

# Performance monitoring and evaluation of metropolitan municipalities in Gauteng, South Africa

By

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Kgosi Maepa [Pretoria, South Africa 2014]

## II. DECLARATION

I hereby declare that all the work done in this research study [Performance monitoring and evaluation of metropolitan municipalities in Gauteng, South Africa] is my own original work that was done independently without assistance. All the sources used were referenced using the Harvard method of referencing.

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Signature [Kgosi Lucas Maepa]

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Date

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### III. ABSTRACT

The research study has been undertaken to assist metropolitan municipalities in Gauteng, South Africa with a conceptual framework and guide in terms of how they should conduct performance monitoring and evaluation [PME], Impact Evaluation (IE) – of the United Nations [UN] Millennium Development Goals [MDGs] with regards to the provision of minimum basic service in Urban Informal Settlements [UIS] in the three identified metropolitan municipalities of Ekurhuleni, Johannesburg and Tshwane.

In pursuit of meeting the objectives of this study, both qualitative and quantitative studies were conducted. Important salient thematic analysis regarding performance monitoring and evaluation were located in existing legislation, public administration texts and in other management theories associated with the discipline and domain of Public Administration.

The study has seven objectives:

- a) to locate the concept of performance monitoring and evaluation [PME] in the Discipline of Public Administration;
- b) to discuss and extrapolate the essence of PME, analyse the policy framework that guides PME systems in the South African context and in particular the local sphere of government;
- c) to discuss the international PME systems in the public sector and consider lessons that are relevant for the South African environment;
- d) to analyse and discuss the local sphere of government before and after democratic rule in South Africa with special reference to the evolution of local government legislation;
- e) to discuss and extrapolate current issues in the South African local government sphere with special focus on community participation, municipal demarcation concerns, protest action in municipalities;
- f) to conduct an empirical study, investigate and compare using two sets of survey questionnaires - by assessing the Impact Evaluation [IE] on the delivery of basic

- minimum services [i.e. electricity, water, sanitation and waste collection/removal] in the three identified municipalities against set targets determined by Statistics South Africa Census 2001&2011; Housing Development Agency [HDA] of the Department of Human Settlement [DHS] and Millennium Development Goals [MDGs] – in the South African context; and
- g) to discuss practical considerations in institutionalising PME processes in local government and propose recommendations with guidelines for an effective and efficient PME system in the local government sphere in Gauteng, South Africa.

In achieving these objectives, the ultimate aim of the Thesis is to make recommendations for an effective and efficient PME system in the local government sphere in Gauteng, South Africa – which will ensure that the performance monitoring and evaluation introduced by the South African government, through the “Government-wide Monitoring and Evaluation system” [GWM&E] under the Department of Performance Monitoring and Evaluation [DPME] in municipalities and in particular metropolitan municipalities in Gauteng Province - affects delivery of minimum basic services in informal settlements.

Sample surveys were preferred in the method. The purpose of a sample survey is to collect standardised information from a carefully selected sample of respondents. This type of survey is carried out by means of a *structured instrument* such as a questionnaire or observation guide – for purposes of the current study, a structured questionnaire was used. Sample surveys are appropriate when the research design requires comparable information about a relatively large number of subjects – which is the situation in UIS. A total of 395 surveys were conducted, analysed and processed from the three metropolitan municipalities. The sample consists of three city managers and 392 randomly selected participants in UIS in the three selected metropolitan municipalities of Ekurhuleni; Johannesburg and Tshwane.

A cluster sampling technique has been selected for the purpose of this study. The sample population in UIS was divided into groups or clusters, and random samples of these clusters were selected. All observations and determinations in the selected clusters were then included

in the sample frame. UIS that are 20 years and older and not yet formalised were specifically selected and a random sample of the required sample selected per metropolitan municipality.

Since the researcher cannot get a complete list of the members of a population to study but can get a complete list of groups or 'clusters' of the population – cluster sampling was selected. In the case of UIS, information on the population is not readily available as a result of in-and-out migration. The random sample produced a list of subjects so widely scattered that surveying them would prove to be far too expensive – that is the reason why cluster sampling was used in the empirical study.

In this study, a two-stage cluster sampling technique was used, which means that a simple case of multistage sampling was obtained by selecting cluster samples in the first stage and then selecting a sample of elements from every sampled cluster in the second stage. Questionnaires were then administered; results processed; analysed and recommendations made.

In sum, practical considerations in institutionalising PME processes in local government and recommendations for an effective and efficient PME system in the local government sphere in Gauteng, South Africa have been outlined. The recommendations were proposed in a context of an urban informal settlement [UIS] environment - to check how the South African government policy “Government-wide Monitoring and Evaluation system” [GWM&E] at a municipality - affects efficient and effective delivery of minimum basic services in urban informal settlements.

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## VIII. LIST OF ACRONYMS AND ABBREVIATIONS

AfrEA – African Evaluation Association

APRM – African Peer Review Mechanism

BJR – Business Judgement Rule

CoE – City of Ekurhuleni

CoG – Cooperative Governance

CoGTA – Cooperative Governance and Traditional Affairs

CoJ – City of Johannesburg

CONEVAL – Consenjo Nacional de Evaluación de la Política de Desarrollo Social

CoT – City of Tshwane

CSG – Child Support Grant

CWIQ – Core Welfare Indicators Questionnaire

DPME – Department of Performance Monitoring and Evaluation

DMAs – District Management Areas

DoRA – Division of Revenue Act

DWA – Department of Water Affairs

ESRC - Economic and Social Research Council

FPPI – Framework for Programme Performance Information

GAO - Government Accountability Office

GCIS – Government Communications and Information Systems

GCRO – Gauteng City Region Observatory

GDP – Gross Domestic Product

GGLN – Good Governance Learning Network

GPG – Gauteng Provincial Government

GWM&E – Government-wide Monitoring and Evaluation

IDP – Integrated Development Plan

IE – Impact evaluation

IEG - Independent Evaluation Group

IDEAS – International Development Evaluation Association

3ie – International Initiative for Impact Evaluation

IOCE – International Organisation for Cooperation in Evaluation

ISUPBP – Informal Settlements Upgrading Programme Business Plan

LGTA – Local Government Transition Act

MDB – Municipal Demarcation Board

MEC – Member of Executive Committee

MFMA – Municipal Finance Management Act

MIG – Municipal Infrastructure Grant

MoF – Ministry of Finance

NDP – National Development Plan

NGO – Nongovernmental organisation

NPM – New Public Management

NEPF – National Evaluation Policy Framework

NSF - National Science Foundation

OECD – Organisation for Economic Co-operation and Development

OMB - Office of Management and Budget

PART - Programme Assessment Rating Tool

PEPs – Portfolio evaluations plans

PME – Performance monitoring and evaluation

PPP – Public Private Partnership

PSC – Public Service Commission

ReLAC – Red de Seguimiento, Evaluación Sistematización en América Latina Caribe

SALGA – South African Local Government Association

SAMEA – South African Monitoring and Evaluation Association

SDBIP – Service Delivery and Budget Implementation Plan

SANC – South African Cities Network

SSA – Statistics South Africa

SASQAF – South African Statistics Quality Framework

ToC – Theory of chance

UIS – Urban Informal Settlement

UK – United Kingdom

UN – United Nations

USA – United States of America

USAID – United States Agency for International Development

QoLS – Quality of life survey

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## CHAPTER 1: INTRODUCTION

### 1.1. The local sphere of government in the South African context

When describing the local sphere of government in the South African context, it is important to refer to the actual mandate of local government as outlined in the preamble of the *Local Government: Municipal Structures Act, 117 of 1998* - it states that:

*A vision of democratic and developmental local government in which municipalities fulfill their Constitutional obligations to ensure sustainable, effective and efficient municipal services, promote social and economic development, encourage a safe and healthy environment by working with communities in creating environments and human settlements in which all our people can lead uplifted and dignified lives.*

According to the South African Constitution, the local sphere of government is given effect by section 151 (1). The section indicates that the local sphere of government consists of municipalities, which must be established for the whole of the territory of the Republic. It is also noted in section 151 (1) that the executive and legislative authority of a municipality is vested in its municipal council. Thus, a municipality has the right to govern, on its own initiative, the local government affairs of its community, subject to national and provincial legislation, as provided for in the *Constitution in section 151 (1)*. However, the national or a provincial government may not compromise or impede a municipality's ability or right to exercise its powers or perform its functions.

The *Constitution in section 152 (1)* describes the objects of local government as follows:

- i. to provide democratic and accountable government for local communities;
- ii. to ensure the provision of services to communities in a sustainable manner;
- iii. to promote social and economic development;
- iv. to promote a safe and healthy environment; and

- v. to encourage the involvement of communities and community organisations in the matters of local government.

The interpretation is that a municipality must strive, within its financial and administrative capacity, to achieve the objects set out in section 152 subsection (1). Other descriptions of local government find expression within the spirit of the Constitution, according to Koma (2010: 113), local government could be described as public organisations authorised to manage and govern the affairs of a given territory or area of jurisdiction. It refers to a sphere of government, and not an individual municipality. All the individual municipalities in South Africa make up the collective sphere, known as local government (Roux, 2005: 64).

Part B of Schedule 5 [exclusive provincial competence] of the 1996 Constitution, identifies the following services that fall within the ambit of the sphere of local government and its constituent municipalities. These are: water, electricity, town and city planning, road and storm water, waste collection, emergency services, for example, fire-fighting, licenses, fresh produce market, parks and recreation, security, libraries and economic planning. For purposes of this study, minimum basic services means: *water, sanitation, electricity, waste management*.

Municipalities are required to develop the communities they serve (*cf* sections 152(1)(c) and (e) of the Constitution, 1996) (Thornhill, 2006(a): 319). The core function of municipalities is the rendering of a variety of basic but essential services to the community within its jurisdiction. (Roux & Nyamukachi, 2005: 695).

In a research paper, Naidoo, & Kuye argue that when the new South African government came into power, it was evident that there was an absence of minimum basic services, such as water, proper sanitation and electricity in many rural communities. In some communities, however, minimal services were provided (Naidoo & Kuye, 2005: 620). They make the following observations, that in 1995 it was estimated that approximately eight million people from previously disadvantaged communities did not have adequate sanitary facilities and a mere fifty percent [50%] of South Africans had waterborne sewerage. In the following year 1996, it was

estimated that approximately fifteen to sixteen million people did not have piped water. In 1994, it was reported in the *White Paper on the Transformation of the Public Service (WPTPS)* (1995:7) that people living in urban areas in South Africa are better provided with higher levels of services as compared with those in rural areas.

As observed by Roux (2005: 3) & Patel (2011: 1) there have been various protest actions and a wave of unrest from various communities, demanding that municipalities provide effective and efficient delivery of minimum basic services. The so called service delivery protests in the post-apartheid era in South Africa [i.e. protest actions], that are taking place in various municipalities and more so in metropolitan municipalities are conducted in the main by people who live in areas defined as “informal settlements” and to a large extent, almost all protest actions are about the provision of basic municipal services in one way or the other – a detailed discussion will follow in Chapter 5.

An important point to mention at this stage is that the service delivery protests happen in municipalities because local government is the closest sphere of government to the people. It is to be expected that a core function of municipalities should be the rendering of a variety of basic but essential services to the community within its jurisdiction (Roux, 2005: 69). Furthermore, Thornhill (2008: 492) states that local government is often the first point of contact between an individual and a government institution. This context will be the foundation on which this study will be based. The study will specifically focus on how performance monitoring and evaluation [i.e. IE – Impact evaluation], which is inherent in the control function of municipalities, can assist in making sure that the local sphere of government in South Africa provides effective and efficient delivery of minimum basic services in UIS.

## 1.2. Definition of key concepts

- 1.2.1. Basic municipal services – according to *Local Government: Municipal Finance Management Act, 56 of 2003* - basic municipal service means a municipal service that is necessary to ensure an acceptable and reasonable quality of life and which, if not provided, would endanger public health or safety or the environment. In this study, basic municipal services have been limited to water, sanitation, electricity and waste management [collection].
- 1.2.2. Councillor – As provided for by the *Local Government: Municipal Systems Act, 2000* will be used, which means a member of a municipal council.
- 1.2.3. Department of Cooperative Governance and Traditional Affairs – focus in the study will be on the Cooperative Governance [CoG] component. The department was previously called DPLG.
- 1.2.4. Executive Mayor - means the councillor elected as the executive mayor of the municipality in terms of section 55 of the *Local Government: Municipal Structures Act, 117 of 1998*.
- 1.2.5. Evaluation is the systematic and objective assessment of an ongoing or completed project, programme, or policy, including its design, implementation, and results. The aim is to determine the relevance and fulfilment of objectives, development of efficiency, effectiveness, impact, and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors. The National Evaluation Policy Framework – NEPF (NEPF, 2011: 3) defines evaluation as:

*The systematic collection and objective analysis of evidence on public policies, programmes, projects, functions and organisations to assess issues such as relevance, performance [effectiveness and efficiency] and value for money, and recommend ways forward.*

Both definitions give context, since the study has an objective of appraising the sphere of local government and metropolitan municipalities on the subject of effective and efficient delivery of basic services. The NEPF (2011: 1) further explains that evaluations contribute to the improvement of public policy interventions and expenditure programmes by providing evidence-based assessments of their relevance and performance. Evaluation also serves to strengthen accountability by providing reliable information on progress in the achievement of public objectives to stakeholders, often identifying the key factors driving success or failure.

- 1.2.6. Impact Evaluation [IE] – assesses the changes that can be attributed to a particular intervention [e.g GWM&E], such as a project, programme or policy, both the intended ones, as well as ideally the unintended ones.
- 1.2.7. Integrated Development Plan [IDP] – an IDP is a plan used by municipalities in South Africa to plan future development in their areas. Basically, an IDP is a “Grand plan” for a specified area [i.e. Ward] that gives an overall framework for development. The main objective of compiling an IDP is to coordinate the work of the local and other spheres of government in a coherent and integrated plan to ensure among others, that there is effective and efficient delivery of basic services to communities.
- 1.2.8. Informal settlement – an informal settlement is defined as a group of non-permanent structures not on a formally registered residential property (Housing Development Agency, 2012: 14). For the purposes of this study, the latter definition will be used to define informal settlements in general. Moreover, the current study focuses on Urban Informal Settlements [UIS] which are similar to informal settlements; the difference is that UISs are found in urban areas or metropolitan municipalities.
- 1.2.9. Gauteng Province – Gauteng, in Sesotho [one of the nine official languages in South Africa] means a "place of gold", Gauteng (which was previously known as the Pretoria-Witwatersrand-Vereeniging or PWV area) is one of the nine provinces of South Africa built on the wealth of

gold found deep underground – 40% of the world's reserves. The Province, previously formed part of the old Transvaal Province in the apartheid spatial planning framework. After democratic elections on the 27<sup>th</sup> April 1994, it was among the first provinces to be renamed in December of the same year.

1.2.10. Governance – In this study, a definition provided by Naidoo in her thesis will be used.

In her thesis [“Leadership and governance for sustainable public service: the case for selected South African public service organisations”], Naidoo (2004: 30) provides various definitions of governance. In one definition, she argues that governance refers to practices that enable government activity, where such activity is broadly defined as the production and delivery of publicly supported goods and services. From the combination of the work of Heinrich and Lynn (2000: 1) & Kotze (1998: 15); Naidoo defines in sum governance as – directing, implementing and coordinating public policy, by individuals or institutions, to achieve a common goal – this definition will be used in this thesis.

Naidoo argues that governance is about relationships and accountability for results. What is argued here is that governance entails who has influence, who makes the decisions and how decision makers are held accountable (Naidoo, 2004: 30). This definition will be adopted and used in the study as it assists with the context of practices enabling government activity through managerial function [the performance monitoring and evaluation], which is a catalyst for the production and delivery of publicly supported goods and services [water, sanitation, electricity and waste collection].

1.2.11. Good governance – Gildenhuys and Knipe (2000: 91) state that the adjective “good” is almost always used and appended next to governance like “effective” or “sound” governance. In this study, governance will be considered and accepted as “good” if the identified metropolitan municipalities in particular and the local sphere of government in South Africa in general have moved to a level where it is a norm to deliver effective and efficient basic municipal services to the communities they serve; especially in communities where people live under conditions of

squalor, abject poverty and depressing underdevelopment – like those found in informal settlements around metropolitan municipalities in Gauteng, South Africa.

1.2.12. Metropolitan Municipality - Metropolitan municipalities represent the large densely populated and urbanised regions that encompass multiple cities in South Africa. A definition in Chapter 7 of the South African constitution “section 155 (1)” will be used; it states:

“Category A”, which is essentially a metropolitan municipality, is a municipality that has exclusive municipal executive and legislative authority in its area.

The *Local government: Municipal Structures Act, 117 of 1998* defines this category of local government as conurbations or in common language "centres' of economic activity", areas "for which integrated development planning is desirable", and areas with "strong interdependent social and economic linkages".

1.2.13. Monitoring – monitoring generally means to be aware of the state of a system. The National Evaluation Policy Framework (NEPF), defines evaluation as:

*Monitoring is the continuous and systematic collection, recording and reporting of information in order to track progress towards the achievement of the objectives of an intervention, and identify the need for corrective action.*

An OECD [Organisation for Economic Co-operation and Development] definition will also be used, it states:

*Monitoring is a continuous function that uses the systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.*

- 1.2.14. Municipal council or council - it means the council of a municipality referred to in section 18 of the *Municipal Structures Act, 117 of 1998*. The South African Constitution [section 157] which deals with composition and election of municipal councils; further explains that a municipal council consists of - members elected in accordance with subsections (2), (3), (4) and (5) – of section 157; or if provided for by national legislation.
- 1.2.15. Municipal Demarcation Act – means the *Local Government: Municipal Demarcation [MD] Act 27 of 1998*.
- 1.2.16. Municipal Finance Management Act - means the *Local Government: Municipal Finance Management Act [MFMA], 56 of 2003*.
- 1.2.17. Municipal Structures Act - means the *Local Government: Municipal Structures Act, 117 of 1998*.
- 1.2.18. Municipal Systems Act - means the *Local Government: Municipal Systems Act, 32 of 2000*.
- 1.2.19. Official - a person contracted by a municipality or municipal entity to work as a member of the municipality or municipal entity otherwise known as an employee.
- 1.2.20. Performance – According to the business dictionary definition (Business Dictionary.com), performance means:
- The accomplishment of a given task measured against present known standards of accuracy, completeness, cost, and speed. In a contract, performance is deemed to be the fulfilment of an obligation.*
- 1.2.21. Public participation – public participation is involvement of communities and community organisations in the affairs of the municipality. The *Municipal Structures Act [MSA], 117 of 1998*, provides that Category A municipalities [which is the subject of the study] with sub-council or ward participatory systems, annually report on the involvement of communities and community organisations in the affairs of the municipality.

1.2.22. Service delivery and budget implementation plan [SDBIP] - according to the *MFMA (56 of 2003)*, SDBIP means a detailed plan approved by the mayor of a municipality in terms of section 53(1)(c)(ii) for implementing the municipality's delivery of municipal services and its annual budget, and which must indicate:

(a) projections for each month of:

(i) revenue to be collected, by source; and

(ii) operational and capital expenditure, by vote;

(b) service delivery targets and performance indicators for each quarter; and

(c) any other matters that may be prescribed, and includes any revisions of such plan by the mayor in terms of section 54(1)(c).

1.2.23. Service delivery protest – according to Roux (2005: 3) the so called service delivery protests started in 2004 in a South African township called Harrismith in the Free State Province. After that, protests grew and became common. In short, the so called service delivery protests in South Africa are protest actions which are really about dissatisfaction of communities with local government “snail-pace” [in some instance no service] in the rendering of basic services such as water, sanitation, electricity and waste management.

1.2.24. Ward – in the South African local government sphere a “ward” means an electoral district within a municipality used in local politics. The *Municipal Systems Act [part 1: General, 2]* defines a process of delimitation of wards; it is indicated that the Municipal Demarcation Board [which operates through the *Municipal Demarcation Act, 1998*] after consultation with the Electoral Commission, for purposes of an election must delimit all metropolitan municipalities and all local municipalities that must have wards, into wards. Moreover, the number of wards in a metropolitan or local municipality must be equal to the number of ward councillors determined for the municipality in terms of section 22(2) of the same Act.

1.2.25. Ward committees – these are committees at a ward level found in certain metropolitan and local municipalities. The *Local Government: Municipal Systems Act, 117 of 1998 in Section 72*, explains that “only metropolitan and local municipalities of the types mentioned in sections 8(c), (d), (g) and (h) and 9(b) may have ward committees”. Section 72 (3) of the Act, further indicates that “the object of a ward committee is to enhance participatory democracy in local government”. The main functions and powers of ward committees are defined in section 73, and it is indicated in the section that:

- (a) Ward committees may make recommendations on any matter affecting its ward:
  - (i) to the ward councillor; or
  - (ii) through the ward councillor, to the metro or local council, the executive committee, the executive mayor or the relevant metropolitan sub-council:
- (b) Has such duties and powers as the metro or local council may delegate to it in terms of section 32.

### 1.3. Motivation for the research

According to the South African Local Government Association [SALGA] established in terms of *Organised Local Government Act, 52 of 1997* – when the process of democratisation began, municipalities were subordinate creatures of statute, comprising a multiplicity of fragmented institutions, racially segregated, which, as a result, provided unequal services to different communities. Hence it is argued that the transformation of local government was directed at removing the racial basis of government and making it a vehicle for the integration of society and the redistribution of municipal services from the well-off areas to the poor.

After the historic 27 April 1994 democratic elections in South Africa, the newly elected government decided to conduct its first post-apartheid local government elections in 1995. Local government in South Africa is regarded as a platform for effective and efficient delivery of minimum basic services. This is a sphere where government directly connects with citizens. Constitutionally, the local government sphere's mandate is carried out by the current 278 municipalities in South Africa that are categorised into local municipalities, district municipalities as well as metropolitan municipalities. It is therefore important to measure impact and evaluate performance of municipalities, for purposes of this study focus will be on metropolitan municipalities.

Metropolitan municipalities are densely populated urban areas – they are the so called big cities in South Africa. Three of them are located in Gauteng Province [as indicated in Table 5.1]. They are the cities Ekurhuleni, Johannesburg and Tshwane. As expected, metropolitan municipalities have large budgets. They are expected to plan, design and implement some of the biggest capital infrastructure projects and facilitate the effective and efficient delivery of minimum basic services to all communities they serve – more so for poor people who live in impoverished communities. In the case of Gauteng Province, these people are mostly found in urban informal settlements [UIS]. This is according to South African government's agenda for development in the national, provincial and local spheres (SSA, 2003: 17) which also integrates the United Nations [UN] Millennium Development Goals [MDGs].

Metropolitan municipalities often become the biggest beneficiaries because of their size and population when it comes to the Division of Revenue Act [DoRA], which is an Act of Parliament enacted annually in terms of Section 214 (1) of the Constitution, 1996. DoRA allocations are made available to municipalities through the National Treasury. In addition to their mandatory collections of rates and taxes, national government also adds other grants [i.e. money allocated to municipalities for specific purposes, e.g. Municipal Infrastructure Grant (MIG) for the development of infrastructure and to advance the Urban Renewal Programme - URP] to metropolitan municipalities, to ensure that they deliver on their mandate.

For reasons mentioned above and coupled with the current South Africa's national agenda of development [NDP – National Development Plan, 2030] - it is essential that politicians and administrators assigned with the stewardship of allocating and spending government resources take their task seriously. Especially politicians and administrators with the task of managing metropolitan municipalities in particular – should conduct regular performance monitoring and evaluation [PME] of programmes and projects in the municipal IDPs and SDBIPs - to ensure that there is effective and efficient delivery of services as outlined in section 72 (1) of the *Local Government: Municipal Finance Management Act, 56 of 2003*.

The purpose of this study is to investigate whether the introduction of the performance monitoring and evaluation [PME] system – in particular Impact Evaluation [IE] in the South African public sector in the local government sphere, has improved the delivery of minimum basic services. The study will establish whether metropolitan municipalities in Gauteng Province conduct periodic and regular performance monitoring and evaluation of the set priority targets for providing minimum basic services [electricity, water, sanitation and waste collection/removal] in UIS. The United Nations Millennium Development Goal 7, will be used as a measure.

In essence, the study is to a large extent about establishing accountability in selected metropolitan municipalities and report on *inputs, outcomes and results* as they relate to the delivery of minimum basic services. The other part of the study will be to generate research knowledge in the domain of Public Administration about what works with regards to *public*

*policy reforms* like PME in a municipality and to build up an evidence base for future policy development for a municipal council administration.

It is envisaged that the results from this study will benefit both academia and government in understanding the benefits of good governance, performance monitoring and evaluation systems in the local government sphere – in particular Impact Evaluation [IE]. This research also broadens the scope of knowledge in the field of public administration and management and in particular the managerial function in a local municipality setup.

#### **1.4. Problem statement**

South Africa has relevant legislation in the form of the *Public Finance Management Act [PFMA], 1 of 1999* in the national and provincial spheres and the *Local Government: Municipal Finance Management Act [MFMA], 56 of 2003* in the local government sphere. Government institutions [in particular municipalities and their entities] continue to experience difficulties of coordination in their governance as indicated by the Auditor General in the past three financial years [2009-2012]. There is a need for performance monitoring and evaluation [in particular Impact evaluation – IE] of municipal programmes and projects to *assess impact* – more so in areas where people live in conditions of squalor, abject poverty and underdevelopment – to check if South Africa is advancing or regressing in its pursuit to achieve the United Nations [UN] Millennium Development Goals [MDGs] – in particular Goal 7. For this study, focus will be on urban informal settlements [UIS] in the three identified metropolitan municipalities in Gauteng, South Africa.

Municipal programmes and projects are contained in the municipality's Integrated Development Plan [IDP] and implemented by a municipality's administration through the Service Delivery and Budget Implementation Plan [SDBIP] in particular for the provision of effective and efficient delivery of minimum basic services. An IDP document focuses on economic and social development for a specific area; it sets a framework for various processes

for development. For instance an IDP defines how land should be used, what infrastructure and services are needed and how the environment should be protected.

As required by legislation *Local Government: Municipal System Act, 32 of 2000*, all municipalities must produce an Integrated Development Plan [IDP]. The municipality has coordinate the IDP process and production, moreover, it has to make sure that all stakeholders in the area who impact on and/or benefit from development in the area are included and participate and express themselves [needs and aspirations of the constituency] in the end-to-end process of planning and outcomes of an IDP.

A municipal ward's IDP document is an important catalyst for development, as both the community and the ward councillor become major beneficiaries. When coordinated effectively and efficiently, an IDP gives a councillor an opportunity to make decisions based on the needs and aspirations of his/her constituency. In the main, an IDP process has five phases, which normally takes six to nine months to complete:

- i. analysis [collecting data];
- ii. strategies [vision and objectives];
- iii. projects [design and content of projects];
- iv. integration [all development plans are put together]; and
- v. approval [public comment and then council approves].

For purposes of this study, the areas of interest and research are those that are mostly located in densely populated UIS that are found in metropolitan municipalities [Ekurhuleni, Johannesburg and Tshwane] in Gauteng Province. Moreover, these are UIS areas where the provision and continuous supply of minimum basic services of water; sanitation; electricity and waste collection/removal remain limited or in other areas is non-existent.

The current situation can, to some extent be associated and linked with historical episodes of separate development and apartheid policies of black urban settlements and separate

development [as argued in chapter 5 of this Thesis]; in particular the spatial planning and development of cities, especially the so called informal settlements.

Thornhill (2006(a): 317) argues that governance requires co-operation among the governmental bodies, the administrative/managerial sectors and society in providing public services. The whole notion of governance is complex and the involvement of civil society and communities in the governance of metropolitan municipalities in South Africa are difficult. It requires the performance monitoring and evaluation [PME] to attain effective and efficient delivery of minimum basic services.

The thesis will investigate whether the performance monitoring and evaluation and in particular Impact Evaluation [IE] as introduced by the South African government through the “Government-wide Monitoring and Evaluation system” [GWM&E]; under the Department of Performance Monitoring and Evaluation [DPME] and in metropolitan municipalities in Gauteng Province can assist in assessing and measuring the delivery of minimum basic services in urban informal settlements [UIS].

## **1.5. Research objectives**

In describing and clarifying the problem statement and explaining the methodology used - it is important that objectives be clearly defined to make sure that there is correlation and proper delineation in the study.

The seven objectives of the study are outlined below:

- a) to locate the concept of performance monitoring and evaluation [PME] in the Discipline of Public Administration;
- b) to discuss and extrapolate the essence of PME, analyse the policy framework that guides PME systems in the South African context and in particular the local sphere of government;
- c) to discuss the international PME systems in the public sector and consider lessons that are relevant to the South African environment;

- d) to analyse and discuss the local sphere of government before and after democratic rule in South Africa with special reference to the evolution of local government legislation;
- e) to discuss and extrapolate current issues in the South African local government sphere with special focus on community participation, municipal demarcation concerns and protest action in municipalities;
- f) to conduct an empirical study, investigate and compare using two sets of survey questionnaires – by conducting Impact Evaluation [IE] on the delivery of basic minimum services [i.e. electricity, water, sanitation and waste collection/removal] in the three identified municipalities against set targets determined by Statistics South Africa Census 2001 & 2011; Housing Development Agency [HDA] of the Department of Human Settlement [DHS] and the Millennium Development Goals [MDGs] – in the South African context; and
- g) to discuss practical considerations in institutionalising PME processes in local government and propose recommendations with guidelines for an effective and efficient PME system in the local government sphere in Gauteng, South Africa.

There is a clear and unambiguous need to conduct a rigorous interdisciplinary study of governance and public management with special focus on performance monitoring and evaluation in the local sphere of government. It then follows that municipalities in South Africa have to develop mechanisms to assess whether performance levels result in effective and efficient service delivery. The current research will:

- i. compare the current municipal performance in UIS with that in earlier reporting periods;
- ii. compare actual municipal *outcomes* in UIS, to *targets* set by national government in particular the Department of Human Settlements [DHS] in the Informal Settlements Upgrading Programme Business Plan [ISUPBP] of 2005 and the MDGs; and

- iii. compare municipal performance among major categories [i.e. the delivery of basic services – electricity, water, sanitation and waste collection/removal] in UIS or among geographic area served.

Such comparisons are likely to provide important information and reduce the likelihood of municipalities ignoring problems that face specific segments of the population in urban informal settlements. Although such efforts often result in major data comparability problems, in some instances reasonable comparisons can be fairly made.

## **1.6. Research Question**

For purposes of the study and in pursuit of developing a comprehensive conclusion responding to the set objectives, it is important to address the following question that is related to the topic.

- a) Why is governance, performance monitoring and evaluation [PME], and in particular Impact Evaluation [IE] in metropolitan municipalities significant?

## **1.7. Sequence**

### Chapter 1

Introduction

Research methodology

Problem statement

Sequence

### Chapter 2

Public Administration and Management perspective of the study

### Chapter 3

Essence of performance monitoring and evaluation

#### Chapter 4

Performance monitoring and evaluation [PME]: International experience

#### Chapter 5

Metropolitan municipalities in Gauteng, South Africa

#### Chapter 6

Empirical quantitative study and analysis of results

#### Chapter 7

Summary, conclusion and references

### **1.8. Research methodology**

Methodology concerns organising assumptions, the concepts and definitions that underlie any systematic inquiry (Landau, 1972: 178). These are the elements that provide a field with coherence and relevance. Hence a close and continuing concern with the logic and procedure of analysis remain a necessity for any discipline if it is to locate and clarify its principal points of reference. The argument advanced by Landau (1972: 178) is that even though public administration is an applied field, it must have an empirical, rigorous, and systematic core.

The empirical study will be conducted and operated on the basis of knowledge of authors, participants, community, municipal officials in performance monitoring and evaluation. Context-dependent knowledge and experience are at the very heart of expert in performance monitoring and evaluation activity. This will be the underlying principle that influences the empirical study. Such knowledge and expertise also lie at the centre of the case study as a research and teaching method of learning.

According to Flyvbjerg (2006: 222) phenomenological studies of the learning process emphasize the importance of context-dependent knowledge, case studies and similar methods. It is only because of experience with cases that one can become an expert. If people were exclusively trained in context-independent knowledge and rules, that is, the kind of knowledge that forms the basis of textbooks and computers, they would remain at the beginner's level in the learning process. This is the limitation of analytical rationality; it is inadequate for the best results in the exercise of a profession, as student, researcher, or practitioner.

The argument advanced by Flyvbjerg in the preceding paragraph, means that the case study method allows a researcher or practitioner to move from just being a context-independent knowledge researcher to become a virtuoso expert in a particular field of study. Another important value of case study research is the closeness to real-life situations and its multiple wealth of details. This can be explained more comprehensively in three respects:

[a] It is important for the development of a nuanced view of reality, including the view that human behaviour cannot be meaningfully understood as simply the rule governed acts found at the lowest levels of the learning process and in theory.

[b] Cases are important for researchers' own learning processes in developing the skills needed to do effective research. If researchers wish to develop their own skills to a high level, then definitive, context-dependent experience is just as central for them as to professionals learning any other specific skills.

[c] Specific experiences can be achieved via continued proximity to the studied reality and via feedback from those under study.

Predictive theories and universal views cannot be found in the study of human affairs. Context-dependent knowledge and experience are therefore, more valuable than the search for predictive theories and universals. It is the intention of the researcher in this study to analyse:

- literature;
- official documents; and
- interviews with key participants in the sphere of local government.

Qualitative and quantitative methods will be combined and used in this study. A triangulation case study method will be the preferred method as data collected from both primary and secondary data sources.

McCurdy and Cleary (1984: 54) argue that scholars have not conclusively demonstrated that the discipline of Public Administration lends itself to systematic exploration. The purpose of on-going research is not sufficiently directed toward theory-building or proposition testing. Furthermore, Public Administration as a field of study does not employ agreed upon methods and research designs for analysing and classifying data. Neither do practitioners have generally accepted research criteria to apply to the analysis of topics of fundamental interest in the field. The criteria utilised for the research include an emphasis on specific social science-based methodology. Hence, for the purpose of the thesis, scientifically proven methods in the other fields of study outside Public Administration will be used in the methodology.

Sample surveys are the preferred method in the empirical component of the study. The purpose of a sample survey is to collect standardised information from a carefully selected sample of respondents. These types of surveys are carried out by means of a *structured instrument* such as a questionnaire or observation guide. For purposes of the current study, a structured questionnaire will be used. Sample surveys are appropriate when the research design require comparable information about a relatively large number of subjects – which is the case in point with regards to research in UIS.

### **1.8.1. Unit of analysis**

Urban Informal Settlements [UIS] in the three identified metropolitan municipalities in Gauteng, which are Ekurhuleni, Johannesburg and Tshwane – will be the unit of analysis.

### **1.8.2. Sampling**

Two sample surveys will be conducted, which includes in each sample three city managers and 392 participants in UIS respectively:

- three city managers or their representatives [one per metropolitan municipality – three in total];
- community members from each metropolitan municipality identified, from informal settlements will be selected and surveyed [i.e. 14 individuals per informal settlement will be randomly selected and surveyed]; and
- a representative sample of UIS that are older than 20 years will be selected randomly in each metropolitan municipality and the total number will be determined using a formula based on the number of UIS in each municipality that are 20 years and older].

A total of 395 surveys will be conducted, analysed and processed from the three metropolitan municipalities. Community members in UIS from each metropolitan municipality will be selected [i.e. randomly] from the following categories:

- Males [Youth, 35> and not more than 55 yrs, Elderly 60>]
- Female [Youth, 35> and not more than 55 yrs, Elderly 60>]
- People living with disabilities [disability as defined in the South African Constitution]
- Africans, Whites, Coloured and Indians

A cluster sampling technique has been selected for the purpose of this study. This is a sampling technique where the entire population is divided into groups, or clusters, and a random sample of these clusters is then selected. All observations and determination in the selected clusters are included in the sample. In the study, populations in UIS are divided into groups. Firstly,

those that are not yet formalised and secondly are those that are 20 years and older. A random sample of the required sample is then selected per metropolitan municipality.

Cluster sampling is typically used when the researcher cannot get a complete list of the members of a population he/she wishes to study, but can get a complete list of groups or 'clusters' of the population. In the case of UIS, information on the population is not readily available as a result of in-and-out migration. Cluster sampling is also used when a random sample would produce a list of subjects so widely scattered that surveying them would prove to be too expensive to justify the effort. This is the case with people who live in UISs.

In this study, a two-stage cluster sampling will be used, where a simple case of multistage sampling is obtained by selecting cluster samples in the first stage and then selecting a sample of elements from every sampled cluster. A population of  $N$  clusters in total will be considered from all informal settlements selected. In the first stage,  $n$  clusters will be selected using ordinary cluster sampling method. In the second stage, simple random sampling will be used (Pfeffermann & Rao, 2009: 1) – when selecting specific UIS. The method will be used separately in every cluster and the numbers of elements selected from different clusters will not be necessarily equal. The total number of clusters  $N$ , number of clusters selected  $n$ , and numbers of elements from selected clusters will be pre-determined. The two-stage cluster sampling has been selected to minimise survey costs and at the same time control the uncertainty related to estimates of interest (Ahmed, 2009: 1).

### **1.8.3. Geographical location**

Although there are eight metropolitan municipalities in South Africa, this study will focus on the three identified metropolitan municipalities in Gauteng Province, South Africa, to limit the research to one Province following a similar policy regarding UIS.

### **1.8.4. Data collection arrangements**

Primary data will have two collection methods or parts, namely A and B.

## **Part A**

- Government documents and reports
- Speeches and debates by government office bearers
- Official papers presented at conferences and workshops [President, Ministers and Mayors]
- Acts
- White Papers
- Minutes of meetings
- Books
- Surveys and statistics
- Theses and dissertations (both published and unpublished)

## **Part B**

An empirical study will be conducted using a survey questionnaire which will be distributed to the identified participants as indicated in the sampling method. Communication will be done via email to officials and through face-to-face interviews with participants in urban informal settlements [UIS], including role players involved in performance monitoring and evaluation in the three identified metropolitan municipalities.

## **Secondary data**

Information will be collected from:

- Research that has been conducted in PME within the discipline by relevant scholars in the field
- Articles and journals
- Newsletters and pamphlets
- Newspaper articles
- Other relevant and credible material and sources

### **1.8.5. Limitations**

This study will focus on collecting primary and secondary data from 1990 till 2014 to cover various stages and epochs of the development of urban informal settlements [UIS] in the three metropolitan municipalities identified - a cumulative period of 24 years. This period has been selected based on the history of South Africa and the changes effected since 1990. More importantly the period includes 20 years since democratic rule in 1994. UIS that will be surveyed in the empirical research study will also be 20 years or older.

### **1.9. Administrative processes and approval**

The success of the study will depend largely on the empirical component which has a survey questionnaire with chronology and relevant questions related to the problem statement, objectives and sample method used. Most of all, success will be determined by the co-operation of the identified participants.

The Ethics Committee of the University of Pretoria approved the research study and its ethical considerations. The Gauteng MEC for Local Government also approved that the researcher work with identified municipalities and use relevant documents [of which most documents are already available for public use] in the study.

A letter of consent to conduct the relevant surveys and engage participants both in and outside government will be drafted and attached to all questionnaires [each participant signed a questionnaire]. Data collected from this study will be stored for 10 years and will only be used for the purposes of this study.

## CHAPTER 2: PUBLIC ADMINISTRATION PERSPECTIVE OF THE STUDY

### 2.1. Introduction

This research represents an investigation into Public Administration as a discipline, because it plays an important role in building the knowledge base that the field of public management and administration must possess. Emphasis on research methodology and design are both critical and essential if inquiry in public administration and management is to progress. Stallings (1986: 229) argues that a doctoral thesis does not separate theory from practice (or vice versa), but rather identifies a three-way relationship between practice, theory, and method where method refers to techniques of theory elaboration and clarification rather than the techniques of management.

According to one of the foremost pioneers in the discipline of Public Administration, Woodrow Wilson [*the person who identified the study of Public Administration that had been developed much earlier in Europe from the work of the German and Austrian Cameralists of the sixteenth century*]. In his article entitled “The study of Administration”; which was published in June 1887 in the *Political Science Quarterly* (2, 1887-222) and which is generally considered as the origin of the study of Public Administration (Thornhill, 2006 (b): 795 - 797) - Woodrow Wilson argues that “... the field of administration is a field of business. It is removed from the hurry and strife of politics.” From Woodrow Wilson’s assertion above - Thornhill notes from Wilson, that:

*“(T)he object of administrative study is to rescue executive methods from the confusion and costliness of empirical experiment and set them upon foundations laid deep in stable principle” (Ibid.). He also made it clear that the study of administration should be clearly distinguished from the study of politics. He acknowledges a science of administration for America must be principles which have democratic policy very much at heart. And to suit American habit, all general theories must, as theories, keep modestly in the background, not in open argument only, but even in our minds – lest opinions satisfactory only to the standards of the library*

*should be dogmatically used as if they must be quite as satisfactory to the standards of practical politics as well.” (Ibid.)”.*

McCurdy and Cleary (1984: 54) argue that the criteria for judging research in the field of public administration should be the presence of a basic research purpose, internal and external validity, theoretical impact and demonstration of causal relationships, an important topic, and presence on the cutting edge of the field – characteristics which this research will meet. Stallings argues further and states that most successful studies combine the quantitative data of the positive tradition with the qualitative data of the phenomenological tradition. The latter are especially useful in identifying the "rationale" for research in a thesis. It is the rigorous and systematic application of method of whatever type that creates the detachment of the outsider in the research process, a detachment otherwise difficult to achieve when the researcher in all other respects is really an insider (Stallings, 1986:239).

Other authors in the field of public administration (Landau, 1972: 178) argue that even though public administration is an applied field, it must have an empirical, rigorous, and systematic core. Thesis research, just like the current study of performance monitoring and evaluation in metropolitan municipalities provides an opportunity for the development of the building blocks necessary to advance the field, as well as a testing ground for research standards.

It is important to understand political dynamics when undertaking a study in the field of Public Administration. Crous (2004: 575) argues that government and the activities it undertakes to deliver services are the result of political dynamics. This is supported by Thornhill (2006(b): 805) who argues that one core issue that distinguishes Public Administration from other related disciplines is the political milieu within which its operational activities are performed. All government actions directly affect the public and, where peoples' needs are not addressed, people experience inconvenience and even hardship (Van Rooyen 2007: 45).

All administrative and managerial issues that form the study of Public Administration and Management are dominated by public policy, which is ultimately the final domain of the political authority concerned. The argument advanced by Thornhill (2006(b): 805) is that the political environment puts the domain of the discipline of Public Administration and Management into a category of exclusivity – so it can be indicated that politics direct and control the domain of Public Administration and Management.

The argument in the above paragraph, as advanced by Thornhill is that the programmes of government should contribute towards an enhanced quality of life for all. This implies that the outcomes of public administration and management must be aimed at service delivery and the improvement of the general welfare of the people – within a political context. Furthermore, Thornhill & Hanekom (1995: 195) state that in the public sector, the endeavour should always be for action which will lead to the improvement of the quality of service rendered by public institutions. In this research, municipal councils will be investigated.

The *Constitution in section 156 (1)* outlines the powers and functions of municipalities.

- (1) A municipality has executive authority in respect of, and has the right to administer the following:
  - (a) the local government matters listed in Part B of Schedule 4 and Part B of Schedule 5; and
  - (b) any other matter assigned to it by national or provincial legislation.
- (2) A municipality may make and administer by-laws for the effective administration of the matters which it has the right to administer.
- (3) Subject to section 151(4), a by-law that conflicts with national or provincial legislation is invalid. If there is a conflict between a by-law and national or provincial legislation that is inoperative because of a conflict referred to in section 149, the by-law must be regarded as valid for as long as that legislation is inoperative.
- (4) The national government and provincial governments must assign to a municipality, by agreement and subject to any conditions, the administration of a matter listed in Part A of Schedule 4 or Part A of Schedule 5 which necessarily relates to local government, if:

- (a) that matter would most effectively be administered locally; and
  - (b) the municipality has the capacity to administer it.
- (5) A municipality has the right to exercise any power concerning a matter reasonably necessary for, or incidental to, the effective performance of its functions.

The current study of performance monitoring and evaluation [PME] in metropolitan municipalities should be understood in the context of section 156 [5] of the Constitution. It is a mechanism applied in a transformed local sphere of government [i.e. since the year 2000] and promoted by the national sphere of government, with the sole intention of contributing towards an enhanced quality of life for all – its outcomes, outputs and results [i.e. Impact evaluation – IE] are aimed at service delivery and the general welfare of the people.

## **2.2. Location of the study of performance monitoring and evaluation [PME] in the discipline of Public Administration**

In the book, *JJN Cloete's South African Public Administration and Management - 10<sup>th</sup> revised edition*, Thornhill (2012: 86), when discussing the functions constituting public administration, summarises activities undertaken in administrative executive institutions into the following classifications:

- i. Generic administrative and managerial;
- ii. Instrumental;
- iii. Functional [line functions].

The current study of performance monitoring and evaluation falls within the class of generic administrative and managerial functions [consisting of two sub-sections, (a) Conceptual and directive functions and (b) Managerial functions] and its location is under the sub-section of managerial functions (Thornhill, 2012: 87) – which focus on the functions performed in an administrative executive institution. The study will therefore be an investigation of a

managerial phenomenon, because performance monitoring and evaluation [PME] is a managerial function in terms of its location in the practice of public administration.

In essence, municipal PME is a *control function used by administration and management*. It is about conducting regular performance monitoring and evaluation of programmes and projects in the municipal SDBIP and ensuring that there are effective and efficient delivery of services as outlined in section 72 (1) of the *Local government: Municipal Finance Management Act, 56 of 2003*. The outcomes of a properly implemented PME programme in a municipality by management should yield results that assist in other managerial aspects and functions of a municipality. This includes proper advice for the municipal council on line functions and in particular issues around: budgeting [i.e. Finance], planning; policy, governance, compliance and risk management. The schematic representation (Figure 1.2.) below depicts the location of the study.

Figure 1.2 Location of public administration

Public Administration system [Control]/Political dimension driven by political values [goals set in the Integrated Development Plans – IDP and the ruling party’s manifesto priorities]



Managerial function



**Performance monitoring and evaluation** [plan action – SDBIP]/Implementation dimension driven by material values [value for money in municipal projects and programmes]



Check executive actions [outcome/goal/material motive]



Outcomes of PME: advise municipal council on line functions and in particular: Budgeting [Finance], Planning, Policy implementation, Governance, Compliance and Risk Management

Public Administration should be studied with the inclusion or rather the acknowledgement of managerial concepts. Thornhill (2006 (b): 799-800) argues that Schwella in an article entitled: “Public Administration or Public Management – another perspective or why not Public Administration and Public Management” which appeared in *SAIPA Journal of Public Administration* (20 (1), March 1985) is the strongest proponent for the introduction of

management. Schwella mooted the concept of Public Management as part of the study of Public Administration. Furthermore, it is stated that in this article that Schwella argued in favour of the (re)introduction of the terminology into the academic literature as in international literature. In South African Public Administration literature this represented a major shift in the approach to the study of the Discipline. Public sector matters formerly studied in the Discipline of Public Administration should thus be studied within the paradigm of Public Management.

It should be stated at this point that day-to-day administrative and managerial issues and problems should not automatically be taken as the core issues in the field of public administration - meaning that the substance or content of a particular practical problem does not make it theoretically important. Stallings (1986: 237) argues that administrative and managerial issues and problems need to be reconstituted so that they are subsumed under more general patterns having the same form. Furthermore, its study must be carried out in such a way that more will be known about the problem in the end beyond a mere descriptive historical anecdote.

The current research study of performance monitoring and evaluation [PME], although it is in the main an administrative and managerial issue of *control* – the outcomes of the study will greatly contribute and have direct effect on other public administration related aspects that are also important in the governing of a municipality, in particular: *Budgeting [i.e. Finance], Planning, Policy implementation, Governance, Compliance and Risk Management*. This means that PME cuts across various functions of administration and management of a municipality. It has a significant impact - which makes it a critical area in the overall administration, management and control of a municipality. It can therefore be argued that the study of PME has potential to make a significant contribution and add value to the domain of Public Administration in the local sphere of government and particularly at a municipality. As argued by Stallings (1986: 237) in the paragraph above – it can be indicated that the study of PME in a metropolitan municipality is going to be carried out in such a way that more will be known about the problem in the end, beyond a mere descriptive historical anecdote, in particular:

*Budgeting [i.e. Finance], Planning; Policy implementation, Governance, Compliance and Risk Management.*

According to Stallings (1986: 239) the core problems in the field of public administration for a doctoral programme must rise above the individual and particular problems of day-to-day practical administration. The study concern those activities that overworked public officials, who seldom have time to evaluate during normal working hours. The function of the university doctoral programme should always be to provide an intellectual "sanctuary" in which doctoral students, regardless of their occupational roles, may step back and contemplate the meaning of public activity and its relation to the rest of society. Furthermore, Stallings (1986: 237) argues that firsthand experience alone cannot be the primary method of knowing in a doctoral programme. Hence, efficiency and effectiveness in the public sector are determined by the conduct and attitude of the functionaries performing their respective duties. Lethargy and immobility are caused by the attitude and performance of individuals and not by the introduction of management in the public sector (Cloete, 1984. 41).

In recent years, public administration theory has occasionally connoted a heavy orientation toward critical theory and post-modern philosophical notions of *government*, *governance*, and *power* (Thornhill, 2006 (b): 796). Many Public Administration scholars support a classical definition of the term which gives weight to constitutionality, service, bureaucratic forms of organisation, and hierarchical government. The current study will be focused on the service and bureaucratic forms of the local sphere of government – metropolitan municipalities, which is one of the three spheres of government as defined in the Constitution of the Republic of South Africa, 1996.

Metropolitan municipalities are required by law to measure their *performance*; the *Local Government: Municipal Finance Management Act, 56 of 2003*; puts a particular obligation on the accounting officer of a municipality. It is important to indicate that PME policy implementation is a more recent development. There is a need for continuous monitoring of

executive actions to ensure that municipal targets are met. More importantly, all executive actions must be subject to critical performance indicators (Thornhill, 2012: 145).

It is important to explain the word *performance* in the context of this study. The definition used in this study is the one found in the “business dictionary” (Business Dictionary.com). The definition has been specifically selected, as it gives context and premise on which the study will be based, that of monitoring and evaluating “effective and efficient delivery of basic service” – the context of the word *performance* given in this study is that “what's measured gets managed”.

According to the business dictionary definition, performance means:

*The accomplishment of a given task measured against present known standards of accuracy, completeness, cost, and speed. In a contract, performance is deemed to be the fulfilment of an obligation, in a manner that releases the performer from all liabilities under the contract.*

Van der Waldt (2004: 34) argues that performance is about the efficiency relationship between inputs and outputs; the reduction of inputs or the cost of inputs; the following of due process and equity and the relationship among inputs, outputs and outcomes. The *Local Government: Municipal Finance Management Act, 56 of 2003 [MFMA]*; puts particular obligation on the accounting officer of a municipality. In section 72 (1) dealing with the “Mid-year budget and performance assessment”, the accounting officer of a municipality must by 25 January of each year assess the performance of the municipality during the first half of the financial year, taking into account:

- the monthly statements referred to in section 71 for the first half of the financial year;
- the municipality’s service delivery performance during the first half of the financial year, and the service delivery targets and performance indicators set in the service delivery and budget implementation plan [SDBIP];

- the past year's annual report, and progress on resolving problems identified in the annual report; and
- the performance of every municipal entity under the sole or shared control of the municipality, taking into account reports in terms of section 88 from any such entities.

It is also expected from the accounting officer, according to section 72 (1) of the *MFMA, 56 of 2003*; to submit a report on such a performance assessment to:

- the mayor of the municipality;
- the National Treasury; and
- the relevant provincial treasury.

In essence, performance monitoring and evaluation [PME] in municipalities finds its location under in section 72 (1); in particular where the section states that the municipality's service delivery performance during the first half of the financial year, and the service delivery targets and performance indicators set in the service delivery and budget implementation plan [SDBIP].

In this study, the word performance will be used together with monitoring and evaluation [PME] so that clarity is provided that monitoring and evaluation is conducted and coupled to performance measurement in a municipality as required in section 72 (1) of the *MFMA, 2003*. In essence, performance monitoring and evaluation [PME] is an action performed under the guidance of management and an implementation dimension [reform programme] used by municipalities to obtain value for money of programmes and projects they undertake.

It has been argued that PME is not necessarily a panacea for ills associated with poor government performance. However, it is clear from the discussions above that PME can contribute in ensuring that the public sector and in particular the sphere of local government accounts for its actions with regards to its programme action and implementation – moreover PME outcomes can contribute and add value to other aspects of management functions. This study focuses on public management, which is a division or a sub-field in the discipline of Public

Administration – known as the Public Management [PM], which is an outcome of activities that were conceptualised and occurred in the 1980s called New Public Management [NPM]. The following section of the chapter will discuss in detail the concept of NPM and the resulting post-NPM era – which is PM.

### **2.3. New Public management [NPM]**

According to Pollitt (2011: 4) defining NPM is the first step, but in itself is not at all easy. In its origins it is strongly associated with UK Prime Minister Thatcher and US President Ronald Reagan, and with the New Zealand Labour government of 1984. Neither Mrs. Thatcher nor Ronald Reagan supported the ‘planning’ approach which had been the orthodoxy in the US and UK public sectors of the 1960s and early ‘70s. During their periods in power in the 1980s they, and many of their advisers according to Pollitt (2011: 4) favoured what they considered to be a ‘business-like’ approach. Over a period of time and partly through doctrine and partly through trial and error, this general attitude crystallised into a more specific set of recipes in the public sector reform space. Pollitt (2011: 4) indicates that by the early 1990s a number of influential commentators appeared to believe that there was one clear direction – at least in the Anglophone world [mainly UK and US]. This general direction was soon labelled as the New Public Management [NPM] or in the US [Re-inventing Government]. A pair of American management consultants [Osborne and Gaebler], who wrote a best-seller entitled *Reinventing government* and then became advisers to the US Vice President on a major reform programme, were convinced that the changes they saw, were part of a global trend. They claimed that entrepreneurial government, as they called it, was both worldwide and inevitable (Osborne and Gaebler, 1992: 325-328).

Hood (1991: 3) provides more clarity, when stating that the wave of public sector reform that began in the 1980s is commonly referred to as the new public management [NPM]. The term NPM refers to a focus on management, not policy, and on performance appraisal and efficiency; disaggregating public bureaucracies into agencies which deal with each other; a style of management that emphasises, *inter-alia* output targets, limited term contracts, monetary

incentives and freedom to manage [including other phenomena that are not relevant to this study - like user pay basis; the use of quasi-markets and contracting out to foster competition and cost-cutting].

For those who support the concept of NPM, it is seen as *a catechism* - meaning it answers to preconceived questions as to how government performance might be improved through simulating market discipline and forces. The issue is that NPM is undoubtedly serving short-term political ends in some instances. Public administration concerns studies that are geared at resolving long-term political problems. Such a *catechism* from its supporters and as with all *catechisms* distorts and discourages the deep searching coupled to investigation of partisan claims and contested ideas. For example *resistance to change*, as those with the NPM's answers are prone to interpret sceptical reactions, may in theory and practice be something altogether different to those with questions - a reflection of the essential dynamics of those policy domains within the public sector where problems of legitimacy, consensus, information, and interdependence are prevalent and hard to solve.

The concept of NPM concerns performing functions more efficiently in the public sector, and is the culmination of various *reform efforts* in different areas of traditional public administration. Hood (1991: 4) describes NPM as a shorthand name for the set of broadly similar administrative doctrines which dominated the bureaucratic reform agenda in OECD [Organisation for Economic Cooperation and Development] countries in the 1970s. According to OECD, corporate governance operates on several key principles [i.e. as agreed in 1999]:

- a) a clear distinction exists between ownership and management where it is generally assumed that there is conflict of interests [though that need not always exist];
- b) clear corporate objectives are in place which, other than profit maximisation and protection of shareholder rights, could also include concern for the environment, corporate responsibility;

- c) performance standards are very specific for those in management to meet and/or exceed, and incentives are built into the system to encourage them to do so;
- d) leading from (c), accountability is the core concept as the Board of Directors [*in this instance referring to municipal councils*] seeks to ensure that management is answerable for all actions taken in the name of the firm; and
- e) in the final analysis, disclosure and transparency are thus central to good corporate governance; an example of this is the clear disclosure of pay and governance principles in companies.

NPM has at its roots, a theoretical framework that draws upon various economic theories primarily public choice, agency, and transaction cost. Central to these theories is the view that individuals are maximisers of self-interest, which goes against the grain of traditional public administration which is centred on propagation of the common good (Bhatta, 2003: 6). NPM asserts that the performance of public organisations is enhanced when managers are given operating discretion and are held accountable for their actions and results. It also concentrates on values of efficiency and marketisation, hence the focus on corporate governance. According to Bhatta (2003: 6) NPM incorporates three components:

- (a) marketisation – introducing market competition into public sector production;
- (b) disaggregation – decoupling policy and executive functions; and
- (c) incentivisation – linking incentives to performance.

A deduction from the argument advanced in the preceding paragraphs about the historical foundations of NPM, is that NPM is an attempt to replicate private sector values and practices in the public sector. Together with contracts, competition, and incentives, the intention is to prove that what worked in the private sector can be replicated in the public sector as well. As

argued in the paragraphs above, the view that individuals maximise self-interest [private sector way of thinking] opposes traditional public administration which is centred on propagation of the common good [*i.e. individual interest – private sector approach versus collective interests – public sector approach*]. As it will be indicated in the sections to follow in the NPM debates in this chapter [2.3.1 – 2.3.3] whatever concepts or methods which work in the private sector would not necessarily replicate the same results in the public sector. This is because the private sector environment does not mirror the public sector although some of the experiences can be shared between the two sectors.

In South Africa for instance, new legislation in the local sphere of government has to an extent explicitly demonstrated that the public sector has in a way become involved in matters that were by origin, the domain of the private sector. Section 76 of the *Local Government: Municipal Systems Act, 32 of 2000* [MSA] provides for different mechanisms municipalities have at their disposal for rendering services to the municipal community. These mechanisms are:

- [i] a department or other administrative unit within its administration or a business unit devised by the municipality;
- [ii] a service agreement with a municipal entity, another municipality or an organ of state;
- [iii] a community based organisation or other non-governmental organisation; or any other institution, entity or person legally competent to operate a business activity.

In addition, the *MFMA, 2003* has in its chapter 10, a similar provision as chapter 6 of the *Public Finance Management Act, 1 of 1999* which in essence provides for the utilisation of public entities in the delivery of public services. These public entities are now a feature in metropolitan municipalities in Gauteng Province and they are governed by Sections 84 and 85 of the municipal legislation found in *MFMA, 56 of 2003*.

It can be argued that the application of corporate governance principles in the public sector has placed its focus less on notions of shareholders and more on the themes like leadership, environmental management, risk management, delivery of basic services and performance

monitoring of government programmes and projects. The research will take a management approach, which in this study means an activity in motion that will implement a particular system of performance monitoring and evaluation in operation within the local government sphere. The rigorous interdisciplinary study of government and public management are flourishing (Heinrich and Lynn, 2000: 1).

The Public Service Commission [PSC] argues that a PME system augments managerial processes and provides evidence for decision-making (PSC, 2008: 4). The question that should be asked, is whether the quality of the PME information provided is appropriate and relevant in the current administration in South Africa, even critically - how well it fits into existing managerial processes. The point made by the PSC, is that PME cannot replace effective and efficient management practices; rather it augments and complements management to assure efficient and effective delivery of services – which in this study, means the delivery of minimum basic services as an important objective of analysis in this thesis.

For the study to find expression and be rooted in the public sector, it has to be guided by policy in the form of legislative framework. In the public sector, nothing can be done with regard to any matter before a policy on it has been accepted by the legislature or other competent institution to declare that action must be taken to reach one or more objectives – meaning that when a policy is in place, other generic administrative and managerial functions can commence (Thornhill, 2012: 88).

According to Hood (1991: 3) New Public Management's [NPM] popularity seems to be linked to four administrative megatrends. These include attempts to [a] *slow down or reverse government growth* in terms of overt public spending and employees; [b] the shift toward *privatisation and quasi-privatisation* and away from core government institutions, with renewed emphasis on subsidiarity in service provision; [c] the development of *automation*, particularly in information technology, in the production and distribution of public services and lastly, [d] the development of a more *international* agenda increasingly focused on general

issues of public management, policy design, decision styles and intergovernmental co-operation, on top of the older tradition of individual country specialisation in public administration. For purposes of this study, the main focus will be on the last megatrend [d] above.

It must be mentioned that the agenda in this study, which also refers to an international trend and increasingly focused on general issues of public management [*PM initiative which is strongly reform orientated*] as it will be argued later in the survey of literature, is focused on the generic issues of public management, in particular the performance monitoring and evaluation in the local government sphere of specialisation in South Africa.

### **2.3.1. NPM - a paradigm of questions rather than of answers**

According to authors in the field of public management and administration (Gardner 1997: 23) probing the ironies of the NPM makes possible the deepening of insight into governance; but only the possibility. The argument advanced is that the fields of public management and of administration have too often been lured into intellectual cul-de-sacs where public management is pushed into a *psychobabble* according to Gardner (1997: 23): a *psychobabble* of leadership without authority, public administration into its original sin of separating administration and politics, and both into the fervour of value-based, anti-political approaches to public leadership, a NPM of continuous:

[i] steering, not rowing,

[ii] results, not process,

[iii] production, not politics,

[iv] empowerment, not power, and

[v] collaboration, not conflict.

This NPM argument has, to a large extent, been recasting management as institutional design and statecraft and by appealing to political economy for a rationale. The NPM ironically invigorates the project that Michel Crozier, Terry Moe, and Elinor Ostrom have promoted for many years; which is the development of a theory that integrates politics and administration. This neo-economic outlook was a comprehensive theoretical frame within which to situate facts and suppositions and it did not work (Lynn, 1998: 232).

It is important to indicate that NPM as a concept has been proven to be unsuccessful over the years in public administration – especially in the public sector due to its neo-economic outlook. Any form of research that includes NPM must, therefore, be done with the older tradition of individual country specialisation in public administration. The current study will therefore follow suit and confine itself to proven principles and applications in the field of public management and administration.

The claim that a neo-economic NPM system in public affairs has been inexorably replacing bureaucracy with virtual markets around the world, has from its first appearance seemed tenuous to many academics in Public Administration and Management. According to Lynn (1998: 232) NPM is in actual fact an ephemeral theme [*hence the discussion to follow about post-NPM in 2.3.3.*] that will fade away with time for several reasons:

- the initial shape of the Westminster reforms [in the United Kingdom] that inspired the term will eventually be disfigured in the course of political succession, and partisans and scholars alike will see new opportunities in proclaiming the metamorphosis or demise of the NPM;
- as comparative work across countries and sectors accumulate, fundamental differences among reforms will begin to eclipse superficial similarities;
- the term "new" will be viewed as an inconvenient adjective for emerging forms or objects of inquiry; and
- political debate will require a fresh theme to attract attention to and support for the next wave of ideas for administrative reform (Lynn, 1998: 232).

It could be argued that NPM cannot be the panacea for challenges in the public sector in general and municipality's administration in particular. Over a period of time, it has been observed and studied that the logic of governance in the public sector has a different starting point than the logic of competitive markets in the private sector. In fact, the public sector is governed by formal authority vested in the state by a constitution and by the legitimate actions of officials.

Elected political office bearers or public representatives are not constitutionally restricted from authorising the production of goods and services under public authority, and from using public resources that might just as well be, or are, produced privately [e.g. service enterprises] – this argument has been made [2.3. above] with the example in the South African local government environment, wherein the Section 76 of the *Local Government: Municipal Systems Act, 32 of 2000* which provides for different mechanisms municipalities have at their disposal for rendering services to the municipal community. Moreover, these public representatives are not legally prohibited and restricted from regulating private production in order to accomplish their mandated "political" objective – what this implies is that elected political office bearers may legally authorise the production of collective goods and may create "political property rights," access to and control over public resources for which there is no private production.

The argument is that the most fundamental distinction between public and private organisations is the requirement of operating according to specific legislation. Public organisations exist to administer the law and every component of their structure; employees; budget; and right of existence. The most important consideration is that public institutions are the product of legal authority. Thus, public institutions are official actors bound by constitutional and public law, possessing only the discretion that the law deliberately or implicitly allows. In many ways, NPM will have a legacy that is viewed as a paradigm of questions rather than of answers. The following five probing questions as argued by Lynn (1998: 235) assert the argument:

- How can the researchers conceptualise the performance of governments in terms of the many types of outputs and outcomes, results and processes, having value to democratic constituencies?
- How can the researchers evaluate the contributions of actual and proposed administrative reforms, for example, those premised on competition or on outcome measurement, to governmental performance?
- What are the positive and normative implications of different approaches to situating the power to allocate and take risks with public resources?
- Within the larger picture of democratic governance of legislatures, of public and administrative law, of fiscal and budgetary policies, of administrative structures, and of policy designs—how can the researchers answer the question: in what ways and to what extent do institutions, leadership, and management matter in the creation of effective, accountable democratic states?
- How can researchers mobilise theoretical literatures and systematic empirical methods to assist in these analyses so that findings accumulate to durable insights?

Most of these probing questions about NPM have not received adequate answers. Answering these questions would at least have established NPM as a strong component in the discipline of Public Management and an influential part of the domain - but NPM has failed over a period of time to live up to this expectation. Sustained consideration of such questions is the legacies that will forever be differentiating between the genuine character of the field of Public Management and that of NPM which is not based on a theoretical framework.

The character of NPM has created a platform for authors in the field of public management and administration to dismiss it as unsustainable, because it lacks the necessary basic knowledge and tenets of the discipline of Public Management and Administration. As an example, most governments are anxious to be efficient and effective; so they hastily embrace performance measurement as a panacea for ineffectiveness and inefficiency. This they do by documenting or celebrating this rote response – but unfortunately this is not an adequate scholarly response to justify an NPM initiative as a tenet in the field of Public Management and Administration. For an NPM initiative to succeed it needs a strong government reform programme – meaning that managerial success in the public sector requires stronger political will to achieve set objective in influencing the *politics - administration dichotomy*.

Some governments and in particular administrators argue that performance-oriented government may currently have the power of fashionable doctrine by introducing and advancing NPM philosophy as a quick way to assist them to perform effectively. For a period of time, public institutions and managers may actually perform better without the pressure of accountability. But public administration research must be able to account for governmental outcomes, and improvement must be measured, if the requirement of performance-driven governance is to remain relevant, be sustained by knowledge and the statecraft derived from it.

Using the concept of governance that recognises a consistent theoretical argument, that is based on tested theories and principles of public administration and in a manner analogous to the role theory plays in the study of business strategy – perhaps this approach can inevitably strengthen public administration's capacity to ask and answer the right questions. Instead of creating more questions as it has been the case with NPM. Lynn (1998: 236) suggests that public administration must develop a theory linking politics and administration just as business administration conceptually links markets and firm behaviour. In a way it means to build a foundation for the discipline of Public Administration to produce more knowledge beyond the post-NPM-era and be accountable, which seems to be one of the biggest criticisms of NPM.

### 2.3.2. Accountability in New Public Management [NPM]

A wide variety of market-based concepts summarised under the heading of New Public Management [NPM] have entered government, in particular local authorities and urban politics (Pollitt 1990). NPM or what Peters (1996: 28) calls “generic government” because the NPM philosophy maintains that management is an essentially non-sector-specific function; emphasises the need for competition among different service providers and the empowerment of customers (Osborne & Gaebler 1992: 19-20). The overall goal of NPM is to create a public-choice-style, market like exchange between the producers and consumers of urban services in which consumer choice, rather than preferences among elected officials, decides what services they will be offered and by whom. The focus on costs; efficiency; demand and professional management are the centerpieces of the NPM strategy – this strategy advocates managerial supremacy.

Managerial governance which is a concept advanced by NPM theory also referred to as the “managerial revolution”. It emphasises professional participation over elite political involvement. The NPM slogan of “letting the managers manage” (Osborne and Gaebler 1992: 19-20) is an example of the assumption that politics is not a priority in NPM. According to Pierre (1999: 380) managerial governance draws on a wide variety of instruments – for instance it uses contracts with profit making organisations in the provision of selected public services, new strategies of recruitment to managerial positions in the public sector, increased discretion to these positions, internal markets and other forms of competition both within the public sector and between public and private providers [i.e. PPP’s], and a redefinition of the role for elected politicians. South Africa has seen the emergence of Public Private partnerships [PPPs] in the public sector.

No systematic evaluation [test of accountability] of NPM and the “managerial revolution” in public service production has become apparent. Managerial governance probably has assisted in increasing the efficiency in service production, not least because it has brought in private-

sector expertise into the public sector. With regard to the efficiency of internal markets and customer choice, the effects are more uncertain. NPM is a contested reform strategy in jurisdictions where *Rechtstaat* ideals still dominate the organisational culture of the public sector (Peters & Pierre 1998: 14).

In the introductory section of this chapter it was argued (Crous, 2004: 575) that government and the activities it undertakes to deliver services are the result of political dynamics. This view is supported by Thornhill (2006(b): 805) that one core issue distinguishes Public Administration from other related disciplines is the political milieu within which its operational activities are performed – the approach of NPM has been considered to be alien and mis-aligned to values that define the character, discipline and domain of Public Administration.

There are three main concerns regarding NPM that have, to a large extent exposed its inability to foster and entrench accountability in its models of reform. In this section of the chapter, the three concerns will be discussed. They are:

- i. NPM's inability to define alternative models of accountability;
- ii. NPM places the public sector in an *undesirable permanent dependency-mode on professional management resources* inside and outside its agencies and organisations; and
- iii. Bringing NPM into urban politics assumes *a degree of organisational flexibility in local government that does not exist* in various countries.

As argued by Osborne and Gaebler (1992: 19-21) the *first* common problem in New Public Management [NPM] has been its *inability to define alternative models of accountability*. Although NPM advocates argue that managerial governance offers citizens a more direct and influential input on the governance of urban public services compared to the traditional system of local government, they also tend to be quiet on how their model defines political control and accountability (Peters & Pierre 1998) – which are the cornerstones and pillars in the classical

discipline of Public Administration. The important requirement is that politicians must be held accountable for service production although they may have virtually no control due to legislation of Public Private Partnerships [PPPs].

The *second* problem is that managerial governance as outlined by NPM theory, places the public sector in an undesirable permanent dependency-mode on professional management resources inside and outside its organisations. Traditional qualities associated with public employment such as education in Public Administration and law do not carry much weight as business management ideals are to govern public service production and delivery. To some extent, this may well be a short-term problem. However, bringing in expertise from the private sector may be just as much a problem as a solution because these professional groups usually fail to understand the public sector's emphasis with due process. The introduction of NPM thus means a clash of two distinctly different organisational and professional cultures that will not be resolved easily. The argument by Pierre (1999: 379) is that the values that are indigenous to the public sector and public office are alien to strict business management practices and vice versa.

The *third* and final concern is that, bringing NPM into urban politics assumes a degree of organisational flexibility in local government that does not exist in some countries – in particular South Africa. Citizenry's choice introduces an element of considerable uncertainty to local government, which has far-reaching organisational consequences. For instance, offering parents' choice with regard to which school they should send their children means that government can no longer plan education spending in different geographical areas with the same degree of accuracy as in the previously used planning system, which was based on demographic data. To cope with this uncertainty, public organisations must become flexible enough to be able to reallocate resources on a fairly short notice to those service areas where the demand is the biggest. Alongside the NPM campaign there is a similar need for more flexible government (Peters 1996: Chapter 4).

Extrapolating the fact is that managerial governance [i.e. NPM], accords only a minimal role to politicians. The emphasis of this governance method is on output performance according to private management standards. Managerial governance [i.e. NPM] blurs the public-private distinction, not least on an ideological level, by portraying service producers and the citizenry as actors in markets and by identifying market-based criteria as the main criteria for evaluation – which is alien to the discipline and domain of Public Administration (Pierre, 1999: 379). A lack of accountability in NPM has been one of its biggest failures in the public sector, which may have led to its demise. Academics and practitioners in the discipline and domain of Public Administration have moved beyond NPM and are now referring to the post-NPM-era.

### **2.3.3. Post-New Public Management [NPM] era**

An important outcome and an emerging issue from NPM and in particular, one of its components has been ‘agencyfication’ of the public sector environment – which, according to Bhatta (2003: 4), refers to the practice of creating types of agencies in the pursuit of the attainment of government goals. To a considerable extent, the composite theme in NPM has also been the role of agencies and public entities – both refer to one and the same thing.

After the 1990s, which is also the period defined as the post-New Public Management [NPM] era, one of the key developments in public management has been the rise of autonomous agencies which are largely mandated to provide services to the citizenry. At the same time they must not be in control of senior government officials and public representatives [i.e. Ministers]. The reasons for creating autonomous bodies vary, but they usually concern managerial autonomy of public entities known as State Owned Enterprises [SOEs] in the South African public sector environment - with specialised functions or deliberate intention of separating policy implementation and policy advice from policy-making. Other reasons include enabling collaborative partnerships between different public organisations (Bhatta, 2003: 7).

Only if the New Public Management [NPM]’s academic admirers would avoid the trap of becoming a cult of programmed believers, then NPM would have three constructive legacies for the field of public administration (Lynn, 1998: 231), namely:

- a stronger emphasis on performance-motivated administration and inclusion in the administrative canon of performance oriented institutional arrangements, structural forms, and managerial doctrines fitted to particular contexts, thus, advances in the state of public management;
- an international dialogue on and a stronger comparative dimension to the study of state design and administrative reform; and
- the integrated use of economic, sociological, social-psychological, and other advanced conceptual models and heuristics in the study of public institutions and management, with the potential to strengthen the field's scholarship and the possibilities for theory-grounded practice.

It could therefore be argued that NPM academic admirers are programmed believers in the notion of NPM and in the process they fail to bring the concept of NPM into the mainstream of Public Administration and Management as a solid subfield with a constructive legacy – hence the focus beyond NPM. There are particular thematic areas and solid themes that are emerging in the post-NPM era. According to Bhatta (2003: 2) it is now becoming increasingly apparent that the application of the contents of New Public Management [NPM] is being crystallised under three emerging themes: (i) a re-emphasis on the values of public sector standards and ethical behaviour; (ii) a fresh look at how the centre of government can be strengthened so as to not only veer away from the apparent haphazard and vertical-silo nature of policy-making and service delivery, but also to provide much-needed coherence and impetus on instituting a whole-of-government ethos in the public sector and (iii) the application of the principles of good corporate governance in the business, economic, and public management domains.

The current study of performance monitoring and evaluation will be focusing on the third theme, which puts emphasis on applying principles of good corporate governance in the public administration and management domain. In orthodox terms, corporate governance denotes the manner in which corporations are administered and managed. It is usually taken in contrast with public sector governance, which refers to administration and management of public sector agencies. Corporate governance principles are now found in the post-NPM to be applicable in the broader public sector, where non-public service agencies are clustered and used in the delivery and procurement of government services. This situation has led to a point where academics and practitioners in the discipline of Public Administration must assess and evaluate the domain and the practice of the discipline in a contemporary state.

#### **2.4. The domain of Public Administration in a contemporary state, with specific reference to South Africa**

In the early 1990s the discipline and domain of Public Administration in South Africa had to consider the so called New Public Administration Initiative [NPAI] which was published in what came to be known as *Mount Grace I*. The first major gathering to debate NPAI happened in 1991. Anne McLennan termed the process the advent of 'democratic administration' (McLennan, 1997: 120). The focus of the Mount Grace Conference deliberations was the character of the post-apartheid public service, the nature of appropriate public sector training for the new administration, and the state of the Public Administration discipline that was to serve in the post-apartheid public sector.

