Developing a community-based water services monitoring framework for the OR Tambo District Municipality

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DECLARATION

I, Zukiswa Roboji, hereby declare that this study, “Developing a community-based water services monitoring framework for the OR Tambo District Municipality” is my original work and all sources consulted are acknowledged by means of complete references. This work has never been partially or solely submitted by me to any university.

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Signature

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Date

DEDICATION

With genuine gratefulness, I dedicate this work to my grandmother, Nonyembezi Topsy Samuel, my illiterate graduate. You inspired my passion and the purpose in life through your voice, thank you so much '*Dikela Ka Noni Ntswayibane*' for your life.

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CBM	Community Based Monitoring
COGTA	Department of Cooperative Governance of Traditional Affairs
DIMSTM	District Information Management System
DPME	Department of Performance Monitoring and Evaluation
DWAF	Department of Water Affairs and Forestry
ECCOGTA	Eastern Cape Department of Cooperative Governance of Traditional Affairs
ECOSOC	United Nations Economic and Social Council
EXCO	Executive Committee
FBW	Free Basic Water
GWMES	Government Wide Monitoring and Evaluation System
IDP	Integrated Development Plan
IDRC	International Development Research Centre
IMF	International Monetary Fund
KSD	King Sabatha Dalinyebo
LED	Local Economic Development
MDGs	Millennium Development Goals
MTSF	Medium Term Strategic Framework
NDP	National Development Plan
NGO	Non-Governmental Organisation
NPM	New Public Management
NWA	National Water Authority
NWRS	National Water Resource Strategy
ORTDM	Oliver Reginald Tambo District Municipality
PA	Public Administration
PCF	Premier Coordinating Forum
POSDCORB	Planning, Organising, Staffing, Directing, Coordinating, Reporting, Budgeting
PPP	Public-Private Partnership
PSC	Project Steering Committee
PSJ	Port St Johns
RSA	Republic of South Africa

SALGA	South African Local Government Association
SDGs	Sustainable Development Goals
SONA	State of the Nation Address
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Programme
USA	United States of America
WSA	Water Service Act

ABSTRACT

Water is both a fundamental and basic human right. The study sought to develop a community-based water services monitoring framework for the OR Tambo District Municipality. This is one municipality in the Eastern Cape Province where residents share open water sources with both wild and domestic animals. Such a sad reality calls for a community-based framework for water planning and monitoring. A qualitative research approach using new public management (NPM) as a guiding theory was used for the study. The data for the study was collected using semi-structured interviews and focus group discussions. International best practices in community-based monitoring were used to set examples for deriving lessons for South Africa. The analysis of empirical data followed a rigorous thematic analysis where identify numerous challenges affecting the facilitation of community-based monitoring (CBM) practices in the ORTDM.

The findings of the study show that there is a gap between the norm and reality as far as CBM of water services in the ORTDM is concerned. The issues that have affected current community participation and CBM practices in the municipality include lack of community-based solutions, the absence of stakeholder engagement, poor political will, and a lack of communication and feedback in the creation and sustaining for effective CBM practices. To mitigate the effects of the identified challenges, the study proposes a CBM framework which, together with the recommendations in the study, requires *inter alia* an institutionalisation of CBM to re-orient current community participation practices, encourage the capacity of communities through training towards ensuring that all CBM projects are community-owned, engendering CBM and ensuring managerial competence for those holding the power. The study calls for a universal approach to community participation and development across both rural and urban areas of the municipality.

Key concepts and terms: community participation, community-based monitoring, water services, OR Tambo District Municipality.

CHAPTER ONE
INTRODUCTION AND GENERAL ORIENTATION

1.1. INTRODUCTION

Since 1994, the Republic of South Africa has embarked on a path of entrenching participative democracy, which revolves around the establishment and sustaining of an equal society. Contextually, for the Republic of South Africa (RSA), the year 1994 marked the birth of democracy and majority rule where the government of South Africa started to redress the imbalances of the past and ensure that service provision is tailor-made to meet the unique demands of the citizen (Van Dijk & Croucamp, 2007:669). Such a government-citizen relationship was made possible with the establishment of a working rapport between the government and its citizens through democratic practices such as community participation (Williams, 2005:19). Although the crux of this study was to determine the extent of community participation in water service delivery for enhanced monitoring, the study considered a thorough synopsis of the relative meaning and implications of community participation as critically important.

