunduzi municipality consultation is poor, so is value for money besides, there is a lack of transparency. However, in terms of access, the municipality's services are adequately accessible for the most part.”

This above discussion shows that uMsunduzi municipality's implementation of *Batho Pele* is less than satisfactory and has not reached the desired level, it is confronted by various difficulties and as a result, there is still room for improvement despite the progress that has been made in the municipality since the democratic dispensation in 1994 and official reconfiguration of local government in 2000.

(4.4) Causes of poor implementation of Batho Pele principles in uMsunduzi municipality

This subsection outlines the significant contributing factors of the ineffective implementation of *Batho Pele* principles in the uMsunduzi municipality. It is important to note that given the close relationship between Batho Pele and public service delivery, some of the causes of poor implementation Batho Pele also account for the lack of efficient service delivery.

(4.4.1) Lack of understanding, education, and training concerning Batho Pele and service delivery

There are several factors advanced as key contributors or causes for the poor implementation of *Batho Pele* principles in the uMsunduzi Municipality. The lack of understanding of *Batho Pele*, inadequate training and education of municipal employees in terms of service delivery, is considered to be one of the main reasons for the poor implementation of *Batho Pele* principles in municipalities such as uMsunduzi. This Point is further substantiated by respondent seven (09 July 2019) who stated that:

“...Some officials who are employed by the municipality have a long way to go to have a full understanding that Batho Pele is a tool for service delivery. Officials need to realize that Batho Pele must at all times inform their strategies. Municipal staff and officials still look at Batho Pele as eight or eleven principles only; they do not understand that Batho Pele is a tool that can assist them in turning things around in terms of service delivery.”

Sharing the same sentiments respondent six (03 May 2019) add that:

“...A lot of public servants in municipalities, uMsunduzi being no exception, either do not know or are not adequately trained on the guiding principles of Batho Pele. There is a lack of implementation because policies are not adequately explained to public servants through extensive training and, therefore, in most cases, do not have the required impact.”

Besides, respondent five (10 April 2019) mentioned that:

“...The staff tasked with implementing the policy, particularly the front desk staff is not properly aware or have a comprehensive understanding of the principles, which is problematic because it is at this level where these principles need to be seen and implemented.”

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Moreover, the inability of local government officials in the uMsunduzi municipality to fully understand the *Batho Pele* approach in a manner that enhances public service delivery remains one of the major setbacks to the effective implementation of the principles. To this point, respondent four (11 April 2019) maintains that:

“...The municipality has to do more to educate officials, front desk staff, and workers at lower levels about Batho Pele and its significance to improve implementation.”

Further backing this point, respondent six (03 May 2019) added that:

“...In terms of better implementing the policy, educating officials is crucial as well as providing effective training and workshops to public servants besides, municipalities must introduce Batho Pele incentives to enhance implementation.”

Furthermore, sharing the same sentiments respondent five (10 April 2019) states that:

“... The uMsunduzi municipality needs to actively look for more means of ensuring that Batho Pele becomes ingrained in people’s minds and behavior of its employees, especially those that interact with the public more regularly.

Besides, respondent two (08 April 2019) said that:

“.... The uMsunduzi municipality has done very little to develop municipal workers further, as well as creating some initiatives to ensure that workers enjoy coming to work and remain motivated. Workers are disinterested in providing services, which severely hampers the effective implementation of Batho Pele.”

There is an acknowledgment from officials and employees from the uMsunduzi municipality as well officials from the KZN Department of COGTA that one of the leading causes of the poor implementation of Batho Pele in uMsunduzi municipality is the lack of training and education of municipal employees when it comes to delivering services and dealing with the public. Also, some officials and workers in the municipality are struggling to develop a comprehensive understanding of the *Batho Pele* principles, which is essential to transform public service delivery.

(4.4.2) Lack of monitoring and evaluation

Largely considered to be the key to ensuring that municipalities fulfill their constitutional and legal mandates is the effective use of resources. However, to do this, the government must strengthen monitoring and evaluation, especially in the country's most underperforming municipalities. Mentioned in the literature section, the Public Service Commission Report (2007) found that there are several shortcomings in local government when it comes to monitoring and evaluation of *Batho Pele* principles to improve service delivery.

Moreover, according to Mello (2015:2), many municipalities in South Africa are not performing well mainly because of a weak system of monitoring and evaluation, as well as the inability of councilors and officials to monitor projects and finances. Furthermore, the failure to establish effective monitoring and evaluation units leaves the local government susceptible to corruption and deteriorating service delivery. Highlighted in the literature Mokgoro (2003) contends that the main criticism of *Batho Pele* is that there is poor attention given to its implementation, mainly attributed to a shortage of resources to monitoring its implementation.

Similar views are also held by respondent six (03 May 2019) who stated that:

"...Another major issue concerning the implementation of Batho Pele is that monitoring and evaluation are a struggle in local government; thus, municipal performance is not adequately measured which hampers public service delivery transformation and the successful implementation of key policy directives."

Furthermore, noting that the poor implementation of *Batho Pele* in uMsunduzi municipality is due to weak monitoring and evaluation respondent two (08 April 2019) said that:

"...In uMsunduzi, the implementation of Batho Pele is Poor because there is a lack of monitoring to ensure that policies are followed or enacted."

Acknowledging this challenge, respondent seven (09 July 2019) says that: *"...To enhance monitoring and evaluation, every subunit in the municipality must have a champion that will represent Batho Pele. In trying to monitor service delivery and service delivery improvements in the municipality, we are trying to put a system in place, but unfortunately, we have some challenges."*

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Moreover, the challenge of ensuring effective monitoring in the entire public sector is accurately summarized by Dassah and Uken (2006), who posit that monitoring and evaluation in African states are still riddled with plenty of challenges; these include the late development and acceptance of evaluation as a profession. In other words, the practice of monitoring and evaluation is relatively underdeveloped. Furthermore, in many African countries such as South Africa, evaluation is largely perceived as a mechanism that focuses on exposing and criticizing failures and weaknesses in the performance of policies, programs and projects rather than something that could be used to build on the strengths and successes to make improvements. Besides, the monitoring and evaluation arena is dominated by international donors as African countries remain heavily dependent on international financial institutions and donors to fund the implementation of policies, programs and projects. Furthermore, another setback concerning this is funding constraints as there is in some instances a lack of resources to initiate high cost of evaluations.

Improving monitoring and evaluation needs to be prioritized if uMsunduzi is to overcome some of the hurdles preventing it from successfully implementing *Batho Pele* and enhancing the provision of public services. As noted by Mofolo et al. (2014), there is a lack of monitoring and evaluation in the departments and municipalities in South Africa, however even though monitoring and evaluation are seen as crucial in assisting government institutions to be effective towards attaining key goals and objectives to impact the lives of citizens meaningfully. Nevertheless, much still needs to be done to address other key-related issues such as the organizational culture, public servants' attitudes, inefficiency and incompetence as well as non-compliance with legislation. Nzimakwe and Mpehle (2012), who state that the successful implementation of *Batho Pele* principles requires a significant change in the organizational culture of public institutions also highlight this point in the literature section.

(4.4.3) Recruitment and cadre deployment

The recruitment of staff and the appointment of officials in local government are widely considered to have a huge bearing on the achievement of goals and attainment of objectives in municipalities. Recruitment is important in government institutions, given that it impacts performance in terms of public service delivery through policy directives and legislation (Public Servants Association

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Perspective 2015). However, recruitment, processes in local government as noted by Tshiyoyo and Koma (2011) have become a contentious issue and are listed amongst the key contributors to ineffective policy implementation and poor service delivery because of instances whereby municipalities have been found guilty of appointing incompetent persons to key positions resulting in inefficiencies or poor performance.

