

**IMPLEMENTING THE FREE BASIC WATER SERVICE POLICY:
PERCEPTIONS FROM THE INGQUZA HILL MUNICIPALITY**

BY

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2017

DECLARATION

I, Qaqamba Precious Matha declare that:

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- ii) This dissertation has not been submitted for any degree or examination at any other university.
- (iii) This dissertation does not contain other persons' data, pictures, graphs or other information, unless specifically acknowledged as being sourced from other persons.
- (iv) 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 re-written but the general information attributed to them has been referenced; b) where their exact words have been used, their writing has been placed inside quotation marks, and referenced.
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First and foremost, my sincere gratitude goes to the Master of all creation: To God be the Glory.

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Dedication

To my adorable mother, Nozipho Nobantu Nomampondo òMakhwetshubèö Matha:

I dedicate this to you.

I thank God for blessing me with such a strong mother.

You have been nothing but amazing to me.

Thank you for loving me and showing me how to love.

Thank you, mom.

ABSTRACT

Free Basic Water Service Policy is part of the water service delivery provision, where municipalities are mandated to provide such services to the people (DWAF 2002:32). The purpose of the study was to investigate the implementing of the Free Basic Water Service Policy in Ingquza Hill Local municipality. In doing so, the study obtained the perceptions from the Department of Infrastructure and Engineering services within Ingquza Hill Local Municipality, ward councilors and Executive Committee members, to identify the challenges in policy implementation that the municipality under study experiences.

Prior to 1994, the Republic of South Africa was divided administratively as a result of its policy of eleven homelands, four independent states (Transkei, Bophuthatswana, Venda and Ciskei (TBVC) states, six self-governing territories, and the rest of South Africa itself (Alessandro 2015:113). This situation resulted in a fragmented approach to service provision, with limited or no services being available in the former "black" urban and rural areas (DWAF Report 2002:2). According to the DWAF Report (2002:3), these problems were partly symptomatic of a lack of coordination and responsibility due to the proliferation of institutional structures that existed at that time. Post 1994, the African National Congress (ANC) government has prioritized the integration of basic service delivery.

However, twenty-three years post 1994, access to basic services such as basic water services and sanitation still remains a priority. Much of these challenges arise out of the backlogs in the delivery of these services. The Department of Water Affairs and Forestry (DWAF) compiled a White Paper on Water Supply and Sanitation Policy (DWAF 1994) to address the backlogs in basic water and sanitation services. This strategy formed the basis of the Community Water Supply and Sanitation (CWSS) programme, which primarily focuses on service delivery in the rural poor and to extend access to basic water supply and sanitation services to all South African citizens in general. According to Mahlatsi (2010:56), the problem is that there are no specific guidelines as to how they would carry out their responsibilities. Since municipal councils play an active role in implementing policies (Mahlatsi 2010:56).

This is a case study, with a qualitative approach. The methodology applied to explore the perceptions of Ingquza Hill Local Municipality included interviewing 13 participants over a period of 4 weeks. Thematic analysis was used which, according to Cooper (1994:56) is the type of analysis mostly used in qualitative research because of the pattern it follows in

pin-pointing and recording patterns within data. The findings revealed that the municipality does not understand the importance of implementing this policy: this was evident by the lack of policy implementation elements in place. This is also evident in the findings from the data collected, that the municipality does not have policy implementation frameworks for water service delivery. A strategic policy direction is recommended in order to tackle the issues of poor policy implementation in the municipality.

ABBREVIATIONS/ACRONYMS

ANC	AFRICAN NATIONAL CONGRESS
COPE	CONGRESS OF THE PEOPLE
CWSS	COMMUNITY WATER SUPPLY AND SANITATION
DA	DEMOCRATIC ALLIANCE
DPLG	DEPARTMENT OF PROVINCIAL AND LOCAL GOVERNMENT
DWA	DEPARTMENT OF WATER AFFAIRS
DWAF	DEPARTMENT OF WATER AND FORESTRY
EXCO	EXECUTIVE COMMITTEE
EFF	ECONOMIC FREEDOM FIGHTER
FBW	FREE BASIC WATER
GEAR	GROWTH EMPLOYMENT AND REDISTRIBUTION
IDP	INTERGRATED DEVELOPMENT PLAN
IHLM	INGQUZA HILL LOCAL MUNICIPALITY
NRDS	NATIONAL RURAL DEVELOPMENT STRATEGY
NDP	NATIONAL DEVELOPMENT PLAN
PPPS	PUBLIC PRIVATE PARTNERSHIPS
RDP	RECONSTRUCTION DEVELOPMENT PROGRAMME
RDF	RURAL DEVELOPMENT FRAMEWORK
UDM	UNITED DEMOCRATIC MOVEMENT
WSA	WATER SERVICE AUTHORITY
WSP	WATER SECTOR PLAN

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CHAPTER 1: INTRODUCTION

“Clean drinking water is the first and most important step to lifting communities out of the cycle of illness and poverty” (Anonymous)

1.1 Introduction

According to Department of Water And Forestry (DWAF Report 2002:30), “Free Basic Water Policy is the agreed minimum standard of water supply services essential for the consistent supply of an adequate quantity and quality of water to households, including informal households, to support personal hygiene”. The Free Basic Water Policy was proposed to make sure that no-one is deprived of access to water supply, because they might not be able to pay for it. It is the responsibility of the municipality to effectively understand and implement the policy. Free basic water policy is part of the water service delivery provision, where municipalities are mandated to provide services to communities and households (DWAF 2002:32). According to Article 31 of the Universal Declaration of Human Rights, “everyone has the right to clean and accessible water, adequate for health and well-being of the individual and family” (Universal Declaration of Human Rights 1948:72).

The Bill of Rights Chapter 2 of the Constitution of the Republic of South Africa (Act 108 of 1996:13) sets out the rights of all South Africans including “the right to dignity and the right to equality”. Section 27 subsection 1(b) states that “everyone has the right to sufficient food and water”. The above right is protected by the Republic of South African Constitution since it is part of broader service delivery challenges in the post 1994 period. The South African government is required to take practical legislative procedures to accomplish the realization of the right within its available resources.

The purpose of this study is to investigate the implementation of the Free Basic Water policy in Ingquza Hill Local Municipality. This chapter serves as an introduction to the study and it seeks to present a framework for understanding the study.

1.2 Background to the Research problem

Prior to 1994, the Republic of South Africa was divided administratively as a result of its policy of eleven homelands, four independent states “Transkei, Bophuthatswana, Venda and Ciskei (TBVC) states, six self-governing territories, and the rest of South Africa itself” (Alessandro 2015:113). This situation resulted in an uneven approach to service delivery, with inadequate or no services being available in the former “black” urban and rural areas (Department of Water Affairs and Forestry Report 2002:2). According to the

Department of Water Affairs and Forestry Report (2002:3), the above-mentioned challenges resulted from a lack of coordination due to the proliferation of structures that existed at that time.

Post 1994, the African National Congress (ANC) government has prioritized the integration of basic service delivery. However, twenty-three years post 1994, access to basic services such as basic water services and sanitation still remains a great concern. Many of these challenges arise out of the backlogs in the delivery of these services. The Department of Water Affairs and Forestry (DWAF) compiled a White Paper on Water Supply and Sanitation Policy (DWAF 1994) to address the backlogs in basic water and sanitation services. This strategy formed the basis of the Government's Community Water Supply and Sanitation (CWSS) programme, whose primary role was on service delivery in the rural poor areas and to make sure that all South African Citizens had access to basic water supply and sanitation services (DWAF 1994:4). This is supported by the framework for sub-national government in South Africa, which provides that municipalities be responsible for specific responsibilities (Mahlatsi 2010:43).

The problem is that there are no specific guidelines as to how they should go about carrying out their responsibilities (Mahlatsi 2010:56). Mahlatsi (2010:43) further mentions that this is due to the fact that policies in municipalities are implemented by the municipal council. In the DWAF (1997:5) it was mentioned that water reform was based on an important aspect of the Republic of South African Constitution, the right to equality, which requires reasonable access by all citizens to the nation's water resources.

The aim of this investigation is to examine the implementation of water service delivery, with specific reference to free basic water in Ingquza Hill Local Municipality. The rationale for choosing Ingquza Hill Local Municipality is that the municipality is characterized by infrastructure backlogs and underdevelopment (Ingquza Hill Local Municipality IDP 2015:11). The overall objective is to obtain the perceptions from the Department of Infrastructure and Engineering Services within Ingquza Hill Local Municipality, ward Councillors, and Executive Committee members, and in so doing, to identify the challenges in policy implementation that the municipality under study experiences.

1.3 Background to Ingquza Hill Municipality

Ingquza Hill Local Municipality, according to Ruiter (2012:87), is one of the five local municipalities of the OR Tambo District Municipality, found within Eastern Cape Province. It was formally confirmed to be one of the five local municipalities that fall under this district Municipality. Ruiter (2012:87) further states that "this municipality was established through the amalgamation of the former Lusikisiki and Flagstaff Transitional Local Councils and the surrounding rural areas and it is located to the north west of the OR Tambo District". Ruiter (2012:87) also mentions that the municipality is divided into 31 wards. There is a documented evidence of large scale infrastructure backlogs and widespread poverty and underdevelopment (IDP 2015:11). The IDP (2016:11) outlined that according to the grading in line with the South African Local Government Association, this municipality is categorised as category B.

1.4 Background to Regulatory Framework on Water Service Delivery

According to the Universal Declaration of Human Rights (1948:72), the issue of inadequate water supply is both a development and human rights issue. If the state is unable to provide an adequate and functional water supply, this has a negative impact on the health, social well-being of communities, the environment and the economy of the country (Universal Declaration of Human Rights 1948:72). According to Article 31 of the Universal Declaration of Human Rights states that everyone has the right to clean and accessible water, adequate for health and well-being of the individual and family. One should not be deprived of such access to water, or quality of water, due to individual economic circumstances (Universal Declaration of Human Rights 1948:72). As mentioned earlier, the Bill of Rights Chapter 2 of the Constitution of the Republic of South Africa (Act 108 of 1996:13) sets out the fundamental rights of all South Africans, including the right to dignity and the right to equality. Section 27 subsection 1(b) states that "everyone has the right to sufficient food and water". In addition to that, Chapter 8 of the Universal Declaration of Human Rights states that the right to "sufficient water of the international declaration of human rights is accorded to everyone in Section 27(1)". As mentioned above, each citizen of the country has an entrenched right to access to water. Section 27(2) requires the state to take practical legislative measures within its available resources to achieve the progressive realization of the right (Universal Declaration of Human Rights 1948:72). Chapter 8 further states "that the government departments are supposed to focus their effort and policies to provide basic needs

for all. The result is that all governments are obligated effect policy and programs that guarantee this right (Universal Declaration of Human Rights 1948:72).

In order to develop an inclusive understanding of water service delivery in South Africa, it is imperative to understand the situation in two periods, namely, prior to 1994, and after 1994, for the reasons mentioned earlier. The year 1994 was significant in South Africa as a result of a newly-elected democratic government. Prior to 1994, the Republic of South Africa was divided administratively as a result of its policy of eleven homelands, four independent TBVC states, six self-governing territories, and the rest of South Africa itself (Alessandro 2015:113). This situation resulted in a fragmented approach to service provision, with limited or no services being available in the former black urban and rural areas DWAF (2002:2). As it has been outlined above, according to DWAF (2002:3), these problems were partly suggestive of a lack of coordination and accountability due to the propagation of institutional structures that existed at that time. It was also put forward by DWAF (1997:1), that the lack of services to black urban and rural areas can also be a contributing factor to old government policies, where water supply services were in favour of the white class because they had access to economic power.

The key challenge since 1994 has thus been to address the backlogs in basic water and sanitation services, while addressing also the aims of the constitution to meet the needs of the people. According to Alessandro (2015:114), the South African government committed itself not only to reorganization in respect of water legislation, but has committed itself to eliminate basic water supply backlogs by 2008, and sanitation backlogs by 2010. However these backlogs have not been addressed especially in rural areas, as people still do not have access to basic water supply (Galaskiewicz 1985:283). There is thus much more that government needs to achieve in terms of access to water.

South African municipalities have a legislative responsibility to manage water supply services through the provisions of the Water Services Act (Madzivhandila 2010:42). However, it is the responsibility of all government spheres to make sure they work together in achieving the overall objectives. Madzivhandila (2010:45) states that the National Water Act outlines the uneven distribution of water services. Therefore, the management of water resource is very important as its sustainability for the benefit of all users (Madzivhandila 2010:45). Lennan & Munslow (2014:14) state that due to an increasing level of poverty in South Africa, a huge number of people cannot afford to pay for basic services offered to them

by municipalities. It is for this reason that it is important for municipalities to set up legislative measures for the allocation of free basic services (Lennan&Munslow 2014: 14).

According to Lennan&Munslow (2014:17) "the government is committed to address the needs of the impoverished South Africans and to provide them with basic services in trying to ensure that they live a dignified life for themselves". The response hereof, has been to advance the competent, efficient, and effective provision of basic services by local municipalities, whilst being mindful of issues related to sustainability and accountability, towards the effective implementation of the Free Basic Services Policy (Lennan & Munslow 2014: 17).

1.5 Scope of the study

This is a study on water service delivery in South African context. Above all, it is an analysis on the implementation of the Free Basic Water Policy in Ingquza Hill Local Municipality.

1.6 Research Problem, Research Objectives and Research Questions

According to Gildenhuis (2001:18), in less-developing countries, municipal provision of services is very important. However, municipal provision services are insufficient in countries that are less developing because in most cases, municipalities are not able to deliver basic services to their communities (Review on Rural Service Delivery 2010:16). This is influenced by the poor policy implementation in rural service delivery. Gildenhuis (2001:19) states that the sub-national government still struggles in finding its footing when it comes to policy implementation as it struggles to properly determine its role in basic service delivery.

The objectives of the study are:

- To examine the policy framework for water service delivery in South Africa.
- To identify the policy implementation framework for water service delivery in Ingquza Hill Local Municipality.
- To explore the challenges related to the implementation of the Free Basic Water Services Policy Ingquza Hill Municipality

Research Questions

The key research questions in this section have been designed in order to allow the broad research objectives to be explored in more detail.

- What are the policy implementation frameworks for water service delivery in Ingquza Hill Local Municipality?
- What are the implementation challenges that the municipality faces when implementing the Free Basic Water Services policy?
- What are the challenges to the implementation of the Free Basic Water Services Policy in Ingquza Hill Municipality?

1.7 Research Methodology

This was an empirical research study where qualitative data collection was used together with secondary data, collected by analysing existing data such as historical documents and government legislation, and which formed the basis of the analysis. Minutes of the Ingquza Hill Committee Report, and the Ingquza Hill Local Municipality Integrated Development Plan formed key sources of information in establishing the priorities of the Municipality.

For the purposes of this study, semi-structured interviews were used. In semi-structured interviews, the questions allow the respondent to answer without being presented or implied choices (Taylor & Bogdan 1998:64). It also allows the study participants to answer on their own terms, voicing their own views, values, knowledge and experiences (Taylor & Bogdan 1998:65).

Qualitative research is a type of scientific research. Generally scientific research consists of an investigation that:

- Seeks answers to a question;
- Systematically uses a predefined set of procedures to answer the question;
- Collects evidence, and
- Produces finding that were not determined in advance.

Qualitative research seeks to share the abovementioned characteristics (Taylor & Bogdan 1998:66). Moreover, it assists in understanding a given research topic from perspectives of the local population it involves (Taylor & Bogdan 1998:68). According to (Taylor & Bogdan (1998:68), the benefit of this research method is its ability to give a written description of how people experience a given research issue. Thus the motive behind using this type of methodology is that this method allows a researcher to develop a deeper understanding of a topic (Taylor & Bogdan 1998:68). This type of method makes use of methodologies such as focus groups, interviews, and direct observation so researchers can investigate stakeholders

attitudes, beliefs, and preferences, the how and why of decision-making (Taylor & Bogdan 1998:69). Brink (2005:25) states that this type of method gives an opportunity for in-depth evaluation of a question that may not be easily answered through quantitative methods.

The researcher employed content analysis, where key themes identified from the theoretical framework were used as the basis of the analysis of data. The information was then presented in the form of a thesis.

1.8 Ethical considerations

The following ethical guidelines were put in place:

- Informed consent was obtained from all respondents.
- The study complied with the University Code of Ethics regarding research.
- The information gathered is being used for scholarly research only.
- Respondents' opinions were presented anonymously. Interviewees will remain anonymous and there will be no identity disclosure in any form in the study.
- The records as well as other items associated with the interviews will be held in a password-protected file accessible only to me, the researcher, and my supervisors. After a period of 5 years, in line with the rules of the university, it will be disposed by shredding and burning.

1.9 Structure of Thesis

The document is divided into six chapters which are illustrated below as follows:

Chapter One: Introduction

This is an introduction to the dissertation which outlines the study background and objectives of the study, and introduces the content of the dissertation.

Chapter Two: Theoretical Framework

This chapter explains the policy implementation theoretical framework. It further explains the nature of public policy implementation and the difficulties it encounters.

