

**Evaluation of Good Governance Policy  
Implementation in the Xhariep District Municipality**

**By**

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**Presented in partial fulfilment for the requirement for  
the degree of Masters in governance and political  
transformation at the University of the Free State**

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**2015**

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## **DECLARATION**

I, Tsholele Nicodemus Sekautu, solemnly declare that this dissertation is my original work and original and that I am the owner of the copyright thereof (unless to an extent explicitly otherwise stated) and that I have not previously in its entirety or in part submitted it to any university.

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Tsholele Nicodemus Sekautu

## **Acknowledgements**

I would like to thank my mother (Matsholele), two little sisters (Mphohadi and Asanda) and my girlfriend (Ntshidiseng) who gave me space between my hectic work commitments to complete my dissertation; Dr. T. Coetzee who gave me initial guidance and my supervisor, Dr. L. Swanepoel.

A special word of thanks to the Xhariep District Municipal officials and community members who provided me with critical information essential for the completion of the dissertation.

## **ABSTRACT**

This study aims at evaluating the good governance policy implementation in the Xhariep District Municipality. The key question of the study is: “To what extent does the Xhariep district municipality policy implementation process promote good governance?”

To answer this question, this research project focuses on the public participation, transparency and responsiveness of the municipality, and how these contribute to an effective policy implementation process. This is important because one of the mandates of local government in the post-apartheid era in South Africa is to promote local democracy through the participation of communities.

The empirical findings of this research project reveal that Ward Committees are confronted with a multitude of challenges where their functioning tends to be compromised. This has led this research to recommend the improvement of capacity among Ward Committees as a way of enhancing public participation.

## **Abbreviations**

ANC	African National Congress
COGTA	Co-operative Government and Traditional Affairs
GGLN	Good Governance Learning Network
D A	Democratic Alliance
IDP	Integrated Development Plan
IPID	Independent Police Investigative Directorate
LED	Local Economic Development
NGO	Non-Government Organisation
OECD	Organisation for Economic Cooperation and Development
PMS	performance management system
RSA	Republic of South Africa
STATSSA	Statistics South Africa
SOPA	State of the Province Address
WC	Ward Committee



## **Chapter 1**

### **Evaluation of good governance policy implementation in the Xhariep District Municipality**

#### **1. Introduction**

The legal nature of a municipality is described in section 2 of the local government municipality system act, 2000 (RSA, act 32 of 2000) as *an organ of state having legislation and executive powers in an area as specified by the municipal demarcation act, 1998 (RSA, act 27 of 1998)*. A municipality is defined in section 2(b)(i)(ii) of the municipal system acts as an entity that consists of an administration, a political structure and the community in a determined area.

The constitution of the RSA, (RSA, 108 of 1996) also confirms this position by indicating in section 151(3) that the local authority has a right to govern on its own initiative on matters affecting it, subject to both national and provincial legislation. Section 60 of the municipal demarcation act, 1998 (RSA, act 27 of 1998) clearly sets out the criteria and procedures to be followed when demarcating the boundaries of a municipality. After its establishment, a municipality becomes an autonomous local sphere of government of the RSA, in terms of section 40(1) of the constitution. Although the municipality becomes autonomous it still has to abide by the constitutional principles of good governance.

The Xhariep district municipality comprises four local municipalities which are Kopanong, Letsemeng, Mohakare, and Naledi, which boast natural resources such as water and agricultural land. The key developmental challenges of the Xhariep district municipality are as follows:

- High poverty and unemployment – 46.03% (STATSSA 2011).
- Inadequate access to basic services (water, sanitation, refuse collection, electricity, and housing and primary health care).
- Infrastructure, maintenance and service backlogs.
- HIV and AIDS – 30.8% prevalence rate (Antenatal Care Statistics) and TB.
- Substance abuse.

- Illegal dumping.
- Lack of integrated planning between the three spheres of government.
- Unfunded mandates.
- Housing shortage and rectification of incomplete houses.
- Lack of integrated and sustainable human settlement

Based on these challenges the question of the level of application of good governance is raised. The Good governance theory concerns the practice of collective decision making, according to Stoker (2008: 3). To address concerns over the scope and coverage of the term Governance, Stoker (2008: 3) provided the following definition:

*“Governance is about the rules of collective decision making in sitting where a plurality of actors or organization are and where no formal control system can dictate the terms of the relationship between these actors and organization.”*

According to Graham at al (2003: 1), governance is not synonymous with government. This confusion of terms can have unfortunate consequences in a public policy issue where the heart of the matter revolves around "governance" becoming defined implicitly as a problem of "government", with the corollary that the onus for "fixing" it necessarily rests with government.

Graham at al (2003: 3) wrote that governance is not about government but partly about how governments and other social organizations interact, how they relate to citizens, and how decisions are taken in a complex world. Thus governance is a process whereby societies or organizations make their important decisions, determine whom they involve in the process and how they are accountable.

Stoker (2008: 4) also identified elements about the definition that need further clarification:

- Firstly the research should clarify what is meant by rules; as the rules embedded within the government systems can stretch from formal to informal.
- Secondly the concept of collectiveness. Collective decisions are decision taken by a collective.

- Thirdly, the research should consider on what is meant by decision-making contained in the everyday implementation practice of a system or organization.
- The final element of the definition of governance that deserves further attention is the idea that in governance no formal control systems can detect the relationship and is a world where one is in charge.

Governmental policies have been defined as deliberate actions by a government to establish new transactions, patterns or institution, or to change established patterns within old institutions (Torvinen 2013:8).

While policies are implemented, tension, strains and conflicts are experienced by those who are implementing the policy and by those affected by the policy. Torvinen (2013: 8) also identified four components which are part of the policy implementation process:

- the idealized policy
- the implementation organization
- the target group
- environmental factors

At the centre of policy implementation is the principle of good governance. According to IPID Act (1 of 2011), there are five principles for good governance at local level, which are:

- Legitimacy and Voice

Participation – all men and women should have a voice in decision-making, either directly or through legitimate intermediate institutions that represent their intention.

Such broad participation is built on freedom of association and speech, as well as capacities to participate constructively.

Consensus orientation – good governance mediates differing interests to reach a broad consensus on what is in the best interest of the group and, where possible, on policies and procedures.

- Direction

Strategic vision – leaders and the public have a broad and long-term perspective on good governance and human development, along with a sense of what is needed for such development. There is also an understanding of the historical, cultural and social complexities in which that perspective is grounded.

- Performance

Responsiveness – institutions and processes try to serve all stakeholders.

Effectiveness and efficiency – processes and institutions produce results that meet needs while making the best use of resources.

- Accountability

Accountability – decision-makers in government, the private sector and civil society organizations are accountable to the public, as well as to institutional stakeholders. This accountability differs depending on the organizations and whether the decision is internal or external.

Transparency – transparency is built on the free flow of information. Processes, institutions and information are directly accessible to those concerned with them, and enough information is provided to understand and monitor them.

- Fairness

Equity – all men and women have opportunities to improve or maintain their wellbeing.

Rule of Law – legal frameworks should be fair and enforced impartially, particularly the laws on human rights.

From the above mentioned principles of good governance for this research only Public participation, Transparency and Responsiveness will be utilised to determine the level of good governance practice in the Xhariep District Municipality.

## **2. Research problem**

### **2.1 Problem and research question**

The reason for undertaking this research is to determine the policy implementation process of the Xhariep District Municipality and to determine the extent to which it succeeds in the application of the principles of good governance, in specific public participation, transparency and responsiveness.

The research question for this study is therefore: “To what extent does the Xhariep district municipality policy implementation process promote good governance?” This research question will be tested utilizing the principles of good governance.

#### **2.1.1 Public participation**

According to the Office of the United Nations High Commissioner for Human Rights (OHCHR), public participation entails the following:

- Local elections are conducted freely and fairly, according to international standards and national legislation, and without any fraud.
- Citizens are at the centre of public activity and they should be involved in clearly defined ways in public life at local level.
- All men and women can have a voice in decision making, either directly or through legitimate intermediate bodies that represent their interests. Such broad participation is built on the freedoms of expression, assembly and association.
- All voices, including those of the less privileged and most vulnerable, should be heard and taken into account in decision making, including over the allocation of resources.
- There should always be an honest attempt to mediate between various legitimate interests and to reach a broad consensus on what is in the best interest of the whole community and on how this can be achieved.
- Decisions should be taken according to the will of the majority, while the rights and legitimate interests of the minority are respected.

A municipality is constituted of the municipal council, municipal management and employees as well as the communities that fall within the geographical area of the municipality. Citizen participation in local government has been advocated as a way to enhance communication between government and the public, to build public support for local goals and to develop public trust.

Public participation is very important in South Africa, as its constitution (1996: section 152 (1)) states that the objective of local government is: to encourage the involvement communities and community organization in the matters of local government to ensure a developmental approach and people-centred integrated development planning at local government level.

Legislation on local government that demands public participation in municipal decision-making, planning, budgeting and finances the Municipal act 32 of 2000 states that: "That municipality has to develop a culture of public participation by building the capacity of local communities, councillors and officials to participate in the municipal affairs. It Institutionalises community participation as a core function in all the activities of a municipality."

Integrated development planning (IDP), according to the municipal structures act, requires the formation of ward committees to reflect the diversity of local interests as well as gender equity. According to Mbuyisa (2013:133), the local government policy frame work requires process, mechanisms and procedure for public participation that take into consideration the special needs of the disadvantaged group in the society.

The IDP priorities of the Xhariep district municipality must be based on local perspectives, informed by suitable analyses, developmental challenges and a public participation process. One of the outputs of the IDP 2014/2015 of Xhariep strengthens the assumptions that the municipality is committed to participatory governance as it states:

In Maximising public participation and the involvement of communities in the municipal planning and decision making process, public accountability pertains to the obligations of persons or entities entrusted with public resources to be

answerable for the fiscal, managerial and program responsibilities that have been conferred on them and to report to those that have conferred these responsibilities. The main objectives of all public accountability initiatives are to ensure that public money is spent most economically and efficiently.

Chapter four of the local municipal systems act 32 of 2000 states that a municipality must develop a culture of municipal governance that complements formal representative government, with a system of participatory governance. This promotes accountability and participation. The Xhariep District Municipality utilizes general ward meetings, mass meetings and public notices to disseminate public information which is done through a council adopted annual schedule of meetings with the communities, according to its annual report of 2014/2015.

Also according to its annual report of 2014/2015 the Xhariep district municipality reviews annually the IDP document as dictated by the local government systems act and the MFMA. This process is owned and undertaken by the council through the adoption of the budget time-lines and the process plan that will be advertised in local newspapers. Meetings are then convened for stakeholders and communities to ensure extensive participation by the local community.

In addition, the African National Congress (ANC) 2011 Local Government Manifesto guides local municipalities to:

- Build local economies to create more employment, decent work and sustainable livelihoods.
- Improve local public services and broaden access to them.
- Build more united, non-racial, integrated and safer communities.
- Promote more active community participation in local government; and
- Ensure more effective, accountable and clean local government that works together with national and provincial government.

According to Human (1998:47), the only way a genuine and creative culture-changing process can take place, is if ordinary people participate. Social and cultural transformation results from a long process of interaction between people

and their leaders, communities and state institutions. It is impossible to transform the society without the active involvement of the people in the process.