Section 152(1)(e) of the Constitution of the Republic of South Africa (1996) establishes local government with the core objective of bringing the government closer to the people. This section empowers local authorities with various aims, *inter alia* promoting socio-economic development and promoting a democratic and accountable government. Also, the need to spread government to all corners of the Republic has seen the Municipal Demarcation Board originally establish a total of 283 municipalities in South Africa (Du Plessis, 2008:660). At present, there are 278 local government entities in South Africa. There are currently 257 municipalities: eight metropolitan, 44 district and 205 local municipalities (Local Government Handbook South Africa, 2019). A total of 226 are local municipalities, 44 are district municipalities and 8 are metropolitan municipalities (Anon, 2018). These municipalities are guided by various local government statutes such as the Local Government: Municipal Systems Act (32 of 2000) and the Local Government: Municipal Structures Act (117 of 1998). Furthermore, as the grassroots government, municipalities were established to give effect to the civic role of citizens and to

enable them to actively partake in the activities of their government (Hofisi, 2014:1132).

To this end, Section 152(1)(e) of the Constitution of the Republic of South Africa (RSA, 1996:77) mandates municipalities to ensure the provision of public services to communities is undertaken in a sustainable manner while concurrently encouraging the involvement of local communities and community organisations in matters of local government. Public participation and consultation in the Republic of South Africa is regarded as a core value of democracy (Shaidi *et al*., 2014:107). Furthermore, Govender *et al*. (2011:185) acknowledge that global blocs and institutions such as the World Bank and the International Monetary Fund (IMF) regard community participation as central to democratic practice. Thus, community participation in the activities of the government is virtually non-negotiable to maintain vibrant citizenship and to foster local democracy (Van der Waldt, 2011:14).

1.2. ORIENTATION AND PROBLEM STATEMENT

For Vivier and Wentzel (2013:239-241) community participation is an attempt by a community collectively and on its own initiative or facilitated by government to reach certain self-determined goals according to pre-established methods and procedures to realise the unique needs of that particular community. These pre-established methods might be through ward committees, *imbizos* or stakeholders meetings. Although community participation has often been regarded as an *ex-ante* activity, it has in recent history assumed an *ex-post* feature with the emergence of community-based monitoring (CBM). In principle, monitoring refers to a continuous function that utilises the systematic collection of data on specified indicators to provide management and stakeholders with on-going development interventions with indicators of the extent of progress and the achievement of objectives and progress in the utilisation of allocated funds (Rist & Kusek, 2004:227; Govender, 2013:815).

Citizen participation provides an alternative strategy to address community development challenges in developing countries where bureaucratic planning disregards local circumstances (Mubangizi, 2010:154). Smith (2011:506) claims that where bureaucratic planning disregards the local matters, citizens' voices through public participation is an alternative strategy that can address public challenges, in

this case specifically water challenges. Smith (2011:507) further argues that citizens' voices create a platform for dialogue between national government, provincial government, local municipalities and citizens regarding adequate service delivery. This helps to track performance, identify customer needs, problem areas, and provide feedback where improvement is required.

Nonetheless, there are instances where the public as the consumers and customers of public service delivery feel dissatisfied with the pace, manner and quality of services delivered by their government and hence resort to service delivery protests. Netswera and Phago (2013:25) credit the surge in public service delivery protests with the efficacy and implementation of the current local government participative legislation. They found wanting some practical examples where the processes of local government were lacking. Moreover, the mandate placed on local government to lead in the advancement of the people's standard of living rendering services naturally holds municipalities responsible for the policy programmes and local economic development (LED) interventions they choose to pursue. Over and above this, the community's voice should be heard to determine the needs, priorities and projects as a fundamental requirement of the integrated development planning (IDP) process (Hofisi, 2014:1134).