Chapter Three: Public Service Delivery in South Africa

This chapter explains service delivery in South Africa and the legislative frameworks of service delivery in South Africa. Further, it also explains the sub-national government's role in the provision of basic services with specific reference to basic water services.

Chapter Four: Research Methodology

This chapter explores how data was collected and analysed, what methods were used and the limitations of the study.

Chapter five: Research findings and Analysis

This chapter outlines what has been found in the data collection, to reduce data to a manageable proportion.

Chapter six: Conclusion and Recommendations

This Chapter outlines the conclusion of the research paper and the recommendations made.**1.10 Conclusion**

In conclusion, this chapter has provided a brief description of this study. The chapter outlined the background to the question under study. This was achieved by outlining the key legislative mandates that guide access to water. It outlined the scope of the study, by also looking at the research problems that the study seeks to answer. Additionally, it provided an indication of the research methodology adopted towards responding to the research questions. The key ethical considerations were outlined and the structure of the dissertation was provided. Chapter 2 that follows provides an examination of the theoretical framework that guided this investigation.

CHAPTER 2: THEORETICAL FRAMEWORK

2.1 Introduction

Chapter 2 provides a conceptual and theoretical framework for the study and looks at the roles, purposes and uses of policy implementation. This chapter begins with a brief discussion on key concepts and approaches of public policy and its relationship to policy implementation theory. The chapter locates policy implementation in the public policy process. It also outlines the two contending approaches, namely, the top-down approach and bottom-up approach to policy implementation in an organisational setting. This chapter conceptualizes the term 'public policy' and an outline on the 'policy process' follows thereafter. It also illustrates the complexity of the process and further outlines the two contending approaches to policy implementation and their counter arguments. The focus of the part is to provide an analysis of policy implementation in a hierarchy within organisations. The chapter concludes that policy implementation is not a one-way process: it is interactive. It also concludes that policy implementation analysis should include an analysis on the structure of organisations, and the reason they cooperate with one another so that effective policy implementation can be achieved.

2.2 Defining Public Policy

Public policies are the principles on which social laws are based (Wilson 2012:64). These principles have an effective role in policy choices and decisions made by those in power, which affect nearly every aspect of life (Wilson 2012: 64). Wilson (2012:66) further mentions that public policy sets up regulations that guide actions of citizens within their jurisdiction. Additionally, public policy is considered to be strong when it solves problems efficiently and effectively and supports governmental institutions and policies, and encourages active citizenship (Wilson 2012:66). According to Wilson (2012:67), public policy plays an effective role in setting up principles and norms to ensure that service delivery mechanisms and governance initiatives are responsive to the needs of the citizens. Volkmer (2006:8) emphasizes that 'public policy' can be a 'stance that one articulates which contributes to the context within which a succession of future decisions would be made'. Heclo cited in Parsons (1995: 13) mentions it is a term that people seem to be in agreement about regarding its definition.

Dye (2013:45) mentions that public policy is about what governments wants to do, why it does it and what difference it makes. His definition highlights that public policy making involves a fundamental choice on the part of government to do something or not to do something about a problem, and that decision is made by an elected representative or government official. From these positions, public policy is about the connection between the means and ends. Malone and Cochran cited in Puentes-Markides (2007:4) indicate that understanding public policy allows one to understand the political decision making that takes place towards meeting the needs of society. Birkland cited in Puentes-Markides (2007: 4) further indicates that the term is about the statements that the government makes stipulating what it intends to do or not to do, such as law, a regulation, or a ruling. Another definition by Peters cited in Puentes-Markides (2007: 4) is that the term is seen òas the sum of government activities, whether acting directly or through agents, as it has an influence on the life of citizensö. Puentes-Markides (2007: 11) further mentions that òpublic policies communicate objectives, principles, strategies and rules of decisions used by government administration and legislationö.

Public Policy has to do with public spheres, not with those that include the idea of private sphere (Parsons 1995: 3). The fact is there is a sphere of life which is not private or purely individual, but held in common (Parsons 1995:3). According to Parsons (1995:3), it is goal-oriented actions that have to deal with the problems that the society faces. Regardless of common grounds on the policy concept, Parsons (1995: 13) states òthat there are differences about whether policy is more than intended courses of actionö.

Based on the different definitions of public policy, the study will adopt the following definition: òpublic policy is a statement by government of what it intends to do or not to do, such as law, a regulation, a ruling, a decision, an order or a combination of theseö. This definition speaks more to what the study seeks to achieve.

In the discussion above we have seen what public policy is, what it entails and what it does and not do (Dye 2013:45). Even though the authors did not put much emphasis on what happens once the public policy has been formulated and the importance of the formulation stage, it is important to note that once the policy has been formulated, it gets implemented (Dye 2010:46). Policy implementation means putting theory into practice (Dye 2013:48). This stage is vital because policy makers get to see if the policy was a success or a failure and

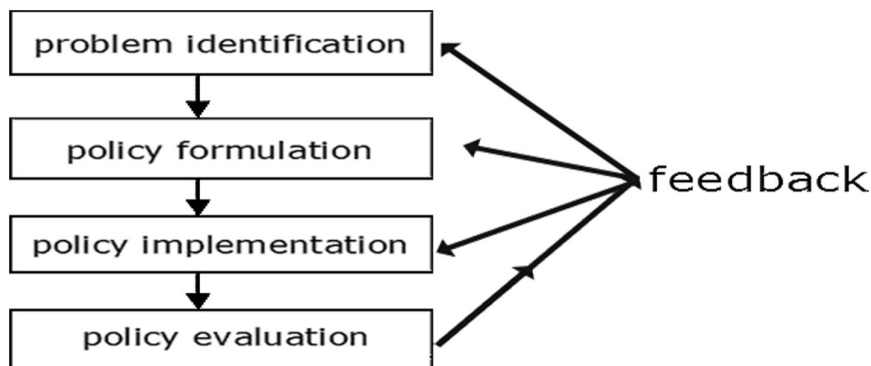
what needs to be done. The following section will outline the overall public policy making process, what it does and why it is important. Further, it will outline policy implementation, what it does and why it is important in public policy.

2.3 The Public Policy Making Process

According to Dye (2013:47), the policy making process is the way in which public policy is formulated. There are different ways of looking at the public policy making process. For the purposes of this study, I will outline two ways, the linear and cyclical method of policy making (Dye 2013:47). The cyclical policy process will be used in order to understand policy implementation theory, to be discussed later in this chapter. According to Fischer and Miller (2006: 4), the common understanding of the public policy process, is that it is a rational and linear process. Sutton (1999:9) defines this rational linear public policy process as follows: "policy-making is a problem solving process which is rational, balanced, objective and analytical". This rationale sees public policy process as a series of different steps with opportunity for the community to influence the process at each step (Fischer & Miller 2006: 4). Sutton (1999:9) demonstrates this view depicted in the discussion below.

The following diagram illustrates how a linear model of policy implementation looks:

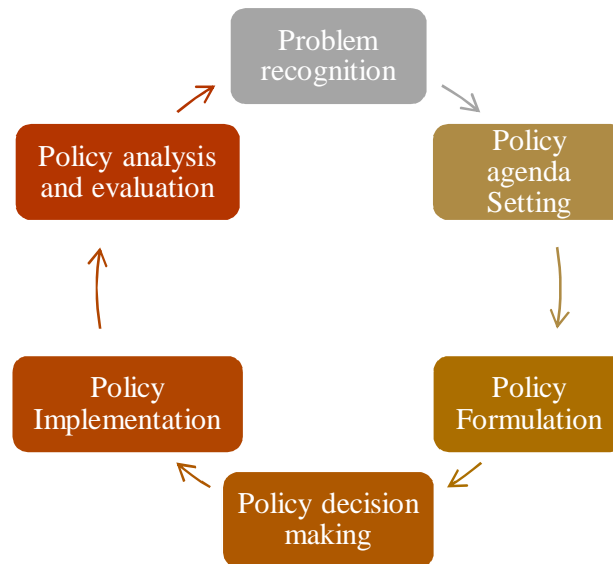
Linear Policy Process: Figure 2.1



Source: Grindle & Thomas(1990:12)

On the other side, "policy-making process" can be explained in accordance with the policy cycle model (Grindle & Thomas 1990:13). Various readings about the aforementioned term often speak of "stages or phases of the policy process" (Hill & Hupe 2002: 5). According to Fischer and Miller (2006:38), there are six stages of policy making in a cyclical process. These steps will be discussed below:

Figure 2.2: The Policy Cycle



Source: Fischer & Miller (2006:38)

Each of these stages will be briefly examined below.

(i) Problem Recognition

According to Fischer and Miller (2006:43), "problem recognition is a stage where problems that may potentially make their way to the public policy agenda are recognized".

(ii) Agenda Setting

According to Fischer and Miller (2006:43), "policy problems that are recognized and deemed worthy of attention are placed on the government's policy-making agenda". The "Agenda-setting process" outlines different subjects that actually become the focus of attention. Fischer and Miller (2006:43) state that the "agenda is a list of subjects to which government officials, and people outside government closely associated with those officials, are paying some serious attention at any given time".

(iii) Policy Formulation

According to Fischer and Miller (2006:43), "once the need for a policy is recognised, and gains agenda status, various policy proposals or alternatives are crafted to address the problem".

(iv) Policy Decision Making

According to Fischer and Miller (2006:44), "Policy decision making is policy-making stage where an official policy is agreed upon and adopted. During this stage decisions are taken on which policy proposals or alternatives will be put into action". Fischer and Miller (2006:44) note that "decisions are considered to be taken in a rational manner", known as the "rational-comprehensive approach". This assumes that: "decision-makers have a well-defined problem; there is a full array of alternatives to consider; full baseline information is available there is full knowledge of consequences of alternatives and preferences of citizens; as well as that adequate time, skills and resources are available" (Fischer & Miller 2006:43).

However, Simon and March cited in Fischer and Miller (2006:45) outline that "in reality, decision-makers are faced with ambiguous and poorly defined problems; incomplete information about alternatives; incomplete information about range and content of values and interests".

(v) Policy Implementation

According to Pressman and Fischer (2006:89), "once a public policy has been officially agreed upon, it is put into action or implemented". Pressman and Fischer (2006:89) state that "implementation requires perfect co-operations". Lipsky (1980:7) also mention that "policy is made as it is being implemented; it is therefore bottom-up". Therefore the results are shown on the success once everything has been put into practice, as stipulated in the document.

(vi) Policy Analysis & Evaluation

According to Mazmanian and Sabatier (1983:4), "the final stage of the policy-making process is when implemented policy is analysed and evaluated against the initial policy decision". Mazmanian & Sabatier (1983:4) define "policy evaluation as the stage of the policy process at which it is determined how a public policy has actually fared in action". Fischer and Miller (2006:63) see "evaluation as a tool for learning and to enable better management".

According to John (1998: 23), policy process as a complex and, at times, a chaotic process. Gunn & Hogwood cited in John (1998: 26), mention policy-making is marked or differentiated by a series of feedbacks and loops. The processes of public policy formulation as outlined above are perceived to be democratic due to the lineage they go through. For the purposes of the study, the cyclical policy process will be used in order to understand the policy implementation process theory, discussed later in this chapter.

2.4 Theories of Public Policy

According to Hill and Hupe (2009:88), there are a number of theories applications relevant to public policy making process which includes policy implementation. Some of the public policy theories are as follows (Dye 2013:45):

- Institutionalism - sees public policy as institutional output.
- Process model - sees public policy as political activity.
- Rationalism - sees public policy as a maximum social gain.
- Game theory - sees public policy as rational choice in competitive situation.

According to Dye (2013:45), the above help us to simplify and clarify our thinking about politics and public policy and assist in identifying the important aspects of policy problems.

The processes of policy making as mentioned above and implementation cannot be isolated (Hill and Hupe 2009:99). De Coning and Cloete (2006:35) mention that theories are systematic, consistent and reliable explanation and prediction of the relationships among specific variable is built on various concepts. Schofield and Sausman (2004:239) claim that there is a need for better theories whose impact on the public policy process should be reviewed. This means that a link between the public policy making and the importance to identify the final results is essential.

The theories of public policy have without doubt an influence on how the public policy design informs public policy implementation (Schofield and Sausman 2004:241). This means that theories have an influence on whether or not the nature of public policy implementation follow a top-down approach, bottom up approach or a combination of both. According to Geocities Report (2009:1), theories on public policy making process help to describe how public policy making and implementation occur. Hill and Hupe (2009:118) mention that theories focus on a framework for an analyst to diagnose a problem; however,

theories have their own flaws and weaknesses. Based on this rationale, one can argue that public policy making cannot be best described by using one theory. According to Hill and Hupe (2002:120), some theories need to impose a conceptual order on the policy process in order to comprehend it.

The following section will examine the literature on policy implementation as it has been mentioned above that public policy theories cannot be linked only to Policy Implementation, and this investigation seeks to provide an analysis on the challenges facing the Ingquza Hill Local Municipality concerning implementation.

2.5 Public Policy Implementation

As it has been discussed above, the public policy making process is the manner in which a policy is formed, implemented and evaluated. This section will focus on policy implementation: what is implementation? Why it is important? It will also look at the two approaches in policy implementation, the top-down approach and the bottom-up approach.

2.5.1 Understanding Policy Implementation

Policy Implementation can be seen as a process of change and how it takes place; it also look at how organisations work with each other (Parsons 1995: 461). Sabatier & Mazmanian (1983: 20-21) define policy implementation as the process of policy decisions which can form part of executive orders. The problem(s) to be addressed, stipulates the objective(s) to be pursued, and in a variety of ways structures the implementation process (Mazmanian & Sabatier 1983: 20-21). According to Mazmanian and Sabatier (1983: 20-21), it is a process of addressing problems through a policy.

Montjoy & O'Toole (1979: 465) state that it is often difficult to put public policy into action as it has been highlighted by various studies. Most of these difficulties occur when the policy is being implemented. Levitt (1980:45) mentioned if a policy does not get implemented it is because it is a poor policy. Furthermore, Montjoy & O'Toole (1979: 465) mention that government programs are often implemented by different organisations and different departments within organisations simultaneously; therefore they conceptualise implementation as an organisational problem. Levitt (1980: 48) stated that policies are implemented in organisations. Matland (1995:89) is in support of what has been mentioned above that, which shows the importance of understanding how the organisation works so that

it can be easy to understand its policies. One can conclude that understanding an organisation is in line with an improved understanding of policy implementation.

2.5.2 Understanding Policy Implementation in an Organisational setting

According to Mazmanian & Sabatier (1983:445), organisations can consist of various institutions within one organisation. Galaskiewicz (1985: 282) states that each strives to achieve their goal which is why organisations are seen as competitive actors at times. Moreover, documented writing on organisations was introduced by the classical school and had been directed to two areas (Galaskiewicz 1985: 283). One area focuses on scientific management. In this part, theorists such as Taylor and Gilbreth, introduced policy implementation into their organisation analysis of routine tasks (Tosi 2009: 93). According to Tosi (2009: 93), the other part is the administrative management school of thought, where writers in this school of thought were generally concerned with the most effective way to organise tasks into administrative units - these units into larger units, and to minimise the cost of performing these tasks.

March & Simon cited in Tosi (2009:94) outline that during the apartheid era organisational theories were regarded as incomplete without proper cooperation on implementation of required policies. An organisation was defined as a way of inter-connected social behaviours of participants (March & Simon cited in Tosi 2009). They argue that participants have to make decisions about organisations. The first is about being part of it and the second is about outcome to deliver (March & Simon cited in Tosi 2009: 93). According to March & Simon cited in Tosi (2009: 95), the first decision is on the equilibrium of an organisation, which also known as the balance of payment. It is an on-going involvement in the organisation. To make this equilibrium of an organisation into existence organisations from internal and external sphere are examined alongside one's values & goals (Tosi 2009: 96).

Organisational analysis can solve the problem of understanding the structure into sub-problems amenable to discrete pieces of research which can aggregate back into a grand theory of organizations (March & Simon cited in Tosi 2009). In addition, O'Toole (1993: 233) outlines that various organisational context features have a link to the way it is studied. It proposes that structures in place for policy implementation should be in line with the objectives of the policy, to be able to effectively achieve the objectives of the policy

(O'Toole 1993: 232). Montjoy & O'Toole (1984: 491) mention that working with more than one organisation is one of the key important aspects of implementing a policy.

O'Toole & Montjoy (1984: 492) further note that it becomes difficult for policy implementation if there are many organisations involved. They (1984: 492) mention that coordination is very important at this stage. The rationale they support is that 'the more organisations are involved in the implementation of a policy, the less specificity there will be in mandates' (O'Toole & Montjoy 1984: 493). According to Levitt (1980: 7), the complexity of the policy implementation process can never be understood by one single organisational theory.

Levitt (1980: 8) outlines a number of inter- and intra-organisational characteristics:

- 'Organisations are dependent on other organisations for things such as resources, status and authority'.
- 'Organisations are often not self-directed, meaning that decisions and courses of action are mainly determined by the organisational environment'.
- 'Organisations are involved in a constant struggle for autonomy and discretion and they engage in substantial efforts to create or avoid dependency on other organisations'.