Premier of the Free State Ace Magashule in the 2015 State of Province Address (SOPA), emphasized that *people shall govern* the ANC which remains committed to ensuring that they achieve the following objectives in local government:

- Implementing free basic services for indigent households and supporting municipalities where they lack capacity.
- Guiding municipalities to ensure compliance with legislative requirements in respect of municipal revenue, financial management and sustainability.
- Ensuring infrastructure grants are utilized optimally and used for their intended purpose.
- Implementing the Back to Basics strategy.
- Connecting and interact with communities, reporting back regularly and ensuring public participation.
- Ensuring that local government is responsive, accountable, effective and efficient.
- Providing support to poor municipalities so that they are able to implement infrastructure capital and maintenance plans.

### **2.1.2 Transparency**

The Department of Co-Operative Government and Traditional Affairs (Cogta) code (2014:4) defines transparency as the foundation of local accountability and the key that gives people the tools and information they need to enable them to play a bigger role in society.

- Decisions should be taken and enforced in accordance with rules and regulations.
- There should be public access to all information which is not classified for well-specified reasons as provided for by law (such as the protection of privacy or ensuring the fairness of procurement procedures).



- Information on decisions, implementation of policies and results should be made available to the public in such a way as to enable them to effectively follow and contribute to the work of the local authority (Cogta, 2014:43)

Three principles that guide the development of transparency according to the Cogta code (2014:17) are:

- Demand led – there are growing expectations that new technologies and publication of data should support transparency and accountability. It is vital that public bodies recognise the value to the public of the data they hold, understand what they hold, what their communities want and then release it in a way that allows the public, developers and the media to use it.
- Open – provision of public data should become integral to local authority engagement with local people so that it drives accountability to them. Its access it and how it can be used. Presentation should be helpful and accessible to local people and other interested persons; and
- Timely – the timeliness of making public data available is often of vital importance. It should be made public as soon as possible following production even if it is not accompanied by detailed analysis.

### **2.1.3 Responsiveness**

In a Free State newspaper, The Weekly, (2015 :5) Premier Magashule warned municipalities to uplift people's lives (SHAPE UP OR SHIP OUT) and called on councillors and workers to step up delivery of essential services to ensure better conditions of living in Free State municipalities.

Magashule (The Weekly, 2015 :5) asked municipalities to commit themselves to ensuring good governance and effective administration - cutting wastage, spending public funds prudently, hiring competent staff, ensuring transparency and accountability as well as ensuring that corruption is prevented and rooted out at all levels. He also asked mayors and municipal managers to commit themselves to putting people and their concerns first and ensuring constant contact with communities through effective public participation platforms. He also

said they should work to improve the political management of municipalities and be responsive to the needs and aspiration of local communities.

IPID Act (1 of 2011) says that responsiveness entails that:

- Objectives, rules, structures, and procedures should be adapted to the legitimate expectations and needs of citizens.
- Public services should deliver, and requests and complaints responded to within a reasonable time frame.

### **3. Aim of study**

The research focuses on the manner in which goods and services are acquired and disposed of at the Xhariep District Municipality. This will be done by studying how the municipality functions, taking into consideration the existing legal nature of the local government sphere.

The objectives of the study will be to evaluate the effectiveness of good governance policy implementation in the Xhariep district municipality by:

- Investigating good governance in the Xhariep District Municipality;
- Investigating policy implementation process in the Xhariep municipality; and
- Making recommendations on good governance failures by the district municipality.

A descriptive methodology will be followed in this research. A descriptive design will offer an opportunity to accurately portray conditions within the real situation and provide a real explanation and, where possible, recommendations. The aim of the study will be to provide accurate insight into the situation within the Xhariep district municipality in regard to the real role played by municipal managers and the public (community).

## 4. Research methodology

### 4.1 Study area

The study area will be the Xhariep District Municipality. The district consists of four local municipalities - Kopanang, Letsemeng, Mohokare, and Naledi. The area covers the southern part of the Free State province. The Xhariep district is a very quiet district in terms of service delivery protests which may be due to good governance. The purpose of this research is to evaluate if this is in fact the situation.



Figure: 1.1

## **4.2 Research method**

A qualitative research method will be used to give the researcher an opportunity to evaluate the natural settings. Qualitative research typically studies people or systems by interacting with and observing the participants in their natural environments and focusing on their meaning and interpretation (Maree, 2012:70).

A Quantitative research method will also be used in this research; via issuing questionnaires to 40 members of the communities, and ten from four local municipalities each. Quantitative research is a process that is systematic and objective in that it uses numerical data from only a selected sub-group of a universe to generalise the findings to the universe that is being studied (Maree, 2012:145).

## **4.3 Data collection**

Data will be collected by means of interviews with the five municipal managers of the Xhariep District Municipality; evidence to support their responses will be requested via documentation.

Questionnaires to ten members of the community from each of the four local municipalities will be issued to determine the view of the communities with regard to the performance of the district.

A literature study will also be done utilizing books, the internet and newspaper articles.

## **4.4 Data analyses**

Expositions of *good governance* from criteria of governance and as conducted by different researchers, will be compared to the data from municipal managers, the public and other sources.

## **4.5 Data interpretation**

Data gathered by means of interviews and questionnaires will be grouped according to similar questions. Secondary data will be summarized.

#### **4.6 Reliability**

Golafshani (2003:270) defines reliability as the extent to which results are consistent over time, and an accurate representation of the total population under study is referred to as reliability. If the results of a study can be reproduced under a similar methodology, then the research instrument is considered to be reliable. Reliability of the data collection technique and the data analysis method is very high as questions will be tested and re-tested. Both the primary and secondary data utilised for research could be considered reliable because of the collection technique employed.

#### **4.7 Validity**

Validity determines whether the research truly measures that which it was intended to measure or how truthful the research results are. In other words, does the research instrument allow you to hit "the bull's eye" of your research objective? Researchers generally determine validity by asking a series of questions, and will often look for the answers in the research of others.

Validity of the data collected will be strengthened by the fact that the size of the sample is manageable and the sample represents the whole target population. In addition, the data will be triangulated. Triangulation involves comparing sources of data from different methods to check for consistency and validity. Data collected from the questionnaire will be compared with the interview responses, which implies that two methods were employed. The data collection methods will be both qualitative and quantitative using interviews and the questionnaire.

#### **4.8 Ethical considerations**

Respondents will be protected from any emotional discomfort and negative psychological effects by not being asked questions that require them to provide embarrassing answers or do something embarrassing that may upset them.

The procedure and the nature of the research will be explained to the respondents by providing them with a full description of what the research study entails so that they can make an informed decision about whether they should take part in the study.

The respondents will be provided with the information about the possible benefits, advantages and disadvantage of the study. Consequently, the respondents will take part in the research completely voluntarily.

No information will be withheld from respondents which is important for their knowledge about the research, and they will not be deliberately had to just to get them to participate in the research.

It will be made clear to the respondents that their confidentiality will be respected and their names on the research study will not be reflected in the dissertation.

## **5. Research design**

Chapter 1: Background and purpose of research

Chapter 2: Good governance and policy implementation

Chapter 3: Methodological approach

Chapter 4: Outcomes of Questionnaires

Chapter 5: Conclusion and Recommendations

## Chapter 2

### Good governance and policy implementation in local government

#### 1. Introduction

This chapter discusses good governance and policy implementation in the Xhariep district municipality and aims to determine to which extent it succeeds in the application of the principles of good governance. It will also outline good governance from a South African perspective.

Local government is the lower tier of government and serves many functions in corporative governance and including citizen participation and service delivery. According to Amtaika (2008:3) historically, governments in general and local governments in particular, have served three major purposes, namely maintaining law and order, providing public goods and services and promoting equality. The term government comes from the verb GOVERN, to govern means to control or steer. Governance focuses more on a process and outcome than on formal institutional arrangements. This means that the main objective of governance is articulation in a pursuit of collective interest. Government functions as a facilitator in such processes within states.

Local government refers to a more or less polycentric system in which a variety of actors are engaged in the local decision-making processes. Further explanations of the three elements are as follows:

- Firstly polycentricism refers to a constellation in which there is not a single unitary actor, but a multitude of relatively autonomous players in the field.
- Secondly, local governance is typically about relations between a variety of actors that come from different domains of political and socio-economic life.
- Thirdly, there are a variety of mechanisms for public decision making in the process of local governance: in addition to traditional bureaucratic and political mechanisms like hierarchy and voting, decisions can also be based on competition or negotiations.

The above functions of government can be grouped under the following three concepts: order, freedom and equality. The primary focus of Local Government with regard to these three concepts is to maintain order by providing public goods (services) in an equitable manner. In order to do so the principles of good governance need to be applied. Good governance was defined in chapter one as: the process of making and implementing decisions. In this chapter good governance will be further explored.

## **2. Defining good governance**

According to Graham et al (2003: 1), governance is not synonymous with government. This confusion of terms can have unfortunate consequences in a public policy issue where the heart of the problem concerns "governance" becoming defined implicitly as a problem of "government", with the corollary that the onus for "fixing" it necessarily rests with government.

Graham et al (2003: 3) wrote that governance is not about government but partly about how governments and other social organizations interact, how they relate to citizens, and how decisions are taken in a complex world. Thus governance is a process whereby societies or organizations make their important decisions, determine whom they involve in the process and how they render account.

Other definitions that can be considered to ensure a good understanding of governance are the following:

- *According to UNDP (1997) "Governance is about the rules of collective decision making in settings where a plurality of actors or organizations are and where no formal control system can dictate the terms of the relationship between these actors and organization."*
- *Skidmore et al (2005: xvii) wrote that any structure or body which exists within a local authority area and has a remit to affect public service planning and/or delivery, includes governance. This definition excludes charitable and private sector organisations but includes partnership bodies in which such organisations may participate.*



- *The Rothstain (2013:148) World Bank research institute defined good governance as the traditions and institutions by which authority in a country is exercised. This includes:*
  - *The process by which governments are selected, monitored and replaced.*
  - *The capacity of the government to effectively formulate and implement bound policies; and*
  - *The respect of citizens and the state institutions that govern economic and social interactions among them.*

*Therefore network governance, according to Torfing (2007:100), includes the importance of other actors in governance*

- Network governance involves a select, persistent and structured set of autonomous firms engaged in creating products or services based on implicit and open-ended contracts to adapt to environmental contingencies and to coordinate and safeguard exchanges. These contracts are socially, not legally, binding.

As such, governance networks distinguish themselves from the hierarchical control of the state and the competitive regulation of the market in at least three ways:

1. In terms of the relationship between the actors, governance networks can be described as pluricentric governance systems as opposed to the unicentric system of state rule and the multicentric system of market competition. In contrast to state rule and competitive market regulation, governance networks involve a large number of interdependent actors who interact in order to produce public purpose.
2. In terms of decision making, governance networks are based on negotiation rationality as opposed to the substantial rationality that governs state rule and the procedural rationality that governs market competition
3. Compliance is ensured through trust and political obligation which, over time, becomes sustained by self-constituted rules and norms.

*With this understanding of governance the study can now move to the conceptualisation of what is good governance.*

*According to Gisselquist (2012:1), “good governance” is an extremely elusive objective. It means different things to different organizations, not to mention to different actors within these organizations (to make matters even more confusing) Governance experts also routinely focus on other types of governance-global governance, corporate governance, IT governance, participatory governance and so on- which may be related only peripherally to the good governance agenda vis-à-vis domestic politics and administration.*

*According to the Good Governance Learning Network (GGLN), good governance is a process by which public institutions conduct public affairs, manage public resources and guarantee the realisation of human rights.*

*Lastly, Ki-moon (2009:2) said that good governance promotes equity, participation, pluralism, transparency, accountability and the rule of law, in a manner that is effective, efficient and enduring. In translating these principles into practice, one see the holding of free, fair and frequent elections, representative legislatures that make laws and provide oversight, and an independent judiciary to interpret those laws.*



Figure: 2.1

From these definitions one can derive the characteristics of good governance which will be conceptualised next.