In reflecting on the state of the discipline, participants argued that the current theory, teaching and practice of Public Administration were in crisis. Specifically, teaching and practice was too descriptive: lacking sufficient analytical, explanatory and predictive techniques; reductionist: restricting and reifying the domain of Public Administration to one view of the administrative processes only (Cameron & Milne, 2009: 386).

Hoag (2012: 123) argues that with the advent of democracy and the broad transformation of state institutions into integrated, national and inclusive entities - the South African public administration has purportedly entered a new era that is based on principles of equity and meritocracy. While South Africa has adopted these policies, as part of a New Public Management [NPM] paradigm, administrative reform has been largely driven by domestic actors. Unlike many other African countries, South Africa's adoption of NPM did not depend on the compulsion of international financial institutions and donors. Instead, the South African academics and practitioners initiated change in how they approached public administration in the new post-apartheid era.

The NPAI was a process, an initiative, a concept and a commitment to change. It was proposed that the initiative captures the spirit of transition in South Africa and as the potential for the future. Details are contained in the *Mount Grace Papers: The New Public Administration Initiative and the Mount Grace Consultation*. The debate on NPAI was centrally a reconsideration of the study of Public Administration. It proposed the extension of the areas of interest to civic, non-governmental and community organisations.

The questions posed, include whether a *new mode of doing* was required to meet the needs of the new demands by the newly liberated society (Thornhill, 2006: 800-801). The Initiative was a clear call to reconsider not only the extent of the study of Public Administration. It also introduced a debate for a paradigm shift in the study of the Discipline. It was argued that the traditional descriptive approach to the study emphasising processes and procedures should be changed to a value-oriented public management approach. The attention in the study of the Discipline and in the public administrative practices should thus be on the importance of the implementation of policies and social programmes to cater for the needs of the newly demarcated and fully integrated society.

The deliberations indicate that the study of the Discipline should emphasise rigorous scientific analysis, explanation and prediction; be socially and professionally relevant; and be development oriented. It also highlights the need to reconsider the extent and nature of the services for which the state has to accept responsibility. Academics entered the debate on the teaching of Public Administration with a view to improving the quality of the role the state could play in society. This implied that it became necessary to review the paradigm of Public Administration. It already paved the way for an effort to ensure that the domain of the Discipline will be relevant and strengthen the link between the academic discipline and the practice (Thornhill, 2006 (b): 800).

In 2000, *Mount Grace II* was convened. The deliberations demanded of academics to debate the Discipline; to reconsider the training needs of the public officials and to avoid falling into the trap of the finite needs fallacy; the competition for scarce resource opportunities fallacy; the one best way fallacy; the unidisciplinary fallacy, and the orthodox fallacy. Mount Grace II was in fact a clarion call for academics to critically assess their contributions to the development of the public service adhering to particular community values, but intent on providing efficient and effective services to meet the changing needs of society (Thornhill, 2006 (b): 801).

Based on an overview of journal articles from 1994 to 2006 in two academic journals in the field of public administration in South Africa, [Journal of Public Administration and Administratio Publica], Cameron and Milne arrived at a conclusion that there was very little theory development in the Discipline. Further, they held a view that most research was descriptive and normative and there was very little testing of validity or causality (Cameron & Milne, 2009: 391). The study of performance monitoring and evaluation [PME] is aimed at the development of public services at a municipal level to ensure that delivery of services adhere to particular needs and values of communities. It is a study that tests validity and causality in urban informal settlements [UIS] found in three selected metropolitan municipalities in Gauteng, South Africa.

## 2.5. Performance monitoring and evaluation [PME] as a reform programme

The possibility exists that NPM could be equated to administrative reform (Carstens & Thornhill, 2000: 177). According to thesaurus dictionary - reform [c.1300], means "to convert into another and better form," from O.Fr. reformer [12c.], from L. reformare "to form again, change, alter", from *re-*"again" + *formare* "to form". The noun means, the improvement or amendment of what is wrong, corrupt, unsatisfactory: e.g. *social reform*.

The argument that will be presented in this section is that performance monitoring and evaluation [PME] is an NPM initiative supported by a strong reform programme that has been given authority by political leaders. It has been discussed that NPM was introduced during reform programme in the 1980s in some industrialised countries [i.e. United Kingdom, United States, Australia, New Zealand]. Some NPM measures could only be effectively applied when supported by an official reform programme, which implied that politicians must also pursue reform goals and regard NPM as a means to attain such goals.

In South Africa, PME has been introduced by the Presidency under the Department of Performance Monitoring and Evaluation as a reform programme. The Ministry of Performance, Monitoring and Evaluation task is to set expectations of improved outcomes across government and manage a results-oriented approach across the three spheres and other organs of state. It will review the data architecture of government so that the required performance information is generated. The three main focus areas of the Ministry of Performance, Monitoring and Evaluation will be (SA - The Presidency, 2009: 19):

- Management of outcomes through Ministerial accountability for improving delivery performance: The Ministry will play a supporting role in establishing the performance agreements with Ministers/MECs and sectoral delivery agreements, focusing on a small set of outcomes and a selected group of outputs. Ministers/MECs. This may also include legislation on programme evaluation and other M&E dimensions.

- Institutionalising the Government-wide Monitoring and Evaluation system: The Ministry's work will build on existing initiatives with a renewed focus on improving input, output and outcome measures. The capacity building strategy for GWM&E will be strengthened to accelerate development of technical skills required for outcomes-focused performance management.
- Unblocking service delivery: The delivery unit will assist in a limited number of institutional environments to help turn around blockages and non-delivery.

The Green Paper on improving government performance intimates that:

*to improve service delivery standards ...we must do more with less. The focus has to be on value for money. Wasteful and unproductive expenditure and corruption cannot be afforded.... This part of the process is about improving our efficiency; it is about reducing the unit cost of the service we provide. Ensuring that the outputs deliver the outcomes that have been politically chosen, is a measure on whether government is being effective. Genuine change based on critical self-reflection is required. That means changes in how we behave not just superficial adjustments to existing processes, systems and formats.*

Similar to industrialised countries in their reform programmes of the 1980s, South Africa is starting to focus on reform programmes that will assist government to improve efficiency; implement cost and programmes reduction and to become effective. Performance monitoring and evaluation is considered as a reform programme that will ensure that government achieves its reform objectives. Reform refers to the process or procedure of becoming better by removing or abandoning imperfections faults and errors (Thornhill, 1994: 4).

The argument of Thornhill above, is that the objectively perceivable imperfections, faults and errors must be a motive or rationale for reform – which the green paper advocates. The fact of the matter is that not all political bodies, or governments, would regard the same set of

circumstances as imperfections or faults. The decisions depend on their value systems and political persuasion of what constitutes acceptable processes and outputs. It can also be argued that not all political institutions have the political courage and support to attempt to take action to change undesirable imperfections, faults or errors. Only a legitimate government, which has an electoral mandate and political support, would have the strength and opportunity to channel; muster resources and rely on electoral mandate to change undesirable situations; inefficiencies and ineffectiveness in its systems.

According to Carstens & Thornhill (2000: 178) - countries such as the United Kingdom, Australia, New Zealand and Canada, which introduced administrative reform since the 1980s have two focus areas. Firstly an unambiguous demand for results in terms of efficiency, effectiveness, and quality of service, and secondly, the replacement of highly centralised hierarchical structures with decentralised management structures. Moreover, reform is a government action as it has been alluded to in the Green Paper in the paragraph above. Karim (1992:31) argues that politicians and public managers could lead the process, or have a strong personal influence, but for a reform action to be successful it must be able to generate the continuous support of politicians and senior officials.

The South African government through the office of the President, in the Department of Performance Monitoring and Evaluation [DPME] has set twelve priority outcomes for government since 2011. They are:

- i. *Basic Education*: Quality basic education,
- ii. *Health*: A long and healthy life for all South Africans,
- iii. *Safety*: All people in South Africa are and feel safe,
- iv. *Employment*: Decent employment through inclusive economic growth,
- v. *Skills*: Skilled and capable workforce to support an inclusive growth path,
- vi. *Economic Infrastructure*: An efficient, competitive and responsive economic infrastructure network,

- vii. *Rural Development*: Vibrant, equitable, sustainable rural communities contributing towards food security for all,
- viii. *Integrated Human Settlements*: Sustainable human settlements and improved quality of household life,
- ix. *Local Government*: Responsive, accountable, effective and efficient Local Government system,
- x. *Environment*: Protect and enhance our environmental assets and natural resources,
- xi. *Internal and External Relations*: Create a better South Africa, a better Africa and a better world,
- xii. *Public Service*: An efficient, effective and development oriented public service and an empowered, fair and inclusive citizenship.

These priority outcomes are important in ensuring that there is reform in the three spheres of government which will enhance service delivery for citizens. Outcome nine [ix] is an area of focus in this study – PME contributes to a responsive, accountable, effective and efficient local government system.

Performance monitoring and evaluation [PME] is a *reform* initiative set out by the Presidency under the Department of PME and one of its key responsibilities is to conduct performance monitoring and evaluation on the twelve outcomes; as set by the office of the President. The Presidency expects that this reform will enhance the performance of government service delivery programmes and have an effect on the behaviour of individuals involved [i.e. public officials and political office bearers]. In his foreword on the National Policy Evaluation Framework [NPEF, 2011]; the Minister of PME Mr. Collins Chabane states:

*We have moved to establish plans for our priority outcomes, to deliver them and to monitor them. This policy framework provides the next essential part of the jigsaw, setting out the basis for a government-wide evaluation system to be applied across the public sector, but initially focusing on our priority areas. It should assist to provide a marked step-up in performance of the public sector and contribute to the establishment of a culture of continuous improvement.*

The framework for PME in South Africa is based on the section 195 in the Constitution which mandates inter alia that in the principles of public administration:

- [i] efficient, economic and effective use of resources must be promoted;
- [ii] must be development-oriented;
- [iii] must be accountable; and
- [iv] transparency must be fostered by providing the public with timely, accessible and accurate information.

It is international practice that reform actions be introduced through the direct involvement of politicians whose actions are aimed at improving the operations of government and public administration to attain national goals. According to Quah, (1992: 121) administrative reform requires changes on two important fronts in particular [i] *the structure and procedures of the public bureaucracy (i.e. reorganisation or the institutional aspect)* and [ii] *the attitudes and behaviour of the public bureaucrats involved i.e. the attitudinal aspect*. It is further argued by Carsterns & Thornhill (2000: 178) that the scope of reform interventions includes changing the operational structures of governments, namely their departments, altering their work methods and procedures and the behaviour and attitudes of the managers and operational employees. Reform could be applied *comprehensively* spanning the total public sector, or *selectively*. Reform interventions are measures which are related to the reform goals and objectives of politicians to deliberately change the *status quo*. However, not all initiatives of public managers to change the *status quo* are reform interventions. Administrative reform must be sanctioned by politicians, but are often initiated by senior public officials.

For this *reform* to be effective - it would require relevant policy, procedures, re-structuring, human resource training and adjustment of processes in administration – which have already been effected by the South African government to a considerable extent since 2009. This must take place in all spheres of government. Managerial issues will also have to be considered with the authority by politicians and legislators. An important consideration that must be noted, is

that to change the undesirable *status quo* is not an easy task. The approach of reformers during the reform process, which could be incremental improvements or a strategic departure from the *status quo*, determines the nature and extent of the reform interventions. This means that a wrong approach or a lack of understanding or support from both the public and public officials can stall reform and have detrimental effects.

For reforms to be successful, politicians who are the main role-players must make sure that there is support from both the public and the officials responsible in the administration. Although support of officials in government is necessary, it is at a secondary level – the most important stakeholder, who should support any government reform, are the citizens as they are the recipients of the services produced by the public institution.

It has been argued that government interventions which are introduced to attain reform goals similar to performance monitoring and evaluation [PME] - are known as New Public Management [NPM]. However, NPM is only the utilisation of a particular style of management to effect these reform goals – as it has been the case with the introduction of PME in the South African public administration environment. It has been indicated that PME is applied within a reform framework where the national reform goals are clear and politicians, in particular the Presidency and the Minister of Performance Monitoring and Evaluation are leading the process.

Public managers, who aspire to introduce NPM initiatives supported by reform interventions [i.e. PME], could find it difficult to implement it successfully if the head of state is not committed and a broad political will to support it, is lacking. Carstens & Thornhill (2000: 190) argue that South Africa must differentiate between reform, and NPM initiatives, which was introduced during reform programmes since the 1980s in some industrialised countries. Some NPM measures could only be effectively applied when supported by an official reform programme, which implies that politicians must pursue reform goals and regard NPM as a means to attain such goals and not an end in itself. This is the case in this study as argued in the

preceding paragraphs. One of the effective policy application conduits to realise reform programmes is to infuse them into governance.

## **2.6. The concept of governance and good governance**

The focus on government has broadened with the diffusion of responsibilities and capacities for action within society. As a result, the meaning of *governance* has broadened with the diffusion of responsibilities in society to a point where even the concept governance has the adjective *good* added. Gildenhuis and Knipe (2000: 91) argued that the adjective “good” is almost always used and appended next to governance like “effective” or “sound” governance.

### **2.6.1. Governance**

The concept of governance entered the literature of Public Administration in the late 1980s. There was, unfortunately, no clear definition attached to the term (*cf.* Naidoo, 2004: 104). As a result, the term governance has different meanings attached to it, for instance the World Bank defines governance as the process of policy making through active and cohesive discussion among policy makers who are interconnected through a broad range of networks (Kooiman 2003; World Bank 1994). Lynn, L. E., Jr.; Heinrich, C.J. & Hill ,C.J. (2000: 234) argues that the term *governance* is widely used in both the public and the private sectors. This characterises both global and local arrangements, and refer to both formal and informal norms and understanding. Because the term has strong intuitive appeal, precise definitions are seldom thought to be necessary.

The United Nations has a closely associated and similar definition, which states that governance is a comprehensive concept referring to the combined effort of political and public institutions in conjunction with the private sector [including non-governmental organisations] in providing services to society. Thornhill (2006: 803) argues that governance is an indication of a significant

new development in the practice of public administration, and by implication also in the Discipline.

According to Najem & Hetherington (2003: 2) the concept of governance has been expanded by the World Bank and other international aid donors, non-governmental organisations, academics and Western governments and politicians to encompass a much broader and more generalised range of ideas and policies, to the extent that it is not always clear what, exactly, is meant when one is using the term. A more robust perspective on governance has been coined by a group of authors - Suk Kim; Halligan; Cho; Oh & Eikenberry (2005: 647). They argue that the meaning of governance originated from a collective but different schools of thought. Their argument is that by its nature, governance is a multiple-stakeholder process (Hemmati 2002) and a function of the many ways that individuals and institutions, both public and private, manage their common affairs [Commission on Global Governance 1995]. The UNDP (1995) states that the concept of good governance as it is currently used, include all of the following:

- i. economic liberalisation and the creation of market friendly environments;
- ii. transparency and accountability with respect to both economic and political decision-making;
- iii. political liberalisation, particularly democratic reforms;
- iv. rule of law and the elimination of corruption; the promotion of civil society;
- v. the introduction of fundamental human rights guarantees, especially with respect to political rights such as freedom of expression, freedom of assembly and freedom from arbitrary imprisonment; and
- vi. the adoption of policies designed to safeguard long-term global interests like education, health and the environment.

It can be argued that the process and concept of governance includes actors beyond government, including the market and civil society institutions. Rhodes (1997) asserts that governance means there is no one centre, but multiple centres and no sovereign authority. For some, this trend entails government transformed into governance (Albrow 2001), whereas for

others, governance complements rather than replaces government (Offe 2005). From all the different interpretation it can be argued that the process and concept of governance is complex and requires application based on context. For the purpose of this study the context is the local sphere of government in a municipality.

### **2.6.2. Good governance**

According to Kuye (2007: 560) the concept of good governance is the main determinant of governance requirements in any modern state. Suk Kim; Halligan; Cho; Oh & Eikenberry (2005: 647 - 648) argue that good governance, efficient and effective public administration, are necessary conditions to achieve sustainable development. They state that good governance is indispensable for building peaceful, prosperous, and democratic societies and is marked by several major characteristics. Its components are transparency, participation, consensus orientation, accountability, responsiveness, effectiveness and efficiency, and equity and inclusiveness in accordance with the rule of law. According to Suk Kim *et al.* (2005: 648), key aspects include:

- i. government reform and innovation,
- ii. local governance,
- iii. transparency,
- iv. participation, and
- v. social integration and development

The first and second key aspects of good governance – as they relate to government reform and local governance are relevant and important in this study of performance monitoring and evaluation [PME]. Their importance cannot be overemphasised because it refers directly to the critical aspects of reducing costs by implementing a more centralised decision making process and creating a more flexible and responsive local sphere of government for the benefit of local residents. In this study, governance will be considered and accepted as “good” if the identified

metropolitan municipalities in particular and the local sphere of government in South Africa have moved to a level where it is a constitutional requirement to deliver effective and efficient basic municipal services to the communities they serve; especially in communities where people live under conditions of squalor, poverty and underdevelopment – like those found in urban informal settlements adjacent to metropolitan municipalities in Gauteng, South Africa.

In 2002, the report of the Secretary-General of the UN on the Role of Public Administration in the implementation of the Millennium Declaration [A/57/262 - E/2002/82], argues that the problem many developing countries face is not only how to generate more resources, but also how to ensure that resources are utilised efficiently and towards projects that benefit the neediest in society. Improving public resource mobilisation and management are above all an issue of good governance, and not just a technical matter (United Nations, 2002: 1).

In the study of Public Administration, the presence has to be acknowledged of so-called private sector phenomena e.g. stakeholder interest; shareholders; risks; and client preferences. This is particularly obvious in the municipal sphere of service rendering through public-private partnerships and public entities as provided for in the relevant municipal legislation. Reference was made to *The Local Government: Municipal Systems Act, 2000* and the *Local Government: Municipal Finance Management Act, 2003* which refers to the new concept of governance relating to the extended area of operation of the public sector.

The local sphere of government has experienced increased participation of the private sector in the so called Public-Private-Partnerships [PPPs]. These partnerships are used for small and big infrastructure delivery as innovative methods and value-for-money solutions. As an example the South African government has developed what is called *National Treasury's PPP Manual* as a way of regulating PPP project cycles for government at all three spheres, outlining policy and providing procedural clarity (South Africa - National Treasury, 2004: I).

This current way of considering the provision and procurement of public services has also ushered in a dimension of corporate governance principles found in the King I - 1994, II – 2002

and III - 2009 reports - which were originally aimed at the private sector. The King reports are now also applicable to section 239 institutions as outlined in the South African Constitution, 1996. Section 239 defines an organ of state which includes institutions in one of the three spheres of government i.e. department of state or administration. A municipality and its entities are also part of section 239 institutions as areas of interest in this study.

### **2.6.3. The King Report on Corporate Governance and implication to the sphere of local government**

In July 1993, the Institute of Directors [IOD] in South Africa requested a retired Supreme Court of South Africa's judge Mervyn E. King SC, to chair a committee on corporate governance. Judge King viewed this as an opportunity to explain to the newly established democratic South African public on the working of a free economy. The King committee's report was to be the first report of its kind in South Africa (King I, 1994: chapter 1).

According to authors Vaughn & Verstegen Ryan (2006: 506) the history of corporate governance in South Africa can be traced to the early 1990s as a response to the changing political landscape, a shift in corporate control structures and a desire to be competitive in a global market. A committee commissioned by the IOD issued the King Report on Corporate Governance (Kakabadse and Korac-Kakabadse, 2002). A second, more comprehensive King Committee Report [King II] was issued in 2002 and the third in 2009. The authors argue that the primary objective of the King Report is to promote the highest standards of corporate governance in South Africa by advocating an integrated approach to governance in the interest of a wide range of stakeholders (Barrier, 2003; Kakabadse and Korac-Kakabadse, 2002).

The King I report is applicable to all companies listed on the main board of the Johannesburg Stock Exchange, in particular large public entities as defined by *the Companies Act, 61 of 1973 of South Africa [now repealed by Companies Act, 71 of 2008]*; banks, financial and insurance companies as defined by the *Financial Advisory and Intermediary Services Act, 37 of 2002*; and

large unlisted companies. It defined “large” as companies with shareholder equity over R50 million, but encouraged all companies to adopt the code (King I, 1994: Chapter 20).

King II, in addition to those types of organisations listed in King I, is applicable to departments of State or national, provincial or local government administration falling under the *MFMA, 56 of 2003* and public institutions or functionaries exercising a power or performing a function in terms of the *Constitution*, or exercising a public power or performing a public function in terms of any legislation, excluding courts or judicial officers. In the introductory part of the report it quotes the words of Sir Adrian Cadbury in the Corporate Governance Overview, 1999 World Bank Report, he stated:

*Corporate governance is concerned with holding the balance between economic and social goals and between individual and communal goals...the aim is to align as nearly as possible the interests of individuals, corporations and society*

As it was the case with King I, King II encourages all companies to adopt the applicable principles from the code (King II, 2002: 7). The key principles of the King II report cover the following areas about directors and their responsibility: risk management; internal audit; integrated sustainability reporting and accounting and auditing. The King II (King II, 2002: 11-12) committee identifies seven primary characteristics of good corporate governance:

- i. discipline,
- ii. transparency,
- iii. independence,
- iv. accountability,
- v. responsibility,
- vi. fairness, and
- vii. social responsibility.

In contrast to King I and II, the King III is applicable to all entities, public, private and non-profit. King encourages all entities to adopt the King III principles and explain how these have been

applied or are not applicable. The code of governance is applicable from March 2010 (King III, 2009). The report incorporates a number of global emerging governance trends:

- i. Alternative dispute resolution;
- ii. Risk-based internal audit;
- iii. Shareholder approval of non-executive directors' remuneration; and
- iv. Evaluation of board and directors' performance.

It also incorporated a number of new principles to address elements not previously included in the King reports:

- i. IT governance
- ii. Business Rescue
- iii. Fundamental and affected transactions in terms of a director's responsibilities during mergers, acquisitions and amalgamations.

The code of corporate governance is not enforced through legislation. However, due to evolutions in South African law many of the principles put forward in King II are now embodied as law in the *Companies Act, 71 of 2008*. In addition to the Companies Act, there are additional applicable statutes that encapsulate some of the principles of King III such as *the MFMA, 56 of 2003*, *PFMA, 1 of 1999* and *the Promotion of Access to Information Act, 2 of 2000*. This is important and relevant to the study due to its applicability to a municipality and its council as a minimum standard for good corporate governance.

#### **2.6.3.1. The *Business Judgement Rule [BJR]***

The King II committee developed and integrated its fundamental principles into tangible guidelines for minimum standards of corporate governance. The report addresses the accountability and responsibilities of boards and individual directors, along with the processes of auditing and accounting, and offered a series of recommendations for further improvements

in South African corporate governance. It also introduced a rule called *Business Judgement Rule [BJR]* (King II, 2002: 69).

Essentially, the rule protects directors against being held accountable for business decisions, however unwise they subsequently turn out to have been, if they were made on an informed basis, in good faith, and without any conflict of interest, and if the decision was rational at the time in all the circumstances (King II, 2002: 70). According to the King II report, the business judgment rule, based on this view, is not a general shield for directors. Their decisions exist alongside their duty of care - which is an entirely separate and distinct, although complementary concept. A separate analysis of whether or not a director has complied with the duty of care is always necessary. This duty applies whether or not a business judgment has been made. So, for instance, if the directors fail to monitor the affairs of the company, there could be liability under the duty of care, and the business judgment rule would have no application (King II, 2002: 70).

The *Companies Act, 71 of 2008* [also known as ‘the new Act’] introduced the business judgment rule [BJR] into South African company law for the first time. In South Africa, at common law, directors are liable for negligence to the company, i.e. they have a duty of care, but are said not to be liable for errors of judgment, taken on good faith. This last can also be expressed in a different way. For instance, in *Levin v Feld and Tweeds Ltd* it was stated that it was no part of the business of a Court to determine the wisdom of a course adopted by a company in the management of its own affairs. In sum, the business judgment rule means that shareowners should not be entitled to damages by reason of judgment calls made by directors, save in the circumstances where the directors have failed to exercise business judgment on an informed basis, with no conflict of interest and on a basis of the decision being rational in all the circumstances at the time of the decision (King II, 2002: 70). The opposite will only apply if reason was biased or made in bad faith [*mala fides*] and not on an informed basis.

According to Natasha Bouwman who is the Company Secretary and Legal Specialist at IOD [May 19, 2011 – Money Marketing], the [BJR] has been developed in the US and implemented there effectively, in order to:

- deter a risk-averse culture among directors as their liability increases. It is envisioned that the rule could assist to prevent directors not taking part in risky activities that could be beneficial to the company;
- persuade competent individuals to take up the position of director;
- avoid ‘judicial second guessing’: The evaluation of business decisions by judges after the event is problematic because judges then have the benefit of hindsight – something the directors did not have when making decisions; and
- avoid shareholder management of the company and if certain decisions made by directors are protected by means of the business judgement rule, shareholders will be wary of bringing legal action against directors, owing to the potential of failing in their action and the legal costs involved.

In essence, the business judgement rule [BJR] that is contained in the new Act, can be invoked in instances where directors of companies in South Africa are faced with claims based on breach of a director’s duty of care and skill, as well as claims based on breach of a director’s fiduciary duties. The King I, II, III codes of good governance have been considered by the South African government and their guiding principles are now also applied in the public sector. The *Business Judgment Rule [BJR]* in the King Code is applicable to all organs of state (cf. section 239, Constitution, 1996).

Thornhill (2006 (b): 804) argues, that the [BJR] in the King Code means that councillors in a municipality could personally be held accountable for decisions that turn out to be detrimental to a particular community if a decision was taken without considering all the facts; was biased and *mala fides*. This is a novel concept in the public sector and exemplifies the merging of the traditional two clearly demarcated sectors each operating under rather different sets of ethical guidelines and decision-making rules. Governance in contemporary society has created a

further need to reconsider the implications of the decision-making processes. The King Report could be cited as a major deviation from the traditional concept of public sector decision-makers not being accountable for decisions taken as a result of the political values attached to the facts in coming to particular conclusions.

## 2.7. Conclusion

Discussions in this chapter have clarified that the study of performance monitoring and evaluation [PME] is indeed located in the discipline of Public Administration. It was argued that PME is an action performed under the guidance of management and an implementation dimension used by the public sector to obtain value for money in programmes and projects they undertake.

An important feature in the chapter that was highlighted is that performance monitoring and evaluation [PME] is a central tool for the *government reform programme* used by the Presidency in South Africa to manage interventions; improve practice; ensure efficiency; effectiveness and accountability. PME is connected to policy implementation – conversely, it can therefore be argued that PME ensures that policy is implemented and outcomes are evaluated and monitored to give results.

It is important to mention, that the study will be specific in investigating whether government policy [GWM&E] is implemented through the introduction of performance monitoring and evaluation [PME] to assess Impact Evaluation [IE] in the service delivery budget implementation plans [SDBIP] of the identified metropolitan municipalities - as they relate to the provision of basic municipal services especially in the urban informal settlements [UIS].

In this chapter, the debates about the role of pre-and-post-NPM were extensively discussed and how the post-NPM era has produced a theme that is a critical aspect of administration and management in the public sector. Specific reference was made to the concepts of governance

and how corporate governance principles of the private sector have now been applied and relate to issues in the public sector - in particular the King report's business judgement rule [BJR] and its implications on section 239 institutions [i.e. a municipal council]. The BJR can be applied where politicians [i.e. councillors] in a municipal council are found to be acting in contravention of the rule.

The discussions in the chapter and arguments with regards to the important issue of what must exactly constitute the themes that will define the discipline and domain of Public Administration or whether is it still relevant to consider some aspects of NPM – were highlighted and extrapolated. An issue that could be emphasised in the different discussions in the chapter is that the key to *reform* in the public sector governance remains the level of strong political will and authority. The next chapter will consider the principles and essence of performance monitoring and evaluation [PME].

## CHAPTER 3: PRINCIPLES OF PERFORMANCE MONITORING AND EVALUATION

### 3.1. Introduction

Performance measurement is not new (Bouckaert, 1994: 90) – the indication is that it is as old as the discipline of Public Administration itself. In the nineteenth century Woodrow Wilson wrote about the need to design an administrative system that will perform well against efficiency criteria and F.W. Taylor advocated a generic approach towards measuring the efficiency of workers (Dunsire, 1973). However, interest in the study of measuring of public sector performance became more advanced over the last quarter century and developed along several dimensions (Bouckaert, 1994: 90). A capable, efficient, effective and delivery orientated state is essential to achieve sustainable socio-economic development. It has been established that with the emergence of globalisation, there are growing pressures on governments and organisations to be more responsive to the demands and needs of multifaceted stakeholders and to be rigorous in good governance, accountability and transparency, greater development, effectiveness, and delivery of tangible results.

According to Kusek & Rist (2004: xi), governments, parliaments, citizens, the private sector, nongovernmental organisations [NGOs], civil society, international organisations, and donors are among the stakeholders interested in improving performance. As demands for greater accountability and real results have increased, there is an attendant need for enhanced results-based performance monitoring and evaluation [PME] of policies, programmes, and projects. Performance monitoring and evaluation [PME] has become a powerful public management tool [reform programme] that can be used to improve the way governments and organisations achieve results. Just as governments need financial, human resource, and accountability systems, governments also need effective performance feedback systems – which are required for proper PME.

Performance monitoring and evaluation [PME] of government programmes in different spheres have become important aspects of *reform* in modern public sector management in the post-

New Public Management [NPM]. In this chapter discussions will be narrowed to extrapolate the South African context. The South African government in the office of the President has since 2009, prioritised PME as a necessary reform programme in pursuit of its agenda of socio-economic *transformation*. The Department of Performance Monitoring and Evaluation [PME] was established to implement this new reform and associated policies in all spheres of government.

*Transformation* is different from *reform*. Originally, the word transformation according to Thesaurus dictionary was conceptualised in 1400–50s. It originates from Late Latin (stem of *trānsfōrmātiō*) change of shape. It means to change in form, appearance, nature, or character. PME is therefore a *reform programme* in a *transformed* political environment of local government since 2000, when the new system of local government was introduced in South Africa.

In this chapter, a debate on the essence and principles of PME will be the main issue. It is important to give context to the debate in the chapter by repeating the words of the South African Minister of Performance Monitoring and Evaluation Collins Chabane, in particular his foreword in the National Policy Evaluation [NEPF]; he stated:

*“If we are to improve our performance we have to reflect on what we are doing, what we are achieving against what we set out to achieve, and why deviations are occurring, or unexpected results occurring. We cannot advance without making mistakes on the way, but we must evaluate and learn from our successes and our mistakes. Without this we cannot improve.”*

The Minister’s introduction provides a summary of the principle and essence of PME. An important variable that affects PME in municipalities will be discussed; but more emphasis will be on the essence of PME in the South African context and how the South African government intends to implement this *reform programme* – especially in how metropolitan municipalities measure their success in providing basic access and ameliorating the living conditions of people in urban informal settlements [UIS] – which are the unit of analysis in this study.

### 3.2. Government-wide Monitoring and Evaluation (GWM&E)

The *Constitution, 1996* in section 164 states:

*Any matter concerning local government not dealt with in the Constitution may be prescribed by national legislation or by provincial legislation within the framework of national legislation.*

According to the National Evaluation Policy Framework [NEPF], the policy framework for the Government-wide Monitoring and Evaluation System [GWM&E] was approved by Cabinet in 2005 and provides the overall framework for Monitoring and Evaluation systems in South Africa. The policy framework draws from three data terrains for PME purposes, each of which is the subject of a dedicated policy describing what is required for PME to be fully functional. National Treasury has issued a Framework for Programme Performance Information [FPPI] and Statistics South Africa [SSA] has issued the South African Statistics Quality Framework [SASQAF]. The National Evaluation Policy Framework [NEPF] completes the legislative framework for PME in South Africa (NEPF 2011: 1).

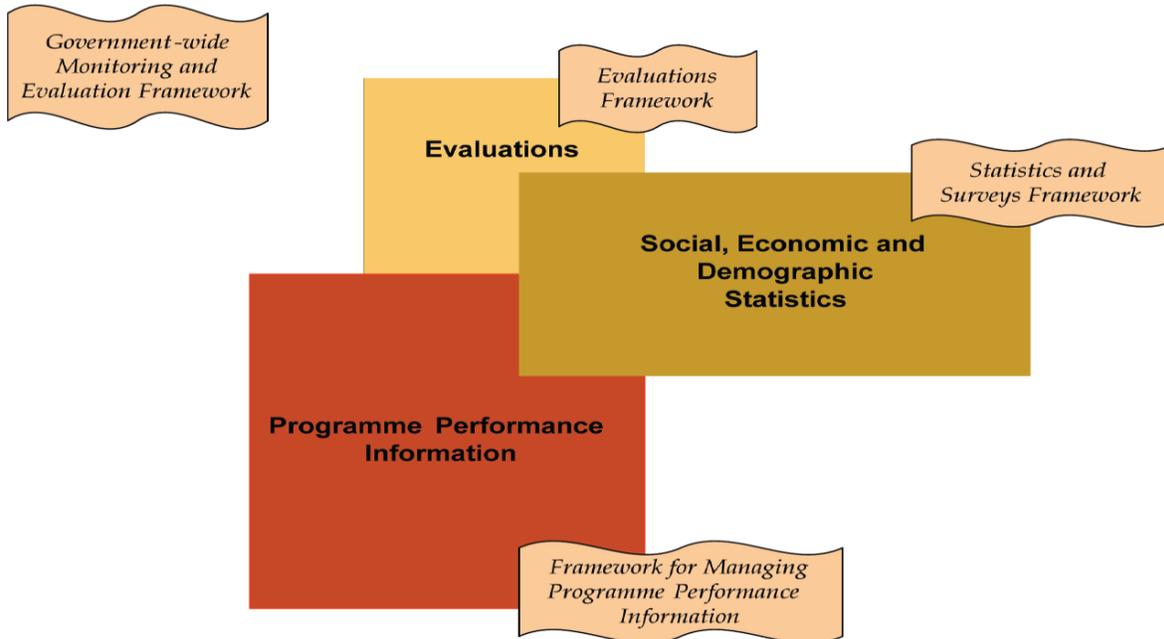
The GWM&E Policy Framework recommends that departments and other organs of state should first concentrate on monitoring outputs and immediate outcomes and use this as a platform for evaluation of outcomes and impact. The aims of the Evaluations Framework are to encourage government institutions to regularly evaluate their programmes, provide guidance on the approach to be adopted when conducting evaluations and provide for the publication of the results of evaluations (SA - The Presidency, 2009: 16). The GWM&E indicates that PME processes can assist the public sector in three ways (SA - National Treasury, 2007: 8). These include, [i] evaluating its performance and identifying the factors which contribute to its service delivery outcomes, [ii] assist in providing an evidence base for public resource allocation decisions and [iii] identify how challenges should be addressed and successes replicated in government.

South Africa has recently commenced in terms of institutionalising performance monitoring and evaluation [PME] in the public sector through legislation [i.e. The revised *Green Paper* on National Planning] - work is underway to establish PME in spheres, especially the local government

sphere at a municipality. From a national perspective, the GWM&E system aims to enhance PME systems by describing them and explaining how they relate to each other (SA - National Treasury, 2007: 8). The GWM&E system has three components [Figure 3.1.]. They are (a) programme performance information, (b) social, economic and demographic statistics and (c) evaluations. The current study will focus on (c) – Evaluations.

Among its various expectations, the GWM&E system will produce the relevant outputs related to municipalities. The anticipated outputs include improved quality of performance information and analysis at programme level within national departments, provincial departments and municipalities [inputs, outputs and outcomes]; improved monitoring and evaluation of outcomes and impact across the whole of government through, government programmes of action bi-monthly reports; annual country progress reports based on the national indicators; projects to improve PME in selected institutions across government and capacity building initiatives to build capacity for PME and foster a culture of governance and decision making which responds to PME finding (SA - National Treasury, 2007: 9). In the empirical study in chapter 6 – results will be compared to the country’s annual progress report based on national indicators.

Figure 3.1 Components of Government-wide Monitoring and Evaluation system (National Treasury, 2007: 9)



The National Treasury document on “Framework for Managing Programme Performance Information” (2007:25), notes that:

*The DPLG (now under the Department of Cooperative Governance - CoG post the 2009 elections) is responsible for monitoring the performance of provincial governments and municipalities in relation to the fulfilment of their constitutional functions, particularly delivery of minimum basic services. The national department is aided in this function by the provincial departments of local government. The Department is responsible for developing and implementing an integrated monitoring, reporting and evaluation system for local government, and for supporting the successful implementation of the Government-wide Monitoring and Evaluation System. The CoG is also responsible for the development and implementation of monitoring, reporting and evaluation of the performance of provincial departments of local government and individual municipalities.*

According to the Policy Framework for the GWM&E System, PME processes can assist the public sector in evaluating its performance and identify factors which contribute to its service delivery outcomes. PME is uniquely oriented towards providing its users with the ability to draw causal connections between the choice of policy priorities, the resourcing of those policy objectives, the programmes designed to implement them, the services actually delivered and their ultimate impact on communities. PME assists in providing an evidence base for public resource allocation decisions and in identifying how challenges should be addressed and successes replicated (NEPF, 2011: 1).

The main issue emanating from NEPF (NEPF, 2011: 1) and which the current study of PME is about – is that in South Africa, the need for more systematic evaluation of policy interventions and expenditure programmes by government is urgent – considering the need for implementation of the National Development Plan [NDP] and attaining the Millennium Development Goals [MDGs]. Public role players need to have better information on whether government is undertaking its activities in the right way to achieve its political mandate with set objectives and to understand why the results of policy interventions and public expenditure are below expectation. Some of the challenges at present concerning evaluation [i.e. as identified by the Presidency], include:

- lack of clear policy and strategic direction concerning the issue of evaluation;
- a need to promote the use of knowledge from both evaluation and research;
- improving the knowledge base;
- confusion on what is evaluation, performance auditing, research;
- evaluation work exists but is not necessarily known, either within departments or externally;
- lack of co-ordination between organisations and fragmentation of approaches;
- poor quality plans making evaluation difficult;
- inadequate use of evaluation, leading to a perception that it is a luxury;

- a lack of institutionalisation of evaluation in the government system.

It is important to mention that national planning is related to PME. In the Green Paper: National Strategic Planning, the former Minister in the Presidency: National Planning, Mr. Trevor Manuel indicates that government proceeds from the understanding that governance consists of a continuum of activities which relate to one another and that planning, co-ordination and performance management are interrelated. These functions call for close interaction and collaboration. (Green Paper, 2009: 2). The activities include:

- policy development
- strategic and operational planning
- resource allocation
- implementation
- *performance monitoring and evaluation.*

The interpretation by the Minister of National Planning is that PME is an important variable in the planning processes of government. PME information therefore relates directly to the production of policy; how government should develop plans; allocate resources and implement programmes for effective and efficient delivery of services for its citizens. PME as a central tool to manage interventions, improve practice and ensure accountability, is highly challenging in these contexts (Jones, 2011: 1). Policy change is a highly complex process shaped by a multitude of interacting forces and actors. Outright successes in terms of achieving specific hoped-for changes are rare and the work that does influence policy is often unique and rarely repeated or replicated, with many incentives working against the sharing of good practice.

The following discussions in the chapter will be focused on the South African situation and its PME environment as it relates to the sphere of local government and in particular metropolitan municipalities. The legislative environment and requirements necessary to ensure that

government policies are implemented and a continuum of related activities that interconnect with one another are addressed.

### **3.3. Legislative requirements for performance monitoring and evaluation [PME]**

Performance monitoring and evaluation [PME] is necessary for the improvement of municipal services. According Van der Waldt, Venter, Van der Walt, Phutiagae, Khalo, van Niekerk and Nealer (2007: 115) - in order to maintain, sustain and continuously improved municipal services – performance should be monitored to ensure that the implementation is done according to what is planned. The argument advanced is that PME should not only focus on financial performance, but should also include non-financial performance through systems and policies.

PME of municipalities cannot be effectively exercised by National government without a clear legal basis. Intrusion into constitutionally guaranteed local government autonomy will only be accepted by municipalities if it has a basis in the Constitution. The institutional framework should not locate PME in one particular department or sector. If local government legislation locates PME responsibilities with a particular Minister it risks creating the misconception that PME is the responsibility of that department only and that sectoral departments have no dealing with local government (De Visser, 2005: 275). The argument advanced is that the legal framework for PME should be geared towards providing an ‘early warning system’ to obviate, as far as possible, interventions into municipalities – this means that a set of interconnected and integrated legal framework is required.

The *Constitution, 1996* in section 152 mandates the local government sphere and places a premium on the effective, efficient and economic use of resources to address the needs of the people in municipalities. Moreover, the Constitution sets the framework for accountable, outcome-based and a well governed municipality. This is where PME can be used as one of the systems to achieve this constitutional imperative. Van Heerden (2009: 47) argues that the credibility of a government depends, to a large extent, on the way public administration is

executed in service of the country's inhabitants. Democracy, as reflected in Section 195 of the *Constitution, 1996* [195 (1) Public administration must be governed by the democratic values and principles enshrined in the *Constitution*], demands that government activities should be transparent, responsible and accountable, and performed by honest and ethically motivated officials. Moreover, the *Constitution* imposes an obligation on national and provincial governments to support and strengthen the capacity of municipalities to manage their own affairs, to exercise their powers and to perform their functions [Section 154(1)].

Policies exist in municipalities, where a legislated performance management approach is encouraged by the 1998 *White Paper on Local Government*. The White Paper on Local Government states in its concluding sections that integrated development planning, budgeting and performance management are powerful tools which can assist municipalities to develop an integrated perspective of development in their area. Furthermore, the White Paper asserts that by involving communities in developing municipal specific key performance indicators, this action increases the accountability of the municipality – this argument is fundamental in shaping the objectives of this study.

The *Municipal Systems Act, 32 of 2000* [sections 38, 39 and 41] outlines the establishment and development of a performance management system in municipalities. Section 40 is more specific regarding the monitoring and review of performance management system: it states that a municipality must establish mechanisms to monitor and review its performance management system. Other sections of the Act in the same chapter outline other important areas such as:

- Section 41 - core components;
- Section 42 - community involvement;
- Section 43 - general key performance indicators;
- Section 44 - notification of key performance indicators and performance targets;
- Section 45 - audit of performance measurements.

The *Public Audit Act, 25 of 2004* [20(2)(c)] requires the Auditor-General's audit reports to reflect an opinion or conclusion on the reported information relating to performance against predetermined objectives of the auditee, including constitutional institutions, departments, trading entities, public entities, municipalities and municipal entities, and other institutions as required by sections 4(1) and 4(3) of the Act.

A performance management guide for municipalities was developed in 2001 by the then *Department of Provincial and Local government*, now under the Department of Cooperative Governance. The guide was developed to assist councillors, managers, officials and local government stakeholders in developing and implementing a performance management system in terms of the requirements of legislation. The guide strives to establish common terminology and ensure a level of consistency and uniformity in the application of concepts. The *MFMA, 56 of 2003* has enhanced control over public expenditure and empowered public sector managers, in particular section 121 (4)(d) which stipulates that the annual report of a municipal department or an entity must include:

*“An assessment by the entity’s accounting officer of the entity’s performance against any measurable performance objectives set in terms the service delivery agreement or other agreement between the entity and its parent municipality.”*

Thus, it could be described that the *Constitution, 1996* and various other pieces of legislation in the sphere of local government oblige municipalities to perform public administration in an effective and efficient way. However, the mere existence of a Constitution with a Bill of Rights does not necessarily guarantee and imply that public officials will actually apply the constitutionally entrenched fundamental rights or exercise public administration in the constitutionally prescribed way (Van Heerden, 2009: 47).

The argument advanced above by van Heerden, is that public officials can only apply such rights and exercise public administrative functions in terms of constitutional directives if they are

aware and more importantly conversant with the relevant provisions of the Constitution and the Bill of Rights. However, success in the application of the law and policy implementation in terms of achieving specific anticipated results and changes, are not always comprehensive in the public sector.

The inability in some instances of public officials in a municipality, to apply the directives of the Constitution as outlined, presents serious challenges to government and those it is expected to serve, because the lack of sufficient knowledge of the *Constitution, 1996* and its application as well as lack of training, could be a veritable hindrance, that may contribute to failure on the part of public officials, as they endeavour to comprehend their constitutional responsibilities and accountabilities associated with the delivery of effective and efficient services to the communities they serve. The outcomes of such a failure are devastating, and the results are absence of and consequently poor service delivery, centralisation and a failure to achieve measurable outcomes. In essence, the implementation of PME reform programme as intended by government becomes ineffective and inefficient.

### **3.3.1. Measuring municipal performance**

The important tool for transforming government is to use performance measurement. Osborne & Plastrik (2000) argue that a public institution defines its products and services and develops indicators to measure its output. It is argued that performance management is seen as an administrative control mechanism to assign accountability for both the internal and external stakeholders (Steward & Carpenter–Hubin, 2003: 56). Performance measurement is seen by others as a feedback loop to improve institutional [i.e. municipality's] performance and not just as a mechanism of assessing praise or blame. It can be effectively used for all stakeholders concerned to understand a municipality's core business, in particular service delivery and its commitment to achieving set developmental goals, mandates and objectives.

When performance is measured by a municipality as set out in legislation *cf. par 3.3. Legislative requirements for performance monitoring and evaluation – PME*. It is important that agreed principles of performance measurement be utilised in the process and systems. Various authors (Rogers 1994; Walters 1995; Kloot & Martin 1998) indicate that there are seven key principles that should be applied in the process of designing an effective performance management system. They are:

- clarity of purpose;
- focus;
- balance;
- ownership;
- scrutiny;
- ongoing development;
- continuous improvement.

From these seven principles, a municipality should be able to craft a system of performance measurement for the employees and the institution itself. A PME system designed by a municipality should at least consist of these seven principles of performance measurement for it to yield positive outcomes. These outcomes are important for effective and efficient delivery of basic services, but more so for other aspects of municipal administration and management like budgeting; policy; risk and compliance; planning. Performance measurement should express in quantifiable terms, how efficient a municipality is delivering on its constitutional mandate and other legislative obligations. Ideally measures should be applied to the municipality as a whole agreed upon by all stakeholders involved in municipal governance.

According to Van der Waldt *et al.* (2007: 118), there are three basic aspects of a municipal service that may be measured. They are:

- the inputs [financial, human and material] that are used to produce a service;

- the outputs achieved [e.g. number of informal settlements that were upgraded and provided with basic service] and
- the outcomes achieved [decrease in poverty levels and increase in economic growth].

A combined result from all the variables above can be an indicator of how the municipality uses its resources to deliver services effectively and efficiently to its constituencies. The outcomes from such a measurement can to a considerable extent indicate the impact of the service rendered and its quality. The quality of service is difficult to measure. Van der Waldt *et al.* (2007: 118), argue that quality can be judged using compliance with national standards; check whether good practices are used; consumer satisfaction surveys and the extent to which basic services are provided. The important point from this discussion is that performance measurement can enable politicians to demonstrate to their constituencies the impact of their policies and provide a portfolio of evidence on service delivery for the communities they serve. In the empirical study [chapter 6], provision of basic services in informal settlements by the selected municipalities will be compared with national standards.

### **3.4. Explaining the concept of performance monitoring and evaluation [PME]**

Historically, the ancient Egyptians regularly monitored their country's outputs in grain and livestock production more than 5000 years ago. In this sense, monitoring and evaluation are certainly not new phenomena. However, traceable practical application of evaluation of government programmes and projects in OECD [Organisation for Economic Co-operation and Development] countries started in the 1960s. It has been used for different purposes, for example, early evaluations in the 1960s and 1970s studied ways of improving social programmes (Kusek & Rist, 2004: 11-15).

Later in the 1980s and 1990s, various governments used evaluation to conduct budgetary management by examining ways to reduce expenditures on specific public programmes. Efforts to develop PME systems have spread to developing countries and have been driven by the desire to meet specific donor requirements in the least developed countries in Africa, Asia and

South America. Moreover, these developing countries adopted PME as a reform tool to attain international development goals, or, in some cases, both external and internal social and economic pressures. Modern governments, too, have engaged in some form of traditional performance monitoring and evaluation over the past decades. They have sought to track over time, their expenditures, revenues, employee levels, resources, programme and project activities, goods and services produced (Kusek & Rist, 2004: 15) – South Africa formalised its PME systems in 2009.

During its early stages, PME systems focused on what was termed “*traditional implementation-focused PME systems*” which were designed to address compliance and in particular specific questions [tick-box type] the “did they do it” question. The tick-box type questions included:

- Did they mobilise the needed inputs?
- Did they undertake and complete the agreed activities?
- Did they deliver the intended outputs [the products or services]?
- So what is the impact of the service delivery programmes in communities?

The implementation approach of PME was focused on monitoring and assessing how well a project, programme, or policy is being executed, and it often links the implementation to a particular unit of responsibility. However, this approach does not provide policymakers, managers, and stakeholders with an understanding of the success or failure of a specific project, programme, or policy (Kusek & Rist, 2004: 15). In contemporary PME, the new focus is on “results-based PME systems” that are designed to address the “so what” question. The new tick-box type questions include:

- So what about the fact that *outputs* have been generated - *results*?
- So what that activities have taken place?
- So what are the *outputs* from these activities that have been counted?

In essence, it can be argued that a results-based system provides feedback on the actual *outcomes* and goals of government actions. The important issue of *results* and the examination of *outcomes* and *impacts* – something Kusek & Rist (2004: 15) called the “so what” question. The authors argue that there has been an evolution in the field of PME involving a movement away from traditional implementation based approaches toward new results-based approaches. The latter will assist in answering the “so what” question. Thus, governments and executive authority may successfully implement programmes or policies, but have they produced the actual, intended *results*? Have governments and executive authority delivered on promises made to their stakeholders [i.e. the citizenry] and what is the impact of programmes against previous results?

It is inadequate to implement programmes and assume that successful implementation is equivalent to actual improvements in the public sector. One must also examine *outcomes* and *impacts*. The word *outcome* according to Thesaurus dictionary finds its origins from 1175–1225; Middle English *utcume*. The noun means a *final product or end result or consequence* - a conclusion reached through a process of logical thinking. Impact is a noun which means *influence or effect*; according to the Thesaurus dictionary it finds its origin from 1775–85 [noun and verb].

The introduction of a results-based PME system takes decision-makers one step further in assessing whether and how goals are being achieved within a pre-determined period. These systems assist in answering the all-important “so what” question, and respond to stakeholders’ [the citizenry] growing demands for results. It answers important questions like (Kusek & Rist, 2004: 16):

- What are the goals of the organisation [i.e. municipality]?
- Are they being achieved?
- How can achievement be proven?

In essence, what these clarifications, definitions and explanations entail – is that PME is about measuring the final results of government programmes and projects [i.e. municipality] - a conclusion reached through a process of logical thinking. Moreover it is to check the influence and effects these programmes and projects have on improving the living conditions of the citizens. The final results, associated influence and effects they have on the citizens are the important variables that are the essence of PME. These variables assist in shaping policy; budgeting; planning; and the process of implementation of government policy objectives.

More often, governments such as municipalities are faced with various questions on the implementation of reforms and other aspects that affect the citizenry and other stakeholders. Some of the most pressing questions that are common include the following:

- Have the policies, programmes, and projects led to the desired results and outcomes in a municipal IDP and SDBIP?
- How do municipal stakeholders know that their municipality is on the right direction in achieving set objectives?
- How do municipal stakeholders know if there are policy implementation impediments and problems in the governance system, reform programmes of the municipality?
- What is the municipality doing to introduce corrective functions to address the identified impediments and problems timeously?
- How do municipal stakeholders know if there is desirable progress and how is it measured – what is the impact as compared to previous results?

Most of these questions are difficult to respond to qualitatively, but with regular monitoring of service quality and programme results, acceptable answers can be provided. A key component of informed public management and the identification of opportunities for improved public-sector performance have been the introduction of performance monitoring and evaluation [PME] systems. Elected political office bearers and citizens are entitled to regular reports on the performance of major public programmes. Not only information on programme costs, but on other aspects of development. Politicians, senior administrators and the citizenry deserve to be informed on regular intervals whether government objectives as set out in the budget are

achieved successfully and for them to receive information on the quality of service delivery and on project and programme outcomes.

In their book *Reinventing Government*, Osborne & Gaebler (1992: 19-21) provide the following six important facts that justify the need to implement PME in government, i.e.:

- If you do not measure results, you cannot tell success from failure.
- If you cannot see success, you cannot reward it.
- If you cannot reward success, you are probably rewarding failure.
- If you cannot see success, you cannot learn from it.
- If you cannot recognise failure, you cannot correct it.
- If you can demonstrate results, you can win public support.

It can be deduced from the justification provided by the authors Osborne & Gaebler, that government and executive authority needs to measure *output and impact* of their programmes for the benefit of citizens and stakeholder; but it is also important for them to measure for their own assessment whether they are making progress or not.

### **3.4.1. Comparisons and measurements in performance monitoring and evaluation [PME]**

Performance monitoring and evaluation [PME] systems should compare the performance of different units and current performance with prior performance, or compare actual results to targeted performance levels (Millar, Rhona, & Annie Millar, 1981. 1981, Carter, 1983; Neves, Wolf, and Benton, 1986; Levitt and Joyce, 1987; U.S. Department of Labor, 1991). PME should compare the results achieved in different geographic areas or in different population subgroups (Hatry, Fountain, Jr., Sullivan, & Kremer, 1990). More advanced PME systems compare the performance of units operating under similar conditions or use statistical analysis to check client characteristics, community characteristics, or other factors that may affect programme outcomes (Dickinson, West, Kogan, Drury, Franks, Schlichtmann, & Vencil, 1988; Goertz, 1989; Hatry, Alexander, & Fountain, 1989; Meyer & Dominitz, 1991; Barnow, 1992).

Research has revealed that the development of appropriate PME systems is a difficult task (Wholey & Hatry, H.P, 1992: 605). Useful PME depends on agreement between policy making and operating levels on appropriate indicators for programme performance. Policy makers, programme managers and other employees, and interest groups often have different goals for the same programme. Most public services have multiple outcome and quality dimensions. An appropriate performance monitoring system will require multiple programme performance indicators. Public agencies should not expect that all service quality and outcome dimensions can be covered. Measurement of selected aspects of programme performance may divert attention from important but unmeasured activities, encourage "creaming" [serving those clients for whom favourable outcomes are most likely], or tempt managers or employees to manipulate performance data. These problems can be alleviated by proper identification of the important quality and outcome dimensions and by monitoring programme performance for different client groups and different categories of work complexities.

Performance monitoring and evaluation [PME] do not require sophisticated programme evaluation techniques in all cases. Programme evaluation should prove to be easier and less expensive, however, if a government department or an associated agency is already collecting data on service quality and programme outcomes and if programme evaluations are available, relevant information from them should be included in programme performance reports (Wholey & Hatry, H.P, 1992: 606).

### **3.4.2 Impact Evaluation [IE] in performance monitoring and evaluation [PME]**

Experts in the performance monitoring and evaluation [PME] field (Mackay, 1998:1) argue that there are many reasons for the increasing efforts to strengthen governments' PME systems. Mackay (1998:1) raises the issue of fiscal pressure and ever-rising expectations from ordinary citizens as the main issues that provide a continuing impetus for governments to provide services and with higher standards of quality. These pressures are also reasons to find more cost effective ways of operating so that governments provide more services at a lower cost [i.e. value for money]. Countries in the developing world often emulate the richest countries; the

members of the Organisation for Economic Cooperation and Development [OECD] and in specific instances, adopt the public sector management tools that these countries typically employ, such as PME and performance budgeting (Mackay, 1998:1).

Civil society and parliaments are now exerting and require accountability from governments to publicly report and explain their performances - as it has been observed in South Africa over the past three to four years [e.g. Section 27 - Human Rights organisation promoting quality education; Abahlali basemjondolo - *the South African shack dwellers' movement*]. Moreover, international donors are being pressed to demonstrate the results of the aid spending for which they are responsible to demonstrate the impact their donations have on countries that receive these donations. This is classical Impact Evaluation [IE] in practice. They in turn are working to persuade and support developing countries to strengthen their own PME systems.

Various countries in the developing world are now fully engaged in setting up PME systems - in particular the members of the OECD, with the objective of adopting the public sector management tools that have proved to be effective. For instance, countries such as South Africa are implementing PME as a reform programme in a transformed political environment. This discussion will be dealt with in the next chapter – which focuses on international experience.

According to the World Bank Poverty Group on Impact Evaluation (White, 2006: 3) - Impact Evaluation assesses the changes that can be attributed to a particular intervention, such as a project, programme or policy, both the intended ones, as well as ideally the unintended ones. In contrast to outcome monitoring, which examines whether targets have been achieved, impact evaluation is structured to answer the question: how would outcomes such as participants' well-being have changed if the intervention had not been undertaken? This involves counterfactual analysis, that is, “a comparison between what actually happened and what would have happened in the absence of the intervention” (White, 2006: 3).

The current study adopts the International Initiative for Impact Evaluation [3ie] methods and approaches to address the “evaluation gap” (White, 2006: 3). The methods and approaches evaluate the lack of evidence to inform the decisions of developing country’s policy-makers in the design and implementation of large-scale social and economic development programmes. This is significant for the current study since South Africa and in particular urban informal settlements [UIS] fall in the category of a developing country.

The study has adopted 3ie’s methods and approaches because 3ie uses high-quality impact evaluations that measure the net change in outcomes amongst a particular group, or groups, of people that can be attributed to a specific program using the best methodology available, feasible and appropriate to the evaluation question(s) being investigated and in the specific context. The empirical study will measure net change outcomes among residents of informal settlements with regards to the provision of basic municipal services [water, electricity, sanitation and waste collection/removal]. Moreover, 3ie’s methods and approaches were adopted because the International Initiative for Impact Evaluation’s work is guided by a commitment to five core principles:

- rigorous analysis;
- independence and objectivity;
- flexibility in methodological approach, using qualitative and quantitative methods where appropriate;
- policy-relevance in selection of research topic and study design; and
- developing country representation and involvement.

Impact Evaluation [IE], is one of the main objectives of PME in the South African National Evaluation Policy Framework [NEPF]. IE has a specific focus on evidence-based policy-making; in particular analysis of what works, where, why and for how much. It has received increasing attention in policy-making bodies in recent years in both Western and developing country

contexts. In essence, when countries engage in PME, they are measuring the impact of government programmes and projects - hence doing IE.

IE according to Briceño & Gaarder (2009:2) is the production and use of evidence on what produce the anticipated results, where, why and for how much. Government agency and institutions in South Africa that have been evaluated using IE by other donors contributing to South Africa's development needs - found correlation between programmes and positive impact they have on changing people's lives for the better (Briceño & Gaarder, 2009:22). The programmes include:

- the 2004 Social Assistance Act which introduced a number of transfer payments; including old-age pensions, a disability grant, and a child support grant [CSG], which is an unconditional cash transfer to poorer households with children;
- the positive effects of pensions;
- the child support grant [CSG] on poverty and child health and nutrition;
- microfinance; and
- the HIV/AIDS interventions.

The argument and logic followed as advised by Briceño & Gaarder (2009:34) is that IE has to be immersed into broader PME systems with complementary performance monitoring and evaluation instruments, process, operations, institutional and other types of evaluations. The experience seems to be that gradual evolution from less to more sophisticated evaluation instruments are important in assisting the development of a PME that paves the way for rigorous impact evaluations.

In essence, PME should compare the performance of different public institutions in government, in particular compare current performance with prior performance, or compare actual results to targeted performance levels [i.e. in case of MDGs (specific reference to water, electricity, sanitation and waste collection/removal); IDPs and SDBIPs in the South African situation in the local sphere of government] – as set out by the controlling structure. In the

South African situation, the latter [controlling structure] is the Department of Performance Monitoring and Evaluation in the Presidency.

This study in its quantitative component [which will be conducted through two sets of surveys] will use IE as a measuring instrument on how metropolitan municipalities in Gauteng performed in the provision and delivery of minimum basic services in selected [ie. 20 years or older] informal settlement based on the United Nations [UN] MDGs. The IE will take shape in comparing results of the empirical study with other statistical information from various sources, but in particular information from government institutions that have conducted surveys or studies in urban informal settlements [UIS]. The most important determinant will be statistical information coming out of South African government's own MDGs assessment and performance in attaining the set targets.

### **3.5. Millennium Development Goals [MDGs] in context**

The Millennium Development Goals [MDGs] originate from the Millennium Summit which was a meeting among world leaders held at the United Nations headquarters in New York City [United States of America - USA] from 6 September to 8 September 2000 (UN, 2000: a &b). The purpose of the summit was to discuss the role of the United Nations at the turn of the 21st century. According to a BBC news report, this meeting was the largest gathering of world leaders in history as of the year 2000 (BBC: 2000). At this meeting, 189 world leaders representing member states in the General Assembly ratified the United Nations Millennium Declaration, which was adopted on 8 September 2000.

The Millennium Declaration has eight chapters and key objectives. The Declaration emphasised the observance of international human rights law and international humanitarian law under the Principles of United Nations Charter as well as the treaties on sustainable development (UN, 2000: c). The eight chapters are:

1. Values and principles;

- Freedom
  - Equality
  - Solidarity
  - Tolerance
  - Respect for nature - "Shown in the management of all living species and natural resources, in accordance with the precepts of sustainable development."
  - Shared responsibility
2. Peace, security and disarmament;
  3. Development and poverty eradication;
  4. Protecting our common environment;
  5. Human Rights, Democracy and good governance;
  6. Protecting the vulnerable;
  7. Meeting the special needs of Africa; and
  8. Strengthening the United Nations.

On 14 December 2000, a follow-up outcome of the resolution was passed by the General Assembly to guide implementation of the Millennium Declaration. The implementation of the Declaration was reviewed at the 2005 World Summit of leaders (UN, 2000: c) at the UN headquarters in New York – USA, which was attended by leaders from 191 member states. The 2005 World Summit led to the Millennium Declaration of the Millennium Development Goals (MDGs). The United Nations described it as “a once-in-a-generation opportunity to take bold decisions in the areas of development, security, human rights and reform of the United Nations” (UN, 2000: c).

The eight Millennium Development Goals [MDGs] to be achieved by 2015 are:

1. to halve the number of undernourished people;
2. to achieve universal primary education;
3. to promote gender equality and empower women;
4. to reduce child mortality;

5. to improve maternal health;
6. to combat HIV/AIDS, malaria, and other diseases;
7. to ensure environmental sustainability; and
8. to develop a global partnership for development.

In essence, the Millennium Development Goals [MDGs] derive from earlier development targets, where world leaders adopted the United Nations Millennium Declaration. The approval of the Millennium Declaration was the main outcome of the Millennium Summit. The Declaration asserted that every individual has dignity and hence, the right to freedom, equality, a basic standard of living that includes freedom from hunger and violence and encourages tolerance and solidarity. The MDGs set concrete targets and indicators for poverty reduction in order to achieve the rights set forth in the Declaration. For the purpose of this study, focus will be limited to MDG 7 with specific focus on target 10 & 11. These goals address the key issue of halving the number of undernourished people and ensuring environmental sustainability. Targets 10 & 11 in summary focus on the following:

*Target 10* - halve by 2015 the proportion of people without sustainable access to safe drinking water:

- Proportion of the population using improved drinking water sources, rural
- Proportion of the population using improved drinking water sources, total
- Proportion of the population using improved drinking water sources, urban
- Proportion of the population using improved sanitation facilities, rural
- Proportion of the population using improved sanitation facilities, total
- Proportion of the population using improved sanitation facilities, urban

*Target 11* - by 2020 to have achieved a significant improvement in the lives of at least 100 million slum dwellers [i.e. informal settlements]

- Slum population as percentage of urban, percentage.
- Slum population in urban areas.

These targets imply that governments must implement and set programmes that will ensure that they achieve targets by 2015 as outlined in the declaration. The outcome document of the 2005 World Summit of leaders titled: “Resolution adopted by the General Assembly [*without reference to a Main Committee (A/60/L.1)*] 60/1. 2005 World Summit Outcome - A/RES/60/1” stipulate important areas relevant to the study (UN, 2005: 14). The relevant sections will now be extracted and discussed. Section 56 of the report is in pursuance of our commitment to achieve sustainable development, resolved:

*(h) To assist developing countries’ efforts to prepare integrated water resources management and water efficiency plans as part of their national development strategies and to provide access to safe drinking water and basic sanitation in accordance with the Millennium Declaration<sup>1</sup> and the Johannesburg Plan of Implementation, **including halving by 2015 the proportion of people who are unable to reach or afford safe drinking water and who do not have access to basic sanitation;***

*(m) To achieve significant improvement in the lives of at least 100 million slum-dwellers by 2020, recognising the urgent need for **the provision of increased resources for affordable housing and housing-related infrastructure, prioritising slum prevention and slum upgrading,** and to encourage support for the United Nations Habitat and Human Settlements Foundation and its Slum Upgrading Facility.*

This means that the South African government as a signatory to the Millennium Declaration should put government programmes in place to address the UN resolution. According to Statistics South Africa’s MDG country report 2013, South Africa has adhered to the consultation requirements outlined in the compilation of the MDG report and continues to improve on this front. In September 2010 the Cabinet directed Statistics South Africa [SSA] to institutionalise participation in the MDG reporting processes. According to the South African government, MDGs do not constitute a separate plan. Instead, they are embedded in the National Development Plan [NDP] of South Africa, Provincial Growth and Development Plans and the

Integrated Development Plans [IDPs] of municipalities (SSA, 2013: 15). The 2013 MDG Report process has been designed to include participation of Civil Society Organisations in all spheres of the government structures. This includes provincial and local spheres structures.

### **3.5.1. South African government approach towards realisation of MDGs**

The South African government approach towards realisation of MDGs should be understood in the context of South Africa post 1994 – the democratic dispensation period. The Reconstruction and Development Programme [RDP] was adopted as South Africa’s socio-economic policy framework to address the socio-economic problems, challenges and backlogs emerging from apartheid’s neglect. In essence RDP was a flagship programme that had an action plan focused on delivery schedules for health, education and electrification in particular. The major challenge was that whilst the problem and its genesis were well known - unfortunately its quantification both in numbers and space remained unclear (SSA, 2013: 16). In 1998, at the launch of the results of Census 1996 - former President Nelson Mandela stated the following on the RDP:

*“But we do at last have results with which we can work, the numbers that count for the nation. It will take time to absorb the full detail of this intricate picture of our complex society but the broad outlines should act as the clarion-call to re-dedicate ourselves in every sector of the society, to the historic mission of a generation charged with transforming South Africa’s society in order to eradicate the poverty and imbalances that derive from our past.” (SSA, 2013: 16).*

From the RDP, the South African government in 1998 after lessons learned from evidence emanating out of official statistics, the government launched The Growth, Employment and Redistribution [GEAR], as a Macro-Economic Strategy. GEAR had four objectives.

- firstly, it aimed to achieve a competitive fast-growing economy which would create sufficient jobs for all work seekers;
- secondly, it focused on the redistribution of income and opportunities in favour of the poor;

- thirdly, it envisioned a society in which sound health, education and other services are available to all; and
- fourthly, it aimed achieving an environment in which homes are secure and places of work are productive.

After GEAR, the South African government introduced the Accelerated and Shared Growth Initiative for South Africa [ASGISA] to speed up employment creation with a target of halving unemployment by 2014. ASGISA took note of the binding constraints in the South African economy. Amongst these constraints were the challenge of inadequate skills base; the ability of the state to lead; supply and value chain problems that stood in the path of accelerated growth.

In 2009, a New Growth Path [NGP] that focuses on the micro economy was introduced together with a 2030 National Development Plan [NDP]. The NDP envisions the South African society in 2030 and what steps have to be undertaken through the NGP to achieve this vision as it was adopted in August 2012. The current period is seen as a major alignment and integration of previous policies, programmes and initiatives [i.e. RDP, GEAR and ASGISA] by government. Given the legacy of centuries-old unequal development for various racial groups, the development of the first integrated development plan coincides with the 2013 MDG report. The diagnostic report for South Africa further emphasised the triple challenge of poverty, unemployment, inequality. The alignment of the NDP and the NGP mark the resolve to speed-up the process of attaining the MDGs (SSA, 2013: 17).

According to SSA's 2013 MDGs country report, the policy and programme tools that are used to address the development challenge should be understood as a process of managing and leading what is termed the continuity of change. The national agenda implemented through RDP and GEAR in the first fifteen years of democracy and through NDP and NGP constitutes this continuity of change. The South African government adopted and changed different development strategies over the 20 years of democratic rule to address in particular the triple challenge of poverty, unemployment and inequality. It is therefore important to realise that MDGs do not constitute a separate development agenda from the national effort. The MDGs

are integral part of that agenda (SSA, 2013: 17). Thus, MDGs are part of the South African government development agenda, which is assessed by government through a Government-wide Monitoring and Evaluation [GWM&E] policy framework that is coordinated by the Department of Performance Monitoring and Evaluation [DPME] in the Presidency.

The approach and some of the objectives of the study have to do with assessing the Impact Evaluation [IE] on the delivery of basic minimum services [i.e. electricity, water, sanitation and waste collection/removal] in the three identified municipalities against set targets determined in the Millennium Development Goals [MDGs] – in the South African context; and to discuss practical considerations in institutionalising PME processes in municipalities and propose recommendations with guidelines for an effective and efficient PME system in the local government sphere in Gauteng, South Africa.

### **3.6. Benefits of a result-based performance monitoring and evaluation system**

The Department of Performance Monitoring and Evaluation [DPME] indicate in the National Evaluation Policy Framework [NEPF] that evaluations can be undertaken internally by public institutions, or by an external agency. The Department's view is that evaluations can be analysed at different unit or plans, albeit an institution or a group of institutions, a policy intervention or an expenditure programme or sub-programme. The National Evaluation Policy Framework [NEPF, 2011] has been put together to inform, direct and guide evaluations undertaken by the executive in the national, provincial and local spheres of government. It intends to include evaluations conducted by independent oversight bodies such as the Public Service Commission and Auditor-General, but also recognises spheres' independence, as part of their constitutional mandates [section 41]. Moreover, for the purposes of evaluation in the South African public sector, no one evaluation methodology is favoured. NEPF acknowledges that evaluation can use a wide range of research techniques and data sources, depending on the evaluation field, the evaluation object and the evaluation questions.

However, evaluations should be systematic, structured and objective and must use scientific techniques for data collection and reliable data sources. Evaluations must also be available for use by policy-makers and results should not be ‘top-secret documents’ when findings are unfavourable to officials or elected office bearers. In essence, NEPF clarifies the role of evaluations in relation to other performance management instruments. It frames the evaluation function in terms of its scope, institutionalisation, standards, process requirements, skill requirements, governance, financing and oversight (NEPF, 2001: 3).

Measurement on its own cannot improve quality or performance. It needs to be part of a policy that uses the results of measurement to assess and develop the level and type of quality required by organisational values and objectives – similar to a municipal administration and management processes. Performance measurements of quality in the delivery of services have to contain clear benefits for all stakeholders concerned and in particular citizens’; the municipality and its employees. In the study, a result-based performance monitoring and evaluation system will be used to assess the rendering of specific services in specific communities in selected metropolitan municipalities. According to Kusek & Rist, (2004: 21) results-based PME systems are essential components of governance and are thus fundamentally related to the *political* and power systems of government. It is important that any form of *reform programme* such as PME in this instance, receives strong support from political authority and relate strongly with the thinking of office bearers in government.

As it was discussed in chapter two of the study, the one core issue that distinguishes Public Administration from other related disciplines is the political milieu within which its operational activities are performed. The argument advanced, is that the political environment puts the domain of the discipline of Public Administration and Management into a category of exclusivity. Results-based PME systems provide critical information and empower policymakers to make better-informed decisions from reliable information. At the same time, providing such information may lessen or otherwise constrain the number of options available to politicians and in the processes leave less room to amend policies. In democracies, information on project,

programme, and policy results are increasingly essential and is expected in the normal course of government operations. It is assumed that such information can assist and guide policy-making (Kusek & Rist, 2004: 21).

As part of a cycle of policy making, programme implementation, assessment and PME, including regular reporting, can inform elected office bearers and citizens and keep them involved in governance (Wholey & Hatry 1992: 604). Wholey & Hatry argue that PME systems can measure the quality of services and results achieved in public programmes monitoring, is done at least annually but in many cases, quarterly or even more frequently. They include, but add the more typical measurements of programme costs and services delivered.

In more specific terms, PME of programmes and projects typically cover short-term and medium-term outcomes of programme activities. PME usually does not attempt to estimate the extent to which programmes provide measurable outcomes. In essence, PME systems compare the performance of different units, current performance with prior performance, or in some instances compare actual results to targeted performance levels (Wholey & Hatry 1992: 605).

A host of quantitative and qualitative methods have been developed for monitoring programme performance. Advances in computers and software now allow timelier and less expensive collection, analysis, and communication of information on the performance of public sector institutions, its agencies, programmes and projects. PME does not require complicated programme evaluation techniques in all instances. Programme evaluation should be easier and less expensive. However, if an agency or public institution is already collecting data on service quality and programme outcomes and if programme evaluations are available, relevant information from them should be included in programme performance reports (Wholey & Hatry 1992: 605).

A key concern raised about PME is that it does not indicate the extent to which the reported outcomes are due to agency or public sector departmental efforts rather than to external factors. PME components do not provide information on "causality" nor are they intended to.

Rather, knowing programme outcomes, regardless of the cause, is itself of considerable importance. This is the case with business profit-and-loss statements and public financial statements.

An analogy to the management of sports teams may be useful. Unless he or she knows the score, how will the team manager know whether to make changes? As in the public sector, the team manager needs to use PME information, knowledge and skills to decide what actions should be taken. When a public official obtains from performance monitoring and evaluation data that programme outcomes do not meet expectations, it should encourage the official to examine the situation in more detail and determine what actions are required – in a way conduct additional evaluation.

### **3.7. Evaluation and its benefit for a municipality**

A definition adopted from the OECD will be used to describe *evaluation*. According to OECD, evaluation is the systematic and objective assessment of an ongoing or completed project, programme, or policy, including its design, implementation, and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact, and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors.

Evaluation of government performance in programmes and projects can enhance the way it operates but also provide benefits. According to the Department of Performance Monitoring and Evaluation [DPME] - evaluation can be undertaken in governmental institutions for a number of purposes (NEPF, 2001: 3). Four primary uses/purposes of evaluation and some of the questions one may ask in these different uses/purposes could be:

- Judge merit or worth of something: Was the programme successful, or is the proposed policy or programme likely to be successful? Was it effective? Did the intended beneficiaries receive measurable results from the intervention? Did it impact on their lives or what is the likely impact of the policy/programme? Will the policy/programme impact differentially on different sectors of the population,
- Improving policy or programme performance [evaluation for learning]: this aims to provide feedback to programme managers. Questions could be: was this the right intervention for this objective; was it the right mix of outputs, what is the most effective way to do X?
- Evaluation for improving accountability: on what service is public funds spent? Is this spending making a difference to the beneficiaries identified?
- Evaluation for generating knowledge [for research]: increasing knowledge about what works with regard to a public policy, programme, function or organisation, which allows governments to compile an evidence base for future policy development?

The study will focus on all of the above questions combined and conduct Impact Evaluation [IE] on how metropolitan municipalities provide minimum basic services in informal settlements based on the MDGs targets and objectives. The aim will be to establish whether the services are delivered as set out in the IDP [Integrated Development Plan] as put together by elected politicians [i.e. ward councillor] and the SDBIP [Service Delivery Budget Implementation Plan] as drafted by municipal managers and approved by council. The intention of the study is to examine whether the GWM&E has had a positive effect/impact on municipal government and administration – as a reform programme in a transformed local government system.