Furthermore, it is also emphasized in the literature that the failure to implement *Batho Pele* principles by local government authorities is as a result of questionable recruitment policies in the public sector (Ingle 2011). Besides, it is argued that currently, the public service in South Africa is burdened with unqualified political appointees mostly due to the governing party's excessive use of its policy of cadre deployment. Moreover, the policy has been blamed for perpetuating corruption, incompetence, and hindering public service delivery within all spheres of government (Gon 2019).

Expressing a similar view respondent six (03 May 2019) said that:

"...the appointments of people who do not have the appropriate skills as well as issues of nepotism remain a huge challenge in local government. Besides, cadre deployment is also, to a large extent, responsible for the appointment of people without the necessary skillset in uMsunduzi municipality."

Also, respondent four (11 April 2019) echoing the same sentiment mentions that:

"...There is a problem of having incompetent and unqualified personnel in the municipal council as well as unskilled individuals being put in strategic positions or posts that they are not qualified for but are solely appointed because they are politically connected. uMsunduzi municipality needs to employ educated people that are passionate about serving the public so that they can implement key policies."

Issues around recruitment, appointments, and cadre deployment, as well as misconduct and corruption all, came to the forefront in uMsunduzi municipality following the municipality recently being placed under administration. As a result, this led to the subsequent removal of the mayor, deputy mayor and speaker alongside ANC councilors who had been serving in the municipality's executive committee (EXCO). Besides, there also has been a host of administrative, managerial changes in the municipality. The most notable of these changes in the administration

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was the suspension and removal of the former city manager of uMsunduzi municipality Sizwe Hadebe, who was found guilty of violating procedure following an incidence involving him and a colleague allegedly fixing jobs for candidates chosen by politicians as well being involved in tender manipulation. Incidences of this nature are a clear indication that uMsunduzi has been somewhat found wanting in terms of appointing and employing the appropriate personnel to ensure that the municipality functions accordingly.

Speaking on the matter of recruitment in uMsunduzi municipality respondent one (08 April 2019) said that:

“...The problem in uMsunduzi municipality starts with the appointment of weak and incompetent leaders to key positions, leaders who do not respect the rights of citizens, and who do not uphold Batho Pele principles and the constitution. The absence of capable leadership, as well as qualified management, is currently impeding the successful implementation of Batho Pele as well as service delivery and municipal performance. The municipality must appoint capable individuals that are qualified and understand that the ANC government is mandated with changing people’s lives.”

The same views were held by respondent three (09 April 2019) who said that:

“...Service delivery improvement through Batho Pele is negatively affected by the fact that here in uMsunduzi certain things are implemented by people who do not know about what is going on in the municipality. A lot of people work at this place not knowing their job descriptions, and they have not been sufficiently trained in the areas that they are working in, you find that some people are in positions that they are not qualified to hold but are appointed because they are politically connected.”

It is evident that according to the study participants, the hiring of unqualified personnel is a result of the excessive use of cadre deployment in the uMsunduzi municipality which because it enables unqualified and unskilled assume key positions largely subverts the implementation of *Batho Pele* principles and halts the efficient provision of public services. This point also noted by Booysen (2012), who states that the election or appointment of municipal functionaries who are not adequately qualified and based on political patronage and nepotism limits the efficient and effective functioning of local government. Moreover, the extent of this problem is highlighted by the report on Section 139 intervention in uMsunduzi municipality from COGTA which states that

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one of the main reasons for uMsunduzi being placed under administration is the collapse of service delivery as well councilors and senior managers failing to execute their duties, therefore, rendering the city dysfunctional effectively.

(4.4.4) Lack of accountability

Accountability or lack thereof remains of the key obstacles to the effective implementation of policy directives such as *Batho-Pele*, which seek to ensure the effective provision of public services. Public accountability is considered to be a crucial component of local governance as it promotes community involvement, public participation, and transparency (Sikhakane and Reddy 2011). Moreover, the carrying out of policies, programs and projects such as providing water supply or waste management requires municipal representatives that are accountable. As stated in the literature section, the Auditor General 2018-19 reports indicate that there has been a decline in accountability in local government, and hence there is growing concern at deteriorating levels of accountability in municipalities.

The lack of accountability in uMsunduzi municipality has been cited by respondent one (08 April 2019) who said that:

“...One of the biggest challenges with regards to implementing Batho Pele principles in uMsunduzi is the lack of accountability from the top senior staff right down to the bottom. The government speaks but lacks implementation as well as monitoring to ensure that things are done as expected; for instance, if budgets are misused, those cases are not tracked sufficiently, and it could be years before anyone is held liable.”

Sharing the same sentiments respondent two (08 April 2019) who said:

“...The municipality has been dysfunctional for a while now; however, there is barely anyone brought to book or held liable. There have been no arrests made, more strict actions need to be taken on officials who are found to be corrupt or have violated the code of conduct and are failing to fulfill their duties. Limited services are going to communities because those in strategic positions would rather steal from the municipality and very little is done to deter them.”

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As noted by Koma (2011:116), effective and strategic leadership is required to take bold and decisive actions against poor performance and a lack of accountability. This view is also shared by respondent seven (09 July 2019) who stated:

“...To improve the implementation of Batho Pele as well address challenges such as the lack of accountability, we need leadership that will completely commit to making the municipality more responsive and has the political will to monitor performance.”

Besides, respondent five (10 April 2019) says that:

“...You cannot have good governance without accountability and transparency for this; you need more oversight from councilors and administrators as well as accurate reporting so that both the political and administrative leadership can hold each other accountable.”

The lack of accountability and poor communication with communities is said to be due to local leaders in municipalities thinking that they have political protection and become untouchable (Reddy 2016). Expressing a similar view respondent one (08 April 2019) said:

“...Here in uMsunduzi municipality, everyone goes around doing as they please, especially some of the councilors who don't follow the rules or account to the community.”

Likewise, respondent three (09 April 2019) states that:

“...The leadership here is, for the most part, unresponsive, and they do not understand that the public is their customers and that they are the people that are paying their salary instead the approach is that the public is being done a favor as some councilors and officials are here for personal gain and are only interested in serving those who they are politically affiliated with.”

President Cyril Ramphosa referred to local government as part of the government's seven priorities in his state of the nation address calling for local government to be made more professional and training enhanced for officials to improve service delivery as well as addressing some of the accountability shortfalls (SONA 2019). A similar view was expressed by respondent five (10 April 2019) who says that:

“...Education and training remain key if we are to make any significant improvement in local government. South Africa is recognized the world over for drafting of democratic policies and

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procedures; however, our biggest challenge is the inability to implement these policies due to a lack of sufficient education and training as well prevailing unprofessionalism in the public service.”

Clearly, according to the study participants, the lack of accountability is one of the key challenges which currently confront the uMsunduzi municipality and one that needs to be addressed for the municipality to practice the *Batho Pele* principles successfully and effectively manage resources and enhance service delivery.

(4.5) State of service delivery in uMsunduzi municipality

This section will discuss the state of service delivery in the uMsunduzi municipality, focusing on water and waste management services. Besides, various service delivery challenges will be discussed, as well as many key contributors to deficient service delivery in the municipality will be outlined. One of the objectives of the study is to critically analyze the current state of public service provision in the uMsunduzi municipality. Providing public services remains a key responsibility entrusted on municipalities by the constitution however, it is well documented that local government is battling to deliver the kind of quality of public services that are envisaged in the constitution and the *Batho Pele* white paper. Furthermore, given that the majority of the country’s municipalities are at the moment considered to be dysfunctional or heavily distressed, public service delivery has become a key concern and one which the government acknowledges needs to be sufficient.