### 3. Characteristics of good governance

The Organisation for Economic Cooperation and Development (OECD) sets out eight major characteristics of good governance: GGLN (2003:12)

**Participation:** A key cornerstone of good governance is participation by both men and women. Participation can be either direct or through legitimate intermediate institutions or representatives. It is important to point out that representative democracy does not necessarily mean that the concerns of the most vulnerable in society are taken into consideration in decision making. Participation needs to be informed and organised. This means freedom of association and expression on the one hand and an organised civil society on the other.

**Transparency:** When decisions are taken and enforced, this must be done in keeping with rules and regulations. Transparency also means that information is freely available and directly accessible to those who will be affected by such decisions and their enforcement. It also means that enough information is provided and that it is provided in accessible forms and media.

**Effectiveness and efficiency:** Good governance means that processes and institutions produce results that meet the needs of society while making the best use of resources at their disposal. The concept of efficiency in the context of good governance also covers the sustainable use of natural resources and the protection of the environment.

**Responsiveness:** Good governance requires that institutions and processes try to serve all stakeholders within a reasonable time frame.

**Accountability:** This is a key requirement of good governance. Not only governmental institutions but also the private sector and civil society organisations must be accountable to the public and to their institutional stakeholders. Who is accountable to whom varies depending on whether decisions or actions taken are internal or external to an organisation or institution. In general an organisation or an institution is accountable to those who will be affected by its decisions or actions. Accountability cannot be enforced without transparency and the rule of law.

**Consensus oriented:** There are many actors and as many viewpoints in a given society. Good governance requires mediation of the different interests in society to reach a broad consensus on what is in the best interest of the whole community and how this can be achieved. It also requires a broad and long-term perspective on what is needed for sustainable human development and how to achieve the goals of such development. This can only result from an understanding of the historical, cultural and social contexts of a given society or community.

**Equity and inclusiveness:** A society's well-being depends on ensuring that all its members feel that they have a stake in it and do not feel excluded from the mainstream of society. This requires that all groups, but particularly the most vulnerable, have opportunities to improve or maintain their well-being.

**Rule of law:** Good governance requires fair legal frameworks that are enforced impartially. It also requires full protection of human rights, particularly those of

minorities. Impartial enforcement of laws requires an independent judiciary and an impartial and incorruptible police force.

With all these characteristics of good governance is it important also to note how the SA Constitution guides local government regarding set objectives which can be utilised to determine whether a specific municipality is applying good governance principles.

According to the South African Constitution (Section 152), the objects of local government are:

- To provide democratic and accountable government for local communities;
- To ensure the provision of services to communities in a sustainable way;
- To promote social and economic development;
- To promote a safe and healthy environment; and
- To encourage the involvement of communities and community organisations in the matters of local government.

Local government is guided by policies in order to achieve the above-mentioned objectives. Policy implementation is therefore at the centre of achieving these objectives.



**Figure: 2.2**

#### **4. Policy implementation**

In chapter one governmental policies have been defined as deliberate actions by a government to establish new transformation patterns or institutions or to change established patterns within old institutions. Implementation is the process of turning policy into practice. Getting policy implementation right is critically important; failure can cause financial waste, political frustration and disruption for ordinary citizens.

##### **4.1 The essence of policy implementation**

According to Amtaika (2008:15), local government cannot be understood in isolation from other spheres of government. These spheres include the central, provincial and local governments, forming co-operative governance. The central and provincial governments are responsible for policy formulation. These policies are passed on to local government for implementation. Policy formulation precedes the decision making process and one of the elements of the decision making process is consultation. The level of government at which consultation between public officials and citizens take place is local government. This does not mean local government does not formulate policies. It does so through the passing of by-laws.

Thus local government is the only sphere of government among these spheres, which plays all three central roles, namely:

- Decision making process consultation with centenary
- Policy formulation through the passing of by-laws
- Implementation of policies

Local government is crucial for the following reasons:

- It functions as an intermediary between the central and provincial governments on the one hand, and the citizenry on the other, in articulating and shaping the interests of the citizens at grassroots level into policies which central and provincial governments formulate.
- Not only is local government a sphere of government closest to the people, where citizens interact with their representative and public officials, but it is also a sphere of government which renders services to the people.

#### **4.2 Policy implementation process**

According to Roosevelt (2015:6), policy implementation involves putting adopted policies into effect. Successful implementation is dependent upon three elements:

- First, policies must be passed down from the president or state and local government officials to the appropriate agency within the government bureaucracy. Thus, a policy designed to enforce traffic safety by cutting down on the number of drunk drivers would be passed down to law enforcement officials for implementation. When no existing agency has the capabilities to carry out a given policy, new agencies must be established and staffed.
- The second element essential to effective policy implementation is clear interpretation. In other words, legislative intent must be translated into operating rules and guidelines. Too much ambiguity in this stage can lead to involvement by the judiciary that will force legislators to clarify their ends and means for policy implementation. The judiciary may overrule the

implementation of policies where legislative intent cannot be effectively translated into appropriate operating rules and guidelines.

- The final element needed in effective policy implementation is also difficult to accomplish. The dedication of resources to implement the policy under the first element must be joined with coordination of the policy with ongoing operations. In other words, a new initiative or agency must not cause excessive competition or disagreement with existing initiatives or agencies.

### **4.3 Principles of good governance**

At the centre of policy implementation are the principles of good governance. In paragraph 2.3, eight principles of good governance are mentioned it is participatory, consensus orientated, accountability, transparency, responsiveness, effective and efficient, equitable and inclusive and follows the rule of law. From the above-mentioned principles of good governance, for this research only public participation, transparency, and responsiveness will be utilized to determine the level of good governance in the Xhariep District Municipality.

#### **4.3.1 Public participation**

In chapter one public participation has been defined as citizen participation in local government as a way to enhance communication between government and the public; to build public support for local goals, and to develop public trust. According to Baound at al (2004:34), participation strictly refers to involvement in governance and not the much more defensive range of informal civic and associational activities attached to the label of active citizenship. A key cornerstone of good governance is participation by both men and women. Participation can be either direct or through legitimate intermediate institutions or representatives. It is important to point out that representative democracy does not necessarily mean that the concerns of the most vulnerable in society are taken into consideration in decision making. Participation needs to be informed and organized. This means freedom of association and expression on the one hand and an organized civil society on the other.



**The most important assumptions underpinning policy are that:**

- if you create structures for community participation, you create social capital from which the community will benefit;
- the community will benefit because enough people will want to participate in these structures;
- they will want to participate because these structures will be embedded in the everyday spaces of community life and the informal social networks through which people live their lives. Baound at al (2004: xii).

**We can move then from three premises:**

- More direct participation by citizens in decision making is the only credible basis on which democratic renewal will take place. But all citizens do not need to be equally involved for this participation to be legitimate.
- Elites of various kinds have always been vitally important in creating social change.
- Elites are only undemocratic if they are disconnected from processes by which they can be influenced and held to account by the communities they purport to serve.

One of the central roles of local government is to build local democracy. The white paper obligates local government to develop mechanisms and strategies to continually engage with citizens. It obligates municipalities to encourage active participation of local citizens at five levels, namely as voters, citizens, consumers and end-users, and as organized partners. Thus, according to the white paper, participation by local communities enhances the legitimacy of local government, as well as the process of transformation and improving performance. To maximize citizen participation in local government, the government adopted the municipal demarcation act, act no. 27 of 1998, to divide the country into metropolitan municipalities, local municipalities and district municipalities. The municipalities were divided into wards, represented by elected councilors.

**The following legislative and policy provisions have been made for citizen participation:**

### **I. Constitution**

- Section 152(1)(e): obliges municipalities to encourage the involvement of communities and community organizations in local government.
- Section 195(e): in terms of the basic values and principles governing public administration people's needs must be responded to, and the public must be encouraged to participate in policy-making.

### **II. White Paper on Local Government (1998)**

The objects of community participation are embedded in the following principles:

- To ensure political leaders remain accountable and work within their mandate;
- To allow citizens to have continuous input into local politics;
- To allow consumers of services to have input on the way services are delivered;
- To afford organized civil society the opportunity to enter into partnerships with local government.

### **III. The Municipal Structures Act (1998)**

Municipal executives must annually report on the involvement of communities in the affairs of the municipality.

Section 72 and 74 state that the object of a ward committee is to enhance participatory democracy in local government.

### **IV. The Municipal Systems Act (2000)**

Section 16(1) requires the municipality to develop a culture of municipal governance that complements formal representative government with a system of participatory governance.

Section 4 (2):

1. Municipal Councils must encourage the involvement of the local community.
2. Municipal Councils must consult the community about the level, quality, range and impact of services.

Section 5 and Chapter 5: members of the community have the right to contribute to the decision making process of the municipality, including the IDP.

## **V. Municipal Finance Management Act**

Section 23 obliges municipalities to consult the local community on their draft budgets.

The right of citizens to participate in governance and government processes is enshrined in the Constitution and further protected through legislation and various policy frameworks. South Africa has sufficient policies and legislation to guide public participation processes at local government level.

### **Advantages of public of participation**

According to Creighton (2005: 18-19), the following are identified as advantages of public participation:

- Improved quality of decisions

Through the input of ordinary citizens in decisions, ambiguity can be cleared in terms of the needs and requirements of the citizens, and the synergy thereof could ensure the achievement of efficiency in the provision of services. Making decisions by involving citizens in participation would imply that even the unpopular decisions made would, by default, be supported by the people, as they would believe themselves to be responsible for them.

- Minimising cost and delay

Uncertainty regarding the services required by the public could lead to the authorities investing money in research on what the public requires, as well as the method of dispensing such services. Instead, public participation ensures direct contact between the public and the decision makers.

- Consensus building

Public participation has the potential to synthesise the divergent views from the two parties, i.e. the authorities and the ordinary people, thus ensuring long-term commitment thereto. In a local municipality, consensus building is promoted by an integrated development plan, where a framework initiated by the local municipality and the residents is established to deliver services within the expected period of time.

- Increased ease of implementation

Once a decision has been made through consultation with and involvement of people, implementation may be easier. Thus, it is unlikely for the public to reject a policy and/or legislation to which they have significantly contributed. For instance, during the apartheid era, the marginalised communities revolted against the government's policies, on the basis that their interests had not been afforded representation, e.g. the student uprisings of 1976, in which the policy of Bantu Education was violently rejected by the marginalised.

- Avoiding worst-case confrontations

Public participation provides a platform for both the authorities and the people to appreciate the opportunity given to express their needs, expectations and responsibilities, in an amicable environment. As such, public participation creates a sense of ownership among both parties. For example, even if policies do not turn out to be as expected upon implementation, the public would consider it their responsibility to help improve them as opposed to rejecting them.

- Maintaining credibility and legitimacy

The perception the members of the public have about public institutions serves as a driving force of the confidence that the people have in those institutions. As such, confidence could be instilled through the involvement

of ordinary people in matters that are of public interest in those institutions. This is particularly important as it could result in the public viewing them as being credible and legitimate, and hence promoting democratic values and principles.

- Anticipating public concerns and attitudes

From previous experience, the authorities can utilise the precedent set by the public in relation to the method that is used in undertaking particular processes. However, this can only happen if a similar challenge has been encountered before. Through this anticipation, municipalities could develop models that they use in dealing with different residents requiring different services, e.g. municipalities must be able to predict and distinguish the behaviour of residents who are in dire straits regarding access to water, from those who require electricity, and work out a model to meet those challenges with acceptable programmes of action.