**Table 3.1. Primary uses or purposes of evaluation studies [sourced and adapted from Patton, 1997, in Babbie and Mouton, 2007]**

Uses or purposes	Examples of reasons or decisions for use
Judge merit or worth	Assessing impact Quality control Cost-benefit decisions Deciding a programme's future Decisions on accreditation/licensing
Improve programmes	Assessing learning Understanding causal links Identifying strengths and weaknesses Quality enhancement Improving cost-effectiveness Managing more effectively Adapting a model locally
Generate knowledge	Generalisations about effectiveness Extrapolating principles about what works Building new theories and models Informing policy
Improve accountability	Assessing compliance/audit Improve transparency Accountability

The main objective of government in the South African context, in introducing PME is on *improving performance*. This also involves questions of judgement (NEPF, 2001: 4). Judgement in evaluation must be measured against objectives or criteria (Rossi, Lipsey & Freeman, 2004: 70). The characteristics of effective evaluation are that it should be *analytical* and be based on recognised research techniques. Evaluation should be *systematic* – it requires careful planning

and consistent use of the selected techniques. An evaluation should be *reliable* – in that the findings of an evaluation should be reproducible by a different evaluator with access to the same data and using the same methods of data analysis. An evaluation should be *issue-oriented* – meaning that evaluation should be conducted to address important issues like relevance, efficiency and effectiveness. An evaluation should be *user-driven* - this means that successful evaluation should be designed and implemented in ways that provide useful information to decision-makers, given the political circumstances, programme constraints and available resource–benefits (EU, 1997). Some of the potential benefits which can be obtained include:

- improved learning and its feedback into policy and implementation;
- ensuring policy and management decisions are based on evidence;
- better understanding on which programmes are cost-effective;
- understanding and so better able to overcome institutional bottlenecks to improved impact [adapting programmes];
- better understanding and management of risks.

Ultimately, government intends that these should result in:

- strengthening the culture of use of evidence to improve performance;
- better policy and planning;
- better resource allocation;
- minimising negative unintended consequences of policy and the public being aware of what government does by way of public accountability.

The deduction from this part of the chapter is that a municipal council can benefit from conducting performance evaluations. Evaluation provides a platform to strengthen administration and management through its information supply capability to assist in policy implementation and planning, resource allocation, performance improvement and other aspects that are critical for effective and efficient administration of a municipality. It can be

argued that the main benefit of PME to society is a reform programme to enhance *public accountability*. It is clear from this section what the South African legislators intend achieving by introducing PME as a reform programme in all spheres of government – especially in a municipality.

### **3.8. Link between monitoring and evaluation**

Performance monitoring and evaluation [PME] of programmes and projects have become part of corporate governance. It is a common, but well entrenched effectively-managed and high performing private enterprises. It is unfortunate that most reports on government performance are still focused on resource expenditures and the quantity of services delivered. However, there are complaints about the application of PME in South African government spheres particularly the local sphere – municipalities’ failure to provide timely information on the quality and outcomes of their major programmes and projects as it will be indicated in chapter 5 when discussing the Auditor General’s remarks on municipal performance in the past three financial years.

It has been argued in the previous section *cf. par 3.6* - that performance monitoring and evaluation [PME] is a central reform tool to manage interventions, improve practice and ensure accountability. Jones (2011: 3) argues that a PME system is widely recognised as being a crucial element of managing and implementing projects, programmes and policies in both public and private sector organisations. The production and use of PME information during and after an intervention are considered as a central in systems for reporting and accountability, in demonstrating performance, and/or for learning from experience and improving future work. PME is an indispensable learning and management tool for improving current and future programme planning, implementation and decision-making.

The Public Service Commission (PSC, 2008: 3) defines evaluation as the determination of merit or shortcoming to make the judgement one needs. It is a standard of what is regarded as

meritorious to compare input with output. Evaluation is thus a process of comparison of results to a standard. For instance, the statement “a high quality service has been delivered that met the needs of clients and improved their circumstances” is an evaluation. The argument advanced here, is that the evaluation will be significant and quantifiable if “quality”, “needs” and “improvement in circumstances” have been quantified or measured.

In monitoring, the emphasis is on checking progress towards the achievement of an objective. An effective monitoring system will provide and signal a warning, early on in the implementation of a course of action that the end goal will be reached as planned. Monitoring also involves a process of comparison because actual performance is compared with what was planned or expected (PSC, 2008: 3). PME activities must, therefore, focus on making sense of the available information and data. Sense-making is defined as a motivated, continuous effort to understand connections [which can be among people, places, and events] in order to anticipate their trajectories and act effectively (Klein, Moon & Hoffman, 2006:71).

The objective of performance monitoring and evaluation [PME] is based on investigating the tangible products. In this instance, service delivery outcomes of e.g. water, sanitation, electricity and waste collection in urban informal settlements that are produced by a project/programme from a plan with specific targets [i.e. IDP and SDBIP]. In essence, it is intended to judge quality, credibility, relevance, accessibility, and other factors that are associated with evidence that is unambiguous, which can be measured. Performance monitoring and evaluation of identified programmes and projects as they relate to the provision of basic municipal services especially in the urban informal settlements is the focus of the research.

**Table 3.2. Link between monitoring and evaluation**

<b>Dimension</b>	<b>Monitoring</b>	<b>Evaluation</b>
Purpose	To improve efficiency, provide information for reprogramming to improve outcomes.	To improve effectiveness, impact, value for money, future programming (planning), strategy and policy-making
Frequency	A regular exercise – sometime periodic depending on management decision.	Is based on specific project [Episodic]
Function	To check progress [Tracking] and doing oversight.	To conduct an assessment of performance on a particular project or task.
Focus	Focus is on Inputs, outputs, processes and work-plans.	Focus is on effectiveness, relevance, impact, cost-effectiveness
Method	Routine review of reports, registers, administrative databases, field observations and related activities.	Include Scientific inquiry, rigorous research design, complex and intensive evaluation based on evidence.
Sources of information	Surveillance system, field observation reports, progress reports, rapid assessment, programmeme	Similar sources used for monitoring, and in addition other platforms like population-based surveys

	review meetings as a source of information.	and special studies.
Cost implications	Spread across implementation period	Episodic depending on the project or task, often focused at the midpoint and end of implementation period

### 3.9. Challenges and complexities of policy influence

Performance monitoring and evaluation [PME] systems are widely recognised as being crucial elements of managing and implementing projects, programmes and policies in both public and private sector organisations. More importantly, the production and use of PME information during and after an intervention is generally seen as a central plank in systems for reporting and accountability, in demonstrating performance, or for learning from experience and improving future work. According to Jones (2011: 3) performance monitoring and evaluating policy influencing service provision presents particular challenges and complexities. These challenges include policy influencing and are not specific to one particular sector or approach to policy influence. Although they have been well documented and described above, they provide a useful starting point for considering approaches to the PME of policy influence. Jones (2011: 3) identifies three challenges which will be discussed in sections 3.9.1. – 3.9.3.

#### 3.9.1. The conceptual and technical challenges

In Jones's (2011: 3) view, it can be difficult to determine the links between policy influencing activities and outputs, and any change or stasis in policy. Policy change is highly complex and does not necessarily proceed in a linear or rational fashion, with policy processes shaped by a multitude of interacting forces and actors – in particular elected office bearers, variety of stakeholders, managers in the public sector and more importantly the citizenry. This makes it

almost impossible to predict with confidence the likely consequences of activities on a specific policy, and difficult to measure the full effect of actions even after the event.

Another important view as argued by Iverson (2003), is about a difficulty in establishing causality, and is known as the 'attribution problem'. This has a long history in the field of evaluation. Methodologies such as experimental and quasi-experimental impact evaluation that can function to analyse attribution in other circumstances, are unsuitable for policy influencing work because it is difficult to establish a plausible counter-factual. Other authors such as Ekboir argue that there are additional problems in measuring both inputs and outputs of policy influencing activities (Ekboir, 2003).

### **3.9.2. The nature of policy influence work**

The nature of policy influencing work also presents further challenges to PME approaches. Outright success in terms of achieving the specific changes that were sought is rare, with some objectives modified along the way. There is an element of subjectivity in whether gains were significant, consistent with the wider goals of an organisation or campaign, or co-opted. The policy context is likely to change of its own accord, and influencing objectives may need to be altered in reaction to this or to other external forces. This means that objectives formulated at the outset may not be the best yardstick against which to judge its progress. Policy changes tend to occur over long timeframes that may not be suitable to measurement in the usual progression of projects and evaluation in government. In addition, most influencing work and advocacy is effective when carried out in alliances, coalitions and networks, which present difficulties in judging the specific contribution of one organisation to change even after some kind of judgement about contribution or attribution has been made (Jones 2011: 3).

### 3.9.3. The practical problems that constrain the production and use of knowledge

Jones (2011: 3) argues that employees who are carrying out influencing work rarely have the time or resources to conduct intensive PME. There tends to be further problems of PME capacity at the individual and institutional level in many organisations that work in advocacy and other influencing activities – especially those who would prefer to follow up on work done by government for the citizenry. This can also result in objectives and goals that are not clearly defined or communicated from the outset. Policy influencing involves political and sometimes highly conflicting processes, leading to difficulties in determining how best to solicit or interpret the accounts of different actors. According to Jones (2011: 3), influencing work is often unique, rarely repeated or replicated and, even worse; there are incentives against the sharing of good practice. Equally, policy-makers are unlikely to favour claims that their decisions can be attributed to the influence of another actor.

### 3.9.4. The theory of change [ToC]

Challenges present serious difficulties for strategic decisions, for the adaptation of implementation, and for reporting what the money has been used for or in instances where managers must be held accountable by government - i.e. for example in relation to municipal ward councillors and managers who don't deliver on the IDPs and SDBIPs. Jones (2011: 3) argues that there are however, a number of frameworks and approaches to assist users overcome the conceptual and technical difficulties. The vast majority of these involve, either explicitly or implicitly, developing a *theory of change* [ToC]. This is referred to in various ways, such as a *logical model*, *programme theory or roadmap*, but it is a model of how the policy influencing activities are envisaged to result in the desired changes in policy or in people's lives (Whelan, 2008).

It is stated that a ToC is an essential tool for the PME of policy influence (Jones, 2011: 3), not only for improving policy influencing projects and enhancing decision-making, but also for accountability and reporting to stakeholders external to the programme. Literature on planning and PME in complex settings highlight the importance of PME to test and reflect on a project's

ToC. This is for example a key principle of adaptive management, in which projects or programmes are seen as experiments, examining hypotheses about problems and how they can be addressed, with ongoing cycles of evaluation, assessment, and adjustment of change models and activities. PME activities must, therefore, focus on making sense of the available information. Sense-making is defined as “a motivated continuous effort to understand connections [which can be among people, places, and events] in order to anticipate their trajectories and act effectively” (Klein, Moon et al., 2006: 71). Evidence shows that this key activity runs alongside action, rather than preceding it, for contexts and circumstances that are complex, uncertain and ambiguous (Kurtz and Snowden, 2003 – quoted in Klein, Moon et al., 2006: 71).

In complex situations, project and programme managers face ambiguity, with available knowledge and information supporting several interpretations at the same time. This means that teams need to question their models of change, their underlying assumptions and the relevance of their goals. It is important to discuss the framing of an issue explicitly, and question whether interpretations truly follow from available data, and what is missing or uncertain. Once a ToC is completed, it lays out a number of dimensions and intermediate outcomes against which the project’s influence can be measured. Providing a clear statement of strategy and direction is a central element of accountability practices, and is even more important for policy influencing, where objectives and strategies are key ingredients of success (Jones, 2008: 4).

Evaluating strategy and direction, and analysing a project’s expectations for change becomes an important part of evaluating projects. Evaluators often have to construct the ToC from the assumptions and phenomena implicit in a project’s conception and implementation, if none has already been constructed, but this is not ideal as implementing teams may miss potential strategic benefits.

There are many challenges and complexities of policy influence work associated with performance monitoring and evaluation [PME]. It has been argued that they can be overcome.

The most important aspect to mitigate risk and challenges in implementation of reforms similar to PME, is to make sure that proper governance principles are in place and used by managers and practitioners to advance policy implementation - in a way fast-track delivery of services in a manner that ensures accountability, efficiency and effectiveness in how actions are conducted.

### **3.10. Contribution of PME in good governance of metropolitan municipalities**

From a political perspective, governance refers to processes of regulation, co-ordination, and control (Rhodes 1997 – quoted from Pierre, 1999: 377). Thus, for governance theorists, analysing the process of co-ordination and regulation as such are the main concerns. The role of government in the process of governance is perceived as an empirical question (Campbell, Hollingsworth, and Lindberg 1991; Hollingsworth, Schmitter, and Streek 1994; Hyden 1992; Kooiman 1993; Rhodes 1996, 1997 - quoted from Pierre, 1999: 376).

Because the discipline of Public Administration is an eclectic science, it overlaps and relates to other scientific domains. According to authors in political science and urban affairs (Pierre, 1999: 377) - the inclusion of the concept of governance in the local sphere government has several important consequences. Firstly, it assists bringing together regime theory, theories of the local state, and urban political economy into a broader analytical framework. Secondly, the governance system to urban politics highlights the wide range of constraints on municipalities' ability to bring about change in the local community.

Pierre (1999: 377) argues that focusing strictly on governance entails risks of conceptual oversimplification and reductionism. He argues that governance loosely defined, refers to any public-private exchange that leads to seamless governance in both. The continuous exchange between the public and private blurs the distinction between policy formulation and implementation because much of the policy will obtain its final design as it is being implemented (Pressman & Wildavsky 1973; Lipsky 1980 - quoted from Pierre, 1999: 378).

Governance is essential to illustrate if and how this framework offers better analytical than contending systems to urban politics. In sum, theories of urban governance emphasise outcomes over formal, political processes and public-private interaction over formal [legal] policy implementation. Public-private interaction is considered necessary to manage the functions of governing. However, because different configurations of the governance system offer different actors' participation and influence, one must also consider the economic, political, and ideological framework within which these processes are embedded (Pierre, 1999: 377). These value systems constitute the institutions of urban governance – an important unit of analysis for this study, which are the informal settlements in metropolitan municipalities.

In the previous chapter, a detailed discussion and debate on what is *good governance* has been provided [*cf. par '2.6.2. Good governance*]. According to Kuye (2007: 560), the concept of good governance is the main determinant of governance requirements in any modern state. Suk Kim; Halligan; Cho; Oh & Eikenberry (2005: 647 - 648) argue that good governance, as well as efficient and effective public administration, are necessary conditions to achieve sustainable development. They argue that good governance is indispensable for building peaceful, prosperous, and democratic societies and is marked by several major characteristics. These are transparency, participation, consensus orientation, accountability, responsiveness, effectiveness and efficiency, equity and inclusiveness in accordance with the rule of law.

A key feature of the concept of PME has emerged according to Kusek & Rist (2004: xi) which relates to *good governance*. PME can provide unique information *results* and the examination of *outcomes* and *impacts* about the performance of government policies, programmes and projects if implemented correctly. It can identify efficiency and effectivity and the reasons why. PME also provides information about the performance of government; spheres [i.e. local government - municipalities]; agencies; managers and employees - including information on the performance of donors that support the work of government. Mackay (2007: 9) argues that the value of PME does not originate from having such information available, rather the value comes from using the information to improve government performance. Furthermore, Mackay (2007:

9) identifies four key areas of governance that derive a direct benefit from PME systems and information they generate for management:

- *policy making* especially budget, performance budgeting, and national planning;
- *policy development and policy analysis* work and in programme development;
- to *manage activities at the sector*, programme and at project levels including government service delivery and the management of employees; and
- to *enhance transparency and support accountability relationships* by revealing the extent to which government has attained its desired objectives.

The current study in its quantitative section [chapter 6] will specifically focus on how to *manage activities at the sector*, programme and at project levels including government service delivery and the management of employees; and to *enhance transparency and support accountability relationships* by revealing the extent to which government has attained its desired objectives.

It has been argued that PME is closely related to other aspects of public management, in particular issues concerning budgetary tracking systems and financial reporting; intergovernmental fiscal relations, including government decentralisation, and the extent to which they encompass a focus on government performance. Other critical areas of importance in good governance on accountability institutions such as national audit offices; commercialisation and private sector [profit and nonprofit] *delivery of public services*; clarification and public reporting of programme goals, objectives, and the strategies necessary for achieving them; the setting of explicit customer service standards by service delivery agencies, and monitoring and publicising the extent to which these are achieved (Mackay, 2007: 11).

A critical area is the public service reform that focuses on personnel performance, management, and appraisal, including merit-based hiring, promotion, and dismissing—recognising the links between individual performance and project or programme performance and the quality of the public service's policy advice and the extent to which this advice is

evidence based [using PME]; and an anticorruption effort. PME can also be used to identify the “leakage” of government funds via, for example, public expenditure tracking surveys [PETS]. Another dimension is the involvement of community monitoring of the donor [or government] projects, which can also be an effective way to curb corruption in the implementation of projects. Concerning participation in civil society, PME provides a vehicle to magnify the voice of civil society and to put additional pressure on government to achieve higher levels of performance (Mackay, 2007: 11).

### **3.11. Concerns associated with PME outcomes**

Performance monitoring and evaluation [PME] practitioners and managers may be concerned that elected political office bearers [mostly from political parties], interest groups, and the media may use service quality and programme outcome information to criticise policy results. In a democracy with challenges of service delivery in the sphere of local government – especially in South Africa where service delivery protests are regular - there might be concerns that such information stands a good chance of being misused and those municipal PME practitioners and managers might be blamed for any negative findings – moreover, information can be used for party political debates [internally and externally].

This might indeed occur on occasion [inversely: managers may also be given inappropriate recognition for positive results]. This seems less likely to occur since interest groups and the media are much less likely to bring successes to the attention of the public. Possible misuse of negative findings is an unavoidable risk of PME reporting – especially in South Africa where the majority of the population living in informal settlements are unemployed, illiterate, mostly uneducated and poor [i.e. empirical evidence provided in chapter 5 to follow]. However, this is a problem that PME practitioners and managers and at times politicians encounter in executing their duties. PME practitioners and managers should be ready to respond to elected office bearers, interest groups, and the media about the performance of the programmes and projects for which they are responsible. To alleviate the problem of risk of possible misuse of

negative findings, the reporting process should provide municipal PME practitioners and managers the opportunity to provide explanatory information with the programme performance data.

Reports to elected political office bearers and the media should present explanations for the reported results and, when appropriate, indicate the actions [i.e. municipality] taking place or plans to address performance challenges. PME practitioners and managers should use PME reports to present information on resource constraints and other factors, such as poor service delivery or economic conditions, which are likely to affect programme performance. This should somewhat alleviate the concerns that PME practitioners and managers have concerning correct performance reporting.

### 3.12. Conclusion

In this chapter it was argued that the policy framework for the Government-wide Monitoring and Evaluation [GWM&E] through PME, can assist the public sector in three ways: [i] evaluating its performance and identifying the factors which contribute to its service delivery outcomes [ii] assist in providing an evidence base for public resource allocation decisions and [iii] identify how challenges should be addressed and successes replicated in government. Constitutional mandates and obligation – including associated legislative requirements [within the local sphere of local government] for PME to be implemented in municipalities, were also discussed.

Focus in this chapter has been on the principles and essence of PME. The debate started with explaining the term, in particular its historical foundation, and how it has evolved. This was followed by a discussion on what performance monitoring and evaluation should measure in a municipality. A results-based system that examines *outcomes* and *impacts* was also extrapolated and discussed; followed by a view on the use of IE [Impact Evaluation] – this was conjoined to a debate on the Millennium Development Goals and why they are important to the South African development agenda. IE will be the preferred method of evaluation in the empirical component of the study. A discussion on what evaluation is and in particular the link between monitoring and evaluation featured extensively. The chapter also covered a discussion on challenges and complexities of policy influence work associated with performance monitoring and evaluation [PME].

An important debate on the concerns associated with outcomes, results and findings of PME were discussed. The chapter revealed that performance monitoring and evaluation [PME] of government in different spheres has become an important aspect of reform in modern public management in the post-New Public Management [NPM] era. It has been argued that the study of performance monitoring and evaluation in metropolitan municipalities is located within in the discipline of Public Administration.

The chapter culminated in a conclusion that the essence of PME in the South African context is to reflect on what government is doing [at a municipal sphere], what it is achieving against

what it has set out to achieve [i.e. IDP and SDBIP] – using South Africa’s own assessment report on its progress in achieving the Millennium Development Goals. The important debate of the assessment or a view on the level of impact or lack thereof - will be why deviations are occurring or unexpected *outcomes and outputs are a result*. The chapter has indicated that the principle and essence of PME is to provide a marked improvement in performance of the South African public sector and contribute to the establishment of continuous improvement in municipalities.

It is important to consider the aspect of international practice in PME and consider experiences and examples that can enhance the PME reform programme of the South African government – especially at a municipal level. Different countries have unique examples that the South African government can learn from – especially countries with similar Gross Domestic Product [GDP] and developmental challenges and other countries in the developed parts of the world. The next chapter will discuss international experience as it relates to performance monitoring and evaluation – in particular how countries have developed PME systems to improve service delivery by their respective governments.

## CHAPTER 4: PERFORMANCE MONITORING AND EVALUATION [PME] – INTERNATIONAL EXPERIENCE

### 4.1. Introduction

In this chapter, a selection of international concepts of performance monitoring and evaluation [PME] as it relates to the public sector will be discussed. Different countries' experiences will be examined as they pertain to PME. Lessons that can enhance and improve South Africa's PME system, as it relates to governance of the public sector and in particular metropolitan municipalities will be identified, highlighted and given attention.

The United Kingdom [UK]; China; Australia; United States of America [USA], Colombia, Chile, Mexico and selected African countries [Kenya, Niger, Rwanda and Uganda] have introduced structured performance monitoring and evaluation [PME] systems in their public management programmes and projects.

In Africa, the main challenge has been the *absence of "adequate learning about PME"*. The notion of continuous learning, in which the results of PME are used, in the design of new programmes or the redesign of existing ones, is poorly understood and rarely implemented. Available performance information is not systematically incorporated into the policy-making process. Thus, an analysis of various unique examples from different countries in various continents is a necessary experiment to give context to the topic that is being investigated.

## 4.2. Examples and experiences of performance monitoring and evaluation [PME] in randomly selected countries

The first part of the discussion will focus on selection of developed countries [USA, UK and Australia] including the Independent Evaluation Group [IEG] initiative of the World Bank. An Asian experience of China in particular its PME system will also feature, including associated successes and failures. The chapter will then deal with established PME systems in the developing world [Chile, Colombia, Mexico]. Special reference to African countries will be made.

There are a few *unique examples* from each of the selected countries that have been mentioned above, and in the following sections of the chapter, each example will be discussed briefly. Details will be codified in such a way that the extracted information adds value to the study. Unique examples mean PME experiences that are specific to the circumstances in the selected countries.

### 4.2.6. The United States of America [USA] experience – [*Impact evaluations (IE), reporting on results, quality and outcomes of projects and programmes. Programme Assessment Rating Tool (PART)*].

In the United States, programme evaluation is emerging as a separate social science and management discipline. Since the early 1970s it has become standard practice in the United States to monitor and evaluate most federal and state-financed projects. The results of these evaluations are used extensively by both supporters and opponents of these programmes (Chelimsky 1988; Rossi and Freeman 1993; Wholey 1979).

The discipline of Public Administration and related fields of study in the USA, have for about 22 years, called for formalisation of PME in government programmes and projects. The National Academy of Public Administration strongly recommends that units of government at all levels make a concerted effort to encourage agency heads and programme managers to monitor

programme quality and outcomes, as part of an overall system aimed at improving the performance and credibility of major public programmes. On 8 November 1991, after a year-long consultation process, the National Academy of Public Administration adopted a resolution encouraging public agencies at all levels of government to develop procedures for monitoring and reporting on the quality and outcomes of their programmes (Wholey & Hatry, 1992: 607). The National Academy of Public Administration argued that PME should be an essential part of:

[i] programme administration and the budget process;

[ii] the process wherein public officials and programme managers implement performance monitoring systems that can usefully be implemented within the present state of the art;

[iii] legislators, chief executives, and relevant professional groups should encourage agency heads and key programme managers to undertake the following actions:

- obtain agreement between policy-making and operating levels (and, where appropriate, between levels of government) on appropriate indicators of programme cost, quantity and quality of services, and important programme outcomes;
- when feasible, involve citizens or their representatives in setting goals for progress/outcomes and monitoring results;
- regularly collect information on programme performance in terms of the agreed-on performance indicators;
- develop procedures for establishing realistic performance expectations that take into account the influence of client characteristics, local conditions, and other factors beyond the control of programme employees;
- use information on programme performance, changes in programme performance, and differences between actual and expected performance to improve programme performance; and
- regularly report to elected officials and the public on programme performance, changes in programme performance, results achieved in different geographic areas, and differences between actual and expected performance.

The public, the news media, and elected politicians were reminded that programme results can be influenced both by programme activities and by client characteristics, local conditions and other factors beyond the control of programme employees. Performance reports, therefore, should include explanatory information on key factors likely to have affected programme performance.

As experience was gained through PME and reporting and as performance trends became clearer, chief executives, agency heads, and programme managers proposed realistic performance targets in terms of programme goals and agreed-on programme quality and outcome indicators. Subsequently, they monitored and reported on progress in achieving those performance targets. After a while, results could be discerned and the National Academy of Public Administration encouraged further broad experimentation, research, and development of even more effective performance monitoring techniques for an increasingly complex public service. As more experience was gained and the necessary resources and procedures became available, PME and regular reporting extended to major programmes at all levels of government.

The USA's General Accounting Office [GAO] publishes more than one programme evaluation a day, many of which greatly influence budgetary allocations and the formulation of new programmes (Chelimsky 1987). The growing presence of evaluation specialists can be observed in their published works, in professional organisations such as the American Evaluation Association, which now has more than 2500 members, and in the increasing number of courses on monitoring and evaluation [now offered in at least 46 universities in the USA].

Leading evaluation practitioners in the USA argue that satisfactory solutions have been found to most of the basic problems of evaluation design and analysis, at least for countries such as the United States. It is possible to produce methodologically sound and operationally useful evaluations for a broad range of development programmes. Rossi and Wright (1984: 332), in a review of the status of evaluation research, concluded that the evaluation research field is beginning to reach a high level of intellectual accomplishment, that is, just as the best evaluation research of the prosperous decades is being published. New developments in

techniques and methodology have appeared that promise to raise the overall quality not only of evaluations but of many other areas of social research as well. Evaluation researchers have now learned how to conduct field experiments successfully and how to analyse the resulting complicated data sets. They have also started to provide solutions to some of the most serious validity problems of non-experimental research.

A number of states and local governments have developed performance monitoring and evaluation [PME] systems in programme areas such as economic development, elementary and secondary education, higher education, hospital care, mass transportation, police and fire services, public assistance, public health, road maintenance, and solid-waste collection. As an example, federal level PME includes aid to families with dependent children and food stamp programme quality control; monitoring of progress in child support enforcement; efforts to measure progress toward the national goals for education; health care financing administration monitoring of medicare patient outcomes; Department of Justice's monitoring of reported crime rates, crime clearance rates, and victimisation rates; Department of Labour monitoring of performance in employment and training (Hatry, Fountain, Jr., Sullivan & Kremer, 1990).

PME has been used by many local and state agencies. Local governments such as those in Charlotte, Dayton, New York City, Savannah, and Sunnyvale have been monitoring the quality and outcomes of their local services for many years. Through such techniques as regular surveys of business, local government, and travel customers, Minnesota's Department of Trade and Economic Development has been monitoring the performance of its major programmes since 1989 [i.e. export promotion, financial assistance to businesses, small business assistance, and assistance to communities] and even longer for the performance of its tourism promotion services (Wholey & Hatry, 1992: 606). Since 2002, the USA has created the Programme Assessment Rating Tool [PART]. This programme was created to build on earlier efforts to measure government performance (Mackay, 2007: 13). Almost all government programmes are being rated, using the PART methodology, which focuses on four aspects of programme performance:

- The clarity of programme objectives and design;
- Quality of the strategic planning and extent of focus on programme targets;
- Effectiveness of programme management;
- Actual programme results achieved. This last criterion accounts for 50 percent of the PART rating for each programme.

All four criteria emphasise the need for factual evidence of programme performance. This is apparently based on monitoring information and evaluation findings. The ratings are prepared jointly by the Office of Management and Budget [OMB], which is the finance ministry in the USA government, and by departments and agencies. However, OMB has the final say in deciding the ratings (Mackay, 2007: 11).

During the 2005 financial year, it was estimated that 44% of programmes were rated as effective or moderately effective; 24% were rated as results not demonstrated, because of insufficient PME information. This was a significant decline from fiscal 2002, when 50% of programmes were rated as results not demonstrated.

In the USA government, the Programme Assessment Rating Tool [PART] ratings are required to be used by departments in their annual budget funding requests to the OMB. The requests must highlight the PART ratings, the recommendations for improvements in programme performance, and performance targets. OMB, in turn, uses the PART ratings as one input when it prepares the administration's funding requests to the Congress. Moreover, OMB uses the PART ratings to agree or to impose performance improvement requirements on departments. The USA General Accountability Office [GAO] has concluded that PART has assisted OMB to analyse PME information on programme performance as part of its budget analysis work. It has also stimulated departments' interest in budget performance information. However, GAO concludes that the Congress continues to take a traditional approach to its budget deliberations, with relatively little emphasis on PME information (Mackay, 2007: 11).

According to Briceño & Gaarder (2009: 27) the National Science Foundation [NSF] in the USA [which has an annual budget of just over US\$6 billion] is the body responsible for funding research with regard to Impact Evaluations [IE]. NSF's emphasis is more focused on keeping the USA on the leading edge of scientific development, but the broader impacts of the proposed research are specifically included in the review process. For instance, the What Works Clearing House [WCCH] is part of the Institute of Education Sciences of the USA's Department of Education. It was set up in 2002 to be a central source of scientific evidence for what is required to prove successful implementation in education in the USA.

An important lesson from the USA with regard to their PME experience is that the government has been using PME for more than 20 years as a tool to assess its performance in local government and state departments. The USA government has used Impact evaluations [IE] as an important PME tool for reporting on results, quality and outcomes of projects and programmes. The government has, since 2002, designed a Programme Assessment Rating Tool [PART] as a PME tool – this is a key feature of the USA PME.

#### **4.2.2. The United Kingdom [UK] unique experience – [use of performance information *from the public sector agreements for internal planning and accountability*].**

The UK government created a system of performance targets in 1998. The system's details are contained in public sector agreements between the Treasury and each of the 18 main government departments. The public sector agreements explain the department's overall goal, the priority objectives, and key performance targets. Performance targets in the UK government range from 10 – 110 for the government as a whole. They are focused on the priority areas of education, health, transport, and criminal justice. The targets are mainly expressed in terms of the outcomes [rather than outputs] to be achieved. Twice a year, departments report publicly on the number of evaluations, as an input to budget decision-

making. Spending priorities, expenditure ceilings, and the related performance targets are established in a system of three-year spending reviews. The U.K. national audit office reports that departments also use the performance information from the public sector agreements for their internal planning and accountability; less use is made of this information for ongoing management (Mackay, 2007: 12).

The Economic and Social Research Council [ESRC] in the UK has an annual budget of just over US\$320 million, funds academic research, but puts emphasis on policy relevance and user engagement. ESRC is restricted to social sciences with councils for natural sciences and medicine, EPSRC and MRC [medical research council] respectively. In the UK, ESRC has a PME programme that the government calls *engaging society*. Engaging society is aimed at placing the highest importance on the communication of research findings to policy-makers and research users from government, business and finance, the public and voluntary sectors, and more importantly the public (Briceño & Gaarder, 2009: 27).

An important lesson from the UK with regard to their PME experience - is that the UK government has been using PME for more than 15 years as a tool to assess its performance in 18 government departments. The UK government has used performance information from the public sector agreements for internal planning and accountability. This is the main feature of the UK's PME to assess projects and programmes in government.

#### **4.2.3. The Australian experience – [evaluation planning called portfolio evaluation plans called (PEPs)]**

The Australian PME system is based on a 1988 diagnostic review of evaluation practices in departments and for the overall level of evaluation activity in government, which largely comprises a formal strategy for evaluations. The strategy itself was progressively developed over several years (1987–1991). The strategy has three principal objectives:

- to encourage programme managers to use evaluation to improve their programmes' performance;
- to aid the Cabinet's decision making and prioritisation, particularly in the annual budget process, when a large number of competing proposals are advocated by individual ministers;
- to strengthen accountability in a devolved environment by providing formal evidence of programme managers' oversight and management of programme resources.

All ministries are required to evaluate each of their programmes every three to five years (Mackay, 1998: 12). Departments are required to prepare portfolio evaluation plans. These plans detail the evaluations that are to be undertaken over the following three years and indicate the programmes to be evaluated, the issues to be addressed in each evaluation, and the evaluation methods to be used.

The centre-piece of the Australian strategy has been evaluation planning, which was done through formal portfolio evaluation plans called [PEPs] over the past 25 years, which are submitted annually to the minister for finance. PEPs list the government programmes that the ministry intends to evaluate and the issues to be addressed in each evaluation. These PEPs are prepared annually on a three-year term. They include major evaluations only, that is, evaluations of programmes considered strategically important to the government: programmes with large budgets; those of particular policy importance; problematic programmes; and pilot programmes. The evaluations are conducted by the line ministry concerned and usually with some involvement from the finance ministry.

One feature of Australia's PME system is that a broad definition of evaluation is used. Evaluation is defined as a form of disciplined inquiry: it includes rapid evaluations, formal policy reviews, rigorous impact evaluations, and performance audits conducted by the national audit office.

A lesson from the Australia's PME system is that it is *evaluation based*, which is viewed as providing the necessary in-depth, reliable information on the efficiency and effectiveness of government programmes. Performance information is also understood to be important, but it is viewed as an issue for line departments to manage. The most important feature of Australia's PME system is the significant use of evaluation findings to support the cabinet's budget decision making.

Evaluation findings influence not only the policy options put forward for the cabinet's consideration, but also the cabinet's decisions. The Department of Finance's budget officials are surveyed, regarding the extent to which evaluation has influenced the cabinet's decisions in the budgets. The evidence is mixed, but it indicates that evaluation plays a substantive role. In 1994–95, evaluation was judged to have influenced the cabinet's decision in 68% of the \$2,846 billion worth of proposals considered [new policy proposals plus savings options].

#### **4.2.4. The Asian experience**

**4.2.4.1. China** – [*“feeling our way across the river” (policies under consideration must be assessed ex ante without being able to test new policies in practice and obtain realistic information about the potential effects)*].

A discussion on China as one of the leading world economies [i.e. only second to the USA in the world] is an important and critical requirement for this research. For instance in 1978, the Chinese Communist Party's 11th Congress deviated from its ideology-based view of policy-making in favour of a pragmatic approach, which Deng Xiaoping [former leader of the People's Republic of China] famously dubbed “feeling our way across the river.” At its core was the idea that public action should be based on evaluations of experiences with different policies — the intellectual approach of seeking truth from facts. A high value was put on demonstrable success in actual policy experiments (Ravallion, 2009).

The most important aspect of China's developing and implementing economic reform has been the *learning authoritarian state* – meaning that the Chinese have been doing experimentation during implementation; which is contrary to the orthodox principle of policy-making in rule-of-law systems. This principal advice that administrative implementation must come after parliamentary legislation or executive regulation and must be based on formalised and publicised general rules. According to Heilmann (2008: 3) the potential impact of the policies under consideration must be assessed *ex ante* without being able to test new policies in practice and obtain realistic information about the potential effects. Furthermore, Heilmann (2008: 3) argues that the majority of major economic reform initiatives in post-Mao China were prepared and tried out through pilot projects [also known as experimental points or model projects] before they are to be universalised in national regulations, and offers state-owned enterprise [SOE] restructuring and bankruptcy laws. Other areas of experimentation include the household responsibility system, township and village enterprises, and special economic zones. Chinese-style experimentation according to Briceño & Gaarder (2009:23) takes three distinct forms:

- regulations identified explicitly as experimental [i.e., provisional rules for trial implementation];
- “experimental points” [i.e., model demonstrations and pilot projects in specific policy areas];
- “experimental zones” [specially delineated local jurisdictions with broad discretionary powers to undertake experimentation].

This proves that the Chinese are not really involved in orthodox PME systems, as in the USA or UK examples. Instead, China carries out discretionary policy experimentation in advance of legislation. These experimental methodologies are in a purist sense, what can be termed *case studies*. Research coming from PME researchers, who conducted PME research in China (Briceño & Gaarder, 2009: 24) - is that there is little formal, rigorous evaluation taking place in China with regards to PME. They were able to establish the existence of completed or ongoing

evaluations in 17 projects and programmes - the demand for the evaluations has mainly stemmed from donor institutions or has been initiated by the researchers themselves.

#### **4.2.5. The Latin American experience**

In Latin America, there are twenty countries that are currently working to strengthen their government's PME systems. The leading countries in development and entrenching continuous PME system's practice include Brazil, Chile, Colombia and Mexico. However, Brazil will not be considered for this study due to limited published information from its government or researchers in the field of PME.

It has been observed that the common set of economic and social pressures are perhaps more important in Latin America, as it is the case in other developing continents. These are continuing macroeconomic and budgetary constraints; dissatisfaction that growth in government spending in the social sectors has not been matched by commensurate increases in the quality or quantity of services provided; continuing pressures to improve and extend government service delivery and income transfers; and the growing pressures for government accountability and for *social control* that is, clearer accountability of governments to ordinary citizens (Mackay, 2007: 17).

**4.2.5.1. Chilean experience** – *[Ministry of Finance [MoF] uses PME [performance monitoring and evaluation] information to improve the performance of ministries and agencies, through the six pillars or components. Evaluations are an integral part of the programmes from inception].*

The government of Chile has progressively developed its PME system over a number of years, with most of the development having occurred since 1994. The system has been largely

designed, implemented, and managed by the Ministry of Finance [MoF], with the overall objective of improving the quality of public spending.

According to Mackay (2007: 27) a unique and notable feature of Chile's PME is the manner in which the Ministry of Finance [MoF] uses PME information to improve the performance of ministries and agencies. It undertakes this action in two ways. Firstly, the performance indicators provide baselines of programme performance and the MoF agrees on performance targets for the coming budget year with each public agency. The MoF monitors the extent to which the targets are met. In 2003 for example, about three-quarters of these targets were met.

Secondly, when the MoF considers the recommendations made by the evaluations it has commissioned, it discusses them with the evaluated organisations and formally agrees on changes to the programmes. In effect, the MoF imposes these agreements known as formal commitments on the organisations concerned. It is unique for MoF to systematically impose management changes on ministries and agencies. Chile's MoF is able to do this because of its influential role within the government (Mackay, 2007:27). The Chilean PME system consists of six pillars or components:

- *Ex ante cost benefit analysis of all investment projects* - introduced in 1974. This work is undertaken by the planning ministry.
- *Performance indicators* – initially piloted in 1994. The Ministry of Finance [MoF] currently collects about 1,550 performance indicators, for all sectors in government.
- *Comprehensive management reports* – this system was first introduced in 1996. What happens is that reports are generated and prepared annually by ministries and agencies and report on their objectives, spending and performance.
- *The evaluations of government programmes* – this was also initiated in 1996. The evaluations follow a standardised format, which includes rapid reviews, a log-frame analysis of a programme, a desk review, and an analysis of existing data.

- *Rigorous impact evaluations* – the system was firstly introduced in 2001. This is a scientifically based system where primary data is collected and analysed, usually based on sophisticated statistical techniques.
- *Comprehensive spending reviews* – this current system was introduced in 2002. The reviews analyse all programmes within a particular functional area and address issues associated with inefficiency and duplication of programmes in departments in particular and government in general.

This proves that Chile has a comprehensive PME system; an important lesson coming from the Chilean experience is that evaluation needs to be an integral part of the programmes from inception. Another critical lesson is the development of *ex-post impact evaluations* and the move towards new programme evaluation.

**4.2.5.2. Colombian experience** – [SINERGIA, *the system's main components is a performance information data-base containing about 500 performance indicators; to track the government's performance against all of the 320 presidential goals*].

The PME system in Colombia is called SINERGIA and it is managed by the Department of National Planning [DNP]. One of the system's main components is a performance information data-base containing about 500 performance indicators, to track the government's performance against all of the 320 presidential goals (Mackay, 2007: 17). For each performance indicator, the publicly available database records the following critical areas of performance assessment:

- objective;
- the strategy to achieve the objective;
- baseline performance;
- annual targets
- the amount spent by the government.

SINERGIA's mandate and conceptual basis are broad and involve PME activities across all sectors and government levels (Briceño & Gaarder, 2009: 14). In practice, the Directorate for Evaluation of Public Policies [DEPP] acts as the technical secretariat of SINERGIA. It is a unit established within the National Planning Department [NPD], a long-standing administrative department with ministerial status that acts as the technical arm of the Presidency, coordinating and guiding policy-making along with sector ministries and in charge of central government's investment budget.

In practice, DEPP's main scope of action is related to its regular interaction with agencies and ministries at the central level regarding monitoring of the system of goals and ongoing evaluation of programmes, capacity building activities and dissemination of PME information through seminars and training events. The normative framework also provides for different units of the agencies and ministries to carry out regular PME activities, in particular planning or budget units. In exceptional cases, some special evaluation units have been established (Briceño & Gaarder, 2009:14).

The performance monitoring and evaluation [PME] systems in Colombia have a unique critical feature. The President assesses ministers and the so called PME information in meetings with municipalities. What takes place in practice is that performance assessments are conducted and where performance targets are not met, the manager responsible for the target is required to prepare a statement explaining underperformance. In turn, the Office of the President uses this information in monthly management control meetings with each minister and in weekly town hall meetings in municipalities. The department responsible is the National Planning Department [DNP].

Performance monitoring and evaluation [PME] is undertaken through the department [Evaluacion de Politicas Publicas]. There is a Director with the following four divisions [Results Monitoring, Strategic Evaluations, Dissemination and Accountability and Performance for Results]. An important lesson from the Colombian experience - the case of SINERGIA, is that

legal support from access to *Public Information or Transparency Laws* is an important asset to support full public disclosure, especially in PME systems located within the executive.

**4.2.5.3. Mexican experience – [CONEVAL, social sector agencies are required by law to have an annual evaluation programme agreed-upon. Broad legal mandate for PME].**

In Mexico, the leading evaluation entity is the National Council for the Evaluation of Social Development Policies [Consejo Nacional de Evaluación de la Política de Desarrollo Social – CONEVAL]. This body was created in 2004 as part of the Social Development Law. There are between 100 and 130 federal programmes under the mandate of CONEVAL [reported figures differ by year], of which all are required to carry out logframe-type evaluations for which it provides terms of reference and guidelines. In addition, CONEVAL directly oversees about 15 evaluations per year, which is an equivalent of 11% of the programmes under its mandate, of which approximately 20% are Impact Evaluations [IE] (CONEVAL, 2008).

CONEVAL was established with a twofold mission:

- to measure poverty [national, state and municipal level] and
- to evaluate all social development policies and programmes at the federal level to improve results and support accountability practice under methodological rigor.

Although the mandate of CONEVAL is formally limited to the social sector, it acts as the standard setter and articulator of evaluation activities across government agencies (Briceño & Gaarder, 2009: 8). Key factors of the PME system in Mexico are:

- the social sector agencies are required by law to have an annual evaluation programme agreed-upon with CONEVAL.

- the Ministry of Finance [Secretaría de Hacienda y Crédito Público, SHCP], and the public comptroller's office [Secretaría de la Función Pública – SFP] as a prerequisite for inclusion in the national budget gives the institution [CONEVAL] a powerful mandate.
- there are other institutions that perform monitoring and auditing activities at the central level.

It could be deduced from the information gathered, that there are three areas that can be identified where an institutionalisation gap remains in Mexico. The challenges and gaps in the Mexican PME system include: the alignment of central evaluation efforts between these new evaluation units and CONEVAL and the lack of evaluation at the sub-national government levels including the relative absence of institutionalised evaluations [Impact Evaluation and other, such as process evaluation] in the non-social sectors (Briceño & Gaarder, 2009: 8).

The important lesson of CONEVAL – is that *it is important to have a unique and broad legal mandate for PME in government*, because the risk of having ambiguities in the legal or regulatory mandates over the agency or unit in charge of the development of the PME system, or the scope of sectors - is that competing initiatives may appear that undermine consolidation and legitimacy before the agencies undertake PME activities. Thus, it could be argued that the approach followed does not success in ensuring a comprehensive PME system in Mexico.

#### **4.2.6. The African experience**

As indicated earlier in chapter 3, [*cf* “3.4. Explaining the concept of performance monitoring and evaluation – PME”], in Africa, substantial modern techniques and practice of performance monitoring and evaluation [PME] achievements are rare in sub-Saharan Africa - only in a few countries [Kenya, Niger, Uganda, Rwanda]. A low to medium effectiveness of PME systems can be found. According to Schacter (2000: 5) there are *three key areas* that pose the biggest challenge for PME to flourish in sub-Saharan Africa.

Firstly, there is an issue of *insufficient supply*. It is a result of too few people in most Sub-Saharan African countries capable of designing and implementing PME activities due to “brain drain” and poor training results in the area.

Secondly, there is a challenge of the basic statistical and technical building blocks of PME systems in most African countries. As argued by Kusek & Rist (2004: 76) efforts have been made throughout the African region to create the basic statistical and technical building blocks of PME systems. Among these building blocks are the core indicator surveys that have been conducted in a number of African countries, including Ghana, Malawi, Mozambique, Nigeria, and Lesotho. The Core Welfare Indicators Questionnaire [CWIQ] was created jointly by the World Bank, the UNDP, and UNICEF to monitor development objectives through the use of leading indicators in general, and social indicators in particular. Leading indicators are indicators give advance warning of a future impact, whose emergence may be delayed or difficult to measure.

Thirdly, there is a challenge of *donor agencies in the driver’s seat*. A lack of demand for PME in the region means that much of the PME activity has occurred through donor-driven initiatives. PME in these states on the African continent often address donors’ concerns for the accountability of project inputs and outputs, rather than local concerns related to broader development issues. The disproportionate element of donor initiative reduces local commitment to, and ownership of PME efforts. According to Mackay (2007: 46) most African countries are simply too poor to conduct evaluations and reviews [examples provided are Tanzania and Uganda]; they rely instead on donors for such work. A difficulty is the heavy burden placed on countries to meet the PME requirements of donors, in terms of inspection missions, provision of performance information, harmonised donor evaluation criteria and methods.

Valadez & Bamberger (1994: 20) argue that most development projects in African countries and in other developing countries are financed by international aid groups. For instance, 192 were completed under the auspices of the World Bank in 1985 based on its project completion

reports (World Bank 1987: xi). Close to 250 are completed every year under the U.S. Agency for International Development [USAID] judging by its evaluation reports (OECD 1986). The available evidence suggests that a significant proportion of development programmes in African countries fail to fully achieve their objectives. Of the 192 completed by the World Bank in 1985, approximately 20% had unsatisfactory or uncertain outcomes (World Bank 1987: 5).

Success rates have been even lower for complex projects in low-income countries which are in need of major social and economic reform, notably in Africa. The success rate for such countries is often less than 50% (World Bank 1987: 28). These figures do not fully reflect project performance, however, because they usually refer to the *project implementation* stage, in which infrastructure is constructed, equipment installed, and service delivery systems established. Little is known about how well projects are able to *sustain* the delivery of services over time, and even less about the extent to which projects are able to produce their intended impacts.

The main argument advanced by PME practitioners and authors is that African countries already possess PME systems, even though most of the systems were developed by donor and aid organisations. Mackay (2007: 50) argue that the challenge these countries face are not developing new PME systems, but rationalising and improving already existing systems. There are problems with data quality and unharmonised donor requirements for PME. A situation of *too much data, not enough information* – which is something that require trained practitioners to unravel. Compounding these problems on the supply side, is that in most countries on the African continent, there is weak government demand for PME information. Although it would be unrealistic to expect most African countries to build comprehensive, reliable PME systems, there are a number of important elements that they could undertake. They are listed below:

- financial management information systems to support better financial tracking of government spending;

- public expenditure tracking surveys to identify *leakage* and to trace the effects of corruption;
- service delivery surveys of client satisfaction and perceptions of the quality of government services;
- rapid appraisals—for example, of *problem* projects or programmes;
- national and sector statistical collections—especially relating to national priorities such as the [Millennium Development Goals] MDGs;
- sector ministries’ administrative data.

In a study on “The case for performance monitoring” Wholey & Hatry (1992: 605) explain the notion of performance monitoring in detail as follows:

- performance monitoring systems generally should compare the performance of different units, compare current performance with prior performance, or compare actual results to targeted performance levels;
- performance monitoring systems generally should compare the results achieved in different geographic areas or in different population subgroups; and
- more advanced performance monitoring systems compare the performance of units operating under similar conditions or use statistical analysis to control for client characteristics, community characteristics, or other factors that may affect programme outcomes.

Even though some African countries do not have the requisite skills and infrastructure necessary to undertake PME as a necessary reform in their countries – current PME systems developed by donors can be improved. The least that has been created as a PME system by donor organisations can serve as a base or platform to build on moving forward.

**Table 4.1. A summary of experiences from a selected group of countries in performance monitoring and evaluations [PME]**

<b>Country</b>	<b>Feature or experience in PME</b>	<b>Lessons for South Africa</b>
<b>United States of America [USA]</b>	<i>IE [Impact evaluations], reporting on results, quality and outcomes of projects and programmes</i>	South Africa has already adapted some of this experience in its legislative and PME framework [i.e. NEPF]
<b>UK [United Kingdom]</b>	<i>use of performance information from the public sector agreements for internal planning and accountability</i>	South Africa has already adapted some of this experience in its legislative and PME framework [i.e. NEPF] and in the Green paper on National Planning.
<b>Australia</b>	<i>Evaluation planning</i>	South Africa has already adapted some of this experience in its legislative and PME framework [i.e. NEPF]
<b>China</b>	<i>“feeling our way across the river” [policies under consideration must be assessed ex ante without being able to test new policies in practice and obtain realistic information about the potential effects]</i>	South Africa is way ahead of China in terms of PME.
<b>Chile</b>	<i>The way the Ministry of Finance [MoF] uses PME [performance monitoring and evaluation] information to improve the performance of ministries and</i>	South Africa can learn from the Chilean experience, considering its key priorities in the National Development Plan [NDP] 2030.

	<i>agencies, through the six [6] pillars or components - evaluation needs to be an integral part of the programmes since their inception.</i>	
<b>Colombia</b>	<i>SINERGIA, the system's main components is a performance information database containing about 500 performance indicators to track the government's performance against all of the 320 presidential goals – including the Public Information or Transparency Laws.</i>	The South African Department of DPME can learn in terms of how to structure PME programmes, but more importantly on Public Information or Transparency Laws – which is an important asset to back full public disclosure, especially in systems located within the executive.
<b>Mexico</b>	<i>CONEVAL, social sector agencies are required by law to have an annual evaluation programme agreed-upon - it is important to enjoy a unique and broad legal mandate in PME</i>	South Africa has already adapted some of this experience in its legislative and PME framework [i.e. NEPF] – in the main it refers to issues of donor agencies and how they are accommodated in the South African PME systems.
<b>Sub-Saharan countries [Kenya, Niger, Uganda, Rwanda]</b>	<i>There are problems with data quality and unharmonised donor requirements for PME— a situation of too much data, not enough information – which is something that requires trained practitioners to unravel.</i>	One recommendation is that South Africa can use its experience to support the Sub-Saharan countries in developing sustainable PME systems as a reform programme.

### **4.3. Performance monitoring and evaluation [PME] and government reform at an international level**

A detailed debate and discussion in chapter 2 [cf “2.5 – Performance monitoring and evaluation (PME) as a reform programme] of the study has been concluded. The argument advanced in chapter 2 under the specified section is that:

*Government interventions which are introduced to attain reform goals similar to performance monitoring and evaluation [PME] are popularly known as New Public Management [NPM] initiative. However, NPM is only the utilisation of a particular style of management to effect these reform goals – as it has been the case with the introduction of PME in the South African public administration environment. PME is applied within a reform framework where the national reform goals are clear and senior politicians [i.e. the Presidency and the Minister of Performance Monitoring and Evaluation] are leading the process. Public managers, who aspire to introduce NPM initiatives supported by reform interventions [i.e. PME], could find it difficult to implement it successfully if the head of state is not involved and a broad political-will to support it is lacking.*

Countries can use PME information to assess the performance of organisations and institutional reform processes. Another important aspect is accountability, as PME contributes to the accountability mechanisms, which hold managers and governments accountable for their performance (Mackay, 1998: 8). Creating a PME system strengthens governance by improving transparency, by strengthening accountability relationships, and by promoting a performance culture within governments to support better policy-making, budget decision-making, and management (Lahey, 2010: 3).

Schacter (2000: 7) argues that for PME interventions to have a reasonable chance of success, the programme must pay careful attention to the quality of local leadership for reform; local capacity to design and implement reform programmes and features of the local incentive and

accountability environment, particularly as they relate to the level of corruption in the public sector and the quality of public service delivery; capacity-building needs of decentralised as well as centralised forms of government and forces external to the public service that support governance reform.

The observation is that governments in different spheres and in particular at a local sphere where municipalities are located in conjunction with policy-makers are regularly experimenting with service delivery options, sometimes without citizen's informed consent on issues affecting their lives [e.g. China's experience above]. This experimentation is sometimes done without factual evidence to check if whatever they are doing is effective, or whether it has substantive adverse effects, and to what extent it could achieve a more efficient and effective means in their quest of delivering basic services to the communities they serve. It is therefore important to have carefully designed and implementable monitoring and evaluation practises, that have the potential to improve the delivery of minimum basic services [i.e. electricity, sanitation, water and waste collection] and enhance people's welfare.

There are various reasons for the heightened and increasing effort to strengthen a country's government performance monitoring and evaluation [PME] system's capability and capacity. Reasons range from fiscal pressures to ever rising expectations, which originate from ordinary citizens. All these important issues provide a continuing impetus for governments to provide more services at higher standards of quality. Moreover, these pressures are reasons to find more cost effective ways of operating, so that governments can provide more services with fewer resources.

In the absence of adequate attention to service quality and programme outcomes, government may become wasteful; ineffective; unresponsive and government credibility could sink lower. Modern management theory refers to emphasis in the use of systematic mathematical techniques in the system with analysing and understanding the inter-relationship of management and workers in all aspects and practice including customer focus; market-driven

management; strategic planning; total quality management; value for money depend on adequate and timely information on what public programmes are accomplishing are essential elements to avoid wasteful expenditure in government (Wholey & Hatry, 1992:605).

In previous chapters [2 and 3] it was argued that building a performance monitoring and evaluation [PME] system depends on political commitment and requires technical capability. In this instance competent managers and officials in government in all spheres need to co-operate. Civil society groups and parliaments are exerting accountability pressure on governments to publicly report and explain their performances. It is accepted practice in the International donor community to demonstrate the results of the large volumes of aid spending for which they are responsible. In turn, these donors are to persuading and supporting developing countries to strengthen their own PME systems – as a reform programme and intervention to improve their performance of governance.

#### **4.4. Three dimensions of success in PME**

The successful institutionalisation of PME involves the creation of a sustainable, well-functioning PME system within a government, where good quality PME information is used intensively – something that still needs to be entrenched in the South African government, in all spheres (Mackay, 2007: 23). The three identified dimensions of success are:

- Utilisation of PME information – to support government policy making, including performance budgeting or national planning; for policy development and analysis and programme development; for programme and project management; or for accountability purposes.
- Good quality PME information – where a system of performance indicators focus on national development goals [as in the Ministry of Performance Monitoring and Evaluation in South Africa]; National goals, outputs, service delivery, and processes.

Others focus on carrying out various types of evaluation, such as rapid reviews, rigorous impact evaluations.

- Sustainability – the argument is whether PME systems will survive a change in administration or if government ministers or senior officials change. In cases where the utilisation of PME information is firmly embedded that is, mainstreamed in core government processes such as the budget cycle. It could be argued that they are institutionalised and thus likely to be sustained over time. However the opposite also applies where PME has only a limited number of key supporters or is used only in limited access, or if it is largely funded by donors rather than by the government itself, then sustainability would be seen as less likely.

It can be argued that international donor support has, given particular attention to poorer countries. These are countries that prepare poverty-reduction strategies as part of debt relief initiatives. Furthermore, these countries are engaged in rigorous development programmes to achieve the Millennium Development Goals [MDGs]. Donors are starting to appreciate that country PME systems can play a role in amplifying and boosting anticorruption efforts; assisting to identify “leakages” in government funding, as well as some of the possible consequences of corruption in the public service. PME can also expose government spending that is not reflected in the physical quality of infrastructure or in the volume and quality of services provided. The issue of *credibility and legitimacy* of a PME system becomes important.

## 4.5. Credibility and legitimacy of performance monitoring and evaluation [PME]

Experts in the field of PME, Briceño & Gaarder (2009: 5) argue that a successful institutionalised performance monitoring and evaluation [PME] system may be applied differently in different countries, contexts and cultural environments. Nevertheless there are the same trade-offs and considerations to be made. With the main objective of monitoring and evaluating being the performance of governmental programmes, the oversight body [Legislature and the Department of Performance Monitoring and Evaluation – PME in the South African context] should enjoy a high degree of independence, which ultimately translates into higher external credibility. Furthermore, legitimacy of the PME effort can also be attained through the establishment of competitive and transparent processes for the contracting of external PME agencies.

The risk to credibility when the system is located under the executive [which is the case in South Africa] can be mitigated with other provisions such as a commitment to public disclosure through relevant legislation; in particular the *Promotion to access to Information Act, 2 of 2000 [PAIA]* and the *Promotion of Administrative Justice Act, 3 of 2000 [PAJA]*.

The credibility issue in PME is important because, PME systems have as object of operation the monitoring and evaluation of governmental programmes, plans, projects, or activities, therefore one assumption is that subjectivity increases the closer the PME unit is to the object of analysis [government and in this instance the local sphere of government – a municipality]. An oversight body should enjoy a high *degree of independence* to be able to make assessments and fully disclose them, without any improper influence. Therefore, the implication is that government systems should enjoy a higher degree of independence that ultimately translates into higher *external credibility*. Presumably, the higher the degree of independence, the better the reception is from internal and external stakeholders (Briceño & Gaarder, 2009: 28).

According to Valadez & Bamberger (1994: 22) when properly applied, information produced by PME systems can be of direct use to policymakers, planners, and managers in at least four ways. Firstly, it can assist a country to improve its method of identifying and selecting projects and programmes by ensuring that these endeavours are consistent with national development objectives, that they will have a good chance of succeeding, and that they are using the most cost-effective strategy for achieving the intended objectives. Secondly, PME systems can determine whether the project is being implemented efficiently, is responsive to the concerns of the intended beneficiaries, and will have its potential problems detected and corrected as quickly as possible. Thirdly, PME systems measure whether projects and programmes that are under way are achieving their intended economic and social objectives, as well as contributing to sectoral and national development objectives. Fourth, evaluation studies can be used to assess the impact of projects on wider developmental objectives such as protecting the environment and managing natural resources, alleviating poverty, and giving women full economic, social, and political participation in all aspects of development.

#### **4.6. Independent Evaluation Group [IEG]**

Since its creation in 1973, the World Bank's Independent Evaluation Group [IEG], which was formerly known as the *Operations Evaluation Department* has mainly supported the efforts of governments, particularly in developing countries to strengthen their performance monitoring and evaluation [PME] systems and capacities (Mackay, 2007: v). Many developed and developing countries have accumulated substantive experience in building monitoring and evaluation systems. As with any form of capacity building, there are a number of lessons about what approach is most successful (Mackay, 2007: 2).

IEG has estimated that, by 2002, the World Bank was already assisting more than 30 countries on the latter type of PME systems building. The number has increased substantially since that time. The World Bank has a regional programme to support building PME systems in Latin America. This includes the creation of a high-level community of practice for M&E system managers and others. The Asian Development Bank created a similar community of practice,

and the African Development Bank has announced a similar community for Africa. In 2005, the Inter-American Development Bank initiated a programme of support to assist countries in the Latin American and Caribbean Region to build their PME systems; about 20 countries have received grant support via this programme (Mackay, 2007: 18) – which is important for developing countries’ development agenda.

The Independent Evaluation Group of the WB [World Bank] IEG has contributed by actively promoting some assessments of the systems’ performance and diagnoses (Briceño & Gaarder, 2009: 32). Mexico [CONEVAL] recently commissioned an assessment of its general guidelines for federal programmes evaluation from a World Bank team. In 2005, another team carried out a comprehensive analysis of the Chilean public expenditure evaluation programme and IEG published a diagnosis of Colombia [SINERGIA] in 2007.

The Latin American Centre for Development Administration [CLAD] has continuously studied the systems since the late 1990s, and in 2006, engaged jointly with the WB in an ambitious initiative to strengthen the region’s PME systems by studying and analysing 12 countries, with a standard methodology and a comparative approach, which resulted in a series of individual country studies and a 2008 comparative report. So far, this can be considered the major and significant effort to assess the evolution of the IE [Impact Evaluation] systems at the regional level (Briceño & Gaarder, 2009:32).

PME information is used for multiple purposes; for incorporating it into policy and budget decision-making and national planning, improving policy analysis and policy development, assisting in managerial activities such as programme management or institutional management, enhancing transparency and accountability. Successful PME systems are different in different contexts and environments (Briceño & Gaarder, 2007: 28). They argue that the development of the PME system is not linear, it follows the learning by doing principle. The most crucial aspect repeatedly raised by experts as a yardstick of PME success is the degree of utilisation of the information produced by the PME system. This is a prerequisite for sustainability.

It can be argued that PME is a crucial requirement for managing and implementing projects, programmes and policies in public organisations. The production and use of PME information during and after an intervention can be regarded as central in PME systems; for reporting and accountability in an organisation; in demonstrating performance and for learning from experience and improving future executive actions.

## **4.7. International performance monitoring and evaluation [PME] associations**

### **4.8.1. Global**

An important and developing trend influencing the focus on PME is the growth in the number and membership of national, regional, and global evaluation associations. At the global level it is the International Development Evaluation Association [IDEAS] and the International Organisation for Cooperation in Evaluation [IOCE]. The latter Association comprises the heads of regional and national evaluation associations.

### **4.8.2. Latin America**

In Latin America there are regional associations promoting the formalisation and strengthening of PME such as Preval and the new regional association ReLAC [Red de Seguimiento, Evaluación Sistematización en América Latina Caribe—Latin America and Caribbean Evaluation Network].

According to the assessment of experts and practitioners in the PME field (Mackay, 2007: 19), these associations reflect, in part, the growing interest in PME and the growing number of individuals working in the field. As indicated above, such communities of practice have the potential to influence the quality of PME and thus to facilitate the efforts of governments to strengthen their PME systems and bring critical constituencies in PME together. The growth alluded to in this argument has the potential to spread awareness and knowledge of PME

among all concerned and in particular government officials—and thus to increase demand for it. Multilateral and bilateral donors, including the World Bank, have provided funding and other support for a number of these evaluation associations (Mackay, 2007: 19).

#### **4.8.3. Africa**

In Africa, there are currently National Associations, and some of these [such as in Niger, Rwanda, Kenya, and South Africa] have been particularly active in recent years – like the African Evaluation Association [AfrEA] at a continental level. In South Africa is the South African Monitoring and Evaluation Association – [SAMEA] is active. These associations have involved close collaboration among academics, consultants, government officials, and donor officials, the major conferences of regional and global evaluation associations. The main and constant challenge is sustaining their level of activity. However, it depends on the commitment, presence and energy of local champions [governments themselves] whether the efforts will be successful.

## 4.9. Conclusion

It has been argued that regular performance monitoring and evaluation [PME] of service quality and programme results are key components of informed public management and the identification of opportunities for improved public sector performance in selected countries. Elected public representatives and citizens in all countries that were examined are aware of their rights and the fact that they are entitled to regular reports on the performance of major public programmes in their countries at all levels of government. Not only is information made available on programme costs and the extent of the actions completed, but also information on the quality of service delivery and on programme outcomes.

Building on the first three chapters [1, 2 and 3], it has been extrapolated that PME can support good governance in several ways. However, it has been emphasised in this chapter that the information produced by PME can be an important input for government decision-making and prioritisation, particularly in the budget process – various examples from different countries provide evidence in this regard. Furthermore, it has been argued that the PME system in various countries can assist public managers to identify and measure the performance of on-going activities and produce valuable information for performance of government activities at the project or sector level. In terms of management, PME has been identified [including in previous chapters - 2 and 3] as a management tool that promotes future learning and improvement [results-based management].

The South African government has made commendable effort by establishing the Department of Performance Monitoring and Evaluation [DPME]. The DPME has many features of other countries' performance monitoring and evaluation [PME] systems and structures, especially the models in the Organisation for Economic Cooperation and Development [OECD] countries and some South American countries like Chile, Colombia and Mexico. The IE [Impact evaluation] approached adopted by DPME has proved to be a success in other OECD countries and South

Africa [DPME] has adopted the public sector management tools that these countries typically employ, such as PME and in particular IE.

From the discussion, it is clear that a strong and stable PME system requires the existence of a democratic system with an active and vocal citizenry; similar to the case in South Africa. There is also a need for democratisation and political stability, which are both important enabling factors concerning the institutionalisation of evaluation bodies with inbuilt independence. An important observation from various countries is that the establishment of PME systems is a lengthy process; many developing countries that were discussed are still building PME capacity and structures. This is because democracy and reform requires extensive consultation and engagement processes; information campaigns and sharing; legal and parliamentary steps – which are all contrary to the *experiment first* approach that has been used extensively in China.

Another important lesson from the discussions, is that many developed and developing countries that have accumulated consistent and substantial experience in building successful PME systems are internationally linked to South Africa in various forums and United Nations [UN] affiliated development and economic platforms - which gives South Africa some international recognition and respect among its peers. The consistency of these lessons across different countries and regions of the world is not surprising as it reflects international experience with other types of public sector capacity building.

The experiences of the developed countries which were analysed [USA, UK and AUSTRALIA] including [China] and more importantly developing countries [Chile, Colombia, Mexico] reveal underlying delicate balances in the institutional design of a PME system. PME should not be pursued as an end itself. Its value comes from usage.

It has been argued that PME is an effective platform internationally to provide vital information about the performance of government policies, programmes, and projects. It can assist in identifying what works and the reasons why. PME provides information about the performance

of a government, of individual ministries and agencies, and of managers and their subordinates – similar to a situation in urban informal settlements [UIS] in a metropolitan municipality.

In the next chapter focus will shift from theory to practice. The chapter will deal with the issues concerning performance monitoring and evaluation as it relates to governance of metropolitan municipalities and how they measure their performance - in particular how these municipalities conduct their result based performance and IE. Specific reference and focus will be on the provision of minimum basic services in UIS. A detailed explanation of what a metropolitan municipality in South Africa is will be necessary to give context. The state of local sphere [pre and post democracy] and how UIS fit into the metropolitan system of government in South Africa are critical discussions in the next chapter.

## CHAPTER 5: EVOLUTION OF METROPOLITAN MUNICIPALITIES IN SOUTH AFRICA

### 5.1. Introduction and contextual overview: Population

Gauteng covers 1,4% of South Africa's land area; the Province contributes 34,8% to the national economy and 10% to the GDP of the entire African continent. The Province contributes about 1/3 of the country's total GDP. Gauteng is the powerhouse of South Africa and the heart of its commercial business and industrial sectors (GCIS, 2010: 17).

The Province will essentially become one big city in the future when the two district municipalities of Sedibeng [South] and the West Rand become metropolitan municipalities in 2016 – as anticipated. Currently it has three metropolitan municipalities of Ekurhuleni [East], Johannesburg [Central] and Tshwane [North] and two district municipalities of Sedibeng [South] and the West Rand [West]. About 97% of Gauteng's population live in urban centres. Statistically, the Province of Gauteng is the most densely populated in South Africa. Important sectors contributing to Gauteng's economy are finance, real estate, business services, manufacturing and general government services. Gauteng is also the financial-services capital of Africa. More than 70 foreign banks have their head offices in and around Johannesburg, as do at least the same number of South African banks, stockbrokers and insurance companies (GCIS, 2010: 17-18).

Recorded history and archeological studies of human origins in Southern Africa indicate that the Khoikhoi people are the aboriginal South Africans. It is believed that these people have lived in the region of Southern Africa for millennia (Raven-Hart 1967: 1). The rest of the South African population traces their history to immigration. When the first Europeans sailed around the Cape of Good Hope at the end of the 15th century they found herdsmen with cattle and sheep. Bartholomeu Dias who first discovered the southern end of the continent: 'sighted land in a bay which we called the Angra dos Vaqueiros, because of the many cows seen there, watched by their herdsmen' (Raven-Hart 1967: 1).

According to Smith (1983:2) Dias described the problem of communication with these people 'since they had no language which could be understood, we could have no speech with them;

but rather they drove off their cattle inland, as if terrified at such a new matter, so that we could learn no more of them than that they were blacks, with woolly hair like those of Guinea'. This then was the first description of the Hottentots, or, as they called themselves, Khoikhoi (Smith, 1983: 2).

Scientific research and archaeological evidence show that the Khoikhoi entered South Africa from Botswana through two distinct routes – traveling west, skirting the Kalahari to the west coast, then down to the Cape, and travelling south-east out into the Highveld and then southwards to the south coast (Boonzaier, E. 1996: 16-17). Most of the Khoikhoi have largely disappeared as a group, except for the largest group, the Namas.

The Khoisan people as they are known, who at various points have been referred to using the derogatory terms 'Bushmen' and 'Hottentots', as well as Kung, Kxoe, Khoi Khoi, Ovahimba, San, Vatusa and !Xun, are an ethno-linguistic group that has traditionally been marginalised throughout South African history. However, the biggest population group in South Africa consists of the indigenous Africans. They constitute the majority of the people living in the country – 79, 2% (SA- SSA Census 2011, 2011: 17).

The indigenous Africans are believed to be the descendants of immigrants from further north in Africa, who entered South Africa about 1700 years ago. According to scientists, indigenous Africans started to make their way south and eastwards in about 1000 BC, reaching the present-day KwaZulu-Natal Province by 500 CE. Most of these people had an advanced Iron Age culture, keeping domestic animals and also practicing agriculture, farming sorghum and other crops - they lived in small settled villages, known today as rural areas in South Africa (Van Niekerk, 2012: 1).

It is believed that Indigenous Africans arrived in South Africa in small batches rather than in one big and cohesive in-migration. The Nguni peoples in particular (the Zulu, Xhosa, Swazi, and Ndebele), preferred to live near the coast. Others, mainly the Sotho–Tswana peoples (Tswana, Pedi, and Basotho), settled in the Highveld, moreover the Venda and Shangaan -Tsonga people, made their homes in the north-eastern areas of South Africa.

The second biggest population of South Africans is the ‘White South Africans’ at 8,7% (SA- SSA Census 2011, 2011: 17) - they are direct descendants of later European settlers, mainly from Britain, France, Germany and the Netherlands. The other groupings include the Coloureds, who are descended at least in most instances from all of these groups, as well as from slaves from Madagascar, East Africa and the then East Indies (Van Niekerk, 2012: 1). The third largest group of South Africans is the South African Indians and then the Chinese (SA- SSA Census 2011, 2011: 17); both are believed to be direct descendants of labourers who arrived in the nineteenth and early twentieth centuries.

The official South African population according to Statistics South Africa [SSA] is 51 770 560 million people. The census results indicate that Gauteng Province accommodates 12,3 million people - almost 24% of the entire population of the country (SA-SSA Census 2011, 2011: 14). The major urban centres in Gauteng Province are the three metropolitan municipalities of Ekurhuleni, Johannesburg and Tshwane – they carry the largest population of the Province. *Table 5.1.* below provides a summary in terms of the actual official figures in each metropolitan municipality.

**Table 5.1. [The three metropolitan municipalities in Gauteng Province, South Africa]**

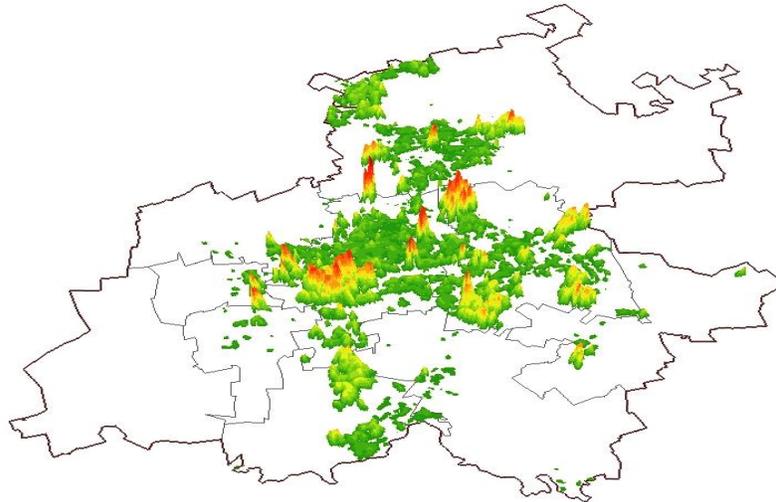
<b>Metropolitan Municipality [km<sup>2</sup>]</b>	<b>Population Size</b>	<b>Percentage representation [%]</b>	<b>Population density per km<sup>2</sup></b>
Ekurhuleni	3 178 470	30%	1 652,0
Johannesburg	4 434 827	42%	2 695,9
Tshwane	2 921 488	28%	460,4
<b>TOTAL</b>	<b>10 534 785</b>	<b>100%</b>	<b>4 808,3</b>

*Statistics South Africa. Census 2011: Municipal Fact Sheet*

The three metropolitan municipalities in Gauteng account for at least 85% [10,5 million] of the Provinces’ population as shown in *Table 5.1* above. The main economic and social activities of the Province happen in and adjacent to these major urban centres - that is where most of Gauteng population lives. Furthermore, the population density of the three metropolitan

municipalities is 4 808,3 [km<sup>2</sup>] - which is higher than the combined population density of 4 027,00 [km<sup>2</sup>] of the other five metropolitan municipalities on average in South Africa.

**Figure 5.1. Population density in Gauteng Province [source: 2011 Quality of Life in the Gauteng City-Region conducted]**



It can be argued that a scientific study on performance monitoring and evaluation in the three main urban centers is justified based on empirical evidence and trends [in the South African context], suggesting that the main economic and social activities of the Province take place adjacent to the major urban centres identified. Overall, the intention of the chapter is to discuss the evolution of metropolitan municipalities from 1800 – 1994 [origins of urban areas] and then major developments from 1994 – 2014 [20 years of democracy in South Africa].

## **5.2. Local government during colonialism and apartheid in South Africa - origins and characteristics of urban areas [1800 -1994]**

A discussion on local government before the new dispensation that started in 1994, will be incomplete without some information and examples from researchers in city planning and urban management. The discipline and domain of Public Administration has adapted to the fact that it is an eclectic science, which means that it is not following one domain or system [e.g. as in Philosophy, History, Medicine] but selecting and using what are considered the most relevant

components of all systems or domains. This character of the domain of Public Administration gives it an opportunity to use various methods in other domains of study, similar to the discussion that is going to follow in this chapter on the history of city planning and urban management. The discussion will detail some Geographical and Historical [Historiography] research combined – which conjoins with the debate and gives context in understanding how municipalities were spatially planned, managed and developed from the 1800s until 1994.