Speer (2012:2379) recognises the gradual adoption of various participatory governance mechanisms such as participatory planning and participatory monitoring and evaluation to promote citizen participation in developing countries. Participatory monitoring and evaluation aims to improve the outcomes of the policy programmes of the government through consistent engagement with the community before, during and after the implementation of interventions and initiatives aimed at addressing poverty and inequality. Furthermore, Sangole *et al*. (2014:131) argue that participatory monitoring and evaluation could also involve international donors, government and non-governmental organisations (NGO's), while ensuring that the involvement of local stakeholders is not absent. The local organisations can be regarded as community 'watchdogs' to ensure that everybody is involved in matters of government (Tau, 2013:153). Thus, such NGOs are solely held responsible for the set plans and end results in community development. Facilitating participative

democracy means that a monitoring and evaluation programme should be guided by a people-driven government that revolves around the establishment and sustaining of a CBM system (Biradavolu *et al.,* 2015:1). For the purpose of this study, the focus was only on CBM. For Reyes (2011:4), CBM is a framework that enables the achievement of sustained community structures in community development initiatives, especially at the local sphere of government, which is regarded as the grassroots government due to its closeness to the people. Members of the community actively and harmoniously participate alongside with the government to track developmental progress. Such a constant and consistent tracking, tracing and appraisal would instil public confidence it its government, while promoting accountability and transparency (Brown, 2013:8). Thus, the chapter now looks at the implications of accountability in order to enhance CBM.

Herrie *et al.* (2014:15) acknowledge that accountability is an element of CBM and is critically important in deepening and strengthening democratic governance in local government. Additionally, CBM of public services provides a possible solution to accountability problems when state oversight is limited (Barr *et al*., 2012:2). In this regard, the government of the Republic of South Africa seeks to empower the citizens with tools and forums such as ward committees in which they will hold their electoral representatives accountable (Eastern Cape Department of Cooperative Governance and Traditional Affairs, 2014:11). Therefore, community members can hold municipalities responsible for the socio-economic interventions in the determination of their priorities as a fundamental requirement of the IDP process.

The critical principle recommended in CBM is the involvement of the interests of stakeholders (Constantino *et al.*, 2012:7). In the context of the study, stakeholder participation is required for CBM to bring a valued-added benefit to the services that communities receive from their municipality (Herrie *et al*., 2014:15). Rooyen (2003:128) posits that there are other parties involved who have an interest in the affairs of the organisation, like employees, suppliers, communities, consumers, government bodies, NGOs and pressure groups. As such, the municipalities are required to ensure that the public actively partake in the affairs and decisions that affect their livelihoods. In summary, members of the public and the consumers of

public services, as equally important stakeholders in local government, have constitutional rights in the determining of local government functionality.

The World Bank (2002:2) has drawn attention to the fact that there is a need for a local or CBM and evaluation system that can measure and sustain the needs of community developmental goals. There is a link between CBM and community engagement strategies such as supported by the village participatory approach.

In the South African context, monitoring and evaluation was adopted in 2005 in the awake of unmonitored spending by the government. The national treasury through the Department of Planning, Monitoring and Evaluation developed a Government Wide Monitoring and Evaluation System (GWMES) to identify large number of unfinished projects and encourage needs for evidence in monitoring of government projects (Cloete,2009:297-298). The development of the GWMES that was designed to improve the following aspects in the public sector (Ille *et al*., 2012:15):

- the quality of performance information and analysis at programme level within departments and municipalities;
- attainment of outcomes related to monitoring and evaluation, and its impact across the national, provincial and local sphere of government; and
- outcomes and impact assessment relating to monitoring and evaluation of provincial growth and development plans.