- Developing civil society

One of the unintended effects of public participation is the creation of an educated society. Through public participation processes, the people familiarise themselves with, inter alia, government policies, legislation and institutional processes, resulting in their being articulate in expressing their needs in terms of matters of public interest. For example, the Independent Electoral Commission (IEC) takes into consideration the level of illiteracy among adults in South Africa, hence the promotion of public participation in voter education before the elections every five years.

### **4.3.2 Transparency**

Transparency was defined in chapter one as the foundation of local accountability and the key that gives people the tool and information they need to enable them to play a bigger role in society. When decisions are taken and enforced, this must be done in keeping with rules and regulations. Transparency also means that information is freely available and directly accessible to those

who will be affected by such decisions and their enforcement. It also means that enough information is provided and that it is provided in accessible forms and media.

Three principles that guide the development of transparency, according to the Cogta code (2014:17), are:

- Demand led – there are growing expectations that new technologies and publication of data should support transparency and accountability. It is vital that public bodies recognise the value to the public of the data they hold, understand what they hold, what their communities want and then release it in a way that allows the public, developers and the media to use it.
- Open – provision of public data should become integral to local authority engagement with local people so that it drives accountability to them. Its availability should be promoted and publicised so that residents know how to access it and how it can be used. Presentation should be helpful and accessible to local people and other interested persons; and
- Timely – the timeliness of making public data available is often of vital importance. It should be made public as soon as possible following production even if it is not accompanied by detailed analysis.

**Legislative frameworks governing transparency in South Africa are:**

The Constitution both enshrines the principle of access to information and provides the basis for legislation expanding on a citizen's right to access information and communication at the local government level.

**In the Bill of Rights, sections 32 and 33 state:**

**32. Access to information**

1. Everyone has the right of access to
  - a. any information held by the state; and
  - b. any information that is held by another person and that is required for the exercise or protection of any rights.

**33. Just administrative action**

1. Everyone has the right to administrative action that is lawful, reasonable and

procedurally fair.

2. Everyone whose rights have been adversely affected by administrative action has the right to be given written reasons.

**Chapter seven of the Constitution deals with local government and the following sections are relevant as regards transparency, access to municipal information and communication:**

152. Objectives of local government

1. The objectives of local government are. To provide democratic and accountable government for local communities; e.g. to encourage the involvement of communities and community organizations in the matters of local government.

160. Internal procedures

4. No by-law may be passed by a Municipal Council unless:

b. the proposed by-law has been published for public comment.

7. A Municipal Council must conduct its business in an open manner, and may close its sittings, or those of its committees, only when it is reasonable to do so having regard to the nature of the business being transacted.

162. Publication of municipal by-laws

Municipal by-laws must be accessible to the public.

The Promotion of Access to Information Act (2 of 2000) and the Promotion of Administrative Justice Act (3 of 2000) give effect to these rights, and are applicable to all organs of state, including local government.

The Local Government: **the Municipal Structures Act (117 of 1998)** Schedule five provides a code of conduct for local councilors. The preamble also states that “councilors must be accountable to local communities and report back at least quarterly to constituencies on council matters, including the performance of the municipality in terms of established indicators”.

Summing up: South Africa has an exceptionally well-developed body of legislation, policy and regulations that governs how citizens can access information from all levels of state, especially at local government level.

### **4.3.3 Responsiveness**

Responsiveness was defined in chapter one as a requirement for good governance requires that institutions and processes try to serve all stake holders within a reasonable time frame.

Democracy goes beyond representative democracy to include the existence and general well-being of democratic systems, procedures, practices and democratic culture at municipal level. Responsiveness means that municipalities seek to be sensitive to, and serve, the needs of all stakeholders within a reasonable time frame. Accountability implies that municipalities are accountable to those who will be affected by their plans, decisions or actions.

In a Free State newspaper, *The Weekly*, (2015 :5) Premier Magashule warned municipalities to uplift people's lives (SHAPE UP OR SHIP OUT) and called on councillors and workers to step up delivery of essential services and ensure better conditions of living in Free State municipalities.

Magashule (*The Weekly*, 2015 :5) asked municipalities to commit themselves in ensuring good governance and effective administration - cutting wastage, spending public funds prudently, hiring competent staff, ensuring transparency and accountability as well as ensuring that corruption is prevented and rooted out at all levels. He also asked mayors and municipal managers to commit themselves to put people and their concerns first and ensure constant contact with communities through effective public participation platforms. He also said they should work to improve the political management of municipalities and be responsive to the needs and aspirations of local communities.

Responsiveness by local government is guided by the IPID Act (1 of 2011) which says that responsiveness entails that:

- Objectives, rules, structures, and procedures should be adapted to the legitimate expectations and needs of citizens.
- Public services should deliver, and requests and complaints be responded to within a reasonable timeframe.



In conclusion, local government is responsible for providing essential services to citizens such as water, sanitation, refuse removal, roads & transport, electricity, recreation, safety & security, health and other basic public services. Citizens need to be consulted around their expectations on service delivery so that service improvement initiatives address real needs. Citizens' feedback and complaints are invaluable in managing expectations.

## **Chapter 3**

### **Research methodology**

#### **1. Introduction**

In this chapter the research methodology to be used in the study will be discussed. The geographical areas where the study will be conducted describe the study design, the population and sample, the instrument to collect data and methods to maintain validity and reliability.

The purpose of this study is to evaluate the policy implementation process at the Xhariep District Municipality and determine the extent to which it succeeds in the application of the principles of good governance. The research question that will guide this study is: To what extent does the Xhariep District Municipality policy implementation process add to good governance?

#### **2. Research design**

A quantitative approach will be followed in this research. Creswell (2011:73) defined quantitative research as a formal, objective, systematic process in which numerical data is used to obtain information about the world. This method is used to: describe variables; to examine relationship among variables; to determine cause and affect interactions between variables.

A descriptive survey design will be used in this research. The study is designed to depict the participants in an accurate way. The design will offer the opportunity to accurately portray the situation within the Xhariep District Municipality with regard to the roles of the members of the community. The method will allow the researcher to meet the objective of the study, namely to determine the policy implementation process of the Xhariep District Municipality, and to determine the extent to which it succeeds in the application of the principles of good governance.

A qualitative approach will also be used in this study. Creswell (2011:92) indicates that qualitative research is primarily exploratory research. It is used to gain an understanding of the underlying reasons, opinions, and motivations behind certain

actions of people. It provides insight into a problem or helps to develop ideas or hypotheses for potential quantitative research.

Specifically, a qualitative method is warranted when the nature of research requires exploration (Creswell 2011:95). For this study the Xhariep District Municipal Managers' experiences regarding the good governance policy implementation process in local government will be explored. According to Creswell (2011:96), a qualitative study allows the researcher to explore phenomena, such as feelings or thought processes that are difficult to extract or learn about through conventional research methods. For this study the perception of Municipal Managers of four Local Municipalities of the Xhariep District will be explored.

### **3. Study population**

The Xhariep District forms the southern part of the Free State Province and is one of four district municipalities in the Free State. The Xhariep District Municipality was extended from 34 289 km sq. to about 37 500 km sq due to the incorporation of the Naledi Local Municipality after the 2011 local government elections as per the re-determination of the Municipal boundaries. The Xhariep District is bordered by the Tokologo Municipality in Lejweleputsa District and the Mangaung Metro to the North and Mantsopa Municipality in the Thabo Mofutsanyane District to the north-east. Other borders are with the Kingdom of Lesotho to the east, the Ukhahlamba Municipality in Eastern Cape Province to the south, the Pixley ka Seme Municipality in the Northern Cape Province to the west and the Frances Baard Municipality in the Northern Cape Province to the north-west. Topographically the district is bordered for most of its eastern border by the Maluti and Drakensburg mountains. Hydrologically the district is located between the Vaal River to the north, and the Orange River to the south, with rivers within the district draining towards these rivers.

The Xhariep consists of four local municipal areas, with Letsemeng forming the north western section, Kopanong the middle section, Mohokare the south-eastern section and Naledi the north-eastern section of the district.

The Xhariep District had an estimated population of 164 000 people in 2007. According to the 2011 Census statistics, its population size has declined by an average of 2.21% per annum from 2007 to 2011. The current district's population is at 146 194 people as per the 2011 census survey statistics. The table below gives a breakdown of the population distribution per local municipality. Naledi recorded a small population which only represents 16% of the entire district population. The table and graph depicts population distribution as per the Community Survey conducted in 2011 which clearly shows a decline in population.

#### **Population per gender**

<b>Municipality</b>	<b>Male</b>	<b>Female</b>	<b>Total</b>
Letsemeng	19847	18774	38621
Kopanong	24059	25065	49124
Mohokare	16313	17830	34144
Naledi	11402	12903	24305
<b>Total</b>	<b>71622</b>	<b>74572</b>	<b>146194</b>

#### **4. Sampling**

Bless et al (2006:97) describes research population as generally a large collection of individuals or objects that is the main focus of a scientific query. In this research the study population consists of all the residents of the Xhariep District Municipality. Due to the large size of the population every individual in the population cannot be interviewed. A random sampling to select participants will be utilised. With random sampling, each member of the population has an equal chance of being selected as a subject.

Sampling is the process of selecting units from a population of interest so that by studying the sample we fairly generalize the results back to the population from which they are chosen. A convenient sample of sixty respondents will be randomly selected from the Xhariep District Municipality, fifteen from each local municipality.

It was indicated in paragraph 3.2 that the qualitative method will also be utilized in this research: in this case purposeful sampling will be utilized, in interviewing four

Municipal Managers from the four local municipalities of the Xhariep District as well as the District Municipal Manager.

## **5. Data collection method**

A questionnaire will be used as the data collecting instrument. A list of questions, usually printed, submitted with replies that can be analysed for useable information. Data will be collected with the support of questionnaires to evaluate the policy implementation process of the Xhariep District Municipality and to determine the extent to which it succeeds in the application of the principles of good governance.

The following is the motivation behind the reasoning for utilising questionnaires they are:

- Very cost effective
- Easy to analyse
- Familiar to most people
- Reduce bias
- Less intrusive

Furthermore, interviews will also be used as a data collection method. Interviewing involves asking questions and getting answers from participants in a study. Four Municipal Managers of four local municipalities of Xhariep District Municipality will be interviewed in depth.

As it is described above, the goal is to evaluate the policy implementation process of the Xhariep District Municipality and to determine the extent to which it succeeds in the application of the principles of good governance. Interviewing has a variety of forms, including individual, face-to-face and group interviews. In this study face-to-face interviews to solicit information will be utilised this method is considered to be the best form of data collection when one wants to minimize non-response and maximize the quality of the data collected. Moreover structured interviews will be utilized, as the aim of this approach is to ensure that each interviewee be presented

with exactly the same questions in the same order. The technique is selected because of the following:

- The researcher will be present to answer any questions an interviewee has.
- Structured questions make the process efficient.
- It can easily be repeated to check the reliability of the data.
- The respondents can give more detailed responses.
- It offers a richer, more comprehensive view of the issue.
- Interviewer can rephrase questions or alter tone or manner to suit the interviewee.

## **6. Reliability and validity**

Reliability is the degree to which an assessment tool can produce stable and consistent results. Validity refers to how well a test measure what it is purported to measure (Golafshani, 2003:267). Reliability, like validity, is a way of assessing the quality of the measurement procedure used to collect data in a dissertation. In order for the results to be valid, the measurement procedure must first be reliable.