2.5.3 Interdependences within Organizations

According to Thompson cited in O'Toole and Montjoy (1984: 493), inter dependencies existing between various organisations can only be understood by looking at the typology he developed. The following illustrates the interdependency types that he discusses (Thompson cited in O'Toole and Montjoy 1984: 493):

- Pooled
- Sequential
- Reciprocal

Pooled interdependence is when organisations provide their own contribution and is not forced to work with any other organisation (O'Toole & Montjoy 1984: 493).

'Sequential interdependence occurs when the output of one organisation is the input of another and reciprocal interdependence occurs if two organisations each possess

contingencies for the other (O'Toole & Montjoy 1984: 493). Mazmanian & Sabatier (1980: 220) identify two competing approaches namely exchange approach and power-dependence approach. It was outlined that 'exchange approach and the power-dependence approach' have developed a parallel path (Mazmanian & Sabatier 1980:220). Accessing additional materials, products or revenue has been the main reason for establishing a 'multi-organisational structure' (Galaskiewicz 1985: 282).

O'Toole & Montjoy (1984: 495) mention that the issue of resources during policy implementation is often overlooked by policy makers. This affects the process in which the policy gets implemented or not, because resources play a very vital role in implementing a policy. Hence all this needs to be looked at during the formulation of the policy. The solution to the aforementioned challenge is coordination (Mazmanian & Sabatier 1983:221). According to Mazmanian & Sabatier (1983:234), the absence of coordination simply means that the desired output of the policy will not be achieved. Issues that have to do with policy failures can be solved if there is some type of coordination with the relevant stakeholders (Schofield & Sausman 2006:23). Additionally, O'Toole and Montjoy (1979: 465) mention that having a number of organisations working together can cause a situation where coordination tools will not be managed by one actor. O'Toole and Montjoy (1984:562) discuss a 'notion of pooled interdependence that occurs when two or more organisations implement the same policy with very little or no coordination'.

These situations continue bringing about results that are not satisfactory since some organisations do not provide the required resources for coordination, more especially in cases where organisations change their routines with one (O'Toole & Montjoy 1984: 493). Impulsive coordination can assist in solving the issues of coordination since relationships are established through this type of coordination (O'Toole & Montjoy 1984: 493). Gumedé (2008:65) mentions that this only happens when one unit produced has a contribution to produce the outcome to be used by another unit, but also does not worry about how the other unit will use that. In such cases, implementing a policy is said to be very quick; however, policy makers do not take active control over the use of funds (O'Toole & Montjoy 1984: 494).

For O'Toole & Montjoy (1984: 494), mutual interdependence may need to be mutually adjusted in order to align implementation of policies with each other. However,

implementation in such circumstances may result in lack of trust. It may cause the greatest organisational adaptation to policy (O'Toole & Montjoy 1984: 495). According to Mazmanian & Sabatier (1983: 119), one way to think about coordination is in terms of the following three activities:

- Sharing of information
- Sharing of resource
- Joint action

According to Mazmanian & Sabatier (1983:120), communication is about sharing information. Mazmanian & Sabatier (1983:120) further mention that it involves sharing what the organisation is busy with and this is usually done through report writing. According to Mazmanian & Sabatier (1983:120), resource sharing means that resources controlled by one organisation can be allocated to another for particular reasons. Joint action is about two or more organisations doing something (Mazmanian & Sabatier 1983:119). This could include planning, data gathering or service delivery (Mazmanian and Sabatier 1983: 119). Mazmanian and Sabatier (1983:848) identify three important aspects of coordination:

(i) Gaining Access to Resources

This is where organisations gain access to resources that they do not have, and is achieved by inter-organisational cooperation (Mazmanian and Sabatier (1983: 848). An important factor that contributes to policy success or failure has to be access to adequate resources. Grindle and Thomas (1990:345) outlined that one of the reasons why policies fail, is the lack of resources. It was mentioned that inadequate resources can hamper implementation and can cause policy failure (Grindle and Thomas 1990:347). Having access to the required resources is very important in policy implementation.

(ii) Cooperation Leading to Positive Value

According to Mazmanian and Sabatier (1983:846), it is beneficial for organisations to cooperate with each other. Other writers like Reid cited in Mazmanian and Sabatier (1983: 848) stated that value inducement argument by giving the example of the health and welfare case. Organizations could collaborate, for example, to minimize overlap in functions (Mazmanian and Sabatier 1983: 849).

(iii) Authority Enforcing Coordination

According to Mazmanian and Sabatier (1983:849), "Demands from those in authority may also be a potential motivator for cooperation and coordination". Mazmanian and Sabatier (1983:849) further mention that "those in power may demand the establishment of formal coordination and cooperation structures".

Based on the above discussion on policy implementation, one can identify the importance of policy implementation in public policy. However, the weakness as has been also identified by Montjoy and O'Toole (1979), is that often so many times institutions find it difficult to translate public policy into required action. This is why effective policy implementation is important in any institution.

The section that follows will outline the Policy implementation approaches, namely, the top-down approach and the bottom-up approach. The relevance of the following two approaches in the research study is that "the top-down implementation approach is a clear-cut system of command and control from the government to the project, which concerns the people" (Matland 1995:145), whereas "bottom-up designers" begin their implementation strategy formation with the target groups and service deliverers, because they find that the target groups are the actual implementers of policy (Matland 1995:146). These two approaches will help in understanding the policy implementation in the municipality under study and also in making suggestions for improvement.

Theories of Policy Implementation

2.6 The Top-Down Approach

According to Hill and Hupe (2002:44), "successful policy implementation depends upon linkages between different organisations and departments at the local level". In addition to that, Hill & Hupe (2002:48) refer to Bardach, who in his book, "The Implementation Game" (1977), suggested that the process of implementation can be seen as interactive games. Parsons (1995: 470) is in support of the above mentioned, noting that "implementation is a game of bargaining, persuasion under conditions of uncertainty". This approach is seen as those who are in a win situation and have control to achieve their own objectives and goals; to them implementation is another form of politics (Parsons 1995: 471). Recommendations were offered in the following set for those at the top. Those in power do a

writing scenario process to structure the games in a way to achieve desired outcomes (Bardach cited in Parsons 1995: 470).

Schofield & Sausman (2006:25) are in support of a top-down approach to policy implementation. According to them, the following recommendations set out implementation conditions (Schofield & Sausman 2006:32):

- The implementing agencies do not impose crippling constraints due to external circumstances.
- Required resources to be made available.
- Various stages of implementation need a combination of resources to be used.
- Valid theory of cause and effect to be properly stipulated for implementing a policy.
- The relationship between cause and effect is direct and that there are a few.
- There is a single implementing agency that need not depend upon other agencies.
- There is complete agreement on the objectives to be achieved; also conditions that persist throughout implementation.
- A complete sequence is needed before moving towards agreed objectives outlining the duties to be performed by certain individuals.
- There is a clear communication and co-ordination in place for different elements involved in the programme.

Based on what have been mentioned, this approach is more on keeping control, for instance getting people to do what they are told (Hill and Hupe 2002: 82). Parsons (1995: 466) mentions that it is also about developing programmes of control which help reduce non-alignment and non-conformity to goals that were set at the policy hypothesis stage.

A top-down approach is criticised for not taking into account the role of other actors in the implementation process (Parsons 1995: 467). It is also criticised for its analysis of statutory language, which fails to consider the significance of actions taken earlier in the policy-making process (Matland 1995:147). According to Matland (1995:147), implementers often engage from various groups, which differ in power and history, none of which may be reflected in the statutory language.

2.6.1 The Bottom-Up Approach

Lipsky (1980) is one of the key theorists who support the bottom-up approach to policy implementation. He conducted an analysis of the behaviour of public servants (who Lipsky calls street-level bureaucrats) during their implementation of public policy in 1980 (Lipsky 1980:28). Lipsky (1980:28) mentions the short fall of their environment as street-level bureaucrats policy makers have to invent modes of mass processing policies in order for them to deal with the public fairly and successfully. Lipsky (1980: 29) also notes that street-level bureaucrats also face uncertainty about personal resources that are necessary for their jobs and they also have to make decisions about scarce resources under pressure. Nel & Wyk (2004:69) outline the policymaking process helps the officials to be able to work well under pressure.

Policy implementation, according to Lipsky (1980:45), can be about street-level bureaucrats with service ideals exercising discretion under intolerable pressures. This means that hierarchically will simply increase their tendency to stereotype and disregard the needs of other clients (Hill and Hupe 2002: 53). Hill and Hupe (2002: 53) mention that another approach is needed in order to secure accountability.

According to Elmore cited in Parsons (1995: 468), backward mapping is regarded as the best in implementing a policy. Backward mapping is defined as backward reasoning from the individual and organizational choices that are the hub of the problem to which policy is addressed, to the rules, procedures and structures that have the closest proximity to those choices, to the policy instruments available to effect those things and hence to feasible policy objectives (Schofield & Sausman 2006:56). According to Hill and Hupe (2002: 58), in policy development and practice it has been appreciated by many writers.

The bottom-up approach emphasises the significance of the relationship between policy-makers and policy deliverers (Parsons 1995: 469). This approach sees the policy process as one that involves negotiations and consensus-building (Parsons 1995: 469). The environments involved in these processes are as follows:

- The management skills and cultures of the organisations involved in implementing public policy,

- The political environments wherein they operate (Parsons 1995: 469).

Based on the aforementioned the two approaches in relation to the implementation of the policy is that the top-down approach theorists are presented in support of the consistent execution of choices made by political leaders (Hill & Hupe 2002: 173). To them implementation is about assembling action in support of the intentions and orders of political leaders (McLaughlin 1987:56). The bottom-up approach aims to mobilize the energies of different stakeholders in making sensible choices in concealing problem solving around a complex context-specific and dynamic policy issue (McLaughlin 1987: 174).

Another important aspect of policy implementation process is that it is complex and highly interactive (Mazmanian and Sabatier 1983: 6). Kickert, Klijn and Koppenjan cited in Mazmanian and Sabatier (1983:5) state that policy implementation is made in complex interaction processes between a large number of actors which take place within networks of independent actors. Mazmanian and Sabatier (1983: 6) advocate for a general agreement between various stakeholders in addressing some of the challenges they come across.

2.7 Conclusion

In conclusion, this chapter presented the theoretical and conceptual framework for understanding the implementation of the free basic water services policy in Ingquza Hill Local Municipality. It has also been noted that policy takes place in a fluid setting, it is interactive (Hill and Hupe 2002: 173). This chapter has outlined that analysing how organisations are structured and why they work with each other goes along with the analysis of policy implementation so that effective policy implementation can be achieved. The next chapter describes public service delivery in South Africa.

CHAPTER 3: PUBLIC SERVICE DELIVERY IN SOUTH AFRICA

3.1 Introduction

The previous chapter highlighted that public policy establishes the rules, regulations and procedures that guide actions of citizens within their jurisdiction, which is also considered to be strong when it solves problems of efficiency and effectiveness and supports governmental institutions, policies and encourages active citizenship (Edward 2001:4). This chapter provides a summary of the public service delivery in South Africa by looking at the different legislative frameworks in South Africa on service delivery, and their importance. It also outlines the status and challenges of service delivery in urban areas compared to rural areas. This is to assist in making contribution to address the objective questions that the study seeks to achieve, in investigating the implementation of free basic water service policy in Ingquza Hill Local Municipality.

3.2 Defining Service Delivery

Service delivery refers to policies and constraints used to guide the development and retirement of services delivered to a specific user community in a specific business context (Crous 2004:49). Auricombe (2007: 66) sees service delivery as the basic services that the municipality should provide which includes water, sanitation, local roads, storm water drainage, refuse collection and electricity. Auricombe (2007:68) further mentions that providing services to poor citizens is a constitutional and social necessity. Harber (2009:83) sees service delivery as a description of the relationship between the government and citizens. This Means that the government is seen as the provider of services to the people while the citizens are seen as receivers of services. According to Harber (2009:90), this overlooks at the possibility of citizens understanding the obscure balancing act of policy formulation and implementation. In his definition he tries to outline the responsibility that the citizens have to play. According to Harber (2009:84), citizens have to contribute something in a form of revenue collection in making sure that services provided to them are sustainable.

However, Adam (2015:34) is not in support of the definition by Harber (2009); to him the people will not exist if such services are not provided to them. In his explanation he tries to emphasise that the government provides service delivery to all its citizens, as outlined in the Constitution of the Republic of South African (Adam 2015:34). Alexandra (2010:19) partly supports Adam's argument as he further outlined that if the State is unable to provide these

services, the State would be in violation of the democratic right to access to such services. Additionally, Adam (2015) and Alexandra (2010) both place emphasis on what the government has to do. Alexandra (2010) and Adam have suppressed the role that the citizens have to play in the provision of basic services, as outlined above by Harber (2009:90). According to Adam (2015) and Alexander (2010), the government is a provider and citizens are the receiver without any contribution. This then raises the question of sustainability if the government only provides; who then sustains what the government provides? Their view on service delivery is one-sided as it only addresses what the government has to do instead of what each party's roles is in the provision of basic services.

According to the Global Insight Report (2009:10), "the lack of water services and sanitation is a public health crisis and it deprives people their right to live in dignity". Although the government has taken steps in realising this right, statistics show that most vulnerable groups in society do not enjoy access to clean and adequate water (Global Insight Report 2009:5). These are the people living in poverty represented by the 11 million people who live in rural areas (Global Insight Report 2009:5). Moreover, service delivery is also seen as an administrative vehicle by means of which governments deliver all kinds of services to their citizens (Ngengwakhulu 2009:20). This indicates to us that service delivery is a government administration system. However, it can be seen as an administrative vehicle by means of which government delivers services in order to meet the needs and expectations of the citizens (Lennan & Munslow 2014:50).

The weakness of this discussion is that the role of citizens is missing; we are told that the government should provide, but the roles of citizens have not been included. However, Harber (2009:79) states that the term needs to be broken apart so that the people can understand its hidden meaning. He further mentions that "it contains a host of assumptions policies attitudes and promises which are starting to haunt the government, which has built its promise entirely on the notion of improving service delivery" (Harber 2009:80).

3.3 Service Delivery in South Africa

The term "service delivery in South Africa is commonly used to describe the distribution of basic resources to citizens, like water, electricity, water and sanitation infrastructure, land, and housing" (Crous 2004:49; Osborne 2010:88). Through the provision of these services it is hoped that intangible services such as restoring human dignity and respect will be achieved (Crous 2004:49; Osborne 2010:88). This assists us in identifying the link between public

policy and service delivery, which is establishing norms and standards to ensure that service delivery mechanisms and governance initiatives are responsive to the needs of the citizens (Peter1998:5).

The research conducted by Gombert (2003) on rural service delivery in South Africa indicated that there is still much improvement that is needed to make sure that people in rural areas have access to free basic water service. In support of this, Gumede (2008:34) mentions that some rural municipalities still do not have access to basic services. Both authors concluded that free basic water is the one way to help remove the inequalities of the past and spread resources more evenly across South Africa (Gombert 2003; Gumede 2008). Additionally, the research findings undertaken by Balfour (2004) on free basic water implementation in selected rural KwaZulu-Natal and Eastern Cape indicated that there are imbalances that exist when it comes to water service delivery in most rural municipalities.

Based upon these findings, although government promises to improve service delivery there appears to be issues related to implementation of these policies. As a result, investigating the perceptions regarding implementation challenges in a rural municipality has significance. Ingquza Hill Local Municipality has been chosen as the focus of this study for two main reasons. Firstly, it is a rural municipality. Secondly, according to the Ingquza Hill Local Municipality IDP (2016/2017:11), it is a poor performing rural municipality. Hence, an investigation into the implementation challenges will assist in identification of mechanisms for an improved performance.

3.3.1 Water Service Delivery in South Africa

According to Maserumule (2010:53) the South African Constitution (Act No. 108 of 1996) illustrates that municipalities in the country are tasked to provide basic services and fostering development within their areas of work. Maserumule further states that the act (Act No.108 of 1996) also outlined that the local government is understood in terms of service delivery in South Africa. This (Act No. 108 of 1996) assigns municipalities with the role to mobilise economic resources towards the improvement of the lives of all citizens. Basic services play a very important role in building an improved quality of life by making sure that supply of safe water is essential (Crous2004:49;Osborne 2010:88). According to Crous (2004:49) and Osborne (2010:88) over the past years there have been a huge progress made in the delivery of such services. The Community Survey 2016 found that 89,8% of households used piped water, that 63,4% used flush toilets connected to either the public sewerage or to a local

septic system, that 63,9% of households receive refuse removal services, and finally, that 87,6% of households had access to electricity (StatsSA2016).

This section has outlined that legislative frameworks set the basis for all government interventions. The following section seeks to examine the legislative framework for the South African context.

Legislative Frameworks in South Africa on Service Delivery

3.4 The Constitution and Bill of Rights

Chapter 2 of the Bill of Rights sets out the fundamental rights of all South Africans including the right to dignity and the right to equality. Section 27 sub-section 1(b) states that everyone has the right to sufficient food and water. In addition to that chapter 8 of the Universal Declaration of Human Rights state that the right to sufficient water is accorded to everyone in Section (27(1):298) as mentioned above, everyone has the right to have access to sufficient water. Furthermore Section (27(2):298) requires the State to recognise this right by taking reasonable measures within its available resources.