The reality is that the GWMES is still evolving and in the process of being cascaded from the national sphere of government where it is located within the Department of Performance Monitoring and Evaluation (DPME) in the Presidency, to the other spheres of government. CBM can serve as an input programme for the sector-wide monitoring and evaluation policies and programmes like the GWMES in an effort to improve public service delivery. The DPME (2011:4), when suggesting an approach for CBM and accountability, advises that the process should deepen accountability and promote greater community participation in planning, implementation and monitoring of service delivery. CBM also complies with such people-oriented approaches to community development as promoted through the IDP and LED

processes in local government. In this sense, the World Bank (2002:2) has drawn attention to the fact that there is a great need for local monitoring and evaluation systems that can measure and sustain the needs of the community-based pre-determined developmental goals. In this case, active citizenry partakes in monitoring through community participation activities of their specific society. The purpose of CBM is to gain the cultural context and explanations in performance monitoring of the organisation (World Bank, 2012:47). To develop a greater understanding of the prevalence of monitoring and evaluation in the 21st century, Table 1.1 lists CBM methodologies that have been used by several countries and South Africa (World Bank, 2004).

Table 1.1: Citizen-based monitoring methodologies

CITIZEN-BASED MONITORING METHODOLOGIES	DEFINITIONS	INTERNATIONALLY	LOCALLY
CITIZEN JOURNALISM	Citizens collect, report, analyse and disseminate news and information. New media technologies such as media sharing website and social networks have enabled citizen journalists to become alternative news sources to conventional mainstream media.	Eastern and Western Europe, Latin America, Russia, Southeast Asia, Ukraine, Democratic Republic of Congo, India, Kenya, Philippines, Pakistan, Zimbabwe, Zambia, Uganda, Tanzania,, Ghana, Canada.	South Africa
CITIZEN'S VOICE	Citizen's Voice is providing a bottom-up approach to water services regulation by actively involving citizens in the local monitoring of water and sanitation services.	Philippines, India and Ukraine	South Africa
CITIZEN'S REPORT CARD	The citizen report card methodology uses surveys to assess the quality of public services and to use the information to advocate for improvement.	Bangalore (India)	South Africa
CITIZEN'S JURY	Representatives selected by the community members to make decisions on proposed actions.	India, Ukraine, Buenos Aires	
CITIZEN'S	A citizen's charter informs citizens about the	United Kingdom, Canada, Australia,	

CHARTER	standards and expectations from their organisations	Malaysia, India	South Africa
COMMUNITY-BASED MONITORING SYTEM	Community members are trained to act as monitors of local services. The information is used to engage with government on improving problems areas.	Philippines	
COMMUNITY SCORE CARDS	Community scorecard is based on identifying issues though facilitated focus group discussions with community members for input to public service providers.	Ghana, Malawi, Uganda, Gambia, Tanzania, Zimbabwe and Sri Lanka	
COMMUNITY MONITORING AND ADVOCACY PROGRAMME	The actual monitoring is done by 30 community-based organisations (CBOs) in all provinces		South Africa
COMMUNITY SANITATION INFRASTURUCTURE QUALITY CONTROL	Community is in partnership with the Mvula Trust to build toilets		South Africa
COMMUNITY ACTION PLANNING	An informal structure used by informal settlement communities to engage in participatory community actions		South Africa
COMMUNITY-BASED MANAGEMENT (CBM)	Focus on citizen experiences regarding what the citizens want and value.		South Africa
COMMUNITY RADIO	Hold the service providers accountable.	Columbia, Peru, Mali, Nepal	South Africa
CIVIL SOCIETY ORGANISATIONS (CSO)	Civil society is involved in monitoring water delivery		South Africa
DASHBOARD/SOUTHERN HEMISPHERE	Mobile web tools track the activities of local communities		South Africa
GRIEVANCE REDRESS MECHANISMS	Complaints mechanisms such as hotlines, customer feedback websites etc. aim to resolve problems with service delivery by providing an opportunity for citizens to report problems	New South Wales, Australia	
GOOD GOVERNANCE SURVEY	Afesis-Corplan in partnership with the Ford Foundation and GTZ support the local municipalities with skills of good governance.		South Africa