Numerous case studies in urban management have been produced, but few have synthesised the results or theorised on the generic characteristics (Maylam, 1995: 19). Much attention has been given to the process of urban segregation, as authors have traced its origins and explained the imperatives and mechanisms that govern the process. The more explored and well known fact is that South Africa was under an official system of racial segregation and white minority rule sanctioned by the National Party [NP] from 1948, known as the Apartheid system. The system of Apartheid lasted for a period of 46 years, until South Africa held its first egalitarian and inclusive elections in 1994, the same year that the ruling African National Congress [ANC] came to power and started to dominate the politics of the country.

A colonial medieval origin documented by Christopher (1983: 145) investigated and traced segregation in cities back to the early English colonisation of Wales and Ireland. It may therefore be argued that the historical foundations of current Soweto were laid by *Edward I* in his Welsh military foundations in the thirteenth century at Flint, Conway and Caernarvon. A detailed search for recent origins of segregated cities are found in the Eastern Cape Province of South Africa, in a town called Port Elizabeth [PE], renamed: Nelson Mandela Metropolitan Municipality - as one of the principal cities where the foundations of Apartheid were laid (Christopher, 1983: 145). Baines (1990: 74-75) argue that as early as 1834 the London Missionary Society [LMS] established a formal black settlement on the western edge of Port Elizabeth.

In the 1850s, the Port Elizabeth municipality created the Native Strangers' location where Hottentots, Fingoes, Kaffirs and other Strangers visiting Port Elizabeth, may temporarily reside.

A colonial approach, which became dominant in most of the twentieth century; that black people were essentially aliens in urban areas. Hundred years before the *Group Areas Act, 41 of 1950*, Port Elizabeth municipality tried to enforce urban apartheid, issuing regulations in 1855 - requiring blacks to live in the Native Strangers' location if not housed by their employers or owning their own property (Baines 1990:74-75).

The Fingoes, [meaning the Fengu - plural amaFengu] are a Bantu people, originally closely related to the Zulu people, but often considered to have assimilated the Xhosa people whose language they now speak. Historically, Fingoes achieved considerable renown for their military ability in the frontier wars. Fingoes were previously known in English as the "Fingo" people, and they gave their name to the district of Fingoland (Mfenguland), the South West portion of the Transkei division, in the Cape Province; now called the Eastern Cape, post-1994.

According to Fox, Nel and Reintges (1991: 60-61), the town of East London [renamed: Buffalo City Metropolitan Municipality], which is in the Eastern Cape of South Africa, is close in laying claim to be a founder of urban segregation after Port Elizabeth. Racial segregation was instituted in East London as early as 1849, when a government notice was issued requiring Fingoes and other coloured natives to live in locations. In 1857 regulations were issued for the control of Africans in the town's Native Village. Thus, East London has been described as being by 1872 - a town with a clear legacy of enforced racial separation. Other Eastern Cape towns include Cradock, Graaff-Reinet and Grahamstown (Fox, Nel and Reintges, 1991:60-61). Swanson (1983) argues that in 1871 the Durban Town Council adopted a policy of creating separate locations for Indians, which is the first concerted attempt at group area segregation in Durban and one of the first in a major South African town.

With regard to inland areas, there is evidence of urban segregation principles which gained official recognition in the former Transvaal and Orange Free State colony [Zuid Afrikaans Republic - ZAR] in the last two decades of the nineteenth century. In the 1890s, Paul Kruger's government [ZAR] set aside areas of land in Johannesburg for separate Malay and African

locations. In the same decade, town councils in the Orange Free State Province were empowered to establish segregated locations (Parnell, 1991: 273).

In the late nineteenth-century, a movement towards segregation was emerging and coupled to industrialisation and capitalist development. This view has been argued by Mabin, who identified spatial forms at Kimberley during the 1880s and how they represented the most important source of urban segregation in South Africa. Compounds and hostels were essentially the first rigid form of residential segregation applied in the development of the South African cities. Other townships were created in the wake of that experience (Mabin, 1986: 22).

Towards the 1900s, racial segregation intensified. More overtly segregationist measures or laws were introduced; in particular the *Natives Urban Areas Act, 21 of 1923* and the *Group Areas Act, 41 of 1950*. The *Natives Urban Areas Act, 21 of 1923* in brief, recommended and enabled residential segregation, but did not compel it. However the *Group Areas Act, 41 of 1950* had devastating consequences for many communities through forced removals. This is because segregation was already well advanced in most South African cities by the time the Act was passed. This was compounded by institutionalising Apartheid in 1948 when the National Party [NP] took over as the ruling party.

In essence, the *Group Areas Act, 41 of 1950* was the starting point of expropriation of property and the large-scale removal of non-white South Africans from their original communities to new settlements (Robinson, 1992:4). This was done to create space for business development in big cities like Johannesburg (Scott, 1992: 94). In agreement with authors in urban studies (Maylam, 1995: 22; Robinson, 1992: 4 and Mabin, 1986: 22) the overall picture to emerge in the paragraphs that follow explain urban segregation evolving over a long period of time in a rather haphazard manner. The continuities before and after both the *Natives Urban Areas Act, 21 of 1923* and the *Group Areas Act, 41 of 1950* are more striking than the discontinuities.

There are various reasons why segregation was propagated during the periods mentioned in the paragraphs above [1800s – 1950s]. The reasons were mainly political. However, authors argue in Fox *et al.* (1991: 58) that there were other economic and military reasons associated. As an example, segregation in East London according to Fox *et al.* (1991: 58) was at that time no more than a colonial military outpost and the dictates of colonial defence shaped the spatial organisation of the town. Later, the main reason was for capital to accumulate using land that was occupied mainly by the non-white sections of the population.

A focused analysis of the unjustifiable urban segregation and the forced removals during Apartheid, illustrates that when cities became industrialised and grew during the twentieth century in South Africa, a parallel development of inner-city pockets of poor settlements were taking shape. Today these inner-city pockets are called *urban informal settlements* [UIS] – which is the unit of analysis and focus in this study. The development of urban UIS has been tying up land, becoming anathema to local power holders. This means that urban segregation and the forced removals that often accompanied the process, served capitalist interests [so called ‘White privilege’] by making prime land for business activities available and other associated activities – a preserve for the minority, which was done at the expense of the majority of the citizens.

### **5.2.1. The *sanitation syndrome***

The situation for most Africans in urban areas during this period was almost unbearable. According to Maylam (1995: 24) most case studies of urban segregation in South Africa refer to the *sanitation syndrome*. First emphasised by Swanson, it explains urban segregation in terms of moral panic and racial hysteria, as whites increasingly came to associate the black urban presence with squalor, disease and crime. For a while, in the late 1970s and early 1980s, the *sanitation syndrome* was dismissed by Marxists as a superficial, idealist explanation. But more recent research (Maylam, 1995: 24) has given due acknowledgement to Swanson's line of analysis.

Maylam, (1995: 24) argues that there is indeed sufficient evidence to link a strong connection between perceived threats to white health and safety and on the other, the drive to urban segregation. Especially conspicuous, is the causal link between epidemics and urban removals. The spread of bubonic plague in South Africa from 1901 to 1904 was followed by white ratepayers' demands for greater racial segregation. The plague first hit Cape Town in 1901. Its popular name, the *Black Death*, was to have unfortunate connotations in South Africa, as the plague came to be associated rather with the black urban presence than with the rats that carried it. Within a few weeks of the outbreak, some six to seven thousand Africans were removed from central Cape Town to temporary accommodation at a place called Ndabeni.

It was a similar situation in Port Elizabeth, where the onset of the plague in 1901 prompted the local authority to demolish inner-city locations and build a segregated township that came to be known as New Brighton. The plague's arrival in Durban in 1902 aroused white hysteria, seeming to confirm the image of Africans as a public health menace. Calls came for a segregated location and a general cleaning up of the town. In Johannesburg the outbreak of plague was used by the local authorities to justify the removal of people from the inner-city *Coolie Location* to the new township of Klipspruit – located in Soweto (Maylam, 1995: 24).

From the above arguments and from the discussion on the origins of city life - it is clear that during the apartheid era, most South Africans were passive citizens in their own country. They could not question the power of the state and most importantly, they were recipients of government policy activities rather than participants in governance. As an example, researchers (Maylam, 1995: 19) on City Planning and Urban Management argue that a growing number of historical case studies show that the institutions and structures of local power effectively excluded Africans from local government. The case studies indicate that Africans were denied the municipal franchise and they were unjustifiably subjected to co-operative institutions. First the advisory boards from early in the 19<sup>th</sup> century, created the then urban Bantu councils [UBCs

- known as *useless boys clubs*] from the 1960s, followed by the community councils and the black local authorities in the 1980s (Maylam, 1995: 24).

Before 1994 [during Apartheid], South Africa had 1100 municipalities – almost all these municipalities and local authorities were under the white minority rule, except in a few instances in the former TBVC states [Transkei; Bophuthatswana, Venda and Ciskei]. However, TBVC states municipalities were ineffective, inefficient and under resourced – they were controlled by their respective ‘National Governments’. Municipal boundaries were to a large extent segregated and services were mainly aggregated in white minority areas. The Table [5.2.] below is a summary of legislative interventions made by the National Party [NP] government at various points during apartheid to manage and control the so called black local authorities [municipalities].

**Table 5.2. Legislative provisions for urban Blacks during apartheid**

<b><u>Legislation</u></b>	<b><u>Function</u></b>
Black urban areas Act, 21 of 1923	Establishment of Black advisor boards [BAB] to advise the white local authorities on how to manage black townships.
Black urban areas consolidation Act, 25 of 1945 [this was to repeal the 1923 Act]	Establishment of Black advisor boards to consolidate and advise further [same as Act 21 of 1923] the white local authorities on how to manage black townships.
Urban blacks councils Act, 79 of 1961	White local authorities used this Act to assign and devolve some powers of a local authority to a black administration.
Black Affairs administration Act, 45 of 1971	Changing of Black advisory boards [BAB] to Developments boards [DB] in 14 regions. The authority of black councils was taken from white local authorities; there was continuation of urban black councils for urban areas.
Community Councils Act, 125 of 1977 [this repealed the Urban blacks councils Act, 79 of 1961]	Administration boards could establish community councils in the urban areas.
Black local authorities Act, 102 of 1982	Black local authorities could be established as an equivalent of a white local authority for black urban areas.
Black communities development Act, 4 of 1984 [amendment of Black affairs administration Act, 45 of 1971]	Development boards [DB] abolished in terms of the Abolition of Development bodies Act, 75 of 1986. Personnel and functions were then transferred to the provincial administrations.

### 5.3. Local government sphere during the post-apartheid era in South Africa [1994 – 2014] – major developments

Former Constitutions of South Africa and the current *Constitution of 1996* - distinguished between the three divisions of authority and made provision for institutions in each regard (Rautenbach and Malherbe, 1994:60–61). Particular reference is made to the period between 1910 and 1994, where a similar characteristic regarding the division of the state’s authority existed in the different constitutional systems of South Africa. For instance, the 1993 Constitution had a division of authority in Sections 37, 75 and 96 and the current 1996 Constitution makes provision for a similar division of authority in terms of Sections 43, 85 and 165. Table [5.3] below provides a condensed summary in this regard.

**Table 5.3. State authority in terms of the Constitution of the Republic of South Africa**

<b>Section</b>	<b>Authority</b>	<b>Institution</b>
Section 43	Legislative authority	Parliament
Section 85	Executive authority	Cabinet
Section 165	Judicial authority	Courts

Section 43 of the *Constitution of 1996* provides that legislative authority of the national, provincial and local spheres of government be vested in:

- i. Parliament - i.e. the National Assembly [NA] and the National Council of Provinces [NCOP];
- ii. nine provincial legislatures; and
- iii. municipal councils.

According to the *Constitution, 1996* - the local sphere of government is given status by section 151 (1). The section indicates that the local sphere of government consists of municipalities, which must be established for the whole of the territory of the Republic. It is also noted in section 151 (1) that the executive and legislative authority of a municipality is vested in its municipal councils. In terms of Section 155(6)(a), the nine provincial legislatures have an obligation to monitor and support the local government in their respective Provinces. Moreover, in terms of Section 155(7), the legislatures have legislative authority to oversee the effective performance of municipalities in respect of those competencies.

Mathekga & Buccus (2006: 13) argue that local government has been created with the intentions to positively give effect to democracy and to bring about social and economic delivery at the local legislative authority. The legislative framework of the local sphere of government system in South Africa is clearly articulated. The objective has been to introduce the new era, post 1994 [democratic dispensation]. The aim of the legislative framework is not only to improve service delivery, but also to rebuild communities whose livelihoods have been to a large extent fundamentally damaged and destroyed by the apartheid system.

The Constitution [Chapter 7], states that it is the object of local government to *encourage the involvement of communities and community organisations in the matter of local government*. According to Mogale (2005: 136) this requires a co-operative approach, an effective partnership where municipal councils provide strong leadership for their areas and their communities. The institution of local government, as stated by the Constitution, should enhance opportunities for participation by placing more power and resources at a closer and more easily influenced sphere of government.

The local government system in South Africa has been conceptually crafted post-apartheid not only to play a developmental role, but also to respond to the demands of citizenry. A municipality in the democratic dispensation has a constitutional mandate to provide democratic and accountable government for communities excluded from the political sphere during the apartheid era. Legislative measures were adopted to set up the necessary

institutional framework as a means to extend democracy to formerly disempowered communities (Mathekga & Buccus, 2006: 13). The following section will provide clarity and explain events leading up to the [post-apartheid] democratic legislative environment in local government sphere.

### 5.3.1. The post-apartheid legislation in local government

The first post-apartheid legislation to be introduced at the local level was the *Local Government Transition Act [LGTA], 209 of 1993*. The LGTA provided an overarching framework for the transformation of local government in preparation for ushering in a new democratic dispensation for South Africa. LGTA outlined a three phase transition for local government.

**Table 5.3.1. The three phase transition of local government from 1993 - 1998**

Phase I [1993]	Phase II [1993-1997]	Phase III [1998-]
<p>In brief, the first phase of LGTA the pre-interim phase [a period up until 1993], was defined as the period lasting from the publication of the LGTA to the date of elections for transitional councils.</p>	<p>The second phase, the interim phase [1993 - 1997], was mainly characterised as the period between the date of elections of transitional councils until the legislation and implementation of final arrangements for local government.</p>	<p>Records are not clear in terms of defining this phase since LGTA did not explicitly define the third and final phase [1998 -], however, judging from developments that happened post this phase, it is envisaged as a period of change during which municipalities or municipal structures were re-established and restructured in accordance with the final legislative arrangements.</p>

It was necessary to give background on the three phases above, because the LGTA was largely developed within these phases - in particular the interim phase. From the LGTA in 1993 to the *Constitution, 1996* - local government was conceived as the local sphere of government with the constitutional mandate to carry out a number of developmental duties.

In 1998 a *White Paper on Local Government* was introduced to establish the basis for a new developmental local government system which is committed to working with citizens, groups and communities to create sustainable human settlements which provide for a decent quality of life and meet the social, economic and material needs of communities in a holistic way.

The introduction of the White Paper culminated in finalisation of the *Local Government: Municipal Demarcations Act [MDA], 27 of 1998*. The MDA makes provision for “the re-demarcation of municipal boundaries and establishment of the Municipal Demarcations Board [MDB] that is tasked with demarcating municipal boundaries in accordance with a set of factors in the Act. Implementation of the Act was important because it led to the reduction of South African municipalities from 843 to 278 municipalities.

After the demarcation process, a new law was introduced in the local sphere of government, the *Local Government: Municipal Structures Act, 117 of 1998*. The latter Act provides for the establishment of municipalities in accordance with the requirements relating to categories and types – the outcome was three categories of municipalities. The Act sets criteria for determining the category of municipality to be established in an area, for defining the types of municipality within each category and for an appropriate division of functions and powers among categories of municipality. Municipalities in South Africa are categorised into A, B and C categories. Metropolitan municipalities [as category A] are an area of research in this study.

The *Municipal Structures Act, 117 of 1998* laid a foundation for the introduction of *Local Government: Municipal Systems Act, 32 of 2000*. The Act provides for the core principles, mechanisms, and processes that are necessary to enable municipalities to move progressively

towards the social and economic upliftment of local communities, and ensure universal access to essential services that are affordable to all. The Act, notably, provides for means to bring about service delivery.

In the process, important guidelines for operation of ward committees were introduced in 2005 as Section 22 of the *Local Government: Municipal Systems Act, 2000*. This Section 22 of the Act, was included to provide for unified and simplified guidelines to ward committee members, ward councillors, for metropolitan and local municipalities on the establishment and operation of ward committees.

After the introduction of the *Local Government: Municipal Structures Act, 117 of 1998*; *Local Government: Municipal Systems Act, 2000* and ward committees - it was necessary to introduce legislation that would allow for a seamless flow of work in local government. *The Local Government: Municipal Finance Management Act, 56 of 2003* was then introduced. This Act is aimed at securing sound and sustainable management of the financial affairs of municipalities and other institutions in the local sphere of government; to establish treasury norms and standards for the local sphere of government; and to provide for matters connected therewith.

There are two other additional measures that were introduced in 2004 and in 2007 to strengthen the local sphere of government in South Africa. In 2004, the *Local Government: Municipal Property Rates Act, 6 of 2004* was introduced. The Act regulates the power of a municipality to impose rates on property; to exclude certain properties from rating in the national interest; to make provision for municipalities to implement a transparent and fair system of exemptions, reductions and rebates through their rating policies, to make provision for fair and equitable valuation methods of properties; to make provision for an objections and appeals process; to amend the *Local Government: Municipal Systems Act, 2000* so as to make further provision for the serving of documents by municipalities; to amend or repeal certain legislation; and to provide for matters connected therewith.

The summary of the legislative framework post-apartheid will not be complete if there is no mention of the *National Policy Framework for Public Participation, 2007*. The document was introduced to provide a policy framework for public participation in South Africa. This builds on the commitment of the democratic government to deepen democracy, which is embedded in the Constitution, and above all in the concept of local government, as comprising the community as part of the municipality.

In sum, the phases of transition between 1993-1998 brought about a transformed local government sphere in South Africa. The introduction of new legislation and policy framework was a precursor to the establishment of a new dispensation in local government beyond 2000. The changes in legislation in the local sphere resulted in categorisation of a municipality [A, B or C] and the establishment of metropolitan municipalities [i.e. category A] which are a subject for discussion in the study.

#### **5.4. Constitutional obligations of a metropolitan municipality**

The *Constitution, 1996* in section 151 (1), indicates that the local sphere of government consists of municipalities, which must be established for the whole of the territory of the Republic. The executive and legislative authority of a municipality is vested in its municipal council and a municipality has the right to govern, on its own initiative, the local government affairs of its community, subject to national and provincial legislation, as provided for in the Constitution. The national or a provincial government may not compromise or impede a municipality's ability or right to exercise its powers or perform its functions. An important aspect to note in this section of the chapter is what is termed the objects of local government in the Constitution.

Section 152 indicates that the objects of local government are:

- a. to provide democratic and accountable government for local communities;
- b. to ensure the provision of services to communities in a sustainable manner;
- c. to promote social and economic development;
- d. to promote a safe and healthy environment; and

- e. to encourage the involvement of communities and community organisations in the matters of local government.

As indicated in Chapter 1 of the Thesis, the interpretation is that a municipality must strive, within its financial and administrative capacity, to achieve the objects set out in section 152 (1). Other descriptions of local government find expression within the spirit of the Constitution, according to Koma (2010: 113). Local government could be described as public organisations authorised to manage and govern the affairs of a given territory or area of jurisdiction. It refers to a sphere of government, and not an individual municipality. All the individual municipalities in South Africa make up the collective sphere, known as local government (Roux, 2005: 64).

Section 152, Part B of Schedule 5 of the Constitution [exclusive provincial competence], identifies the following services that fall within the ambit of the sphere of local government and its constituent municipalities. These are water, electricity, town and city planning, road and storm water, waste collection, emergency services, for example, fire-fighting, licenses, fresh produce market, parks and recreation, security, libraries, town and city planning, and economic planning. For purposes of this study, minimum basic services means: *water, sanitation, electricity, waste management* and which their provision in urban informal settlements [UIS] in metropolitan municipalities is the subject of this study.

Metropolitan municipalities represent the large densely populated and urbanised regions that encompass multiple cities in South Africa. Chapter 7, of the South African Constitution - section 155 (1), defines “category A” municipality as a municipality that has exclusive municipal executive and legislative authority in its area. The *Municipal Structures Act [MSA], 117 of 1998* defines this category of municipality as conurbations or in common terminology ‘centres of economic activity’, areas ‘for which integrated development planning is desirable’, and areas with ‘strong interdependent social and economic linkages’. In essence “category A” municipalities are different from “categories B and C” respectively.

Part 2, 8 (a-h) of the MSA defines different types of category A municipalities:

- (a) a municipality with a collective executive system;
- (b) a municipality with a collective executive system combined with a sub-council participatory system;
- (c) a municipality with a collective executive system combined with a ward participatory system;
- (d) a municipality with a collective executive system combined with both a 40 sub-council and a ward participatory system;
- (e) a municipality with a mayoral executive system and a municipality with a mayoral executive system combined with a sub-council participatory system;
- (g) a municipality with a mayoral executive system combined with a ward 45 participatory system; and
- (h) a municipality with a mayoral executive system combined with both a sub-council and a ward participatory system.

According to the Statistics South Africa [SSA] census report of 2011, the geographical frame of municipalities consisted of 262 local municipalities in 2001. This total has been reduced to 234 local municipalities in the 2011 report. The difference of 28 municipalities is explained as follows: 25 District Management Areas [DMAs] were incorporated into the existing Provinces; the City of Tshwane incorporated a further two municipalities [Nokeng Tsa Taemane and Kungwini] and a new municipality Kagisano Molopo was established by merging Kagisano and Molopo. In total, 107 municipalities decreased in geographical area while 155 municipalities had an increase in geographical area according to the SSA census report of 2011.

**Table 5.4. The three categories of municipalities**

<b>Municipal category</b>	<b>Where are they found?</b>	<b>Structure of municipality</b>
<p><i>Metropolitan municipalities</i> [Category A]</p>	<p>Metropolitan municipalities exist in South Africa and they are eight. They have more than 500 000 voters each. A metropolitan municipality co-ordinates the delivery of services to the whole area. Metropolitan municipalities are Johannesburg, Cape Town, Ethekewini [Durban], Tshwane [Pretoria], Nelson Mandela [Port Elizabeth], Ekurhuleni [East Rand], Buffalo City [East London], Mangaung [Bloemfontein].</p>	<p>These municipalities are divided into wards. 50% of the councillors are elected through a proportional representation ballot, where voters vote for a party. The other 50% are elected as ward councillors by the electorate in each ward.</p>
<p><i>Local municipalities</i> [Category B]</p>	<p>Areas that fall outside the eight metropolitan municipal areas are divided into local municipalities. There are a total of 226 of these local municipalities and each municipality is divided into wards. The residents in each ward are represented by a ward Councillor.</p> <p>Only people who live in low population areas, like game parks, are not demarcated under local municipalities. The areas in which they live are called district management areas (DMA) and are demarcated directly under</p>	<p>In local municipalities, 50% of the councillors are elected through a proportional representation ballot, where voters vote for a party and the other 50% are elected as ward Councillors by the electorate in each ward.</p>

	Provinces.	
<p><i>District municipalities</i> [Category C]</p>	<p>District municipalities consist of a number of local municipalities that are demarcated into one district. There are usually between 3 - 6 local municipalities that are demarcated into a district council and there are 44 district municipalities in South Africa.</p> <p>Some district municipalities also include nature reserves and the areas where few people live - district management areas. They have since been incorporated into Provinces since they are not a Category B municipality. The district municipality has to co-ordinate development and delivery in the whole district. It plays a stronger role in areas where local municipalities lack capacity to deliver. It has its own employees.</p>	<p>The district council is made up of two types of councillors:</p> <ul style="list-style-type: none"> <li>i. Elected councillors - they are elected for the district council on a proportional representation ballot by all voters in the area. (40% of the district councillors)</li> <li>ii. Councillors who represent local municipalities in the area - they are local councillors assigned by their council to represent it on the district council. (60% of the district councillors)</li> </ul>

While metropolitan municipalities are responsible for all local services, local municipalities share these responsibilities with district municipalities in certain instances. This is especially the case in very rural areas, where district municipalities will have more responsibility for development and service delivery – which pose challenges and complexities. Chapter 5 of the MSA, which deals with the functions and powers of municipalities, the division of those powers and functions between district and local municipalities and then the adjustment of the division

of functions and powers. Section 83 of the MSA clearly provides that all municipalities have the functions and powers assigned to them in terms of section 156 and 229 of the Constitution. Moreover, section 84 of the MSA [as amended] divides the functions and powers referred to in section 83 between district and local municipalities. Sub-section (1) of Section 84 contains a list of the functions and powers allocated to district municipalities and sub-section (2) allocates all the section 83 (1) functions and powers to local municipalities, excluding those functions and powers vested in district municipalities in terms of Section 84 (1).

The inclusion of Metsweding district into the City of Tshwane in 2011, has resulted in more responsibilities for the City for development and service delivery. It is also recorded that the adjacent local municipalities of Madibeng and Moretele [i.e. under Bojanala district] depends on the City of Tshwane for some of their basic services - bulk water supply. Thembisile Hani Municipality which is situated on the northeastern side of the City of Tshwane also has some dependencies on the City – especially in terms of water and human settlements, as most of its residents are employed in the City. The dependency of neighbouring semi-rural municipalities on the City of Tshwane makes it a special case for consideration during delimitation of wards and boundaries.

#### **5.4.1. The challenges of demarcation of municipal boundaries**

Municipalities are demarcated through an Act of Parliament, the *Local Government: Municipal Demarcation Act, 27 of 1998* – the South African Demarcation Board is established by this Act. The Board provides criteria and procedures for the determination of municipal boundaries and for matters connected thereto. The Act deals with Board's role and functions pertaining to the demarcation of municipal boundaries and empowers the Board to assess the capacity of municipalities, and to delimit wards for local government elections.

The demarcation process is a three step procedure governed by the *Constitution, Local Government: Municipal Demarcation [MD] Act, 27 of 1998* and the *Local Government: Municipal Structures Act [MSA], 27 of 1998*. Firstly, the Constitution establishes the need for an

independent demarcation authority and states that national legislation should define criteria and procedures by which this authority will determine new boundaries [this legislation is the Municipal Demarcation Act]; it sets out the obligations of municipal councils and calls for legislation to determine when an area should have a single Category A municipality or when it should have both Category B and C municipalities [this legislation is the Municipal Structures Act, 1998].

Secondly, the Municipal Demarcation Act defines the independent authority referred to in the Constitution as the Municipal Demarcation Board. It then sets out the procedures for establishing the Board and gives it its major powers and functions by defining the composition of the Board and how its members will be selected. Furthermore, the Municipal Demarcation Act maps out key operating procedures of the Board, such as what committees it can establish and how it can delegate some of its powers and more importantly it defines the demarcation criteria envisaged in the Constitution, setting out the 'objectives of demarcation' and the 'factors to be taken into account when demarcating'. This includes the procedures the Board must follow in deciding on boundaries and how it must consult municipalities and communities in this process, by making it clear who will decide when new boundaries take effect, and how. This must be in line with provisions of Chapter 4 of the *Municipal Systems Act, 32 of 2002* and the *Municipal Structures Act, 117 of 1998*.

Thirdly, the Municipal Structures Act, 1998; defines criteria for when an area should have a Category A municipality by outlining who will make the decision, and how. MSA, provides that all non-metropolitan areas must have both Category B and C municipalities. It also sets procedures for deciding when an area will have no Category B municipality and will therefore be a District Management Area. Moreover, the Act defines the powers and functions of municipalities which have to be taken into account in the demarcation process and explains the role of the Municipal Demarcation Board and the Independent Electoral Commission in delimiting wards, and criteria for this process.

Besides the Demarcation Board, there are other important role players and stakeholders. They include - the President of the Republic; the South African Local Government Association [SALGA]; the MEC for Local Government in each Province; the national Minister responsible for local government - currently the Minister of Co-operative Governance and Traditional Affairs; the Independent Electoral Commission [IEC]; each individual municipality and more importantly the communities in each municipality.

Even though there is a comprehensive legislative regime in South Africa to outline the demarcation process, government has faced a number of challenges from various communities that have been protesting about the demarcation and associated delimitation processes. There are case studies since 1995 after the first local government elections and in the current study only specific examples related to the topic will be made. Mathoho (2013: 1) argues that there are different kinds of protests that occur in South Africa. Those who are careless in categorising these protests end up mixing them in one pot and call them service delivery protests. In reality these protests vary from one protest to another, they include service delivery; challenges of ethnicity and tribalism; political and demarcation protests while some are a mixture. Furthermore, communities get divided by the boundary issue and end up fighting for limited resources. While the Municipal Demarcation Board [MDB] and demarcation protesters have reasons for their actions, the question is, who has a final say between the MDB and citizens in the final decisions on demarcation (Mathoho, 2013: 1).

The democratic government inherited some of the challenges, in terms of demarcation of non-racial municipalities from the apartheid system, where citizens had limited rights in terms of how their areas are demarcated. As a result, the Demarcation Board is left to feel the brunt of citizen's frustrations. The Board's main task, has been the restructuring of colonial planning and to balance the scarce resources which started centuries ago. Progress has however been made, for instance in 2000 there were 17 cross provincial boundary municipalities and about 30 local municipalities that remained under dispute after the introduction of new municipal boundaries. A number of these disputes have now been settled (Mathoho, 2013: 1). There are however two

cases of relevance that occurred while the current study was under way – they are Metsimaholo Local Municipality and Thulamele and Makhado municipalities.

Firstly, residents of Zamdela in Metsimaholo local municipality in the Free State Province embarked on a violent protest to reject the merger with the neighbouring and ailing municipality, Ngwathe Local Municipality. The residents' arguments were that they didn't want to be amalgamated with the neighbouring municipality as they believed the municipality was poor and accused of maladministration. Residents said "Ngwathe municipality currently owes Eskom R116 million. The merger will mean that we will inherit that debt, which means our municipality will collapse. Service delivery in Ngwathe is very poor" (Mathoho, 2013: 1). In this case of Zamdela, the Demarcation Board is accused by residents of not listening to their objection to the proposed merger. It was clear from the actions of Zamdela residents that they did not want to share the resources of their municipality with other neighbouring municipal residents who are also in the same poverty deck.

Mathoho (2013: 1) argues that the majority of local municipalities are currently finding it difficult to meet their constitutional obligations. As per sections 24 and 25 of the Municipal Demarcation Act, 1998, the decision taken by the Municipal Demarcation Board was correct. The move to merge the two municipalities would assist the struggling Ngwathe municipality although it would be at the expense of the better performing neighbouring Metsimaholo municipality. It was also going to assist another municipality's residents who are in dire poverty and in a poor state of service delivery of the ailing municipality by sharing better resources of the better performing municipality (Mathoho, 2013: 1). Of course the better performing municipality has better internal control systems which might be of benefit to the neighbouring municipality.

Secondly, the Thulamele and Makhado local municipalities' issue concerned various challenges, but may be ascribed to an ethnic dispute between Venda and Tsonga tribes in Limpopo Province, who are contesting for allocation of municipal resources and demarcation based on tribal lines (Mathoho, 2013: 1).

In instances of Metsimaholo, Thulamele and Makhado local municipalities the main issue has been about allocation of municipal resources. This means that the terrain of local government in South Africa, in particular as it relates to issues of demarcation, has more to do with appropriation of resources. Even though resources are important when considering the demarcation issues another important issue is management and control of municipalities. One of the recent incorporations and mergers that have been undertaken before 2011 election was with the City of Tshwane and the erstwhile municipal district of Metsweding. This has been a special case that has never happened before when considering a classic metropolitan municipality and its boundaries.

#### **5.4.2. The municipal boundaries of the City of Tshwane**

City of Tshwane [CoT] is one of South Africa's eight metropolitan municipalities, with large densely urbanised regions that encompass multiple towns and constitute a metropolis. CoT's major urban areas include Pretoria, Centurion, Akasia, Soshanguve, Mabopane, Atteridgeville, Ga-Rankuwa, Winterveld, Hammanskraal, Temba, Pienaarsrivier, Crocodile River and Mamelodi. The CoT was established on 5 December 2000 through the integration of various municipalities and councils that had previously served greater Pretoria and surrounding areas. On 28 May 2008, a proclamation through the Government Gazette which was effected by the Member of Executive Committee responsible for Local Government and Housing in the Province; issued a section 12 notice after the Municipal Demarcation Board had re-determined the municipal boundaries.

The section 12 notice effectively disestablished the municipality and incorporated the municipality [Metsweding District Municipality, including Dinokeng tsa Taemane (Cullinan) and Kungwini (Bronkhorstspuit) into the areas of City of Tshwane] under a newly established City of Tshwane Metropolitan Council, effective from the local government election (18 May 2011). This incorporation resulted in the CoT becoming the largest urban municipality in South Africa and the third-largest municipality in the world after New York and Tokyo in landmass in square kilometres.

This incorporation resulted in the new City of Tshwane in May 2011 after the local government elections. With the 2011 Census placing the population size at 2 921 488, the city's 6 368 square kilometres take up over a third [1/3] of the Province of Gauteng, stretching almost 121 kilometres from west to east and 108 kilometres from north to south – this includes vast areas of rural agricultural land combined into a metropolitan municipality. By any standard this is really a *Large City* in the South African, African and global context. This is *not the norm* in how metropolitan municipality boundaries are defined in South Africa. This means that in terms of border demarcation the City of Tshwane is something even beyond a metropolitan municipality.

The *Constitution, 1996* in section 155.1 (a), defines "Category A" municipalities and in the *Local Government: Municipal Structures Act, 117 of 1998* it is indicated that a Category A municipality is to be used for conurbations, "centre[s] of economic activity", areas "for which integrated development planning is desirable", and areas with "strong interdependent social and economic linkages". To a considerable extent, the incorporation of Metsweding into the City of Tshwane changes that definition - because most of the incorporated areas are primarily rural, where the local government was divided into a district municipalities [i.e. Metsweding] and two local municipalities [Dinokeng tsa Taemane (Cullinan) and Kungwini (Bronkhorstspuit)] – with some areas of the district being moderately dependent on social and economic linkages. It can be argued that the reconfigured City of Tshwane since May 2011, it's a "special category A municipality" outside the norm.

There have been discussions at various ANC Gauteng discussion meetings and in GPG [Gauteng Provincial Government] about a move towards a metropolitan system of government throughout Gauteng Province, also known as *the Gauteng Global City Region Strategy – a process of building Gauteng as a globally competitive city region*. The incorporation of the erstwhile Metsweding District Municipality, including Dinokeng tsa Taemane [Cullinan] and Kungwini [Bronkhorstspuit] into the area of the City of Tshwane, was in line with the Gauteng Global City Region Strategy to reduce the number of municipalities in Gauteng by the year 2016.

In the preface of a discussion document titled: *'Gauteng 2055: A discussion document on the long term development plan for the Gauteng City-Region'* (GPG, 2011), the Premier of Gauteng [2009-2014] states that the discussion document serves as the foundation for a stakeholder engagement process initiated by the Gauteng Planning Commission [GPC], as it sets its sights on the establishment of a long-term plan for the Gauteng City Region ['the GCR']. The Gauteng City-Region Observatory [GCRO] defines the GCR as "an integrated cluster of cities, towns and urban nodes that together make up the economic heartland of South Africa" (GCRO, 2011). It stretches across various jurisdictions beyond the boundaries of Gauteng Province, and represents a space with significant potential. Furthermore, the Premier argues that if GPG wants to harness this potential so that the GCR can contribute to South Africa what the most successful global city-regions and economies of the world have contributed to their respective nations – there is a need for a common vision and strategy, clear leadership, and ongoing collaboration and co-operation. Her view is that as GPG plans, it must ensure alignment with the National Planning Commission's long-term National Development Plan, *'Vision 2030'*.

The issue that must be considered and investigated is whether GPG and national government through the Department of Cooperative Governance [CoG&TA] have prepared for transition from 12 municipalities [as it is the case now] to a seamless Gauteng Global City Region which is expected to have five regions of Ekurhuleni; Johannesburg; Sedibeng; Tshwane and Westrand – how is this going to improve the living conditions of people in urban informal settlements [UIS]?

The incorporation of the erstwhile Metsweding District Municipality, including Dinokeng tsa Taemane [Cullinan] and Kungwini [Bronkhorstspuit] into the boundaries of City of Tshwane came at a cost 300 million according to the 'Tshwane Update' [*Tshwane municipal newspaper - <http://www.tshwane.gov.za/Residents/Tshwane%20Update/Tshwane%20Update%20edition%201.pdf> – dated 6-17 June 2011*] and complications with regards to various aspects of cities administration processes [i.e. adjustment of rates and taxes; human resources; size of the new city] which are matters that must be considered when planning for a seamless transition into the Gauteng Global City Region. The incorporation also increased the number of urban informal

settlements in the new City of Tshwane – specific details on the increased number will be discussed in the empirical study in chapter 6.

The two discussions in 5.4.1 and 5.4.2 are connected. From the experience of Metsimaholo, Thulamele and Makhado local municipalities, it is clear that demarcation in South Africa poses multiple challenges such as community objections to demarcation processes and the service demands of new municipalities that emerge from the process of delimitation of wards. At the same time there are also challenges [i.e. in the case of Tshwane] that result from new approach to municipal resource allocation in the future [Gauteng Global City Region Strategy]. Unfortunately, objections and demands directed at the MDB in the two cases mentioned were accompanied and characterised by violent protest. As people get used to violence as a means of registering dissatisfaction with the final demarcation decisions and not an end in itself, new mechanisms to resolve this challenge will have to be considered. However, these demarcation protests indicate that the government and the Demarcation Board in particular need to approach the issue of demarcations and associated delimitations differently.

All the demarcation challenges indicated, require a knowledgeable and strong public service in the sphere of local government with requisite skills and training; to conduct proper performance monitoring and evaluation [PME]; to assess impact [Impact Evaluations] and consider outputs, outcomes and results. In this way, municipalities will have a more effective planning and budgeting cycle and use PME information for effective and efficient delivery of services to communities they serve.

The significance of border demarcation can change and have an impact on the financial, administrative and other functions of the municipality. The incorporation of Metsweding into the City of Tshwane has come at a cost and increased the number of urban informal settlements from 59 to 98. This change has a direct impact on the revenue sources and administration, but it also adds on the challenges of formalisation of urban informal settlements that the municipality had before incorporation of the local municipalities in 2011.

## 5.5. State of local government in South Africa

According to a report by the South African Department of Cooperative Governance [CoG] titled “State of local government in South Africa” (2009: 4), there are a number of service delivery and governance challenges that have been identified in municipalities over a number of years. These service delivery challenges remain at the forefront of government’s developmental challenges. The latter relates to backlog challenges in housing; water provision and sanitation; poor communication and accountability relationships with communities; problems with the political administrative interface; corruption and fraud; poor financial management [e.g. resulting negative audit opinions by the Auditor-General]; violent service delivery protests; weak civil society formations; intra and inter-political party issues negatively affecting governance and delivery; and insufficient municipal capacity due to lack of scarce skills.

The report by CoG argues that some municipal administrations are relatively stable and well-resourced, whilst others face major infrastructure backlogs; the negative impacts of demographic change and prevailing apartheid-based socio-economic legacies. In another study on the same issue of lack of capacity in South African municipalities, Kanyane (2006: 116) notes that weak leadership in strategic management including corporate governance; shortage of skills to implement financial management; legislation; mismatch of skills within municipalities; political considerations in appointments of senior managers without the required qualification; had weakened the performance of municipalities. The Auditor-General South Africa [AGSA] in the ‘General report on the audit outcomes of local government, 2011-12’ (SA – AGSA, 2011&12: 99-100) highlighted the issue of competencies of key officials, he stated:

*The complexities in local government, the challenges experienced and the high expectations of the public demand that key personnel at municipalities have the skills, experience and capacity to assume and fulfil their responsibilities and exercise their functions and powers. The reforms in financial and performance management have also resulted in a higher level of competency*

*requirements than in the past for municipal managers, CFOs, senior managers, SCM officials and other financial officials.*

*The poor audit outcomes, failures in service delivery and the high demand for consultants and support from national and provincial governments are indicative of an environment where the persons appointed in these posts do not have the required competencies. The root cause of this is two pronged – staff who do not have the required competencies are appointed in key positions, while current employees do not keep up with the changing local government environment through ongoing training and development.*

It can be deduced from the AGSAs report that there are capacity challenges in municipalities which poses other hindrances for full implementation of performance monitoring and evaluation [PME] systems in municipalities. Schacter (2000: 7) argues that for PME interventions to have a reasonable chance of success, the concern institution [i.e. municipality] must pay careful attention to:

- the quality of local leadership for reform;
- local capacity to design and implement reform programmes;
- features of the local incentive and accountability environment, particularly as they relate to the level of corruption in the public sector and the quality of public service delivery;
- capacity-building needs of decentralised as well as centralised forms of governance; and
- forces external to the public service that support governance reform.

The issue of capacity building for instance needs even more attention in South Africa and in particular within the local sphere of government. It is clear that there is a chronic shortage of requisite skills in municipalities that are required to improve efficiency and effective service delivery. The solution to curb skills shortage in municipalities must be a responsibility that should be carried out by political and administrative leaders respectively. This means that the

skills and knowledge acquisition should be the main priority of municipalities in their pursuit to attain the municipality's strategic vision, mission and objectives.

The political and administrative components of the municipality have the requisite skills, competences and knowledge that befit the imperatives of a developmental system of local government (Maserumule 2008: 441). From evidence provided in the preceding paragraphs, there are challenges in municipalities and most of them are associated with poor performance of administrators - but more importantly that there are no processes and procedures to check and manage performance. This is where performance monitoring and evaluation [PME] fits into municipal administration and governance processes.

In a developmental country like South Africa, the government is increasingly being called upon to demonstrate results and prove that there is progress in human development. For example, the African Peer Review Mechanism [APRM] was created as an instrument to monitor and evaluate the political, economic and corporate governance of African states. The concept of establishing an African monitoring mechanism came as a response to governance challenges and problems that the continent has experienced since independence and the subsequent poor economic performance (Kuye & Mukumunana, 2005: 590).

It is expected of governments in all spheres [National, Provincial and Local] to demonstrate that they are making meaningful and tangible differences to the lives of their people and that value for money is accounted for, in how government function is undertaken. In his 2004 State of the Nation address, the former President Thabo Mbeki, emphasised the importance of monitoring, evaluation and reporting in government (Thabo Mbeki, 2004: 1):

*The government is also in the process of refining our system of Monitoring and Evaluation, to improve the performance of our system of governance and the quality of our outputs, providing an early warning system and a mechanism to respond speedily to problems, as they arise.*

*Among other things, this will necessitate an improvement of our statistical and information base and enhancing the capacity of the Policy Co-ordination and Advisory Services unit.*

The former President's statement expresses government's commitment to carry out an obligation arising from the People's Contract [which was the main theme in the ANC's election manifesto for the 2004 National and Provincial elections]. Since then there has been an increased focus on performance monitoring and evaluation [PME] in South Africa – as argued in Chapters [1, 2, 3 and 4] of this study.

The South African government recognises that citizens are no longer solely interested in the administration of laws, but also in the quality of services that are rendered and in particular the delivery of effective and efficient minimum basic services. Government decided to introduce measures to respond to this call by setting up a dedicated Department of Performance Monitoring and Evaluation [DPME] in the Presidency with a Minister. This action was to a large extent an attempt by government to ensure that tangible results are achieved, that it takes full ownership in the way that it monitors, evaluates and reports on its policies, projects and programmes. More importantly, government is committed to improve outcomes, like the performance of metropolitan municipalities in the provision of minimum basic services. So if desired results have to be achieved, then municipal officials must receive training and be upskilled. The Auditor General makes this point when he stated that:

*The implementation of the municipal regulations on minimum competency levels and the amendments to the Municipal Systems Act, 2000 (Act No. 32 of 2000) (MSA) present an opportunity to improve the situation. The regulations define the minimum competency levels of accounting officers, CFOs, senior managers, SCM officials and other financial officials, taking into account the differences in size and scope of the municipalities. It provides for a phasing-in period for staff currently in those positions to obtain the minimum competency level through academic studies and experience and by addressing any gaps in competencies through training and development. The phasing-in period ended on 1 January 2013 and, as per the regulations,*

*the affected positions may not continue to be filled by persons who do not meet the minimum competency levels. This has impact on the continued employment of the affected officials.*

In this study, the focus will be on performance monitoring and evaluation of the delivery of minimum basic services [water, sanitation, electricity and waste collection] and special focus will be attached to targeted performance levels [i.e. Impact Evaluation – IE] against the municipal Integrated Development Plan [IDP] and Service Delivery and Budget Implementation Plan [SDBIP] – which according to national government, integrates the Millennium Development Goals [MDGs]. Special focus will be on how the IDP and SDBIP have been translated into programmes and projects [inputs, outputs and outcomes] that have a direct impact on changing people’s lives in informal settlements in the three identified metropolitan municipalities in Gauteng, South Africa.

The lack of capacity in particular among municipalities has been elaborated and exposed. It has also been argued in this section, that the South African government has now been engaged with the issue of performance monitoring and evaluation. It must be established whether the systems of performance monitoring and evaluation will assist in exposing shortcomings, properly assess impact of municipal programmes and project and contribute to finding solutions to the effective and efficient delivery of basic services in municipalities. The question that arises is whether communities are part of providing solutions - do they participate? A discussion on public participation will give focus to the current study.

## **5.6. Community participation in local government**

The roles of national, provincial and local spheres of government, in accordance with the *Constitution, 1996* provides that municipalities encourage the involvement of communities and community organisations in local government - Section 151 (1) (e). Furthermore, according to Section 152 of the Constitution, the objects of local government are to encourage the involvement of community organisations in the matters of local government.

Basic values and principles governing public administration in South Africa, stipulate that people's needs should be responded to, and the public must be encouraged to participate in policy-making as indicated in Section 195 (e). The *Municipal Structures Act [MSA], 117 of 1998*, provides that Category A municipalities [which are the subject of the study and a unit of analysis] with sub-council or ward participatory systems - annually report on the involvement of communities and community organisations in the affairs of the municipality. The MSA defines the legal nature of a municipality as including the local community within the municipal area, working in partnership with the municipality's political and administrative structures to provide for community participation. The assumption made here is that public participation can contribute to making municipalities' projects and programmes more acceptable to communities when they are part of decision-making.

Kuye (2007: 599) argues that a sound development strategy aimed at promoting economic development, democracy and social justice must be fully cognisant of human resource development. Development is about people, their physical health, moral integrity, and intellectual awareness. Through education, citizens become aware of their environment and the social and economic options available to them. In a liberal democratic regime, for example, the state rules on behalf of the citizens.

Below is a summary of the Constitution, Acts, regulations and policies relevant to public participation in South Africa:

- The Constitution of the Republic of South Africa, 1996 [*Section 151(1)(e); Section 152 and Section 195 (e)*].
- White Paper on Local Government 1998
- Local government: Municipal Structures Act, 117 of 1998 [section 72]
- Local government: Municipal Systems Act, 32 of 2000 [section 16, 17, 18 and 42]
- Local government: Municipal Finance Management Act, 56 of 2003 [section 120]
- Local government: Municipal Property Rates Act, 6 of 2004 [section 14, 22, 50, 51, 53 and 54]
- Guidelines for Operation of Ward Committees, 2005

- National Policy Framework for Public Participation, 2007.

The laws and other official documents mentioned above are directed towards regulating service delivery in municipalities. This implies that community participation is at the core of effective and efficient functioning of the local sphere of government – the effective and efficient delivery of minimum basic services. From this, it can also be deduced that community participation is at the core of municipal governance.

Public participation in municipal processes is imperative for the promotion of institutional democracy. The main platform for public participation in the local sphere of government is the Integrated Development Plan [IDP] process. Furthermore, the 1998 White Paper on local government [Section B, page 33] indicates that the objectives of community participation are embedded in the following principles:

- to ensure political leaders remain accountable and work within their mandate;
- to allow citizens [as individuals or interest groups] to make continuous input into local politics;
- to allow service consumers to make inputs on the way services are delivered; and
- to afford organised civil society the opportunity to enter into partnerships and contracts with local government in order to mobilise additional resources.

The residents, especially those in urban informal settlements, are not aware about such provisions and the opportunities given to them by legislation – since most urban informal settlements are not regularly attended to, by either a ward or PR [proportional representative] councillor. It is rather difficult for residents in informal settlements to participate meaningfully in determining how they are governed. In some instances, the urban informal settlement residents are not provided with information by the public representatives [ward or PR councillors] or the ward or PR councillor may not even be trained in the legislation on public participation.

The intention of introducing proportional representation system through PR councillors to participate in the governance process of municipalities is to allow parties that are relatively

popular, but not strong enough to win ward seats, and take active part in local government. This inclusive approach contributes to stability in communities, as all parties with a support base are involved in governing of the municipality.

In bigger parties like the ANC or the DA, the PR councillor is allocated to a ward and provides support to the ward councillor in matters that relate to the ward or the ward committee, for instance – the PR councillor can:

- handle queries and complaints in consultation with the ward councillor;
- assist in public meetings or public participation programmes;
- attend ward committee meetings, constituency meetings and special meetings;
- assist with resolving disputes and making referrals;
- assist with the implementation of projects;
- support the ward councillor, but does not replace the ward councillor;
- the ward councillor can delegate the PR councillor to Chair meetings in his/her absence.

In essence, the PR councillor can have a critical role in the IDP implementation within a ward in conjunction with the ward councillor and ward committee. Another important role of the PR councillor is to become the leader in public participation programmes [this proposition will become one of the recommendation of the study in the last chapter]. The PR councillor can ensure that the community is informed and engaged in matters that pertain to governance in the ward – if the proposal is considered and properly implemented – it might be the panacea for the ills associated with the governance of public participation.

Görgens and Van Donk (2011: 13) argue that the challenges associated with the quality and type of participation varies. Their contention is that participation in local development efforts tends to be fraught with co-option and co-operation between locally-organised groups focused on protecting and improving their role in the city, while a wider processes such as Integrated Development Plan – IDP, by and large remain detached, obscure processes to ordinary citizens which are dominated by party-political interests and processes.

Drawing on experiences from participatory processes of decision-making and budgeting in other countries like Kerala in India, Porto Alegre in Brazil - Heller (2008: 168) argues that when offered genuine opportunities for participation, local actors will get involved. Participation is not a function of variables such as human capital and social capital which can only be accumulated slowly over time. It is a function of much more malleable factors, such as institutional design, openings in the opportunity structure, alliances and new incentives. When poor people do not participate, it is not because they do not have the skills or the determination, but because the obstacles to participation are too high. There are transaction costs to participation and careful design and political action can contribute in changing these costs.

Even under such comprehensive and progressive legislative frameworks in South Africa that put public participation at the core of municipal governance and a key stakeholder in the work done by local government in delivering minimum basic services, there are still a number of challenges. In an article called “It is your right to participate in how you are governed” in Afesis-corplan [*Afesis-corplan is a core member of the Good Governance Learning Network (GGLN), an initiative to bring together civil society organisations involved in the field of local governance in South Africa*]. It is argued that the aim is for the organisations to network and share information towards the goal of strengthening participatory democratic local governance].

Mgwebi (2009: 1) argues that limited access to information among communities leads to a widening of the communication gap that exists between communities and a municipality; lack of public participation; failure of the municipalities to follow the policy relating to public participation in municipal decision-making processes as they are not compelled to do so; failure of full protection of people’s civil rights; people not accepting or agreeing with local government development initiatives; and the end result is the creation of service delivery/development backlogs.

Politics play a role in widening the gap that exists between communities and municipalities (*as argued in chapter 1 - the problem statement*). This makes the work of councillors and other public representatives difficult in communities and result in contestations between party

members, different political parties and more so, between the community and the municipality itself.

South Africa's municipalities are a contested terrain, and in order to understand the politics, one must understand the territory in which it plays itself out – this is according to Anton Harber (Isandla, 2011: 1), [*Caxton Professor of Journalism and Media Studies and director of the journalism programme at the University of the Witwatersrand and author of Diepsloot – when giving his opening address at a round table hosted by Isandla Institute*]. It is however important to mention, that contestation in and of itself doesn't need to be an issue of concern. In actual fact not all contestation is disruptive (some contestation can assist in enforcing discipline and accountability) while other forms of contestation can be disruptive and ultimately contribute to the demise of a municipality's ability to perform optimally. Unfortunately this kind of contestation is prevalent among municipalities in South Africa and is counterproductive for local government effectiveness and efficiency.

It is tempting to blame someone for the current challenges in the sphere of local government and it is also tempting to indicate that the new democratic government inherited all challenges indicated indirectly from the former apartheid government. Some may even argue that the dilemmas and predicaments besieging municipalities are a result of close to 50 years of apartheid and colonialism in South Africa that continued to affect the form and shape of local government to date. However, the current challenges that plague the local sphere of government go beyond the inherited problems of apartheid and separate development, to reiterate what is a known fact does not change the situation. The current epoch and dynamics of national politics in South Africa has direct bearing on the local sphere of government and has more to do with the skills and capacity of the current leaders than finding excuses. The issues and challenges include and limited to patronage politics, failures in local political leadership and party political factionalism.

### 5.6.1. Hindrances to public participation – the problem of patronage politics

An observer could notice that divisions within and between political parties overflow into municipalities, rendering some of them dysfunctional CoG report (State of Local Government in South Africa, 2009: 10). To compound the challenge, there are issues of factionalism in leading political parties found in municipalities, patronage politics and corruption; maladministration; political interference and to some considerable extent a conflation of the ruling party and the state – as it was argued in the CoG report (State of Local Government in South Africa, 2009: 10). Unfortunately these problems cumulatively contribute to the erosion of democratic, accountable and effective local government in some municipalities, while concurrently hindering delivery and provision of minimum basic services.

Since this study is located in the local government sphere and in particular metropolitan municipalities, reference will be made to examples that are associated and relevant to the study. The former Minister for Cooperative Governance and Traditional Affairs [CoGTA], Sicelo Shiceka, admitted that, *“Many of our municipalities are in a state of paralysis and dysfunction”*. He conceded that local government was perceived to be incompetent, disorganised and *“riddled with corruption and maladministration”* (Patel, 2011: 1).

In the report on the round table called *“Local politics and factionalism: Local government as a site of contestation”* – the Isandla Institute (2011:2) argues that the absence of strong and resilient local government institutions means that these institutions are unable to manage contestation effectively. These manifestations also serve to erode the trust between communities, the elected leaders and the local institutions - municipalities.

It must be mentioned that when service delivery is hindered the community is negatively affected and bears the brunt. Research and assessments conducted by the Department of Cooperative Governance [CoG] revealed that party political factionalism and polarisation of interests and the subsequent creation of new political alliances and elites, have contributed to the progressive deterioration of municipal functionality (SA - CoG, 2009: 10). In the same report (SA - CoG, 2009: 44), CoG concedes in its national municipal assessment, that more than three

million households out of about 13 million were receiving below a basic level of service and 600 452 households need to be served with sanitation facilities per year until 2014 to eradicate the existing backlog. The empirical study in Chapter 6 will indicate that sanitation is still a challenge and the problem of bucket system and pit latrine toilets is still prevalent especially in urban informal settlements.

The Institute for Security Studies [ISS] notes that the primary reason, it would appear, is dissatisfaction with the delivery of basic municipal services such as running water, electricity and toilets, especially in informal settlements. Unemployment [officially at +/- 25,4%], high levels of poverty, poor infrastructure, and the lack of houses add to the growing dissatisfaction in these and other poor communities (Burger, 2009: 1).

The CoG report notes a key and fundamental concern which has the potential to erode all that a democratic dispensation has brought to the South African body politic, is that there are officials and public representatives in municipalities for whom public service is not a concern, but accruing wealth at the expense of poor communities is their priority (SA - CoG, 2009: 30). The report attributes this to a lack of values, principles and ethics. National Treasury attributes failures in municipal performance directly to failures in local political leadership (SA - National Treasury, 2011: 24).

Evidence on the problems of municipalities were exposed and extrapolated by CoG report (SA - CoG, 2009:4-10) and CoG reveals that local government is in distress. The report highlights the following as the causal reasons for distress in municipalities: tensions between the political and administrative interface; poor ability of many councillors to deal with the demands of local government; insufficient separation of powers between political parties and municipal councils; lack of clear separation between the legislative and executive; inadequate accountability measures and support systems and resources for local democracy; poor compliance with the legislative and regulatory frameworks for municipalities. It can be deduced from the CoG report that the state of municipalities in South Africa is a challenge.

The discussion on the state of local government in South Africa has raised concerns and exposed challenges in South African municipalities. In particular their administration, community participation and the problems associated are hampering delivery of services to communities. It is important to mention that public participation in municipal processes is imperative for the promotion of democracy. Municipalities should engage communities to involve them in decision-making, especially when it is attributed to issues of how they manage and control programmes and projects. In essence, communities need to be part of how a municipality is governed and appropriate resources meant for development with due skill and care. Communities and public officials need to conduct performance and monitoring and evaluation of municipalities to stay informed – measure outputs, outcomes and results.

An important consideration is that not all communities in metropolitan municipalities get an opportunity to participate in formal process as outlined in the debate and discussions on public participation, due to their spatial configuration as informal settlements. It is important to commence a discussion on UIS in metropolitan municipalities – to understand how they are organised and function – including their complexities and challenges.

### **5.7. Urban informal settlements [UIS] in metropolitan municipalities**

Geographic and historic accounts of how the majority of Black Africans [including Coloureds and Indians] were displaced and forced into townships have been presented in the first sections of this chapter. Those decisions that were taken in the early 1950s towards the 1980s - of entrenching separate development in South Africa, are still influencing the South African government today, as argued in the opening sections of this chapter [*cf 5.2. Local government during colonialism and apartheid in South Africa - origins and characteristics of urban areas, 1800-1994*].

In essence, the Group Areas Act, 41 of 1950 was the starting point of expropriation of property and the large-scale removal of non-white South Africans [Indians in Durban] from their

communities to new settlements (Robinson, 1992: 4). This was done to create space for business development in big cities like Johannesburg (Scott, 1992: 94). In agreement with authors in urban studies (Maylam, 1995: 22), the overall picture that emerged shows that urban segregation evolved over a long period of time in a rather haphazard way. The continuities after both the *Natives Urban Areas Act, 21 of 1923* and the *Group Areas Act, 41 of 1950* led to a situation of unplanned settlements for black Africans and spatial planning segregation – which resulted in township establishments as they are known today.

The history of UIS points to gradual word-of-mouth processes that arise directly out of a desperate need for accommodation. In actual fact, the formation of an informal settlement is very sporadic (Huchzermeyer, 2009: 62). Internationally, the biggest informal settlements in the world are found in South Africa [Khayelitsha], Pakistan [Orangi township], Brazil [favelas of Rio de Janeiro] and in Kenya ‘Kibera slums’ [Forest or Jungle] of Nairobi. Conditions in almost all informal settlements are unacceptable in a contemporary state. Most of its residents lack access to minimum basic services [water, sanitation, electricity and waste collection]. South Africa’s Khayelitsha in Cape Town is the biggest informal settlement in Africa followed by Kenya’s ‘Kibera slums’ in Nairobi; while Pakistan’s Orangi Township is the largest in Asia and Brazil’s favelas of Rio de Janeiro is the biggest in South America respectively.

City planning and urban studies experts have been investigating the development of urban informal settlement (Huchzermeyer, 2009:62). Their studies reveal that UIS generally develop on unused land, mostly on the outskirts of a city – in most instances informal settlements are found in places like former buffer strips, undeveloped land between formal township developments, on the edges of new townships, on land allocated for public or commercial facilities that show no signs of being developed for its original purpose, and on unutilised and unprotected natural land, often not immediately suitable for development or occupation (Huchzermeyer, 2009:62). According to government records dating back to 2009, 71% of South Africa’s population live in cities and the population of eight [i.e. after 2011 municipal elections and the inclusion of Mangaung and Buffalo Cities as the new metropolitan municipalities]

metropolitan municipalities reportedly grew by 2,9% per annum on average over the period 1996-2007 compared with the national average of 1,8% (CoG, 2009: 17).

The Housing Development Agency [HDA], which is a national development agency established by an Act of Parliament [Act 23 of 2008] under the Department of Human Settlements [DHS] has a mandate to release suitable land for the creation of sustainable human settlements. The HDA developed a GIS or geographic information system tool called LaPsis [Land and Property Information System]. LaPsis is a land and property spatial informal system accessible online that helps users to reference their own information with up to date human settlement sector information (HDA, 2012: 13). LaPsis provides users with access to the following layers:

- Housing / human settlement projects;
- Informal settlements;
- Cadastre [erven, farms, conservation areas, wards];
- Gauteng Biodiversity Plan [restricted];
- South Africa's Agriculture potential;
- Geology;
- 1:50 000 and the 1:250 000 topographical map; and
- Satellite imagery.

HDA indicated that LaPsis has been designed for those who are not experts in GIS to easily query data and create maps. It provides useful functions which include erf level data such as property info, owner, extent and satellite image - which can be viewed in relation to points of interest nearby; state-owned land can be referenced in a municipality and an identified property can be confirmed as state-owned; property verification [i.e. Property can be viewed on a map, deeds information (i.e. ownership) can be confirmed, and a satellite image will confirm what is on the property]; X and Y coordinates [point data] from an excel spreadsheet can be added; polygons can be captured and saved to user's favourites; immediate and real time access to maps; own data can be captured and uploaded; data analysis and customisation according to needs. These functions are critical in properly identifying UIS.

### 5.7.1. Definition of an informal settlement [IS]

The definition of what the term informal settlements means in the context of this study must be clarified. Information from relevant sources and review of associated published reports in municipalities indicate that informal settlements [urban and rural] have different meanings to different municipalities in South Africa and this includes definitions provided by Statistics South Africa [SSA] and the Department of Human Settlements [DHS]. Below is a table that summarises all the definitions that could be found in this regard.

**Table 5.7. Different definitions of informal settlements in South African municipalities**

Municipality	Definition
Nelson Mandela Bay Metropolitan Municipality	“An informal settlement refers to one or more shacks constructed on land with or without the consent of the owner of the land or the person in charge of the land. In some settlements no formal layouts have been approved whilst in others there are formal sites. Services are communal in nature.”
Buffalo City Metropolitan Municipality	“Areas where groups of housing units have been constructed on land that the occupants have no legal claim to, or occupy illegally; Unplanned settlements and areas where housing is not in compliance with current planning and building regulations (unauthorised housing).” (Buffalo City Metropolitan Municipality Draft Integrated Development Plan 2012/13).
Mangaung Metropolitan Municipality	“Informal settlements refer to areas that are

	<p>not formally planned but nevertheless are occupied illegally by the dwellers.” (Mangaung Metropolitan Integrated Development Plan, Review 2013/14).</p>
<p>City of Johannesburg Metropolitan Municipality</p>	<p>No formal definition, however the following working definition is used: An informal settlement comprises “An impoverished group of households who have illegally or without authority taken occupation of a parcel of land (with the land owned by the Council in the majority of cases) and who have created a shanty town of impoverished illegal residential structures built mostly from scrap material without provision made for essential services and which may or may not have a layout that is more or less formal in nature.” (John Maytham, Project Manager: Informal Settlement Formalisation Unit, Development Planning and Urban Management).</p>
<p>City of Tshwane Metropolitan Municipality</p>	<p>“Informal settlement means one shack or more constructed on land, with or without the consent of the owner of the land or the person in charge of the land.”</p> <p>“Shack means any temporary shelter, building, hut, tent, dwelling or similar structure which does not comply with the provisions of the National Building Regulations and Building Standards Act, 1977 (Act 103 of 1977), the regulations promulgated under that Act and</p>

	<p>the Municipality’s Building Control By-laws and which is primarily used for residential purposes.” (City of Tshwane Metropolitan Municipality, By-laws Relating to the Management and Control of Informal Settlements, Definitions).</p>
Ekurhuleni Metropolitan Municipality	<p>“As a basic characteristic, the occupation of the land is unauthorised. In addition, the use of the land may be unauthorised, and in most cases the construction standards do not comply with building regulations.” (Study into supporting informal settlements, Main Report, 28 August 2004 Prepared for Department of Housing, Pretoria by the University of the Witwatersrand Research Team).</p>
City of Cape Town Metropolitan Municipality	<p>The City of Cape Town defines an informal settlement in accordance with Statistics South Africa.</p>
eThekwini Metropolitan Municipality	<p>“Structures which are made of rudimentary materials (wood, cardboard, metal sheets, mud, etc.) without any building plans approved, often on land that has been illegally occupied. Services are very basic or not available at all.” (Faizal Seedat, Senior Manager: Housing Unit - Durban].</p>
KwaZulu-Natal Province	<p>KwaZulu-Natal defines an informal settlement in accordance with the 2009 National Housing Code’s Informal Settlement Upgrading Programme.</p>

Mookgophong Local Municipality	“Dense settlements comprising communities housed in self-constructed shelters under conditions of informal tenure.” (IDP 2011/12).
Thabazimbi Local Municipality	“Unplanned settlements where informal housing (i.e. structures not in compliance with building regulations) is constructed on land that occupants have no legal claim to (at least initially), and on which few, if any, services exist.” (Housing Strategy 2010).
Polokwane Local Municipality	“Dense proliferation of small, make-shift shelters built from diverse material and informally located on land that is not proclaimed, often characterised by high crime, degradation of the local ecosystem and severe social and health problems.” (IDP).
Modimolle Local Municipality	Informal settlements are 100% tin houses.” (IDP 2011/12).
Statistics South Africa [SSA]	<p>“An unplanned settlement on land which has not been surveyed or proclaimed as residential, consisting mainly of informal dwellings (shacks).”</p> <p>Definition of an informal dwelling :“A makeshift structure not approved by a local authority and not intended as a permanent dwelling” .</p>

The three municipalities that are units of analysis in the current study also provide different definitions for an informal settlement. For the purpose of this study – the definition used by the HDA will be used. According to HDA, an informal settlement is defined as a group of non-

permanent structures not on a formally registered residential property (HDA, 2012:14). The 2009 National Housing Code's Informal Settlement Upgrading Programme identifies informal settlements on the basis of the following characteristics (HDA, 2013: 45):

- Illegality and informality;
- Inappropriate locations;
- Restricted public and private sector investment;
- Poverty and vulnerability; and
- Social stress

The Department of Human Settlements [DHS] commissioned the development of two atlases, namely, the Human Settlements Investment Potential Atlas [compiled by the CSIR – Council for Scientific and Innovation Research] and the Informal Settlements Atlas [compiled by AfriGIS]. The 2008/2009 'Informal Settlements Atlas' featured 45 municipalities. In 2010 the Department extended the atlas to incorporate a total of 70 municipalities. The 2009/2010 Informal Settlement Atlas indicates there are 2628 informal settlement polygons in the country in the 70 municipalities (HDA, 2012:12).

In South Africa, most urban informal settlements are found in metropolitan areas in Gauteng Province. The Department of Cooperative Governance [CoG] indicates that the informal households found in major metropolitan municipalities account for almost half [49%] of all informal housing in the country. This is where the biggest increases have been over the last 10 years. Furthermore, it is mentioned that significant areas of informal housing are also found close to important secondary towns, especially those in municipalities close to Gauteng's metropolitan areas, which makes the Province and the surrounding municipalities the largest UIS in the country (CoG, 2009:26).

According to Misselhorn (2008: 5) any analysis of the current situation in UIS should be premised on an appreciation of why they exist and what functionality they afford to those who

reside in them. Whilst UIS are all different, one recurring factor in their formation is that they typically provide an initial point of access into the urban environment for incoming migrants, or for those moving from other parts of the city. More importantly, they afford such access at a low financial cost and the barriers to entry are low - relative to other options such as being allocated a site in a subsidised housing project. The nature of this access can be further explained as follows:

- access to employment and other economic/livelihood opportunities [which are access to social facilities (e.g. education and health care)];
- access to the political system [access to ward councillors and the space to vote and lobby];
- access to the legal system [or improved access to it]; and
- potential access to housing and infrastructure [e.g. through waiting lists for housing projects or through rudimentary/illegal services and connections available].

Informal settlements serve a critical function as ‘holding places’ where people can access the urban environment at low financial cost and piece together various livelihood strategies there. Some might remain permanently and even ultimately gain access to formal housing, whilst others might reside temporarily for specific purposes which, once fulfilled, result in them moving elsewhere in the city or returning to where they initially came from (Misselhorn, 2008: 5). Urban informal settlements [UIS] remain a major challenge for Gauteng municipalities to manage because of the in-migration of people into the Province. GPG [Gauteng Provincial government] plan is either to upgrade those which are suitable or to relocate people that can be allocated stands and be provided with basic services. In 2011, in the “Statement by Gauteng Premier, Ms Nomvula Mokonyane, during the presentation of Local Government Performance Review 2006 – 2011”, the Premier reiterated this intention stating that:

*Informal settlements remain a major challenge for municipalities to manage due to in-migration of people to the Province. The plan is either to upgrade those which are suitable or to relocate.*

*By August 2008, a total of 85 informal settlements had already been formalised and 36 were eradicated by 2009 (Mokonyane, 2011:1).*

The reason people move close to these urban centres can be reduced to economic opportunity, access to minimum basic services and better living conditions. This is because, urban areas produce 88% of South Africa's economic activity (CoG, 2009:17) and, in 2009, between 53% and 56% of the working age population in the major metropolitan municipalities were employed – compared with only 29% in the former Bantustans [areas which were found mainly in the rural areas of South Africa during apartheid, designated for Africans]. Former Bantustans included Bophuthatswana, Venda, Qwaqwa, KwaNdebele, KwaZulu and Gazankulu. The other 47% are in the commercial farming areas (SACN, 2011:24).

The South African Cities Network [SANC], makes a very salient point as the main reason many people in-migrate to metropolitan municipalities. They indicate that jobs in urban centres are generally of a better quality. About 80% of workers in the metropolitan municipalities are engaged in formal employment, as compared to only about 55% in the former Bantustans, and earnings tend to be higher in the metropolitan municipalities than in rural areas, suggesting that their economies are more productive (SACN, 2011:25). The argument by SANC is similar to the observation made by Municipal IQ in an article called “Understanding why service delivery protests take place and who is to blame”. Allan and Heese (2011: 1) argue that:

*Urbanisation, essentially the influx of poor migrants to cities, is prompted by the search for jobs, and therefore is most pronounced in areas of economic growth. But this results in an irony – although service delivery protests are commonly perceived as an indication of a failure of local government, Municipal IQ has found a strong link between municipal productivity (a measure of local government success) and service delivery protests – those in search of jobs move to successful cities where they perceive there to be economic opportunity. Unfortunately, most migrants find themselves unemployed, living in one of the many hundreds of informal*

*settlements on the periphery of these large metros, effectively marginalised from both access to economic opportunity, as well as housing and services.*

It is obvious from the above paragraph, the reason why many migrant workers stay in urban informal settlements. Coming close to urban centres brings with it the need for accommodation and because of unaffordable housing and other inhibiting factors, people and mostly poor Africans from rural areas move to informal settlements. Huchzermeyer (2009: 63) argues that in contrast to formally planned and established neighbourhoods which represent a wide range of market interests, informal settlements in South Africa's cities portray primarily a human face. This is actually a reflection on poverty in rural South Africa, and the main reason why poor black Africans in majority in-migrate to cities for a better life. Huchzermeyer (2009: 63) argues, that:

*informal settlements represent universal human needs: community, individual and cultural expression, shelter and home-making, access to a livelihood and access to schooling. Unlike formal property owners, the residents of these settlements play no active part in the socio-economic processes that deepen inequality: they are excluded from the formal process of land subdivision and land-use control, and from the distorted land market it underpins and which is so much adorned and guarded by all who play their economic cards in this lucrative game.*

This means that most residents in UIS are excluded from the mainstream economy and land occupation. The movement and organisations that represent people in informal settlements are mostly human rights groups and NGOs. Huchzermeyer (2006: 62) argues that informal settlements are largely organised by voluntary, mostly non-party political civil society organisations that endeavour to make a positive contribution to urban development [civic organisations like the Landless People's Movement, the Federation of the Urban Poor]. Far from promoting informal settlements, these civil society organisations are lobbying for recognition of the existing situation and a solution that best responds to the residents' needs. The activism of civil society movements might be a result of many factors, but more glaring are issues of poverty, social inequality and spatial segregation in major cities. Saule Júnior (2008: 56) argues that:

*The Right to the City arises as a response to the panorama of social inequality, considering the duality experienced in the same city: the city of the rich and the city of the poor; the legal city and the illegal city, as well as the exclusion of the majority of the city's inhabitants determined by the logic of spatial segregation; by the commodity city; by the mercantilisation of urban soil and real-estate appraisal; by the private appropriation of public investments in housing, in public transportation, in urban equipment, and in public services in general.*

In the period between 1996 and 2007, citizens of the metropolitan municipalities have had limited access to services [including access to water, electricity and sanitation] than the national average; the same metropolitan areas are also featured when it comes to metropolitan/local municipalities listed for the biggest backlogs in terms of water, sanitation, electricity and waste management. (SA - CoG, 2009:11). The statistics show that even though there is increasing access, there is both the growing need for access to services as a result of population growth in cities [in-migration]. Coupled to that, is the increasing backlog in the provision of minimum basic services – especially in informal settlements – which will be a unit of analysis in this study. The underlying factors could be found midway between provision of effective and efficient minimum basic services and the way in which municipalities respond to the residents' needs. This will be tested during the empirical study in the next chapter.

According to research from Municipal IQ's Hotspots Monitor, there is clear evidence that most protests in recent years occur in urban informal settlements that are found in the largest metropolitan municipalities (Allan & Heese, 2011: 2). Cities which experience the highest population growth rates of all municipalities in South Africa such as Cape Town, Ekurhuleni, Johannesburg and Tshwane have experienced an increase in service delivery protests in the past three years. An important issue to mention is that there is a strong statistical link between high levels of migration and service delivery protests (Allan & Heese, 2011: 2).

It can be deduced from information provided by Municipal IQ, that in South Africa, there are people and groups protesting against the growth of inequality, marginalisation, discrimination

and a lack of public participation in decision-making, especially in the functioning of cities – and in most instances these people are found in informal settlements.

People are not only protesting against extreme poverty and underdevelopment, they are demanding effective and efficient delivery of minimum basic services [water, sanitation, electricity and waste collection] as the minimum basic human needs that can alter the way they live before they can even attend to higher issues that obstruct the amelioration of their conditions of squalor and abject poverty which part of the quantitative research study in the next Chapter 6 will attempt to understand and clarify. It is clear from the foregoing discussion that the struggle for liveable neighbourhoods has yet to be effectively connected to the demand for liveable cities.

## **5.8. Protest action in metropolitan municipalities in Gauteng Province**

As politicians and officials continue in their factional battles [i.e. as indicated in the 2009 GoC report] in municipalities, peoples' needs which include the delivery of effective and efficient minimum basic services are further pushed to the margins. This leaves the public with no option but to react. The quickest and easiest way for despondent and disgruntled people to respond is through protest action, which is a term that has now become popularly known in South Africa as “service delivery protest”.

According to Roux (2005: 3) the so called service delivery protests started in 2004 in a South African township called Harrismith in the Free State Province. After that, protests grew and became popular. By June 2005 protests took place in 21 local communities – today there are almost weekly occurrences in the various Provinces. In short, the so called service delivery protests in South Africa are really nothing more than people expressing their dissatisfaction with the way in which municipalities are moving at a slow-pace to render minimum basic services such as water, sanitation, electricity and waste management.