### **6.1 Reliability**

Golafshani (2003:270) defines reliability as the extent to which results are consistent over time, and an accurate representation of the total population under study is referred to as reliability. If the results of a study can be reproduced under a similar methodology, then the research instrument is considered to be reliable. Reliability of the data collection technique and the data analyses method is very high as questions will be tested and re-tested. Both the primary and secondary data utilised for research could be considered reliable because of the collection technique employed.

### **6.2 Validity**

Validity determines whether the research truly measures that which it was intended to measure or how truthful the research results are. In other words, does the research instrument allow you to hit "the bull's eye" of your research object? Researchers generally determine validity by asking a series of questions, and will often look for the answers in the research of others.

Validity of the data collected will be strengthened by the fact that the size of the sample is manageable and the sample represents the whole target population. In addition the data will be triangulated. Triangulation involves comparing sources of data from different methods to check for consistency and validity. Data collected from the questionnaire will be compared with the interview responses, which implies that two methods are employed. The methods will be both qualitative and quantitative data collection using interviews and the questionnaire.

## **Chapter 4**

### **Outcomes of questionnaires**

#### **1. Data presentation**

##### **1.1 Interview presentation**

Eight municipal officials and sixteen members from the communities within the Xhariep District were interviewed. All interviews were conducted face to face at the four local municipalities of the Xhariep District Municipality. Interviews were conducted over a period of three weeks. All questions were administered in their original form and restructured to ensure that respondents did not just answer without thinking properly. The researcher was granted permission by the respondents to note all responses which were consolidated into one summarized paragraph for each question.

##### **1.2 Interview data consolidation**

The result of the interviews with municipal officials of the Xhariep District Municipality, were as follows:

- As a member of top management, do you use any policy implementation process that aids you to implement policies?

There are 5 pillars that must be considered when you deal with policy implementation in local government: Context, Content, Capacity, Commitment and Communication. These issues aid the Manager to understand the policy process and implementation ethics. This is not applied to the IDP or any other strategic documents within the municipality.

- How do you collect, categorize and package information that supports the policy implementation process of, for example, the IDP?

In most cases implementation happens after all processes have been followed and been completed, for example, after development stages have been done, after consultation with relevant stakeholders – and after everyone else has made an input. Managers must be able to master basics for policy implementation, especially after its development. Everyone who takes part in



the development and implementation of policy must be brought on board. There is one element which managers neglect most of the time when they implement policies, is that they forget implementation is about politicians as well, in other words they must not be done as if politicians are being used, and they are part of the package from the beginning to the end. The day-to-day running of the processes must be in the hands of the managers at all times, and the same applies to the IDP: collection, categorisation and packaging of information must be based on research skills and knowledge. Engagements with the communities and stakeholders must assist in bringing more data together for compilation. Contact with the District Municipality, Provincial Departments, Statistics South Africa must be able to provide more information so that a Manager can be in position to collect, categorise and package information.

- How does political leadership influence the policy implementation process?

The municipal council normally deals with policy matters through a submission from the administrative component. Once a document has been submitted to the council for approval, it will be discussed and political leadership will always engage in a matter that affects the community or constituency. Consultation through Municipal Structures Act, Section 79 committees will be conducted. Other sections like the office of the Chief Finance Officer will be consulted for financial bearing of the policy in the municipality. In other words, if a policy is going to change the lives of the people they will discuss it and finally reach consensus on the matter, and resolve it.

- Does the municipality value the inputs of the community or the communities?

The municipality does value the community Because they are the electorate within local government the community are a treasure of the municipality as they pay for services, they are the custodian of policies in a municipality, and they are valued by virtue of them making inputs in the policy making process, development of by-laws, IDP and budget. They are able to elect not only councillors but also ward committees that are effective by nature. The projects which bring development by the council are safe-guarded by the community

itself. Communities form part of the community policing forums, school governing bodies and so on, and they are being able to assist in the development of the community in general. Whenever there are community protests, the municipality knows that the community is not happy and that the issues raised in the memorandum must be responded to at all times.

- To what extent do members of the public have trust in their municipality?

There are two issues: one part of the community does not trust the municipality because of lack of service delivery. Services like water, electricity, and sanitation and refuse removal are not adequate in accordance with the how the municipality must provide these services to its constituency. Most of the community members always quote section 152 and 153 of the Constitution of RSA, as it lists all the objectives and roles of local government. The other part of the community always sides with the municipality because they benefit from certain projects or tenders from the municipality, or have been promised jobs in the municipality – other is because of their family members working for the municipality.

- What strategies exist to enable public participation in local government?

The following strategies are applied by the municipality in order to ensure that public participation is applied or implemented by the Office of the Mayor –

- Loud-hailing through the streets of the towns;
- Pamphleteering;
- Letters to the churches; and
- The Mayor's slot on a local Radio talk show.

- Are ward committees active in your municipality?

Ward Committees are effective in the municipality and play a very critical role within the municipality. Some of the roles played by the Ward Committees in the running of local government are to ensure that they are the eyes and ears of Ward Councillors in their constituencies. They work together with the

Community Development Workers who are deployed by provincial government in various councils. They conduct community satisfaction survey of services provided by the municipality, as to whether people are receiving them or not, and also highlight if the those services are paid for. They ensure that the indigent register is functional and work on it on a day-to-day basis.

- Does the municipality consult with the community for inputs regarding the IDP?

Yes. There is an IDP process plan that is developed and published on the municipal website inclusive of the public participation date scheduled. The process of community participation in relation to IDP is led by the mayor.

- Are the IDP and budget made easily available to the communities?

Both IDP and Budget are made available to the communities as per the legislation on Municipal Cashier points, Public Libraries, Municipal Reception, the office of the Mayor and Municipal Manager, the Municipal website, and through the Provincial Integrated Website.

- Does the municipality get any feedback from the communities regarding the IDP and budget?

The Municipality does receive feedback from the community regarding IDP and Budget. This happens through advertisements of these strategic documents, through community participation (Community Meetings and Stakeholder engagements). There will be inputs and/ or comments regarding budget and IDP, there will be letters to the Mayor and Municipal Manager on these strategic aspects. Most importantly, these communities and their stakeholder's will provide input on the projects within the IDP as to where they should be located and implemented.

- Are Imbizo/feedback meetings held with communities, if yes how regularly?

Yes, Community feedback meetings are held with the communities including the stakeholders, and this is precisely because consultations do not only end after meetings for inputs and comments; there should also be meetings even where there is no progress on what has been planned. Most community feedback meetings should be held on a monthly basis with the communities – this is the only platform for communities to raise their concerns.

- What is the level of compliance by the municipality with legislation and regulation pertaining to the policy implementation process?

The level on which the municipality is complying is only average as sometimes the municipality does comply with regulations, for instance advertising within 10 days for the Service Delivery and Budget Implementation Plan. The development of the IDP and Budget Process Plan/Budget Timelines, which must be done 10 before the start of the financial year will be adopted by the Council after the 31<sup>st</sup> August every year and, according Auditor General, some of these critical matters constitute non-compliance and will be referred to as audit queries, subsequently to the Management report and finally to the Audit Report. The municipality struggles with a number of issues on compliance, including financial matters in general.

- To what extent is there meaningful public participation in the IDP processes?

This matter of community participation and or consultation is a very relatable point in municipalities as it is the coal-face of service delivery, within this third sphere of government. This subject is informed by chapter 5 of the Municipal Systems Act, (No 32 of 2000). Local government bureaucrats and policy-makers regard this as a pillar of local government in South Africa, as it directly concerns our communities. This means that communities must be involved in municipal activities. During IDP and Budget processes/consultation, the communities and stakeholders should and must be taken on board regarding what the Municipality intends to implement in that financial year. There should be community and stakeholder meetings at which these intentions will be

discussed and agreed upon. Communities and stakeholders must be the ones with more proposals on what should be in the IDP and Budget in order for them to be implemented. Challenges: The following phases always pose a very severe challenge to IDP Managers who do not have research knowledge and skills. These phases need a government official who has been trained on research matters and require an intensive understanding of the facts and problems facing the municipality at this level.

<b>Phase(s)</b>	<b>Objective for Alignment</b>
Analysis Phase	<ul style="list-style-type: none"> <li>▪ Defining for the sectors what information is relevant to the IDP process and what would need to be undertaken as a parallel sector planning process</li> <li>▪ Making relevant sector planning information available to municipalities</li> </ul>
Strategies Phase	<ul style="list-style-type: none"> <li>▪ Sector specific alignment of legal requirements for areas of relevance with IDP priorities</li> <li>▪ Compliance requirements with the principles Development Facilitation Act (1995) and National Environmental Management Act</li> </ul>

- there is a lack of project management skills within municipalities;
- most of the work is to redefine existing local government tasks;
- there is a lack of integration and linkage between IDP, and planning with other sector departments is another challenge;
- most of the time sector departments do not fully participate in the operational planning of the municipalities, they operate or plan in silos;
- some planners have poor analytical skills, and some IDP Managers do not have sufficient knowledge of the work they do;
- there is a need for full capacity building of IDP managers in order for them to know how to interpret various data;
- lack of budget and staff in IDP offices/units. This causes a number of challenges as work is not completed on time – this office is working on time frames according to IDP Process Plan/Budget Timelines;

- what are the key issues, limitations and challenges related to the IDP process?

Key issues and limitations: There is a need for alignment in the context of Integrated Development Planning and Budget in South African municipalities: is these strategic apparatus must be linked, in other words they must talk to one another. The strategic objectives in the IDP must be realized in the budget document of the municipality. They must also be seen to play a role in assessing the municipality's performance. All the priorities in the IDP must be reflected in the budget as funded projects, be they Water, Sanitation, Electricity, Waste, Roads and Storm-water, etcetera, they must be classified in a way to make them realistic projects.

- What support has been given to municipalities to undertake IDP?

Internally, the Municipal Manager, all Managers Accountable to MM in terms of Section 56/7 of the Municipal Systems Act, No. 32 of 2000 provide incalculable support and the Mayor provides both political and administrative support for the smooth operations of the IDP. The Xhariep District Municipality has established an Xhariep District Municipality IDP Managers Forum at which all IDP and Performance Management System (PMS) Managers share their challenges, and achievements – and where necessary ensure that they assist each other through engagements/discussions in a meeting. The Free State Department of Cooperative Governance within the IDP and LED (Local Economic Development) has a program to visit municipalities to make sure that they assist with pertinent challenges in case where municipalities lack capacity to implement certain decisions within the IDP unit itself. Moreover, the Provincial IDP Managers, Forum also provides a platform for engagements – where most IDP Managers report their challenges, and assist others in effective implementation of the IDP.

- Which policy and legislative frameworks govern and inform IDPs?