INDEPENDENT BUDGET ANALYSIS	A process where civil society stakeholders research, monitor and disseminate information about public expenditure to influence the allocation of public resources and to hold the government accountable.	Albania, Argentina, Armenia, Azerbaijan, Bangladesh, Bolivia, Brazil, Cameroon, Chile, Croatia, Ecuador, Egypt, Germany, Ghana, Guatemala, India, Indonesia, Israel, Kazakhstan, Kenya, Lebanon, Malawi, Mexico, Mozambique, Namibia, Nepal, Nicaragua, Nigeria, Peru, Philippines Poland, Russia, , Sweden, Tanzania, Uganda, Sweden, Tanzania, Uganda, United States of America, West Bank, Gaza and Zambia.	South Africa
MYSTERY CLIENT/GUEST SURVEYS	A way to monitor frontline service delivery using an unannounced survey or posing as a client in order to identify both good customer service as well as areas that require improvement.		South Africa
MERAKA INSTITUTE	Used by the Department of Basic Education to monitor the school nutrition programme.		South Africa
MOBENZI	Provides mobile technology and in other countries software and professional services to organisations involved in research, data collection, logistics and community services delivery.	Nigeria, Zimbabwe	South Africa
OMBUDSMAN	An independent oversight and recourse body set up to arbitrate disputes in a particular sector.	Sweden, Finland, Denmark, Norway, New Zealand, Canada, United Kingdom, United States of America, Australia, France, Tanzania, Guyana, Mauritius,, India, Sri Lanka, Fiji, Nigeria, Nepal.	
PARTICIPATORY BUDGETING	A process through which citizens participate directly in budget formulation, decision-making and monitoring of budget execution.	Brazil, Argentina, Uruguay, Chile, Peru, Dominican Republic, Nicaragua, El Salvador, Mexico, Spain, Italy Germany, France, Belgium, Portugal, Switzerland, Albania, Bosnia, Herzegovina, Portugal, Switzerland, Cameroon, India, Sri Lanka, Indonesia, and Philippines.	South Africa
PUBLIC HEARINGS	Formal meetings at community level that centre on budgets and strategic planning as a tool to enable citizen accountability	Ukraine, Buenos Aires, Argentina	South Africa
QUANTITATIVE SERVICE DELIVERY SURVEYS	These surveys examine the efficacy of spending and the relationship between those who contract for a service and those who deliver it.		South Africa
SOCIAL AUDIT	A monitoring process through which organisational or project information is collected, analysed and shared publicly and investigative findings are shared and		South Africa

	discussed publicly.		
TRANSPARENCY PORTALS	These are websites where public financial information is accessible for increasing transparency by declaring large amounts of information to those with internet access.	Peru ,Guatemala, Bolivia, Colombia and Chile	
WARD KEY PERFORMANCE INDICATORS	Aimed at providing municipalities with a reliable and structured form of feedback on municipal performance, which is essential for performance review and management.		South Africa
VILLAGE WATER COMMITTEES	Aimed to improve the sustainability of water supply, particularly in remote areas		South Africa

Source: Adapted from Coronel (2004:7); Solana (2004:78); World Bank (2004:5); Hossain (2007:7); Banda (2010:43); DPME (2010:5); Mutsvairo *et al*. (2012:2); DPME (2013:8); and Semary and Khaja (2013:53).

Table 1.1 indicates the various methodologies for CBM to monitor and manage public sector performance. CBM methods have been used to monitor frontline service delivery both locally and internationally (Department of Planning and Monitoring and Evaluation, The Department of Planning, Monitoring and Evaluation 2013:8). In summary, community-based monitoring methods have been instrumental in the delivery of efficient and effective public goods and services, especially in the 21st century. When applied to this study, the involvement of local communities will bring the government closer to the people and empower water users by promoting data collection and recording, as well as promoting a democratic and accountable government to local communities (Coleman *et al*., 2007:1). Thus, the use of CBM in water services provision can become useful in the sustainable delivery of water services to the people.