Chapter 8 further states that the states are supposed to focus their effort and policies to provide basic needs for all (Universal Declaration of Human Rights 1948:74).The focus should be at making sure that safe drinking water is provided to everyone (Universal Declaration of Human Rights 1948:75).Further to that, the Constitution of the Republic of South Africa outlines that the international law must be considered in interpreting the rights contained in the bill of rights. The right to access to sufficient water Section 27(2) should be understood that the state is not obliged to provide water freely, but is under an obligation to create mechanisms that enable people to have access to sufficient water. This simply means that in an event of resource constraints which limit the ability of the state to fulfil its obligations, the state is still obliged to provide a plan of action that demonstrates the full realisation of the right and shall be achieved overtime.

This does not mean coming up with new rules or micro-managing service delivery activity, rather the focus should be on putting people first (Transformation)(Universal Declaration of Human Rights 1948:78). Different policies, frameworks and legislations have been put in place by the South African Government to enable effective service delivery to its people.

3.4.1 The White Paper on the Transformation of Public Service

The White Paper on the Transformation of Public Service (WPTPS 1997:3) sets out eight transformation priorities, amongst which Transforming Service Delivery is the key. Reason being a transformed public service environment should be judged by one standard (The White Paper on the Transformation of Public Service WPTPS 1997:3). This standard is the effectiveness in delivering services that meets the basic needs of all South African citizens. Improving service delivery in the public service transformation programme is seen as the overall goal and should be used as a basic target by all government institutions (The White Paper on the Transformation of Public Service WPTPS 1997:3). The purpose of this White Paper is primarily about how public services are provided and specifically about improving the efficiency and effectiveness of the way in which services are delivered to the people. Moreover, this framework frees up the energy and the commitment of public servants to introduce more customer focused way of working.

By improving the delivery of public services, one is addressing the past imbalances, while continuing to provide services to society by meeting the needs of people, especially those who were previously disadvantaged in terms of service delivery, such as the women in rural areas and the disabled (Buhlungu 2001:21). Improving delivery of services also calls for a shift from inward looking bureaucratic systems, processes and attitudes, to search for new ways of working which put the needs of the public first and more responsive to the citizens' needs (Buhlungu 2001:23). It means a completely new way in the delivery of services. This includes the use of technologically advanced methods or programmes to be responsive to the objectives of service delivery (WPTPS 1997:4).

The White Paper on Transforming Public Service Delivery (1997:8) outlines five principles of service delivery which are known as Batho Pele (people First) principles which cover the following but not limited to:

- Consulting users of services in terms of the White Paper on Transforming Public Service Delivery (1997:9) all departments must, regularly and systematically, consult not only about the services currently provided but also about the provision of new basic services to those who lack them. Consultation will give citizens the opportunity to influencing decisions about public services, by providing objective evidence which will determine service delivery priorities. Consultation can also help to foster a more participative and cooperative relationship between the providers

and users of public services. In the consultation process service-users are able to say how they need services to be delivered to them. It is this process that motivates people in general to feel that they are part of democracy and their valuable input is recognised.

- Setting Service Standards in terms of the White Paper on Transforming Public Service Delivery (1997:9) - public organisations must set and publish standard for the level and quality of services they will provide, including the introduction of new services to those who have been previously denied access to them. Standards must also be precise and measurable, so that users can judge for themselves whether or not they are receiving what was promised.
- Based on the above, it is important to note that the standards should also be realistic, taking into consideration the huge disparities incurred because of the realms of apartheid and segregation policies of the past. They must be set at the level that is demanding but realistic. They should be displayed at the point of delivery and communicated as widely as possible to all potential users so that they know what level of service delivery they are entitled to, and can complain if they do not receive it. Performance against standards must be regularly measured and results published at least once a year, and more frequently, where appropriate. The standards and measurements thereof must be widely displayed so that everyone can see and be able to detect non- or underperformance by the organisations and municipalities in particular.
- Increasing access -while some South Africans enjoy public services of first world quality, many others still live in the third world conditions. This scenario has been created by the legacy of apartheid. One of the prime aims of Batho Pele is to provide a framework for making decisions about delivering public services to many South Africans who were and are still subjected to inequalities of distribution in existing services. All public organisations are required to specify and set targets for progressively increasing access to their service for those who have not previously received them. One significant factor affecting access is geography. Many people who live in remote areas have to travel long distances to get public services. Another significant factor is the lack of infrastructure, which exacerbates the difficulties of communication within remote areas. Service delivery programmes should, therefore,

specifically address the need to progressively redress the disadvantages of all barriers to access.

- Ensuring courtesy - the code of conduct for Public Servants issued by the Public Service Commission makes it clear that courtesy and redress for the public is one of the fundamental duties of public servants, by specifying that public servants treat members of the public as customers who are entitled to receive the highest standard of service. The treatment of public as customers means that they are treated with more politeness than they just deserve. The White Paper on Transforming Public Service Delivery (1997:11) spells out that public organisations must specify the standards for the way in which customers should be treated.

3.5 Municipal Regulations for Service Delivery

In the provision of Municipal Services Section 73 of the Local Government: Municipal Systems Act, 2000 (Act 32 Of 2000:43) maintains that a municipality must give effect to the provision; sub-section (a) states that "priority should be given to the basic needs of the local community"; sub-section (b) Promotes the development of the local community, and Sub-section (c) Ensures that "all members of the local community have access to at least the minimum level of basic municipal services". Alexander (2012:69) illustrates that as per the Municipal Systems (Act 32 of 2000:1), municipal services must be accessible and provided in a proper manner to all citizens.

Furthermore, there has always been a question as to who is entitled to the municipal services. As it has been mentioned above that the "local community" is entitled to the provision of municipal services. Section 16 of the Local Government: Municipal Systems Act, 2000 (Act 32 of 2000:19) sets out that "local community" in relation to a municipality means anyone who lives in the municipality. Lastly, visitors and other people residing outside the municipality who, because of their presence in the municipality, make use of services of facilities provided by the municipality are also included in the term "local Community".

Based on what has been stated above, service delivery is a right and it applies to all the citizens of the country. Therefore, "it is the duty of the government to take reasonable legislative measures within its available resources to achieve the progressive realisation of this right (Chapter 2 of the Bill of Rights Section 27(2):298). However, the weakness of the above legislations is that there is no legislation that speaks directly to the implementation of such legislative frameworks.

The following section will provide an overview of the role of Sub-National Government in rural service delivery.

3.6 The Role of Sub-National Government in Rural Service Delivery

According to Reddy (2014:32), there is an increasing demand for improved services that municipalities across the world are faced with. According to the National Business Initiative (1998:3), public-private partnerships (PPPs) are used by many authorities as a way of improving the delivery of services. This approach uses the expertise, investment and management capacity of the private sector to develop infrastructure to improve and extend efficient services to all residents (Reddy 2014:28). Although this might be an effective approach towards service delivery, it is also seen as a contributing factor to job losses since it is a part of privatisation (Bhorat 2012:78).

As mentioned above, access to public services is not a privilege in a civilised society but a legitimate expectation (Macwele 2006:78). It is for this reason that the delivery of basic needs to the citizens was one of the key programmes of the Government's Reconstruction and Development Programme (RDP). It also contributed to the Government's macro-economic strategy called Growth, Employment and Redistribution (GEAR) calls, among other things, for the reduction in unnecessary government consumption and the release of resources for productive investment and their redirection to areas of greatest need (Fumihiko 2008:98). This means that the government institutions must be reoriented to optimise access to their services by all citizens (Fumihiko 2008:98). Fumihiko (2008:98) mentions that they should also make sure that all communities and those that were previously disadvantaged have access to their services. Municipalities are not only charged with a direct responsibility of government delivery, but also to face up the challenges and demands for services by the communities (Fumihiko 2008:99).

In the Rio Summit of 1992, a broad-based consensus emerged that democratic decentralisation will produce effective local government that is responsive to the needs of the poor and can provide opportunities for participation around issues that matter most in people's lives (Allan 2006:58). The most important question, though, is whether or not the local government has been successful in carrying out this mandate. The Study Tour of Municipalities Report (2003:3) highlights that there is still a long way before municipalities fulfil their responsibilities in rural areas, even though there is progress that has been made in urban and semi-urban areas regarding the delivery of free basic service. There are many

reasons why local municipalities find it very difficult to fulfil their obligations. The past discriminatory laws ensured that those who are poor, especially black people remain poor.

According to Habub (2010:65), the consequences of discrimination, rural development policies and the legislative construction of a dualistic agricultural system in South Africa have been to concentrate poverty within rural areas. It is important to note that municipalities need revenue to be able to provide services especially in rural municipalities, where they have the heaviest concentration of poor people (Habub 2010:66). In this regard, it becomes very difficult for rural municipalities to sustain themselves.

According to Tom (1998:69), the National Rural Development Strategy 1998 (NRDS) failed to address the potential of the rural economy. After 1994 the government published the revised Rural Development Framework (RDF), by making a shift in the focus of rural development strategy to incorporate issues of local governance (Reddy 2005:34). The remarkable achievement was to incorporate the rural municipality responsibility in the provision of service delivery and sustainable livelihood. According to Allan (2006:962), sustainable livelihood focuses how individuals deal with their day-to-day activities in order to have an improved quality of life. The development of a good quality of life is only possible where equal economic opportunities exist for all citizens (Denhardt 2000:35).

Denhardt (2000:37) further states that municipal infrastructure services and services should be provided in a sustainable manner. The quality of life also includes an environment where people feel safe and secure to live without any social disruption and personal threats (Gildenhuys 2001:21). All this is possible if the local government is aware of its role of developing the local environment (Gildenhuys 2001:21). Despite all these challenges, there is hope that South Africans will one day see the fruits of their struggle for freedom.

According to Lennan and Munslow (2014:67), their agencies are no longer deemed innocent until proven guilty or seen as essentially being instrument of the public interest. It is time that South Africans in particular have a growing perception of distrust towards the government. This is further asserted by Buhlungu (2005:49), in that doubts on politics and the government's role are also contributing factors. In support of this, Reddy (2005:88) illustrates that it is the responsibility of the government to provide services to its people who have the legislative right to hold them accountable should they not deliver.

Buhlungu (2005: 89) refers to 'sub-national government as the administration of cities, towns, villages and geographically organized communities'. Buhlungu (2005: 22) further defines the sub-national government as the level of government with general and specific powers devolved to it by a superior level of government. Atkinson (2007:85) states that Act 108Section 40:1267 outlines that there are three layers of government: the national, provincial and sub-national government. Atkinson (2007:87) further mentions that the last sphere is regarded as a mutually dependent and inter-related. In relation to this, Finn (2013:36) outlines the definition of sub-national government as a government sphere, not an individual municipality. Sub-national government under the Republic of South Africa Constitution 1996(Act of 108Section 40(1):1267) is the sphere of the government that is the closest to the community.

According to Reddy (2005:34),it is a sphere of government that directly interacts with the community on issues that affect their lives. It is often regarded 'as a mirror reflecting the accomplishments and failures of the policies of the national government' (Reddy 2005:34). One can argue that the sub-national government is the lowest level of government that interacts directly with the citizens on issue pertaining service delivery (Reddy 2005:34).According to Fumihiko (2008:98),they exist primarily to bring the government closer to the people by providing basic services. Additionally, as per the Republic of South African Constitution 1996 (Act 108Section 153:88) identifies the objectives of a municipality which underpin their role in the provision of services, such as 'promoting social and economic development, promoting a safe and healthy environment and lastly encouraging the involvement of the community in the matters of the municipality'.

Fumihiko (2008:99) further states that the personal needs of customers in a municipality revolve around issues like availability of water, electricity, roads, housing and many more necessities that support human life. According to Denhardt (2000:34), the municipality must exercise its rights and its duties in the provision of services in a sustainable manner taking into consideration the financial and administrative capacity. As per the Municipal systems (Act 32 of 2000 section 77:46), municipalities can decide on the level of the service to provide and whether to provide services directly to the community or explore alternative mechanisms. In support of the above, Allan (2006:57) mentions that it is possible for a municipality to improve and expand the delivery of services by improving its own ability to do so. Allan (2006:58) further mentions that this can be achieved by improving a number of

technical skills that are needed in a municipality to be able to deliver services to the people effectively and efficiently.

Financial planning is the most effective tool that is needed in any municipality (Allan 2006:62). In instances where the municipality is unable to deliver services to the people, they can always outsource; however, it remains the responsibility of the municipality to choose the service provider and to monitor progress (Edward 2000:45). However, this also contributes to job losses since it is a form of privatisation (Bhorat 2012:78).

Kanyane (2010:532) identifies five ways in which the sub-national government can enhance democracy. Firstly, democratic values and skills of local citizens are developed through introduction of sub national government (Kanyane 2010:532). According to Kanyane (2010:532) if accountability and responsiveness is improved, this enables sub national government to attend the local concerns and needs. Kanyane (2010:532) added that democracy is enhanced as sub national government provides channels of access to power for groups that were previously marginalised. He also mentions that Sub-national government provides a mechanism of checks and balances of power at the centre (Kanyane 2010:534). Lastly, according to Kanyane (2010:532) sub-national government creates opportunities for parties and factions in opposition to exercise some measure of political power. Reddy (2005:790) mentions that sub national government is important for the process of democratisation and promotes public participation in the decision-making process.

In fact, this is regarded as important up to a certain extent because political systems are seen as incomplete should there be no sub national government (Reddy 2005:803). It is considered an important measure in the structure of a democratic political system (Reddy 2005:805). According to Litvack and Ahmad (1998:32), decentralisation is most ideal as identified by devolution which combines the promise of local democracy and technical efficiency. The following features of sub-national government were outlined by (Litvack and Ahmad 1998:49):

- It should be a local body that is constitutionally separate from central government and responsible for a range of significant local services.
- It should have its own treasury, budget and accounts along with the substantial authority to raise its own revenue.
- It should employ its own competent staff who it can hire, fire and promote.

- It should have a majority elected council, operating on party lines, should decide policy and determine internal procedures.
- Central government administration should serve purely as external advisors and inspectors and have no role within the local authority.

Habub (2010:89) outlines the important purposes of sub-national government. The first purpose is to provide administration in the supply of goods and services to local communities. The second purpose is to represent and involve citizens in the identification of public needs and to determine how these local needs can be met (Habub 2010:91). Furthermore, Habub (2010:91) stated that "Sub-national government can be instrumental in influencing the public to participate in active and political engagements". It assists people to be able to see importance of taking part in decision making and the local government (Habub 2010:108). Habub (2010:109) states that local councillors gain more experience in the political system by being part of the local government politics.

The following section will provide an overview of the Basic Service provision in the Sub National government.

3.7 Sub- National Government and the provision of Basic Service

As mentioned, sub-national government's main role is to make sure that basic services are provided to the community (Auricombe 2007:65). In addition, for Auricombe (2007: 66), "basic services that are to be provided by municipalities include water, sanitation, local roads, storm water drainage, refuse collection and electricity". Auricombe (2007:68) mentioned that "provision of the basic services to the poor citizens is both a constitutional and a social necessity for society in the post-apartheid era". These assist in the alleviation of poverty and improve standards of living for our citizens.

According to the Treasury report (2011/2012), "Local municipalities play a very important role in improving the worst forms of poverty and facilitating development in rural areas". However, the report further states that it needs to be emphasised that municipalities are not solely responsible for addressing the enormous challenges of rural poverty and rural development; they are dependent on overall government policies (Treasury report 2011/2012). From what has been discussed above, we can see that the municipality on its own cannot solely provide these basic services to the people; it requires the support from national and government policies. The following section will now draw a closer look at the issue at hand, which is the provision to basic services.

3.7.1 Basic water service

As it has been mentioned in chapter 1 of this paper that water and sanitation in South Africa should be considered in two periods, prior to 1994, and that after 1994 (Alessandro 2015:113). The year 1994 was important, as South Africa elected a newly democratic government. Prior to 1994, the Republic of South Africa was divided administratively as a result of its policy of eleven homelands, four independent TBVC states, six self-governing territories, and the rest of South Africa itself (Alessandro 2015:113). This situation resulted in a fragmented approach to service provision, with limited or no services being available in the former "black" urban and rural areas DWAF (2002:2). According to DWAF (2002:3), these problems were part symptomatic of a lack of coordination and responsibility due to the proliferation of institutional structures that existed at that time. It was also put forward by DWAF (1997:1) that the lack of services to black urban and rural areas could also be attributed to old Government policy, where water services were developed in the interests of the dominant white class.

Post 1994, the new ANC government in South Africa set a high priority on addressing the basic water and sanitation backlogs (Alessandro 2015:115). This was done by taking up a coherent policy for water supply and sanitation which did not exist, and thus DWAF compiled a Policy (DWAF, 1994) to address the backlogs in basic water and sanitation services. This strategy formed the basis of the Government's Community Water Supply and Sanitation (CWSS) programme, which primarily focussed on service delivery in the poor rural areas and to extend access to basic water supply and sanitation services to all in the country (Alessandro 2015:116).