The IDP is governed primarily by the Constitution of the Republic of South Africa 1996 (Act No. 108 of 1996); with the following legislations in support: Development Facilitation Act, (No 67 of 1995); Local Government: Municipal Systems Act (No. 32 of 2000); Local Government: Municipal Structures Act (No.117 of 1998); Department of Provincial and Local Government: Performance Management Guide for Municipalities (2001); Revised IDP Framework for Municipalities Outside Metros and Secondary Cities (2012), The White Paper on Local Government (1998); Framework for Managing Programme Performance Information (2007); Division of Revenue Act, No. 5 of 2012, Municipal Property Rates Act, (No. 6 of 2004); Spatial Development and Land Use Management Act (2013); Inter-Governmental Relations Framework Act, (No of 2005); Local Government: Municipal Demarcation Act (No. 27 of 1998); Local Government: Municipal Finance Management Act (No. 56 of 2003); Organized Local Government Act, (1997); Municipal Fiscal Powers and Functions Act, (2007); Promotion of Access to Information Act (2000); Promotion of Administrative Justice Act, (2000); Community Participation in Local Government

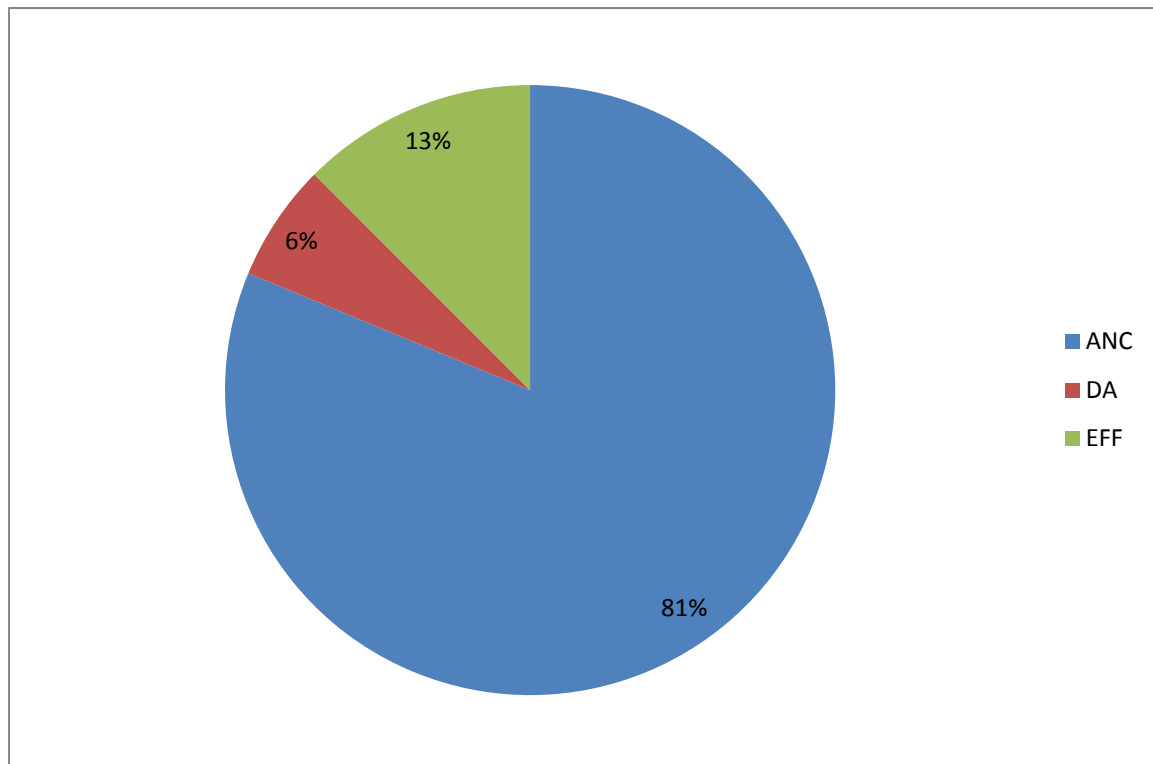
- To what extent is Integrated Development Planning (IDP) achieving its desired outcomes?

IDP in municipalities has achieved more than the previous government's Development Facilitation Act which dealt with development. This is because the development at that time was in particular meant to favour a minority group and not the entire population. More projects which have been planned and budgeted for in municipalities, through IDP, have been implemented – this should be more or less 60% - 65% of the capital projects. Others are implemented through national grants.

**Members of the community were given questionnaires of which the results are as follows:**

**Political party**

Political party	No of respondents	Percentage
ANC	13	81.25%
DA	1	6.25%
EFF	2	12.5
TOTAL	16	100%

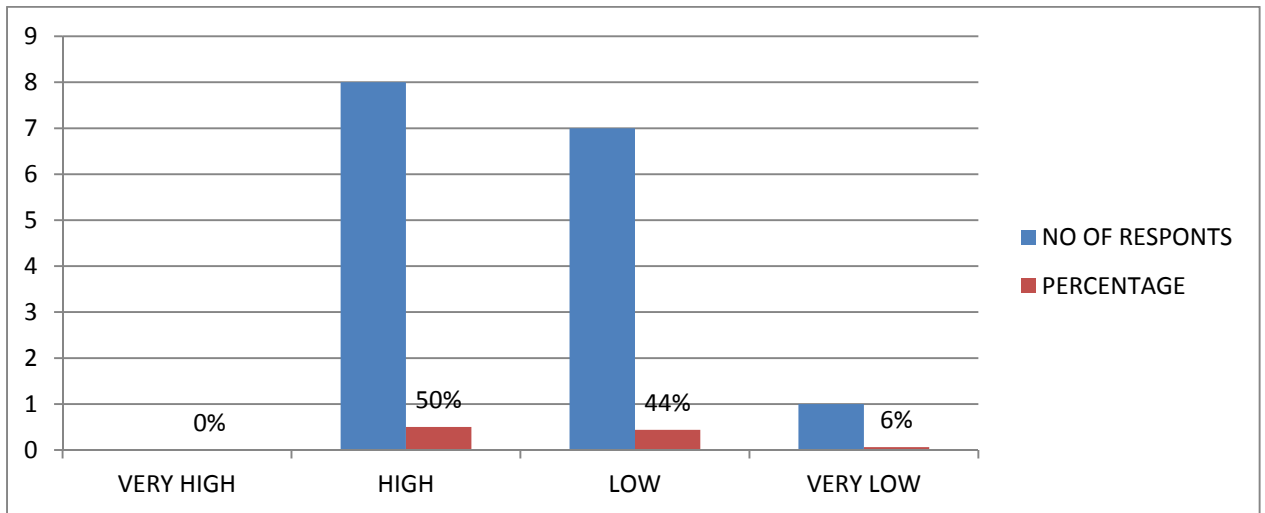


**Interpretation:** the research consisted of 16 participants from the community, of which 13 (81.25%) were ANC members, 1 (6.25%) were DA members and 2 (12.5%) were EFF members.



**To what extent do members of the public trust their municipality?**

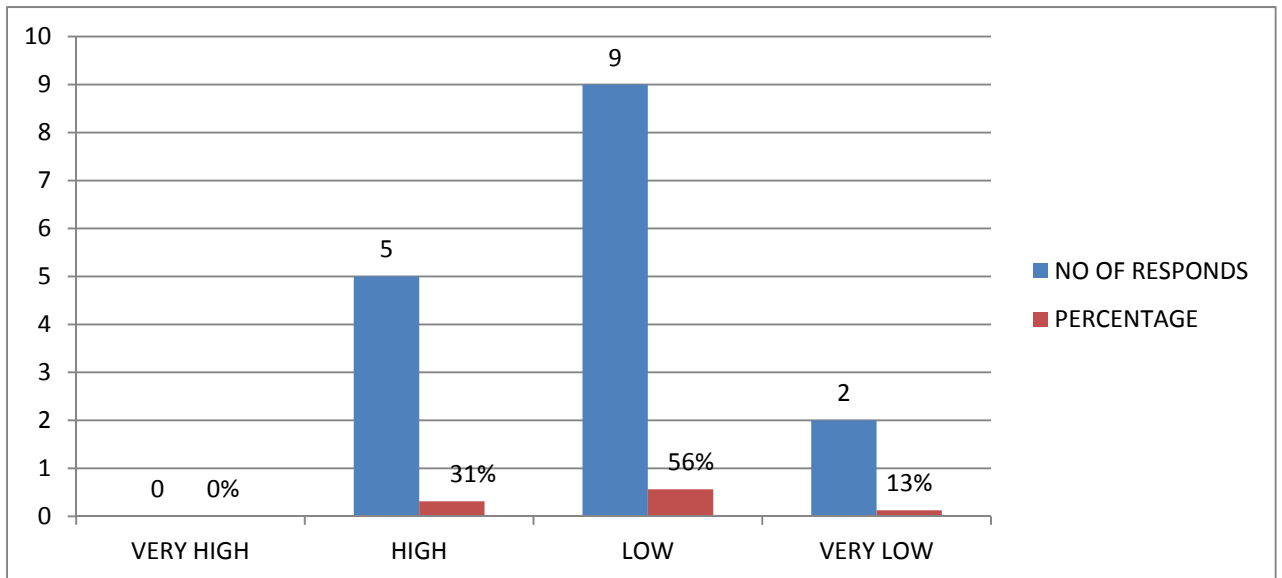
Extent	No of respondents	Percentage
Very high	0	0%
High	8	50%
Low	7	43.75%
Very low	1	6.25%
Total	16	100%



**Interpretation:** There are two issues the other portion of the community do not have trust with regarding to the municipality because of lack of service delivery. Services like water, electricity, sanitation and refuse removal which are not adequate according to the way the municipality must provide services to its constituency. Most of the community members always quote section 152 and 153 of the Constitution of RSA. As it gives all the objectives and role of local government the other part of the community always side with the municipality because they benefit from certain projects or tenders from the municipality, some have been promised jobs in the municipality while others is because of their family members working in the municipality.

**Are ward committee active in your municipality?**

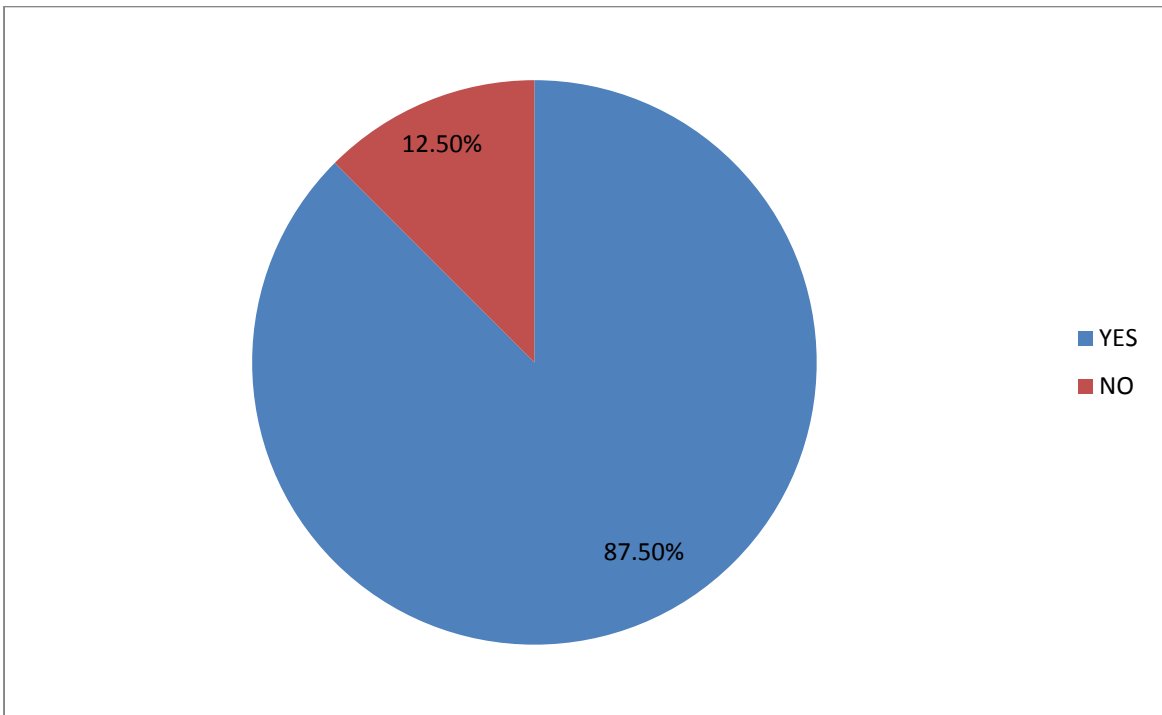
	No of respondents	Percentage
Very high	0	0%
High	5	31.25%
Low	9	56.25%
Very low	2	12.5
Total	16	100%



**Interpretation:** the research consisted of 16 participants, of which 5 (31.5%) feel that the activeness of the ward committees is high; 9 (56.25%) of them feel that activeness of ward committees is low, and 2 (12.5%) feel that the activeness of ward committees is very low. Their ineffectiveness is in part created by the fact that ward committees do not always know what is required of them and this hampers their ability to carry out their duties.