Concerning the state of service delivery in uMsunduzi municipality respondent three (09 April 2019) stated:

“...the standard of service delivery has declined to zero; people in the municipality are struggling just even to do what they have to do when they have to it, so the quality is poor.”

Likewise, respondent four (11 April 2019) held the same view saying that:

“...The quality of service delivery in uMsunduzi has severely declined instead of improving; it is getting worse.”

Sharing the same sentiment, both respondent two (08 April 2019) and respondent four (11 April 2019) said that:

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“...The level of quality of service delivery in uMsunduzi municipality is declining.”

This view is further substantiated by respondent seven (09 April who said:

“...The state of service delivery in uMsunduzi is very bad; the quality is dwindling, and that is why we are under administration.”

Referring specifically to water service in uMsunduzi municipality respondent one (08 April 2019) said that:

“...The provision of water services is not well coordinated at all, mostly due to the lack of skilled staff rendering the service as well as the politicization of service delivery. Sometimes the water is intentionally closed so that certain water tanks can be brought out by certain individuals within the municipality.”

According to respondent two (08 April 2019) who also expressed dissatisfaction with the state of water services in uMsunduzi saying that:

“...Water services are not of sufficient quality because plumbers are not adequately equipped; there is a lack of resources in the municipality’s water and sanitation unit; therefore, plumbers cannot deliver services accordingly. Plumbers are using old infrastructure to make repairs in urban areas where the demand is huge and requires new equipment.”

Expressing a similar view respondent six (03 May 2019) stated that:

“...The main issue with water services is the aging infrastructure and limited resources; every day, there is a pipe that bursts somewhere. Maintenance and repairs are not being done accordingly furthermore; there are also issues with water meter readings and billings.”

It has been reported that residents in the uMsunduzi municipality have experienced problems with the municipality’s billing system and that the municipal phones are not answered (John 2015). Furthermore, most of the views expressed by the participants are also noted in the literature section, the 2016 report by the World Wildlife Fund South Africa (WWF-SA) highlighted aging infrastructure, increasing urbanization, deteriorating operations, and maintenance as well the lack of skilled personnel as key challenges to the efficient delivery of municipal water services (WWFSA 2016 Report). Despite the improvements the municipality has made in providing access

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to water services, there are still a large number of households that are not fully satisfied with the quality, access and interruptions in water delivery in uMsunduzi.

With regards to waste management services in uMsunduzi municipality, respondent three (09 April 2019) stated that:

“...The municipality’s waste management unit is understaffed and stretched; that is why waste services are not delivered accordingly, and as a result, the city is dirty.”

Likewise, respondent five says that:

“...A major concern with waste services in uMsunduzi is that there are too many strikes, and as a result, waste is not picked up on time. The city is filthy at the moment, and this reflects that the municipality is not in a good state; maybe the local communities need to be educated about cleanliness, and there need to be bylaws in place for littering that carry fines to keep the city clean.”

Sharing the same sentiment respondent six (03 May 2019) mentions that:

“...When we look at the state of the city, it is one of the dirtiest in the country. Refuse removals are inconsistent; hence the standard is poor at the moment. Recycling is poor as it is not done accordingly, and there are too many plastics lying around. The city at the moment does not have a solid waste management plan and waste services have not reached some rural areas.”

The municipality’s integrated waste management document acknowledges that rural areas are not serviced; however, the municipality intends on forming partnerships with co-operatives and SMME’s to improve delivery across the board. None the less, the municipality is struggling to implement an integrated waste plant; as a result, the New England landfill site is overburdened; more recently, to lighten the load at the site the municipality resorted to burning waste which is problematic because it possesses an environmental health risk.

The Witness also reported that the city’s refuse removals are in a state of crisis as the municipality has been overwhelmed by strikes, so consequently, rubbish has, in some instances, piled up for weeks before it was collected. It is noted in the literature that in South Africa, the management and maintenance of waste management infrastructure are increasingly under pressure due to the expansion of urban areas and increasing waste generation. As a result, municipalities like

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uMsunduzi are struggling to address the challenge of decreasing the number of waste that is going to landfill sites and direct waste to other waste management options particularly through using public-private partnerships to divert waste and better promote recycling.

(4.6) Barriers to efficient service delivery in uMsunduzi municipality

This section will provide a discussion on some of the key factors that are considered to be hindering good governance and the effective and efficient delivery of public services in the uMsunduzi municipality.

(4.6.1) Political interference and infighting

In work done by Reddy (2016), it is noted that political infighting and related clashes between the political and management components in local government in South Africa are said to affect municipal service delivery adversely. Poor service delivery at the local government level is widely attributed to the politicization of administrative components in municipalities (Masuku and Jili 2019). Moreover, there have been challenges experienced relative to the political-administrative interface in uMsunduzi municipality, and respondent seven has noticed this (09 July 2019) who says:

“... In local government, there is a lot of political interference since we work with councilors and uMsunduzi is not immune to the frailties that result from the nature of such circumstance.”

This point is further substantiated by respondent six who (03 May 2019) states that:

“... Sadly, in the uMsunduzi municipality, there are divisions amongst the politicians as well as factions within the ruling party. There are different groups, and this is affecting service delivery because of its compromises efficiency and slows down decision making. The administration staff has become highly political as well which ultimately impedes service provision because officials become so focused on political issues and other squabbles neglecting service delivery.”

Stated in the literature, the political component, which is the council at the local level, is responsible for initiating and overseeing the executive actions of officials appointed to act on its behalf in terms of discharging its governmental responsibilities. However, problems arise when roles get confused, and service delivery is impacted. To this point respondent five (10 April 2019) says that:

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“...For service delivery to improve in uMsunduzi everyone needs to know their role and understand how they fit in, they must understand how their jobs contribute to the overall strategic vision of the municipality. Currently, sometimes roles get confused in some cases deliberately, for instance, you have officials who are meddling in politics and equally, you have politicians who are supposed to be exercising oversight interfering in administration.”

Considering the views experienced by some of the stakeholders, it is evident that the uMsunduzi municipality, like many of its counterparts in local government, remains susceptible to political interference and infighting which are associated with hampering the pace at which public services are provided to communities. However, it is by noting that local government is innately highly political given its structure nevertheless the provision of basic service should never suffer because of this; the onus is on both politicians and officials to navigate the terrain so that service delivery is not subverted because of political issues.

(4.6.2) Skills shortages

Some key deficiencies in service delivery in local government are attributed to skills shortages in critical sectors and key positions within municipalities. It is well documented that skills shortages in the country are largely due to the country's Apartheid history, which saw the majority of South Africans denied the opportunity to acquire knowledge or gain particular skills as well as venture into certain career paths. Since the advance of democracy in 1994, the government has taken significant steps to level the playing field affording key opportunities to those that were previously disadvantaged or excluded, most notably through Affirmative Action and Black Economic Empowerment (BEE) policies. However, despite this, there are still instances where certain skills are in short supply, especially in technical fields such as engineering. Noted by lawless (2007), there is a lack of engineering capacity in South African municipalities to deliver, operate and maintain local government infrastructure in a suitable manner which adversely impacts the quality of public services. This point is also expressed by respondent three (09 April 2019) who said:

“...uMsunduzi municipality lacks engineers. In fact, in my unit, I am the only qualified mechanical fitter.”