Community development in South Africa can be improved with the use of community participation mechanisms such as CBM to help further the goals of the developmental state. In the Constitution of the Republic of South Africa (RSA, 1996:81), the democratic government of South Africa describes the strategic role of the local government as working with citizens, groups in local communities for better standards of living (Govender *et al*., 2011:199). Such an entrenched approach to sustainable community development ensures that the government does nothing for the people without the people. Participation is therefore not merely useful, but enables the citizens to own the developmental processes of performance in a

democratic developmental state. Regardless of the statutory entrenchment of community participation and the relative importance of monitoring in the delivery of public goods and services, there are times when municipalities in South Africa do not use community participation fully, affecting service delivery as a result. In this regard, the study acknowledges the existence of the problem of a lack of community participation in the local sphere of government in South Africa. This chapter continues in the sections below to discuss the statement and identification of the research problem in the study area.

The OR Tambo District Municipality (ORTDM) is located within the Wild Coast region and the second most populous district next to the Amathole District Municipality in the Eastern Cape Province of the Republic of South Africa (OR Tambo District Municipality, 2013:11). The population is estimated at 1 364 943 people living within the five local municipalities, namely the King Sabata Dalinyebo, Mhlontlo, Ngquza Hill, Nyandeni and Port St. Johns municipalities. Approximately 80% of the population forms part of former Transkei and 93% lives in homesteads in small villages (ORTDM, 2014:11). Section 3(3) of the Strategic Framework for Water Services (Department of Water Affairs and Forestry, 2003:15) confers powers upon district municipalities and local municipalities as water service authorities and water service providers responsible for the processes of planning, implementation, operation and maintenance of water services within their jurisdictions.

The ORTDM finds itself in a precarious position to compete and remain relevant in terms of improving access to quality water services for its residents (ORTDM, 2011:11). The integrated development plans (OR Tambo District Municipality, 2011:11, OR Tambo District Municipality, 2012:105, OR Tambo District Municipality, 2015:85–56) show numerous households with no access to water on the stand (specific water backlogs per local municipality are depicted in Table 1.2). In addition to challenges with water supply, the infrastructure is deteriorating and needs urgent attention. On this basis it may be inferred that 51% of the population within the ORTDM do not have access to water services (StatsSA, 2011:25). Table 1.2 shows a pattern of persistent water backlogs that results in a lack of water access and

customer dissatisfaction in the OR Tambo District Municipality against planned targets.

Table 1.2: Water backlogs in the OR Tambo Local Municipalities (2010–2013)

Municipality / Period	2010/2011		2011/12		2012/13–2013/14	
Local Municipality	**Total No. of households**	**Water backlogs**	**Total No. of households**	**Water backlogs**	**Total No. of households**	**Water backlogs**
King Sabata Dalinyebo	93 384	44 244	105 000	48 272	93 384	44 234
Nyandeni	56 853	35 627	70 145	43 534	56 853	35 627
Mhlontlo	49 862	30 266	49 862	28 917	49 862	30 266
Ingquza Hill	48 703	31 359	51 063	31 924	48 703	31 359
Port St Johns	30 950	23 330	30 951	25 492	30 950	23 330
TOTAL	**279 752**	**164 826**	**301 021**	**178 139**	**279 752**	**164 813**

Source: ORTDM (2013:59); ORTDM (2014:82)

Community participation can occur at any stage of the policy-making process. Consistent municipal performance targets ensure that communities actively participate in the activities of their government, especially in projects or programmes that have a direct bearing on the livelihoods of the people (Britain & Mehdi, 2010:2). Table 1.3 shows that the 2012/13 figures were roughly analysed as percentages, which makes it difficult to definitely establish water backlogs. In summary, 41% (106 246) of households gained access to water delivery, while 30% (92 840) did not have access to water and for 35% (109 541) of inhabitants the service was below standard because of service interruptions during 2014/15. It seems as if data recording is a challenge, and the district shows no progress with tracking performance targets.