**Does the municipality consult with the community for inputs for the IDP?**

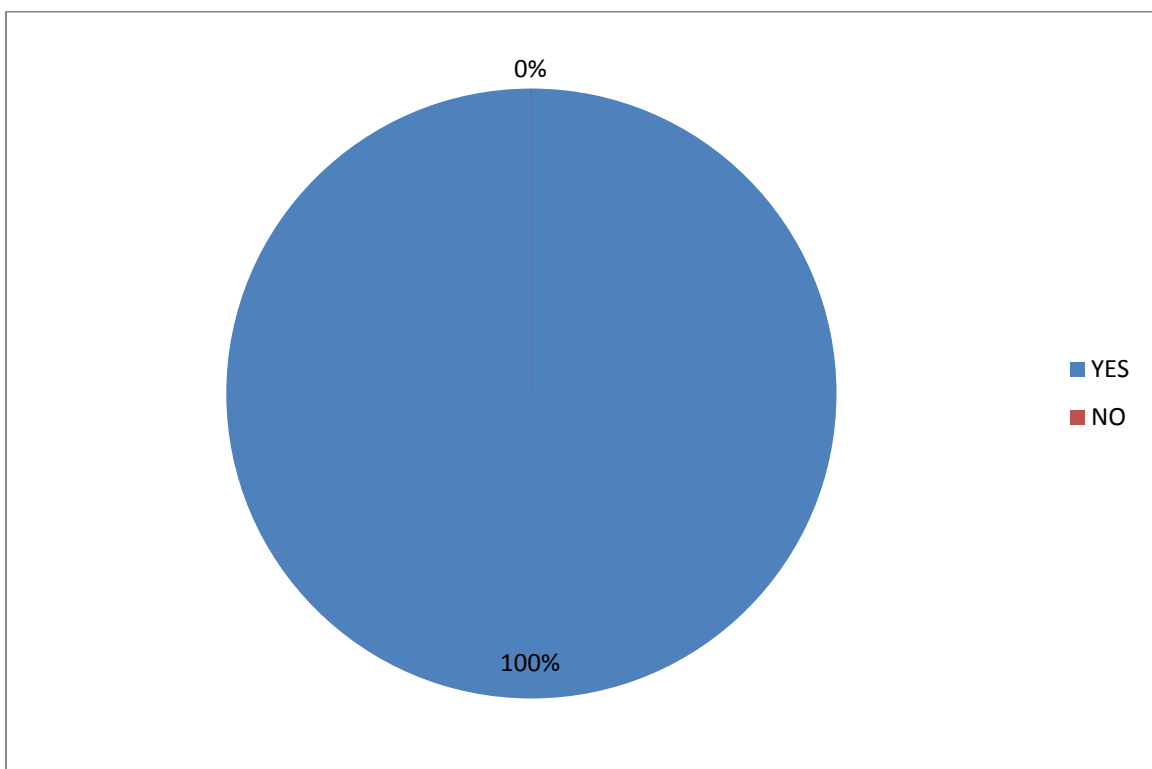
	No of respondents	Percentage
Yes	14	87.5%
No	2	12.5%
Total	16	100%



**Interpretation:** the research consisted of 16 participants of which 14 (87.50%) agree that the municipality consults with communities for inputs for the IDP, and 2 (12.5%) disagree. The IDP process plan that is developed and published on the municipal website is inclusive of the public participation date scheduled. The process of community participation in relation to the IDP is led by the mayor.

**Are the IDP and Budget made easily available to the community?**

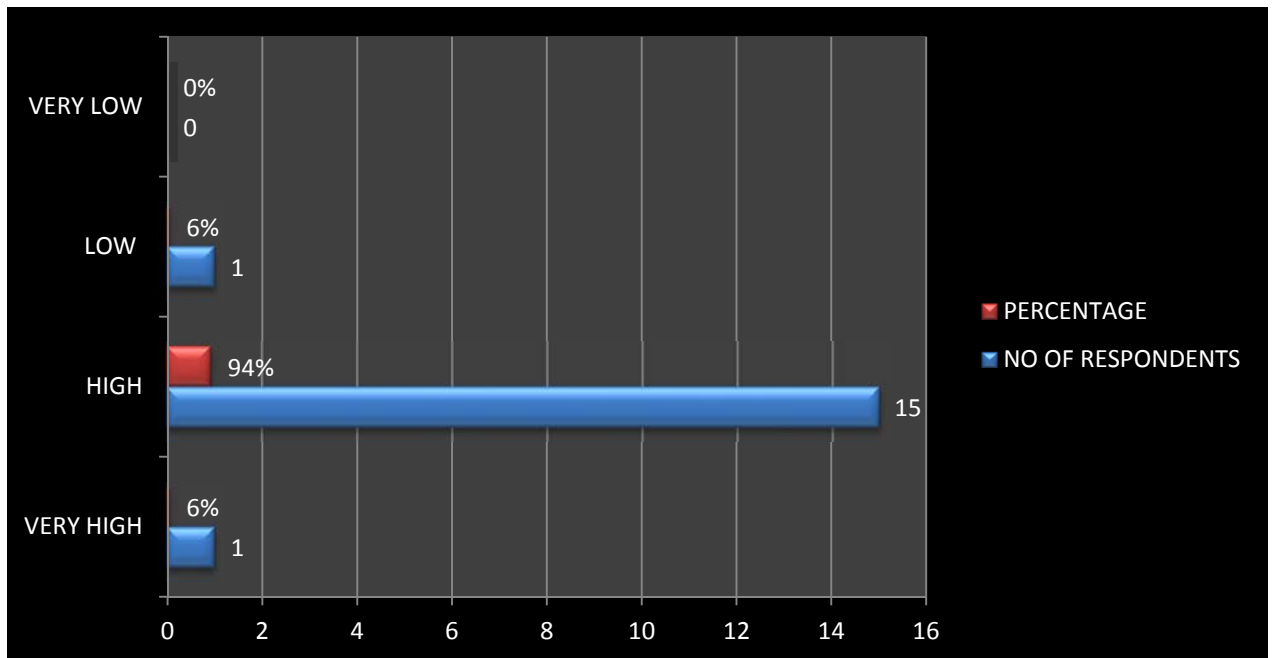
	No of respondents	Percentage
Yes	16	100%
No	0	0%
Total	16	100%



**Interpretation:** the research consisted of 16 participants of which 16 (100%) agree that that the IDP and Budget are made readily available to the community. Both the IDP and Budget are made available to the communities as per the legislation on Municipal Cashier points, Public Libraries, Municipalities' receptions, Offices of the Mayor and Municipal Managers, Municipal website, through the Provincial Integrated Website.

**Are imbizos/feedback meetings held with communities?**

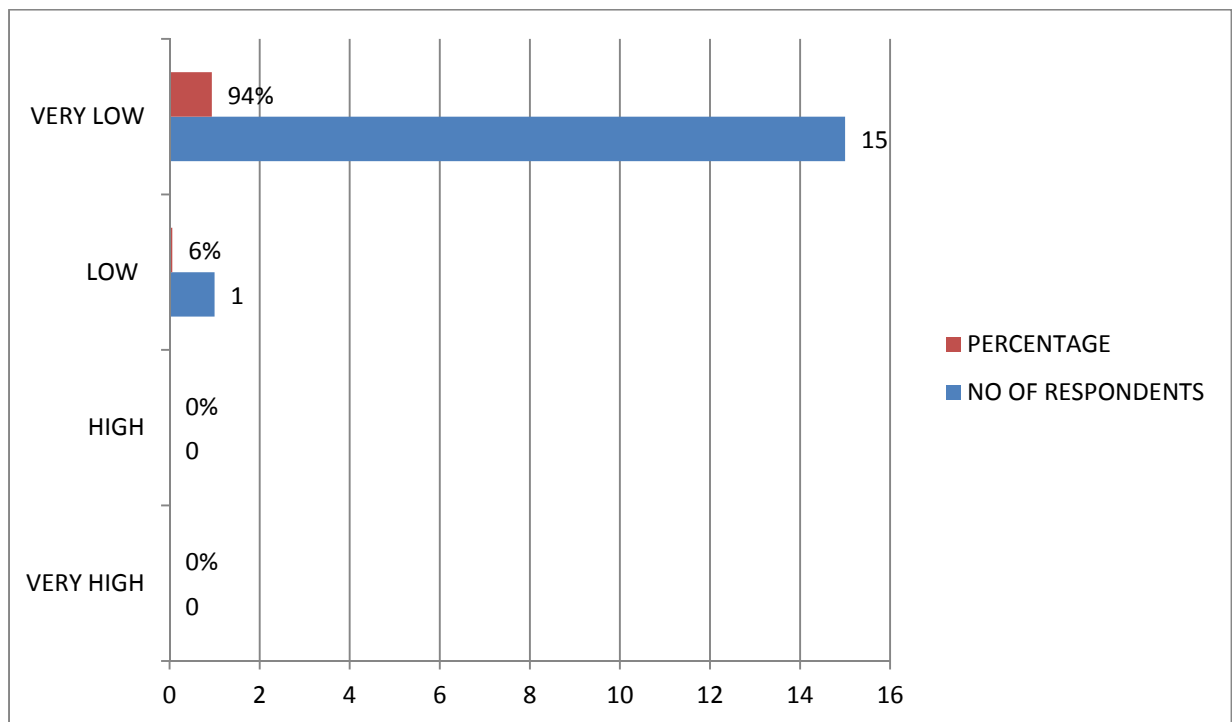
	No of respondents	Percentage
Very high	1	6.25%
High	15	93.75%
Low	1	6.25%
Very low	0	0%
Total	16	100%



**Interpretation:** the research consisted of 16 participants, of which 15 (93.75%) of them agree that imbizos/feedback meetings are held with communities. Community feedback meetings are held with the communities including stakeholders. This is because consultations do not end after meetings for inputs and comments. Meetings must also take place when there is no progress on what has been planned. Most community feedback meetings should and must be held on a monthly basis with the communities – this is the only platform for communities to raise their concerns.

**To what extent is there meaningful public participation in the IDP process?**

	No of respondents	Percentage
Very high	0	0%
High	0	0%
Low	1	6.25%
Very low	15	93.75%
Total	16	100%



**Interpretation:** the research consisted of 16 participants fifteen (93.75%) of them feel that meaningful public participation in the IDP process is very low because although the public is invited to take part in the process it does not make them feel as if their inputs are meaningful enough.

**2. Conclusion**

Through an empirical study undertaken, the chapter endeavoured to highlight the importance of establishing effective Ward Committees for the greater benefit of the citizen’s public participation. The chapter also exposed particular misconceptions

about the expectations of the residents in terms of the roles and functions of Ward Committees in facilitating public participation.

Ward Committee members are elected by the community, and should therefore be accountable to the community; regular meetings to give feedback to the community are required. At the same time, the community should support Ward Committee activities and initiatives, attend meetings and participate, which will result in their ownership of the developmental agenda in their area.