Furthermore, highlighted in the literature Nengwekhulu (2009) mentions that service delivery shortfalls are due to skills deficiencies or shortages in local government and that public sector

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managers mostly do not possess the necessary managerial skillset. Sharing the same sentiments Respondent one (08 April 2019) says:

“...Some managers in the uMsunduzi municipality do not know the technical aspects of service delivery. The municipality still has vacancies in critical positions and problems arise because those in senior management do not possess the necessary skills. Currently, in uMsunduzi, there is a shortage of qualified management which is impeding service delivery.”

Besides, respondent two (08 April 2019) says that:

“...Some of those in senior strategic positions in the municipality are not adequately equipped to deliver services to communities.”

This point is further substantiated by respondent seven (09 July 2019) who states that:

“What you find here in the municipality is that several leaders and senior officials that lack a comprehensive understanding of local government which subverts service delivery.”

Koelble and Lipuma (2010) acknowledge that public service delivery failures can be attributed to the skills shortage affecting local government officials. Moreover, it has been mentioned by the municipality that the biggest challenge in uMsunduzi when it comes to upgrading water infrastructure and addressing maintenance backlogs is the critical shortage of engineering skills.

The challenge of skills shortages is one that has a significant bearing on a municipality's ability to provide basic services and one which needs constant redressing to ensure that local government fulfills its constitutional obligations. However, addressing this also requires municipalities to rid themselves of questionable recruitment practices. Moreover, doing so will ensure that they put themselves in the best position to acquire the much-needed skills by appointing and hiring the appropriate candidates who can adequately assist the municipality in providing services.

(4.6.3) Public service delivery protests

Service delivery protests not only reflect public dissatisfaction with the quality of service delivery and the management of a municipality, but they also interrupt service provision since they are often destructive and violent in South Africa. Currently, the local government is overburdened by

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community service protests which have become a consent part of municipal life and are a feature that occurs because of several weaknesses in South Africa's local government. The most noticeable of these is deteriorating public services due to the municipality's inability to implement *Batho Pele* effectively. To this point respondent one (08 April 2019) said:

"...The failure to implement Batho Pele is what is causing some of the service delivery protests that have occurred in uMsunduzi in recent times."

Likewise, respondent five (10 April 2019) says:

"...That is why people are fed up and embarking on service delivery protests because the Batho Pele principles are not being implemented."

Noted in the literature, according to Mbecke (2010) service delivery protests reflect the failure of local government to successfully transform the public sector by completely making use of the *Batho Pele* strategy. Moreover, observed Smith and Mofolo (2009) *Batho Pele* principles are key in addressing growing impatience and protests from local communities fed up with municipalities failing to fulfill their constitutional commitments. This point is further justified by respondent seven (09 July 2019) who says that:

"...Only through fully implementing Batho Pele in uMsunduzi and having systems for adequately addressing complaints will we be able to tone down service protest marches and so forth."

Sharing the same sentiments respondent six (03 May 2019) states that:

"...If Batho Pele is applied properly in uMsunduzi, it can create informed and active citizens who will also help curb service delivery protests and prevent dissatisfaction."

Noted in the literature, another key contributor to service delivery protest emanating from local government's ineffective implementation of *Batho Pele* is the lack of consultation and participation, communities constantly accuse municipalities of being unresponsive and not interacting or engaging them accordingly. To this point respondent three (09 April 2019) says that:

"Most of the service delivery protests in uMsunduzi are because the community is not happy with how the municipality has dealt with their concerns and the fact that it in most cases the municipality takes too long to deal with key issues that the public bring to its attention."

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Similarly, Respondent six (03 May 2019) says:

“UMsunduzi municipality has lost its connection with residents, and that is why there have been protests and that is why the municipality is under administration; it has completely lost its way and is out of touch.”

According to the stakeholders, it is clear that service delivery protests impede the provision of municipal services in uMsunduzi and to a large degree, protests emanate from the municipality's failure to implement Batho Pele principles effectively.

(4.6.4) Corruption and mismanagement of municipal resources

Corruption and mismanagement have become a prominent feature in local government and remains one of the most potent threats to sufficient service delivery and good governance. Also, Sited in the literature section, corruption involves the misuse or abuse of power by officials to benefit themselves or others.

Moreover, one of the most common forms of corruption in the public sector is the mismanagement of public funds and the misuse of public resources by those entrusted with authority over them (Ruhisa 2009). Acknowledging the occurrences of similar circumstances in uMsunduzi municipality respondent three (09 April 2019) stated that:

“The declining quality in service delivery in the municipality in recent years has been largely due to corruption and the mismanagement of funds.”

Sharing the same sentiments respondent two (08 April 2019) says that:

“There are limited services given to the communities in uMsunduzi because some those in strategic positions are misusing funds. Corruption remains a major obstacle because we have officials that are stealing and abusing government resources.”

Noted by Nyukorong (2014), nepotism constitutes a form of corruption and involves public services or resources being afforded according to personal affiliations. According to respondent six (03 May 2019), this form is also present in uMsunduzi municipality; the participant stated that:

“In uMsunduzi municipality, there has been a lot of instances of corruption, especially nepotism and mismanagement. When such matters go unchecked service, delivery is severely affected.”

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This point is further substantiated by respondent one (08 April 2019) who says that:

“Things are currently out of order in uMsunduzi, and the failure to implement Batho Pele along with growing instances of corruption, especially nepotisms in the appoint of staff, is affecting service delivery.”

Moreover, highlighted in the literature, corruption is associated with poor service delivery and is widely considered to impact the manner in which municipalities render public services negatively. This view is also held by the study participants who maintain that corruption continues to hinder service delivery as well the effective implementation of key policy directives, and therefore, it remains one of the major challenges that need to be addressed in South Africa’s system of government.

4.7 Discussion of results

(4.7.1) Introduction

The delivery of public services along with other matters connected to it, such as the implementation of initiatives and programs meant to enhance the provision of basic services together with some other key service delivery challenges, remains a major concern in discussions about local government in South Africa. In this section, the researcher provides a contextual discussion of the results and its implication on *Batho Pele* principles and service delivery while also outlining many crucial challenges affecting both the implementation of Batho Pele and the rollout of municipal services.

(4.7.2) Overall discussion

It is well documented that improving public service delivery through effective policy implementation remains a key challenge confronting South Africa’s system of government. Moreover, in local government specifically, municipalities are considered to be at the forefront of the service delivery process and therefore are not only obligated by the constitution but also widely expected by the public to provide basic services to communities. Service delivery and municipal governance have over the years, become two issues of major concern and a key talking point in the country, given the declining quality or in some instances completely poor service delivery as

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well as increasing community protests in local government. Moreover, accelerating service delivery has been a key priority for the government since the transition from Apartheid rule to democracy in 1994 hence, the *Batho Pele* principles were introduced to improve service delivery as well entirely transform the public service. However, they have come under scrutiny, given the current state of governance and service provision within the municipal space. Noted in the literature section by Mofolo and Smith (2009), the *Batho Pele* principles play a key role in ensuring that the government through its public servants, remains committed to improving service delivery and serving the people by effectively addressing their needs. Besides, observed by Nzimakwe and Mpehle (2012), the *Batho Pele* approach in its entirety is meant to fundamentally shape and transform the character of the public service however, for this to happen, it requires a significant change in the organizational culture within government institutions.