The census of 2011 outlined that there is still a significant gap between urban and rural service delivery (Census 2011:45). It further outlined that for a long time, the government focused on advancing service delivery in urban areas, which is evident by the quality of service delivery in urban areas and does not apply to urban informal settlements (Census 2011:47). A report on the status of water and sanitation services in South Africa outlined that service provision in rural settlements was frequently found to be more costly than in the more densely populated urban settlements, because of the different economies of scale and the sheer logistics of managing projects in scattered or dispersed settlements far from a municipality's administrative hub (DWAF 2012:28). It further outlined that the issue of access is also affected by the on-going growth of informal settlements, particularly in urban

areas, due to the rural-urban migration as well as from population growth and the influx of foreign nationals (DWAF 2012:28). Poor planning across government from a strategic level right down to the micro level as well as inadequate resources for both the capital costs as well as on-going maintenance costs are some of the root causes of failure in regards to water and sanitation service delivery (DWAF 2012:29).

Some of the critical findings of the report were as follows:

- 1.4 million households have no access to water and sanitation service,
- 3.8 million households that have been given access which is not adequate in terms of being at risk of service failure and/or are experiencing service delivery breakdowns. It was also outlined that Eastern Cape province still has a long way to go when it comes to the delivery of water and sanitation service because some areas in this province still have no access to such service (DWAF 2012:29).

The problem of inadequate supply in water and sanitation needs to be addressed as it has been outlined above under the legislative frameworks of service delivery in South Africa. Failure to provide adequate basic services has terrible negative impacts on the health and social well-being of communities of the country. From this discussion, one can claim that 3.8 million of households have access to water and sanitation does not give a true picture of what is happening on the ground.

Even though the Constitution of the Republic of South Africa 1996 has a major influence on the water policy and law in the country, however there are still some backlogs that still need to be addressed. Water and sanitation reform in the country should be based on key aspects of the new constitution and particularly the right to equality requires equitable access by all South Africans to benefit from the nation's water resources (DWAF 1997:5). The key challenge since 1994 has thus been to address the backlogs in basic water and sanitation services, whilst addressing the needs of the new constitution of the country (DWAF 2012:30). The South African government has committed itself not only to reform in respect of water legislation, but has committed itself to eradicate basic water supply backlogs by 2008, and sanitation backlogs by 2010 (DWAF 2002:2).

However, not all those backlogs have been addressed especially in rural areas, and people still do not have access to basic water supply. The government have a long way to go in fully addressing this issue of backlogs when it comes to water supply especially in rural areas. In trying to address the issue of water backlogs, Madzivhandila (2010:96) illustrates that in the

Water Services Act (Act 108 of 1997) ,it is outlined that basic water supply and basic sanitation is also known as water services. Madzivhandila (2010:97) also notes that the Draft White Paper on Water Services (2002:2) indicates that regional and local schemes are also known as the water services. These services are very important as they promote economic growth as it is illustrated on the draft white paper mentioned by Madzivhandila (2010:96).

Further to that, the Act (Act 108 of 1997) described supply of water as öprescribed minimum standard of water supply necessary for a reliable supply and sufficient quality and quantity of water to households, including informal households to support life and personal hygieneö. The act (Act 108 of 1997) acknowledges that the local government is the driver of the services mentioned above (Madzivhandila2010:99). Atkinson (2007:36) stated that all spheres have to work together in making sure that the objectives as stipulated above are addressed. Moreover, the water National Act has illustrated that over the years, the distribution of water has not been done fairly. Therefore, it should be distributed fairly to all people (Atkinson 2007:45).

It has been noted that a large number of people do not have money for such services, hence the municipalities have to take it upon themselves to develop policy(ies) that would assist in the distribution of free basic services(Lennan&Munslow2014: 14). Such free basic service (FBS) örefers to a basket of free services that are linked to an indigent policy which targets the poor in every municipalityö (Lennan & Munslow 2014:45). The services basket öincludes water, energy and sanitationö (DPLG, 2005: 7). Such öservices are capped and provided to people who qualify, based on predetermined criteria, as stipulated in the national indigent policyö (DPLG, 2005: 7).Lennan&Munslow (2014:16) state that as per the DPLG (2005:6), the predetermined criteria is important as it assist in enabling access to basic level of services where individuals cannot afford them.

In fact it is government's responsibility to come up with solutions to address this challenge and ensure that all people live a dignified life (Lennan&Munslow2014:17). The FBS implementation öfalls within intergovernmental system which has a focus of improving capacity, efficiency, effectiveness, sustainability and accountability of the local government sphereö (Lennan&Munslow2009:18). The FBS handbook DPLG (2005:12) illustrates that the FBS programme should be part of the Integrated Development Plan, also known as IDP of a municipality. A municipality is responsible for tracking and monitoring the effective implementation of FBS (Atkinson 2007).Grindle and Thomas (1990:31) stated that öto

implement the FBS programme is highly problematic and results in ad hoc and inequitable approach to Free Basic Sanitation at municipal level.

Municipalities in rural areas find it very difficult to adopt and Implement the Free Basic Water Policy (FBW) like some municipalities (Grindle and Thomas 1990:34). Rober (2015:69) outlines that Free basic water (FBW) was regarded as the first service to be implemented as part of the free Programme. Rober (2005:17) state that in terms of the regulations of the Water Service Act, the regulations allows everyone to have access to the basic services outlined above. Rober (2015:73) further states that the local government is mandated by the constitution to give people access to water services. A Free Basic Water (FBW) policy must be implemented at the local level but national and provincial government are obligated to provide support to the local level (DWAF 2002: 3). According to the White Paper on Water and Sanitation Policy (DWAF 1994: 17 as outlined in Rober 2015:82), water supply is determined as 25 litres per person per day.

Based on this discussion, one can still see that the issue of implementation when it comes to free basic water service is still a problem. Even though there might be policies in place to assist in the administration of the provision of water, implementation still remains a challenge. The above standard is the minimum requirement for direct consumption (Rober 2015:84). Madzivhandila (2010) on the challenges of providing services to the people outlines that the above standard is not enough for a productive healthy life; it is for this reason why it is regarded as minimum.

The alleviation of poverty in South Africa in terms of FBW strategy included the provision of basic services (Rober 2015:69). In the words of Mr Thabo Mbeki, the former President stated that the provision of FBW and electricity will reduce the plight of the poorest (Mbeki in DWAF 2002 cited in Rober 2015:98). The implementation of the Free Basic Water as a national strategy started being implemented in phases by the Department of Water and Forestry (DWAF) in February 2001 (DWAF 2002 cited in Rober 2015:99). Some local authorities started with the implementation of the FBW policy in July 2001 (DPLG, 2005:17). The main targets of the FBW policy are the poor households for whom FBS present significant poverty alleviation measure (DWAF 2002 cited in Rober 2015:102).

According to Rober (2015:105), the FBW strategy for implementation outlines a number of levels of water supply. According to DWAF (2002 cited in Rober 2015:109), having the

above standard means that there is a great need to have control measures in place. However, there are also some pressing challenges which deeply affect the rural municipalities: Firstly, for the majority of South Africa's rural community, poverty is high and infrastructure is limited with little or no reliable bulk water resources. Secondly, these communities are located in hard to reach areas where it is geographically not feasible to provide in-house connections, and people are unable to pay for municipal services. Thirdly, human resource is also an issue, as it becomes difficult to recruit suitably qualified and experienced professionals.

Lastly, finance is the challenge as in most rural municipalities there is no revenue collected or a proper plan and guiding principles to collect revenue. This then deeply affects the implementation of the policy which results in failure to implement policy. It is essential for the government when planning to address this issue to put these challenges forward and not try to use them as an excuse for not trying their best in making sure that people from rural deep areas have access to basic services. Even though 'mixed service levels' can also assist by allowing levels of services in line with the ability of consumers' affordability, so that people can be able to pay for services provided to them (Rober 2015:110). The limit in the flow of water is regarded as an important attribute in the FBW policy as it allows for people who cannot afford to pay for more water to only get the basic supply. However, it is noted that this becomes difficult in areas where there are no water connections (DWA 2002 cited in Rober 2015:113).

Among the various service levels in which water can be provided, Bhorat (2012:87) identified a number of pricing categories for providing water. The first option is the rising block tariff (Bhorat 2012:87). It is where people are charged based on what they use should they exceed the free amount that is provided to them (Bhorat 2012:88). According to Bhorat (2012:88), this kind of method is effective where people have meters. According to DWA (2002:31), this method is applicable in a number of water users. The second method is the service level targeting; this option ensures that access to water is limited to the free part or portion (Bhorat 2012:89). The, 'communal tap system is mostly used under the service level targeting and the communal tap should be within 200 meters from every home without water on site' (Bhorat 2012:89).

The last 'method of implementing the free basic water policy is targeted credits or subsidies this is mostly used where there are people who are regarded as indigent and they get a

subsidy amount credited to their bill each month (Bhorat 2012:90). In DWAF (2002) cited in Rober (2015:116) mentioned that this method is the most useful one in rural areas. These types of people are referred to as indigent. The Framework for Municipal Indigent Policies wants municipalities to adopt an Indigent Policy (Rober 2015:120).

3.7.2 Indigent Policy

An Indigent Policy is a legal imperative, a tool developed make sure that all people who are regarded as indigent have access to basic services as defined in the Constitution of the Republic of South Africa, Act No 108 of 1996.

Municipalities are expected to develop this policy as it will speak directly to the needs of people (DPLG cited in Constantinos 2011:53). It should clearly outline steps it will make use of in terms of the pricing, which must be in line with the national standards (DPLG 2005: 38). The steps for Implementation applies directly to the free basic service programme within municipalities which looks at the provision of free basic water, free basic energy and free basic sanitation (Constantinos 2011:55). The following are the basic necessities of life as per the National Indigent Policy:

- Sufficient water, basic sanitation, refuse removal in denser settlements, Environmental health, Basic energy, Health care, Housing, Food and clothing. In the absence of these goods and services, one is regarded as indigent. Nel & Van Wyk (2004:68) state that, principles for implementing the Indigent National policy is to assist those who cannot afford to pay for the services.

Moreover, municipalities must develop and adopt an indigent policy to ensure that its indigents can have access to the package of services included in the Free Basic Services (FBS) (Constantinos 2011:65). As per DPLG (2005) cited in Constantinos (2011:66) mentions that the Guideline for Implementation of the National Indigent Policy applies directly to the free basic service programme within municipalities which looks at the provision of free basic water, free basic energy and free basic sanitation. The policy must outline ways in which the municipality will address the poverty issues. It must provide a detail link between the programmes that seek to alleviate poverty within their areas.

According to Nel & Van Wyk (2004:72), in relation to this discussion it should outline the fees of service and the level. Atkinson (2007) and Nel & Wyk (2004) in their studies outlined some limitations when it comes to the indigent policy implementation in some municipalities.

The other limitation is the fact that the current procedure that is used to give us an understanding of the word "poor" is problematic (Atkinson (2007) and Nel & Wyk (2004). This has also been acknowledged in the DPLG (2005) cited in Atkinson (2007:160), that the standard of the indigent is not the same throughout all municipalities, which might create more confusion for people. It is important for municipalities to inform the people of these differences and implementation of the policy itself.

3.8 Conclusion

The above discussions have outlined the rights of the citizens as per the bill of rights, embedding it with the International declaration of human rights. It also provides the local government legislative framework which illustrates the importance of the local government sphere, especially accountability to local people. The role of the municipality was outlined: it is to provide basic services such as Free Basic Water provision. The municipality must have a plan, a strategy in place, explaining how it will provide services to the people and consult with the people. However, from what has been gathered, one can see that there are legislations in place to solve the issue at hand, but the problem is implementing those legislations. Lack of implementation is evident in the lack of improvement of basic services in rural areas. The literature have also showed that there is much that needs to be done to align what is on paper and what is really happening on the ground. Also the sustainability of the sector as a whole is also at risk because of the poorly maintained and often ill-equipped infrastructure. The issue of basic service delivery is very critical and in order for it to be fully addressed, it needs to be addressed through a collective effort. It is hoped that through collaboration we can see a more transformed and effective service delivery in rural municipalities.

CHAPTER 4 RESEARCH METHODOLOGY

4.1 Introduction

This chapter covers the research methodology and the procedure taken in the research study. The overall purpose of the study is to examine the policy framework for water service delivery in South Africa, to identify the policy implementation framework for water service delivery within the Department of Infrastructure and Engineering in Ingquza Hill Local Municipality, and to identify the implementation challenges in Ingquza Hill Municipality. This chapter will outline the procedure taken in making sure the overall objectives of the study were addressed. This will be done by outlining the method used, how data will be collected and analysed and the rationale behind the chosen methods or design.

4.2 Problem Statement

Over the years South Africa has been faced with challenge of addressing the service backlogs in basic water and sanitation services(DWAF, 2002:2).The South African government committed itself to making sure that the backlogs of water supply by 2008 are dealt with (DWAF, 2002:2).However, not all those backlogs have been addressed, as especially in rural areas, people still do not have access to basic water supply(Madlala 2006:89).The aim of this investigation is to examine the implementation of water service delivery, with specific reference to free basic water in Ingquza Hill Local Municipality. The rationale for choosing Ingquza Hill Local Municipality is that the municipality is characterized by infrastructure backlogs and underdevelopment (Ingquza Hill Local Municipality IDP, 2015:11). The overall objective is to obtain the perceptions from the Department of Infrastructure and Engineering Services within Ingquza Hill Local Municipality, ward Councillors and Executive Committee in so doing to identify the challenges in policy implementation that the municipality under study experiences.

The objectives of the study are:

- To examine the policy framework for water service delivery in South Africa.
- To identify the policy implementation framework for water service delivery in Ingquza Hill Local Municipality.
- To explore the challenges related to the implementation of the Free Basic Water Services Policy Ingquza Hill Municipality.

In order to ensure that the objectives of the investigation were met, specific questions will be posed in the Interview questions in respect of these questions as follows:

- What are the policy implementation frameworks for water service delivery in Ingquza Hill Local Municipality?
- What are the implementation challenges that the municipality faces when implementing the Free Basic Water Services policy?
- What are the challenges to the implementation of the Free Basic Water Services Policy in Ingquza Hill Municipality?

This chapter seeks to provide the discussion on the methodology that has been adopted to respond to the research questions.

4.3 Research Methodology

According to Polit (2004: 98), research methodology is the way in which data is collected and analysed. Gerson (2002:26) mentions that it can be seen as a way of doing something. Gerson (2002:39) further notes "that methodology includes the design, setting, sample, methodological limitations, the data collection and analysis techniques in a study". Mottram (2004:80) states that it is a group of methods that complement each other, where findings reflect the purpose of the investigation. Methodology means "a framework of theories and principles on which methods and procedures are based" (Gerson 2002:45). Gerson (2002:46) further mentions that it is a way in which problems are solved. It outlines how the investigation will be done. It is also defined as the study of methods by which knowledge is gained. Lastly, its ultimate goal is to give an aim to the work plan of research. It is important for the researcher to know not only the research methods necessary for the research to be undertaken but also the methodology (Gerson 2002; 48).

From what has been discussed above by different authors, one can see that their definition of research methodology is the same, and that it is only the wording that differs. Polit (2004:101) in his reading, makes it clear that there are different research methods that are available for researchers to utilise, such as the quantitative research method that is based on the measurement of quantity or amount (Polit 2004:101). The researcher analyses the data with the help of statistical information (Polit 2004:101). Polit (2004:101) also made "mention of qualitative research method which asks broad questions and collects word data from phenomena or participants". Furthermore, the themes were looked at in this research study and the information was organised in themes to be able to answer the research questions. One

can conclude that quantitative and qualitative research methods differ primarily in the following;

- Their analytical objectives
- The types of questions they pose
- The types of data collection instruments they use
- The forms of data they produce
- The degree of flexibility built into study design

The key difference between 'quantitative and qualitative' methods is their flexibility. Generally, quantitative methods are fairly inflexible (Bernard1995:23). With quantitative methods, respondents are asked the same questions in the same order; quantitative method makes use of the surveys and questionnaires (Bernard 1995:23). The response categories from which participants may choose are 'closed-ended' or fixed.

For the purposes of this study, the following section will outline the procedures taken that contribute to the overall success of the study.

4.4 Research design

Burns and Grove (2003:195) define a research design as 'a blueprint for conducting a study with maximum control over factors that may interfere with the validity of the findings'. Parahoo (1997:142) describes a research design as 'a plan that describes how, when and where data are to be collected and analysed'. Polit et al. (2001:167) define a research design as the technique in testing the research hypothesis.

This study focuses on reviewing the implementation of free basic service delivery in rural areas, with specific focus to Ingquza Hill Local Municipality. The research approach is a case study using qualitative research method.

4.4.1Case Study

A case study is an in-depth study of a particular research problem rather than a sweeping statistical survey or comprehensive comparative inquiry (Yin 2014:45). Yin (2014:50) further mentions 'that it is often used to narrow down a very broad field of research into one or a few easily researchable examples'. The, 'case study research design is also useful for testing whether a specific theory and model actually applies to phenomena in the real

world (Yin 2011:68). It is a useful design when not much is known about an issue or phenomenon.

The benefit of the case study approach is that it is good at explaining a difficult analysis (Yin 2011:78). A researcher using a case study design can apply different methods and rely on different sources to investigate a research problem (Yin 2014:79). Additionally, design can extend experience or add strength to what is already known through previous research (Yin 2014:80). It is for this reason that this type of a research design has been adopted for the issue under study, to examine contemporary real-life situations and provide the basis for the application of concepts and theories and the extension of methodologies.