In a report titled '*Community Protests in South Africa: Trends, Analysis and Explanations*'; Karamoko, J & Jain, H (2011: 4-5) which will be analysed and used in this section as the main reference together with its parallel companion work from Municipal IQ – details of community protests are comprehensively discussed. The authors argue that the frequency of community protests occurring across South Africa increased substantially over the course of three years before reversing the trend, and falling dramatically from June 2010 till the middle of 2011. The authors measured frequency of protests per month and below is the summary of their findings:

**Table 5.8. [a] Frequency of protests per month [summary of findings by Karamoko & Jain (2011: 4-5)]**

Year	Percentage protests per month [pp/m]
2007	8.73% pp/m
2008	9.83% pp/m
2009	17.75% pp/m
2010	11.08% pp/m
2011	8.80% pp/m
<b>Average TOTAL</b>	<b>11.2% pp/m</b>

**Figure 5.8. [a] Average number of protests per month between Feb 2007- Aug 2012 [Adapted from De Visser & Powell (2012) Service Delivery Protest Barometer 2007-2012 Cape Town: Multi-level Government Initiative, Community Law Centre.]**

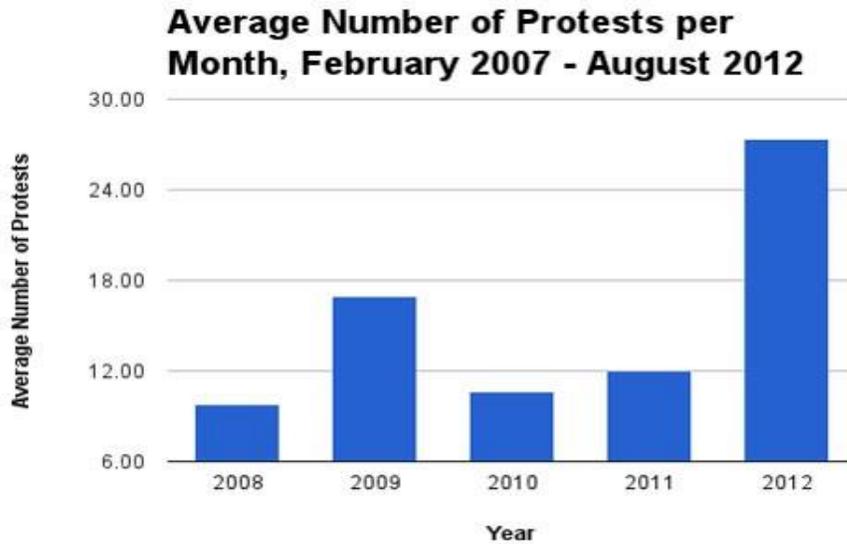
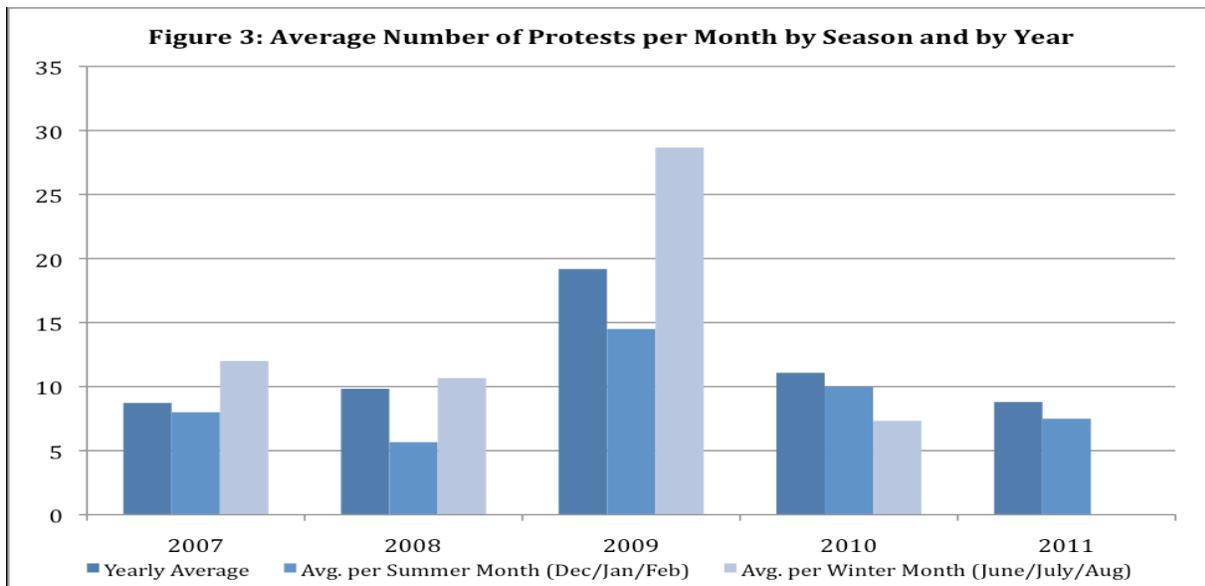
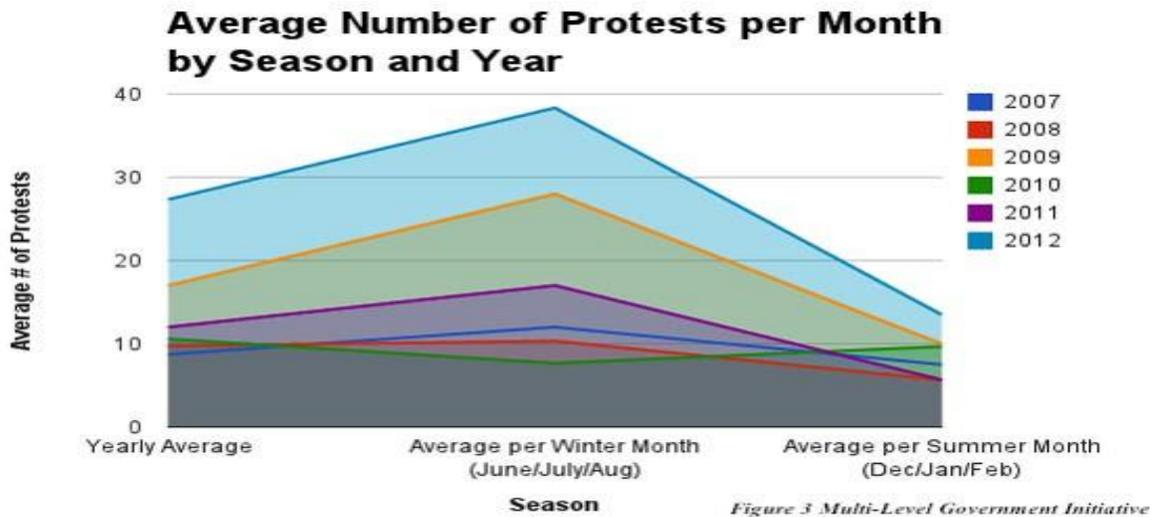


Figure 2 Multi-Level Government Initiative

**Figure 5.8. [b] Average number of protests per month by season and by year [Adapted from Karamoko & Jain, 2011: 9]**



**Figure 5.8. [c] Average number of protests per month by season and by year [De Visser & Powell (2012) Service Delivery Protest Barometer 2007-2012 Cape Town: Multi-level Government Initiative, Community Law Centre.]**

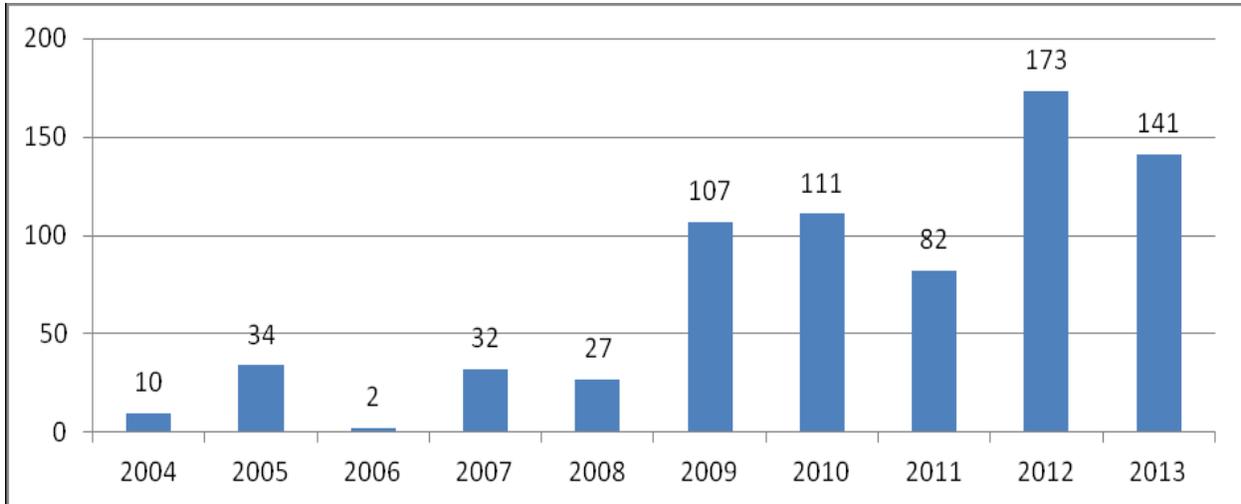


The results and findings of the work done by De Visser & Powell and Karamoko & Jain indicate that although protest actions takes place throughout the year, there are some months [i.e. seasons] where there are more protests than in others – especially during winter. Municipal IQ also came to the same conclusion in the research on protest action in municipalities. Figures 5.8. [a, b and c] above, show the findings.

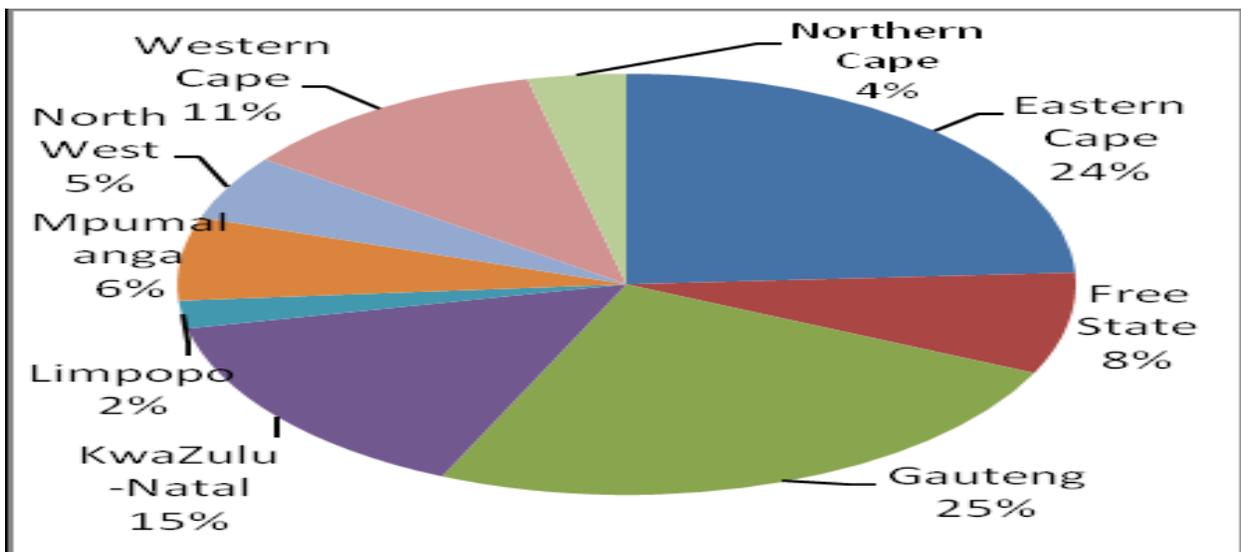
The argument advanced is that there are several [potentially mutually reinforcing] explanations for the greater unrest in winter months. Firstly, the increased and greater need for electricity and power during the colder winter months make residents more likely to protest about electricity shortages and may be at least a contributing factor to the increased levels of protest during this season, which occur regularly in South Africa. Secondly, the damage caused by winter storms and subsequent instances of flooding in some areas of South Africa [i.e. Cape Town] may contribute to community unrest. Thirdly, the winter weather may amplify concerns residents have about the absence of adequate housing. Fourthly, the South African Local Government Research Centre has found that during the winter, heavy rainfall in some areas wash pollution from urban areas, significantly undermining the quality of coastal water

(Karamoko & Jain, 2011: 9-10). In 2013, South Africa experienced decline in major service delivery protest. However, Gauteng Province is leading in term of the overall percentage of protests action in South African Provinces.

**Figure 5.8. [d] Major service delivery protests, by year (2004 – 31st October 2013) [Adapted from Municipal IQ Municipal Productivity and Hotspots Monitor]**



**Figure 5.8. [e] Service delivery protests by province (January - October) 2013 [Adapted from Municipal IQ Municipal Productivity and Hotspots Monitor]**



### 5.8.1 The phenomenon of violent protest

An important aspect of protest action in South Africa has been the prevalence of violent protest. Violent protests have been defined by Karamoko & Jain (2011: 9-10); as those *protests where some of the participants have engaged in physical acts that either cause immediate harm to some person, or are substantially likely to result in such harm*. During the period that protest action intensified in South Africa, there were various indications of violent protests. These include but are not limited to:

- the intentional injuring of the police or law enforcement agencies;
- attacks on foreigners;
- attacks on government officials,
- the burning down of ward councillors houses, libraries, municipal buildings and other structures that belong to the state;
- the looting of shops belonging to foreign nationals;
- throwing of rocks at passing motorists;
- burning of tyres and placing of barricades to blockade roads; and
- other similar acts have been included as a violent protest.

Municipal IQ makes this point in their article titled 'Communities can make a difference with protest action' - 10 Apr 2013, *Business Day*. Municipal IQ argue that valuable public infrastructure is often destroyed in violent protest action and in dysfunctional municipalities. The opportunity cost is likely to be very high with a number of priorities having to be forfeited preceding the replacement of a library or community centre [those are the frequent targets of protests]. Moreover, the main issue raised is that violent protests create divisions in communities. According to Municipal IQ, Xenophobia can surface, overlaid with criminality and the looting of local 'spaza shops'. Despite the need to recognise the legitimacy of protest action as a democratic necessity in South Africa the increasingly violent nature of protests has become a real concern — violence was evident in more than 75% of protests recorded by Municipal IQ

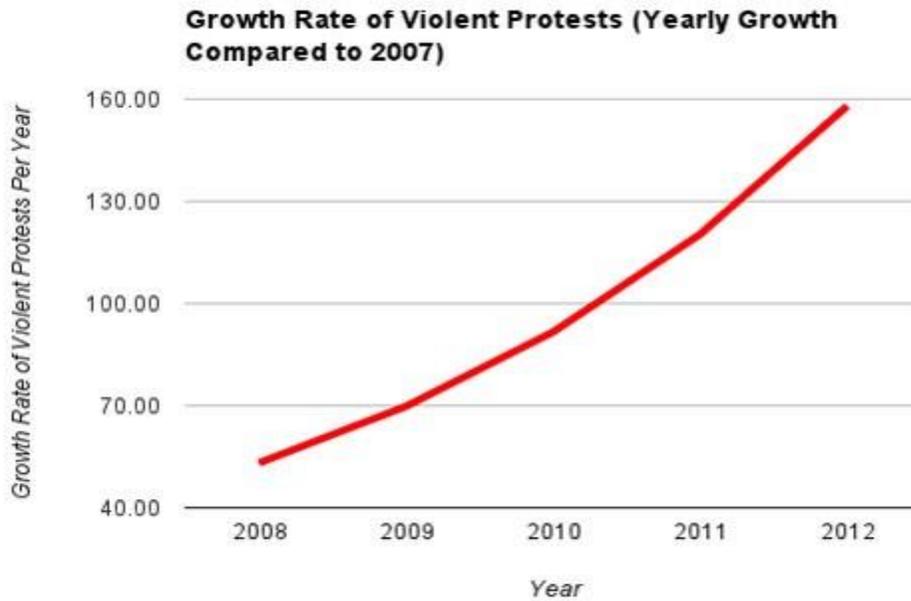
in 2013 (Municipal IQ, 2013: 10 April). A more detailed research on frequency of violent protest revealed the following information:

**Table 5.8.1 [a] Frequency of violent protest by year between 2007 - 2011**

<b>Year</b>	<b>Percentage protests per annum</b>
2007	41.66% p/a
2008	38.13% p/a
2009	44.16% p/a
2010	55.64% p/a
2011	59.09% p/a
<b>Average TOTAL</b>	<b>47.73% p/a</b>

The regularity with which protests become violent [Table 5.8.1. [a] **47.73%** - almost half of all recorded protest action] can be as insightful an indicator of discontent as the frequency of protests. A counter argument has also emerged from other institutions, for instance the University of Johannesburg's Centre for Sociological Research has argued that heavy-handed, violent interventions by police officers often incite violence at community protests (Karamoko & Jain, 2011: 11).

**Figure 5.8.1 The annual growth rate of violent protests [Adapted from *De Visser & Powell (2012) Service Delivery Protest Barometer 2007-2012 Cape Town: Multi-level Government Initiative, Community Law Centre.*]**



*Figure 12 Multi-Level Government Initiative*

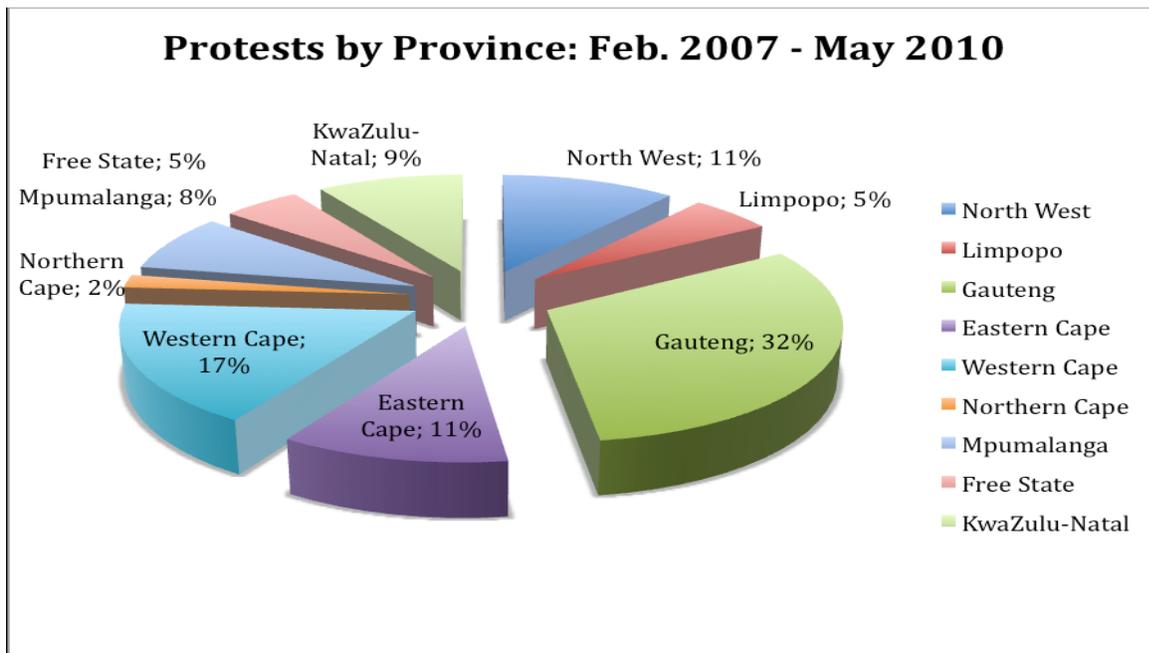
The University of Johannesburg’s Centre for Sociological Research noted in July and August 2009, that peaceful protests held in townships in the Gauteng and Mpumalanga Provinces were met with police randomly opening fire at protesters and, in certain instances, firing at assembled groups of people who were not involved in the protests at all (Karamoko & Jain, 2011: 11). From Fig 5.8.1 above, it can be argued that violent protest is growing exponentially. Gauteng Province has been leading protest action across the country. Below is a summary of findings from authors between 2007 and 2011.

### 5.8.2. Gauteng specific protest action

**Table 5.8.2 [a] Gauteng Province protest action by year between 2007 – 2011 [Adapted from Karamoko & Jain, 2011: 18-23].**

Year	Percentage protests per annum out of the National total
2007	29.00% p/a [Highest in the country]
2008	35.00% p/a [Highest in the country]
2009	29.00% p/a [Highest in the country]
2010	40.00% p/a [Highest in the country]
2011	14.00% p/a [3 <sup>rd</sup> highest in the country]
<b>Average TOTAL</b>	<b>29.40% p/a</b>

**Figure 5.8.2 [a] Protest action by Province [Adapted from Karamoko & Jain, 2011: 24].**



**Figure 5.8.2 [b] Protest action by Province [Adapted from *De Visser & Powell (2012) Service Delivery Protest Barometer 2007-2012 Cape Town: Multi-level Government Initiative, Community Law Centre.*]**

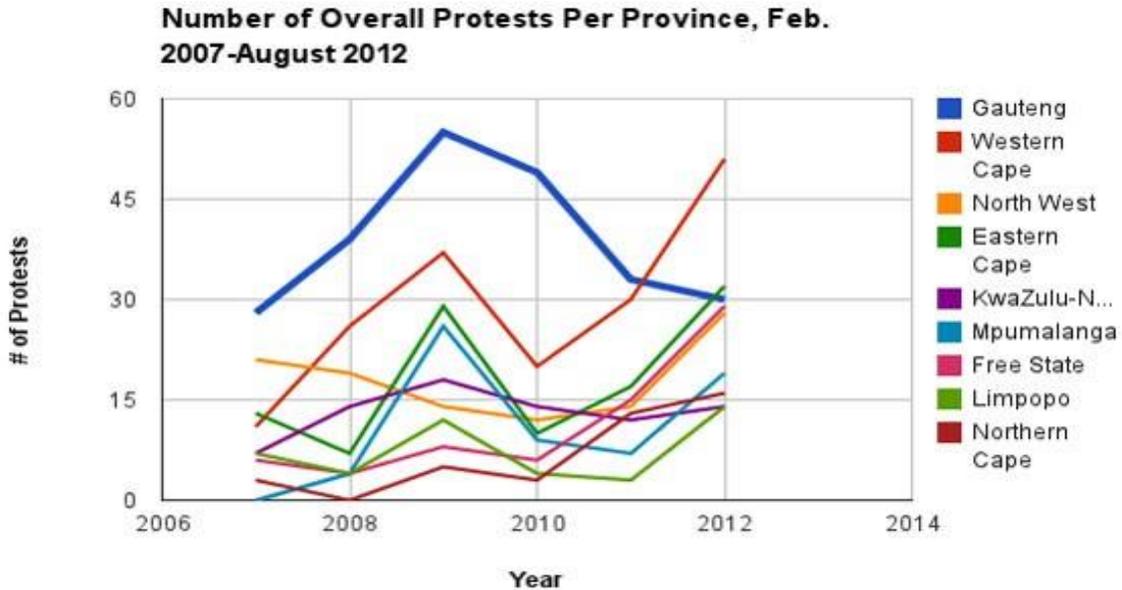
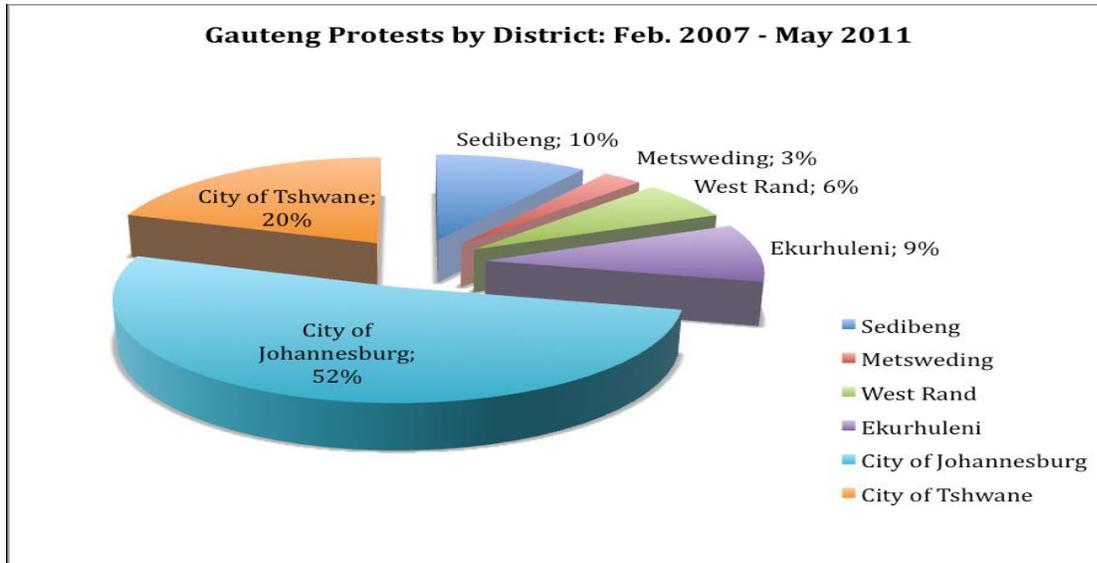


Figure 5 Multi-Level Government Initiative

According to computed numbers in Table 5.8.2 [a]; including information adapted from figures 5.8.2 [a] and 5.8.2 [b] above – it is clear that Gauteng Province accounts for almost 30% of protest action in South Africa. Until the first half of the year 2011 when a sharp decrease started to become apparent, the Province was the predominant site of community protests in the country. De Visser & Powell (2012) indicate that Gauteng yielded the highest protest activity from 2007-2011 but then dropped significantly in 2012. As of August 2012, the Western Cape is the Province with the highest number of protests.

This in a way helps explain the phenomenon of community unrest. Municipal IQ has suggested that Gauteng’s striking contribution to the number of community protests nationwide demonstrates that the protests are largely an urban phenomenon, resulting from the *relative* deprivation that members of a community experience when compared to their more affluent neighbours.

**Figure 5.8.2 [c] Gauteng protest action by district municipality [Adapted from Karamoko & Jain, 2011: 25].**



Information from figure 5.8.2 [c] is significant for the current study. The number of protests occurring in the City of Johannesburg metropolitan municipality is immediately apparent. This is followed by the City of Tshwane, another major metropolitan municipality. Tshwane, although not having the same population as Johannesburg, has its own instances of protest than its less urban counterparts in the Province. Ekurhuleni Metropolitan Municipality is fourth after a category B district municipality of Sedibeng, which is not a metropolitan municipality.

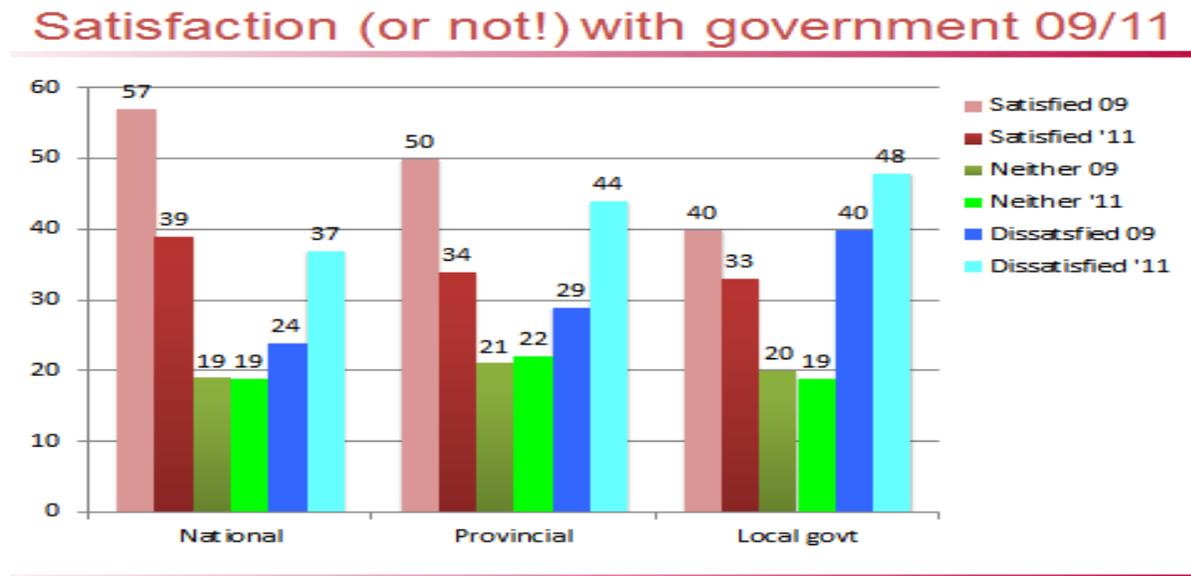
Protest action might be a result from other factors. However, figures depicted in 5.8.2 [c] indicate that large population densities in metropolitan municipalities create opportunities for protest. The necessity of population density for meaningful displays of unrest assist in explaining and to further substantiate the claim that metropolitan areas have a greater tendency toward community protests. Municipal IQ in an article titled 'Protests in Eastern Cape echo those in Gauteng' - 12 Dec 2013, *Business Day* argues that:

*Marginalised urban communities shack-dwellers and backyard residents display the sort of desperate frustration seen not only in other South African metros but also in inner cities such as those in Sweden or France. These are communities with a sense that the system has failed them and the ballot box is either ineffective or impractical. This picture of disaffection speaks to inequality in access to services (resulting in service delivery protests) as well as access to income and employment..... protests take place in municipalities where the average resident has good access to services and economic activity but due to the structural inadequacies of our economy for those who fall between the cracks life is extremely hard and protest activity ferments. Hence Gauteng and the Western Cape have top performers on the index coinciding with high levels of protest activity — a paradox explained by inequality and marginalisation.*

Thus, Municipal IQ explains that residents in urban informal settlements [i.e. *those who fall between the cracks life is extremely hard and protest activity ferments*] are the people who display desperate frustration in metropolitan municipalities. These are the people who feel that the system has failed them and are the ones experiencing inequality in access to basic municipal services. Municipal IQ argues that a large part of the problem sparking protests has been very poor communication between representatives of metropolitan municipalities and communities, which is essentially the task of the ward councillors and local officials. Moreover, urban informal settlements [UIS] contain neither the number of registered voters nor the local branch lobbying strength of more formalised areas, but also because the fluidity of UIS is such that they do not necessarily present themselves as organized communities with representative leaders. Observation made by Municipal IQ is that communities from urban informal settlements in local governance and planning processes requires far more work than in other more formal areas of metropolitan municipalities.

The Gauteng City-Region Observatory [GCRO] in its 2011 Quality of Life Survey [QoLS] found that dissatisfaction is increasing among Gauteng residents from a national sphere, provincial sphere and more so in the local sphere of government – details are shown in Figure 5.8.2 [d] below.

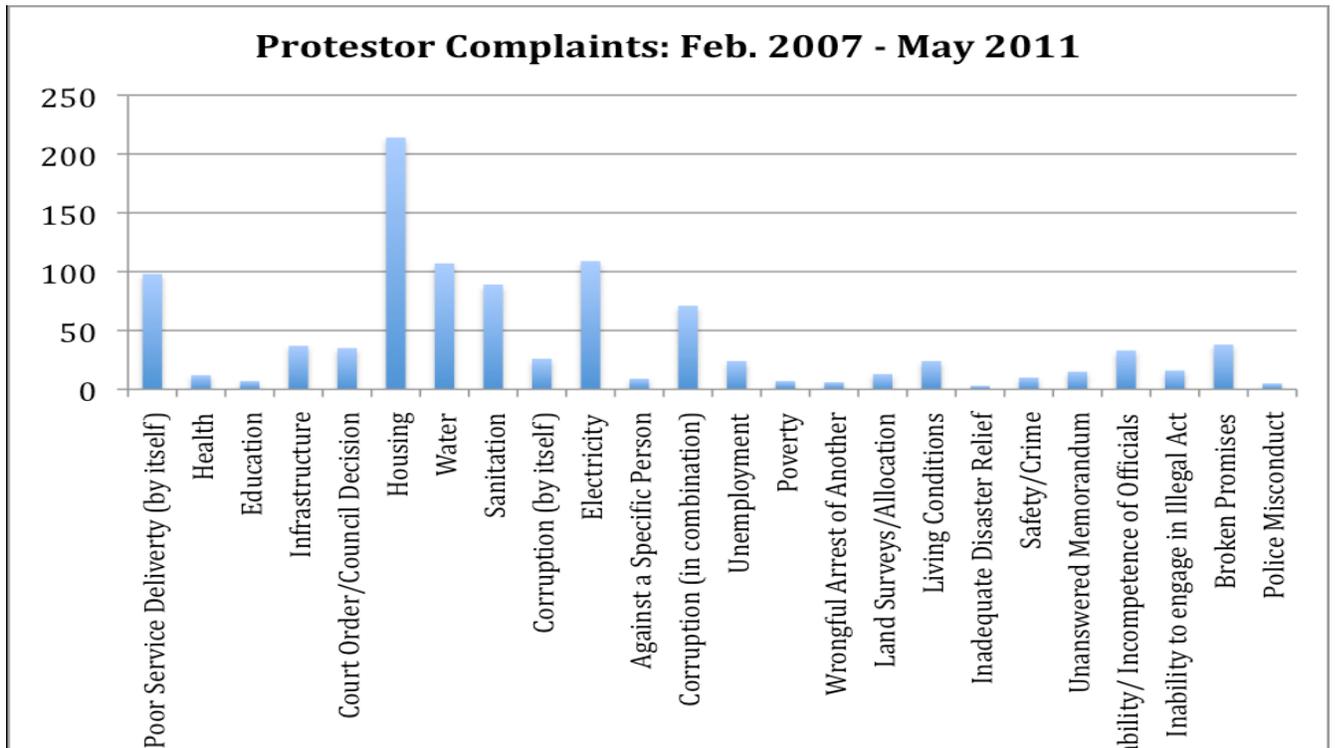
**Figure 5.8.2 [d] Satisfaction (or not) with government [Source, GCRO QoLS 2011]**



### 5.8.3. Issues raised/complaints by protesters

It is important to a considerable extent to consider the issues that are raised by protesters during a protest action. Figure 5.8.3 [a] below illustrates the issues raised or complaints lodged. The information in the chart is based on the 604 documented community protests that took place in South Africa between the beginning of February 2007 and May 2011.

**Figure 5.8.3 [a] Protesters complaints [Adapted from Karamoko & Jain, 2011: 31].**



Karamoko & Jain (2011: 30) argue that the vast majority of the categories featured in the chart are not mutually exclusive, that is, a protester demanding the provision of adequate water, housing and electricity [which in their considered view is one of the most common combinations of grievances expressed], would be documented as expressing all three of those concerns. However, certain categories are mutually exclusive and not-dependent, as is indicated by the phrase ‘by itself’. For instance, the category “Poor Service Delivery Generally [by itself]” refers to those instances where protesters cite poor service delivery as the motivation for a protest, yet do not cite grievances [such as the need for adequate housing] more specifically. Similarly, the category “Corruption [by itself]” covers those instances where protesters cite corruption or nepotism on the part of government officials yet fail to mention other concerns with specificity. The main issues or complaints can be tabled as follows:

**Table 5.8.3 [a] Protesters complaints [Adapted from Karamoko & Jain, 2011: 18-23].**

Protest issues/complaints	Percentage
Housing	21.23%
Inaccessibility to clean water	10.62%
Electricity	10.81%
Inadequate Sanitation	8.83%
<b>Combined TOTAL</b>	<b>51.49%</b>

The four dominant issues/complaints cited by protesters account for almost 52% of all issues raised during a protest action in South African municipalities as indicated in Table 5.8.3 [a] above. This is significant for the current study because the focus of the study is on the effective and efficient delivery of minimum basic services in urban informal settlements in the identified metropolitan municipalities of Gauteng Province. The flagged issues will again be discussed at in more detail during an analysis of empirical study results in chapter 6. The intention will be to compare what comes out of the questionnaire administered among the three municipal managers and the one that was used for survey interviews with community members in urban informal settlements. The comparisons will give context to the study and ensure that the outcomes are generalised.

The arguments presented in the previous paragraphs indicate that there are numerous protest actions in South African municipalities and although the numbers are decreasing – the fact that it can happen eight times a month on average and be violent [half the time]. This is an indication that residents are becoming increasingly unhappy with the delivery of services.

Isandla Institute (2011: 14) argues that what is required in South Africa is to have a strong and vigilant community members, who must become involved to realise the vision of a *people must govern* (Isandla Institute, 2011: 14). The so called service delivery protests have been a wake-up call of some sort; it has brought attention to the acute and lack in the delivery of minimum

basic services. These new phenomena of public expression has also indicated and highlighted a plethora of weaknesses in municipalities. These include issues [which were noted by GoC in its 2009 report and AGSA in the 2011-12 audit opinion] like:

- weak leadership in councils,
- lack of accountability and transparency in the way municipalities are governed and managed,
- poorly capacitated administrative systems in councils, and
- a blurring of boundaries between political and administrative structures [the political and administrative dichotomy].

The issue that pertains to *loss of confidence* was noted by CoG, when stating that citizen confidence and trust in the system have been publicly evidenced in the spate of community protests, which may be seen as a symptom of the alienation of citizens from local government (SA - CoG, 2009: 11). In an article “Rebellions of the poor, by the poor, for the poor”, Khadija Patel reports that in 2009 and 2010 there were more than treble the number of public service protests or service delivery protests than in any year since 2004. Instead of being mitigated by a maturing democracy, these protests have become more frequent. Patel goes further and indicates that:

*people may not be taking to the streets to chant, “Liberty, Freedom, Bread” as the Tunisians or Egyptians did, but under the guise of service delivery protests the country is already witnessing a rebellion of the poor (Patel, 2011: 1).* The assertion made by Patel has very serious implications for the stability of local government. Burger (2009: 1) argues that although service delivery protests in South Africa are just symptoms of socio-political instability, it would be fair to conclude that if this situation is allowed to continue over a prolonged period, it has the potential to spread and develop into a fully-fledged revolt (Burger, 2009: 1).

It can be deduced from the discussions that South Africa has a legislative framework to regulate public participation in the local sphere of government, but citizens still consider themselves excluded from the local government processes. As Heller (2008: 168) stated:

*“When poor people do not participate, it is not because they don't have the skills or the determination, but because the obstacles to participation are too high”.*

Participation of residents in governance of municipalities is important for stability and economic growth. The spate of violent protest that has erupted in Gauteng's municipalities and especially in the metropolitan municipalities is a risk that should be mitigated through dialogue, public participation, effective and efficient delivery of minimum basic services – especially in areas where they are needed like in the urban informal settlements.

### **5.9. Role of performance monitoring and evaluation [PME] in metropolitan municipalities**

South Africa has shown progress in performance monitoring and evaluation [PME] systems. As discussed in chapter 2, South Africa has adopted a Government Wide Monitoring and Evaluation [GWM&E] system as a policy framework for the implementation of performance monitoring and evaluation [PME]. Unlike other countries that were examined in chapter 4, the South African PME system is not centralised – instead the system is decentralised from national, provincial and local spheres of government [i.e. municipality]. The framework identifies three data domains:

- programme performance information;
- social, economic and demographic statistical data; and
- evaluation.

The South African Treasury [Ministry of Finance] is the lead institution for PME since 2007 after issuing the policy Framework for Programme Performance Information [FPPI]. The GWM&E has placed emphasis on monitoring, which to a considerable extent is seen as a pre-condition for effective evaluation. The current study will place more focus on IE [Impact evaluation]. The GWM&E framework emphasises the development of performance indicators which capture the underlying programme logic of a government agency's activities; hence the framework is making it compulsory for public agencies and institutions to explicitly lay out the theory underlying their interventions. In other words, a municipality is expected to have a PME system which must explain its theoretical and practical approaches including its intervention strategy.

The Department of Performance Monitoring, Evaluation [DPME]'s objective is to improve performance, and in the process reflect on the results government is achieving, against what it had set out to achieve, and why deviations are occurring, or unexpected results occurring [*the essence of PME*] – operationalise IE [Impact Evaluation] into government. Moreover, the DPME produced a document titled “National Evaluation Policy Framework” [NEPF]. The Minister of DPME in his preamble of the NEPF stated the following, about NEPF:

- to set out the basis for a government-wide evaluation system to be applied across the public sector, but initially focusing on our priority areas;
- to provide a marked step-up in performance of the public sector; and
- to contribute to the establishment of a culture of continuous improvement.

The main objective of the NEPF is to improve the effectiveness and impact of government, by reflecting on its positive results and revising its programmes and policies accordingly. The other more practical use of NEPF according to the DPME, is to provide a common terminology and minimum standards, and promotes the utilisation of evaluation findings to improve performance. NEPF targets the public sector, evaluators outside the public sector, and training institutions which must ensure that people have the requisite skills and competences in this regard (NEPF, 2011: iii).

In essence, the NEPF focuses on evaluation of public policies, sector and cross-sectoral plans, programmes and projects of government. According to the framework there are essentially six specific types of evaluations, which take place at different stages – prior to an evaluation, during implementation, and after implementation. They are diagnosis; synthesis; design; evaluation; implementation evaluation; and impact evaluation. In legal terms and by law, the *Constitution of 1996, the Public Finance Management Act, 1 of 1999, the Public Service Act, 103 of 1994 and the Municipal Finance Management Act, 2003 (MFMA)* provide a legal basis for the executive to manage the performance of public policies, programmes and institutions efficiently.

According to the NEPF (2011: 23), a national evaluation agenda with a three year and annual national evaluation plan should have been developed by DPME starting with 2012/13, including large, strategic and innovative programmes and policies suggested by departments. Furthermore, offices of the Premiers' in the nine Provinces were also required to draw up evaluation plans in Provinces. The need for plans, as outlined in the NEPF (2011: 23) is to inform the evaluation community inside and outside of government including departments. This agenda set, must then lay broad parameters that would be implemented via the annual evaluation plan. The evaluation plan will specify from a national, provincial and municipal perspective what needs to be done. As argued in the NEPF (2011: 23) departments and other public institutions including municipalities, have a responsibility to incorporate evaluation into their management functions as a way to continuously improve their performance. They need to:

- ensure there is an evaluation *budget* in all programmes and a *plan* over 3-5 years for which evaluations will be undertaken, and the form of evaluation;
- national Treasury needs to ensure that there are additional budgets to support evaluation, e.g. In Offices of the Premier and DPME;

- ensure there are *specific structures* within the organisation entrusted with the evaluation role, and with the required skills. This could be a PME Unit, a research unit, or a policy unit; and
- ensure that the results of evaluations are used to *inform planning and budget decisions*, as well as general decision-making processes. Thus the results of evaluations must be discussed in management forums and used to guide decision-making.

### **5.9.1 National evaluation policy framework and involvement of the donor community**

There is extensive involvement and a role played by local and international donor agencies and organisations in South Africa – especially their roles as they relate to socio-economic development agenda in the national, provincial and local spheres of government. For this reason, the South African government developed a PME system which is globally competitive. The development of national policy frameworks [National Evaluation Policy Framework – NEPF of 2011] in South Africa, the PME system vis-à-vis donor funding environment has been enhanced. For instance, the South African government, through its newly created Department of Performance Monitoring and Evaluation [DPME] designed systems to make sure that it takes responsibility for performance monitoring evaluating of donor funds – in essence the South African governments’ PME policies and processes pay attention to long standing concerns of donors and aid partners regarding the assurance that allocated funds have been used appropriately and for intended purposes (NEPF, 2011: 24).

The South African government has eliminated the previous need of having to often institute a donor funder’s own parallel systems [which is prevalent in most African countries and other developed countries], which put a major strain on governments capacity. The intention by the South African government is that their evaluation framework [National Evaluation Policy Framework] must also be used by donors working with government partners, to build on and strengthen their existing programme planning and evaluations processes – and not have a parallel process. The 2011 South African National Evaluation Policy Framework (NEPF, 2011: 25)

has now incorporated the Paris Declaration and Accra Agenda for Action to commit partners to the fundamental principles for making aid more effective.

- ownership: developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption;
- alignment: donor countries align behind these objectives and use local systems;
- harmonisation: donor countries coordinate, simplify procedures and share information to avoid duplication;
- delivering results: developing countries and donors shift focus to development results and results get measured. Aid is focused on real and measurable impact on development;
- mutual accountability: donors and partners are accountable for development results; and
- capacity development - to build the ability of countries to manage their own future. Inclusive partnerships - all partners - including donors in the OECD Development Assistance Committee and developing countries, as well as other donors, foundations and civil society - participate fully.

The incorporation of the *Paris Declaration and Accra Agenda for Action* is an indication that South Africa is committed to accountability and transparency in its government. This commitment also indicate willingness from the South African government to continue in strengthening the African peer review mechanism adopted by the African Union – on how member states conduct their governance processes – transparency and openness. This factor is important for effective and efficient PME.

### 5.9.2. The character of the South African PME system

The situation in Africa is somewhat disappointing as it was discussed in Chapter 4. An International Monetary Fund [IMF] report by Ul Haque & Aziz (1999: 85) found that there is a severe shortage of the local human capacity needed to design, manage, and implement public programmes and this is widely recognised as a key constraint to improved governance in Sub-Saharan Africa. Africa is also lagging behind in terms of evaluation or other sophisticated skills needed for good governance (Mackay, 2006: 6). Hence, for a country like South Africa which is advancing a developmental agenda, there is no shortcut. It has to ensure that government programmes are properly planned, monitored and evaluated - especially at the receiving end of delivery, which are the municipalities in the South African environment.

The South African PME system has some characteristics similar to those of the selected examples and experiences from other countries discussed in chapter 4. Because of its late introduction of PME systems, South Africa has an added advantage to learn from various international experiences as they pertain to PME - especially from developing countries like those in Latin America, which exhibit some of the similarities with South Africa when considering inequalities, population densities in urban areas and the overall economic outlook.

Chapter 3 has extensively discussed the principles and essence of PME. In this chapter, the debate will be on the contribution of PME as a tool for reform in metropolitan municipalities to assist in dealing with problems encountered by the local sphere of government. It will not be necessary to repeat the debate on the principles and essence of PME - the critical factor is to evaluate the issues raised in previous chapters which directly connect to municipalities. They are:

- results based PME;
- impact evaluations [IE];

- PME as a tool for good governance in the public sector [i.e. metropolitan municipalities];  
and
- accountable local government.

To provide evidence of progress against developmental mandates, long-term strategies and promised outcomes, government in all spheres [i.e. a municipality] have to institutionalise performance monitoring and evaluation systems [PME] that will provide credible, continuous information on the progress and deviation in attaining development outcomes (Rabie, 2011: 2) – in essence conduct an Impact Evaluation [IE].

An important aspect that needs examination is the issue of continuous impact evaluation, which is considered to be one avenue for improving the performance of a government. In terms of various aspects and variables from quality, quantity and the targeting of the goods and services which a state produces - evaluation specialists argue that performance monitoring and evaluation [PME] has a strong advocacy dimension, they imply that PME systems have intrinsic merit (Mackay, 2006: 6). Kusek and Rist (2004: 16) warn that without measured evidence of the outcomes, one cannot know for sure whether the policy, programme or project is indeed producing the envisioned outcomes and associated goals. The argument advanced is that *results-based monitoring and evaluation is a powerful public management tool that can be used to assist policy-makers and decision-makers track progress and demonstrate the impact of a given project, programme, or policy.*

There are benefits of performance monitoring and evaluation [PME] for research, policy development and implementation in the public sector. Davies (2008: 3) argues that evidence-based policy assists government to make well informed decisions about policies, programmes and projects by putting the best available evidence from research at the heart of policy development and implementation. It is argued that evidence-based policy accurately determines not only what works, *but what works at what cost and with what outcomes* (Segone

2008: 34-35). Moreover, evidence-based management identifies the interventions that are successful in satisfying client needs and attaining policy goals (Boaz & Nutley 2003: 226).

There are two critical anticipated outcomes of the study, firstly is to use Impact Evaluation [IE] to assess and measure the impact of government programmes. Secondly, to make recommendations that will be used by government in the local sphere to address higher-level issues and ultimately, to integrate programme effectiveness information into decision-making processes - in particular expenditure management, resource allocation decisions and tracking of project implementation in a metropolitan municipality. The issue of capacity building for instance needs even more attention in South Africa and in particular within the local sphere of government in a municipal as extensively discussed in the previous sections of the chapter. It has been indicated in this section that PME has a critical role to play in a municipality and for the purpose of this study, a metropolitan municipality.

## 5.10. Conclusion

The chapter illustrated that an interdisciplinary study of governance and public management in the local government sphere requires a contextual understanding of the evolution, origins of cities and how they were spatially planned – which is a task that must source knowledge from various disciplines and domains of studies like Geography, History and Urban Management. This proves that the discipline and domain of Public Administration is an eclectic science. A discussion and debate on the local sphere of government before [1800 – 1994] and after [1994 to 2014] was necessary to trace origins, give context and outline the process towards establishment of metropolitan municipalities.

The discussion and debate produced a critical argument: that the scientific study of performance monitoring and evaluation [PME] in the three main urban centres [the three metropolitan municipalities in Gauteng Province of Ekurhuleni; Johannesburg and Tshwane] is justified based on empirical evidence and trends [in the South African context]. This suggests that the main economic and social activities of Gauteng Province take place in the major urban centres identified and that is where most of the Gauteng population lives [see: 5.1. Contextual overview: Population of metropolitan municipalities in Gauteng Province, South Africa].

A brief explanation of the constitutional obligations of a metropolitan municipality were outlined – including the important issue of boundary demarcations and associated complexities which led to the current debate about the reconfiguration of the boundaries in the City of Tshwane. The reconfiguration is the first step towards the envisaged Global City Region in Gauteng – as proposed by GPG [Gauteng Provincial Government]. The discussion in the corpus of the chapter focused on the important issue of the state of local government. The issue of lack of capacity, in particular among municipalities, has been elaborated on and explored. What remains is to establish whether a quantitative empirical study of performance monitoring and evaluation [PME] will assist in providing recommendations and solutions [Chapter 6].

The critical discussions that pertain to *public participation, UIS and service delivery protests* were discussed; including a discussion on the state of local government. These debates opened

an opportunity for further extrapolations and emphasis that were already made in the previous chapters [1, 2, 3 and 4] about the astute value of performance monitoring and evaluation [PME] as a reform programme and a tool for metropolitan municipalities. The challenges identified in this chapter were not referring to regulations or the legislative framework. Instead, it was argued that *political problems* and other activities by those elected to the public office [Public representatives and appointed as officials] to be the stewards of delivery of effective and efficient services to the public - are sometimes failing in their task. Perhaps this is because no one is enforcing performance monitoring and evaluations [PME] to the levels where it becomes synonymous with good governance.

South Africa is facing challenges concerning PME. The issue of capacity building, as an example, needs even more attention in South Africa and in particular within the local sphere of government. There is a shortage of requisite skills, specifically in a municipality, which is required to improve efficiency and ensure effective service delivery. As argued, the lack of skills results in poor delivery of basic services and this contributes to protest action, which becomes violent.

Political parties need to make a critical assessment of their practices, especially in a developing democracy similar to the South African political terrain. Parties in the South African government need to devise means of professionalising themselves. This noble action can only be achieved by bringing integrity and ethics to the forefront, for the benefit of state institutions and citizens. Performance monitoring and evaluation [PME] is no panacea, nor is it an end in itself. It is one important step to assist public managers to improve public programmes and to be accountable to elected officials and citizens – it is also instrumental in the exercise of good governance.

## CHAPTER 6: EMPIRICAL QUANTITATIVE STUDY AND ANALYSIS OF RESULTS

### 6.1. Introduction

The five foregoing chapters focused on the qualitative component of the study. There is a need to investigate the practical considerations in institutionalising performance monitoring and evaluation [PME] processes in municipalities. This can only be done if a quantitative empirical research study is conducted. The quantitative study will assist in the process of bridging the gap between theory and practice, which is critical for the success of research.

South Africa has initiated a performance monitoring and evaluation [PME] reform agenda in its government institutions and organs of state, more so in the local sphere of government – a relevant and related legislative framework has been discussed. From the discussions, in the preceding five chapters [1, 2, 3, 4 and 5] - there is a clear and unambiguous need to conduct a practical interdisciplinary study of governance and public management with special focus on performance monitoring and evaluation in municipalities. The quantitative study's intention is to provide answers to the problem statement and research questions.

In essence, the purpose of chapter 6 is to put the methodology outlined in chapter 1 into practice and report on results of the empirical quantitative study conducted. The first section of the chapter will focus on the logic and validity of methodology that is used. An explanation of the two types of questionnaire that were distributed as part of the data collection methods approved by the University and the Department of Human Settlements in Gauteng, will also be provided. Results will then be analysed, processed and discussed.

A profile of residents living in Gauteng's urban informal settlements [UIS] that are not formalised and are 20 years or older, will be created to give context before any comparisons are done in the study. To a large extent, results will be compared with the South African government's own assessment report on the achievement of the United Nations eight Millennium Development Goals [MDGs]; existing research data from relevant sources, to check

consistency and alignment from what was previously found. This will be followed by a set of recommendations on how to institutionalise a PME system in metropolitan municipalities' informal settlements and respond to objectives of the study.

## 6.2. Methodology

Sample surveys were preferred in the method. The purpose of a sample survey is to collect standardised information from a carefully selected sample of respondents. This type of survey is carried out by means of a *structured* questionnaire or observation guide. For purposes of the current study, a structured questionnaire is used. Moreover, sample surveys are appropriate when the research design requires comparable information about a relatively large number of subjects – which is the situation in informal settlements.

In essence, information may be used to compare different groups at a given point in time, to estimate changes over time, to compare actual conditions with the goals established in the project design, or to describe conditions in a particular community or group. Unless all data are collected in a sufficiently uniform and precise way, it will be impossible to make meaningful comparisons between groups or between points in time (Valadez & Bamberger, 1994: 214-5).

Sample surveys similar to those that have been used in the study are often used in experimental or quasi-experimental designs, in which the same information must be collected from a sample of project participants and a control group at two or more points in time to estimate changes in a set of indicators of project impacts. For this kind of analysis, the survey instrument must satisfy a number of conditions. Firstly, the concepts to be measured must be clearly defined. Secondly, the indicators must be valid measures of the concepts being studied (Valadez & Bamberger, 1994: 214-5). In the current study, a similar approach described by the authors as outlined in the preceding paragraphs above was followed to collect data, as follows:

- Three city managers or their representatives [one per metropolitan municipality – three in total] were each sent a questionnaire *[via email]* and given time to complete it independently. All questionnaires were returned.
- 14 community members from each metropolitan municipality identified in informal settlements were randomly selected and surveyed using a *one-on-one interview* method. In total 392 community members – [14 per municipality] - were interviewed and surveyed.
- In each informal settlement field workers and the researcher were sometimes accompanied by a public representative [ward councillor], but he/she never participated in the one-on-one interview process – that was independent and it only involved the field workers, the researcher and participants.

#### **6.2.1. Cluster sampling - processing of community [i.e. urban informal settlements] survey results**

For the purpose of the current empirical study in the community survey which is conducted in informal settlements, a *cluster sampling technique* has been selected. This is a sampling technique where the population is divided into groups, or clusters and a random sample of these clusters are selected. All observations and determinations in the selected clusters are then included in the sample. In the study, populations are divided into groups which include UIS that are not formalised and those that are 20 years and older. A random sample of the required sample is then selected from each metropolitan municipality.

Cluster sampling is typically used when the researcher cannot get a complete list of the members of a population he or she wishes to study but can get a complete list of groups or 'clusters' of the population. In the case of UIS, information on the population is not readily available as a result of in-and-out migration. Cluster sampling is also used when a random sample would produce a list of subjects so widely scattered that surveying them would prove to

be far too expensive, which might be the case when considering all the 397 UIS in Gauteng Province's metropolitan municipalities.

In this study, a two-stage cluster sampling will be used, where a case of multistage sampling is obtained by selecting cluster samples in the first stage and then selecting sample of elements from every sampled cluster as described by Pfeffermann & Rao (2009: 1). A population of  $N$  clusters in total will be considered from UIS selected. In the first stage,  $n$  clusters will be selected using ordinary cluster sampling method. In the second stage, simple random sampling will be used – when selecting specific UIS. The method will be used separately in every cluster and the numbers of elements selected from different clusters will not necessarily be equal. The total number of clusters  $N$ , number of clusters selected  $n$ , and numbers of elements from selected clusters will be pre-determined. The two-stage cluster sampling has been chosen to minimise survey costs and at the same time control the uncertainty related to estimates of interest (Ahmed, 2009: 1).

## 6.2.2. Advantages and disadvantages of cluster sampling method

**Table 6.2.2 Advantages and disadvantages of cluster sampling method**

Advantages	Disadvantages
[i] It is cheap, quick, and easy. Instead of sampling the entire population when using simple random sampling, the research can instead <i>allocate resources to the few randomly selected clusters</i> when using cluster sampling.	[i] It is the least representative of the population out of all the types of probability samples. It is common for individuals within a cluster to have similar characteristics, so when a researcher uses cluster sampling, there is a chance that he or she could have an <i>overrepresented or underrepresented cluster in terms of certain characteristics</i> . This can skew the results of the study.
[ii] The researcher can have a <i>larger sample size</i> than if he or she was using simple random sampling. Because the researcher will only have to take the sample from a number of clusters, he or she can select more subjects since they are more accessible.	[ii] It can have a <i>high sampling error</i> . This is caused by the limited clusters included in the sample, which leaves a significant proportion of the population un-sampled.

## 6.2.3. Sample determination for the study

In the first stage, 397 urban informal settlements were considered as presented in Table 6.2.3.1. The City of Johannesburg represents the largest population of informal settlements in metropolitan municipalities in Gauteng Province. It is followed by Ekurhuleni, then the City of Tshwane. The number was then reduced to 191 [see: Table 6.2.3.2] after selecting urban informal settlements that were 20 years or older. Informal settlements that are 20 years or older were selected mainly because they have all the attributes of what defines an UIS [i.e. as

provided in the definition by HDA] and more importantly; the 20 year period coincided with the advent of democracy in South Africa 1994-2014 [i.e. limitation of the study].

A further selection was made to determine UIS that have been formalised from the ones that are still to be formalised so that the researcher can determine the extent of lack of provision of services [see: Table 6.2.3.3]. This brought the number to 72 – which is also the sampling frame [see: Table 6.2.3.4.]. After a determination of the sample frame [see: 6.2.4. & Table 6.2.4.], it was necessary to calculate the *representativeness of the sample size*. Sample size is important because of the scientific requirement to be *precise and accurate*. A good estimate of the margin of error [or confidence interval] was then determined using a formulae -  $1/\sqrt{N}$ , where  $N$  is the number of participants or sample size.

The *rule of thumb* [is a principle with broad application that is not intended to be strictly accurate or reliable for every situation] in this instance determines: ‘the more precise you need the estimate, the more people you need’. This was followed by a representative calculation for the empirical study and the two-stage cluster sampling, which allows the researcher to generalise the findings to the wider population.

An equal-probability method was then used, thus each participant in the survey has an equal chance of being selected. Because systematic sample units are uniformly distributed over the population which is the case in point with regard to UIS; this means that any person can be selected.

**Table 6.2.3.1. UIS found in the three metropolitan municipalities**

<b>Name of metropolitan municipality</b>	<b>Number of IS per municipality</b>	<b>Percentage [%] to Total of IS per municipality</b>
Ekurhuleni	119	119/397 = 30%
Johannesburg	180	180/397 = 45%
Tshwane	98	98/397 = 25%
<b>Total</b>	<b>397</b>	<b>100%</b>

**Table 6.2.3.2. Number of UIS that are 20 years or older in each metropolitan municipality**

Name of metropolitan municipality	Number of UIS that are 20 years and older as per 6.2. above	Percentage [%] to Total of IS that are 20 years and older
Ekurhuleni	17	17/119 = 14% [20 years >]
Johannesburg	105	105/180 = 58% [20 years >]
Tshwane	69	69/98 = 70% [20 years >]
<b>Total</b>	<b>191</b>	

**Table 6.2.3.3. Formalised UIS that are 20 years and older in each metropolitan municipality**

Name of metropolitan municipality	Number of UIS that are 20 years and above as per 6.3.	Number of UIS formalised since establishment [20 years and >]	Percentage [%] to Total formalised IS which are 20 years and older
Ekurhuleni	17	<b>16 [but are not 20 years or older] = 0</b>	17/17 = 100%
Johannesburg	105	79	79/105 = 75%
Tshwane	69	40	40/69 = 56%
<b>Total</b>	<b>191</b>	<b>119</b>	

**Table 6.2.3.4. UIS that are 20 years and older which have not been formalised per municipality**

Name of metropolitan municipality	Number of UIS that are 20 years and older as per 6.3.	Number of UIS formalised since establishment [20 years and >].	Number of UIS not formalised since establishment [20 years and >].	Percentage [%] to Total
Ekurhuleni	17	0	17	17/17 = 100%
Johannesburg	105	79	105 – 79 = 26	26/105 = 25%
Tshwane	69	40	69 – 40 = 29	29/69 = 42%
<b>Total</b>	<b>191</b>	<b>119</b>	<b>72</b>	

#### 6.2.4. The sample frame

Total number of informal settlements NOT formalised is used in the cluster sampling method – sample frame. A total of 72 urban informal settlements which are 20 years and older [i.e. 1990 – 2014] are considered for the purpose of the empirical research – this is the sample frame. A representative sample frame is determined as follows:

**Table 6.2.4. Determination of the sample frame**

Name of metropolitan municipality	Number of UIS NOT formalised since establishment [20 years and >].	Percentage [%] to Total of IS not formalised since establishment [20 years and >].
Ekurhuleni	17	17/72 = 24%
Johannesburg	26	26/72 = 36%
Tshwane	29	29/72 = 40%
<b>Total</b>	<b>72</b>	<b>100%</b>

The two most important considerations made in this empirical study are *representativeness and sample size*. A representative sample means framing the *correct* people in the population to be investigated (Sauro, 2010: 1). It is less concerned with the right sample size than with the right target. In this study the right targets are the people living in UIS in the three identified metropolitan municipalities. Moreover the specific targets are those who are found in IS that are not formalised and in particular IS that are 20 years or older. *Cluster sampling* has been selected as an appropriate method because it is impractical to compile an exhaustive list of the elements that make up the target population in UIS.

Considerable time will be dedicated on identifying, finding and asking the right people rather than on finding the right sample size. Respondents in the survey questionnaire which was administered in the three metropolitan municipalities came from the *correct* population groups and they were selected randomly. Researchers and authors have argued that randomness is less important than representativeness (Sauro, 2010: 1).

The current empirical study is referred to in statistical terminology as a *'single-shot survey'*. This means that no comparisons are being made [e.g. to prior surveys or benchmarks from a similar study] and sample size is about being *precise and accurate*. In order to have confidence that the survey results are representative, it is critical that a large number of randomly-selected participants in each group are surveyed. For a 95% confidence level [which means that there is only a 5% chance of the sample results differing from the true population average], a reliable estimate of the margin of error [or confidence interval] is given by  $1/\sqrt{N}$ , where  $N$  is the number of participants or sample size (Niles, 2006: 1). As indicated, the *rule of thumb* in this instance is: 'the more precise you need the estimate, the more people you need' (Sauro, 2010: 1). This means that the calculation should basically be a backwards confidence interval. Confidence intervals are made up of a confidence level [i.e. typically 95%] and a margin of error. The margin of error is how precise the sample needs to be.

### 6.3. Confidence interval and level

In practice, confidence intervals are typically stated at the 95% confidence level (Zar, 1984: 43-45). According to 'The Survey System' [<http://www.surveysystem.com/sscalc.htm>] a web-based research institution, the confidence interval which is also known as the margin of error, is the plus-or-minus figure usually reported in opinion poll results. When a confidence interval of 4 is used and 47% of sample picks an answer – then the researcher can be sure that the entire population between 43% [47-4] and 51% [47+4] would have picked that answer. The *confidence level* indicates how sure a researcher can be about the accuracy of information. It is expressed as a percentage and represents how often the true percentage of the population who would pick an answer lies within the confidence interval.

The 95% confidence level means that a researcher can be 95% certain. Similarly, a 96 - 99% confidence level means the researcher can be 96 - 99% certain. However, most researchers use the 95% confidence level. When putting the confidence level and the confidence interval together, a researcher can argue with certainty that 95% is the accurate percentage if the population is between 43% and 51%. The wider the confidence interval a researcher is willing to accept, the more certain a researcher can be, that the whole population answers would be within the 95% confidence level [<http://www.surveysystem.com/sscalc.htm>].

**Table 6.3. The margin of error for sample sizes ranging from 10 to 10000 [Adapted from Niles, 2006: 1]**

Sample Size ( <i>N</i> )	Margin of Error (fraction)	Margin of Error (percentage)
10	0.316	31.6
20	0.224	22.4
50	0.141	14.1
100	0.100	10.0
200	0.071	7.1
500	0.045	4.5
1000	0.032	3.2
2000	0.022	2.2
5000	0.014	1.4
10000	0.010	1.0

The above table [Table 6.3] indicates that the larger the sample, the lower the margin of error percentage achieved. In this study, a similar formula [ $1/\sqrt{N}$ , where  $N$  is the number of participants or sample size] will be used to determine how many UIS and participants represent the lowest margin of error [i.e. 5%] with a high confidence level [i.e. 95%].

The mathematics of probability proves the size of the population is irrelevant unless the size of the sample exceeds a few percent of the total population that a researcher is examining. This means that a sample of 500 people is equally useful in examining the opinions of a state of 15 000 000 as it would a city of 1 000 00. For this reason, the survey system ignores the population size when it is "large" or unknown. Population size is only likely to be a factor when working with a relatively small and known group of people [e.g. the members of an association]. In this empirical study the target group consists of a large group of people and they are unknown.

### 6.3.1. Representative calculation for the empirical study and the two-stage cluster sampling

According to Fox, Hunn & Mathers (2009: 4) sampling and sample size are crucial issues in quantitative research, which makes statistically based generalisations from the study results to the wider areas of study. For a study to be generalised, it is essential that the sampling method used and the sample size are appropriate - such that the results are representative, and that the statistics can discern associations or differences within the results of a study. The findings of a study apply to situations other than that of the cases in the study. For a study to have scientific rigour its results must be generalised. Moreover, it is the representativeness of a sample which allows the researcher to generalise the findings to the wider population. If a study has an unrepresentative or biased sample, then it may still have internal validity and reliability, but it will not be generalisable [will not possess *external* validity]. Consequently the results of the study will be applicable only to the group under study (Fox, Hunn & Mathers, 2009: 5).

The formula used is  $1/\sqrt{N}$ , where  $N$  is the number of participants or sample size, there are 72 identified UIS in the three metropolitan municipalities.

$\sqrt{v} = 0.050$  [5% - lowest margin of error] and  $N = 72$

$$\begin{aligned} \text{Therefore} \quad &= 1/\sqrt{72} \\ &= 1/0.050 \times 72 \\ &= \underline{\underline{27.7 \text{ rounded off to } 28}} \end{aligned}$$

For the study to have a margin of error or confidence interval of 5%, a sample of 28 UIS will be an almost accurate sample size to have an appropriate representativeness in the empirical study. The 28 UIS will be apportioned based on how many or which percentage in each municipality represent the number of IS that are NOT formalised [see: Table 6.3.1].

In Zikmund (2000: 518) selected tables for determining sample sizes for various reliabilities are presented. Table 17.11 [*Selected tables for determining sample size when the characteristic of*

interest is a proportion – parameter in population assumed to be over 70% or under 30% and for 95% Confidence level]. For instance if the sample size is between 1 000 00 and 5 000 00 for a 5% reliability - the sample size is 321.

This means that 336 questionnaires [i.e. sample size –  $28 \times 12 = 336$ ] will be required to have a 95% confidence interval and 12 people [i.e. sampling unit] will have to be surveyed [ $321/28 = 11.46$ ] to get a 5% margin of error. Using the norm referred to: ‘the more precise the estimate, the more participants are needed’ – two more participants were added per UIS to get to 14. The sample size then changed to 392 [ $392/28 = 14$ ]. This means that the representativeness and confidence level in the sample size were increased. The increases allow the researcher to generalise the findings to the wider population in other UIS, which means that the findings from the study will be generalisable, considered as reliable and have *external validity*.

**Table 6.3.1. Apportionment based on representative formula**

Name of metropolitan municipality	Number of UIS formalised since establishment [20 years and >].	UIS NOT since establishment [20 years and >].	Percentage [%] to Total of UIS not formalised since establishment [20 years and >].	Apportionment based on representative formula: $1/\sqrt{N} = 28$
Ekurhuleni	17		$17/72 = 24\%$	$28 \times 24\% = 7$
Johannesburg	26		$26/72 = 36\%$	$28 \times 36\% = 10$
Tshwane	29		$29/72 = 40\%$	$28 \times 40\% = 11$
<b>Total</b>	<b>72</b>		<b>100%</b>	<b>28</b>

After determining representativeness of the sample size; it is important to then conclude the other part of the two-stage cluster sampling method. The *first stage* has been concluded by calculating how many UIS will be used in each of the three clusters [i.e. informal settlements in each of the three metropolitan municipalities], which is 28. The *second stage* has to do with the determination of which individuals should be surveyed in each cluster of the sample. A method

called *systematic sampling* has been selected to determine or outline criteria for the second stage of the cluster sample.

Systematic sampling is a statistical method involving the selection of elements from an ordered sampling frame, similar to what has been determined in Table 6.3.1 above [*i.e. Apportionment based on representative formula:  $1/\sqrt{N} = 28$* ]. Ekurhuleni was apportioned 7 UIS; Johannesburg with 10 and Tshwane had 11. The most common form of systematic sampling is an equal-probability method. Using this procedure each element in the population has a known and equal probability of selection – in 6.3.1 above, each metropolitan municipality has a sample frame percentage determined [*i.e. Ekurhuleni – 24%; Johannesburg – 36% and Tshwane – 40%*]. This makes systematic sampling functionally similar to simple random sampling. It is however, more efficient if variance within systematic sample is more than variance of population – which is the case in the current study.

Systematic sampling is to be applied only if the given population is logically homogeneous in terms of services they receive from the municipality [it can be argued that population in UIS [IS] are logically homogenous in the provision of basic services by their respective municipalities]. This is because systematic sample units are uniformly distributed over the population. It will be ensured in the empirical study that the selected sampling interval does not hide a pattern, because a pattern would threaten randomness.

### **6.3.2. Questionnaires used**

Two sets of questionnaires were compiled separately with guidance from the supervisor, approved by the University and the Department of Human Settlement in Gauteng Province. Firstly, a questionnaire was sent to the three city managers or their representatives [one per metropolitan municipality – three in total] titled: *'Survey questionnaire: For Government Representative – (City Manager, his or her representative)' - [Annexure A]*. Secondly, a survey questionnaire was administered to 28 selected Informal Settlements [IS] – this was determined using a formula titled: *'Survey questionnaire: For community members in informal settlements' [Annexure B]*. The 14 community members/participants/respondents in each IS were selected [*by systematic random sampling method*] from the following categories:

- Males [Youth, 35> and not more than 55 yrs, Elderly 60>]
- Female [Youth, 35> and not more than 55 yrs, Elderly 60>]
- People living with disabilities [any kind of disability as defined in the South African Constitution]
- Africans, Whites, Coloured and Indians.

The following UIS were randomly selected based on the above criteria in the cluster sampling units [i.e. 14 people in each sampling unit]:

- a. City of Ekurhuleni [7 Informal settlements; which is 24% of 28]:
  - i. Daggafontein, Springs - Daggafontein X 5
  - ii. Hlahane, Germiston in Katlehong
  - iii. L & J Informal Settlement, Gilliamead A H
  - iv. Madelakufa 2 [Isekelo], Kempton Park, Tembisa
  - v. Tamaho Informal [Mandela Park Open Mine], Alberton in Nadustria X 1
  - vi. Winnie Mandela [Tembisa]
  - vii. Delport 'Rasta'
  
- b. City of Johannesburg [10 Informal settlements; 36% of 28]:
  - i. Eskom Servitude in Ivory Park - Eskom/8516 - Ward 79;
  - ii. Goniwe in Ivory Park - Ward 77;
  - iii. Ivory Park - Zone 1, Erf 10864/Ivory Park Ext 9/IP – Ward 77;
  - iv. Mabena - Erf 6311/Ext 8/Ivory Park – Ward 78;
  - v. K60 - 2329 Rabie Ridge Ext 4 – Ward 80;
  - vi. Leratong Transit Area in Soweto - Erf 10 Leratong Village – Ward 127;
  - vii. Chris Hani (Chicken Farm) – Soweto, Various portions 298 IQ – Ward 19;
  - viii. Motsoaledi – Soweto 137/319-IQ Diepkloof – Ward 24;
  - ix. Alex tributaries – Alexander, Numerous Alexandra Extensions – Ward 75;

- x. Iphutheng School – Alexander, 2484 Alexandra Ext 36 – Ward 76.
  - c. City of Tshwane [11 Informal settlements; 40% of 28]:
    - i. Brazzaville - Atteridgeville West – Ward 48
    - ii. Jeffsville, Atteridgeville West – Ward 48
    - iii. Vergenoeg, Atteridgeville West – Ward 48
    - iv. Siyahlalala, Atteridgeville West – Ward 48
    - v. AD Section Matlejoane, Atteridgeville West – Ward 48
    - vi. Concern and Phomolong, Atteridgeville West – Ward 48
    - vii. Lochner (Mooiplaas), behind Ladium - Ward 70 Centurion
    - viii. Soshanguve IA
    - ix. Soshanguve MM Informal
    - x. Itireleng informal settlement [Ladium – ward 51]
    - xi. Phase 1 informal settlement [Mamelodi East – ward 93]

#### **6.4. Results - 'Survey questionnaire: For Government Representative – (City Manager, his or her representative)' - [Annexure A]**

The results from the study will be meaningless if it is not compared with previous findings that are similar or comparable. Statistics South Africa [SSA] and the Department of Human Settlement, through its agency the Housing Development Agency [HDA] release extensive performance data on informal settlements in South Africa annually. However, other scientific, credible and relevant sources of similar empirical data will also be used for comparisons, which are directly related to the current empirical study. For the purpose of this research, the results of the current empirical study will be largely compared to SSA and HDA empirical data sources to make sense of the results and check consistency.

Both SSA and HDA empirical data sources already indicate that informal settlements tend to be concentrated in key municipalities [key municipalities include metropolitan municipalities]. Across the country, the top six district municipalities in terms of numbers of households living in informal settlements account for almost 60% of all households living in UIS. The top five municipalities alone account for 51% of Informal Settlements in the country (HDA, 2013: 20); they are:

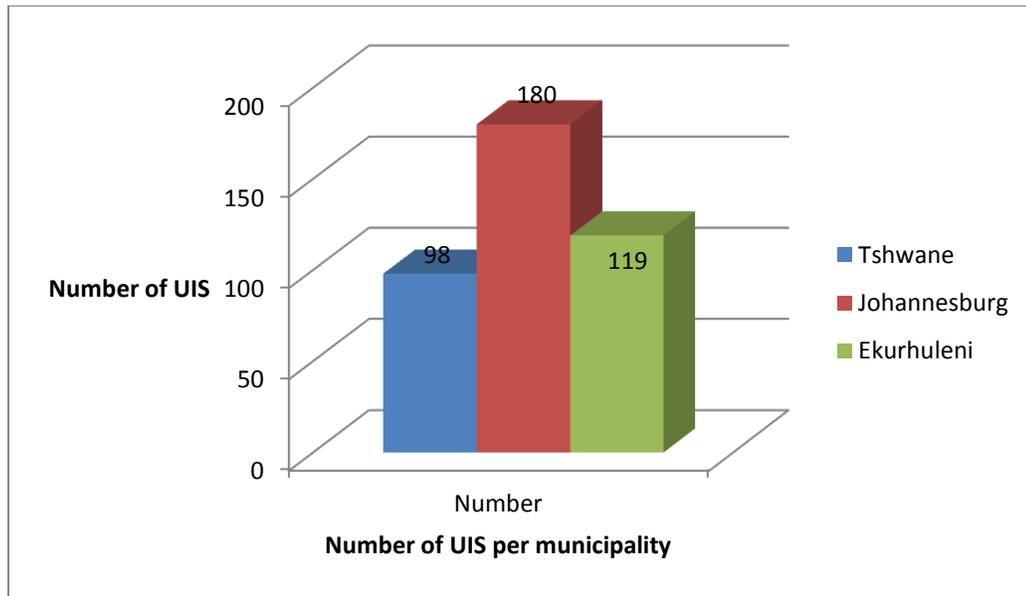
- City of Cape Town
- *Ekurhuleni*
- *City of Johannesburg*
- *City of Tshwane*
- eThekweni

This means that empirical data from the three identified municipalities of Ekurhuleni, Johannesburg and Tshwane are a representative sample for Gauteng and significant when considering their impact in the South African context. This is consistent with earlier arguments advanced in the introduction part of Chapter 5. This strengthens the argument that the study results can be generalised. The graphs from 6.4.1.1 – 6.4.1.15 represent answers based on the questionnaire – that was the logic followed.