Many scholars maintain that the deteriorating state of service delivery in local government can be attributed to the fact that policy directives such as *Batho Pele* have not had the desired impact mostly due to ineffective implementation. Municipalities like any other organization have goals and objectives however, completing or accomplishing these requires them to be staffed with employees or a group capable individuals and representatives that understand its mandate and are committed to ensuring that the organization achieves all its goals following its rules and policies. Furthermore, the search results reveal that the successful implementation of *Batho Pele* is contingent on public officials becoming more committed to serving communities as well as forming a more in-depth understanding of the *Batho Pele* approach as well as the service delivery process and local government system. Highlighted in the literature section by Sayeed et al. (2014), it has been found that government official's interpretation and implementation of policies, their attitudes and conduct as well as the lack of necessary skills are the key factors attributed to the poor implementation of *Batho Pele* principles and inadequate public service delivery. Besides, Batho Pele principles are not being successfully executed or followed within the public service despite being promoted often and appearing on walls (Mkhanyane 2004).

Given that *Batho Pele* principles and service delivery are interconnected, it is most likely that the ineffective implementation of *Batho Pele* has a huge bearing on the quality of public service delivery. Furthermore, in most cases, some of the key contributors to poor service provision emanate from the failure of public officials to adhere to the *Batho Pele* principles or that some of

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the aspects that cause the lack of service delivery also hinder the implementation *Batho Pele*. Also, the improvement of both *Batho Pele* and municipal services requires good governance; in other words, there is a need for civil servants that are dedicated to serving the public and implementing policies as well as doing their jobs well within the confines of the constitution. However, as noted by Mle (2015), currently, the South African public sector is characterized by several activities which constitute unprofessional and unethical conduct such absenteeism and corrupt act such as fraud and bribery. Also, it has been found by Mofolo and Smith (2009) that the problem of unethical conduct and unprofessionalism amongst civil servants persists and often hampers both the efficient provision of public services as well as the effective implementation of frameworks like *Batho Pele*, which are meant to enhance service delivery.

The recruitment and appointment of officials or staff in local government have been one of the avenues where unethical and unprofessional practices have become rampant to the detriment of proficient service provision and effective policy implementation. As observed by Ingle (2011) and Fourier and Mazibuko (2017), South Africa is public service has become overwhelmed with political appointments. In other words, there is a constant trend of government institutions especially in local government recruiting personnel based on political affiliations rather than merit. According to Kanyane (2013), this is largely due to the governing party's extensive use of cadre deployment. Moreover, noted by Shava (2018), in municipalities, cadre deployment in most instances has been used to make appointments based not on merit and competence but instead party loyalty and as a result, incapable of unqualified individuals end up filling posts that would otherwise be occupied by appropriate candidates with the necessary skills. Such instances impede service delivery and short changes the public because it denies the local government the opportunity of having the most capable workforce at its disposal.

Furthermore, good governance demands that government institutions conduct public affairs and appropriately manage resources and a key component to doing that is ensuring that recruitment is fair, transparent and based on merit as well as done with the public interest in mind so that services are provided accordingly. However, for this to happen serious consideration has to be given to foresting capable leadership in local government (Prinsloo, 2015). Besides, both classic and modern theories on public administration call for the public sector to become more professional demanding that appointments must be purely based on merit. Besides, the new public management

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approach requires that public officials treat and value the public like private companies do their clients to improve efficiency and customer service through public service delivery. Nevertheless, recruitment remains an important aspect of ensuring that public services are provided as prescribed by the constitution. The study found that in the uMsunduzi municipality, there is incidence whereby participants contend that recruitment is flawed and that certain individuals are appointed to positions within the municipality due to political connections. Furthermore, in some cases, proper procedures were not followed in the appointment of specific candidates which ultimately has severely hindered the project of transforming public service delivery through making use of the *Batho Pele* principles because such candidates often do not have the need skillset or are committed to perusing some ulterior motive instead serving the public.

Equally important as recruitment, the conduct of those employed in local government is also crucial to improving municipal services and making use of *Batho Pele*. Highlighted in the literature by Mkhanyane (2014), *Batho Pele* principles require that the behavior of all public managers in terms of both good morals and commitment be raised to the highest level. Similarly, section 195 of the constitution, which also informs the *Batho Pele* approach, details the basic values and principles which ought to give public administration calling for a high level of ethics and professionalism on the part of civil servants as well as the effective use of public resources. Nevertheless, despite this unethical and unprofessional act remain rampant in local government. Moreover, unethical acts such as corruption or the misuse of funds and unprofessional acts such as mismanagement, political interference and infighting as well as the lack of accountability severely undermine *Batho Pele* and continue to cripple service delivery within municipalities. Such unethical and unprofessional acts are widely considered to be one of the biggest threats to good governance not just in South Africa but the entire African continent. The most common of such acts that participants said are derailing service provision in uMsunduzi municipality is corruption, particularly the misuse of public funds, abuse of power in the procurement processes and awarding of tenders as well as nepotism in the appointment of staff. Sited by Mpofu and Hlatywayo (2015) poor performance and corruption in municipalities are considered to be one of the main obstacles to the efficient roll-out of basic services.

Furthermore, such an act diverts public resources from their intended use and impedes policy implementation as well as reduces the public's confidence in state institutions which is contrary to

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what *Batho Pele* principles seek to accomplish (Tooley and Maha 2007). Moreover, the same can be said of political interference and infighting. Also noted in the literature section, many challenges have been associated with poor governance in local government; these include political interference and infighting as well as a lack of political will, leadership and accountability (Twenty Year Review, 2014). The study data revealed that in the uMsunduzi municipality, there had been instances of political inference and infighting. There have been situations whereby Politicians have been said to have directly interfered in the work of the administrators as well as incidences where divisions amongst councilors and factions within the ANC have halted decision making in the council causing inefficiencies and slowing down service provision and policy implementation. Besides, as a result of the factors mentioned above amongst others, the municipality has become highly political and thus, even some of the municipal officials have become primarily concerned with internal squabbles instead of improving service delivery.

Similarly, another matter that is often raised concerning unprofessional conduct is the lack of accountability. Nappier (2007) observed there are some accountability issues in local government namely poor communication with communities, poor consultation and a lack of transparency. Furthermore, reports by the AG also indicate that accountability failures are amongst one of the main reasons for poor financial performances in municipalities. Likewise, the study participants acknowledge that the lack of accountability is a key factor leading to the ineffective implementation of *Batho Pele* principles. The key to the policy's approach is improving accountability by making the public service more responsive and accessible through enhancing public participation, consultation and transparency. However, when the administrative and political components are unaccountable for whatever reasons, it disrupts *Batho Pele* and service delivery. Ultimately, the failure to successfully implement *Batho Pele* and significantly improve the provision of basic services is largely due to various aspects connected to the conduct of officials and their political principals. Therefore, for the public service in municipalities to be transformed sufficiently, through *Batho Pele* public servants must drastically change their approach to public service. Besides, their attitudes, behavior have to completely adopt the philosophy of *Batho Pele* to make a significant change to the current organizational culture in local government. The current state of affairs in which compliance with legislation is low and performance poor has resulted in the prevalence of actions that not violate the constitution but gravely undermine *Batho Pele* principles as well hamper public service delivery.