4.4.2 Qualitative research

Burns and Grove (2003:19) describe a qualitative approach as 'a systematic subjective approach used to describe life experiences and situations to give them meaning'. Parahoo (1997:59) states that it focuses on the experiences of people. Holloway and Wheeler (2002:30) refer to 'qualitative research as a form of social enquiry that focuses on the way people interpret and make sense of their experience and the world in which they live'. Researchers use the qualitative approach to explore the behaviour, perspectives, experiences and feelings of people and emphasise the understanding of these elements.

According to Kothari (2004:49), 'qualitative research is concerned with qualitative phenomena i.e. phenomena relating to or involving quality or kind'. For instance, when one is interested in investigating the reasons for human behaviour (i.e. why people think or do certain things), one quite often talks of 'Motivation Research', an important type of qualitative research (Kothari 2004:50). Qualitative research aims at discovering the underlying motives and desires, by using in depth interviews. The qualitative research challenge is to obtain an understanding of underlying reasons for the investigation (Denzin 2000:26). Parahoo (1997:66) stated that qualitative data collection methods differ from using unstructured or semi-structured techniques. Additionally the sample size is typically small, and respondents are selected to fulfil a given quota (Parahoo 1997:69).

Qualitative research has the ability to provide complex textual descriptions of how people experience a given research issue (Burns 2003:36). It also assists in providing information about the 'human' side of an issue that is often contradictory behaviours, beliefs, opinions,

emotions, and relationships of individuals (Kothari 2004:58). Lastly, this method is more effective in identifying intangible factors, such as social norms, socio-economic status, gender roles, ethnicity, and religion. Although findings from qualitative data can often be extended to people with characteristics similar to those in the study population, gaining a rich and complex understanding of a specific social context or phenomenon typically takes precedence over eliciting data that can be generalized to other geographical areas or populations (Kothari 2004:60). Thus far one can see that qualitative research method differs from scientific research in general.

Qualitative research method uses the following methods: participant observations, in-depth interviews, and focus groups (Bernard 1995:8). These methods are particularly designed for obtaining a specific type of data, for instance;

- Participant observation- is appropriate for collecting data on naturally occurring behaviours in their usual contexts.
- In-depth interviews- are optimal for collecting data on individuals' personal histories, perspectives, and experiences, particularly when sensitive topics are being explored.
- Focus groups-are effective in eliciting data on the cultural norms of a group and in generating broad overviews of issues of concern to the cultural groups or subgroups represented.

Bernard (1995:10) notes that the three methods generate field work notes, audio recordings. This basically outlines the different forms of data collecting available in qualitative data, the type of data that these three data collection methods acquire and lastly, the rationale for choosing this type of method for the study.

4.5 Study population

A study population is a group of individuals from a general population who share the same characteristics (McCool 1995:23). The study population for this study is Ingquza Hill Local Municipality. The study population consist of the Ingquza Hill Local Municipality Municipal manager, and Executive Committee members of the municipality (Ingquza Hill Local Municipality IDP 2016/2017:164).

Table: 4.5.1: Study Population

Study Population	Total
Ingquza Hill Municipal Manager and 10 executive Committee Members 31 Ward Councillors and 12 councillors representing the traditional leadership. 1(one)Manager from the Department of Infrastructure and Engineering service	55

The total population is 55(Ingquza Hill Local Municipality IDP 2016/2017:164)

4.5.2 Sampling approach and sample size

Sampling defined as a way of choosing people from the population (Gerson2002:51). Sampling is used because it is impossible for one to collect information from the entire population; even if it is a small population, data may be needed immediately, and it might take time to complete the entire population (Gerson 2000:52). There are two types of sampling procedures: probability sampling and non-probability sampling. Probability sampling is any form of sampling method that uses random selection (Gerson2000:53). According to Gerson (2008:82), it is a technique where the samples are collected in a manner in which all the individuals in the population have an equal chance of being chosen (Gerson 2002:82).

Non-probability sampling is a sampling technique that does not give all individuals in the population the same number of chances to be chosen (Gerson2002:85). Non-probability sampling has the following types of samplings procedures (Gerson 2002:87):

- Haphazard sampling- It is where the researcher chooses items haphazardly, trying to simulate randomness. However, in this type of sample, the results may not be random at all and is often tainted by selection bias.
- Consecutive sampling- is very similar to convenience sampling except that it seeks to include all accessible subjects as part of the sample. This non-probability sampling technique can be considered as the best of all non-probability samples because it includes all subjects that are available and makes the sample a better representation of the entire population.

- Purposive sampling – It is where the researcher chooses samples based on their knowledge about the population and the study itself.
- Quota sampling – where the group (i.e. women and men) in the sample are proportional to the group in the population. The weakness of this sampling is that the degree of generalization is questionable.
- Snowball sampling – It is where research participants recruit other members for the study. This method is particularly useful when participants might be hard to find. For example, a study on working serial killers.
- Heterogeneity sampling – It is where a researcher deliberately chooses members so that all views are represented. However, the limitation of this sample is that those views may or may not be represented proportionally.

These types of non-probability sampling are commonly used with quantitative research methods when conducting a research. However, the weakness of non-probability sampling is that an uncalculated number of the population is not part of the sample group (Burns 2003:46). According to Burns (2003:47), non-probability sampling has a lower level of generalization the research finding compared to probability sampling not clear. Lastly, there may be difficulties in estimating sampling variability and identifying possible bias (Burns 2003:52).

In contrast, in probability sampling all individuals in the population have an equal chance of being chosen, and it is usually utilised in qualitative research method study (Brink 2005:72). Probability sampling has the following types of sampling (Kothari 2004:70):

- Simple random sampling – It means each element in the population has an equal probability of selection. Also the researchers make use of random numbers to select elements from an ordered list.
- Stratified random sampling – The population is divided into groups that differ in important ways. It selects random sample within each group. Also probability of selection may be different for different groups, as long as they are known.
- Systematic random sampling – Each element has an equal probability of selection, but combinations of elements have different probabilities.

For the purposes of this study, probability sampling was used because this type of technique provides the most valid or credible results: they reflect the characteristics of the population from which they are selected (Gerson 2002:53).

4.5.3 Sample size

The sample size is very important in an empirical study, because its ultimate goal is to propose a population from a sample (Gerson 2002:54). One derives an adequate sample size by first identifying the type of sampling technique one will use (Gerson 2002:55). As mentioned, "Probability sampling" was used to provide the most valid results as it reflects the characteristics of the population (Gerson: 2002:54). Grinnel and Williams (1990) recommend 10% as a suitable size especially for qualitative studies. Thus 10% was used as the minimum standard for viability of results.

The sample size was as follows:

- Ingquza Hill Municipal Manager
- Manager from the Department of Infrastructure and Engineering Services
- 3 Executive Committee members
- 10 Ward Councillors

The rationale behind using the sample size is that in answering the research questions of the study, the Municipal manager assisted in answering all the questions, since he is the one in charge of the day-to-day operations of the municipality. Therefore the issues of service delivery fall under his authority. The manager from the Department of Infrastructure and Engineering Services will assist in all the questions as well, since it his responsibility in liaising with Water Service Authority and Water Sector Plan on water and sanitation issue in this municipality. 3 Executive committee members and 10 ward councillors will also assist in answering the research questions since they are part of the policy development of the municipality. This constitutes 27% of the study population.

4.6 Data collection

The study used semi-structured interview questions to collect data. There are structured questions which can also be used when collecting data. Structured interview questions are questions that are normally used in a questionnaire and the respondent does not have an opportunity to expand, whereas semi-structured interview questions give the respondent an opportunity to expand, should the researcher wish to seek more clarity (Kothari 2004:

40). Given the nature of the study, this structure was seen to be the best method to use when conducting a perception study (Kothari 2004:33). The study was on gaining the perceptions of the Department of Infrastructure and Engineering Services within Ingquza Hill Municipality on the implementation of 'free basic water services'. This method has influenced the responses in a good way because it offered the respondents a chance to answer in their own terms, voicing their own views, values, knowledge and experiences. 'Semi-structured interviews' also allowed informants the freedom to express their views on their own terms; they also provided reliable and comparable qualitative data (Brink 2005:75).

The purpose of semi-structured interview questions is that questions allow the respondent to answer without presented or implied choices (Kothari 2004: 40). Above all, the semi-structured interview has encouraged two-way communication (Kothari 2004:43). It also functions as an extension tool that confirms what is already known but also provides the opportunity for learning (Burns 2003:69). For instance, since the study was to cover the issue of implementation, this type of data collection method has assisted in providing an opportunity to get the perspective of the Department of Infrastructure and Engineering within Ingquza Hill Municipality on the implementation of free basic water services.

Additionally, the procedure that has been utilised in collecting data was as follows:

- Related literature was reviewed, particularly focusing on the Government's transformation initiatives, the role of the Sub-National government in service delivery, plus the background to Free Basic Water services and sanitation backlogs.
- Government policies and reports on free basic water were reviewed.
- Structured Interview questions were compiled for answers by the Municipal Manager and the Infrastructure and Engineering Manager to provide the required key data.
- Responses to the interview questions were analysed.
- Findings and conclusions were documented.

4.7 Rationale for in-depth interview questions

- The Interview questions (Appendix I) were deemed necessary to complement information contained from free basic water policy.
- To achieve the objectives of the investigation, it was necessary to question and obtain answers to various issues on the implementation of the free basic water policy in the municipality under study that would facilitate the analysis, findings and conclusions to this investigation.

- The interview questions were designed to pose structured questions on issues pertinent to the investigation.
- The use of interviews in this study was important because it assisted by providing a deeper understanding of the research questions. Furthermore the purpose of interviews was useful in exploring their views, experiences, beliefs and motivations of individual participants.
- The interview questions were semi-structured. Semi-structured interviews consist of several key questions that help to define the areas to be explored but also allow the interviewer and the interviewee to divert in order to pursue a response in more detail (McCool 1995: 49).

4.8 Setting up the interviews

This section will outline the measures adopted to set up the interviews and problems encountered and how as researcher, I solved them.

4.8.1 Planning

Firstly, permission was obtained from the municipality to conduct the study. This was done by sending the gate keeper's letter to the municipality and the response was sent to me via an email. I waited for the ethical clearance from the school; as soon as I received it I then forwarded it to the municipality. The next step was to prepare all the necessary documents, for example the concern forms and gatekeeper's letter for the interviews. I also managed to get contact details of people to interview, to check their availability, establish the number and set up appointments with them. I had to plan my trip to the Eastern Cape from Johannesburg, since the first interview was scheduled for the 20 August. However, this interview was rescheduled due to the unavailability of the respondent and I had to reschedule my trip as well to the following week. On the 27 August 2017, I travelled to the Eastern Cape from Johannesburg and I planned to stay there for 6 days from 27 August 2017 till 01 September 2017; because of the cancellation of interviews by some participants, I had to extend my stay in Eastern Cape to the 20 September 2017.

During the data collection process, I had assistance (Ms Refiloe Mabutho), who assisted me in writing the information and was present in all the interviews I conducted. I sought assistance as I was 8 months pregnant at the time and was under advice by my specialist not to travel. Prior to our travel date, given the fact that it was someone who had experience in data collection, I outlined to her what was expected of her at that time. I also gave her the

background, discussed the interview questions to my study and what I seek to achieve in this investigation. This was to assist her gain a better understanding of the research study.

4.8.2 Conducting the Interviews

The following steps were followed when conducting the interviews:

- Introduction of the researcher and her assistant.
- The letter granting the researcher permission from the municipality was shown to the study participants.
- The purpose of the research and how the interview information would be used was explained.
- It was explained to the study participants that the researcher was guided by the University Of Kwa Zulu-Natal Code Of Ethics for research.
- It was explained to the study participants that their identity will not be disclosed in any form in the study.
- Lastly, what was written on the consent form was interpreted to them in a simpler manner to make sure that they understood the contents before they signed.

4.8.3 Number of Participants Interviewed

The researcher had to set arrange interviews with the study participants, who were very difficult to get hold of; some of them cancelled the meetings as scheduled. This resulted in interviewing a limited number; for example, 13 participants were interviewed instead of 15 as scheduled. Thus a total of 24% of the total sample size was interviewed, which is larger than the minimum suitable size for qualitative studies as recommended by Grinnel and Williams (1990). Also, out of the 13 participants that were interviewed, only one agreed to be recorded; the rest did not want to be recorded. The researcher sought to record as much as possible during the interview, and a transcript report was compiled within 24 hours of the interview in order to ensure that a detailed report could be compiled.

In light of the above discussion on the number of participants interviewed, it means 24% of the study population was interviewed which is quite large compared to the 10% recommended by Grinnel and Williams (1990), that the study is using as basis.

4.8.4 Interview dates

The following section will outline the dates of interviews and where interviews were cancelled and where people refused to be recorded.

Table: 4.8.5

Interview date	Status
20 August 2017	Interview cancelled
28 August 2017	3 Interviews postponed to the 04 September 2017
29 August 2017	2 interviews postponed to the 07 September 2017 and one to the 09 September 2017
30 August 2017	Interview postponed 12 September 2017 and two on the 14 September 2017
31 August 2017	Interview postponed to the 16 September 2017, 18 September 2017 and 19 September 2017
01 September 2017	2 Interviews postponed to the 19 September 2017
04 September 2017	Interview was successful, but respondent refused to be recorded
04 September 2017	Interview was successful, but respondent refused to be recorded
04 September 2017	Interview was successful, but respondent refused to be recorded
07 September 2017	Interview successful, but respondent refused to be recorded.
07 September 2017	Interview successful, but respondent refused to be recorded
09 September 2017	Interview successful, but respondent refused to be recorded
12 September 2017	Interview successful
14 September 2017	Interview successful, but respondent refused to be recorded
14 September 2017	Interview successful and recorded
16 September 2017	Interview successful, but respondent refused to be recorded
18 September 2017	Interview cancelled

Interview date	Status
19 September 2017	Interview successful, but respondent refused to be recorded
19 September 2017	Interview successful, but respondent refused to be recorded
20 September 2017	Interview successful, but respondent refused to be recorded

4.9 Data analysis

Data analysis is a process of examining data to come up with important information to use (Straus 1987:50). According to Katz (1983:70), "qualitative data analysis is the process in which there is a transition from the raw data that have been collected as part of the research study and used to provide explanations, understanding and interpretation of the phenomena, people and situations that are currently being studied". Thematic analysis was used in this investigation since it is one of the most common forms of analysis in qualitative research. It emphasizes pinpointing, examining, and recording patterns within data (Cooper 1994:56). According to Cooper (1994:59) "themes are patterns across data sets that are important to the description of a phenomenon and are associated to a specific research question".

Boyatzis (1998:35) outlines the importance of thematic analysis, which is to come up with dataset that will give answers to the research questions that the study seeks to address. These patterns are identified through a rigorous process of data familiarisation, data coding, and theme development and revision (Boyatzis 1998:38). The benefit for making use of "thematic analysis" is that it is flexible theoretically (Braun 2006:52). According to Cooper (1994:78), it simply means that it can be used within different frameworks, to answer different types of research question. He further mentions that it suits questions related to people's experiences, views and perceptions (Cooper 1994:78). It's useful for this study because it a case study on perceptions.

In addition to that, policy implementation theory provided the basis for the analysis and the key themes derive out of a particular theoretical analysis.

The following key themes in Policy implementation were used as the basis of the analysis:

Theme one

Monitoring and evaluation

Theme two

Consultation with all stakeholders

Theme three

Setting Realistic targets

4.10 Research Limitations

The limitation of this study was that it a case study focusing on one municipality within South Africa. However, the findings can be used to inform the implementation challenges of similar municipalities in South Africa.

4.11 Conclusion

In conclusion, this chapter has given a brief definition on the research methodology. It further outlined the two methods which are quantitative and qualitative research methods, by giving a brief explanation on what each research method does, their uniqueness and which one the study is constructed upon. It further outlined the research problem which is the problem that the study seeks to address and the objectives of the study. It also presented the procedure taken when analysing data which is thematic analysis, since it is one of the most common forms of analysis in qualitative research. It emphasizes pin-pointing, examining, and recording patterns (or "themes") within data (Cooper 1994:56). Above all, we have in this chapter the overall strategy of the method used in the study, how it was utilised and the rationale for utilising it.

CHAPTER 5: RESEARCH FINDINGS AND ANALYSIS

5.1 Introduction

Data for this study was collected using the qualitative data collection method as described in Chapter 4. The qualitative data was collected using the interview method and was guided by a semi-structured interview schedule. Once the data was collected, the researcher prepared the information by taking all recorded data and inserting it in a transcript for easy analysis. Additionally data was grouped into themes that were identified in Chapter 4, namely, Monitoring and Evaluation, Consultation with relevant stakeholders and setting realistic targets. This chapter presents an overview of the data collected. It is presented by first outlining the background to Ingquza Hill Local Municipality, followed by the research findings and analysis, in an attempt to respond to the research objectives and research questions, namely:

- To examine the policy framework for water service delivery in South Africa.
- To identify the policy implementation framework for water service delivery in Ingquza Hill Local Municipality.
- To explore the challenges related to the implementation of the Free Basic Water Services Policy Ingquza Hill Municipality.