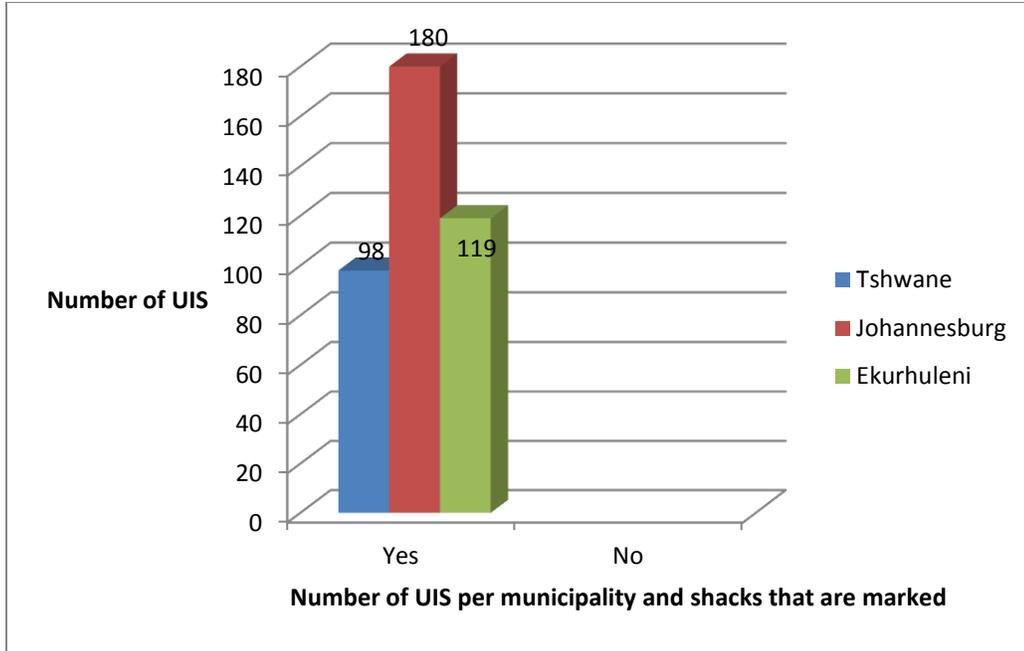
**6.4.1.1. Summary of results from each City Manager in the three identified metropolitan municipalities**

**Graph 6.4.1 – Number of urban informal settlements in each municipality and shacks that are marked**

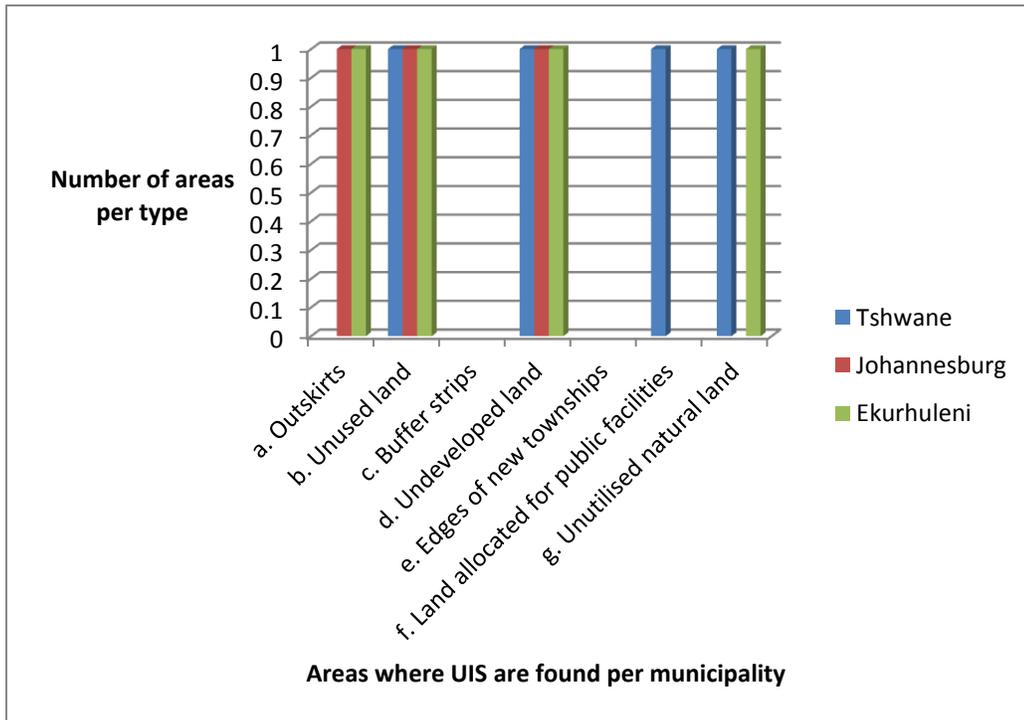
Number of Informal Settlements per municipality?	Tshwane	98
	Johannesburg	180
	Ekurhuleni	119
<b>TOTAL</b>		<b>397</b>



<b>Graph Heading</b>	<b>Item</b>	<b>Yes</b>	<b>No</b>
Number of Shacks marked?	Tshwane	98	
	Johannesburg	180	
	Ekurhuleni	119	
<b>TOTAL</b>		<b>397</b>	



**Graph 6.4.2. – Where are the shacks found or located?**



### **Graph 6.4.3. – Municipal provision of electricity**

<b>Graph Heading</b>	<b>Item</b>	<b>Yes</b>	<b>No</b>	<b>Comments</b>
Provision of Electricity	Tshwane	1		Rudimentary and prepaid
	Johannesburg	1		Not all have electricity – mainly prepaid
	Ekurhuleni		1	No electricity to individual houses, high masts

### **Graph 6.4.4. – Municipal provision of water**

<b>Graph Heading</b>	<b>Item</b>	<b>Yes</b>	<b>No</b>
Provide water sources	Tshwane [Jojo Tanks - 200m radius]	1	
	Johannesburg [City provides standpipe water system]	1	
	Ekurhuleni [Water pipe is shared 200m radius]	1	

### **Graph 6.4.5. – Municipal provision of sanitation**

<b>Graph Heading</b>	<b>Item</b>	<b>Yes</b>	<b>No</b>
Sanitation	Tshwane [Chemical toilets cleared 3 x per week]	1	
	Johannesburg [Communal toilet]	1	
	Ekurhuleni [Ablutions are shared, 1 toilet per 10 families]	1	

**Graph 6.4.6. – Municipal collection/removal of waste**

Graph Heading	Item	Yes	No	Comments
Waste collection/removal	Tshwane [Plastic bags in skip bin emptied 1 x per week]	1		Plastic bags in skip bin emptied 1 x per week
	Johannesburg [1 x per week]	1		1 x per week
	Ekurhuleni [1 x per week]	1		1 x per week

**Graph 6.4.7. – Municipality's formalisation plan**

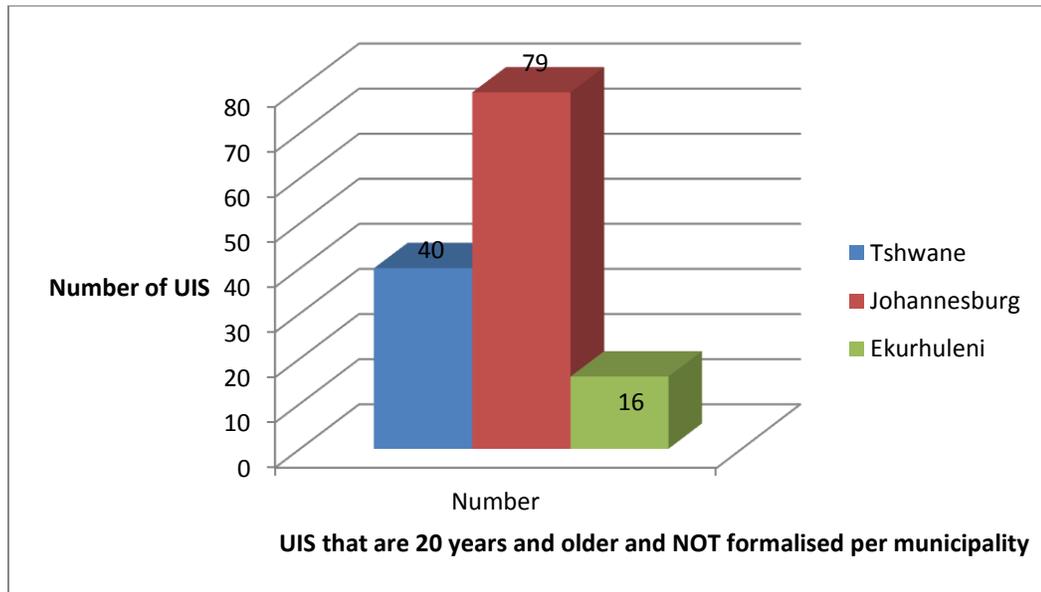
Formalisation plan for informal settlements	Tshwane	Serviced stands and allocate. Service points temporary structures while waiting for houses to be built
	Johannesburg	Formalised on developable land and regularized
	Ekurhuleni	80 of 119 to be relocated. 39 to be developed in situ on private land. On council land EIA and township establishment studies

**Graph 6.4.8. – Municipality's budget for informal settlements**

Graph Heading	Item	<R50m	R500m	>R900m	Comments
Budget for formalisation	Tshwane [800m+ USDG]			1	Over R800m on the USDG
	Johannesburg [24m+]	1			R24m+ as per built Environmental Plan
	Ekurhuleni [900m+ for services]			1	R200m+ for informal settlements for interim services. Annual budget for houses +-R900m

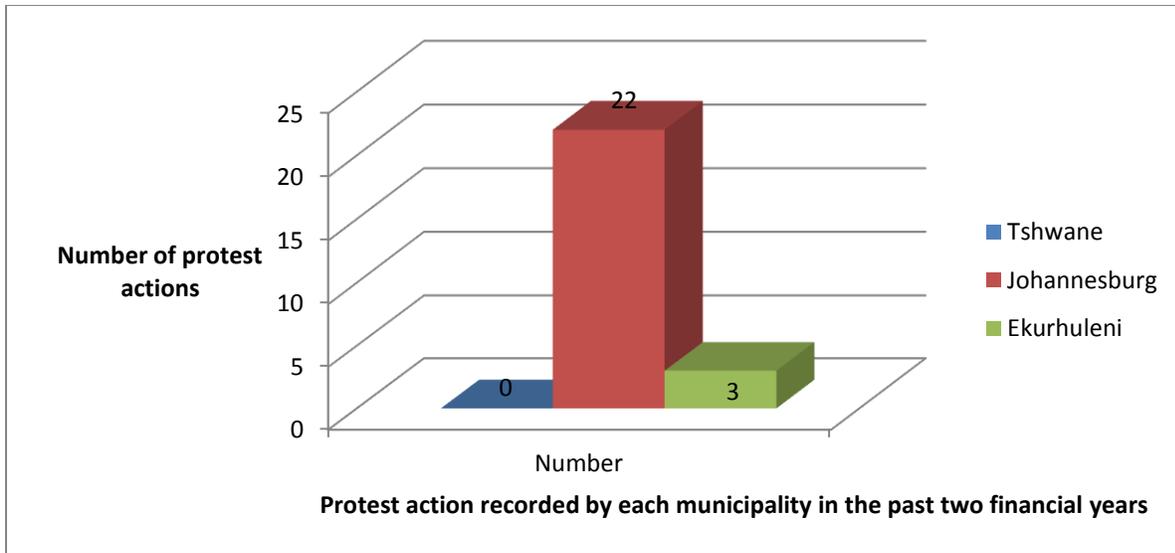
**Graph 6.4.9. – Informal settlements formalised to date**

Graph Heading	Item	Number
Number of informal settlements formalised to date?	Tshwane	40
	Johannesburg	79
	Ekurhuleni not 20 years/older	16
<b>TOTAL</b>		<b>135</b>



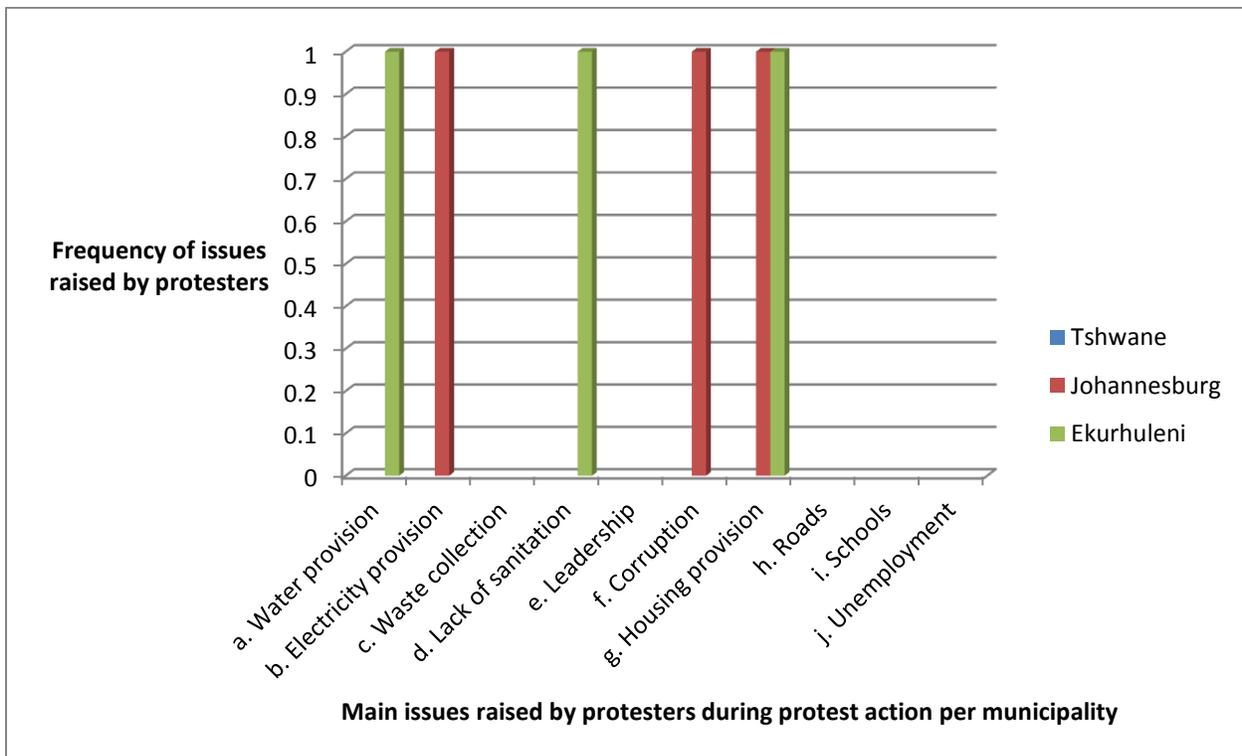
**Graph 6.4.10. – Number of service delivery protests experienced by the municipality in the past two financial years**

Graph Heading	Item	Number
Number of service delivery protests in past two financial years?	Tshwane	0
	Johannesburg	22
	Ekurhuleni	3
<b>TOTAL</b>		<b>25</b>



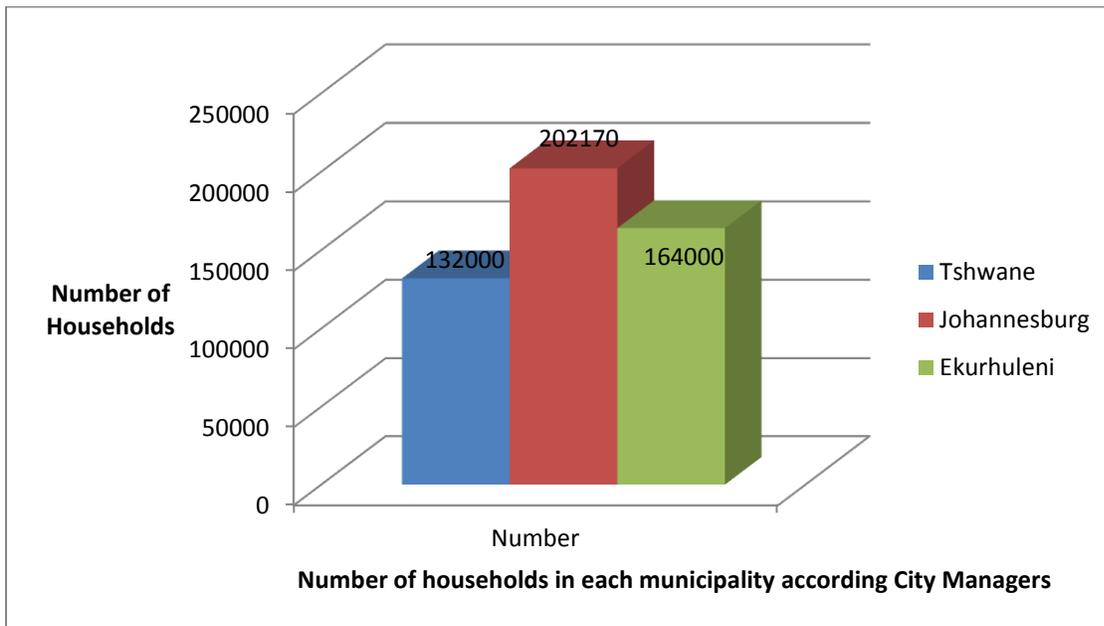
Response from the City Manager of Tshwane cannot be correct, Figure 5.8. [c] in chapter 5, indicate that the City of Tshwane has the second highest number of protest action after Johannesburg in Gauteng Province.

**Graph 6.4.11. – Main issues / complains raised by protesters**



**Graph 6.4.12. – Municipality’s estimated population per household in informal settlements**

Graph Heading	Item	Number
Estimated population [ <i>per household</i> ] in your informal settlements?	Tshwane	132000
	Johannesburg	202170
	Ekurhuleni	164000
<b>TOTAL</b>		<b>498170</b>

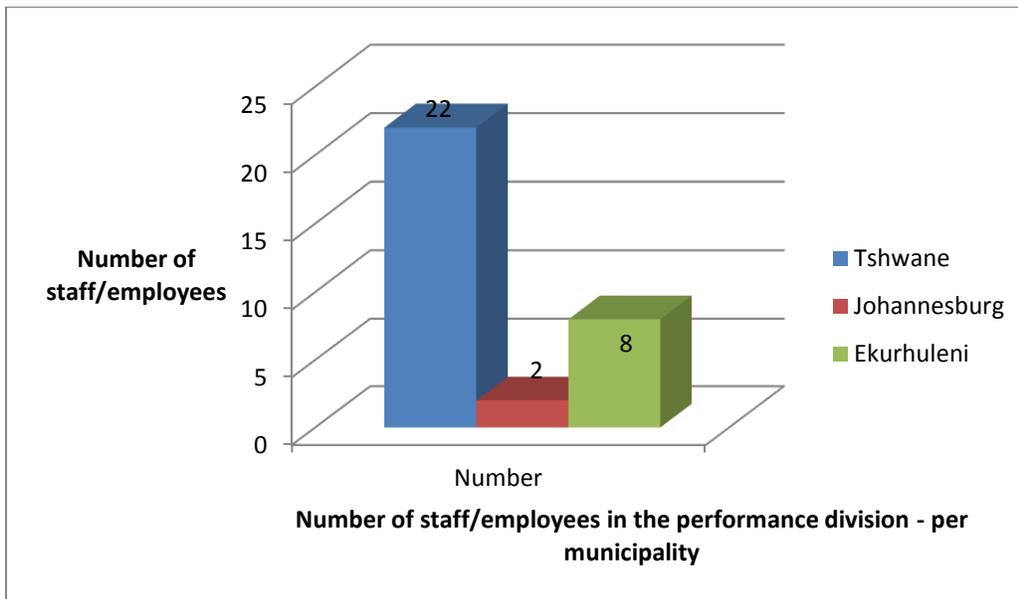


**Graph 6.4.13. – Municipality’s enterprise-wide performance monitoring and evaluation division/ office**

Graph Heading	Item	Yes	No
Do you have an Enterprise-wide performance monitoring and evaluation division/ office?	Tshwane	1	
	Johannesburg	1	
	Ekurhuleni	1	

**Graph 6.4.14. – Number of people working in the municipality’s performance division**

Graph Heading	Item	Number
How many people work in your performance division/ can you provide the structure	Tshwane	22
	Johannesburg	2
	Ekurhuleni	8
	<b>TOTAL</b>	<b>32</b>



**Graph 6.4.15. – Frequency at which the municipality conducts performance monitoring and evaluation**

Graph Heading	Item	Number
How many times in a year, do you conduct performance monitoring and evaluation?	Tshwane	4
	Johannesburg	4
	Ekurhuleni	4

## **Analysis of City Managers' feedback**

Information and feedback from the three metropolitan municipalities [question 1 - 15] indicate that there are 397 UIS with the highest number in Johannesburg [45%], Ekurhuleni [30%] and then Tshwane has the least number [25%]. If Statistics South Africa [SSA]'s data on population sizes as indicated in Chapter 5 [5.1. Population size] is considered and compared. The total number of UIS in Ekurhuleni mirrors its own total population size in terms of representation in the Province, which is 30% Gauteng's enumerated population. According to city managers in all the three metropolitan municipalities; all shacks have been marked. Information on 'shack marking' will be verified with the survey outcomes in the empirical study in informal settlements in section 6.5.

In all of the three municipalities, UIS are in the main found/located in the following areas:

- Undeveloped land;
- Unused land;
- Outskirts [Johannesburg and Ekurhuleni];
- Land allocated for public facilities [Tshwane]; and
- Unutilised natural land [Tshwane and Ekurhuleni].

This finding is consistent with the arguments as presented in Chapter 5 [5.7 – UIS in metropolitan municipalities] substantiated by Huchzermeyer (2009:62). According to the city managers' of Tshwane and Johannesburg – their cities provide electricity in the form of prepaid meters [i.e. pay as you use system]. In Ekurhuleni the municipality doesn't provide electricity except high mast lights in the informal settlements. All three municipalities provide water [Tshwane – Jojo tanks and taps that are located 200m from the stand; Johannesburg – Standpipes and Ekurhuleni provides communal taps that are 200m radius from where people reside].

In Tshwane, the municipality provides chemical toilets for sanitation in UIS and they are cleared three times a week. In Johannesburg and Ekurhuleni the municipalities provide communal toilets and shared ablution facilities [one for every ten families] respectively. Waste

collection/removal is done once a week in municipalities. In Tshwane the municipality provides plastic bags and a skip bin - which are emptied once a week.

Formalisation plans for UIS differ from one municipality to another in Gauteng metropolitan municipalities. In Tshwane, the municipality plans to provide residents with serviced stands and allocate them per family. They also provide 'service points temporary structures' while people are waiting for houses to be built. The City of Johannesburg intends to formalise UIS on developable land and regularise them; while in Ekurhuleni – the city has a plan to relocate 80 of 119 UIS. The Ekurhuleni municipality has a programme to develop 39 of its UIS in situ on private land; on council land after Environmental Impacts Assessments [EIA] and finalise township establishments.

Budgets for formalisation of UIS differ in all identified metropolitan municipalities in Gauteng. Ekurhuleni has the largest amount allocated in the budget for services totalling more than R900 million, followed by Tshwane which has R800 million in its Urban Space Development Grant [USDG]. The lowest budget is in the City of Johannesburg, which is R24 million. So far, the City of Johannesburg is leading in terms of formalisation programme in UIS; they have 79, Tshwane 40 and last is Ekurhuleni metropolitan municipality at 16 formalised areas.

According to the city managers' responses, Johannesburg has the highest number of the so called service delivery protests, followed by Ekurhuleni and there are no reported service delivery protests in Tshwane. It can be confirmed that the Tshwane information is incorrect, because Figure 5.8.2 [c] '*Gauteng protest action by district municipality [Adapted from Karamoko & Jain, 2011: 25]*' shows a 20% protest action in Tshwane between 2007-2011. The main issues raised during protests have to do with housing provision; electricity; water; sanitation and corruption.

The highest total population of households in UIS is in Johannesburg [202170]; followed by Ekurhuleni [164000]. Tshwane [132000] has the smallest population group in terms of households among the metropolitan municipalities. The total number of households in Gauteng is 498170 as recorded by the three city managers in the three municipalities. From 2001,

population per household has been on the increase in UIS that are located in the three metropolitan municipalities of Gauteng, as outlined in Tables 6.4.1 [a and b] below.

**Table 6.4.1. [a] People living in Informal settlements in Gauteng Province in 2001 [Source: Census 2001 - Statistic South Africa]**

Metropolitan municipality in Gauteng Province	People living in informal settlements in 2001 [per household]	Total population [per household]	Percentage [%] calculated against total population
City of Ekurhuleni	144 733	744 479	19, 4%
City of Johannesburg	75 255	1 006 742	7, 4%
City of Tshwane	50 548	561 772	8, 9%
<b>TOTALS</b>	<b>270 536</b>	<b>2 312 993</b>	<b>11, 6%</b>

**Table 6.4.1. [b] ESTIMATION [own calculation]: People living in Informal settlements in Gauteng Province in 2007 [Source: Community Survey 2007 - Statistic South Africa]**

Metropolitan municipality in Gauteng Province	People living in informal settlements in 2007 [per household]	Total population [per household]	Percentage [%] calculated against total population
City of Ekurhuleni	162535 [2001 households 144 733 + 12, 3% growth = 162535]	849 349 [849 349 - 744 479 = 104870. 12, 3% growth]	19, 1%
City of Johannesburg	85490 [2001 households 75 255 + 13, 6% growth = 85490]	1 165 014 [1 165 014 - 1 006 742 = 158272. 13, 6%]	7, 3%
City of Tshwane	59697 [2001 households 50 548 + 18, 1% growth = 59697]	686 640 [686 640 - 561 772 = 124868. 18, 1%]	8, 7%
<b>TOTALS</b>	<b>307 772</b> <b>[37263 = 12% growth]</b>	<b>2 701003</b> <b>[388010 = 14, 3% growth]</b>	<b>11, 3%</b>

Tables 6.4.1. [a] and [b] show that the number of people moving into UIS in the three Gauteng metropolitan municipalities is increasing each year. Statistics South Africa [SSA] Census 2011 reports that the population per household in 2011 grew even more, a figure just above the estimation of 388010 [see: 6.4.1.(b)] to 376014 – a variance of 11996 [3%]. Observation made, is that SSA Census 2011 has different figures from what the cities provide in the current survey questionnaires. SSA Census 2011 reports that Gauteng’s informal settlements in metropolitan municipalities have the following population groups per household:

**Table 6.4.2. Households according to SSA Census 2011 compared to information provided by city managers**

<b>Municipality</b>	<b>Households according to SSA Census 2011</b>	<b>Households according to City Managers</b>	<b>Difference in estimation</b>
Ekurhuleni	138 099	164000	25901
Johannesburg	125 748	202170	76422
Tshwane	112 167	132000	19833
<b>Gauteng TOTAL</b>	<b>376014</b>	<b>498170</b>	<b>122156 [25%]</b>

City managers’ reports have higher numbers which does not undermine the current scientific/statistics figures as determined by SSA. This means that they will not provide insufficient funds in the budget when allocations [i.e. based on the DoRA Act] for upgrading of UIS are done. Estimates based on the General Household Survey [GHS] from 2002 to 2009 indicate that the number of households who live in informal settlements has grown, although this may well reflect changes to the sampling frame rather than underlying dynamics – meaning

that estimates from the city managers might be correct (HDA, 2012: 24). However, there is a downside to the argument. If the problem is overestimated that can create a wrong impression that less is done to reduce informal settlements in Gauteng. This is because the SSA Census 2011 report, indicates that the influx of people into UIS is reaching equilibrium and the figures are starting to indicate a stabilisation pattern.

The three cities report that they each have Enterprise-wide performance monitoring and evaluation divisions/offices; with Tshwane [22] having the most staff members in its division followed by Ekurhuleni [eight] and then Johannesburg [two]. All three cities conduct performance monitoring and evaluation quarterly [4 times a year] as recorded in their Service Delivery and Budget Implementation Plans [SDBIP]. The number of officials in the Enterprise-wide performance monitoring and evaluation divisions/offices of the three cities is significant, Tshwane officials complement represent 38% [22/58] in relation to the total population of UIS not formalised; Ekurhuleni 8% [8/98] and Johannesburg 2%.

Municipal IQ research on poverty levels in wards where protests take place shows that while communities in these areas are desperately poor and contain some of the highest unemployment rates in the country, they still have better access to local services than residents in the poorest municipalities in our rural areas and indeed than a national average. It is important to check consistency and reliability of information provided by city managers against responses provided by participants in the community survey conducted in informal settlements. The verification and comparisons will assist in ensuring and assessing the Impact Evaluation efficacy of the performance monitoring and evaluation of the identified metropolitan municipalities.

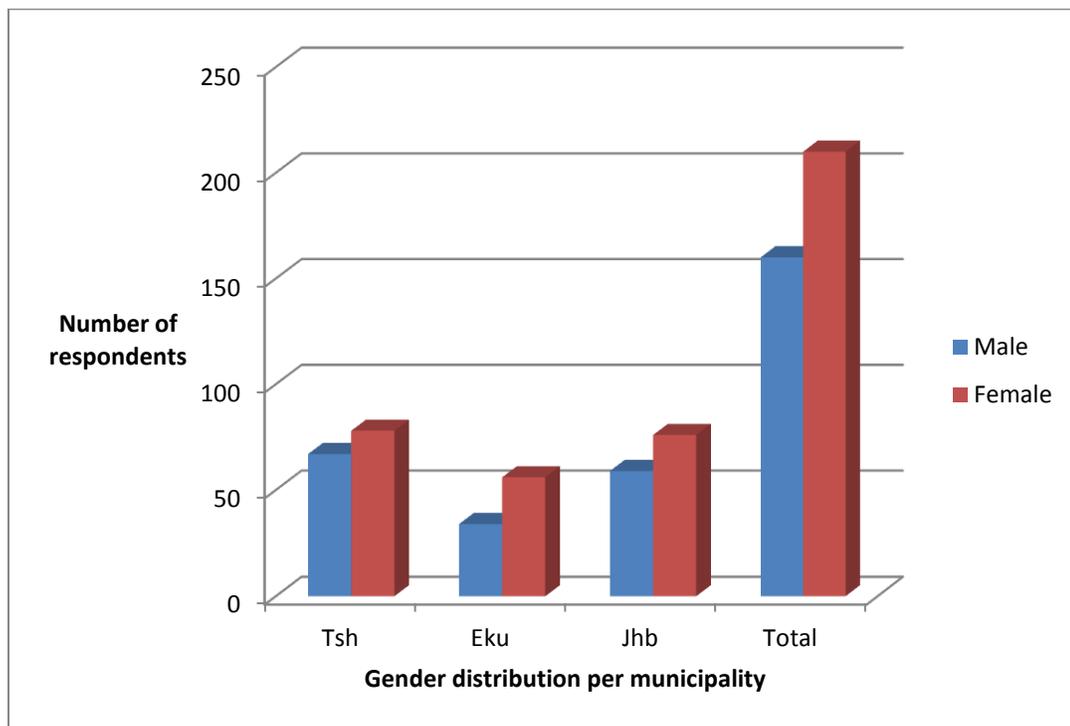
## 6.5. Results – ‘Survey questionnaire: For community members in informal settlements’ [Annexure B]

**Graph 6.5.1. Gender**

Graph heading	Description	Tsh	Eku	Jhb	Total
Gender	Male	67	34	59	160
	Female	78	56	76	210

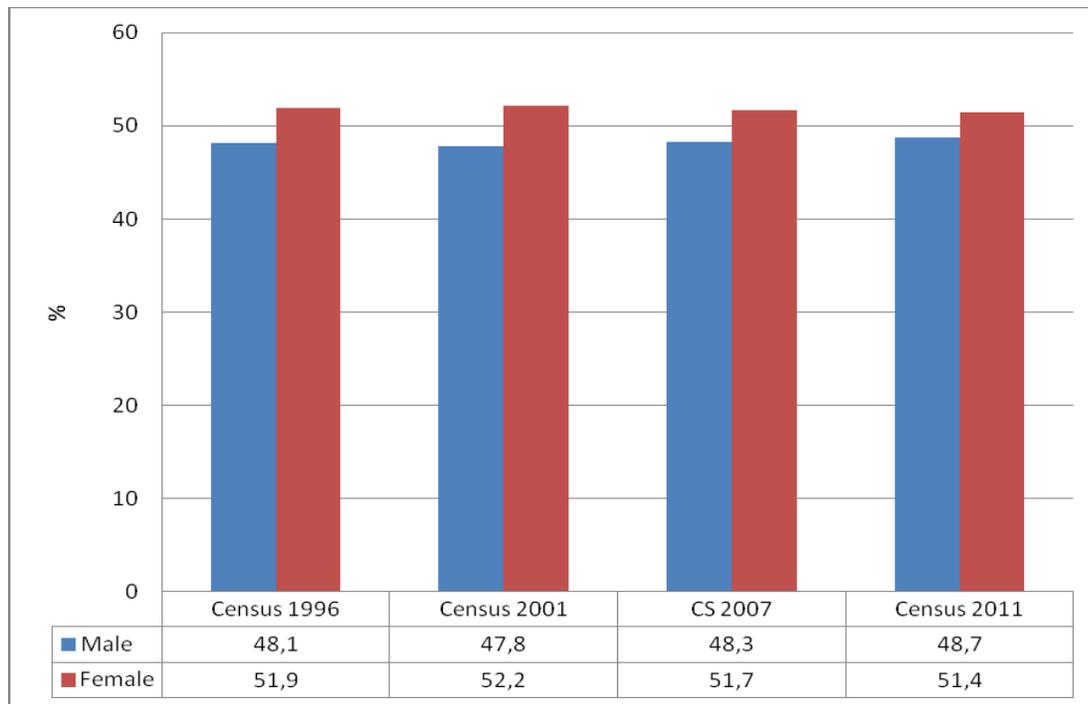
**N = 370**

**Non respondents = 22**



A total of 370 participants responded when asked about their gender. The distribution is 57% [210/370] females as compared to 43% [160/370] male respondents. According to Statistics South Africa’s Census 2011 report (2011: 18), empirical data suggest that the population is predominantly female. The population consists of 48.2% of male and 51.7% of female.

**Table 6.5.1. Percentage distribution of the population by sex, Censuses 1996, 2001 and 2011, and CS 2007 [Found in SSA Census 2011: 18]**



On average, South Africa has a sex ratio of 95 [95 males per 100 females]. With regard to age-specific sex ratios, the figure indicates high sex ratios of 100 to 101 at ages 0-9. In general, more males are born than females, hence, sex ratios above 100 are expected among younger age groups. Gauteng and North West Provinces has the highest sex ratios of over 100 in 2011. Another report by SSA on ‘Gender Statistics’ (2012: 4) indicate that seven-tenths [69,1% female and 70,0% male] of the urban population is in the age group 15–64 years. This is the age group which is used as the basis for calculations of labour force activity. According to the 2014 index mundi, South Africa has the following age structure and gender distribution:

0-14 years: 28.3% [male 6,859,518 / female 6,815,185]  
 15-24 years: 20.2% [male 4,914,394 / female 4,866,121]  
 25-54 years: 38.2% [male 9,543,746 / female 8,923,605]  
 55-64 years: 7.1% [male 1,470,282 / female 1,950,499]  
 65> years: 6.3% [male 1,205,657 / female 1,826,638]

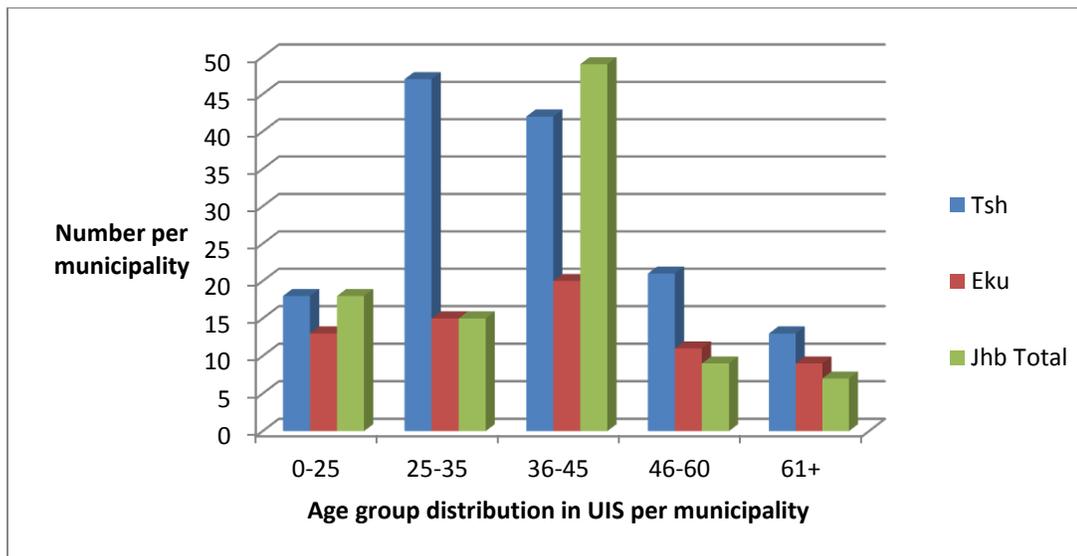
The ratio from the empirical study is not consistent with SSA Census 2011 findings and the 2014 index mundi. However, the time at which the survey questionnaires were administered in the UIS has to be taken into account. All questionnaires were administered between 10:00 am – 15:00 pm. This is the time of the day when employed people are not at home. SSA on ‘Gender Statistics’ has also revealed that unemployment rates for women are higher than those for men (SSA, 2012: 31). There is a possibility that more men were at work during 10:00 am – 15:00 pm when questionnaires were administered; which then qualifies the result of 57% female to 43% male participants in the empirical study. This is if the population in UIS mirrors the SSA Census 2011 findings.

**Graph 6.5.1.1. Age group**

Graph heading	Item	Tsh	Ekurhuleni	Jhb	Total
Age group	0-25	18	13	18	49
	25-35	47	15	15	77
	36-45	42	20	49	111
	46-60	21	11	9	41
	61+	13	9	7	29

**N = 307**

**Non respondents = 85**



The 2007 Community Survey indicates that 23% of households living in informal settlements comprise a single individual. This might reflect the preferences of younger, more mobile workers who seek accommodation near their workplaces - 50% of those in informal settlements who live on their own are under the age of 35. The 2009 GHS [General Household Survey] also proves that nearly one third of households living in informal settlements comprise single persons; within this segment over 50% are under the age of 35 (HDA, 2012: 35).

The 2013 statistics indicate that migration, presumably for economic reasons, has played a significant part in shaping the population distribution in the country. In urban areas 6% of those under the age of 35 have moved from a different Province since 2001 and a further 16% moved from within their current Province since 2001 [3% moved from outside South Africa]. In tribal or traditional areas 1% of those under the age of 35 have moved from a different Province since 2001 and a further 4% moved from within their current Province since 2001 [1% moved from outside South Africa]. There is a noticeable difference in the population pyramids in urban compared to rural areas as a result. Census 2001 indicates that nearly 41% of people living in informal settlements regard themselves as owners, with a slightly lower 37% who say they occupy the dwelling for free. There is no data to determine whether self-assessed ownership reflects formal status and if not, through what mechanisms the household has come to own the dwelling.

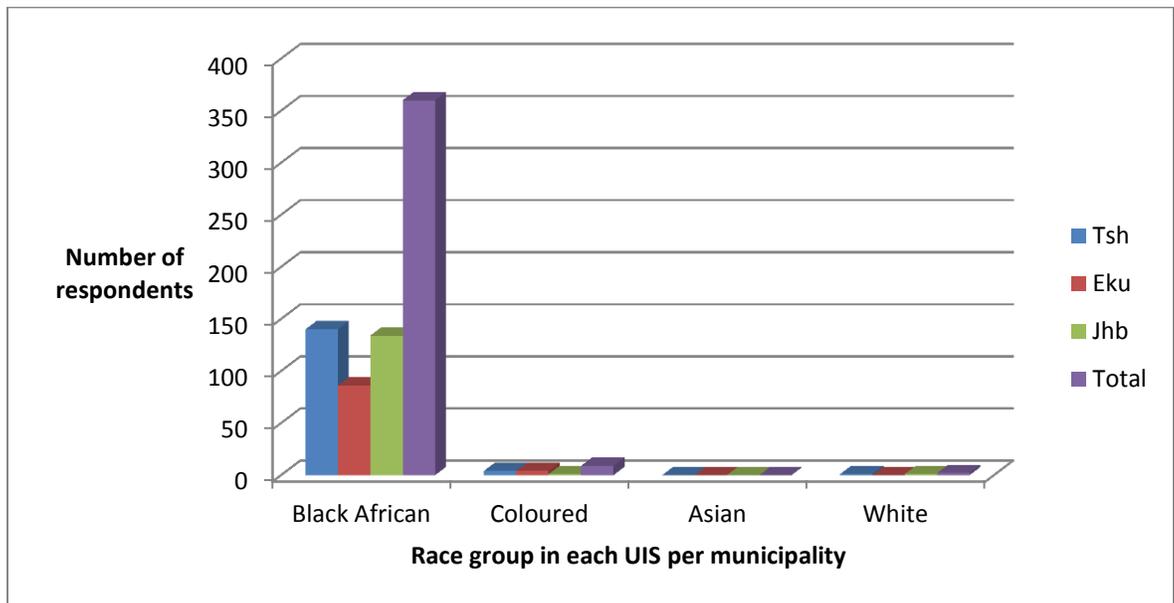
This result is also evident in the study based on the Table 6.4.2. It is clear from the graph that there are more people in UIS in the three metropolitan municipalities between the ages of 25-45, especially in cities of Tshwane and Johannesburg. This outcome points to evidence that suggests that there is in-migration into these cities. It also means that the finding of the study is consistent with other findings from other sources.

**Graph 6.5.1.2. Race group**

Graph Heading	Item	Tsh	Eku	Jhb	Total
Race group	Black African	140	86	134	360
	Coloured	4	4	1	9
	Asian	0	0	0	0
	White	1	0	1	2
	TOTAL	145	90	136	371

**N = 371**

**Non respondents = 21**



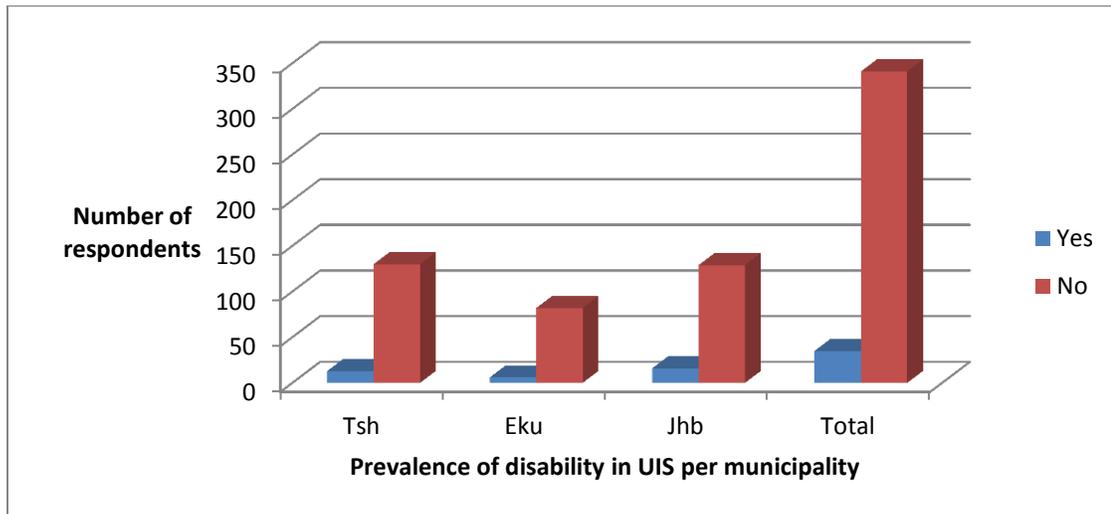
In terms of race, the study found that 99% of people in Johannesburg’s UIS who are 20 years and older are Black Africans and the same race constitutes 96% in both Ekurhuleni and Tshwane. This is based only on those who chose to answer the question on race group. The results of the current empirical study on average indicates a 97% Black African presence in Gauteng’s UIS. The other race groups in Gauteng’s UIS of the three metropolitan municipalities and that are 20 years and older; are Coloureds at 2,5% and Whites who represent 0,5% of the total population surveyed.

**Graph 6.5.2. Disability**

Graph heading	Item	Tsh	Eku	Jhb	Total
Do you have a Disability?	Yes	13	6	16	35
	No	130	82	129	341

**N = 376**

**Non respondents = 16**



In South Africa 7,5% of the enumerated population [2,870,130 people out of a total of 51 million +] lives with some form of disability. In the 2011 Census, people were asked if they had mild or severe difficulty in the six functional areas of seeing, hearing, communicating, walking, remembering and self-care. This information is based on figures codified by SSA Census 2011 report titled - 'Profile of persons with disabilities in South Africa' (2014: v).

Out of a total of 376 participants in informal settlements identified, who responded to the question of disability – 9,3% [35/376] indicated that they were living with a disability. The empirical study found that it might be possible that there are more people in urban informal settlements that are living with a disability [variance of 1.8% more than SSA Census 2011 finding of 7.5%].

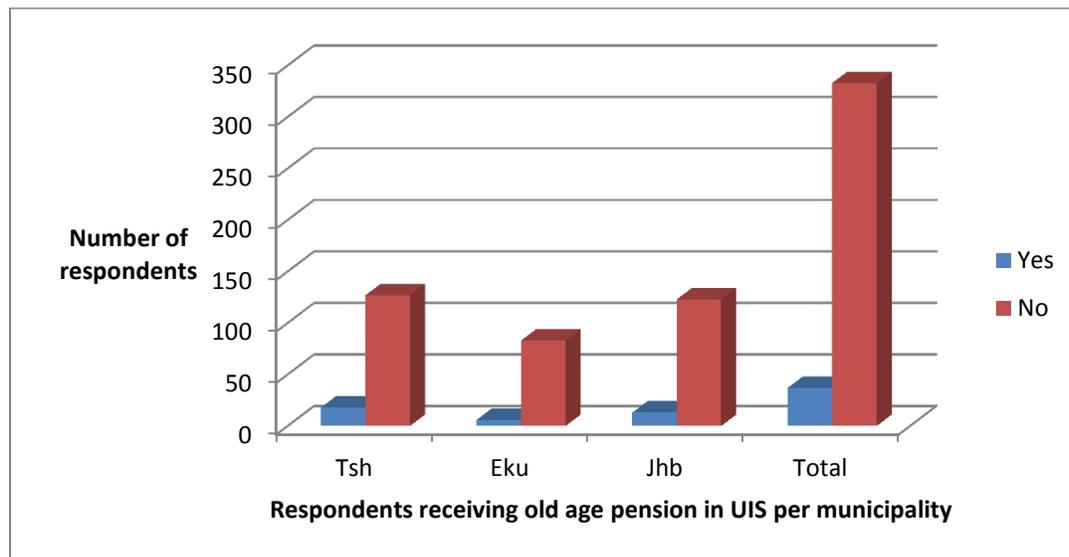
According to Disabled People of South Africa [DPSA] National spokesperson - Olwethu Siphuka, the prevalence of disability is almost double the number [14%] compared to the SSA figure of 7,5%. Disabled People of South Africa (DPSA) are disputing the figures released by Stats SA based on their membership figures as well as their door-to-door support efforts. However, SSA has argued that the figures detailing the number of people living with disabilities [7.5%] are dependent on whether or not people declared their disability in the SSA Census of 2011 (eNCA article - Bianca Bothma - 9 September 2014). The results of the empirical study are midway between what SSA Census 2011 has found and the figures released by DPSA. They can therefore be accepted as valid.

**Graph 6.5.2.1. Old age pension**

Graph heading	Item	Tsh	Ekurhuleni	Jhb	Total
Do you get old age pension?	Yes	18	6	13	37
	No	127	83	123	333

**N = 370**

**Non respondents = 22**



In Graph 6.5.2 above, 9.4% [29/307] of participants indicate that they are above the age of 60; which is an 'old age pension' age for most elderly South Africans. The empirical study results in Table 6.5.4 - which is 10% of people who receive old age pension. This is consistent with the age

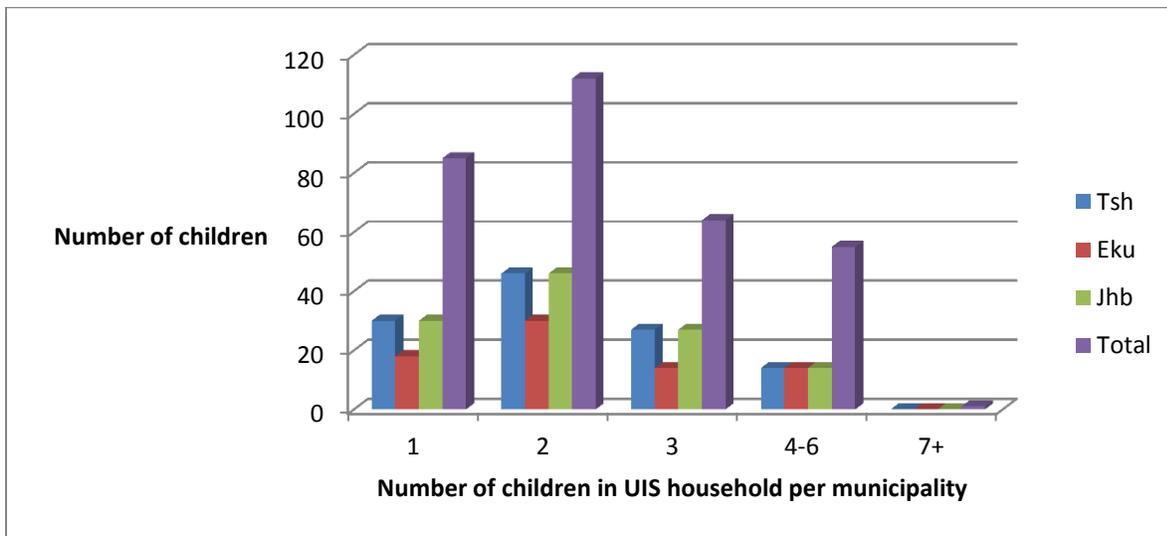
group found in Graph 6.5.2 – with a small variance of 0,6%. The majority of residents in UIS are not in the old age pension bracket, most of them are within the working age, which is also consistent with earlier findings of the study.

**Graph 6.5.2.2. Children**

Graph heading	Number	Tsh	Ekurhuleni	Jhb	Total
Do you have children?	1	37	18	30	85
	2	36	30	46	112
	3	23	14	27	64
	4-6	27	14	14	55
	7+	1	0	0	1

**N = 317**

**Non respondents = 75**



The results of the empirical study on number of children per household, indicate that there are more households with two children at 35% [112/317], followed by one child 27% [85/317], then three children 20% [64/317] respectively. The people with 4-6 children account for 17% [55/317] and the remaining figure of almost 1% goes to households with 7+ more children, which is insignificant in this context. This information is consistent with the 2007 Community Survey [CS] which reports that 53% of households in informal settlements have one or more

children. The results of the empirical study indicates that the number might have increased to 62% [i.e. combining 35%+27% = 62%].

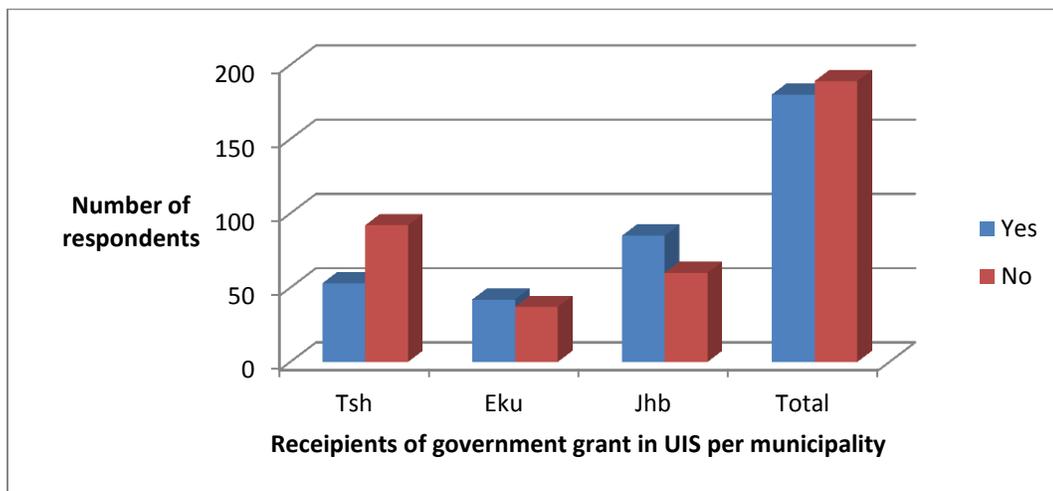
The General Household Survey [GHS] empirical data from 2004 to 2009 indicates that for households living in informal settlements, couple and single person households have grown the fastest. Average household size of informal settlements has steadily decreased from 3.1 in 2004 to 2.8 in 2009 – these figures are still close to the findings in the current study and are consistent. HDA (2012: 35) argues that many individuals living in informal settlements live apart from their families because they view their homes as temporary and poorly-suited to bringing up families - a sizeable proportion either do not share this view or face alternatives that are even worse.

**Graph 6.5.3. Government grant**

Graph heading	Response	Tsh	Ekurhuleni	Jhb	Total
Do you receive a government grant?	Yes	53	42	85	180
	No	92	37	60	189

N = 369

Non respondents = 23

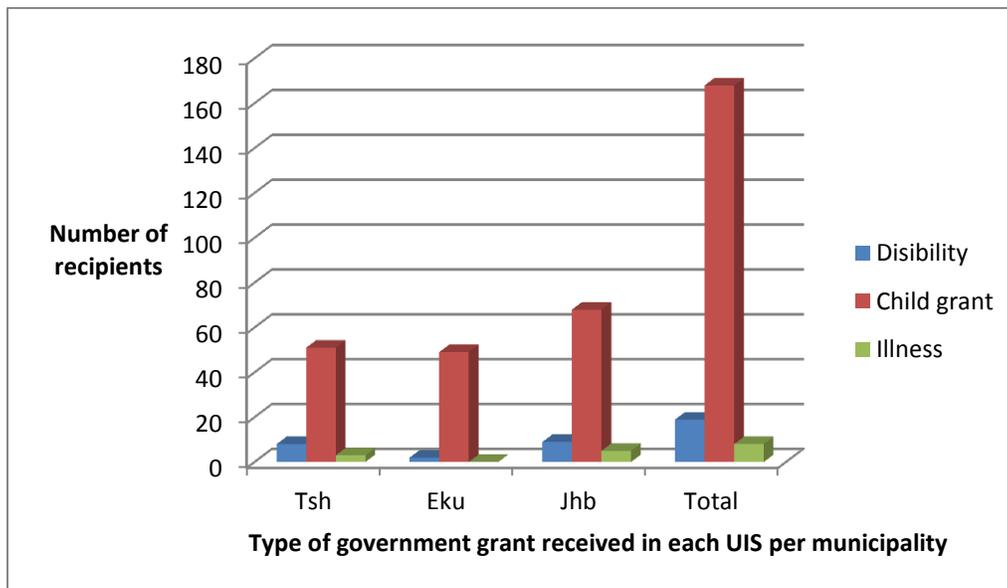


**Graph 6.5.3.1. Grant type**

Graph heading	Type	Tsh	Eku	Jhb	Total
Grant type	Disability	8	2	9	19
	Child grant	51	49	68	168
	Illness	3	0	5	8

**N = 195**

**Non respondents = 174**



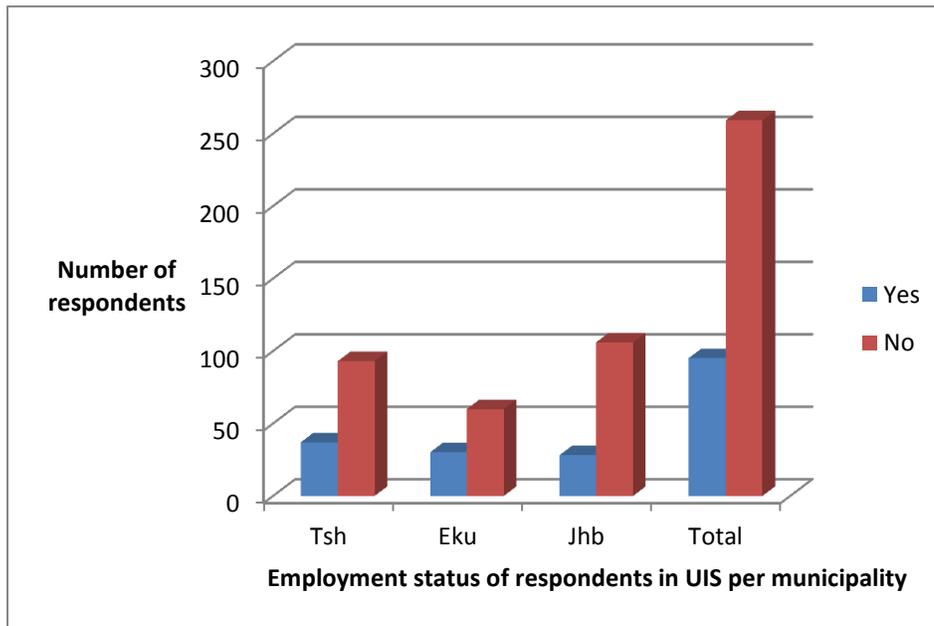
According to Statistics South Africa's latest General Household Survey [GHS] of 2012, the number of households receiving at least one social grant increased from 29,9% to 45,5% over the same period (SSA – GHS, 2012: 19). The current empirical study in formal settlements found that 48,7% [180/369] of participants receive grants. The results are consistent with the SSA's 2012 GHS, but with a variance of 3,2%; a growth that can be a result of other factors like in-migration. This is considering that the GHS was conducted in 2012 and the current empirical study was concluded in 2014.

**Graph 6.5.4. Employment**

Graph heading	Response	Tsh	Ekurhuleni	Jhb	Total
Are you employed?	Yes	37	30	28	95
	No	93	60	106	259

**N = 354**

**Non respondents = 48**



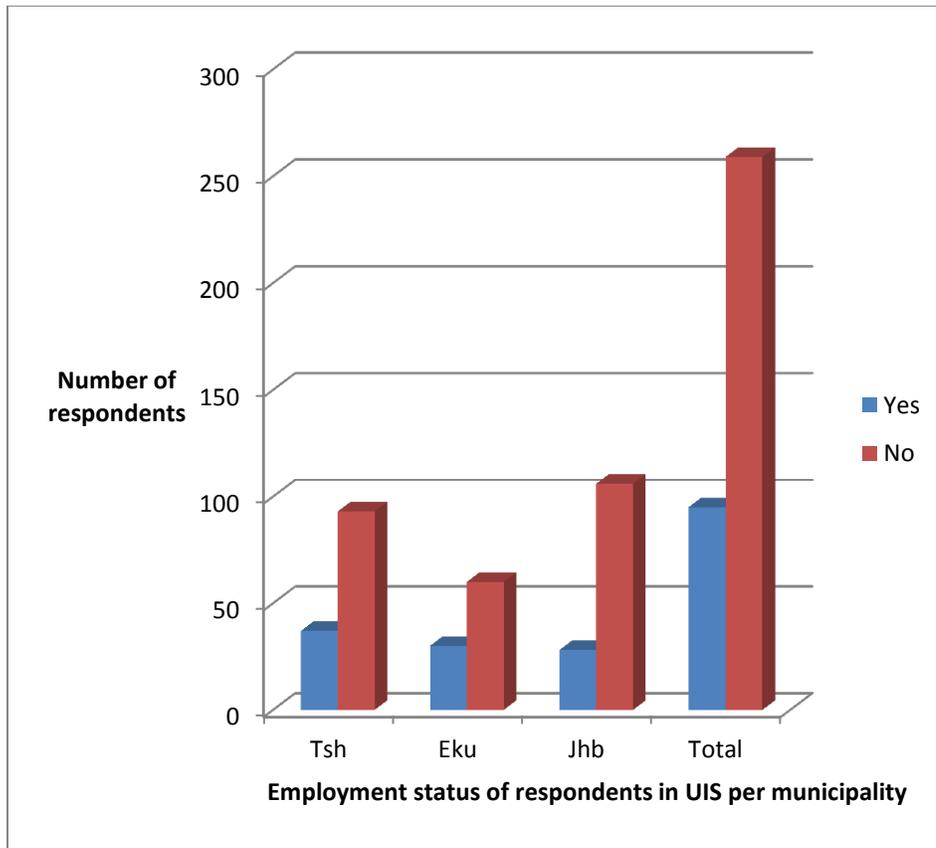
The 2007 General Household Survey, found that the unemployment rate of 32% for those who live in informal settlements is above the national average of 25% (HDA, 2012: 39). The 354 respondents to this question in the current study – 73% [259] stated that they are unemployed. Statistics South Africa’s report on ‘Gender Statistics” (2012:31) indicates that unemployment rates for women are higher than those for men. This pattern is found for both 2001 and 2011. Furthermore, for both years, the unemployment rates are higher for black Africans than for the other population groups. Black African women are thus most likely to be unemployed in both 2001 and 2011. This might also be one of the reasons why the study found more women [57%] at home between 10:00 am- 15:00 pm, than men [43%] in Graph 6.5.1.

**Graph 6.5.4.1. Years of employment**

Graph heading	Number	Tsh	Ekur	Jhb	Total
How many years of employed?	1 yr	6	3	4	13
	1-2 yrs	17	11	2	30
	3-5 yrs	6	11	12	29
	6-9 yrs	5	4	10	19
	10+ yrs	4	0	0	4

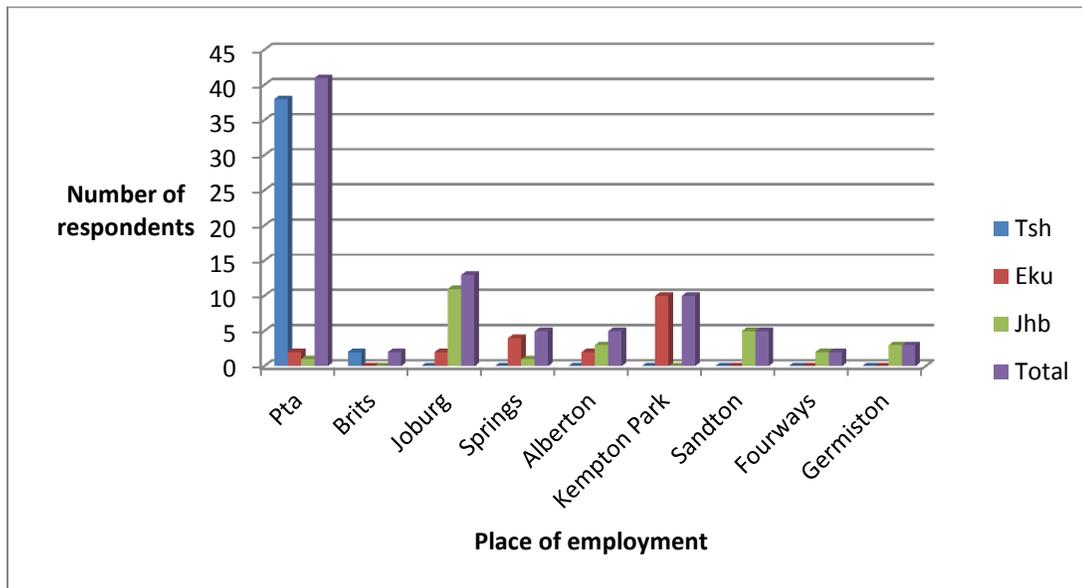
**N = 95**

**Non respondents = 0**



**Graph 6.5.4.2. Town where you are employed**

Graph heading	Place	Tsh	Ekurhuleni	Johannesburg	Total
Town/City of employment	Pretoria	38	2	1	41
	Brits	2	0	0	2
	Joburg	0	2	11	13
	Springs	0	4	1	5
	Alberton	0	2	3	5
	Kempton Park	0	10	0	10
	Sandton	0	0	5	5
	Fourways	0	0	2	2
	Germiston	0	0	3	3

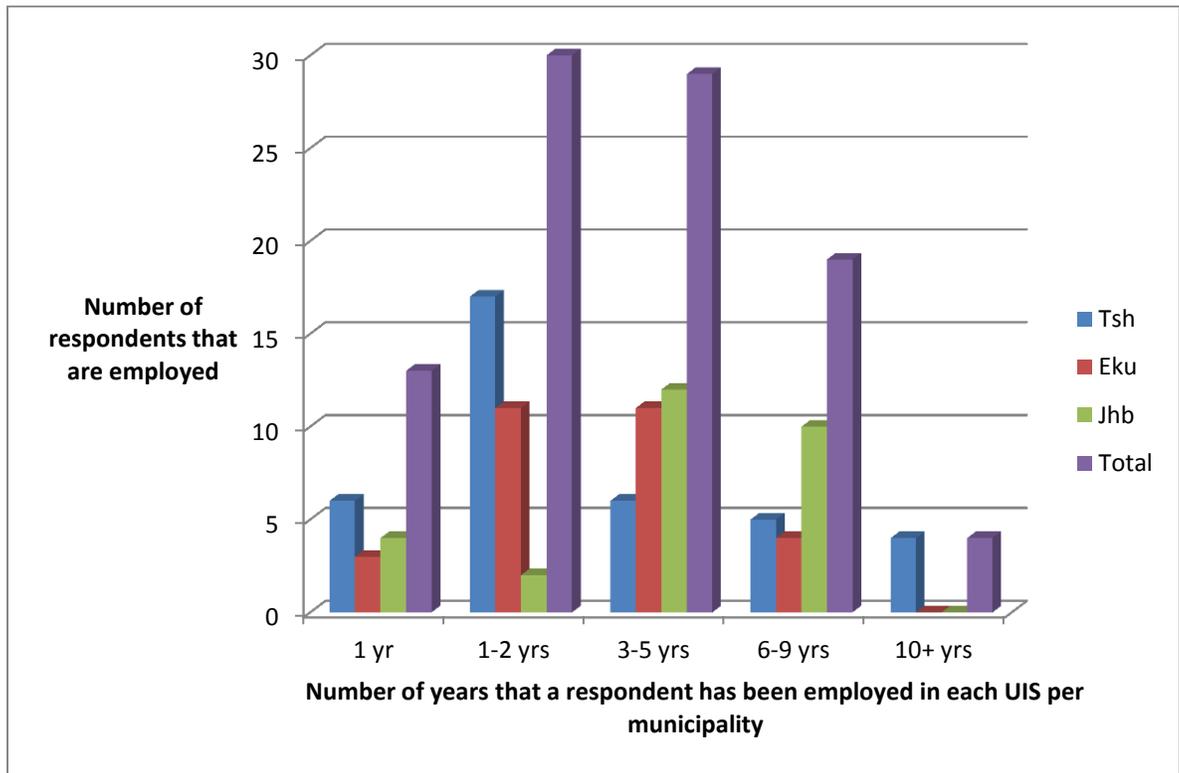
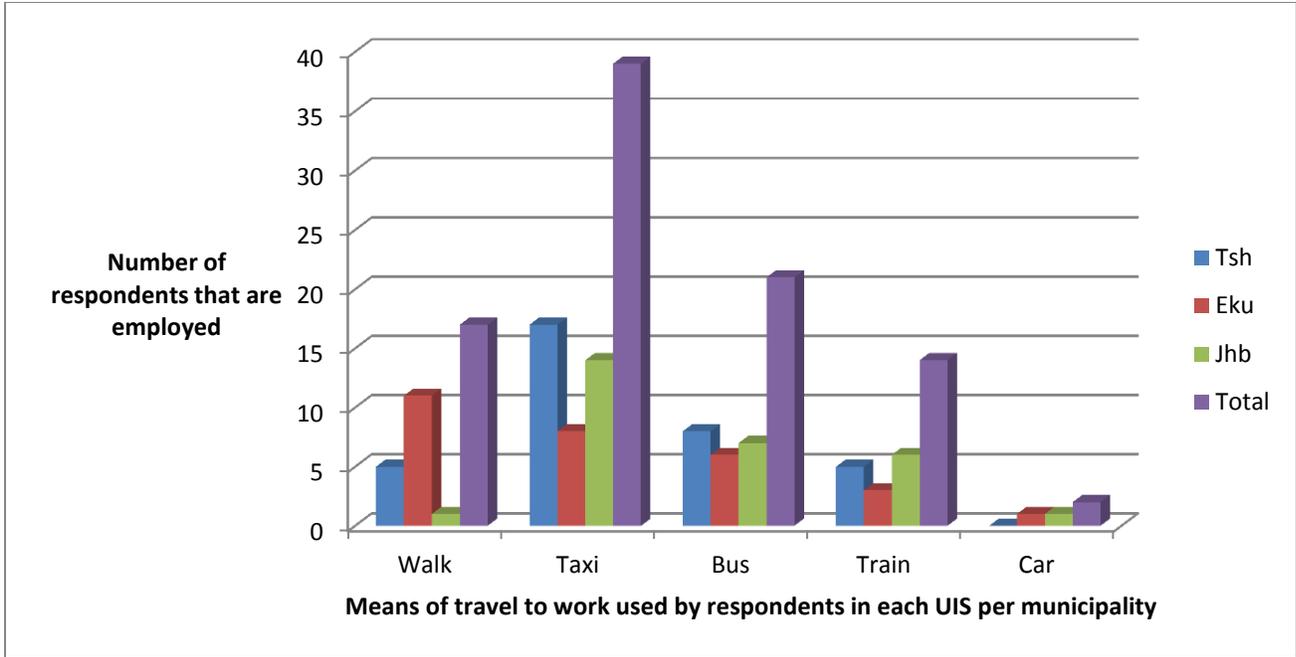


**Graph 6.5.4.3. Means of travelling to work**

Graph heading	Mode	Tsh	Ekurhuleni	Johannesburg	Total
Means of travel to work?	Walk	5	11	1	17
	Taxi	17	8	14	39
	Bus	8	6	7	21
	Train	5	3	6	14
	Car	0	1	1	2

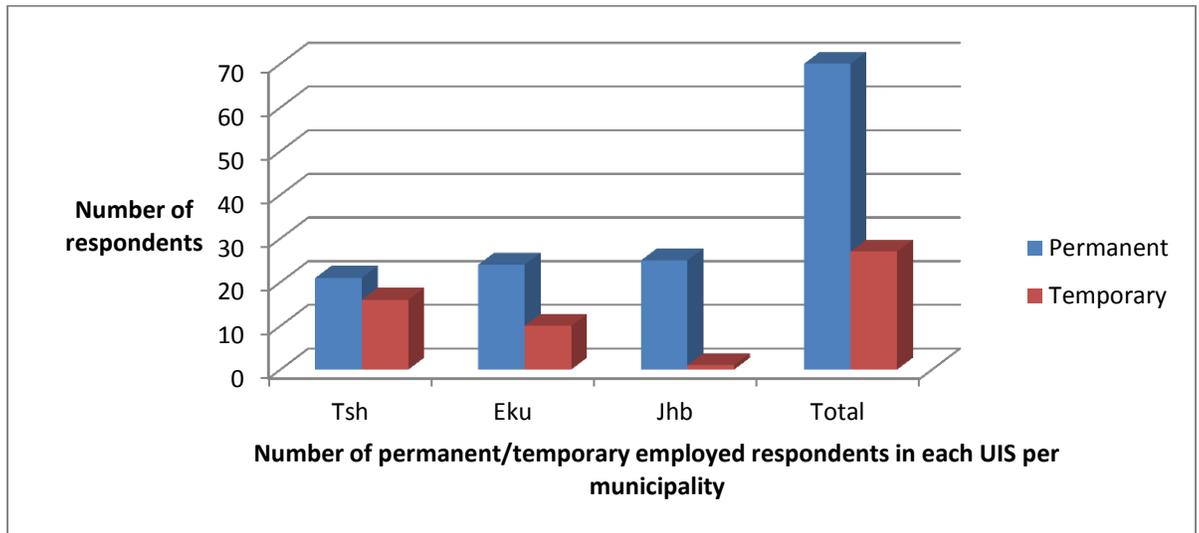
N = 93

Non respondents = 2



**Graph 6.5.4.4. Type of employment**

Graph heading	Type	Tsh	Ekurhuleni	Jhb	Total
Type of employment	Permanent	21	24	25	70
	Temporary	16	10	1	27



The 2004 Labour Force Survey [LFS] data indicates that 37% of employed adults living in informal settlements are permanently employed in the formal sector, noticeably lower than the national average of 53%, for all workers (HDA, 2012: 39). Only 27% of employed individuals living in informal settlements are employed in the informal sector, a proportion that is above the national average (21%). According to the 2007 General Household Survey [GHS], the unemployment rates is 32% for those who live in informal settlements and unemployment rate of 32% is above the national average of 25%. It may well be the case that informal sector activity is under-reported because by its nature, it is difficult to track (HDA, 2012: 39).

In the empirical study, 73% [259/354] of respondents indicated that they are unemployed – it must however be noted that some were at work as the study was conducted between 10:00 am – 15:00 pm. Of those who are employed [95], 82% of them have been employed between 1-9 years and 72% [70/97] are employed on a permanent basis. [NOTE: there are two more people

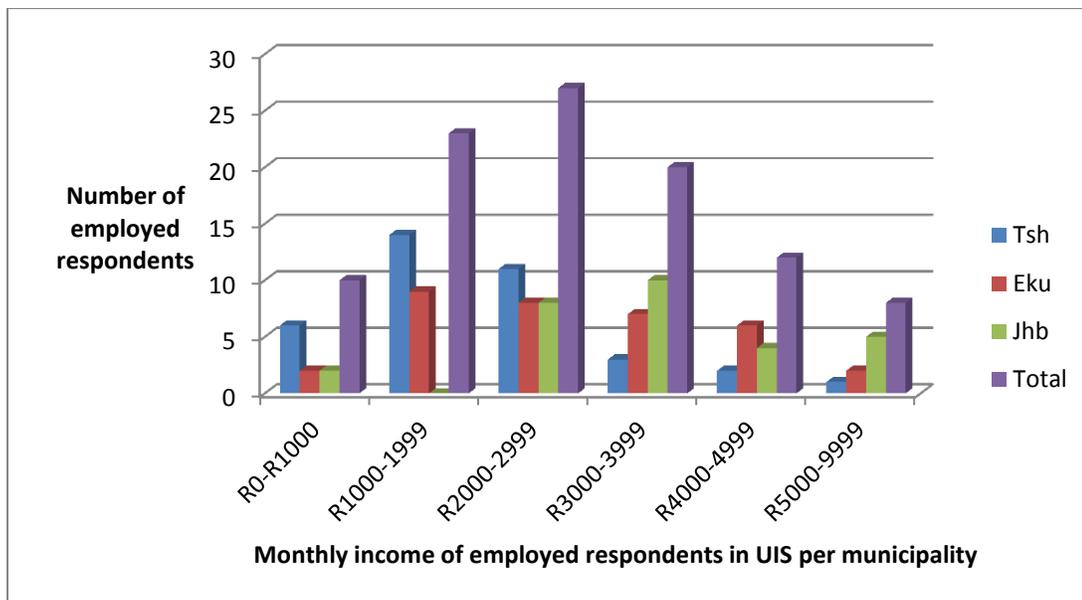
who participated on the question on type of employment than the original number of 95 who responded to the question on employment status].