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Moreover, referencing specifically to many *Batho Pele* principles that are not implemented accordingly largely due to the factors mentioned above related to the conduct of civil servants in uMsunduzi. The municipality is struggling to meet the public's expectations in terms of service delivery, according to the various stakeholders uMsunduzi has been found wanting in terms of its implementation of these *Batho Pele* principles consultation, courtesy, transparency and openness as well value for money. Moreover, the failure on the part of municipalities to effectively consult and communicate with communities remains a concern. Consultation is yet to reach the desired level and as a result, community protests constantly emerge because the public is unsatisfied with the level of interaction or performance of their respective municipality. Besides, how public servants, particularly the front desk officials and those on the field providing services, deal with the public has also yet to reach the levels envisage in the Batho Pele white paper. In the uMsunduzi municipality, there have been instances where the public has been unhappy about what they perceive as a lack of courtesy from municipal staff.

Furthermore, transparency and value for money are crucial in ensuring good governance and improving service delivery. However, the research data shows that the uMsunduzi municipality is still struggling to be completely transparent and open in their dealings with the public. Also, persisting acts of corruption, maladministration and the misuse of the municipal funds as well as other similar acts in the municipality perpetuate the wastage of public resources and severely impact service delivery contradicting the ethos of *Batho Pele*. The successful implementation of *Batho Pele* depends heavily on improved consultation and constant citizen participation. However, for uMsunduzi municipality to effectively implement these key components of the Batho Pele approach, it requires not only a significant change in the conduct and mindset of the municipality's employees and elected representatives but also for the municipality to ensure that recruitment is improved so that the most suitable candidates are appointed. Also, the roles and functions must be better determined in terms of *Batho Pele* as well the policy rigorously promoted in a more innovative manner to both administrative and political components to enhance service delivery.

Another key factor that has a huge impact on public service delivery and *Batho Pele* implementation in the uMsunduzi municipality is several capacity issues primarily concerning skill shortages. Highlighted in the literature by Sayeed, Pillay and Reddy (2014) the shortage of management and leadership skills at the local government level is one of the main contributing

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factors to the poor implementation of *Batho Pele* and declining municipal service delivery. Besides, Madumo (2015) acknowledges that municipalities in some instances, cannot deliver constant and regular service, whether it be skills shortages or underfunding. The data results reveal that in uMsunduzi, there are still vacancies in critical positions that require technical skills. Furthermore, in some instances, the municipality tends to appoint or employing senior managers that do not possess the required skill set necessary for improving service provision and adequately addressing maintenance backlogs. With that said recruitment remains a key component to ensuring that municipalities like uMsunduzi equip themselves with a capable workforce however, such municipalities remain guilty of hampering public service delivery transformation by failing to constantly employ candidates that have the required skills to key positions in the municipality most due to corrupt practices or through the abuse of cadre deployment. The capacity issues in local government are also reflected by the inability of municipalities to effectively monitor and evaluate performance as well as policy implementation in terms of service delivery. Moreover, the data collected indicates that the uMsunduzi municipality has struggled to sufficiently monitor the implementation of *Batho Pele* principles and other service delivery improvement measures. However, the municipality has taken steps to address this through the establishment of the Batho Pele forum and customer service charter but whether these measures will have the desired impact is still yet to be seen.

With all that has been discussed above the discussion of results concludes with a brief discussion of the government's response to poor *Batho Pele* implementation and service delivery in local government.

This research study acknowledges the problems of poor governance, unsatisfactory service delivery and increasing service protests within municipalities. The government introduced many strategies to improve the situation. The government's main responses to the growing challenges facing local government have been the introduction of some capacity-building projects spearheaded by both national and provincial governments, as well as some state-owned enterprises geared towards improving the capacity of municipalities to deliver services (Siddle and Koelble, 2012). Below are the key attempts the government has made at improving service delivery and *Batho Pele* within municipalities in the face of increasing protests and growing challenges.

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Project Consolidate 2004-2006

Project consolidate was a hands-on local government engagement program established in May 2004 and was set to run until 2006. The project aimed to ensure more active interaction between all spheres to address many challenges in local government, namely the implementation of existing legislation and policies, attending basic service functions and expanding the range of these services (Project Consolidate 2004). The mandate of the program of intensive engagement was to support local government in rendering public services, as well as rethinking how all spheres of government are individually and collectively impacting the constitutional obligations placed on municipalities, while also reinforcing a people-centered approach in the entire public sector.

Local Government Turn Around Strategy (LGTAS) 2009

The local government turnaround strategy was launched to combat a series of challenges that are undermining the local government system in the country. The program focuses on addressing some of the root causes for many key issues in the local sphere, some of which include systemic factors, policy and legislative factors, political factors, weaknesses in the accountability systems, capacity and skills shortages (LGTAS 2009). Moreover, the LGTAS aimed to implement a comprehensive program of action that is responsive to each municipality's unique set of challenges while also helping to ensure that they can meet the basic needs of their communities. The LGTAS was meant to improve the organizational and political performance of municipalities and in turn, enhance service delivery with the hope that enabling municipalities to meet their developmental mandates will restore public confidence and trust in local government.

Outcome 9 2010-2014

The Presidential Co-Coordinating Committee (PCC) acknowledging the persistent problems in municipalities, mainly poor governance, a lack of accountability, and weak financial management, and high vacancies in critical senior management positions, as well as high infrastructure backlogs and an inability to deliver basic municipal services efficiently and effectively. Following a process identified several outcomes corresponding to the seven key issues within all spheres. These are

Outcome 1: A policy framework that allows for a differentiated approach to municipal financial planning and support.

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Outcome 2: Improved access to basic services.

Outcome 3: Implementation of the community works program.

Outcome 4: Active support for sustainable human settlements.

Outcome 5: Strengthen local democracy through a redefined ward committee model.

Outcome 6: Enhance the administrative and financial capabilities of municipalities.

Outcome 7: Improved coordination of interventions impacting on local government.

The outcome nine initiatives seek to lay a foundation for improved co-operation between spheres and ensuring accountability while also promoting a responsive, effective and efficient local government system.

Flagship Projects 2014

In February 2011, Sicelo Shiceka then Minister of Co-operative Governance and Traditional Affairs (COGTA), announced five flagship projects to further strengthen the acceleration of service delivery to various communities in South Africa. These projects were intended to be completely implemented by 2014, and they are the following.

- **Business Adopt a Municipality:** This initiative aims to ensure that all municipalities in the country get adopted by private companies and state-owned enterprises (SOEs) to improve infrastructure development, as well as dealing with governance challenges, and addressing issues of local economic development amongst others.
- **Clean Cities and Towns:** This initiative's objective is to address various environmental management challenges facing municipalities throughout the country.
- **Ward Based Co-operatives Project:** This project seeks to enhance economic empowerment for local communities through the promotion of co-operatives to get local communities to contribute towards job creation, skills development, and local economic development as a whole.

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- National Municipal Revenue Enhancement Programme: This program seeks to reduce municipal debt, improving the current revenue collection, eliminate stock shrinkage and promote a culture of payment for services from citizens.
- Operation Clean Audit: Initially established in 2009, this project was also included as part of the Five Flagship Projects in 2011. The clean audits project aims to address all concerns raised by the Auditor-General and minimize vulnerability to risks in both provincial departments and municipal financial management and governance systems and processes. This project was meant to assist all departments and municipalities attain significant improvement in financial management and governance that will result in clean audits outcomes.

Back to Basics Strategy

Announced in September 2014, the back to basics strategy adopts a *Batho Pele* approach in tackling a variety of challenges that continue impeding municipalities from fulfilling their constitutional obligations. The program seeks to significantly improve municipal performance levels across the board, focusing on aiding through strengthening capacity, enforcing compliance with legal prescripts and ensuring good governance and public participation. The back to basics strategy is based on actively monitoring municipalities to improve municipal functionality and to ensure that intervention is more effective.