The following questions guided the investigation:

- What are the policy implementation frameworks for water service delivery in Ingquza Hill Local Municipality?
- What are the implementation challenges that the municipality faces when implementing the Free Basic Water Services policy?
- What are the challenges to the implementation of the Free Basic Water Services Policy in Ingquza Hill Municipality?

5.2 Background to Ingquza Hill Municipality

As mentioned in Chapter One, Ingquza Hill Local Municipality falls under OR Tambo District Municipality in the Eastern Cape (Ruiter 2010:86). According to Ruiter (2010:86), this municipality is located to the north west of the OR Tambo District and was established through the amalgamation of the former Lusikisiki and Flagstaff Transitional Local Councils and the surrounding rural areas, which fell under the Transitional Representative Councils. The seat of the Municipality is in Flagstaff and the municipal area

is divided into 31 wards (Ruiter 2012:87).The municipality is characterized by huge infrastructure backlogs and underdevelopment (IDP 2015:11). Therefore, as per the South African Local Government Association grading, the municipality is category B (IDP2016:11).

It is the vision of the municipality to create a developmental, economically viable and responsive municipality where communities enjoy equitable access to services in an environmentally sustainable manner (IDP 2015:6).The Municipality's mission is to facilitate the promotion of sustainable development by ensuring service delivery in a just, equitable manner, focusing on infrastructural, social services through a skilled, accountable, responsive administration that prioritizes community needs and good governance (IDP 2015:6).

The map below illustrates the areas that fall within Ingquza Hill Local Municipality.

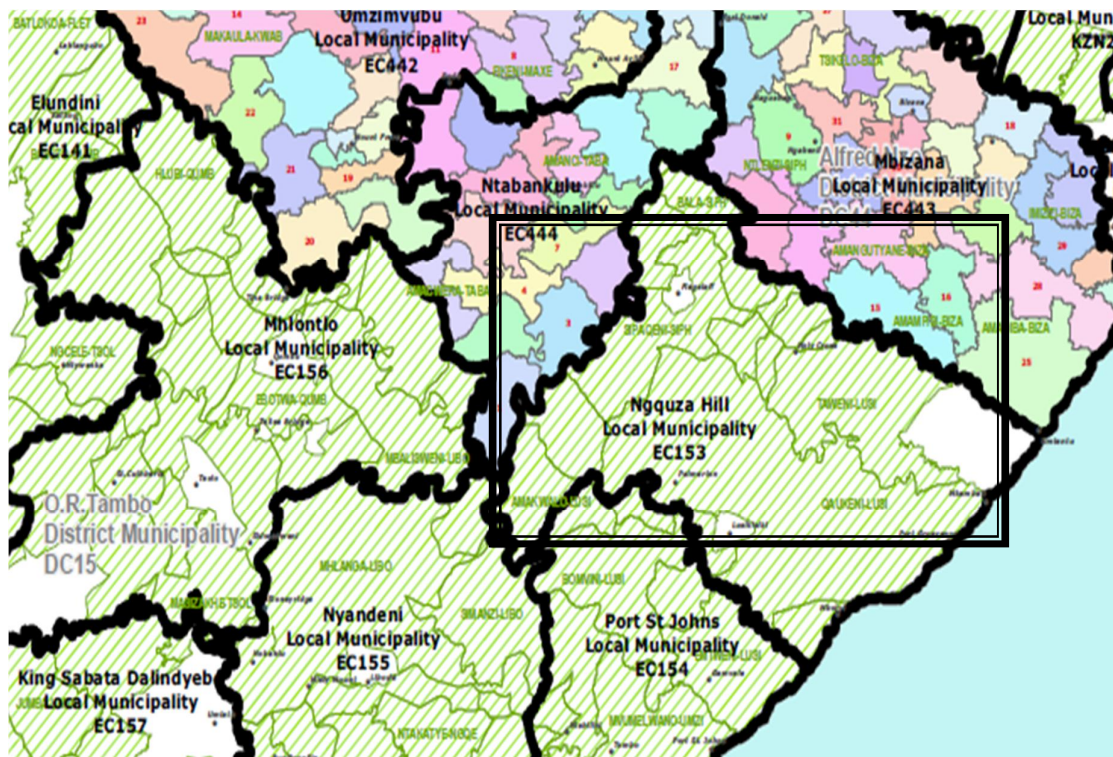


Figure 5.2.1: Ingquza Hill Local Municipality

Source: Demarcation Board (2011)

5.3 Analysis of the interview questions

The data to be presented in this particular section is that of the views of the Ingquza Hill Local Municipality as per the discussion contained in Chapter 4 of this research study. Initially, a total of 13 interviews were conducted out of 15 as scheduled. The study participants responded to a total number of thirteen structured interview questions. The participants were as follows: Municipal Manager Representative, Department of Infrastructure and Engineering services representative, three Executive Committee Members and 8 Ward councillors. The 13 respondents have been coded as follows: Municipal Manager Representative R-1, Department of Infrastructure and Engineering services representative R-2, Executive Committee member R-3 to R-5 and Ward Councillors R-6 to R-13. Data collected from these participants is mainly organized according to the themes that the study identified.

Three broad themes were identified from respondents' answers to the research questions. These include Monitoring and Evaluation, Consultation with relevant stakeholders and Setting realistic targets. Appendix 5 provide an outline of the interview questions that were asked of respondents.

5.3.1 Monitoring and Evaluation

The respondents in this study portrayed their understanding in relation to the questions of this theme.

Question 1

What is/are the key policy(ies) that guide service delivery within the municipality?

The Municipal Manager Representative noted the following:

“The Republic of South Africa Constitution is the service delivery guide that the municipality utilises” R-1.

The Department of Infrastructure and Engineering Services Representative noted the following:

“Service delivery Act is the service delivery guide” R-2.

Executive Committee Members outlined that the service delivery Act is considered to be a key provision of service delivery within the municipality R-3 to R-5.

Ward Councillors indicated that they do not know of any policy (ies) that guide service delivery within the municipality R-6-R-11.

Interpretation of the findings

Based upon the responded above, one can conclude the respondents above showed no understanding of a particular policy in place that guides service delivery within the municipality; some said it was the Service delivery Act, the Constitution of the Republic of South Africa and some respondents indicated that they do not know of any policy that guide service delivery within the municipality.

This is in contradiction with what has been mentioned in Chapter 1 of the research study that, according to the “Bill of Rights Chapter 2 of the Constitution of South Africa” Section 27(2), “the state has to take reasonable legislative measures within its available resources to achieve the progressive realization of the right which in this case is the right to access water”. The Framework on National Municipal Indigent Policies requires “municipalities to adapt an Indigent Policy” (Constantinos 2011:65). The Policy “is a legal imperative, a tool designed to ensure that persons and households classified as indigent have access to basic services as defined in the Constitution of the Republic of South Africa” (Act No 108 of 1996). This policy has to work in line with the water policy/basic service policy in place within the municipality.

However, it was found that the municipality under study only has the Indigent Policy. The Ingquza Hill Local Municipality Indigent policy seeks to clarify and secure the rights of individuals to basic services, as well as the public right to a healthy and sustainable environment. The policy intended to benefit all indigent people residing within the boundaries of Ingquza Hill Local Municipality (Indigent Policy 2012:3). According to this Indigent Policy, there is no strict definition of “Indigent people” that can be held valid to be generally valid in their literature (Ingquza Hill Local Municipality Indigent Policy 2012:3).

For the Municipality to have an Indigent policy without any basic services policy in place, is actually in contradiction to the overall purpose of an Indigent policy. This shows the policy inconsistencies that exist within the municipality, not having the correct measures in place to address the challenges that the municipality is currently faces.

Question 2

What is the current status of water service delivery in the Municipality?

The Municipal Manager Representative said that *“Things are still bad they are not there yet”* R-1.

The Department of Infrastructure and Engineering Services representative said that *“The current status of water service delivery is very bad”* R-2.

Executive Committee Members indicated that the status of water service delivery in the municipality is very bad, since most of the areas in the municipality do not have access to clean water - R-3 to R-5.

Ward councillors shared the same sentiments in this regard by stating that the current status of water service delivery in the municipality is very bad R-6 to R-13.

Interpretation of the findings

Based upon the responses above on question 2, one can conclude that the current status of water service delivery within the municipality is very bad. As it has been mentioned above, by Ruiters (2012:89), that the overall percentage of the population with no access to tap/piped water in the year 2001 and 2011. The figures stipulated the following: in 2001, 79.0% of the population did not have access to tap/piped water and the percentage dropped to 69.2% in 2011. The Ingquza Hill Local Municipality IDP (2015/2016) further outlined that water and sanitation is still a challenge in this municipality. Based on this rationale, the backlogs of water service delivery in this municipality have not yet been dealt with.

Question 3

What steps have been taken to administer the policy implementation of water service delivery in Ingquza Hill Local Municipality?

Municipal Manager Representative indicated that *“There is a committee in place that deals with issues of policy implementation for the municipality. It addresses the issues of policy implementation”* R-1.

With regards to the research question above, the Department of Infrastructure and Engineering Services representative indicated that they have a committee in place that deals with issues of policy implementation for the municipality R-2.

Executive Committee Members clearly outlined that there are no steps that have been taken by the municipality to administrator the policy implementation of water service delivery - R-3 and R-4.

Ward Councillors indicated that there is a committee in place that deals with the issues of policy making and implementation within the municipality; however, some indicated that they do not know the day-to-day duties of this executive committee - R-6 to R-10.

Interpretation of the findings

Based upon the responded above on question 3, one can conclude there is a committee in place that seeks to administrator the implementation of the water services. As mentioned in Chapter 2, effective policy implementation requires proper administration measures to be in place, which contributes to an effective monitoring and evaluation. With the perusal of the documents it was also found that the municipality under study is under-performing when it comes to the delivery of services to its people (The Auditor General Report 2012/2013). The report further indicated that when the municipality is under-performing, it means that it does not have proper administration measures in place. The Auditor General Report 2012/2013 also recommended that in addressing this challenge, the municipality requires a coordinated approach in the administration of service delivery. Based on this rationale, the municipality does not have proper administration measures in place to facilitate effective policy implementation.

Question 4

What is the status of the municipality when it comes to the implementation of Free Basic Water Service policy?

The Municipal Manager Representative mentioned that the current status is very bad and the municipality is trying to address it; however, they cannot provide the process for now as everything is still at the planning stage.

The Department of Infrastructure and Engineering services representative said: *“the status is very bad within the municipality. Water service delivery is something we hear about and see happening in some areas. Within the municipality there is still a long way to go. River and dam water is the only hope that people fully relay on especially in rural areas within the municipality”. People are left hopeless”*R-2.

Executive Committee Members stated that: *“the current status is very bad”* R-3.

Ward Councillors outlined that the current status is very bad, meaning they are not anywhere close to the implementation of free basic water service delivery - R-6 to R-13.

Interpretation of the findings

Based upon the responded on question 4, one can conclude the municipality is nowhere close in implementing the free basic water service policy. With reference to Ingquza Hill Local Municipality IDP 201/2015, it was also found that the municipality does not have a Water Sector plan outlining the status and the progress made in the delivery of water services within the municipality. It have been noted that the underlining factors of these challenges were the inheritance of insignificant basic service backlogs and its organisational configuration. Based on this rationale, Ingquza Hill Local Municipality is struggling to implement the policy, since there is not even a plan in place. This also showed the lack of monitoring and evaluation measures in place to measure the progress that the municipality has made thus far. In addition, in Chapter 2 it has been outlined that monitoring and evaluation is very important when it comes to policy implementation.

Question 5

In your opinion are the staff members that are responsible for the management of the implementation of the Free Basic Water Service Policy adequately skilled?

The Municipal Manager Representative indicated that staff members responsible for the implementation of free basic service policy need to be up skilled, so that they can be able to manage and implement the policy - R-1.

The Department of Infrastructure and Engineering Representative outlined that the committee that deals with policy implementations is not as active as it should be: *“On my side I am not seeing much impact as it should. For instance, I am not part of that committee but when I have a conversation with some of the people from that committee; some of them are always clueless”*R-2.

Executive Committee Members indicated that the staff members managing the implementation of free basic water policy needs to be up skilled in order for them to fully facilitate the entire process in achieving successful results.

Ward Councillors outlined that the staff members responsible for the implementation of water service delivery need to be skilled, including themselves, as they are not fully aware of what constitutes policy implementation - R-6 to R13.

Interpretation of the findings

Based upon the responded on question 5, one can conclude that the staff members responsible for the implementation of free basic service policy need to be up skilled. In this case, since the municipality does not have this policy in place, they were referring generally to any policy implementation that takes place within the municipality. Another important aspect of monitoring and evaluation in policy implementation is human resources. This means that the municipality needs to also address the challenge of human resource in order to achieve its ultimate goal one day. As mentioned in Chapter 2, knowledgeable people play a very important role in policy implementation in any organisational setting.

The following section serves to refute the research findings. Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders an on-going development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds (Public Service Commission 2008:3). According to the Public Service Commission (2008:4), evaluation is the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. Maznanian and Sabatier (1983:4) mention that policy evaluation is the stage of the policy process at which it is determined how a public policy has actually fared in action. According to Fischer and Miller (2006:63), evaluation is a tool for learning and to enable better management. Maznanian and Sabatier (1983:324) state that the aim of monitoring and evaluation is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability.

5.3.2 Consultation with relevant stakeholders

According to Broadribb (2011), stakeholder consultation is really about initiating and sustaining constructive external relationships over time. He further mentions that different organizations sometimes use different terminology, be it consultation, public consultation, or public participation, to express similar concepts and principles. Additionally, policy implementation requires perfect co-operations (Pressman and Fischer 2006:89).

According to Mazmanian and Sabatier (1983:221), *de*coordination is a term that is called upon for a solution to implementation problems. When a policy is uncoordinated this means that its elements are not congruent, or that they do not interact smoothly to produce the desired results (Mazmanian & Sabatier 1983:234). Issues that have to do with policies increasingly require certain types of *de*coordination the following will outline core values of public participation (O'Toole 1993: 234). The core values of Public Participation are as follows:

- The public should have a contribution in decisions about actions that could affect their lives.
- Public participation includes the promise that the general public's contribution will influence the decision.
- Public participation promotes sustainable decisions by communicating the needs and interests of all participants, including decision makers.
- Public participation facilitates the involvement of those potentially affected by or interested in a decision.
- Public participation makes the information available to the people so that they can be part of the decision making in a proper way.

In addition, the process of implementing a policy is seen as *de*complex and highly interactive, as outlined above (Mazmanian & Sabatier 1983: 6). According to Kickert, Klijn and Koppenjan cited in Mazmanian and Sabatier (1983:5), policy is made in complex interaction processes between a large numbers of actors which take place within networks of independent actors. This is because policy implementation calls for consensus building, the participation of key stakeholders, conflict resolution, and compromise (Mazmanian and Sabatier 1983:6). As mentioned in Chapter 2, implementation of the policy often relies on the collaboration between two or more organisations (O'Toole & Montjoy 1984:492). It is for this reason that consultation with relevant stakeholders is important in an effective policy implementation environment.

The respondents below portrayed the level of Consultation with relevant stakeholders in the Municipality, as well as their knowledge of measures in place to encourage public participation in encourage the implementation of free basic water service policy.

Question 1

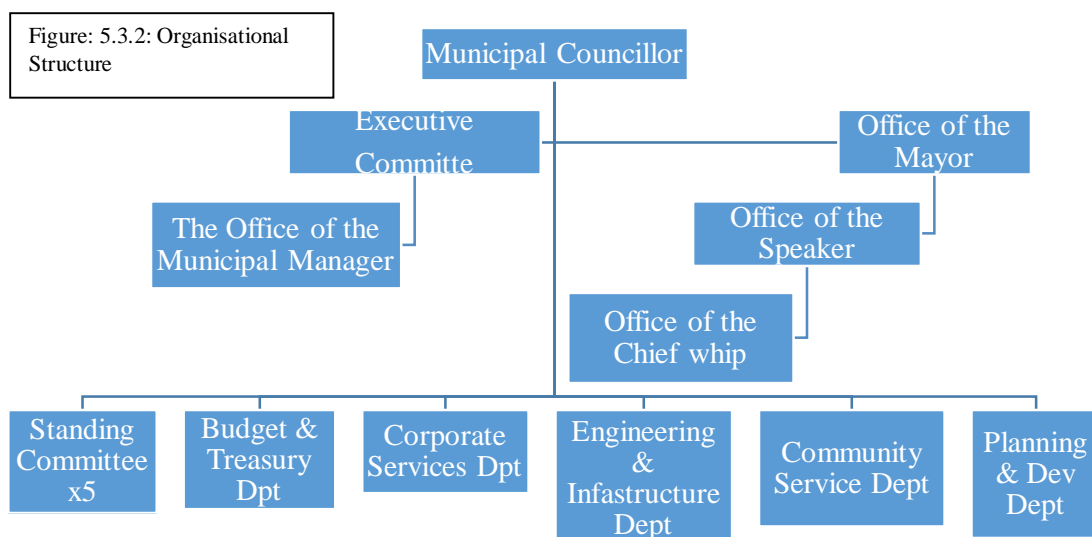
Who are the main government actors in the delivery of water services in the Municipality? (Comment on structure)

The respondents outlined that the government actors in the delivery of water services in the municipality is the Department of Infrastructure and Engineering services working together with the OR Tambo district municipality.