**Graph 6.5.4.5. Monthly income**

Graph heading	Range	Tsh	Eku	Jhb	Total
Monthly income	R0-R1000	6	2	2	10
	R1000-1999	14	9	0	23
	R2000-2999	11	8	8	27
	R3000-3999	3	7	10	20
	R4000-4999	2	6	4	12
	R5000-9999	1	2	5	8

**N = 95**

**Non respondents = +5 [There are 5 more people than the original 95]**



According to the 2009 GHS, the primary income source for households in informal settlements is salaries and wages (HDA, 2012: 41). The 2005/6 Income and Expenditure Survey [IES] data source, indicates that over 85% of households who live in informal settlements have a household income of less than R3 500 per month measured in 2006 Rand terms. Inflating incomes to 2010 Rand [and assuming no shift in real incomes]; then 75% of households living in informal settlements earn less than R3,500 per month in 2010 Rand terms (HDA, 2012: 41). The

findings of the current study are consistent with IES data source, in that those who are employed constitute 23% and earn on average between R1 – R4000 [70% of the 23% who are employed].

Trend data from the 2009 GHS indicate no significant shifts in main income sources through the 2008/9 recession, with the proportion of households living in informal settlements citing salaries or wages as their primary income source remaining constant at around 66%. This is despite a decline in employment levels from 2008 to 2009, particularly in the informal sector which declined from 2.52 million individuals in quarter 2 of 2008 to 2.25 million in quarter 2 of 2009. This may reflect high levels of mobility, meaning that individuals who lose their jobs or who cannot sustain their businesses may relocate or reconstitute their households in other areas (HDA, 2012: 41). The Quality of Life Survey [QoLS] in its 2011 report indicates that although inequality is still high in Gauteng, there is a slight decline. Table 6.5.4 below shows the level of inequality in metropolitan municipalities.

**Table 6.5.4. Measure of inequality [Gini coefficient ]in Gauteng’s metropolitan municipalities**  
**[Adapted from: GCRO, QoLS 2011]**

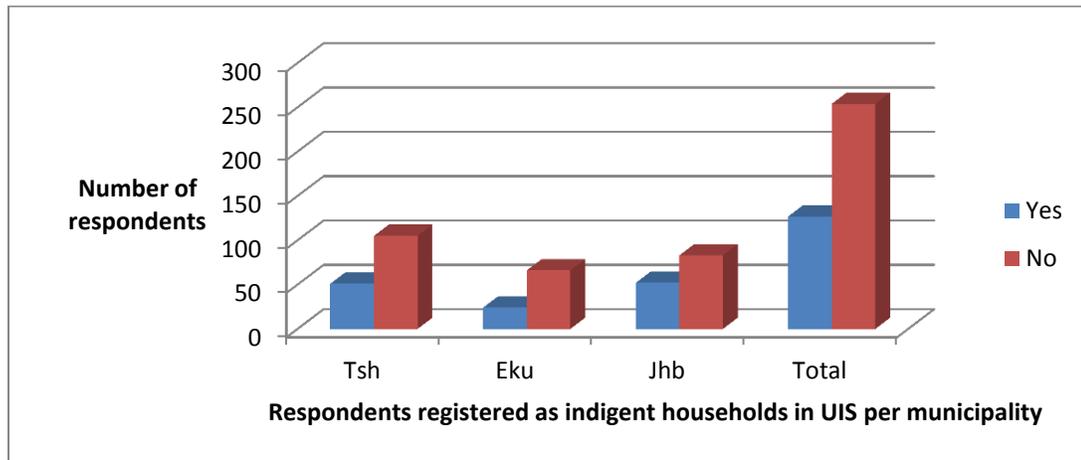
Year	2006	2007	2008	2009	2010
Ekurhuleni	0.63	0.63	0.63	0.63	0.63
Johannesburg	0.64	0.64	0.63	0.63	0.62
Tshwane	0.62	0.62	0.62	0.61	0.61
Gauteng	0.65	0.65	0.65	0.64	0.64

**Graph 6.5.4.6. Indigent registration**

Graph heading	Response	Tsh	Ekurhuleni	Johannesburg	Total
Are you registered as indigent?	Yes	51	24	52	127
	No	105	66	83	254

**N = 381**

**Non respondents = 11**



In terms of section 27 of the *Constitution, 1996*, everyone has the right to have access to:

a) Sufficient food and water;

(b) Social security, including, if they are unable to support themselves and their dependents, appropriate social assistance.

The section argues that the state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of these rights. Empirical evidence from the study suggest that the majority [2/3 (254/381) = 67%] of survey respondents in UIS are not registered as indigent families. This is expressed more in Tshwane and Johannesburg respectively. Registration as indigent for families that cannot afford municipal bills, rates and taxes is important. This is a legal instrument used by municipalities to include registered indigent beneficiaries for basic services [i.e. electricity, water, sanitation and waste collection/removal]. Benefits include:

(a) 10 kl of water free of charge per month;

(b) interest free arrangements for repayment of outstanding charges;

(c) the granting of indigent status to those who qualify for indigent grants;

(d) the free installation of a prepaid meter to approved indigents;

(e) free education on how to repair water leaks at their residence;

(f) 50 kWh per month free electricity [or determined by Government from time to time];

(g) free refuse removal.

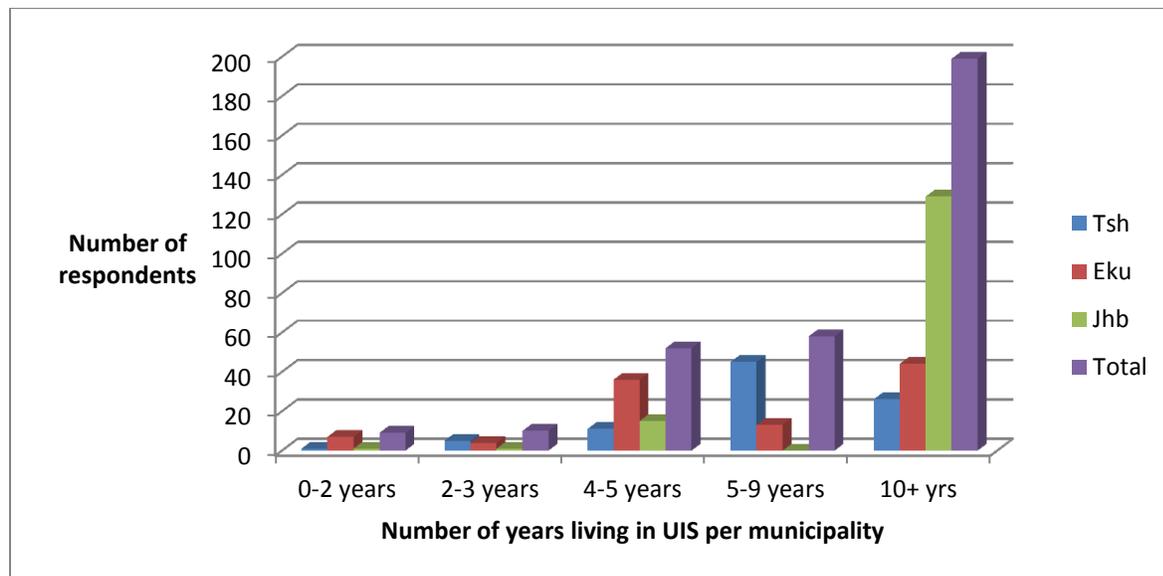
According to Chapter 9, Section 97(1)(c) of the *Local Government: Municipal Systems Act, 32 of 2000*, provision for indigent debtors consistent with its rates and tariff policies and any national policy on indigents must be included in the Credit Control Policy of a municipality. From the empirical study, it could be deduced that three identified municipalities should do more to change these figures so that residents who are indigent in informal settlements can benefit from legislative benefits of the Act.

**Graph 6.5.5. When did you move into the informal settlement?**

Graph Heading	When	Tsh	Ekurhuleni	Jhb	Total
When did you moved to informal settlement?	0-2 years	1	7	1	9
	2-3 years	5	4	1	10
	4-5 years	11	36	15	52
	5-9 years	45	13	0	58
	10+ yrs	26	44	129	199

**N = 328**

**Non respondents = 64**



An analysis of data from the Community Survey [CS] indicates that the majority of people living in informal settlements in 2007 had been living there for an extended period of time and 68% stated that they had not moved since 2001 (HDA – Gauteng; 2012: 40). Results from the current survey are consistent with the 2007 CS. It is clear from the table that people have been living for an extended period [4 to 10+ years] in informal settlements in the three metropolitan municipalities. There are however more people in UIS of Johannesburg who have been staying for 10+ years or longer – this is consistent with the selection made for the purposes of this research – informal settlements that are 20 years and older

The results are consistent with the findings of Census 2011 and those of the HDA in their 2013 informal settlement status. Census data indicates that the number of households living in informal settlements has stabilised nationally. There are a total of 1 249 777 households, containing 3 306 697 individuals who live in informal settlements (HDA, 2013: 18). Moreover, the census 2011 results indicate that the number of households living in informal settlements, as proxied either by dwelling type [shack not in backyard or informal residential] has stabilised across the country as a whole (HDA, 2013: 14).

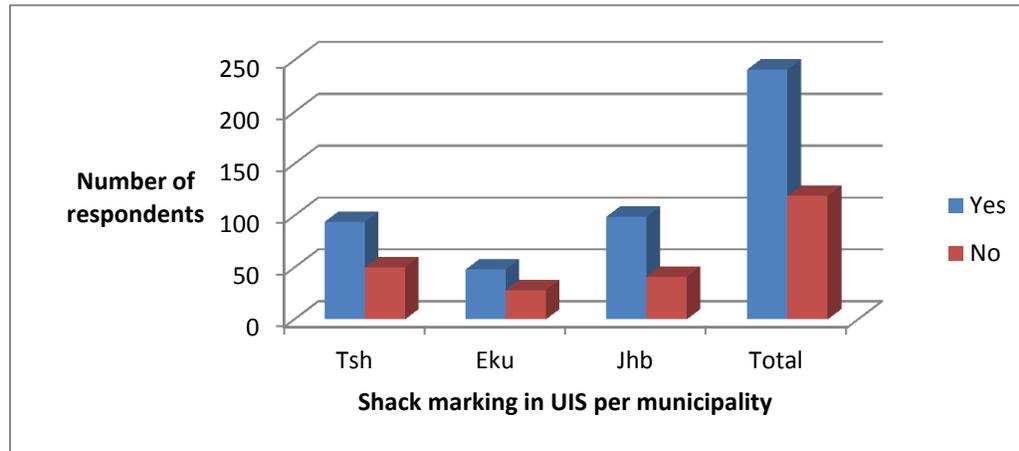
In 2001 there were 1,38 million households living in informal settlements compared to 1,25 in 2011. With regard to Enumerated Areas [EA], 1,11 million households lived in areas demarcated by SSA as informal settlements in 2001 compared to 1,10 million in 2011 in areas demarcated as informal residential (HDA, 2012: 7). The stabilisation is also clear from the study which is indicated by the number of years people have been staying in the identified informal settlements in the three metropolitan municipalities. If totals between the 4-10+ years period are considered, then Ekurhuleni [cumulatively 93 (36+13+44) people moved between the 4-10+ years] and Tshwane [cumulatively 82 (11+45+26) people moved between the 4-10+ years] show stabilisation.

**Graph 6.5.6. Shack marking**

Graph heading	Response	Tsh	Eku	Jhb	Total
Is your shack marked by the municipality?	Yes	94	48	99	241
	No	50	28	41	119

**N = 360**

**Non respondents = 32**



The indication from participants is that two thirds of the shacks in the identified UIS have been marked by the individual metropolitan municipalities – 67% [241/360]. This is expressed mostly in Johannesburg and Tshwane metropolitan municipalities. The results of the survey administered to community members on outcomes regarding this issue of shack marking differ from those of the city managers. City managers indicated [Graph 6.4.1.] that all their shacks are marked and community survey findings show that only two thirds are marked. The shack marking process is significant as it assists the municipality to identify families in cases of *in situ* upgrading, relocation and in the provision of basic services [budgeting and resource allocation].

The outcome means that metropolitan municipalities concerned are not adequately making provision with regards to basic services, since they do not know the correct number of shacks in their urban informal settlements. This fact reinforces the notion that municipalities do not have accurate statistics on the provision of basic services in UIS.

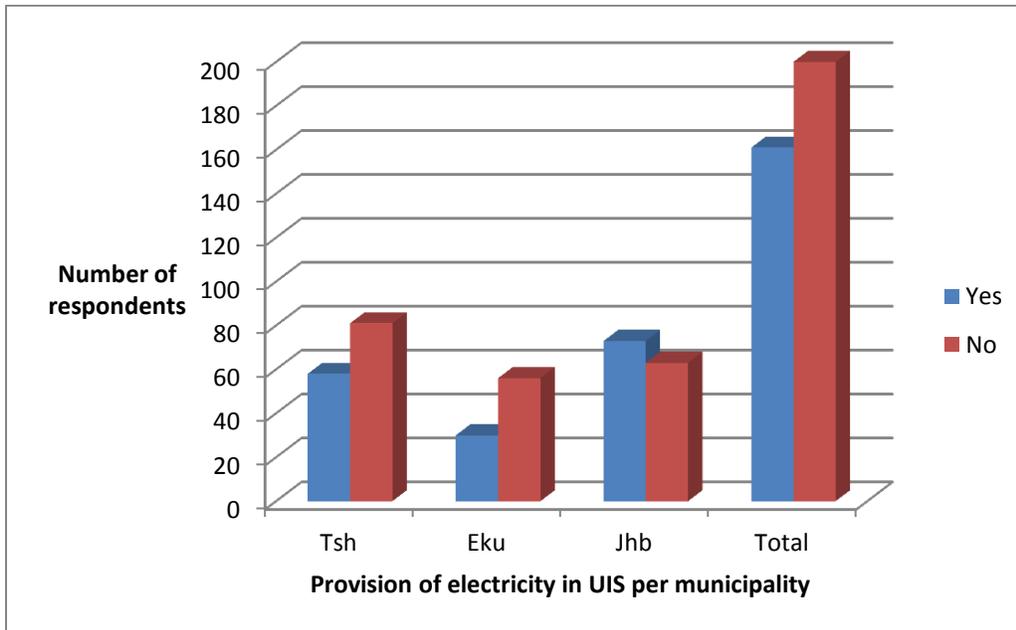
**Graph 6.5.7. Electricity**

Graph Heading	Response	Tsh	Eku	Jhb	Total
Do you have electricity?	Yes	58	30	73	161
	No	81	56	63	200

*\*Add 8 more people who answered in 6.5.7.1*

**N = 361 [369]**

**Non respondents = 31 [23]**

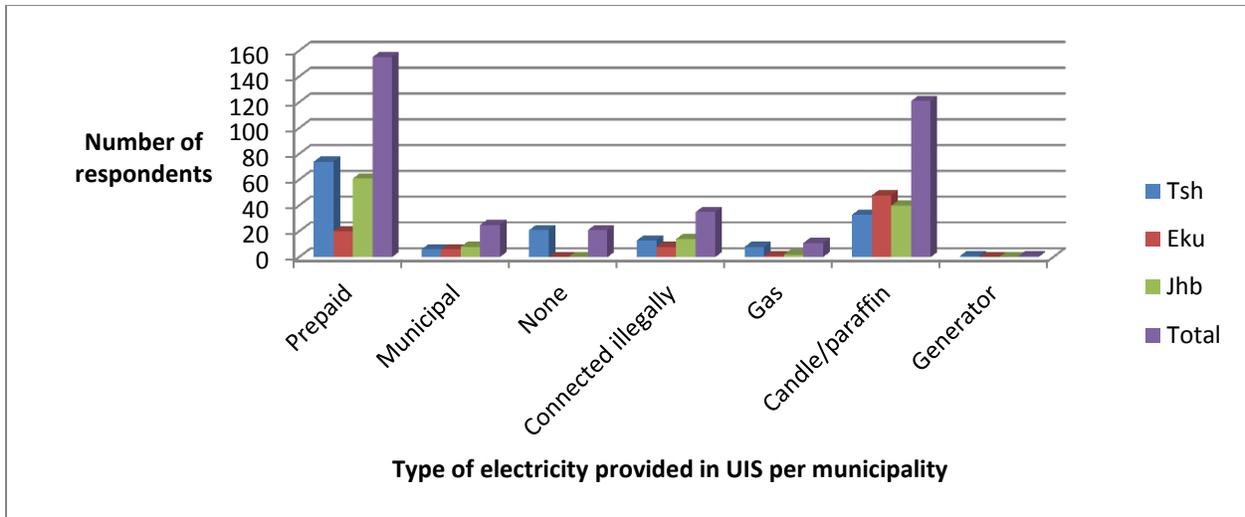


**Graph 6.5.7.1. Type of electricity or lighting**

Graph heading	Type	Tsh	Eku	Jhb	Total
Type of electricity/lighting	Prepaid	74	20	61	155
	Municipal	6	6	8	25
	None	21	0	0	21
	Connected illegally	13	8	14	35
	Gas	8	1	2	11
	Candle/paraffin	33	48	40	121
	Generator	1	0	0	1

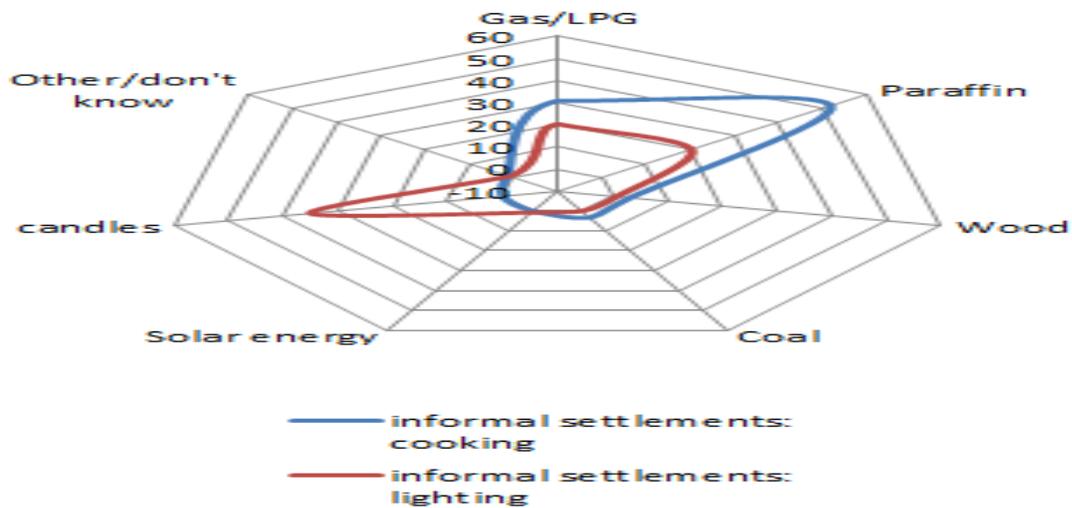
**N = 369**

**Non respondents = 23**



On access to electricity, the empirical study found that 49% [180/369] have access. In 2011, GCRO's Quality of Life Survey [QoLS] report found that 38% of people who live in informal settlements have access to electricity for lighting; the figure goes down to 36% for cooking. The main source of energy for cooking and lighting for those people that do not use electricity, paraffin and gas dominate for cooking, while the use of candles prevail to provide lighting. The QoLS findings are consistent with the current empirical study findings with a slight reduction and variance of -3% [36% - 33%]. The current study found that 33% [121/369] of those without electricity use candles/paraffin.

**Figure 6.5.7 Energy use by poor communities in 2011 [Adapted from GCRO QoLS 2011]**



According to HDA (2013:23), on average households living in informal settlements appear to live under better conditions than in 2001. By far the most significant improvement has been in access to electricity. In 2001, 37% of households in informal settlements used electricity for lighting, heating or cooking. This had increased to 43% of households by 2011. The results from the current empirical study in 2014 show a 6% increase. It must be taken into account that SSA Census 2011 results give a national outlook – while the current empirical data findings are only looking at UIS in Gauteng metropolitan municipalities.

This can be extrapolated to a level where an argument is advanced that since the three identified metropolitan municipalities [Ekurhuleni, Johannesburg and Tshwane] form part of the top five municipalities that account for 51% of informal settlements in South Africa – this means that Gauteng is leading in terms of the provision of electricity to households enumerated during the SSA Census 2011. Out of the top five municipalities countrywide of which Gauteng has three, the Province alone accounts for 22% [0,51] of the 43% total access to electricity nation-wide – while others are at 21% [0,49]. Moreover, this also means that Gauteng alone [3/5 in the top five], accounts for 60% of the 22%, which is 13,2%. The simple equation is:

- The top five municipalities' access to electricity in informal settlements country-wide is 51% [0,51] of the total [43%] =  $0,51 \times 43\% = 22\%$ ; then
- Gauteng metropolitan municipalities in the top five is 3 out 5 or 60% [0,61] =  $0,61 \times 22\% = 13,2\%$ .

To get to their respective contribution in the 13,2% total of access to electricity in Gauteng's metropolitan municipalities – those that are less than 20 years [397 -119 = 278] and the those that were formalised [79 + 40 = 119 ] - will all have to be included into the equation before determining the new percentage [see: Table 6.5.7]. In the current empirical study, 161 respondents indicated that they have electricity – this figure represents a sample from specifically those UIS that are NOT formalised and are 20 years or older.

**Table 6.5.7. Contribution of each Gauteng urban informal settlement in the three metropolitan municipalities in terms of access to electricity**

Municipality	Formalised UIS	UIS NOT formalised	Number of UIS in Gauteng	Percentage of 13,2% total access in UIS
Ekurhuleni	0 + <b>16 [but are not 20 years or older]</b> <b>= 0</b>	103	119 [30% of Total]	0.3 x 13.2 = <b>3.96%</b>
Johannesburg	79	101	180 [42% of Total]	0.42 x 13.2 = <b>5.544%</b>
Tshwane	40	58	98 [28% of Total]	0.28 x 13.2 = <b>3.696%</b>
<b>TOTAL</b>	<b>135/397 = 34%</b>	<b>262/397 = 66%</b>	<b>397 = 100%</b>	<b>Access = 13.2%</b>

The deduction from the graph is that Johannesburg provides the highest number of households in UIS with electricity, followed by Ekurhuleni and then Tshwane.

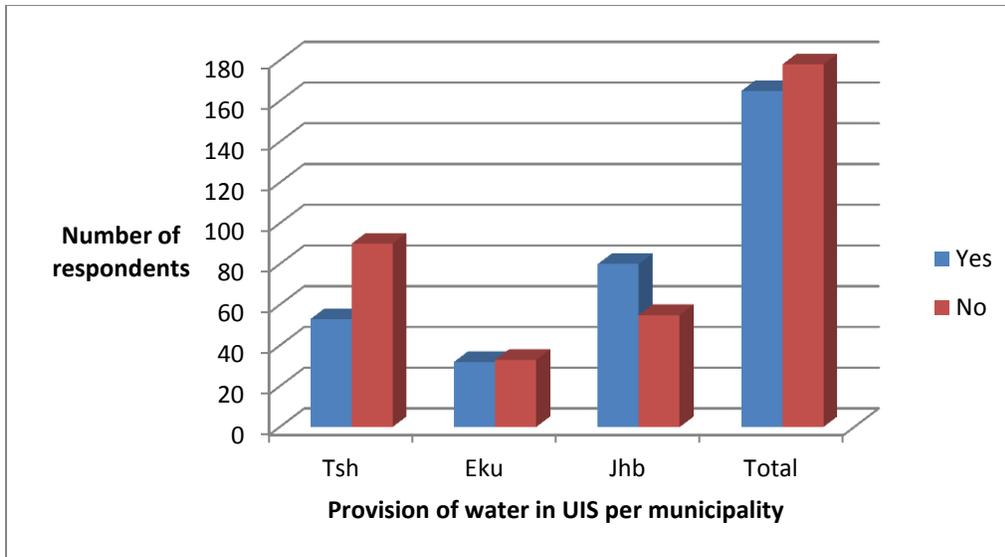
**Graph 6.5.8. Water**

Graph heading	Response	Tsh	Ekurhuleni	Jhb	Total
Do you have running water?	Yes	53	32	80	[22+165]187
	No	90	33	55	178

*\*Add 22 + 165 = 187 [Omitted but answered in 6.5.8.1]*

**N = 365**

**Non respondents = 27**

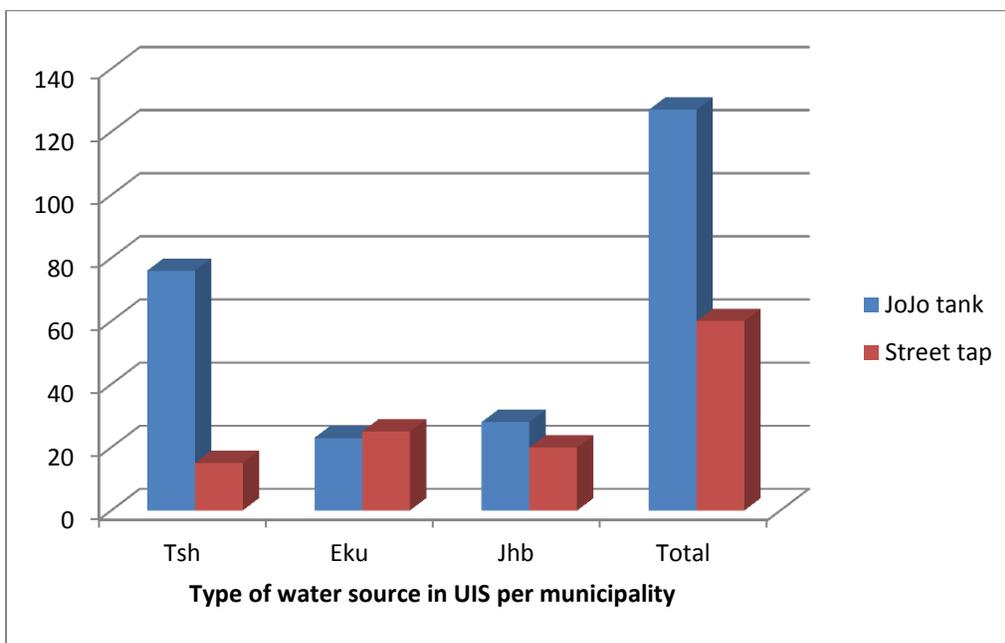


**Graph 6.5.8.1. Type of water source**

Graph heading	Type	Tsh	Eku	Jhb	Total
How do you receive the water?	JoJo tank	76	23	28	127
	Street tap	15	25	20	60

**N = 187**

**Non respondents = 178**

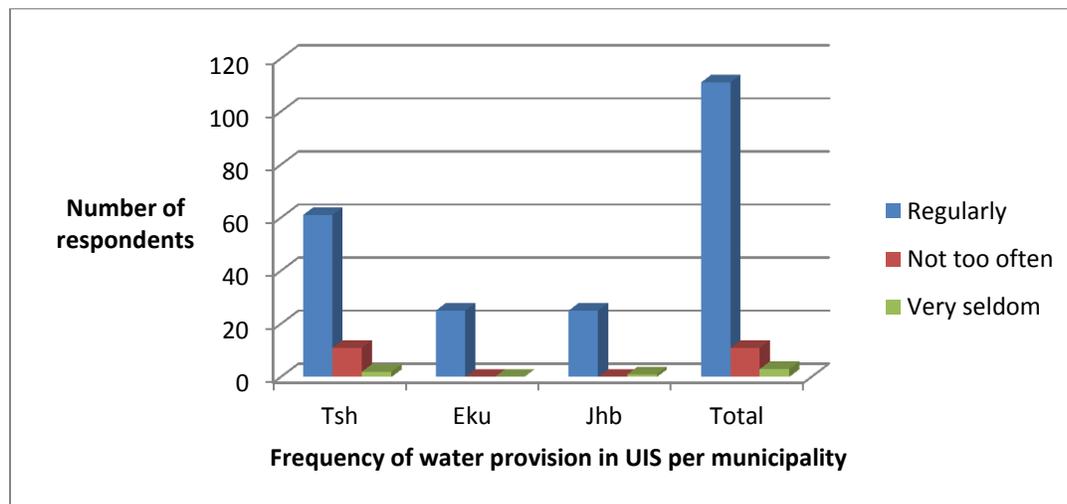


**Graph 6.5.8.2. Frequency of water supply**

Graph heading	How often?	Tsh	Ekurhuleni	Jhb	Total
Frequency of water delivery?	Regularly	61	25	25	111
	Not too often	11	0	0	11
	Very seldom	2	0	1	3

**N = 125**

**Non respondents = 62**



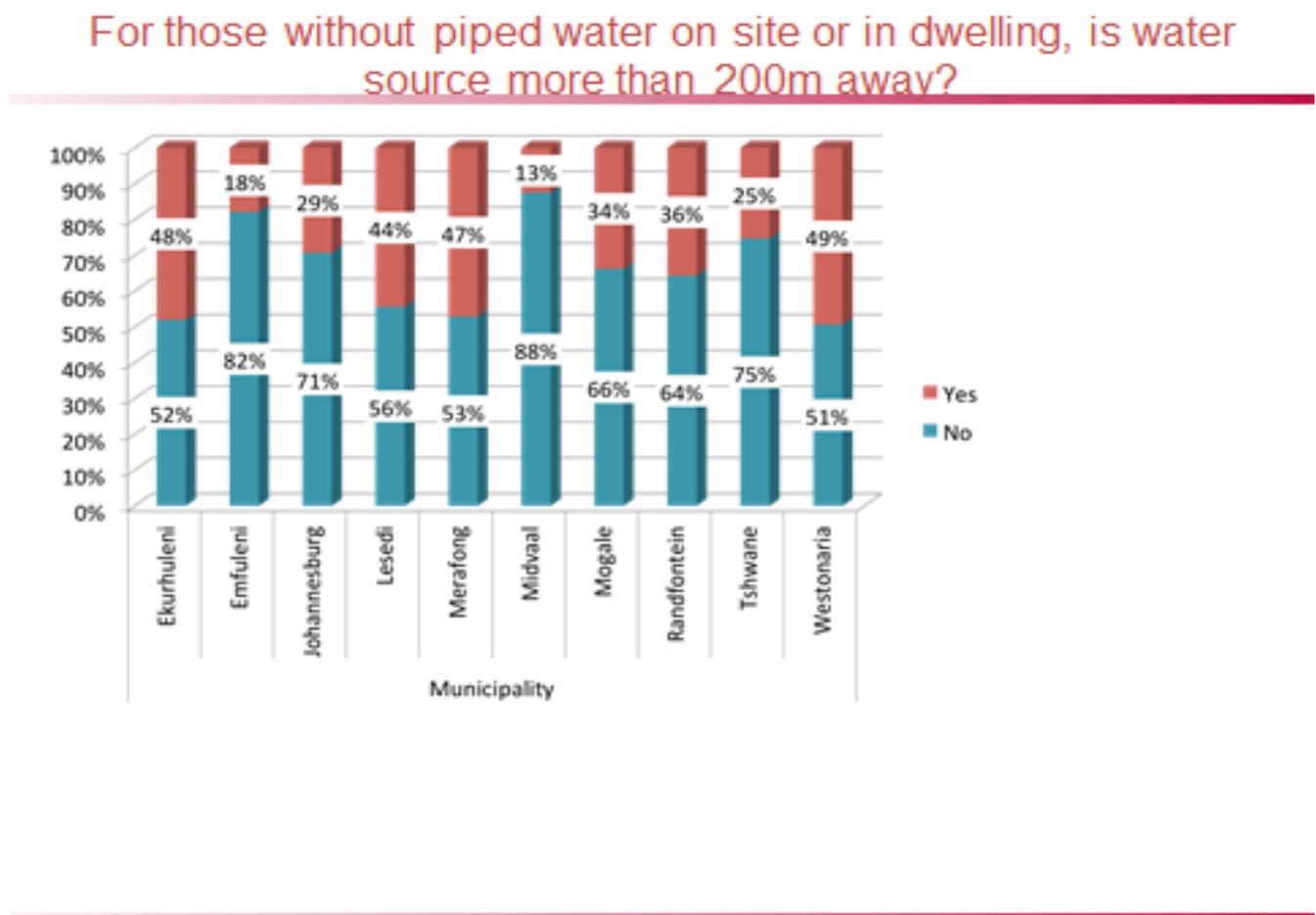
Of the 365 participants who responded to the question, 49% [178/365] did not have a water supply either from a tap in the street or from a municipal source. However, 51% [187/365] indicated that they have running water and they receive water supply through a municipal Jojo tank 68% [127/187]. The rest remaining households have a tap in the street 32% [60/187]. Participants who receive their water supply from the municipalities' Jojo tank/tap on the street, indicated that the supply is on a regularly basis and the percentage is 89% [111/125] – see Graph 6.5.8.2 above.

According to a report titled “Gender Statistics in South Africa, 2011” (SSA, 2012:14) - significant differences in access remain between black African households and other population groups. In 2001, 50,5% of black African households were reliant on off-site sources for water. By 2011, the percentage had dropped to 34,9%. This is still high when compared to other population groups for whom the percentage is less than 10% for both 2001 and 2011. Although there is a decline

in the general population in terms of reliant on off-site sources for water; the situation in informal settlements has not changed at 68%.

GCRO's Quality of life survey results from the 2011 report indicate a low percentage of people without piped water on site in Gauteng's municipalities. Most of these people are in informal settlements in the three metropolitan municipalities. All have high survey results in terms of the distance that people walk to access water – which is less than 200m. Tshwane had the least number of people who are walking more than 200m to fetch water at 25%, followed by Johannesburg at 29%; then Ekurhuleni had almost half [48%] who walk more than 200m to access water [see: Figure 6.5.8.3].

**Figure 6.5.8.3. Water source more or less than 200m away [Adapted from QoLS 2011 report]**



The South African Human Rights Commission [SAHRC], in a report titled ‘The Right to Access Sufficient Water and Decent Sanitation in South Africa: 2014’ argues that access to safe drinking water and sanitation are fundamental to the enjoyment of other rights such as the rights to education, health, safety and an environment that are not harmful to human health or wellbeing (SAHRC, 2014: 36). According to results from the 2011 SSA Census, 46,3% of households in South Africa have access to piped water and just over 85% have access to water that is of a RDP acceptable level [According to the 1994 RDP standards – which are still in use] (SAHRC, 2014: 36). The RDP acceptable level figure in the current study is 47% [see: Graph 6.5.8.1 -  $60/127 = 47\%$ ] which is lower considering the 85% reported by SSA Census 2011.

Lack of access to water and sanitation not only impedes access to other rights, but heightens the vulnerability of particular groups of people such as women, girls and people with disabilities. It also impacts on the right to practice one’s culture or religion. Moreover, the UN *Special Rapporteur [de Albuquerque, Report of the independent expert on the issue of human rights obligations related to access to safe drinking water and sanitation, Human Right Council A/HRC/6/3 16 August 2007]* on the human right to safe drinking water and sanitation has shown that inadequate water and sanitation facilities impact on the realisation of other rights such as education, health, work and dignity, amongst others. Water and sanitation are fundamental to the health and well-being of all people (SAHRC, 2014: 36).

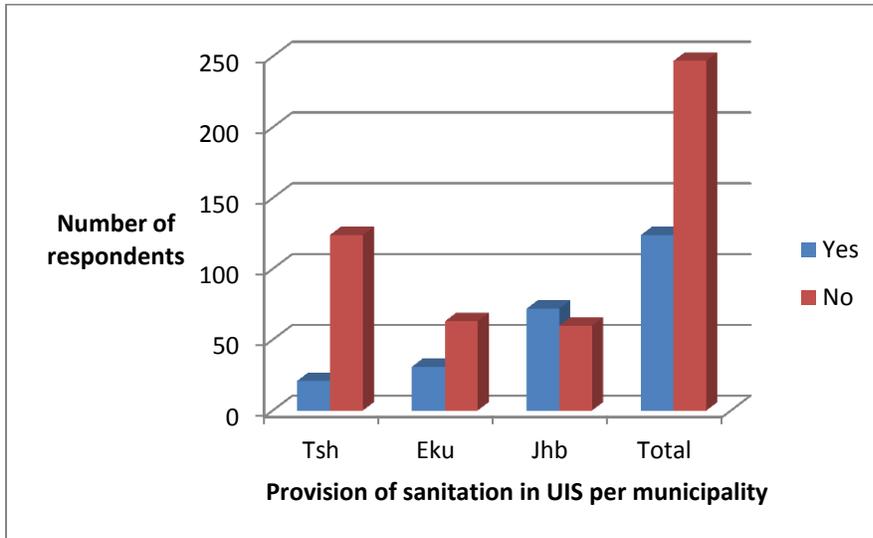
The South African government has a challenge when it comes to the adequate supply of water for citizens. In 2011, a report by the South African Institute for Civil Engineering (SAICE) and the Centre for Scientific and Industrial Research (CSIR) reported that “*much of South Africa’s bulk water infrastructure is reaching the end of its life and will require upgrade or replacement*” and that “*a serious problem regarding bulk infrastructure is uncontrolled, high levels of pollution, especially in dams. Mingling pollutants near urban areas makes identification and penalisation of the many offenders extremely difficult.*” (SAICE & CSIR, 2011: 14).

**Graph 6.5.9. Sanitation**

Graph heading	Response	Tsh	Eku	Jhb	Total
Do you have Sanitation?	Yes	21	31	72	124
	No	124	63	60	247

**N = 371**

**Non respondents = 21**



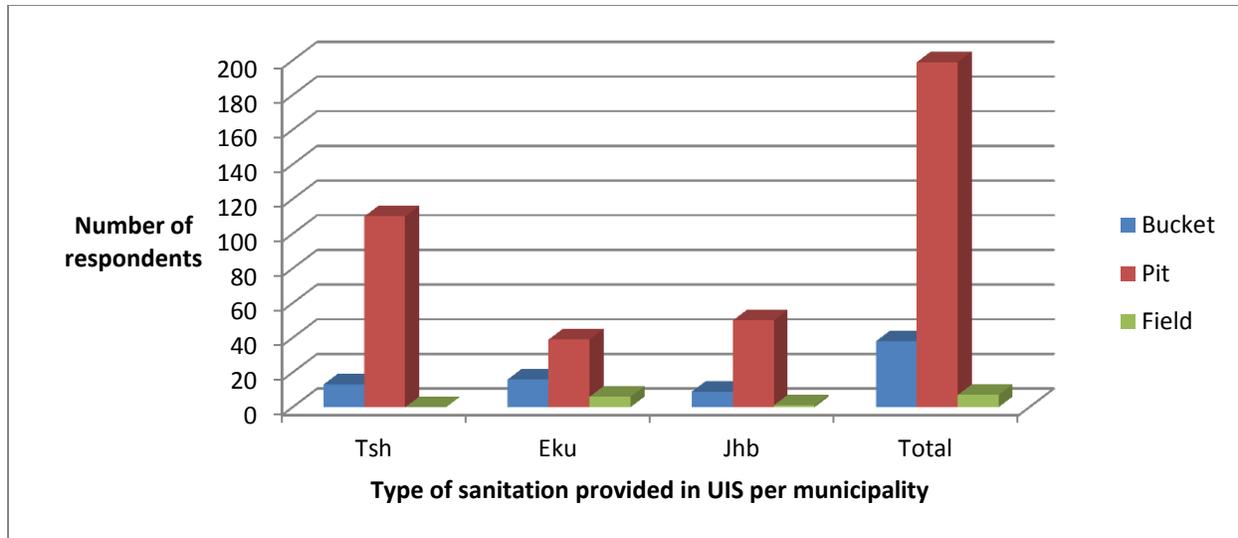
**Graph 6.5.9.1. Type of Sanitation**

Graph Heading	Type	Tsh	Eku	Jhb	Total
Type of sanitation	Bucket	13	16	9	38
	Pit	110	39	50	199
	Field	0	6	1	7

- There are 3 [247-244 = 3] people who did not respond

**N = 244 [+3 missing]**

**Non respondents = 127**



Of the 371 participants in the survey on this specific question, 67% [247/371] - indicated that they do not have access to sanitation. The lack of sanitation services was expressed in Tshwane Metropolitan Municipality [124/145 = 86%]; Ekurhuleni [63/94 = 67%] and Johannesburg had more people who answered in the affirmative [60/132 = 46%] as compared to their two counterparts. The results are as follows:

**Table 6.5.9. Access to sanitation per municipality [Empirical study]**

Municipality	Sanitation	No Sanitation
Ekurhuleni	31/94 = 33%	63/94 = 67%
Johannesburg	72/132 = 54%	60/132 = 46%
Tshwane	21/145 = 14%	124/145 = 86%
<b>TOTAL</b>	<b>124/371 = 33%</b>	<b>247/371 = 67%</b>

The results from the empirical study indicate a 67% lack of access to sanitation, which is a combined figure of all the three metropolitan municipalities. In 2012, a government report on sanitation titled: “Report on the Status of sanitation services in South Africa” indicated that:

*The startling finding is that while access to sanitation is increasing (albeit at less than an optimal pace) from a functionality and adequacy point of view, as many as 26% (or about 3,2*

million households) are at risk of service failure and/or are experiencing service delivery breakdowns. **Add to this the 9% (or 1,4 million households) in formal settlements that have no services and the 584 378 households or 64% of households in informal settlements making use of interim services and we get a picture of service delivery failure on a massive scale (DWA, 2012: 3).**

The current study has found that in Gauteng metropolitan municipalities' informal settlements that are NOT formalised and are 20 years and older – the figure is 67% - no access. So the 64% figure reported by DWA – which included all informal settlements in the country – is close to the findings in this study. According to HDA (2013: 27), distribution of access to sanitation in households living in informal settlements in Gauteng metropolitan municipalities between 2001 and 2011 is as follows [see: Table 6.5.9.1 & 2]:

**Table 6.5.9.1. Access to sanitation per municipality [by HDA] 2001**

<b>Municipality</b>	<b>Households</b>	<b>Higher level of access [Flush toilet connected to sewerage system].</b>	<b>Basic level of access [Basic levels of service: Flush toilet [with septic tank / Pit latrine with ventilation (VIP)]</b>	<b>No access</b>
Ekurhuleni	163 310	33%	4%	63%
Johannesburg	133 976	21%	9%	70%
Tshwane	114 178	15%	4%	81%
<b>Gauteng</b>	<b>411464</b>	<b>23%</b>	<b>5.6%</b>	<b>71%</b>

**Table 6.5.9.2. Access to sanitation per municipality [by HDA] 2011**

Municipality	Households	Higher level of access [Flush toilet connected to sewerage system].	Basic level of access [Basic levels of service: Flush toilet [with septic tank / Pit latrine with ventilation (VIP)]	No access
Ekurhuleni	138 099	20%	4%	76%
Johannesburg	125 748	22%	30%	48%
Tshwane	112 167	12%	8%	80%
<b>Gauteng</b>	<b>376014</b>	<b>18%</b>	<b>14%</b>	<b>68%</b>

The findings of the current study are almost similar to the findings of SSA Census 2011 and HDA 2013 study on urban informal settlements [UIS]. HDA report indicates that there was a 71% in 2001 and 68% in 2011 of households with no access to sanitation in Gauteng's UIS. The current study found a 67% had no access to sanitation, which is a significant finding. This means that the three municipalities combined [and especially in Tshwane] have not improved on the delivery of basic sanitation for almost 10 years. The study also found that there is a significant use of pit latrine [VIP] toilet in UIS that were surveyed – especially in the Tshwane Metropolitan Municipality. The usage of the bucket system was insignificant in all selected municipalities and the results bear testimony to that fact. The results of the current empirical study point to a chronic lack of sanitation services in UIS identified.

In 2011, the South African Human Rights Commission [SAHRC] received complaints from Makhaza residents in the City of Cape Town and Moqhaka municipality in the Free State Province. The first complaint was from the African National Congress [ANC] Youth League in the Dullah Omar region, on behalf of Makhaza residents against the Democratic Alliance [DA] led City of Cape Town. The second was from Gareth Van Onselen, on behalf of the DA against an

ANC-led municipality, Moqhaka, in the Free State. The Constitution mandates the SAHRC to operate without fear, favour or prejudice as a Chapter 9 Institution. In line with this mandate, the Commission investigated the complaints and ruled that both municipalities had violated the right to dignity. In both findings, the Commission addressed the responsibility of the municipalities to immediately enclose the toilets (SAHRC, 2014: 43).

It is important to single out the ruling of the SAHRC on the Moqhaka municipality in the Free State as it relates directly with the issue of Performance Monitoring and Evaluation; in particular the Department of Performance Monitoring and Evaluation [DPME]. The SAHRC's Moqhaka municipality finding ruled that the DPME provides a comprehensive report on the right to sanitation in every municipality in the country. To produce this report, the DPME had to assemble an inter-governmental task team, consisting of the Departments of COGTA, Human Settlements, Water Affairs and National Treasury. It thus addressed two key problems identified by the Commission, namely, the lack of real co-operative governance and the lack of adequate monitoring aimed at timely, effective remedy for the lack of rights. The DPME committed itself to the following in phases (SAHRC, 2014: 44 & 45):

**Phase 1 deliverables:**

- A fully populated and geo-referenced country-wide community level classification of quality (adequacy and functionality) of sanitation services experienced by citizens using the Strategic Framework for Water Services criteria.
- An assessment of the quality and condition of existing sanitation infrastructure (inclusive of waste water treatment works).
- Identification of the settlements where the quality of sanitation service levels does not meet the above criteria, while also quantifying the types of investments and costs to bring sanitation service levels to acceptable levels.

- Key challenges hampering the attainment of adequate sanitation service levels in identified hotspots.

**Phase 2 deliverables:**

- An institutional assessment of municipal technical and financial capacity to expand and sustain access to adequate and functioning sanitation services following an asset management approach.
- Establish the conditions required for a national performance monitoring framework for sanitation service delivery and clarify the regulation and/or monitoring of sanitation service delivery at a municipal level.
- Establish the roles and responsibilities for the provision of both technical support and support for community consultation, communication and the conclusion of variation agreements regarding norms and standards as interim sanitation delivery arrangements.
- Establish the policy, programme and legislative review implications of the recent ruling made by the Cape High Court and Commission for the delivery of quality basic sanitation services.
- Propose sanitation master plans linked to Water Services Development Plans [WSDP] with actions, timeframes and allocated resources to implement quality sanitation services in areas where they are lacking.

The DPME subsequently submitted a report to the SAHRC. In its report DPME, it argued that:

*The national findings in this report were informed by in-depth analysis of the state of sanitation within each of the 159 Water Services Authority (WSA)... Satellite spot imaging was used to map 68 000 settlements and calculate population and household information. The settlements were then evaluated and updated according to their current sanitation service needs. Field work at the municipal level (not household), was done to profile the settlements according to the classification developed for the study.*

The report describes the types of information sources that were available to the DPME in gathering data on which to base its report, namely, the Water Services National Information System (WSNIS) based on SSA Census data *with annual adjustments for calculated service delivery and population growth*. The SAHRC argued that the importance of the DPME report as a *potential planning document* is undeniable. Therefore, it is crucial that the data presented is sound and reliable. This will provide the *best foundation for strong strategic planning that can inform sanitation backlog eradication efforts*, as well as allowing a *realistic estimate of the costs involved*. These elements combined can then lead to a reversal of the failed attempts of the past to provide adequate sanitation services delivery to all South Africans (SAHRC, 2014: 46).

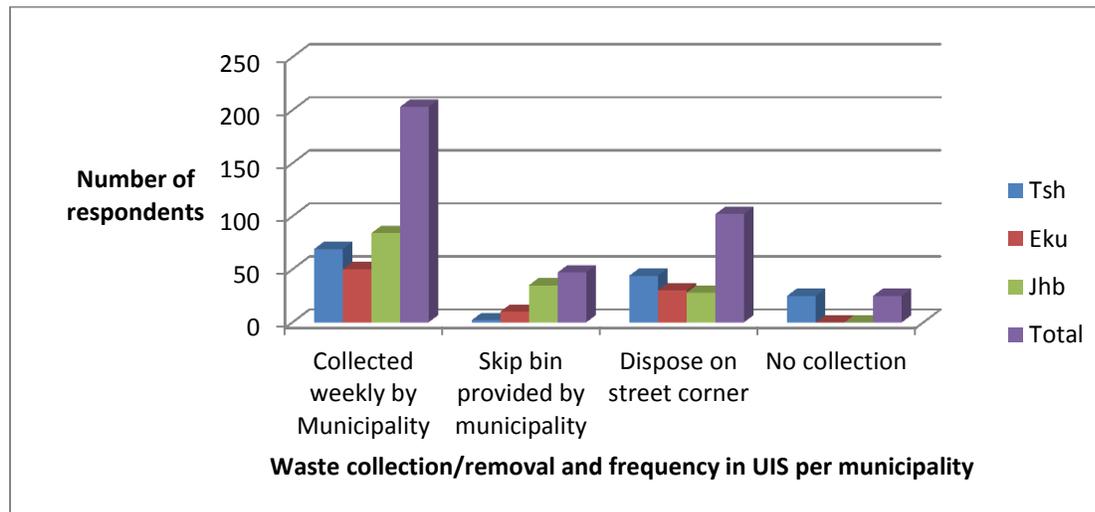
Thus, the importance of this information and the details of the report bring the current empirical study to focus – especially the element of Impact Evaluation [IE]. DPME in its response provided details on calculated service delivery and population growth; strategic planning that informs sanitation backlog eradication efforts and realistic estimates of the costs involved. These issues are important elements of an Impact Evaluation [IE] approach which was described in detail earlier in the chapter [*cf: 3.4.2 Impact Evaluation (IE) in PME*]. The results of the empirical study, the SAHRC's intervention and DPME response on sanitation outcomes are proof that performance monitoring and evaluation [PME] are critical for control and management in the public sector – especially in a municipality where essential basic services like sanitation are provided to residents.

**Graph 6.5.10. Waste collection/removal**

Graph heading	Method	Tsh	Eku	Jhb	Total
How do you dispose of waste in your informal settlement?	Collected weekly by municipality	69	50	84	203
	Skip bin provided by municipality	2	10	35	47
	Dispose on street corner	44	30	28	102
	No collection	25	0	0	25

**N = 377**

**Non respondents = 15**



A research series published by the Housing Development Agency (2012, 34) indicates that access to services by the year 2007 in Gauteng on households in informal settlements had the same average as the South African average percentages; with regard to refuse collected/removed by a municipality [see: Table 6.5.10].

**Table 6.5.10. Access to waste collection/removal in Gauteng [2007] by municipalities**

Province v/s South African average	Refuse collected by municipality
Gauteng	51%
South Africa	51%

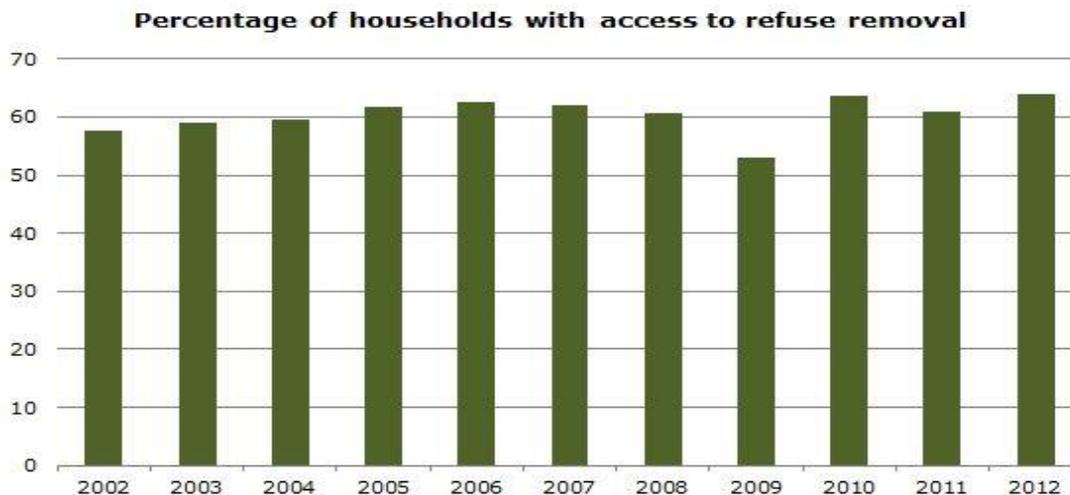
In a 2007 study titled: ‘Assessment of the status of waste service delivery and capacity at the local government level’ which was published by the Department of Environmental Affairs and Tourism [now Department of Environmental Affairs] the percentage of households with access to a weekly refuse removal service was determined [see: Table 6.5.10.1] per metropolitan municipalities in Gauteng (DEAT, 2007: 45).

**Table 6.5.10.1 Percentage access of households to a weekly waste removal service**

Metropolitan Municipality	Access [%]	Backlog [Number of households]
Ekurhuleni	95%	39691
Johannesburg	94%	57132
Tshwane	71%	198130
<b>Total</b>	<b>87%</b>	<b>294953</b>

The three metropolitan municipalities combined, represented 87% access to waste collection/removal in 2007 for all households. This was on a backdrop of a percentage just above 60%+ [see: Figure 6.5.10] when considering the National average for the year 2007 according to SSA in all households.

**Figure 6.5.10. National percentage households with access to waste collection/removal**



Source: StatsSA.2002-2013. General Households Survey (Statistical release P0318). [www.statssa.gov.za](http://www.statssa.gov.za)

The percentage of households which had access to the waste collection/removal services provided by their respective municipalities increased from 57,8% in 2002, 60%+ in 2007 to 64% in 2012. Access to refuse removal dropped to 53.1% in 2009. In 2012, Households in Gauteng [90.9%] were most likely to have their household waste collected/removed by the municipality at least once per week and they were also the ones with the highest access to waste removal.

Empirical data results from the current study indicate that the situation in informal settlements is NO different from the national and provincial averages [i.e. this includes households in houses] as predicted by SSA in 2012-2013 – amidst a 2% [66% - 64%] increase. Of the 377 respondents 250 [66%] indicated that the municipality collected/removed their waste and 102 dumping it at the street corner [an assumption is made that those who threw waste at the corner are not agreeing that it is collected/removed by the municipality regularly, either weekly]. A small number of 25 out of 377 indicated that waste is not collected/removed. Data distribution is as follows:

**Table 6.5.10.2. Combined figure of collected/removed waste per municipality [i.e. includes skip provided] – from the empirical study [see: Graph 6.5.10]**

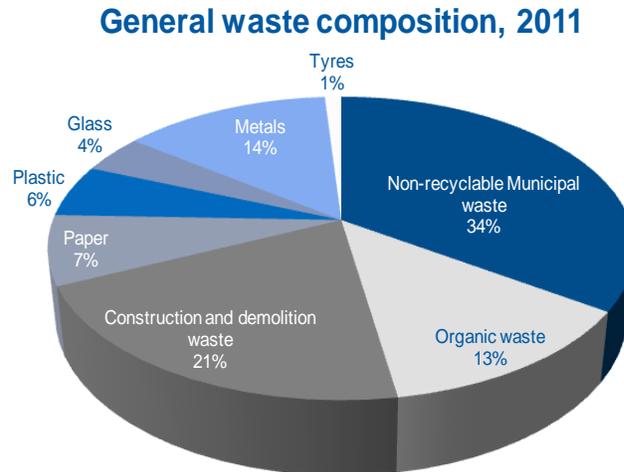
<b>Metropolitan Municipality</b>	<b>Combined figure of collected/removed waste per municipality [i.e. includes skip provided] = Access</b>
Ekurhuleni	$50+10 / 250 = 24\%$
Johannesburg	$84+35 / 250 = 48\%$
Tshwane	$69+2 / 250 = 28\%$
<b>AVERAGE TOTAL</b>	<b>250/377 66% access to waste collection/removal</b>

The results from Table 6.5.10.2, indicate that UIS that are NOT formalised and are 20 years old or more in the identified Gauteng metropolitan municipalities have a 66% access to waste collection/removal. This is a critical finding because collection of household waste is one of the most visual benchmarks of inequality in South Africa (DEA, 2012: 1).

DEA indicates that South African municipalities face a number of challenges with respect to delivering an effective and sustainable waste service to all households including: insufficient budget, skilled capacity, lack of appropriate equipment and poor access to service areas. It has emerged over the years that South Africa has a backlog in terms of provisioning of basic waste removal services. As a result, municipalities have been turning increasingly to commercialisation [i.e privatisation, outsourcing] as a way of addressing the waste collection/removal backlog (DEA, 2012: 1).

The National Waste Information Baseline Report of 2011 from the Department of Environmental Affairs [DEA], indicates that the percentage municipal waste contribution by Province in South Africa is calculated using normalised data to the baseline year, assuming equal per capita waste generation across Provinces. Gauteng produces 761 kg/capita/annum and 45% waste generated as percentage of Total waste in South Africa. The report indicates that the municipal waste composition for Gauteng could be extrapolated to fairly represent the composition of municipal waste in South Africa. The municipal waste composition for Gauteng was therefore applied to calculate GW20 [organic waste, 15%] and GW30 [construction and demolition waste, 20%]. The waste composition for general waste in 2011 based on percentage by mass which excludes biomass waste from industrial sources is depicted by the pie chart below [see: Figure 6.5.10.1].

**Figure 6.5.10.1. Composition of general waste in 2011 based on percentage by mass [Adapted from the National Waste Information Baseline Report (2011) – DEA]**



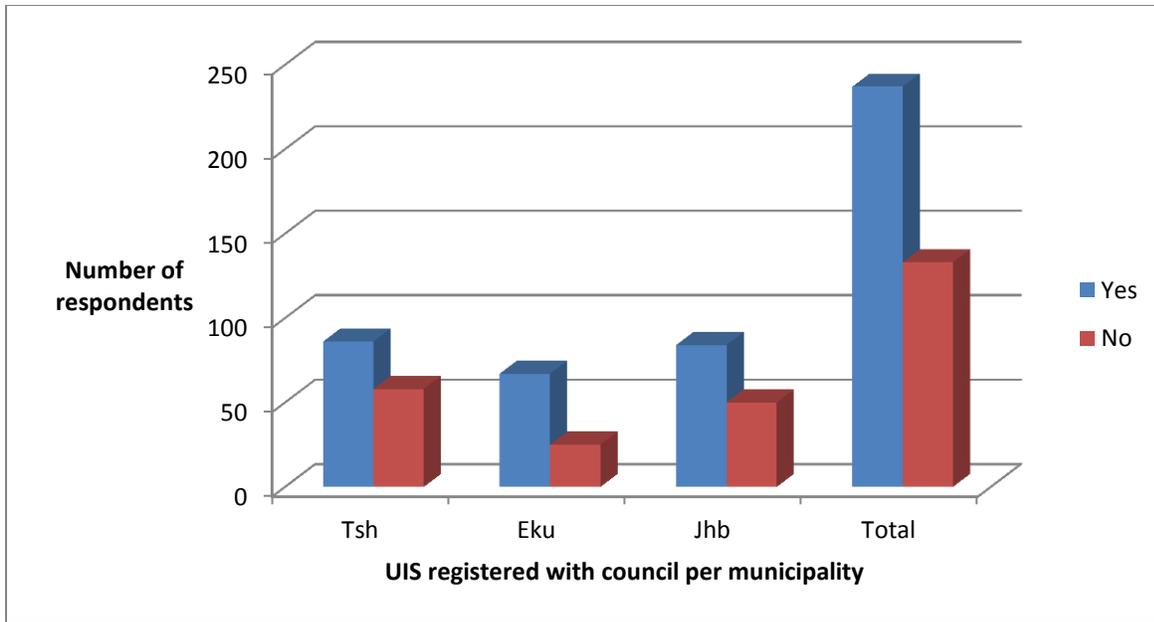
**Graph 6.5.11. Informal settlement registration with the municipality**

Graph heading	Response	Tsh	Eku	Jhb	Total
Is the informal settlement registered with the municipality?	Yes	86	67	84	237
	No	58	25	50	140

- 7 more people answered in 6.5.11.1

**N = 370 + 7**

**Non respondents = 15**

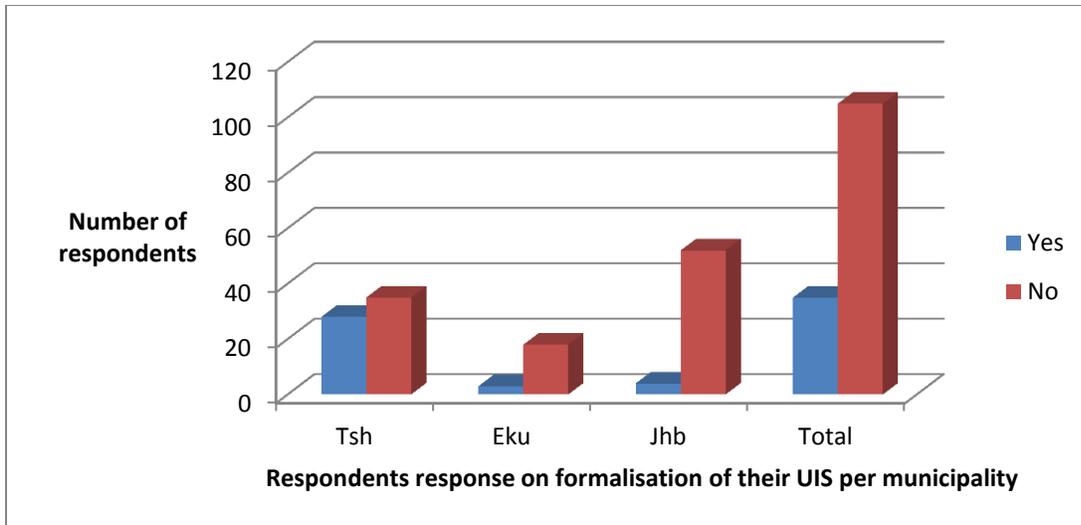


**Graph 6.5.11.1. Formalisation programme of informal settlements**

Graph Heading	Response	Tsh	Eku	Jhb	Total
If No, do you know about the formalisation programme of the municipality?	Yes	28	3	4	35
	No	35	18	52	105

**N = 140 - 7 [since 133 said No]**

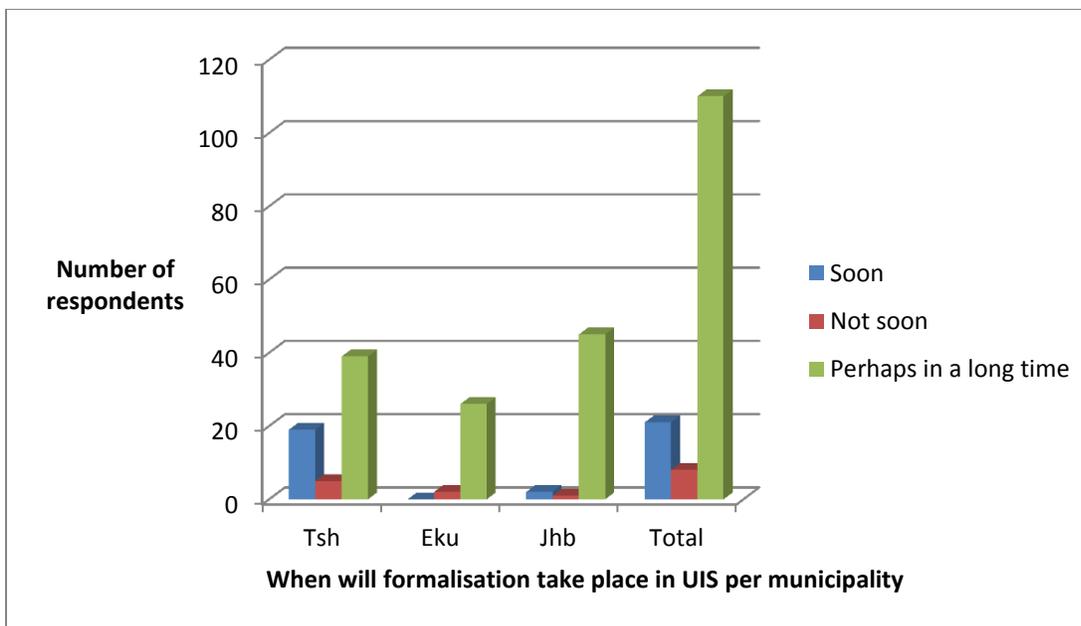
**Non respondents = 0**



**Graph 6.5.11.2. When will formalisation take place?**

Graph heading	Response	Tsh	Eku	Jhb	Total
If you know, when will it take place?	Soon	19	0	2	21
	Not soon	5	2	1	8
	Perhaps in a long time	39	26	45	110

**N = 139 - 6 [since 133 said No]      Non respondents = 0**



Empirical evidence from the study indicates that 63% [237/377] of participants in the survey know their informal settlements' registration status with the municipality. However, those who said NO [140 or 37%]; also do not know about the municipality's formalisation programme – 75% [105/140] in see: *Graph 6.5.11.1*. A further 79% [110/140] of respondents indicate that perhaps formalisation of their informal settlement will happen in a long time [see: *Graph 6.5.11.2*]. This is significant because many of the protests that occurred in Gauteng [as indicated in Chapter 5] were a result of lack of information about the intentions of the municipality in the informal settlement [i.e. in-situ upgrades; relocations and provision of basic services].

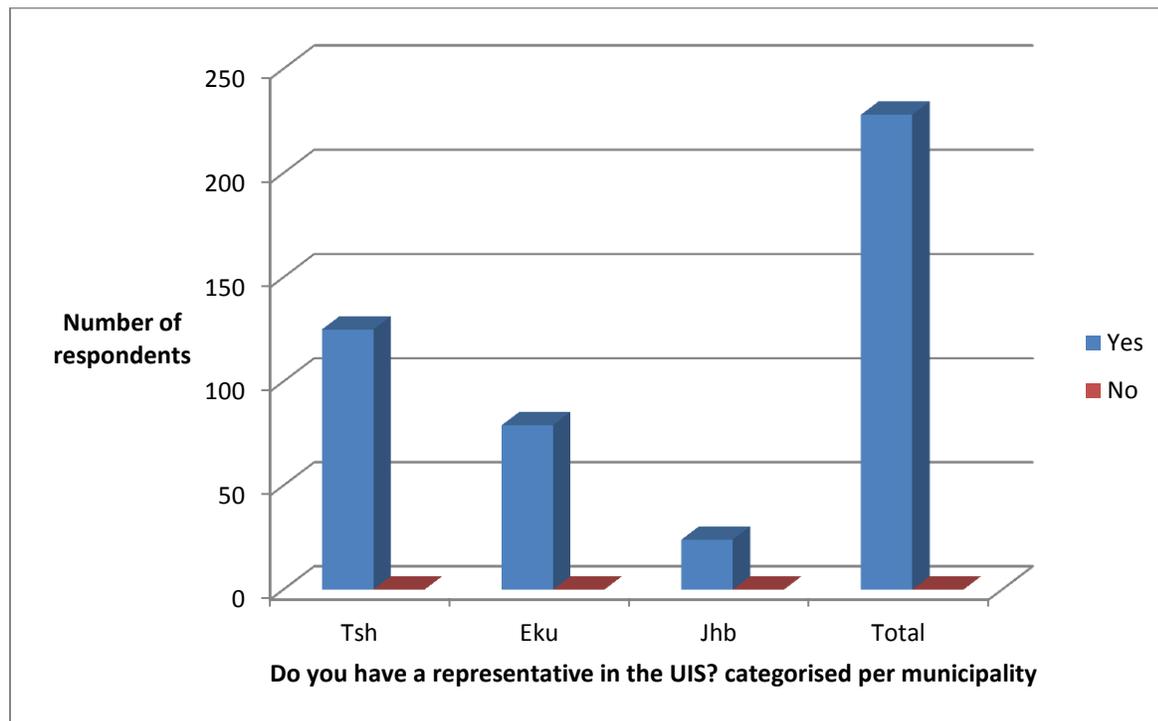
**Graph 6.5.12. Do you have a representative in the informal settlement?**

Graph heading	Item	Tsh	Ekurhuleni	Jhb	Total
Do you have a representative?	Yes	125	79	24	283
	No	0	0	0	0

- 45 more people responded below in 6.5.12.1.

**N = 283 [228+45]**

**Non respondents = 109**

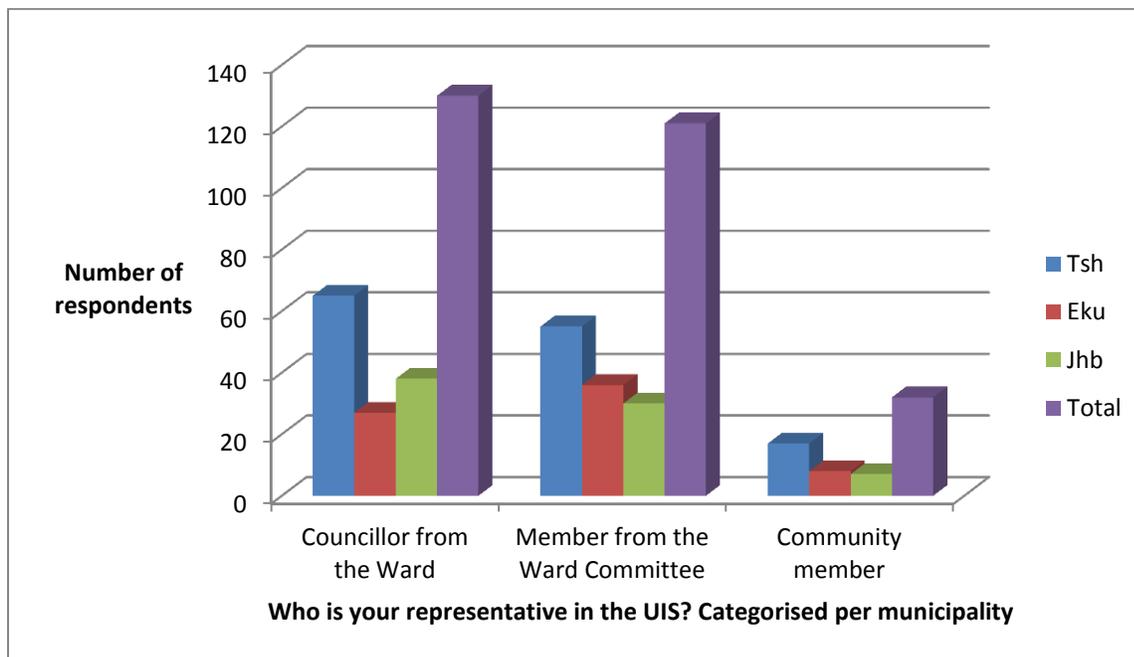


**Graph 6.5.12.1. Who is your representative in the informal settlement?**

Graph heading	Item	Tsh	Ekur	Jhb	Total
If a Yes, who is it?	Councillor from the Ward	65	27	38	130
	Member from the Ward Committee	55	36	30	121
	Community member	17	8	7	32

**N = 283**

**Non respondents = 0 <45 [since 228 said Yes]**

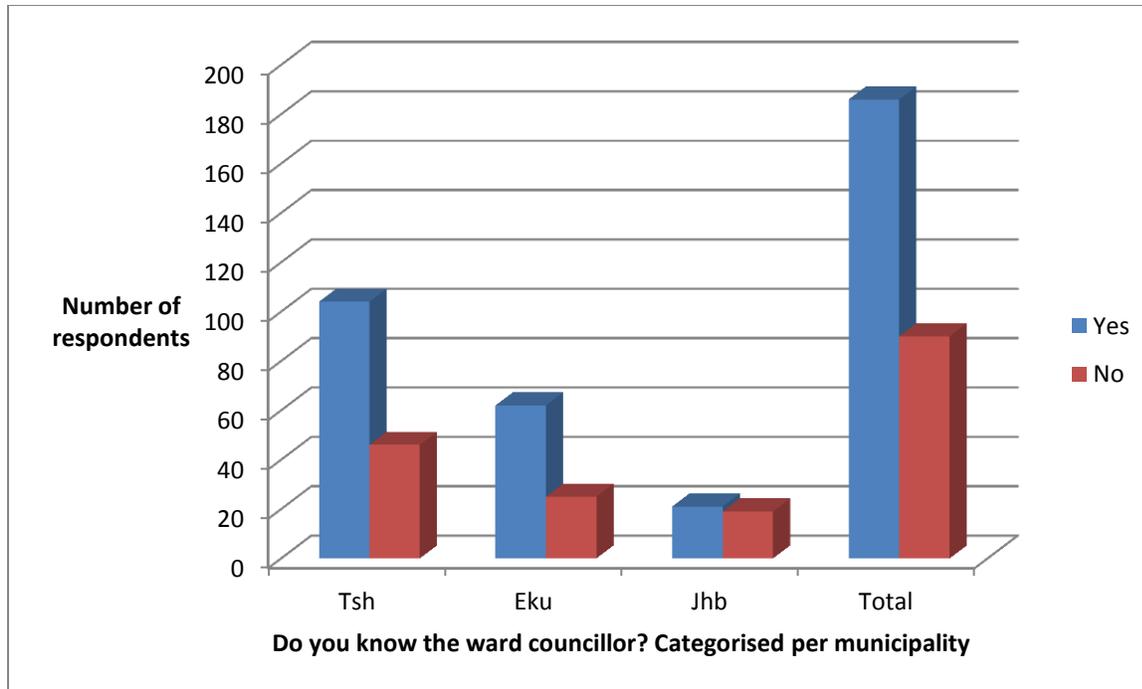


**Graph 6.5.13. Do you know the Ward Councillor?**

Graph heading	Response	Tsh	Ekur	Jhb	Total
Do you know your Ward Councillor?	Yes	104	62	21	186
	No	46	25	19	90

**N = 276**

**Non respondents = 116**

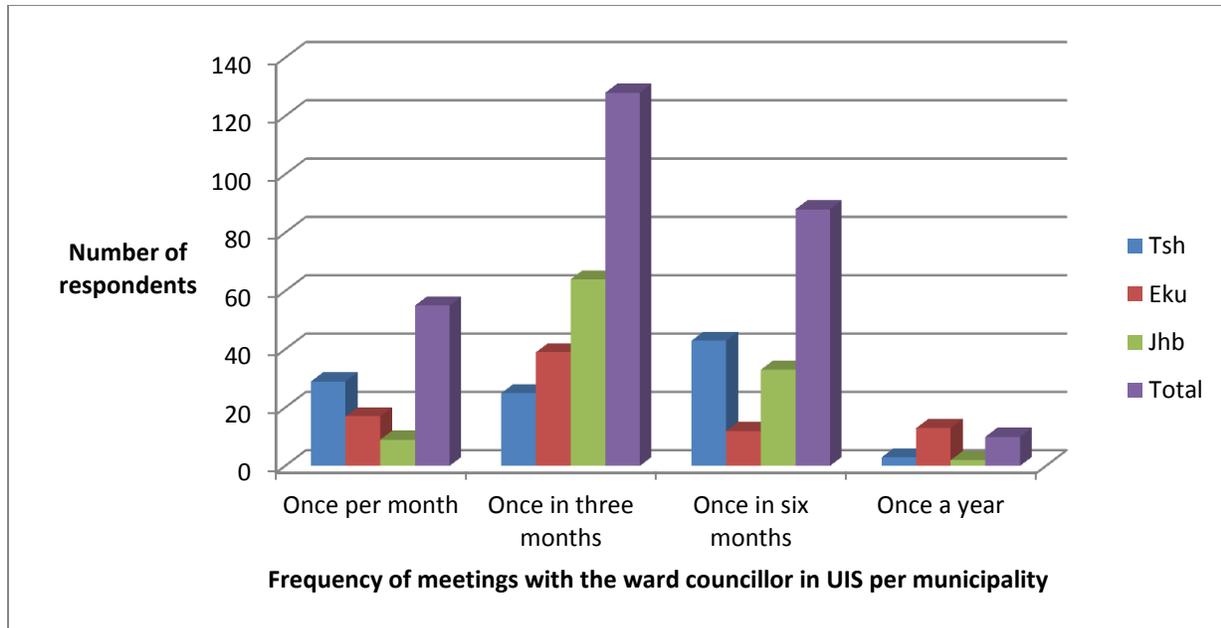


**Graph 6.5.14. Frequency of meetings with the Ward Councillor**

Graph heading	How often?	Tsh	Eku	Jhb	Total
How often do you have meetings with the Ward Councillor?	Once per month	29	17	9	55
	Once in three months	25	39	64	128
	Once in six months	43	12	33	88
	Once a year	3	13	2	18

**N = 289**

**Non respondents = 103**



Evidence from the empirical study indicates that residents of UIS in the three identified metropolitan municipalities have had opportunities to engage with their municipal councils. Respondents' in the survey questionnaire [see Graphs 6.5.12.1. & Table 6.5.13] – especially participants living in Tshwane's UIS - indicated that they have a representative who is either a councillor or member of the ward committee. Tshwane represents 42%; followed by Johannesburg [24%] and Ekurhuleni [22%]. When asked by frequency of meetings between the ward councillor and the community, participants responded in the following manner:

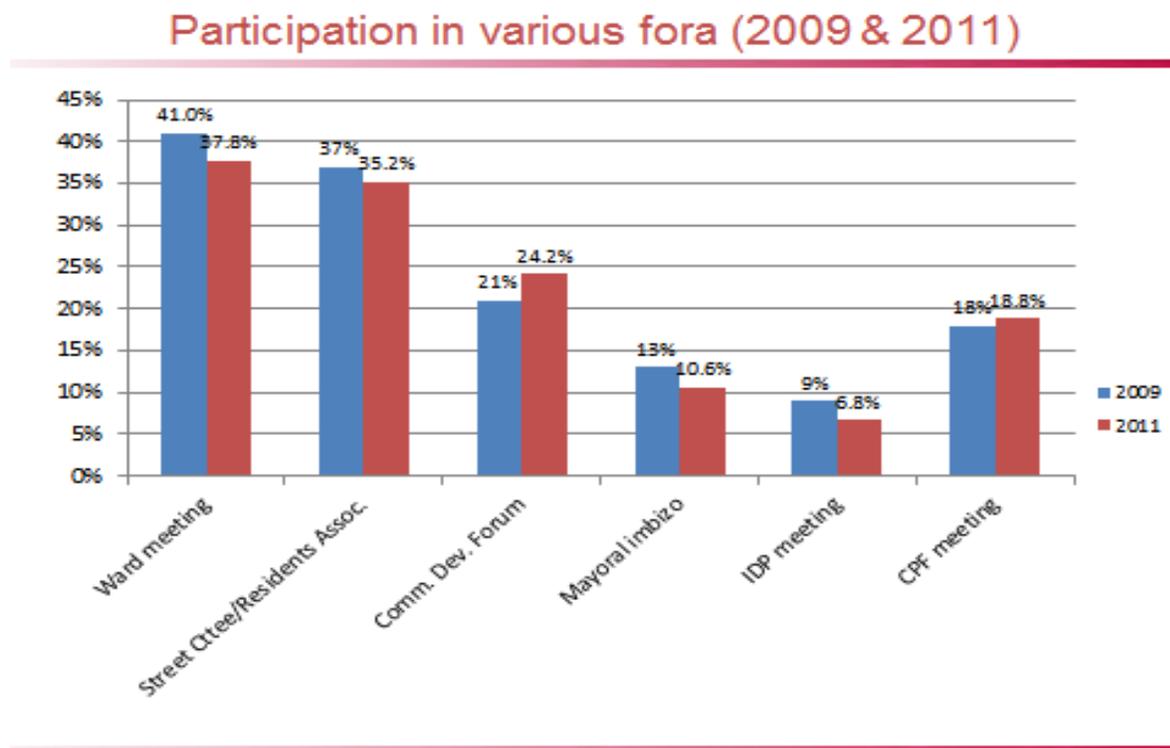
**Table 6.5.14. Frequency of meetings with the ward councillor**

Metropolitan municipality	Monthly	3 months	6 months	Yearly	Total %
Ekurhuleni	17	39	12	13	68/289 = 28%
Johannesburg	9	64	33	2	106/289 = 37%
Tshwane	29	25	43	3	97/289 = 35%
<b>AVERAGE TOTAL</b>	<b>55</b>	<b>128</b>	<b>88</b>	<b>18</b>	<b>289/289 = 100%</b>
<b>Frequency %</b>	<b>19%</b>	<b>44%</b>	<b>31%</b>	<b>6%</b>	

There is more interaction on a monthly basis between informal settlement residents in Tshwane than the other metropolitan municipalities. It is clear that the Johannesburg ward councillors interact with their informal settlements residents on a three months basis, which is more than in the other two metropolitan municipalities. Overall, the empirical study indicates that interaction between ward councillors and the communities they serve in UIS takes place more often on a six months basis [44%]; then on a quarterly basis [31%]; every quarterly [19%] and then once a year [6%].