## Chapter 5

### Conclusion and recommendations

#### 1. Introduction

The researcher collected qualitative and quantitative data, utilising municipal acts as basis, from all the participants who participated in the research. All interviews were conducted face-to-face. The initial part of each interview took the form of a conversation between the researcher and the respondent so as to put the respondents at their ease. Furthermore, respondents were assured that their identities would remain anonymous. This was done to promote honest responses. Respondents selected were municipality officials, and members of the community. The reason for using the selected respondents is that they are supposed to work together to ensure that the municipality enhances effective policy implementation.

The following conclusions were drawn based on the aforementioned research done:

#### 1.1 Community participation in the IDP

Real participation requires moving beyond the level of consultation to participation in decision making. Xhariep district municipality community participation in the IDP process is limited to information sharing and consultation. Proper participation processes are seen as being too time consuming to have a major impact on community participation, and this results in no community ownership of the IDP and therefore also no ownership of the service delivery outputs. The IDP manuals also do not assist in this regard because although they prescribe procedures for participation, they did not encourage innovation in ensuring active participation.

#### 1.2 The ward committee

Every ward within the Xhariep district municipality has a ward committee established in accordance with the provisions of the local government municipal structures Act. A ward committee can be an effective public participation strategy to be embarked upon by the municipality if the committees are fully operational. It was however determined that ward committee meetings are not well attended within the Xhariep district and therefore do not function effectively.



### **1.3 Imbizos/report back meetings**

It was found that the Xhariep District Municipality, in a joint effort with other sectors of government, frequently use this public participation strategy. Here, politicians do not talk; they only listen to communities talking. The respondents reported that inputs made at these imbizos continue to enrich the strategic development programmes of the municipality. This is therefore viewed as a strategy with a positive effect as communities experience participating in a government process and provide feedback relevant to government structures.

### **1.4 Political interference**

In almost all the wards, there was an indication of the influencing and interference of political organisations as well as political individuals. It was also discovered that some Ward Committee members use their political affiliation as a passport to become Ward Committee members in order to receive a sustainable income. In most ANC led wards, the branch political head becomes the ward councillor, who is in turn the chairperson of the Ward Committee. This often creates confusion as far as responsibilities are concerned, and thus the Ward Committees end up being a mere extension of the dominant political party of that ward. As a result, the Ward Committee is used as a platform to attract the attention of high profile political leaders and community meetings take place under the flag of a political party and not as an apolitical community event.

### **1.5 Public trust in their municipality**

The research showed that the level of trust in the Xhariep District Municipality repeatedly emerged as low across the district and within different social and demographic categories.

Trust is an important component of democratic legitimacy. If citizens trust their government, they will be more likely to contribute to a strong and robust democracy. This means that people will be more willing to listen to government and support its policies aimed at improving the district municipality as a whole. When people support government policies they will be predisposed to want to help government implement such policies.

## **2. Recommendations**

Public participation should be seen as a strategic tool which is meant to assist local and district municipal councils in reaching out to the wider communities, and needs strategic capabilities on the part of both the political and administrative leadership of the municipality. The following recommendations are made based on the research done for this dissertation regarding the role of ward committees in public participation through the IDP. These recommendations aim to help boost policy implementation within the Xhariep district municipality

It is recommended that:

- Properly enforced programmes should be developed in consultation with the speakers of the local councils and the district council to enable ward committee members to become familiar with policies, regulations, and by laws by training them immediately after they have been elected into office.
- Ward committees should also be given adequate training through workshops on the IDP, budget processes, how ward committees should function and municipal legislation.
- Mechanisms like bi-monthly reports by ward councillors to the speaker's office should be introduced. Such reports have to be checked and feedback must be given by each ward councillor. The district council should play a role in ensuring that these reports are taken seriously by the local councils and municipal management.
- The public participation office created specifically to enhance public participation by communities should recruit knowledgeable, dedicated and committed personnel.
- Communities should be urged to make themselves available for public participation in programmes.
- Ward councillors should attend outreach programmes such as community or residential area meetings.
- Ward committees should hold monthly meetings in the different residential areas within the ward for report-back purposes.

- Ward committee members should actively involve the communities in identifying projects for their ward based on needs for the IDP, and lobby to have those projects included and budgeted for and then ensure implementation thereof. A bottom-up approach rather than the current top-down approach is required.
- An information office should be established from where the ward committee can function, and with an office for the ward councillor to improve interaction with and access to the community, and vice versa.
- The municipality should budget for the reimbursement of transport expenses and stationery for ward committee members.
- Ways should be explored to enable ward communities to function effectively and to develop funding from both provincial and national government.
- Steps should be taken to amend the municipal structure act, so as to be more inclusive on the issue for representation of communities at ward communities meetings in rural areas.
- Communities should be organised in order to take a more effective role in public participation by attending IDP representative and ward committee meetings.
- Ward councillors should assist community members to understand the role of the municipality.
- Councillors should enable ward committee members to understand the programmes for national and provincial government.
- Ward committee members should be accountable to the community that elected them and report back to them.
- Authentic public participation by the community should be encouraged and should support the municipality's programmes, such as paying for services rendered rather than creating resistance to it.
- There should be a continuous flow of communication between the ward councillor and the residents in his/her ward.
- COGTA should also assist ward committees as all categories of development take place at ward level.

### **3. Conclusion**

Community participation should become an intrinsic part of municipal operations, and not merely an IDP activity. In order for this to happen councillors and officials have to be trained in the role and importance of participation, as well as the various levels of participation, methods and approaches to community participation. Sectoral forums and ward committees should be given administrative support and regularly reported to. Local newspapers should also be utilised to reach people who do not attend IDPRF meetings.

The Xhariep District Municipality, as one of the largest municipalities in the Free State province, has the potential to become a model for public and good governance through its strides towards encouraging communities in the public participation process. If the recommendations made can be implemented within the Xhariep District Municipality, the opportunities the district provides its residents through ward community representatives at IDP meetings which are normally convened at a central venue, such as community halls, would provide much more valuable inputs from various stakeholders, which can then be worked into an IDP document which will be reflective of its residents' views. Similarly, with budget consultative meetings, which are normally conducted at various demarcated municipal areas, also allow residents to make inputs to form the basis for the planning process.

Participatory democracy entails a high level of public participation in that communities are represented in governance, thereby influencing the decision-making processes. Municipalities are at the epicentre of service delivery and therefore the participation of communities through Ward Committees becomes very important. The establishment of Ward Committees is the duty of all municipalities, to ensure that they fulfil their role of enhancing public participation. It goes without saying then that the institutional arrangements of councils must be organized in such a manner that they are enabled to function effectively. It is also of importance to note that the working relations between the Ward Committees and ward councillors should be enhanced to ensure that communities get the greatest benefit out of municipal programmes by way of a clear communication strategy.

## **Annexure 1**

Dear participant

I, Mr Tsholele Sekautu cordially invites you to participate in the Evaluation of good governance policy implementation in the Xhariep district municipality. This study is part of my research for the masters program in governance and political transformation at the University of the Free State. Your cooperation and participation in this study is greatly appreciated. If you choose to participate, please take note of the following:

- Your participation is entirely voluntary
- All the information will be treated with the outmost confidentiality
- If you agree to participate, you need to sign the consent form

Instructions:

- For each question please answer frankly how you feel about the issue.
- There is no Right or Wrong answer- please answer the questions as honestly as possible.
- If you are unable to understand any of the questions and to complete the questionnaire the researcher will assist you.

For further information regarding this study please contact: (051 401 2628)

Dr. T. Coetzee

Programme Director

Governance and Political Transformation

Informed consent form

Dear participant

After carefully reading the information on the first page, please sign this document as an indication of your agreement to participate in this research.

If you have any questions or concerns about this study please contact T.N Sekautu (0710509412). The purpose of this research has been explained to me and I voluntarily agree to participate in this study. No reward/inducements have been offered to me to participate in this study.

Signature of participant: \_\_\_\_\_

Date: \_\_\_\_\_

## **Interview questions**

1. As a member of top management, do you use any policy implementation process that aids you in implementing policies?
2. How do you collect, categorize and package information that supports the policy implementation process of, for example, the IDP?
3. How does political leadership influence the policy implementation process?
4. Is there any means of measuring value to your community?
5. To what extent do members of the public trust their municipality?
6. What strategies exist to enable public participation in local government?
7. Are ward committees active in your municipality?
8. Does the municipality consult with the community regarding inputs for the IDP?
9. Are the IDP and budget made easily available to the communities?
10. Does the municipality get any feedback from the communities regarding the IDP and budget?
11. Are Imbizo/feedback meetings held with communities, and if yes how regularly?
12. What is the level of compliance by the municipality with legislation and regulation pertaining to the policy implementation process?
13. To what extent is there meaningful public participation in IDP processes?
14. What are the key issues, limitations and challenges related to the IDP process?
15. What support has been given to municipalities to undertake IDP?
16. Which policy and legislative frameworks govern and inform IDPs?
17. To what extent is Integrated Development Planning (IDP) achieving its desired outcomes?

## **Annexure 2**

### **Questionnaire for study**

Dear participant

I, Mr Tsholele Sekautu cordially invite you to participate in the Evaluation of good governance policy implementation in the Xhariep district municipality. This study is part of my research for the masters program in governance and political transformation at the university of the Free State.

If you choose to participate, please take note of the following:

- Your participation is entirely voluntary
- All the information will be treated with the utmost confidentiality
- If you agree to participate, you need to sign the consent form

Instructions:

- For each question please answer frankly how you feel about the issue. There is no Right or Wrong answer- please answer the questions as honestly as possible.
- Mark your responses by placing a cross (x) in the appropriate box.
- If you wish to make additional comments on any of the specific question, use the space at the end of the questionnaire.
- If you are unable to understand any of the questions and to complete the questionnaire the researcher will assist you.



Informed consent form

Dear participant

After carefully reading the information on the first page, please sign this document as an indication of your agreement to participate in this research.

If you have any questions or concerns about this study please contact T.N Sekautu (0710509412). The purpose of this research has been explained to me and I voluntarily agree to participate in this study. No reward/inducements have been offered to me to participate in this study.

Signature of participant: \_\_\_\_\_

Date: \_\_\_\_\_

1.1 District municipality: \_\_\_\_\_

Local municipality: \_\_\_\_\_

1.2 Indicate your gender

Male  Female

1.3 To which age group you belong?

18-28  40-50

29-39  51 older

1.4 Racial or ethnic identification

Black/African

Coloured

White

Other \_\_\_\_\_

1.5 Education level

Not educated in formal school

Primary

High school

Technical degree

Bachelor degree

Other \_\_\_\_\_

1.6 Employment status

Employed

Unemployed

1.7 Political party

\_\_\_\_\_

1.8 To what extent do you trust your municipality?

Very high  high  low  very low

1.9 To what extent have municipalities developed local policies?

Very high  high  low  very low

1.10 To what extent do ward committees influence decision making?

Very high  high  low  very low

1.11 Are IDP documents, municipal budgets easily available to the public?

Yes  No

1.12 Are izimbizo/report-back meetings convened regularly?

Yes  No

1.13 To what extent is there meaningful public participation in IDP processes?

Very high  high  low  very low

1.14 To what extent do members of the community trust their municipality?

Very high  high  low  very low

1.15 Are ward committees active in your municipality?

Yes  No

1.16 Does the municipality consult with community for inputs for the IDP?

Yes  No

1.17 Are IDP and Budget made easily available for the community?

Yes  No

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