(4.7.3) Conclusion

Despite the introduction of numerous strategies, projects, programs and initiatives to tackle some of the key challenges in the local government system, the government itself has acknowledged that a significant number of their attempts to improve service provision and enhance public participation have not had the desired outcome., this is reflected by the continuing service delivery protests, growing dissatisfaction with municipal performance from local communities together with poor compliance from municipalities with legislation. Hence it is evident that a lot more still needs to be done to address the issues that municipalities are currently grappling with effectively. Moreover, it is clear given the current conditions in local government that municipalities are struggling considerably to make use of the *Batho Pele* principles to improve basic service delivery,

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which necessitates the need for more research to assist local government in addressing key service delivery challenges.

The first section of this chapter introduced the content that would be covered throughout the whole chapter. The section indicated how the data would be interpreted and presented as well that the results would be discussed at the end of the chapter.

The second section of this chapter explored the study participants' understanding of the purpose of Batho Pele and its role in local government. The section aimed to establish the municipal workers' and officials' perspectives on *Batho Pele* principles to provide a basis for assessing implementation.

The third section of this chapter critically examined the implementation of *Batho Pele* principles in the uMsunduzi municipality. The researcher captured the participants' views on they thought the policy was being implemented as well as its impact on service delivery.

The fourth section of this chapter proceeded to outline what the study participants deemed were the key causes of poor or ineffective implementation of *Batho Pele* principles in the uMsunduzi municipality.

The fifth section in this chapter discussed the state of service delivery in uMsunduzi municipality with a specific focus on waste management and water services highlighting the key current challenges to the provision of both services.

The sixth section in this chapter further explored key barriers to good governance and sufficient service delivery in the uMsunduzi municipality.

The last section provided a discussion of the results of the study. This section shows that the implementation of *Batho Pele* principles remains poor, and that is largely due to a variety of factors. These are mostly attributed to the attitude and conduct of public servants, as well as the continuing prevalence of unprofessional and ethical practices concerning the above. Furthermore, that recruitment practices together with capacity issues also contribute immensely to the ineffective implementation of *Batho Pele*. Besides, the discussion also established that the poor implementation of Batho Pele principles heavily hinders sufficient service delivery and that local government still needs to find ways to promote the policy better to see solid improvement. The

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following chapter provides the overall conclusions of the study and suggests recommendations based on the discussion from this chapter.

Chapter Five: Conclusion and Recommendation

“Ask not what your country can do for you, but what you can do for your country” John F. Kennedy

(5.1) Introduction

This chapter presents the last chapter of the research. The purpose of this study was to assess the implementation of the *Batho Pele* principles in waste management and water services in uMsunduzi local municipality. To establish how the *Batho Pele* approach is being used in the municipality as well as examine several key challenges to service delivery and municipal governance overall. Therefore, this chapter aims to merge different sections of the study to indicate how the aims and objectives were realised as well as provide conclusions and recommendations based on the various aspects formed in the research. These sections include the summary, recommendations, contribution of the research and closing remarks.

(5.2) Summary

This research is made up of five chapters; chapter one presents an overview of the study outlining the background and purpose of the study as well as providing definitions of the key concepts of the study. Furthermore, the sections also stated the research questions and objectives of the study. Chapter two presented the literature review of the study, including similar studies that have been conducted on the research subject and the overall body of knowledge in the research area. The legislative framework for public service delivery in South Africa and the role of *Batho Pele* principles in local government are also reviewed in the second chapter as they form a key component of the literature review. Chapter three constitutes the research methodology that is used to conduct this study, including data collection methods and analysis that was employed in the research. Chapter four detailed the analysis of the data collected and also provided an in-depth discussion of the findings. This chapter concluded by providing recommendations for improving the implementation of *Batho Pele* principles and enhancing service provision in the public sector. Furthermore, the section states how this research contributes to existing knowledge or further studies as well as providing the researcher’s closing remarks.

(5.3) Recommendations on how to improve the implementation of Batho Pele principles and local government and the provision of public services such as waste management and water service

(5.3.1) Revitalizing and innovatively promoting Batho Pele principles in the public service

Batho Pele principles form a central part of the government's plan of ensuring that public services are not only delivered sufficiently to all the country's occupants but also provided in a manner that upholds the values enshrined in the constitution. Moreover, in South Africa's decentralization model of government in which the government is divided into three spheres, the local government has been given the responsibility of providing the bulk of public services. Henceforth, it is at this level that key service delivery directives such as *Batho Pele* principles are expected to be implemented more so provided that local government in the form of municipalities is the closest sphere to the citizenry. More importantly, they are mandated with securing the socioeconomic development of local communities through the effective use of vehicles such as *Batho Pele* amongst other things. However, recent research indicates that the adoption of the *Batho Pele* approach is largely poor in local government, which has severely compromised the quality of public service delivery. According to Nzimakwe and Mpehle (2012), key elements of the bureaucracy are lacking in improving the provision of basic services enhance *Batho Pele* is not working, Highlighting the conduct and attitude of civil servants, and the public's lack of awareness of their rights as well as the lack of management and leadership skills at the local level as key areas. Furthermore, Ingle (2011), maintains that effective transformation of public service delivery through *Batho Pele* is hindered by the country's implementation of recruitment policies that do not encourage expertise and excellence but instead fall victim to nepotism and patronage and as a result, the public sector is struggling to attract responsible and capable management. Besides, Mofolo and Smith (2009) contend that improving services by making use of *Batho Pele* principles remains a challenge in the public service even though the approach ought to form an integral part of the operational culture in municipalities. Furthermore, that *Batho Pele* should be used as a strategic mechanism to promote growth and enhance public participation and accountability however, the implementation of the principles requires more innovation, flexibility and pro-activeness on the part of local government.

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Presently, one of the main challenges facing the South African government is ensuring that the reconstruction and development of the country are successful. One of the keys to attaining such goals is expressed in the *Batho Pele* principles, which emphasize securing the basic needs of all citizens by reducing unnecessary government consumption and redirecting services to areas in which the need is most. Furthermore, for local government to achieve key developmental objectives concerning basic services, the *Batho Pele* principles must be re-emphasised, revitalized and promoted more innovatively in the public service, so that the approach becomes better engrained in the hearts and minds of all public servants. Moreover, *Batho Pele* is meant to significantly redress the shortfalls of the past by shaping the character of the public service. However, for this to happen, the *Batho Pele* principles need to be promoted more innovatively to change the attitudes and behavior of public servants as well as better encourage public participation.

This study recommends that instead of the *Batho Pele* principles just being promoted on department walls, more effort need to go into ensuring that officials and municipal workers truly understand the principles and how they relate to their jobs. All public servants need to be continuously trained on how to implement the policy better. Also, in terms of training and workshops, greater focus needs to be given to municipal workers and frontline staff because they interact with the public more often than senior management. Furthermore, *Batho Pele* Principles need to be included in all public servants' key performance agreements. Moreover, in all municipalities, strategic goals should be linked to specific *Batho Pele* principles. The public sector needs to become more innovative and inflexible in promoting *Batho Pele* principles by making better use of information technology such as social media platforms together with efficiently improving current systems. For example, each municipality should have a twitter page in which the update the public no less than weekly on the latest developments amongst other things. Another suggestion could be that municipalities could install intercoms that will record public comments instead of having suggestions boxes which mostly remain empty. Another key way of ensuring that *Batho Pele* principles are better promoted as well as public participation improved is having municipalities establish active sections in local libraries that are frequently updated with the latest materials concerning all municipal activities available in English and other indigenous languages to keep all members of the public informed even those who may not be well resourced and have

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access to internet services. As stated by Kroukamp (1999: 337), “*Batho Pele is at best a process for opening up democratic possibilities for substantive political action to improve quality of life for all South African.*” For as long as *Batho Pele* principles are the main service delivery strategy employed by the state, the government must ensure that they are promoted strategically to significantly improve implementation to accelerate service delivery because *Batho Pele* is not a destination but a process that constantly needs improvement and re-evaluation.