The GCRO QoLS 2011 report findings are consistent with empirical data from current study. QoLS indicates that there is a decrease in number of participation in ward committee from 41% to 37.8%. When considering interactions on a six months basis [44%]; a quarterly basis [31%] and a monthly interaction [19%] all of them together – the average result is a 31,3% which is below the QoLS finding in 2011 – a figure which might be indicating a downward trend.

**Figure 6.5.14 Participation in various fora [Adapted from GCRO QoLS 2011]**



Chapter 4 of the *Local government: Municipal Systems Act [MSA], 32 of 2000* emphasises and creates legislative obligation for municipalities in respect of community participation. The Act has a dedicated chapter on community participation, and various other references to community participation. Moreover, participation by the local community in the affairs of the municipality must take place through political structures for participation in terms of the *Local government: Municipal Structures Act 117 of 1998* [i.e. ward committees]. There are mechanisms, processes and procedures for participation in municipal government that are established both in terms of the Acts mentioned above and by the municipality. A municipality must establish appropriate mechanisms, processes and procedures to enable the local community to participate in the affairs of the municipality, and must for this purpose provide for:

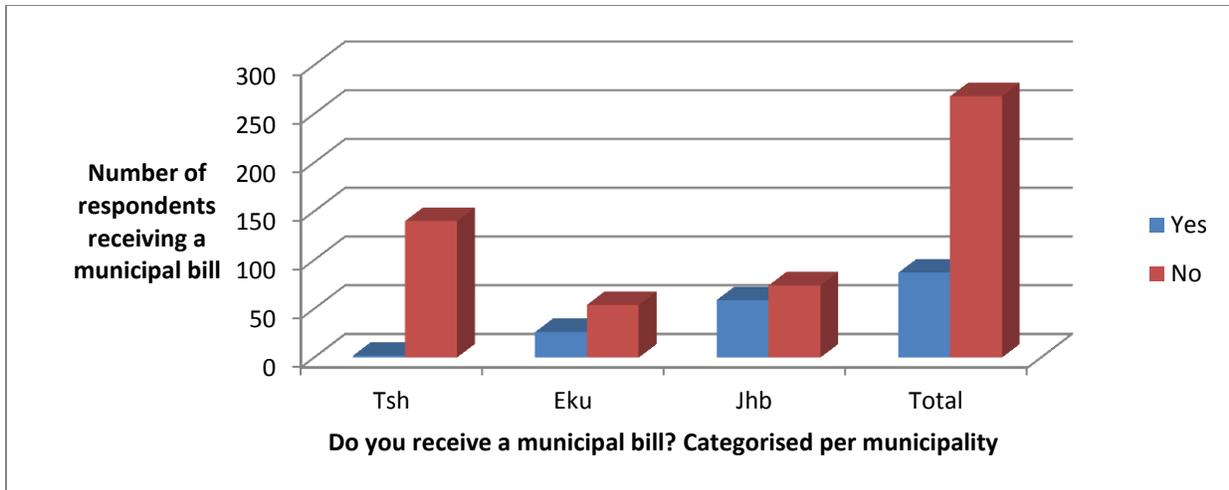
- the receipt, processing and consideration of petitions and complaints lodged by members of the local community;
- notification and public comment procedures, when appropriate;
- public meetings and hearings by the municipal council and other political structures and political office bearers of the municipality, when appropriate;
- consultative sessions with locally recognised community organisations and, where appropriate, traditional authorities; and
- report-back to the local community.

**Graph 6.5.15. Municipal bill**

Graph heading	Response	Tsh	Eku	Jhb	Total
Do you receive a bill from the Municipality?	Yes	2	26	59	87
	No	140	54	74	268

**N = 355**

**Non respondents = 37**

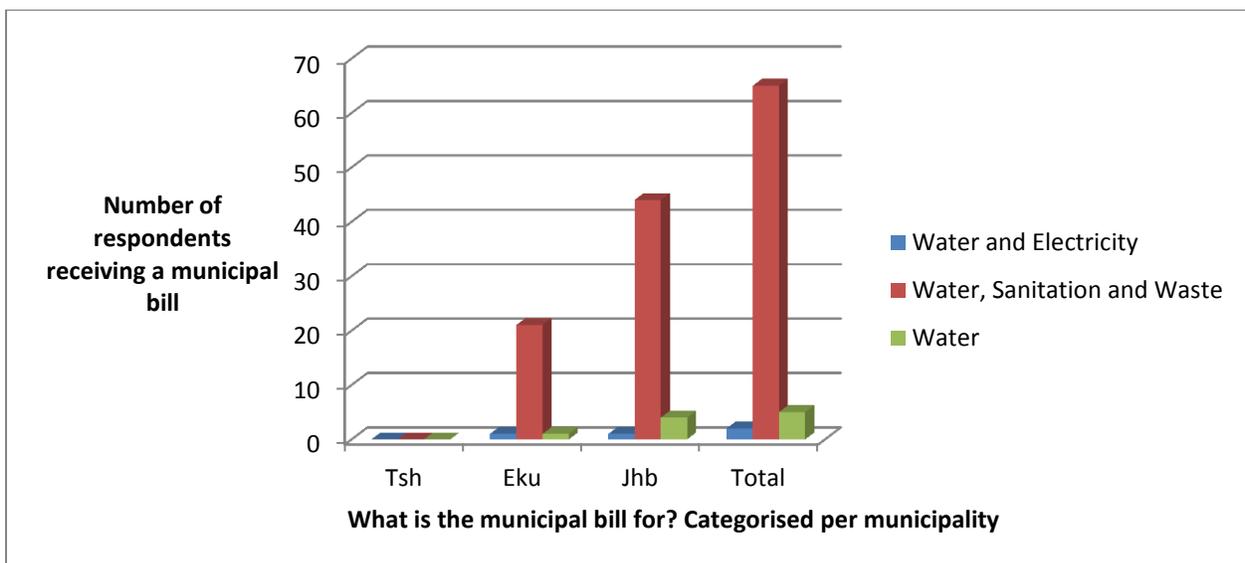


**Graph 6.5.15.1. Reason for the bill**

Graph Heading	Response	Tsh	Eku	Jhb	Total
What do you receive the bills for?	Water and Electricity	0	1	1	2
	Water, Sanitation and Waste	0	21	44	65
	Water	0	1	4	5

**N = 72 + 15 [since 87 said Yes]**

**Non respondents = 15 [since 87 said Yes]**



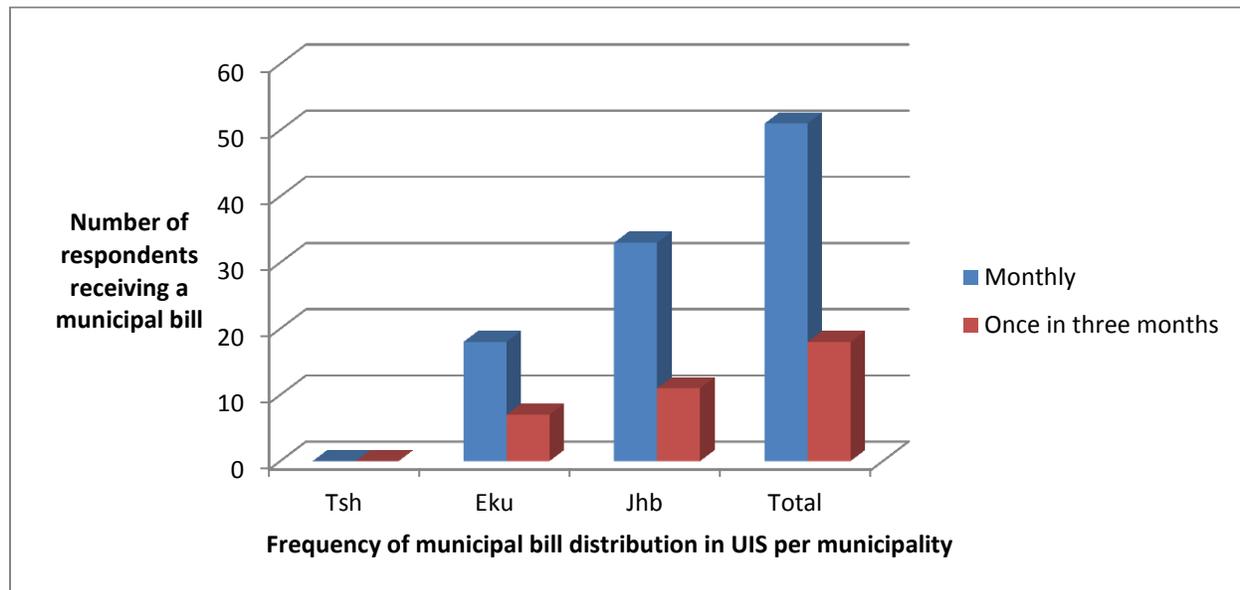
**Graph 6.5.15.2. How often do you receive a bill?**

Graph Heading	Response	Tsh	Ekurhuleni	Jhb	Total
How often do you receive a bill?	Monthly	0	18	33	51
	Once in three months	0	7	11	18

*Add 18 more people*

**N = 69 + 18 [since 87 said Yes]**

**Non respondents = 18 [since 87 said Yes]**



Housing Development Agency (2013: 24) argues that there is no data in the census to assess whether households pay for municipal services. There is data available in the General Household Survey [GHS] to assess whether households pay for services but there is no indication as to who they are paying. According to the GHS for households living in informal settlements 9% of households whose main source of drinking water is supplied by the municipality pay for water while 19% of those with a flush toilet connected to a public sewerage system pay for sewerage. A total of 58% of households who have refuse/rubbish removal services pay for the service while 70% of households connected to mains electricity pay for electricity (HDA, 2013: 24).

In the empirical study, when participants were asked about whether they use electricity, the majority of them reported that they use prepaid, while some get it directly from the municipality and a few of them are connected illegally. The summary is as follows:

Prepaid	155
Municipal	25
Connected illegally	35
<b><u>Total</u></b>	<b><u>215</u></b>

As indicated in the preceding paragraph, 70% of households connected to the mains electricity pay for electricity (HDA, 2013:24). This is consistent with the findings in the empirical study in the three metropolitan municipalities. Those who buy prepaid electricity and those who receive electricity from the municipality, when put together they give a figure just above 72% [ $155+25=180/215$ ] which is consistent with HDA's 2013 findings.

The empirical evidence from the study indicates that 75% [ $268/355$ ] of participants say that they do not receive a municipal bill or account. The majority of participants 99% [ $2/142$ ] who do not receive a municipal bill or account are in the Tshwane Metropolitan Municipality. The city alone constitutes 52% [ $140/268$ ] of all participants who responded 'NO' to the question in the survey. The other 48% who do not receive a municipal bill or account are distributed between Johannesburg [28%] and Ekurhuleni [20%] metropolitan municipalities respectively. When participants [i.e. 87 of those who responded] were asked what they received municipal bills or accounts for, their response was as follows:

Water and electricity	2%
Water, electricity and sanitation	75%
Water	6%
Non response	17%

From the figures provided above, it is clear that participants/respondents would pay for a combined municipal bill instead of different bills for a variety of services.

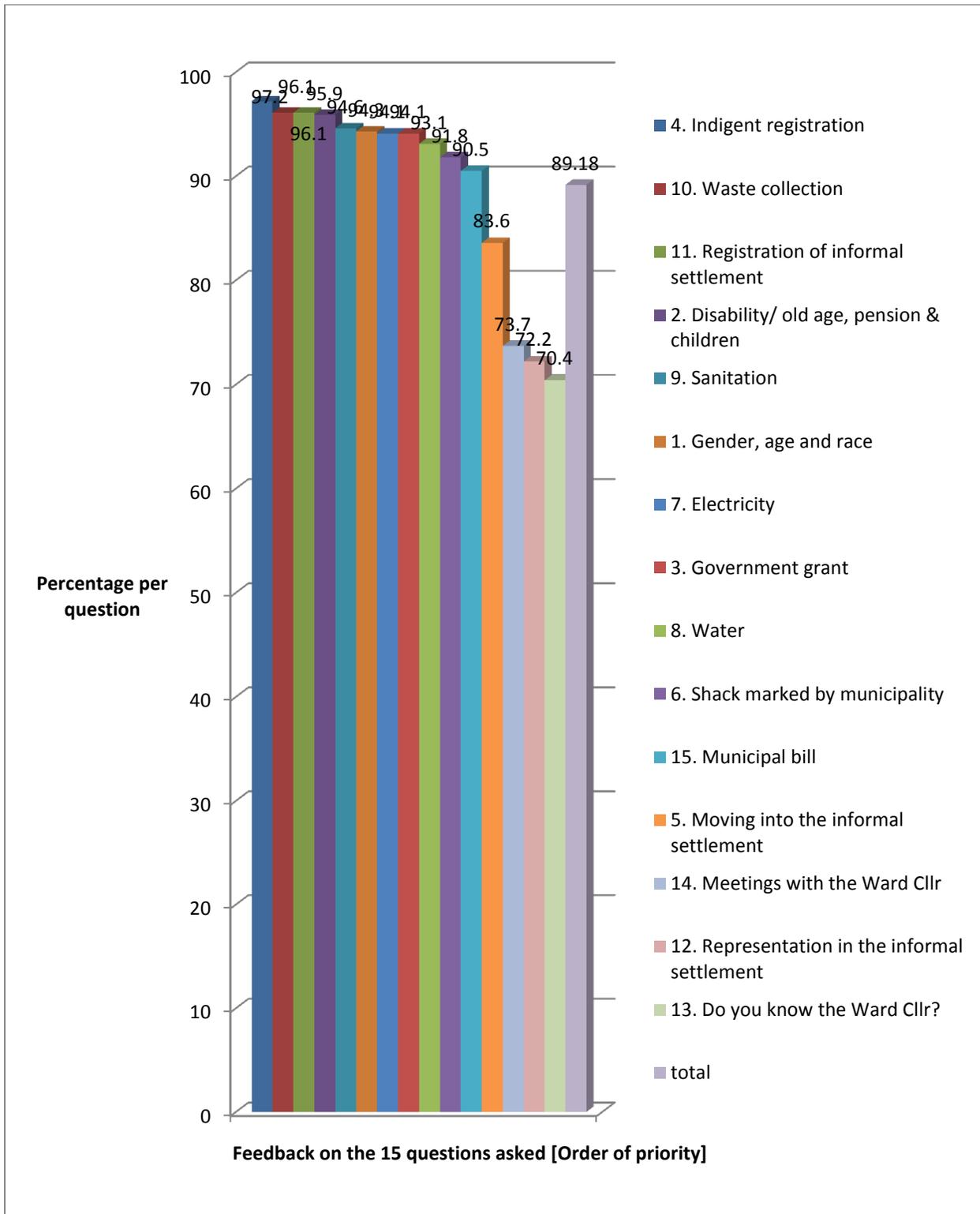
## **6.6. Analysis of participants' responses**

The 5880 [N] expected responses and out of 15 questions in the survey questionnaire, 5119 participants responded to questions. This gives a total of 761 Non respondents at 87% response rate. The following table is a summary of the highest to the lowest response per participant:

**Table 6.6.1. Analysis of participant's responses on the survey questionnaire**

Question number in the survey questionnaire	Responses received	Non respondents	Percentage [%] of respondents per question
4 – Indigent registration	381	392 – 381 = 11	97.2%
<b>10 – Waste collection/removal</b>	<b>377</b>	<b>392 – 377 = 15</b>	<b>96.1%</b>
11 – Registration of informal settlement	377	392 – 377 = 15	96.1%
2 – Disability, old age pension and children	376	392 – 376 = 16	95.9%
<b>9 - Sanitation</b>	<b>371</b>	<b>392 – 371 = 21</b>	<b>94.6%</b>
1 – Gender, age and race	370	392 – 370 = 22	94.3%
<b>7 - Electricity</b>	<b>369</b>	<b>392 – 369 = 23</b>	<b>94.1%</b>
3 – Government grant	369	392 – 369 = 23	94.1%
<b>8 - Water</b>	<b>365</b>	<b>392 – 365 = 27</b>	<b>93.1%</b>
6 – Shack marked by municipality	360	392 – 360 = 32	91.8%
15 – Municipal bill	355	392 – 355 = 37	90.5%
5 – Moving into the informal settlement	328	392 – 328 = 64	83.6%
14 – Meetings with the Ward Cllr	289	392 – 289 = 103	73.7%
12 – Representation in the informal settlement	283	392 – 283 = 109	72.2%
13 – Do you know the Ward Cllr?	276	392 – 276 = 116	70.4%
<b>TOTAL [1-15]</b>	<b>5246</b>	<b>Total expected 5880 – Respondents 5246 = Non respondents 634</b>	<b>89%</b>

**Graph 6.6. Analysis of participant's responses on the survey questionnaire**

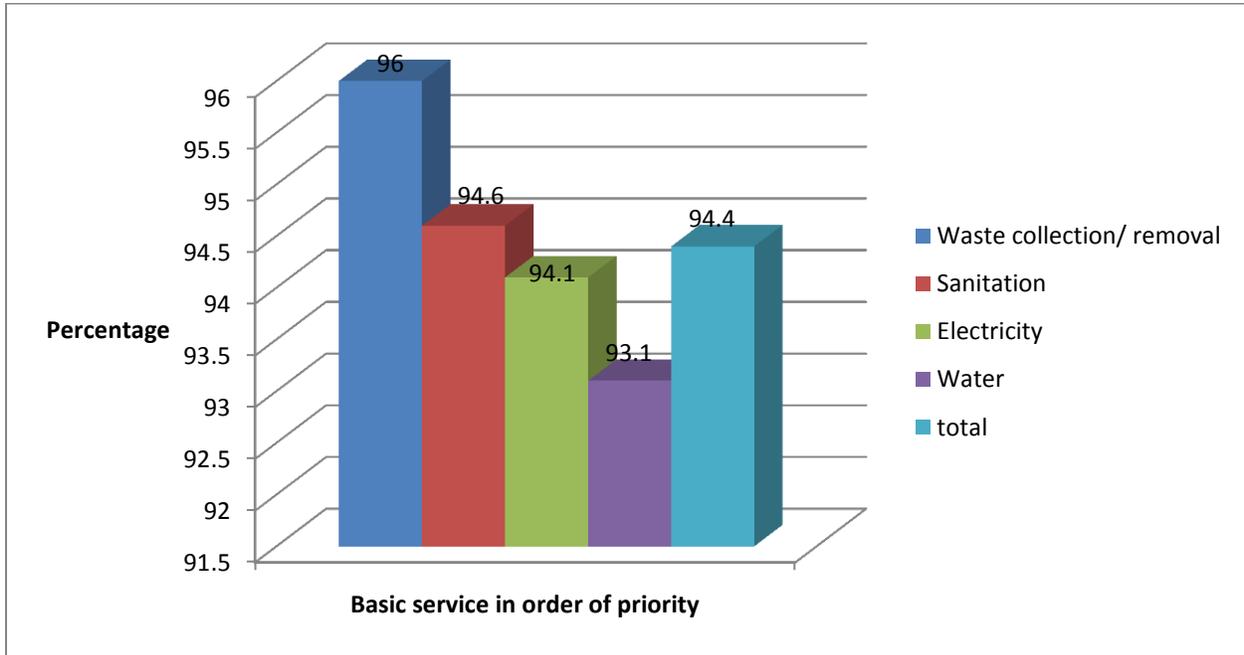


An analysis on the 15 survey question, indicates that the five top issues according to respondents in informal settlement residents, are issues on [i] indigent registration; [ii] waste collection/removal; [iii] registration of informal settlement; [iv] disability, old age pension and age; and [iv] sanitation. It is also clear that informal settlement residents are not so much concerned about their ward representatives, the councillor or ward committee members. Their lack of adequate response to questions 12, 13 and 14 bears testimony to the assertion made in this regard. In summary, participants order of priority in terms of how they responded on the four main points of discussion [i.e. minimum basic services] - responses can be categorised as follows:

**Table 6.6.2. Order of priority in terms of participants responses on minimum basic services**

<b>Order of priority [i.e. minimum basic services]</b>	<b>Number of responses</b>	<b>Expected responses and Non respondents</b>	<b>Percentage</b>
Waste collection/removal	377	392 – 377 = 15	96%
Sanitation	371	392 – 371 = 21	94.6%
Electricity	369	392 – 369 = 23	94.1%
Water	365	392 – 365 = 27	93.1%
<b>TOTAL</b>	<b>1482</b>	<b>1568 [86]</b>	<b>94.4%</b>

**Graph 6.6.2. Order of priority in terms of participants responses on minimum basic services**



When the responses on the four main points of discussion [i.e. minimum basic services] are considered, among all the 15 survey questions in the questionnaire it is clear that participants had a higher response rate compared to the average total when all questions of the survey are considered. This is significant because it indicates that participants are interested in the four issues identified. Although the empirical results indicate varying numbers and percentages, overall UIS residents are to a high degree concerned about all the four issues and how they impact on their livelihood – 94.4%. The empirical results predict that waste collection/removal [96%] and sanitation [94.6%] are the two most important issues for urban informal settlement residents in the selected metropolitan municipalities. It is also apparent that residents of these settlements are interested in the issues of electricity [94.1%] and water [93.1%] respectively.

## **6.7. Profile of residents living in an informal settlement that is not formalised and is 20 years or older, in the three Gauteng metropolitan municipalities**

The empirical study allows the researcher to determine 15 traits that can be used to profile *residents living in an informal settlement* that are NOT formalised and are 20 years or older - in the three metropolitan municipalities in Gauteng as follows:

1. They are mostly occupied by Black Africans [97% chance] - 57% are female and 43% male;
2. Residents are mostly between the ages of 25-60 [75%] and those between the ages of 25-45 account for 61% of the total population;
3. Households are likely to have two or more children [73%] and 9,3% of residents are living with a disability;
4. Close to half [48.7%] of the residents receive a social grant and is mainly a child support grant – 86%;
5. Most residents are unemployed [73%];
6. Two thirds of the residents [67%] are not registered as indigent families;
7. Those who are employed [23%], earn on average between R1000 - R4000;
8. Those who are employed use public transport to go to work [80%], 18% walk to work and the remaining 2% use a car as means of travel to work.
9. Their UIS is likely to be registered with the municipality [64%]; two thirds [67%] of residents live in shacks that have been marked by the municipality and they don't receive a municipal bill [75%];
10. Almost half of residents have access to electricity [49%] and are using a pre-paid electricity system;
11. Just over half of the residents have water supply through a Jojo tank or from a tap within a 200m radius from the household [only 51% access];
12. Most residents are using a pit latrine toilet [54%] and a few use a bucket latrine [10%] for sanitation purposes. 66% of all respondents in UIS do not have access to sanitation;

13. Their municipality is likely to come once a week in the urban informal settlement to collect/remove waste [66% have access];
14. They are not aware when the municipality will formalise their UIS [79%];
15. Two thirds [67%] know the ward councillor and have at least have a meeting once in three months or at most in six months with an elected public representative.

#### **6.7.1. Eradication of informal settlements – the 2004 ‘Informal Settlements Upgrading Programme Business Plan’ [ISUPBP]**

The profile in the preceding section is a product of programmes and projects that were undertaken by government in the national, provincial and municipalities in Gauteng. In a document titled: ‘Breaking new ground’ 2004 – *A COMPREHENSIVE PLAN FOR THE DEVELOPMENT OF INTEGRATED SUSTAINABLE HUMAN SETTLEMENTS*. The Department of Human Settlements [DHS] indicate that there is a need to acknowledge the existence of informal settlements and recognise that the existing housing programme will not secure the upgrading of informal settlements. There is also a need to shift the official policy response to informal settlements from one of conflict or neglect, to one of integration and co-operation, leading to the stabilisation and integration of these areas into the broader urban fabric. The programme implementation status was expected by 2007/8 financial year (SA – DHS, 2004: 24 - 25).

The DHS also outline a process with specific interventions that will be used for the eradication of informal settlements through in-situ upgrading in desired locations, coupled to the relocation of households where development is not possible or desirable (SA – DHS, 2004: 25). The process is outlined in the departments ‘Informal Settlements Upgrading Programme Business Plan’ and interventions are:

- New funding mechanism for informal settlement upgrading – The funding mechanism support the upgrading of informal settlements through a phased process:
  - Phase 1 – The first phase will survey the community, will determine the housing and infrastructural needs of the community through a

process of consultation and will determine the geo-technical and physical suitability of the land for in situ upgrading.

- Phase 2 – The second phase focuses on the *provision of basic services, social amenities and secure tenure to the entire community.*
- Phase 3 – During the final phase, housing is to be developed in response to community demand and may take a variety of forms including medium-density housing and free-standing houses constructed through mutual aid and community self-help or local contractors.
- o Implementation – Upgrading projects will be implemented through partnership between National, Provincial government and municipalities and will commence with nine pilot projects, one in each Province building up to full programme implementation status by 2007/8.

According to this report, an expectation was created, that after pilot projects for the eradication of informal settlements through in-situ upgrading and relocation of households where development is not possible or desirable – the 2007/8 financial year would mark full programme implementation status. It was envisaged that the identification of pilots would proceed from October 2004 and that the programme will be fully operational from 1 April 2005 (SA – DHS, 2004: 25). This aspects like the *provision of basic services, social amenities and secure tenure to the entire community* would have been realised.

The report of the DHS is significant because it gives credible evidence that the South African government had a plan in place - 'Informal Settlements Upgrading Programme Business Plan' to eradicate informal settlements through a phased approach. Therefore this fact must be considered during the assessment and measuring of impact [Impact Evaluation – IE]. This means that evaluation [IE] should consider the period from 2007 when the plan was put in place to at least a period not less than 2011 when full implementation was initially supposed to have occurred.

## 6.8. Impact Evaluation based on SSA Census 2001 and 2007 Community Survey

Tables 6.8.1 – 6.8.4 provide a summary of the Impact Evaluation [IE] conducted for the selected list of four basic services [i.e. electricity, water, sanitation and waste collection/removal]. Comparisons are made with SSA Census 2001 and Community Survey 2007 to assess impact and measure improvements or regression, if any. The year 2007 is significant, because the GWM&E was introduced in that year.

**Table 6.8.1. Access to electricity comparisons with Census 2001 and Community Survey 2007**

ELECTRICITY	2001	2007	Current Empirical study findings in 2014	Impact Evaluation
Candle & Parrafin	70%	68%	33%	+35%
Prepaid/From City	30%	30%	49%	+19%
Other	1%	1%	18% [Illegally connected; Gas; Generator and None]	-17%
Access to Electricity %	30%	30%	49% [Below MDGs by 1%]	+19%

- Out of 369 respondents

**Table 6.8.2. Access to water provision comparisons with Census 2001 and Community Survey 2007**

WATER	2001	2007	Current Empirical study findings in 2014	Impact Evaluation
Piped water in dwelling or yard	38%	37%	0%	-37%
Piped water on community stand [Jojo Tank and Street tap]	52%	57%	51%	-6%
Other	10%	5%	49% [No access to water]	-44%
Access to water %	90%	94%	51% [Above MDGs by 1%]	-43%

- Out of 365 respondents

**Table 6.8.3. Access to sanitation provision comparisons with Census 2001 and Community Survey 2007**

SANITATION	2001	2007	Current Empirical study findings in 2014	Impact Evaluation
Pit latrine	46%	54%	54% 	0%
Flush	27%	26%	34% [Have access] 	+8%
Bucket latrine	9%	4%	10% 	-6%
Others [i.e. None]	17%	17%	2% 	+15%
Access to sanitation %	27%	26%	34% [Below MDGs by 16%] 	+8%

- Out of 371 respondents

**Table 6.8.4. Access to waste collection/removal comparisons with Census 2001 and Community Survey 2007**

WASTE	2001	2007	Current Empirical study findings in 2014	Impact Evaluation
Removed by municipality once a week	57%	49%	54% 	+5%
Own refuse dump/street corner/ No rubbish disposal	23%	23%	27% 	-4%
Communal refuse / skip	7%	10%	12% 	-2%
No rubbish disposal	9%	16%	7% 	+9%
Access to waste collection/removal %	64%	59%	66% [Above MDGs by 16%] 	+7%

- Out of 377 respondents

**Summary results on Impact Evaluation [IE] findings using MDGs as a predetermined target [50%] – comparison with SSA Census 2001 and Community Survey 2007:**

Electricity	49% [Below MDGs by 1%]	—
Sanitation	34% [Below MDGs by 16%]	—
Water	51% [Above MDGs by 1%]	+
Waste collection/removal	66% [Above MDGs by 16%]	+

**6.9. Impact Evaluation based on the MDGs country report of South Africa in 2013**

After creating a profile in 6.7 above, it is critical to conduct a measurement of impact [i.e. Impact Evaluation] of the reform programme [GWM&E] based on the United Nations Millennium Development Goals in the context of the South African government. The MDGs are expected to be achieved by 2015 – 50%. For the purpose of this study, the outcomes and results of the empirical study in 6.7 above will be compared with the statistics produced by South Africa’s MDGs country report of 2013. The IE assesses the changes that can be attributed to a particular intervention.

The IE will determine whether the performance monitoring and evaluation [PME] system as introduced by the South African government, through the Government-wide Monitoring and Evaluation [GWM&E] policy, under the Department of Performance Monitoring and Evaluation [DPME] in metropolitan municipalities in Gauteng Province, had an effect on the efficiency and effectiveness of the delivery of minimum basic services in urban informal settlements [water, electricity, sanitation and waste collection/removal], since its introduction in 2007.

City managers [i.e. Ekurhuleni, Johannesburg and Tshwane] in their response to the questionnaire that was administered indicated that they have an enterprise-wide monitoring

and evaluation system with staff in the respective offices. Through this office, the municipalities concerned conduct performance monitoring and evaluation on a quarterly basis. Results of their responses are contained in Graphs 6.4.13 – 6.4.15. The objective is to measure whether the reform programme of government [in a municipality] is producing intended results and assist to attain the targeted results [i.e. MDGs – 50% by 2015].

**Table 6.9.1. Similarities between South African development objectives and the MDGs**  
**[Adapted from SSA, Millennium Development Goals (MDGs) - Country report 2013: South Africa – page 18]**

<b>Government programme since 1994</b>	<b>Development objective</b>	<b>MDG comparable goal or target</b>
Integrated, Sustainable Rural Development Programme - ISRDP  and  Urban Renewal Programme - URP	Implement access to free basic services (water, sanitation, and electricity)	Goal 7: Halve the proportion of people without sustainable access to safe drinking water and basic sanitation.

The South African government argues that it has demonstrated coherence between its agenda for development and the Millennium Development Goals [MDGs]. According to the 2013 country report on MDG, the policy and programme tools that are used to address the development challenge are processes of managing and leading what is termed the continuity of change. The national agenda implemented through RDP and GEAR in the first fifteen years of democracy and through NDP and NGP, constitute this continuity of change. The argument presented by the South African government is that MDGs do not constitute a separate development agenda from the national effort; they are an integral part of that agenda (SA-SSA, 2013: 17). Table 6.9.2 below provides the comparison:

**Table 6.9.2. Proportion of households below Food Poverty (R321 per month in 2011 prices) with access to free basic services (%) [Adapted from SSA, Millennium Development Goals (MDGs) - Country report 2013: South Africa – page 26]**

Basic Service	MDGs status – National Proportion of households below food poverty [R305 per month in 2009 prices]	Urban Informal Settlements in the three Metropolitan municipalities in Gauteng	Total Impact percentage as compared to MDGs target of 50%
Electricity	65% [More than half] ↑	49% [Below target] ↓	< - 1%
Sanitation	23.3% [Below target] ↓	34% [Below target] ↑	< -16%
Water	56% [More than half] ↑	51% [Below target] ↓	< - 5%
Waste collection/removal	28.3% [Below target] ↓	66% [Above target] ↑	> +16.7%

The report by Statistics South Africa on MDGs indicates that there are no set targets on proportion of households below Food Poverty [R321 per month in 2011 prices] with access to free basic services (%) and in particular water; electricity; sanitation and waste collection/removal. However, it has been indicated in Table 6.8.1 above that the MDG comparable goal or target is Goal 7. The goal is clear that the intention is to halve the proportion of people without sustainable access to safe portable water and basic sanitation. As a result the target for 2015 is 50%. For the purposes of the current study, a 50% target will be adopted and used including for electricity and waste collection/removal as they form part of minimum basic services in the South African context.

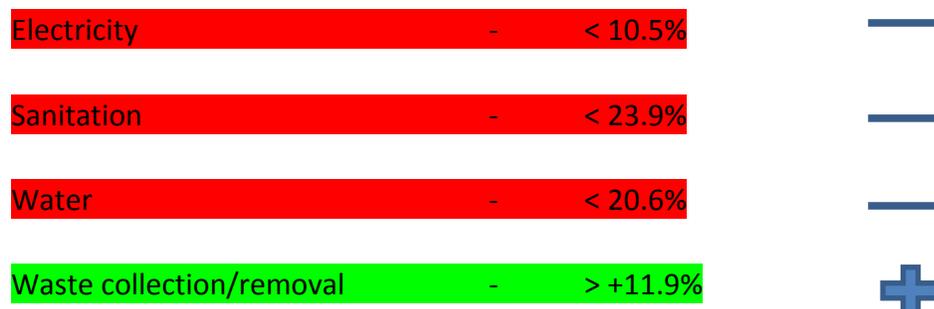
This argument is supported by an earlier presentation in chapter 1, that Part B of Schedule 5 [exclusive provincial competence] of the 1996 Constitution, identifies services that fall within the ambit of the sphere of local government and its constituent municipalities. The part of the

Constitution as it has relevance and for purposes of the study – the minimum basic services means: *water, sanitation, electricity, and waste collection/removal*. Considering the argument as presented in the preceding paragraph together with the findings as outlined in Table 6.8.2 – Metropolitan municipalities are performing below MDGs target of 50%. Summary results in order of priority [lowest/far from target to highest/closest to target] indicate the following:



**Table 6.9.3. Percentage of indigent households receiving free basic services [Adapted from SSA, Millennium Development Goals (MDGs) - Country report 2013: South Africa – page 26]**

Basic service	2004	2007	2011	2014 [% in the study]	Difference [2014-2013]
Electricity	29.3%	50.4%	59.5%	49%	-10.5%
Sanitation	38.5%	52.1%	57.9%	34%	-23.9%
Water	61.8%	72.3%	71.6%	51%	-20.6%
Waste collection/removal	38.7%	56.6%	54.1%	66%	+11.9%



When the findings of the empirical study are compared with the percentage of indigent households receiving free basic services [Table 6.9.3.] the outcome is worse than when they are compared with MDGs as outlined in Table 6.9.2 which measures proportion of households below Food Poverty [R321 per month in 2011 prices] with access to free basic services. The results of the comparative analysis points to under-performance by metropolitan municipalities, in providing minimum basic services in identified UIS.

When considering the fact that all selected UIS in the empirical study are above 20 years or older – the findings show a negative trend. Thus, the findings indicate that the eradication of the informal settlements *plan* [*The 2004 'Informal Settlements Upgrading Programme Business Plan'*] that was implemented by the Department of Human Settlements [DHS] and which was expected to eradicate informal settlements [i.e. urban and rural] through a phased approach by the 2007/8 financial - has had minimum impact or performed below expected results in Gauteng's UIS in particular.

The outcomes substantiate the assertion that the Urban Renewal Programme [URP] of the government has not achieved similar results that are shown nationally by SSA in the 2013 MDGs country report – when compared with empirical study results in UIS that are located in Gauteng's metropolitan municipalities. This finding is substantiated when empirical study results are compared with the national average in both indigent households receiving free basic services and proportion of households below Food Poverty.

It can be argued that although the national average figures are showing an upward progression in most areas [i.e. especially in indigent households receiving free basic services] and surpassed the MDGs [50% target] in some instances, the overall outcomes in UIS that are not formalised and are 20 years or older, indicate a target *output percentage combined* of exactly 50% [*Electricity 49% + Water 51% + Sanitation 34% + Waste collection/removal 66% = 200%/4 = 50%*]. However, the results remain below 50% when services are considered individually – especially electricity and sanitation remain below 50% in all comparisons.

The enterprise-wide performance monitoring and evaluation system that the city managers conduct quarterly should have picked up an early warning: that the provision of basic services

in UIS [i.e. 20 years and older] is not on par with national averages and are not improving to reach MDGs set target of 50%, sooner than 2015 – as it has been the case with the national findings provided by Statistics South Africa [SSA] 2013 report on MDGs. The SSA 2013 country report indicates that MDGs set target of 50% by 2015 was long achieved in 2007 when considering indigent households receiving free basic services – a category that most of the unemployed in UIS [i.e. 73% according to the empirical study findings].

## 6.10. Conclusion

The quantitative study assists in the process of bridging the gap between theory and practice, which are critical for success in research. The empirical research is a rigorous practical interdisciplinary study of governance and public management with special focus on performance monitoring and evaluation in municipalities – using Impact Evaluation [IE]. Empirical data from the survey questionnaires were compared to the United Nations eight Millennium Development Goals [MDGs] and other existing research data from various sources – but mainly empirical data from Housing Development Agency [HDA] in the Department of Human Settlements [DHS] and Statistics South Africa's [SSA] various survey research reports [i.e. Census 2001 and 2011, Community Survey 2007, General Household surveys].

Sample surveys were preferred in the method. Questionnaires were administered to three city managers and 392 community members. In total, 395 questionnaires were distributed. A cluster sampling technique was selected as the preferred method to determine the sample size. Furthermore a two-stage cluster method was deployed, where a case of multistage sampling is obtained by selecting cluster samples in the first stage and then selecting a sample of elements from every sampled cluster. In the first stage,  $[n - 28]$  clusters were selected using the ordinary cluster sampling method. In the second stage, simple random sampling was used when selecting specific informal settlements.

There are 397 UIS in total in the three metropolitan municipalities considered in the study. An important observation is that the City of Johannesburg represents the largest population of UIS in metropolitan municipalities in Gauteng Province. It is followed by Ekurhuleni, then the City of Tshwane. However, Ekurhuleni has less UIS than Johannesburg and Tshwane respectively when considering UIS that are not formalised and are 20 years or older.

The total number of 397 was then reduced to 191, after selecting UIS that are not formalised and are 20 years or older. These UIS were specifically selected because they have attributes of what defines an informal settlement and more importantly that the 20 year period coincided

with the advent of democracy in South Africa 1994-2014 [limitation of the study]. This selection was done so that the researcher can determine the extent of provision of services. This brought the number from 191 to 72 – which is the sampling frame. After determining the sample frame, it was then necessary to calculate the *representativeness of the sample size* based on a 95% confidence level. It was argued that sample size is an important scientific requirement if the findings of the empirical study are to be regarded as *precise and accurate*.

An estimate of the margin of error [or confidence interval] was then determined using a formula -  $1/\sqrt{N}$ , where  $N$  is the number of participants or sample size. The rule of thumb in this instance states: ‘the more precise you need the estimate, the more people you need’. This was followed by a representative calculation of the two-stage cluster sampling; which determines the number of UIS and the participants. This determination allows the researcher to generalise the findings to the wider population. The result was 28 UIS and 392 participants respectively, with 14 participants chosen per settlement which resulted in 392 [28 x 14] respondents that were randomly selected for the survey.

An equal-probability method was adopted, thus, each participant in the survey had an equal chance of being selected. The reason for adopting an equal-probability method is because systematic sample units are uniformly distributed over the population – which is the case in point with regards to UIS. This means that any person can be selected.

Results of the two surveys were then processed and analysed in two sections. Firstly, the three questionnaires from city managers and secondly the 392 questionnaires from community members in the identified UIS from the three metropolitan municipalities were considered. A conclusion can be reached that the empirical study used a statistically valid method that is logical and scientific. The findings can therefore be generalised and regarded as precise and accurate.

## **City Managers responses**

The findings and outcomes are documented in the chapter on graphs [6.4.1.1.1 – 6.4.1.1.15] and on various tables. However for the purposes of the observation and conclusion, only the critical aspects of the findings will be highlighted. Results from the questionnaire sent to city managers indicate that there are 397 informal settlements with the highest number in Johannesburg [45%], Ekurhuleni [30%] and then Tshwane with the lowest number [25%].

Ekurhuleni's UIS population mirror its own total population size in terms of representation in the Province, which is 30% of the total Gauteng population – Johannesburg and Tshwane are close at 42% to 45% and 28% to 25% respectively. Responses from the city managers are contrary to the findings from community members when it comes to the number of shacks that have been marked. The finding is that 67% of shacks were marked instead of 100% as indicated. Budgets for formalisation of UIS differ in all identified metropolitan municipalities in Gauteng.

According to city managers' responses, Johannesburg has the highest number of the protest actions, followed by Ekurhuleni and with no reported protest action in Tshwane. However, reports from other sources indicate that Tshwane follows Johannesburg in terms of protests action recorded. The main issues raised during protest actions have to do with housing provision; electricity; water; sanitation and corruption. This finding is consistent with data from Municipal IQ and other sources as discussed in Chapter 5.

Statistics South Africa [SSA] Census 2011 report has indicated that the influx of people into UIS is reaching equilibrium and the figures are show a stabilisation pattern – 376 014. However, the total population of households in Gauteng according to city managers is 498 170 in the three municipalities. The difference in estimation is 122 156 households – which is 25%. The statistical gap is significant between what metropolitan municipalities are indicating versus the findings from SSA Census 2011 – perhaps it is a result of growth between 2011 and 2014.

An important observation from the findings of city managers is that all the three cities have an Enterprise-wide performance monitoring and evaluation division/office and they individually

conduct performance monitoring and evaluation quarterly [four times a year] based on targets in their Service Delivery and Budget Implementation Plans [SDBIP].

### **Community members' responses**

The findings and outcomes are documented in the chapter on graphs [6.3.1. – 6.5.15.2] and on various tables. However for the purposes of the summary, only the critical aspects of the findings will be highlighted. The results from the community survey in UIS provided more information than the one received from city managers.

Analysis of participant's responses show an 89% overall participation percentage of all the 15 questions asked. This is significant for the purposes of generalising the findings. More importantly, the order of priority in terms of participants' responses on minimum basic services showed a higher percentage on the four services in the study [waste collection/removal – 96%; sanitation – 94.6%; electricity 94.1% and water – 93.1%]. There was an overall participation percentage of 94.4%.

Responses from the questionnaire are summarised in the 15 traits that can be used to profile residents living in an informal settlement that are not formalised and are [20 years or older in the three metropolitan municipalities in Gauteng. A discussion on the Impact Evaluation based on the SSA Census 2001; Community survey 2007 and 2013 South Africa report on MDGs was engaged. The intention was to compare findings of the empirical study; the current status [i.e. 2013] based on a different epoch of Statistical findings by SSA - on the provision of minimum basic services for indigent households receiving free basic service and households below *Food Poverty* [R321 per month in 2011 prices]. It was mentioned in the chapter 6, that for the purposes of the current study, a 50% target is adopted and used, including for electricity and waste collection/removal as they form part of minimum basic services in the South African context – even though they are not specifically mentioned in MDG 7.

The objective of the comparisons was to check whether government programmes like URP and the 2004 'Informal Settlements Upgrading Programme Business Plan' [ISUPBP] by the Department of Human Settlements have produced results as expected or had an impact.

Discussions in the chapter demonstrated that the South African government has coherence between its agenda for development and the Millennium Development Goals [MDGs]. The governments' agenda on the implementation of policy of RDP and GEAR in the first fifteen years of democracy to implementation of the current NDP and NGP has over the period integrated the process towards the achievement of MDGs. In essence, MDGs are an integral part of the South African government development agenda.

The enterprise performance monitoring and evaluation that city managers conduct every quarter was also checked if it had a positive impact or resulted in increased access of basic services in informal settlements under discussion. The Government-wide Monitoring and Evaluation [GWM&E] policy; under the Department of Performance Monitoring and Evaluation [DPME] in metropolitan municipalities in Gauteng Province was assessed. In particular how the policy assisted government in the delivery of minimum basic services in UIS [water, electricity, sanitation and waste collection/removal].

The findings show that although the identified UIS in the study, have access to basic services, the percentage as compared to indigent households receiving free basic service and households below Food Poverty (R321 per month in 2011 prices) with access to free basic services is less – low impact since ISUPBP and URP were implemented. The outcome is that less than 50% was achieved in two services [electricity 49% and sanitation 34%] of the basic services and more than 50% in the other two services [water 51% and waste collection/removal 66%].

It can be stated that the results of the comparative analysis points to under-performance by metropolitan municipalities in adequately providing minimum basic services in identified UIS. Meaning, the GWM&E in municipalities [i.e. Enterprise-wide monitoring and evaluation] as managed by city managers had a 50% combined impact on the three basic services of electricity; water and sanitation – a marked improvement was found with regards to waste collection/removal. However, these outcomes are still inadequate when considering the national average.

When considering the fact that all selected UIS in the empirical study were 20 years or older – which covers the period of comparison [2004; 2007; 2009 and 2011] - the results were

supposed to have been different as it was the case with the national averages or percentages with regard to people who are not living in UIS. The 2013 SSA country report indicated that MDGs' set target of 50% by 2015 has been achieved in 2007 by the South African government, especially when considering indigent households receiving free basic services [electricity, water, sanitation and waste collection/removal] in South Africa.

## CHAPTER 7: SUMMARY, CONCLUSION, RECOMMENDATIONS and REFERENCES

### 7.1. Chapter 1

Chapter 1 was about introducing the study. Local sphere of government in the South African context was described as codified in the Constitution [section 151 (1) and 152 (1)] and clarity on its mandate as outlined in the *Local Government: Municipal Structures Act, 117 of 1998* was explained. Part B of Schedule 5 [exclusive provincial competence] of the 1996 Constitution, which identifies services that fall within the ambit of the sphere of local government and its constituent municipalities, was identified as it has relevance to the current study. For purposes of the study, minimum basic services means: *water, sanitation, electricity, waste collection/removal*.

The chapter provided details with regard to definitions and operationalisation of key concepts; motivation for the research; problem statement; research objectives and questions; sequence; research methodology (unit of analysis, sampling, geographical locations, data collections arrangements and limitations); administrative process and approvals.

The intention of the chapter was to give context and indicate that the study will specifically focus on how performance monitoring and evaluation [i.e. IE – Impact evaluation], which is inherent in the control function of municipalities, can assist in making sure that the local sphere of government in South Africa provides effective and efficient delivery of minimum basic services in UIS. The objective of the chapter was to formulate the topic outline for the thesis. This included definitions and operationalisation of terms; motivation for the research; problem statement; research objectives and questions; sequence; methodology and briefly explaining the administrative processes and approvals that were necessary for the study to commence – the objective of the chapter was reached.

## 7.2. Chapter 2

Chapter 2 dealt with the public administration perspective of the study. The intention was to indicate that the study combines the quantitative data of the positive tradition with the qualitative data of the phenomenological tradition, but more importantly the objective of the chapter was to locate the study of performance monitoring and evaluation [PME] in the discipline of Public Administration.

Arguments in the chapter pointed towards one view, that municipal PME is a *control function used by administration and management*. It is about conducting regular performance monitoring and evaluation of programmes and projects in the municipal IDPs and SDBIPs by ensuring that there is effective and efficient delivery of services as outlined in section 72 (1) of the *Local Government: Municipal Finance Management Act, 56 of 2003*. The outcomes of a properly implemented PME programme in a municipality by its management should yield results that assist in other managerial aspects and functions of a municipality.

The chapter proved that PME outcomes greatly contribute and have a direct effect on other public administration related aspects that are also important in the governing of a municipality - in particular: *Budgeting [i.e. Finance]; Planning; Policy implementation; Governance; Compliance and Risk Management; Finance; Planning; Policy implementation; Governance; Compliance and Risk Management*. Another aspect of the chapter was the notion of performance monitoring and evaluation [PME] as a *reform programme*. The key to a *reform programme* in the public sector governance requires strong political will and authority. The objective [a] of the chapter was achieved as stated.

### 7.3. Chapter 3

In essence, chapter 3 addressed principles of PME and presented a view that a capable, efficient, effective and delivery orientated state is essential to achieve sustainable socio-economic development. To a considerable extent, the policy framework for the Government-Wide Monitoring and Evaluation [GWM&E] was discussed and analysed. The chapter indicated that PME is oriented towards providing its users with the ability to draw causal connections between the choice of policy priorities, the resourcing of those policy objectives, the programmes designed to implement them, the services actually delivered and their ultimate impact on communities.

Legislative requirements for performance monitoring and evaluation [PME] were discussed extensively, in particular Chapter 6 of the *Local Government: Municipal Systems Act, 32 of 2000* in sections 38 - 45; The *Public Audit Act, 25 of 2004* in section 20(2)(c) including 4(1) and 4(3) of the Act and the *MFMA, 56 of 2003* section 121 (4)(d). The chapter explained in detail, the concept of performance monitoring and evaluation [PME] with specific reference to its historic context from the 1960s and 70s in OECD [Organisation for Economic Co-operation and Development] countries.

A key feature in the chapter was a discussion on Impact Evaluation [IE] in performance monitoring and evaluation [PME] with specific reference to the International Initiative for Impact Evaluation [3ie] methods and approaches to address the “evaluation gap”. Another important feature of the chapter and finding was the fact that government agencies and institutions in South Africa have been evaluated using IE by donors who are contributing to South Africa’s development needs. They identified a correlation between programmes and the positive impact they have on improving people’s lives for the better. In sum, the objective [b] of the chapter was achieved as stated.

## 7.4. Chapter 4

Chapter 4 was to consider a selection of international concepts of performance monitoring and evaluation [PME] as it relates to the public sector and note important lessons that can enhance PME in South Africa. Countries that have introduced structured performance monitoring and evaluation [PME] systems in their public sector management programmes and projects were selected and discussed.

Comparatively, South Africa is developing a fully-fledged PME system in its government; which is globally competitive [i.e. Chile, Colombia and Mexico] and even among other countries more developed than South Africa [i.e. USA, UK and Australia]. Various countries have approached performance monitoring and evaluation in many unique ways. A set of different examples per selected country were considered.

The South African PME system has some characteristics that are similar to those of the selected unique experiences from other countries. Because of its late introduction of PME systems, South Africa can learn from various international experiences as they pertain to PME. Especially from the developing countries like those in Latin America, which exhibit some of the similarities with South Africa, considering inequalities, population densities in urban areas and the overall economic outlook. The objective [c] of the chapter was achieved as stated.

## 7.5. Chapter 5

Chapter 5 discussed local government during colonialism and apartheid in South Africa – the origins and characteristics of urban areas [1800 -1994]. The intention was to trace the origins of cities and informal settlements in particular. Legislative provisions for urban Blacks during apartheid since 1923 till 1984 were also discussed.

The three phase transition of local government from 1993 – 2000 [and the period thereafter] was extrapolated with reference to Constitution of the Republic of South Africa; the 1998 White Paper on Local Government; *Local Government: Municipal Demarcations Act [MDA], 27 of 1998*; *Local Government: Municipal Structures Act, 117 of 1998*; *Local Government: Municipal Systems Act, 32 of 2000 (Notice 2649 of 2003)*; *Local Government: Municipal Finance Management Act, 56 of 2003*; *Local Government: Municipal Property Rates Act, 6 of 2004* and the National Policy Framework for Public Participation, 2007.

Discussions on the importance of community participation in local government were also highlighted in the chapter. A summary of the Constitution, Acts, regulations and policies relevant to public participation in South Africa were provided. The chapter delved into the core of the research, which was a discussion on UIS in metropolitan municipalities. The state of local government in South Africa was discussed with focus on the lack of capacity and skills shortage in municipalities, municipal demarcation debate, the issue of protest action and violent protest came to focus. The two objectives [d and e] of the chapter were achieved as stated.

## 7.6. Chapter 6

Chapter 6 was about the quantitative empirical research study. The quantitative study assisted with the process of bridging the gap between theory and practice, which are critical for the success of this research.

The three cities indicated that they have an Enterprise-wide performance monitoring and evaluation division/office. They also conduct performance monitoring and evaluation quarterly [four times a year] as recorded in their Service Delivery and Budget Implementation Plans [SDBIP].

An outcome of Chapter 6, was the 15 traits that can be used to profile residents living in UIS [20 years or older] of the three metropolitan municipalities in Gauteng. The other outcome was that the three metropolitan municipalities did not yet achieve the 50% target for provision of electricity and sanitation in UIS – water and waste collection/removal are both above target. The chapter achieved the objective [f and g] as stated.

## 7.7. Conclusion

A research question was asked, *why is governance, performance monitoring and evaluation [PME], and in particular Impact Evaluation [IE] in metropolitan municipalities significant?* The answer to the question above, is that the concept of governance, which refers to practices that enable government activity, where such activity is broadly defined as the production and delivery of publicly supported goods and services [i.e. provision of electricity, water, sanitation and waste collection/removal] have been proven to be critical and significant in ensuring that government delivers on its constitutional mandate. Performance monitoring and evaluation [PME] is significant in assessing, measuring and making a determination whether programmes and projects that are commissioned by metropolitan municipalities [i.e. even those from National and Provincial government] assist in producing outcomes, results and outputs that are expected by the communities they serve.

The problem statement stated that there is a need for performance monitoring and evaluation [in particular Impact evaluation – IE] of municipal programmes and projects to *assess impact* – in areas where people live in conditions of squalor, abject poverty and underdevelopment, in UIS – to check if South Africa is advancing or regressing in its pursuit to achieve the United Nations [UN] Millennium Development Goals [MDGs] – in particular Goal 7. The study designed a scientific method which is valid to assess impact in UIS. An assessment was also made and a determination reached that South Africa is advancing in its mission to achieve MGDs.

It has been proven in the study that when results of an evaluation are compared to set targets [MDGs], the impact can be assessed and measured. In response to the problem statement, it can be stated that performance monitoring and evaluation [PME] and in particular Impact Evaluation [IE] as introduced by the South African government, through the “Government-wide Monitoring and Evaluation system” [GWM&E]; under the Department of Performance Monitoring and Evaluation [PME] in metropolitan municipalities in Gauteng Province; can assist

in assessing and measuring impact for effective and efficient delivery of minimum basic services in UIS.

The MDG targets as outlined [i.e. theory] by the South African government were measured and analysed [i.e. technical aspects of the adopted methodology] and the empirical evidence emanating from the results [i.e. measuring impact of municipal projects and programmes on the delivery of minimum basic services] indicate a connection between quantitative and qualitative research as outlined in Chapter 6. The combination of both *theory* and *practise* is a key feature of this study and it is a critical contribution to knowledge production in the field of public administration and management.

## **7.8. Recommendations**

- 7.8.1.1. Impact Evaluation should be considered as one of the preferred method for performance monitoring and evaluation [PME] in metropolitan municipalities.
- 7.8.1.2. Metropolitan municipalities should consider a programme of regularly surveying community members in UIS, to assess the impact of its programmes and in the process measure and codify up-to-date statistics on the delivery of basic services.
- 7.8.1.3. Access to electricity, water and sanitation should be aggressively increased to meet South Africa's development targets and the United Nations Millennium Development Goals [MDGs] – especially sanitation in UIS.

## **7.9. Areas of consideration for future research**

- 7.9.1.1. The role of Ward and PR councillors should be revised in such a way that they complement each other in the management and administration of ward functions and responsibilities.
- 7.9.1.2. Communication platforms between the metropolitan municipalities and UIS residents, especially critical information on municipal formalisation plans of informal settlements.
- 7.9.1.3. Urban informal settlements formalisation programme inclusion in the municipal IDPs and SDBIPs. Responsibilities of the ward councillor and the city manager.
- 7.9.1.4. A coordinated approach guided by Intergovernmental Relations [IGR] principles for successful and rapid implementation of programmes like ISUPBP and URP at national, provincial and local spheres of government.
- 7.9.1.5. Indigent registration in metropolitan municipalities to ensure that the necessary basic services are provided to poor households.

## 7.10. Researcher's notes

In all the 28 identified UIS and with each randomly selected participant/respondent - a face to face or one-on-one interview method was used. The type of method was selected because a specific target population [i.e. UIS] was sampled. The other reason was for the researcher and fieldworkers to explore the responses of the people and gather more and deeper information. The researcher assumed [from personal experience] that personal interview surveys will assist in probing answers of the respondents and at the same time, observe the behaviour of the respondents, either individually or as a group.

There are, however advantages and disadvantages in a face to face or one-on-one interview method. The advantages as observed by the researcher include a high response rate [i.e. 87% for the current study]; tolerable longer interviews [i.e. some participants/respondents in urban informal settlements did not understand English and it was necessary to use other languages, as a result respondents would be more confident expressing their long answers orally than in writing] and better observation behaviour [i.e. attitude and behaviour of participants/respondents towards the municipality or public representative was also observed]. In the end, it was also important for the researcher to get first-hand experience and better understand the condition in UIS.

There are two most important disadvantages in a face to face or one-on-one interview – cost and time. The researcher travelled to different UIS together with field workers and the exercise was time consuming and costly. During the course of conducting field work a door-to-door interview survey approach was adopted. It meant that the researcher and fieldworkers had to go directly to each house/shack of the participant/respondent and conduct the interview on-the-spot. Most respondents were willing to cooperate and an important observation made was that their response was in the hope that something positive will come out of the research study.

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## Annexure A

Survey questionnaire: **For Government Representative**



UNIVERSITEIT VAN PRETORIA  
UNIVERSITY OF PRETORIA  
YUNIBESITHI YA PRETORIA

For Office Use	Verified	Not Verified
Student		
Supervisor		



**Topic:** Performance monitoring and evaluation of metropolitan municipalities in Gauteng, Republic of South Africa

**Name of Student:** Kgosi Maepa

**Purpose:** Research Questionnaire (Government Officials)

**Course:** PhD – Public Affairs

**Supervisor:** Professor Dr Thornhill

Survey questionnaire: **For Government Representative** – City Manager or his or her representative)

**Disclaimer & purpose of the survey questionnaire:**

The survey questionnaire you are about to answer is for the sole purpose of the research study. Participants are not under any obligation to answer questions or parts of the questionnaire if they choose not to participate – participation is on free will.

Answers will be analysed, processed and be used as part of the PhD thesis. Information received will be stored for 10 years at the University of Pretoria and it will be used solely for the purpose of this study.

Please note the following:

- This study involves an anonymous survey. Your name will not appear on the questionnaire and the answers you give will be treated as strictly confidential.
- You cannot be identified in person based on the answers you give. [Kindly note that consent cannot be withdrawn once the questionnaire is submitted as there is no way to trace the particular questionnaire that has been filled in.]
- Your participation in this study is very important to us. You may, however, choose not to participate and you may also stop participating at any time without any negative consequences.
- Please answer the questions in the attached questionnaire as completely and honestly as possible. This should not take more than 15 minutes of your time.
- The results of the study will be used for academic purposes only and may be published in an academic journal. We will provide you with a summary of our findings on request.

Please contact my study leader [Prof C. Thornhill; email: [chris.thornhill@up.ac.za](mailto:chris.thornhill@up.ac.za) (Tel: +27 12 420 3606) Room: EMS 3-108] if you have any questions or comments regarding the study.

**Topic:**

Performance monitoring and evaluation of metropolitan municipalities in Gauteng, Republic of South Africa

**Purpose of the study:**

The purpose of the study is to investigate whether the performance monitoring and evaluation introduced by the South African government, through the so called “Government-wide Monitoring and Evaluation system” (GWM&E) under the National Treasury in municipalities and in particular metropolitan municipalities in Gauteng Province; has an effect on the delivery of minimum basic services in informal settlements.

**Part A - Informal Settlements**

Question 1

How many informal settlements are there in your municipality? Please indicate the following:

Number (e.g. 35)

Are the shacks marked in informal settlements?

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

Question 2

Where are these informal settlements in your city found (location)?

- a) In the outskirts
- b) unused land;
- c) former buffer strips;
- d) undeveloped land between formal township developments or settlements;
- e) on the edges of new townships;
- f) on land allocated for public or commercial facilities that show no signs of ever being developed for its official purpose; and
- g) on unutilised and unprotected 'natural' land


**Part B – Basic services in informal settlement (Electricity, water, sanitation and waste collection)**

Question 3

Do you provide electricity in your informal settlements and is it direct from the City or is it Pre-paid?

Yes or No

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

Question 4

Do you provide Water sources in your informal settlements and is it direct from the City or Pre-paid?

Yes or No

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

Question 5

Do you provide sanitation in your informal settlements, is your answer is 'Yes', in what form?

Yes or No

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

Question 6

Do you collect waste in your informal settlements?

Yes or No

How many times in a week?

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

**Part C – Formalisation of informal settlements**

Question 7

What is your formalisation plan for informal settlements?

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

Question 8

How much of your municipal capital budget have you set aside in the current financial year, to deal with formalisation of informal settlements?

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

Question 9

How many informal settlements were formalised in the previous financial year in your municipality?

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

**Part D – Protest action in informal settlements**

Question 10

How many service delivery protests have you had in informal settlements in the past 2 financial years (2009/10 & 2010/11)?

Question 11

What were the 3-4 main issues in the memorandum from residents of these informal settlements?

Please indicate if they are associated with the following issues:

- a) Water provision
- b) Electricity provision
- c) Waste collection
- d) Lack of sanitation
- e) Leadership (Councillor of municipality)
- f) Corruption
- g) Housing provision
- h) Roads
- i) Schools
- j) Unemployment


Question 12

What is the estimated population found in informal settlements in your City?

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

**Part E – Performance Monitoring and Evaluation**

Question 13

Do you have an enterprise-wide performance monitoring and evaluation division / office in your City?

Yes or No

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

Question 14

How many people work in this division/office? Can you provide the structure and who is it reporting to (please attach the structure)?

Number (e.g. 5)

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

Question 15

How often is your performance monitoring and evaluation (M&E) division / office in your City monitoring and evaluating performance of the IDP and SDBIP, especially with regards to provision of basic services in informal settlements?

How many times in a financial year?

.....

.....

.....

.....

.....

.....

## Annexure B

Survey questionnaire: *For community members in informal settlements'*



For Office Use	Verified	Not Verified
Student		
Supervisor		



**Topic:** Performance monitoring and evaluation of metropolitan municipalities in Gauteng, Republic of South Africa

**Name of Student:** Kgosi Maepa

**Purpose:** Research Questionnaire (Community members)

**Course:** PhD – Public Affairs

**Supervisor:** Professor Dr Thornhill

## Survey questionnaire 1: For community members in Informal settlements

### **Disclaimer & purpose of the survey questionnaire:**

The survey questionnaire you are about to answer is for the sole purpose of the research study. Participants are not under any obligation to answer questions or parts of the questionnaire if they choose not to participate – participation is on free will.

Answers will be analysed, processed and be used as part of the PhD thesis. Information received will be stored for 10 years at the University of Pretoria and it will be used solely for the purpose of this study.

Please note the following:

- This study involves an anonymous survey. Your name will not appear on the questionnaire and the answers you give will be treated as strictly confidential.
- You cannot be identified in person based on the answers you give. [Kindly note that consent cannot be withdrawn once the questionnaire is submitted as there is no way to trace the particular questionnaire that has been filled in.]
- Your participation in this study is very important to us. You may, however, choose not to participate and you may also stop participating at any time without any negative consequences.
- Please answer the questions in the attached questionnaire as completely and honestly as possible. This should not take more than 15 minutes of your time.
- The results of the study will be used for academic purposes only and may be published in an academic journal. We will provide you with a summary of our findings on request.

Please contact my study leader [Prof C. Thornhill; email: [chris.thornhill@up.ac.za](mailto:chris.thornhill@up.ac.za) (Tel: +27 12 420 3606) Room: EMS 3-108] if you have any questions or comments regarding the study.

### **Topic:**

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### **Purpose of the study:**

The purpose of the study is to investigate whether the performance monitoring and evaluation introduced by the South African government, through the so called “Government-wide Monitoring and Evaluation system” (GWM&E) under the National Treasury in municipalities and in particular metropolitan municipalities in Gauteng Province; has an effect on the delivery of minimum basic services in informal settlements.

Make a cross  in the correct block

### PART A (Personal information)

#### Question 1

What is your gender?

Male	1	Female	2
------	---	--------	---

What is your age?

-25	1
25-35	2
36-45	3
46-60	4
61+	5

What is your race?

African	1
Coloured	2
Asian	3
White	4

#### Question 2

Are you living with a disability?

Yes	1	No	2
-----	---	----	---

Do you receive government pension?

Yes	1	No	2
-----	---	----	---

How many children do you have?

None	0
One	1
Two	2
Three	3
4-6	4
7+	5

### PART B (Income and employment) Questions 3 - 4

#### Question 3

Do you receive a grant?

Yes	1	No	2
-----	---	----	---

Is it a:

Disability grant?

Yes	1	No	2
-----	---	----	---

Child support grant?  
 Illness linked grant?

Yes	1	No	2
Yes	1	No	2

#### Question 4

Are you employed?

Yes	1	No	2
-----	---	----	---

If **yes**, where?

.....

If **yes**, for how long have you been working there?

-1 year	Yes	1	No	2
1-2 years	Yes	1	No	2
3-5 years	Yes	1	No	2
5-10 years	Yes	1	No	2
10+ years	Yes	1	No	2

How do you travel to work?

Walk	Yes	1	No	2
Taxi	Yes	1	No	2
Bus	Yes	1	No	2
Train	Yes	1	No	2
Car	Yes	1	No	2
Other	Yes	1	No	2

Is it a permanent or temporary job?

No job	Yes	1	No	2
Permanent	Yes	1	No	2
Temporary	Yes	1	No	2

How much do you earn (or combined household income) monthly?

-R1000	Yes	1	No	2
R1000-1999	Yes	1	No	2
R2000-2999	Yes	1	No	2
R3000-3999	Yes	1	No	2
R4000-4999	Yes	1	No	2
R5000-9999	Yes	1	No	2
R10000+	Yes	1	No	2

### Question 4.1

Are you registered as an indigent family in the municipality?  Yes 1  No 2

### PART C (Period in the informal settlement, Electricity, Sanitation, Water and Waste collection)

#### Question 5 - 10

#### Question 5

When did you move to this informal settlement?

(a)	Less than 2 years	1
(b)	Two or three years	2
(c)	Four or five years	3
(d)	Five to nine years	4
(e)	Ten years or more	5

#### Question 6

Is your shack marked by the municipality?  Yes 1  No 2

#### Question 7

Do you have electricity?  Yes 1  No 2

If the answer is **yes**, please indicate the following:

(a)	I buy prepaid electricity	Yes	1	No	2
(b)	The City supplies us with electricity and we pay per month	Yes	1	No	2

If the answer is **no**, please indicate the following:

(a)	I do not have electricity at all	Yes	1	No	2
(b)	I have connected illegally	Yes	1	No	2
(c)	I use gas	Yes	1	No	2
(d)	I use candles and paraffin	Yes	1	No	2
(e)	I use a petrol generator for electricity	Yes	1	No	2

### Question 8

Do you have running water on your stand?	Yes	1	No	2
------------------------------------------	-----	---	----	---

If the answer is **no**, where do you get water?

(a)	We do not have water at all in the informal settlement	Yes	1	No	2
(b)	JoJo tank provided by the municipality	Yes	1	No	2
(c)	There is a common tap in our street	Yes	1	No	2
(d)	Municipality delivers water now and then	Yes	1	No	2

How often do they deliver water?	Regularly	Yes	1	No	2
	Not often	Yes	1	No	2
	Very seldom	Yes	1	No	2

### Question 9

Do you have sanitation/sewer system connected in your stand?	Yes	1	No	2
--------------------------------------------------------------	-----	---	----	---

If the answer is **no**, please indicate the following:

(a)	I use a bucket	Yes	1	No	2
(b)	I have a "pit toilet" in my stand	Yes	1	No	2
(c)	I use the nearby field	Yes	1	No	2

### Question 10

How do you dispose of waste?

(a)	The City collects waste every week	Yes	1	No	2
(b)	I throw waste into a skip provided by the City	Yes	1	No	2
(c)	I throw waste at a corner and the community cleans it up now and then	Yes	1	No	2
(d)	There is no waste collection point from the City	Yes	1	No	2

**PART D (Formalisation program of the Municipality) Questions 11 – 15**

**Question 11**

Is your informal settlement registered with your Municipality?	Yes	1	No	2
----------------------------------------------------------------	-----	---	----	---

If the answer is **No**:

Do you know about any formalisation programme?	Yes	1	No	2	
When will it happen?	Soon	Yes	1	No	2
	Not so soon	Yes	1	No	2
	Perhaps in a long time	Yes	1	No	2

**Question 12**

Do you have representatives/a committee here in the informal settlement?	Yes	1	No	2
--------------------------------------------------------------------------	-----	---	----	---

If **Yes**, who is the representative?

Indicate the following:

(a)	A Councillor from the Ward	Yes	1	No	2
(b)	A member from the Ward Committee	Yes	1	No	2
(c)	A member from the community	Yes	1	No	2

**Question 13**

Do you know your local Ward Councillor?	Yes	1	No	2
-----------------------------------------	-----	---	----	---

**Question 14**

How often do you have meetings with your local Ward Councillor?

(a)	Monthly	Yes	1	No	2
(b)	Every three months	Yes	1	No	2
(c)	Once in six months	Yes	1	No	2
(d)	Every year	Yes	1	No	2
(e)	Never	Yes	1	No	2

### Question 15

Do you receive a monthly bill from your municipality?	Yes	1	No	2
-------------------------------------------------------	-----	---	----	---

What is the bill for?

Indicate the following:

(a)	Water and electricity	Yes	1	No	2
(b)	Water, sanitation and waste	Yes	1	No	2
(c)	Electricity	Yes	1	No	2
(d)	Water	Yes	1	No	2

How often do you receive this bill?

(a)	Monthly	Yes	1	No	2
(b)	Every three months	Yes	1	No	2
(c)	Once in six months	Yes	1	No	2
(d)	Every year	Yes	1	No	2