Interpretation of the findings

With reference to the above responded, one can conclude that the Council and Executive Committee members are responsible for the implementation of the policy (ies) within the municipality (Ingquza Hill Local Municipality IDP 2014/2015). However, in the responses above, it showed that this committee is not as effective as it should be, which then limits the achievement of the effective policy implementation. As mentioned in Chapter 2, in order for an organisation to achieve effective policy implementation, there should be an effective structure in place to administrator the process and make recommendations.

The organisational structure below illustrates the structure of the municipality. The importance of this is to see main government actors in the delivery of water services within the municipality, if there are any.



The organisational structure illustrated above indicates that there are 5 departments within the municipality aligned in the form of Sub-National government key performance areas, with

the Directors being the Administrative Head of the Department and Portfolio Head being the political Head (Ingquza Hill Local Municipality IDP 2014/2015). The Ingquza Hill Local Municipality IDP 2014/2015 further indicated that the Municipal Council and Executive Committee's function is to govern the policy making process and to oversee the implementation process within the council. Lastly, the organizational structure presented above also indicates that there is no department that deals specifically with the issues of water service delivery within the municipality (IDP 2014/2015).

Question 2

Are there mechanisms in place to encourage co-operation between these government main actors? Expand?

Municipal Manager Representative R-1 highlighted that:

"We do not have any mechanisms in place to encourage co-operation with relevant stakeholders".

The Department of Infrastructure and Engineering services representative R-2 highlighted that:

"Public participation is a mechanism in place to encourage co-operation with government actors, even though it might not be visible as it should be".

The Executive Committee Members stated that:

"We wouldn't call them mechanism in place to encourage co-operation with the government actors because whatever is being used is not effective enough" R-4.

Ward Councillors stated that:

"Communication between the municipality and the district municipality as what we rely on now, even though it's not a smooth communication" R-6.

Interpretation of the findings

Based upon the responded above, one can conclude that Ingquza Hill Local Municipality does not have any mechanism in place that encourage co-operation with government actors. As mentioned in Chapter 2, co-operation is very important in order to achieve effective policy implementation. Since policy implementation is a very interactive process,

co-operation needs to be encouraged at all times (Mazmanian and Sabatier 1983: 6). Based on this rationale, the municipality is very far from achieving effective policy implementation.

Question 3

Are there any public participation mechanisms that the Municipality employs to engage the community? Expand?

Municipal Manager Representative highlighted IMBIZOs as the only public mechanism tool that the municipality employs to engage the community - R-1.

The Department of Infrastructure and Engineering services representative highlighted that Community consultations is the mechanism in place to engage with the community, even though they would not know how often they do them or how effective they are - R-2.

Executive Committee Members noted that *“The only mechanism used by the municipality to engage with the community is the IDP consultations; this is the only time touch base on such issues other than that there is nothing”* - R-3 to R-5.

Ward Councillors noted that *“we are not aware of any mechanisms in place that the municipality utilises to engage with the community”* - R-7-R-13.

Interpretation of the findings

With reference to the above responses, one can conclude the municipality does not really have a standard public participation mechanism that it uses to engage with the community. The study participants as outlined above mentioned IMBIZO as the only public participation mechanism, which only happens yearly during the IDP consultations. Based on this rationale, the municipality cannot have an effective policy implementation with the absence of a proper public participation mechanism. As mentioned in Chapter 2, in order for an organisation to achieve ‘effective policy implementation’, there should be mechanisms in place to engage with the community; without this the municipality is unlikely to achieve effective policy implementation (Mazmanian and Sabatier 1983:5).

5.3.3 Setting realistic targets

Setting realistic targets is one of the steps taken towards creating and implementing measurable action plans (Backoff, Wechsler, Robert and Crew 1993:145). It does not only provide direction but also motivates and encourages affected parties to participate by creating a common purpose (Backoff, Wechsler, Robert and Crew 1993:145). Setting realistic targets

is also about allocating resources and minimising wastage (Backoff, Wechsler, Robert and Crew 1993:145). As per the Public Finance Management Act 1 of 1999 (1999:13), government departments are urged to minimise waste at any level. Also the overall purpose of this Act is to promote good financial management in order to maximise service delivery through the effective and efficient use of the limited resources (Public Finance Management Act 1 of 1999:14). When setting realistic targets, it is important to note that they have to be SMART: the targets must be specific, measurable, attainable, realistic and time bound (Backoff, Wechsler, Robert and Crew 1993:145).

Question 1

What are the key goals for water service delivery (short-, medium- and long-term goals)?

The Municipal Manager Representative noted that *“One of our key goals is to be able to provide water supply to our people, in all to be able to provide water service delivery in all areas of our municipality”* - R-1.

The Department of Infrastructure and Engineering representative said *“To be able to provide water service delivery to all areas of our municipality. For now what we do we try to provide them water when they have events like funerals, by sending one truck to that particular family. The sad part is that we only provide them with water when there’s a funeral”* - R-2.

Executive Committee members said:

“I wouldn’t say we have the short, rather the medium to long term goals, which are to be able to provide water service delivery to our people to make sure everyone one in the municipality, be it in deep rural areas to have access to basic clean water. Reason being water is life and I hope the OR Tambo district will assist in making this possible” - R-3 to R-5.

Ward Councillors said:

“Ever since I became part of the councillor water supply to our people has been the top priority, but what saddens me is that there is no much action taken in making sure that our goal is achieved, I sometimes feel we all talk and talk but we do not deliver to our people” - R-6.

“Our key goals is to provide water safe drinking water to our people, this can be done by having a department that will address the issues of water supply”- R-7.

“To be honest with you we only have one goal for water service delivery, which is to provide water to our people. It’s a very big task but we hope one day we will achieve it” -R-8.

“Our goal is to improve service delivery and water supply in our municipality”- R-9-11

Interpretation of the findings

With reference to the above responses, one can conclude that the municipality does not have any mechanism in place outlining its overall goals on water service delivery. This means that the municipality does not have a tool to assist it in setting realistic targets so that it can achieve their overall goal, to create a developmental, economically viable and responsive municipality where communities enjoy equitable access to services in an environmentally sustainable manner (IDP 2015:6). Based on this rationale, it is impossible for a municipality to achieve effective policy implementation.

5.4 Analysis of findings

This particular section seeks to interpret and provide an integrated discussion of both primary qualitative data collected and secondary data by analysing existing data such as historical documents and government legislation. This section demonstrates the extent to which all obtained data answered the questions, and hence, achieved the accompanying set of objectives. In addition, the section aimed to provide a comprehensive and robust analysis of the findings obtained from this research study.

Drawing from the above presentation on the research findings and the general analysis of the findings in the previous section, this study found that:

The municipality does not have key policy (ies) that guide service delivery. Also the current status of water service delivery in the municipality is very bad about 69.3% of people still do not have access to water (Ruiter 2012:89). It has also been identified that the municipality does not have steps to administer the policy implementation of water service delivery. According to Matland (1995:56), policy implementation is thus about the process of change and putting into action decisions made to address certain problems or issues through policy. This means that in the absence of these steps, the municipality is not addressing any problems. According to Levitt (1980:45) failure in a policy is mostly resulted to the failure of

implementation. Hence, in the municipality understudy, the free water basic service policy is not being implemented.

It was also found that the staff members responsible for the implementation of the free basic water service policy need to be up skilled so that they can tackle issues of policy implementation. This could be another contributing factor to the lack of implementation of the policy.

In addition, it was also found that there is no clear indication as to who is the municipality's main government actor in the delivery of water services in the municipality. Even though OR Tambo district municipality has been mentioned to be the only government actor, there is no written plan that stipulates their relationship and distribution of duties. This also shows a lack of coordination of the delivery of water services within the municipality. According to Mazmanian and Sabatier (1983:221), coordination 'is a term that is called upon for a solution to implementation problems'. 'If a policy is uncoordinated this means that its elements are not congruent, or that they do not interact smoothly to produce the desired results' (Mazmanian and Sabatier 1983:234). In this case, it is evident that by not having a clear vision as to who their main government actors and what they are they expected to do, has an impact on the implementation of the free basic water service policy.

This also shows us that the municipality seems to be using the Top-down approach to policy implementation. According to Parsons (1995: 467), the 'weakness of this approach is that it does not take into account the role of other actors in the implementation process'. Hence there is no plan in place for implementation of the free basic water service policy. It was also found that the municipality does not have any public participation mechanism to engage the community in its decision making. The municipality does not have any clear key goals for water service delivery even though there is a committee in place to deal with issue of policy implementation. This shows the lack of setting realistic targets as mentioned in Chapter 5 of the research study. Furthermore according to the Global Insight Report (2009:10), 'the lack of water services and sanitation is a public health crisis and it deprives people their right to live in dignity'. This is one of the shortfalls that the municipality is faced with of not being able to provide water services to the people. This means that the community's needs are not being catered for as per the Local Government Municipal System Act (Act 32 of 2000).

5.5 Conclusion

From the above discussion on research findings and analysis, we can see the importance of policy implementation and how it affects the policy successes and failures. As outlined in Chapter 2 by Parsons (1995:461), policy implementation is the study of change, that is, how change occurs, how it may be induced; it is also a study of the micro-structure of political life, meaning that it looks at how organisations inside and outside the political system conduct their affairs and interact with one another. However, the weakness as has been identified by Montjoy and O'Toole (1979), is that often institutions find it difficult to translate public policy into required action. This is why effective policy implementation is important in any institution. This is also what has been found in the research study regarding the municipality's inability to translate public policy into required actions.

CHAPTER 6: CONCLUSION

6.1 Introduction

The aim of the study was to investigate the implementing the Free Basic Water Service Policy in Ingquza Hill Local Municipality. The overall objective was to obtain the perceptions from the Department of Infrastructure and Engineering services within Ingquza Hill Local Municipality, from ward councillors and Executive Committee members, and in so doing, to identify the gap and issues in policy implementation in Ingquza Hill Local Municipality. In addition, the research objectives were broken down into the following:

- To examine the policy framework for water service delivery in South Africa.
- To identify the policy implementation framework for water service delivery in Ingquza Hill Local Municipality.
- To explore the challenges related to the implementation of the Free Basic Water Services Policy Ingquza Hill Municipality.

To make sure that the objectives of the research were met, specific questions were posed in the interview questions:

- What are the policy implementation frameworks for water service delivery in Ingquza Hill Local Municipality?
- What are the Implementation challenges that the municipality faces when implementing the Free Basic Water policy?
- What are the challenges to the implementation of the Free Basic Water Services Policy in Ingquza Hill Municipality?

In light of the above objectives, several themes emerged from the theoretical framework that will be used to provide a conclusion. It will be presented under the key themes that were identified as follows: Monitoring and Evaluation, Consultation with relevant stakeholders and Setting realistic targets.

6.2 Key Themes

Theory and literature revealed that these elements are the key for effective policy implementation.

6.2.1 Monitoring and Evaluation

In Chapter 2 of the research study, Monitoring and Evaluation is an ongoing function that uses efficient collection of data on specified indicators to provide management and the main stakeholders of the progress of objectives that the organisation have identified and allocated its funds to (Public Service Commission 2008:3). It was revealed that Ingquza Hill Local Municipality does not have any monitoring and evaluation measures to measure the progress that the municipality has made thus far. Based on this, one can conclude that poor policy alignment in this municipality is caused by the absence of such measures in place which can assist in addressing the backlogs that it is currently facing. The theory revealed that in the absence of monitoring and evaluation in any organisation, it cannot achieve effective policy implementation; hence the municipality is nowhere close to implementing the Free Basic Water Service Policy.

6.2.2 Consultation with relevant stakeholders

Consultation with relevant stakeholders is really about instigating and satisfying constructive external relationships over time (Broadribb 2011). Broadribb (2011) further mentions that different organizations sometimes use different terminology, be it public participation to express similar concepts and principles. Pressman and Fischer (2006:89) state that implementation requires perfect co-operations mechanisms in place. In light of this, the study revealed that the municipality under study does not have a clear understanding on their stakeholders in terms of service delivery and that there are no measures in place to encourage co-operation with the relevant stakeholders. As mentioned in the theoretical framework chapter, identifying and consultation with the relevant stakeholders in policy implementation is very vital because every party will know their roles and what is expected of them. One can conclude that the municipality is not clear as to who their main stakeholders are and there are no measures in place to encourage co-operation. This means that the municipality can never be able to successfully implement the Free Basic Water policy or, in fact, any policy that has to do with service delivery.

6.2.3 Setting realistic targets

Setting realistic targets is one of the steps taken towards creating and implementing measurable action plans (Backoff, Wechsler, Robert and Crew 1993:145). It does not only provide direction, it also motivates and encourages affected parties to participate by creating a common purpose (Backoff, Wechsler, Robert and Crew 1993:145). This is also in line with

what has been mentioned in Chapter 2 of the study, that effective policy implementation in any organisation requires setting achievable targets. However, the study revealed that the municipality under study, as far as water service delivery is concerned, has no documented plan of achievable goals. One can conclude that the municipality is struggling with putting theory into practice. This is what has been mentioned in Chapter 2 of the research study that many organisations still struggle with putting theory into practice when it comes to policy implementation. Another contributing factor as to why the municipality is struggling in implementing the Free Basic Water Policy, is that it is struggling to understand the importance of this policy.

6.3 Conclusion and Recommendations

There are three concluding observations worthy of special consideration: firstly, there are no proper measures to guide the implementation of the free basic water service policy; secondly, there is a lack of coordination or rather consultation with relevant stakeholders in addressing the challenges of the implementation of the free basic water service policy, and thirdly, there is a lack of capacity to administer the policy. Furthermore, as it has been mentioned in Chapter 3 of the literature review, that Free Basic Water Policy is the agreed minimum standard of water supply to households including informal households (Water service Act, Act 108 of 1997). The Free Basic Water Policy was intended to ensure that no one is denied access to water supply, because they are unable to pay for it. Also, it is the responsibility of the municipality to properly understand and implement the policy. The municipal inability to provide the community with the water services has been identified as one of the shortfalls of service delivery.

Based on this rationale, the municipality does not understand the importance of implementing this policy. This is also evident in what have been found in the data collected: the municipality firstly does not have policy implementation frameworks for water service delivery. Secondly, the municipality is nowhere close to implementing the free basic water service policy, due to issues of finance and human resource challenges. Thirdly, the municipality does not have a structure in place to address the issues of the implementation of the free basic water service policy. It was also revealed that there is a gap between theory and practice on policy implementation within the municipality under study.

Lastly, the study recommends that in order for the municipality to address the identified gaps outlined above, it should do the following:

Use a mixed method approach on policy implementation, for example, not only to focus on the top-down approach. As mentioned in Chapter two in the research study, both these methods namely, top-down and bottom- up approach are more effective in policy implementation if they are used in conjunction with the other. In addition, policy implementation is an interactive process (McLaughlin 1987: 174), and the municipality needs to make use of the themes identified in the study to address the current challenges they are faced regarding policy implementation of free basic water service policy. Lastly, drawing from the findings, a strategic policy direction is recommended.

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Appendix I: INTERVIEW SCHEDULE

SEMI STRUCTURED INTERVIEW SCHEDULE

Interviewee: í í í í í í í í í í í í í í í í .
Date: í í í í í í í í í í í í í í í í í í í .
Start Time: í í í í í í í í í í End Time: í í í í í í í í í í
Place/setting: í í í í í í í í í í í í í í í í í í .

- What is the key policy (ies) that guide service delivery within the municipality?
- Of these, which are considered to be key for provision of water?
- What is the current status of water service delivery in the Municipality?
- What are the key goals for water service delivery? (short, medium and long term goals?)
- Who are the main government actors in the delivery of water services in the Municipality?(Comment on structure)
- Are there mechanisms in place to encourage co-operation between these government main actors? Expand?
- What steps have been taken to administrator the policy implementation of water service delivery in Ingquza Hill Local Municipality?
- What is the status of the municipality when it comes to the implementation of Free Basic Water Service policy?
- Are there any public participation mechanisms that the Municipality employs to engage the community? Expand?
- In your opinion what can be done to improve the current status of free basic water policy?
- What are the strengths, weaknesses, opportunities and threats that the municipality faces when implementing the free basic water policy?
- In your opinion are the staffs that are responsible for the management of the implementation of the Free Basic Water Service Policy adequately skilled?
- What type of training do they require to improve the implementation of the policy?

APPENDIX II: CERTIFICATE OF PROOF READING

TO WHOM IT MAY CONCERN

4 December 2017

EDITING CERTIFICATE

This dissertation, entitled **IMPLEMENTING THE FREE BASIC WATER SERVICE POLICY: PERCEPTIONS FROM THE INGQUZA HILL MUNICIPALITY**, has been edited to ensure technically accurate and contextually appropriate use of language for publication.

Yours sincerely

A handwritten signature in blue ink, appearing to read 'CM Israel', with a stylized flourish underneath.

CM ISRAEL
BA Hons (UDW) MA (UND) MA (US) PhD (UNH)
Language Editor