(5.3.2) Improving the monitoring and evaluation of Batho Pele principles in Local Government

For the government to achieve its objectives or desired outcomes in terms of service delivery key policies such as *Batho Pele*, need to be implemented accordingly. However, for *Batho Pele* to be implemented sufficiently requires more effective monitoring and evaluation processes. Several studies such as Mokgoro (2003), Public Service Commission (2007) and Mello (2015), indicate that the ineffective implementation of *Batho Pele* principles in local government is largely due to the inability of municipalities to effectively monitor the policy together with key projects and finances.

Moreover, monitoring and evaluation are important only because they can actively track progress to improve implementation but also can help strengthen compliance with legislation, and this is why in 2014, the national government launched the Back to Basic strategy based on enhancing monitoring to improve financial functionality and performance. However, the program has not had the desired outcomes when it comes to improving the implementation of *Batho Pele* principles because the strategy, for the most part, relies on the proper functionality of IGR forums and networks, which are currently riddled with several challenges themselves.

Moreover, given that poor monitoring at the local level is one of the key contributing factors to the poor implementation of *Batho Pele* principles. This study recommends that municipalities and provincial departments establish fully-fledged *Batho Pele* directorates that will deal exclusively with all matters related to Batho Pele but more importantly will be mandated with ensuring that *Batho Pele* principles are effectively marketed, promoted and implemented as well as ensuring that best practices adopted from high performing municipalities.

(5.4) Professionalising the public service

The continued importance of the public service is also evident in recognition of the key role that is played by the public service to provide essential services for its citizens. As a result, professionalizing public service is essential to ensure that service delivery becomes a norm rather than an exception. According to a report compiled by the Local Government Sector and Training Authority (LGSETA) in 2018, public service must be professionalised because it is the most reliable way of ensuring that all the service delivery ambitions are met. Moreover, as observed in the work of de Vries and Steyn (2011) and Matshabaphala (2014), the professionalizing of the public service is not an easy process and requires a concerted effort from all the key stakeholders across all levels of government; therefore, due diligence must be done when undertaking such efforts. Also, the professionalizing of the public service requires senior management to be exemplary and a professional is required to follow a strict code of conduct, which applies both in private and in public life (Mashumi, 2013: 634).

A key component in the professionalization of services lies in the recruitment processes and how professional that process is. In South Africa, concerns have been raised across the public service over the apparent nepotism, political interference, and unethical acts involved in the public sector recruitment process. To this point, Kroukamp (2006) notes that while different kinds of corruption are a worldwide phenomenon, nepotism in public service is one of the most common. Moreover, it is noted that nepotism and corruption in the recruitment process make it even more difficult for professionalizing public service (Sebola, 2014). The recruitment toolkit drafted by the Public Service Commission (2003) acknowledges the issues facing public sector recruitment but also provides solutions about ensuring that adequate professional recruitment processes including following the recruitment guide and selecting the panel with no conflict of interest. Furthermore, a sound public sector recruitment process would ensure that the best talent is retained for the job and is selected purely on merit and other employment equity intangibles.

(5.4.1) Corruption reduction in South Africa

Public sector Corruption has been acknowledged to be a major detriment to service delivery. As a result, and as illustrated in sections of this thesis, there is an urgent need to curb corruption in the public sector and eliminate the threat that is posed by corruption to service delivery. On this point, Dintwe (2013) and Kekae and Holtzhausen (2018) state that current existing anti-corruption mechanisms have faced a few challenges including coordination, political will and capacity. Besides, although challenges persist, reducing corruption in the public sector remains important nonetheless. The reduction of corruption includes, as argued for by Akinola and Uzodike (2014), efforts to ensure that doing corruption becomes more expensive to the actor and non-corrupt behavior is rewarded and incentivized. Moreover, reducing corruption also requires a realistic admission of how problematic and costly corruption actually is and therefore, resources ought to be put towards fighting corruption and reducing corruption in the public sector, this may include anti-corruption programs, investing in capacity and training of those tasked with heading anti-corruption institutions. Furthermore, reducing corruption in public may take a long period because it may have become institutionalized and that requires more effort and more time to deal with it adequately.

(5.4.2) Promotion of good governance

Good governance in the public sector is considered to be the most important component of reducing corruption. De la Harpe, Rijken and Roos (2008) state that in the social sciences, good governance should also be determined by how the state conducts itself towards the people and that includes public servants who are state representatives. Good governance should be a norm that the entire public sector strives for and looks to set the standards and to thrive towards surpassing them constantly. To that, creating a culture of good governance requires senior management to be exemplary and lead by example, this may also include putting the needs of the citizens before those of the individual and while public sector employees should be well remunerated and be provided with good working conditions, personal incentivization should not be the main motivator behind entering the public service but rather, that should be a secondary motivating factor.

(5.5) Contribution to knowledge

This study has contributed to the knowledge community of social sciences research and the political sciences as a whole. More specifically, as this study was focusing on waste and water services, it provided a more nuanced perspective on the nature of the implementation of the *Batho-Pele* principles. A case study, municipal focus also enabled the researcher to adopt a microscopically influenced approach towards approaching this topic. Besides, the body of the social sciences of knowledge is broad and the author believes that a unique contribution of knowledge has been made to this effect. Moreover, because this research explores at length the different subject themes in the study and ensures that a holistic perspective on the research. The research area is well researched and studies from different perspectives have looked at the problems of service delivery; however, this study's focus on *Batho-Pele* principles highlight the importance of government policy as a tool towards achieving service delivery. Moreover, the recommendations made in this study have been made at the back end of empirical research and may be useful towards the formation and understanding of local government service delivery policy. Also, perhaps more importantly, the contribution of knowledge made by this research is influenced by the present realities facing the local government sphere, as many of the municipalities are not in good shape.

(5.6) Closing remarks

South Africa's aspirations as a developmental state hinge on its ability to implement its policies and ensure that its service delivery objectives are fulfilled. Local government is the most important pillar for local service delivery; therefore, a local government that is well functioning can only benefit the state as a whole. Through its admission, the governing party has acknowledged that the government has made mistakes in the past 25 years, which have derailed the progress the country has been making. An acknowledgment of that nature points to a realistic, honest reflection and highlights the importance of self-correction that the incumbent president has spoken at length.

As previously stated, South African municipalities are not in good financial standing; challenges such as corruption, poor governance, political interference and maladministration continue to be persisting challenges that the municipality must look to overcome. Overcoming these challenges is an ambition that the South African government must look to achieve due to the importance of

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the local municipality that has already been acknowledged by the researcher. A political willingness from the political principles to the bureaucrats and technocrats must be visible and should serve as inspiration for municipal officials at the lower levels of the municipality.

Studies of this nature look to highlight, in much finer detail, how these challenges have served as an obstacle for crucial services that the municipality should be rendering. In conducting this study, the researcher has also provided recommendations and potential solutions to help deal with the various challenges that have been mentioned. Beyond that, this study has gone to great length and detail to adequately cover the various subthemes that were involved in the research. The researcher is of the view that this research has brought more light onto an important subject of study and that the study has managed to maintain and uphold all the academic standards and norms.

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