Table 1.3: Water backlogs in the OR Tambo District Municipality (2012–2016)

WATER LEVEL OF SERVICE	TARGETS 2012/13	%	TARGETS 2014/15	%	TARGETS 2015/16	%
No service	_	_	92 840	30%	92 840	30%
Below basic	_	59%	109 541	35%	109 541	35%
Adequate service	_	41%	106 246	34%	106 246	34%

Source: ORTDM IDP (2012/13:61, 2014/15:178 & 2015/16:245)

The ORTDM is one of the poorest districts in South Africa and it finds itself affected by skills scarcity and shortages in water services due to its economic status (OR Tambo District Municipality, 2012:106; OR Tambo District Municipality, 2014:51; Parliament of the Republic of South Africa, 2015:11). For this reason, water cuts and bursting pipes make it difficult for the district to supply sufficient water. As a result, an estimation of R5 980 334.21 has been reported as lost due to illegal connections and vandalism related to water service delivery (OR Tambo District Municipality, 2015:9).

Zama (2012:4) writes that the OR Tambo District Municipality has an accountability challenge where the input and feedback from citizens is not fully utilised to provide effective goods and services, including safe drinkable water. Such accountability shortfalls are compounded by the lack of ample public participation for the generation of feedback for improved service delivery. A lack of the adoption of *imbizo* engagements has reduced the public participation forums to mere talk. A lack of skills and knowledge on how local representatives can harness public input to improve socio-economic development initiatives in their area of jurisdiction add additional challenges (Zama, 2012:4).

In response to these challenges, the National Treasury, the National Department of Water Affairs and the Eastern Cape Department of Cooperative and Traditional Affairs devised a support programme that provides funding to supply bulk water to eradicate the backlogs. In 2012/13, an additional amount of R1.8 billion was approved to address the infrastructure requirements (OR Tambo District Municipality, 2015:86).

According to the Daily Dispatch (2015:10), there is a reported R10 million that has been set aside for improving citizen participation, especially the manner in which water management is communicated between the municipality and the citizens in the ORTDM. Further, the then President, Jacob Zuma, allocated R5.4 million to the municipality to employ measures to counteract the abject lack of community participation in water service delivery caused by a lack of communication and harmonious working relations between the ORTDM and its residents (Daily Dispatch, 2015:10). Human capital challenges such as a lack of skilled and proficient engineers to deal with the design and management of a fluent water delivery model in the ORTDM has affected the effective engagement of citizens and the municipality in the monitoring of water services (Steyn & Van Heerden, 2011:171). According to the OR Tambo District Municipality (2015:179), the municipality is gradually incorporating the District Information Management System (DIMSTM) as a monitoring tool. They indicated that the municipality does not yet have a well-established monitoring model.

This study seeks to address the complex problem described above by way of proposing and developing a CBM framework for water management in the ORTDM. The discussion now turns to the study aims and questions.

1.3 RESEARCH OBJECTIVES

The overall aim of the study is to develop a CBM model for the delivery of water service in the ORTDM. To this effect, the research objectives of the study are to:

- determine and reflect on the origins, principles and theoretical approaches guiding CBM and community participation in the context of water management, with particular reference to selected local municipalities in the ORTDM;
- analyse the legislative and policy frameworks that guide community participation and CBM systems in South Africa;
- analyse international cases studies on how other countries are undertaking CBM, with a view of deriving valuable lessons for the water management in South Africa;

- explore challenges encountered in the facilitation of community participation and CBM in water management in the South African local government with specific reference to selected local municipalities in the ORTDM; and
- develop a framework which can be employed in order to help to enhance community participation in water management of South Africa for effective service rendering.

1.4 RESEARCH QUESTIONS

Considering the nature and scope of the problem as discussed in the preceding section, the study revolves around the following research questions:

- What are the origins, principles and theoretical approaches guiding CBM and community participation in the context of water management with particular reference to selected local municipalities in the ORTDM?
- Which legislative and policy frameworks guide community-based participation in the Republic of South Africa with specific reference to its utilisation in water management in the local sphere of government?
- What are the principles, factors or characteristics derived from international best practices in CBM?
- What are the challenges with the facilitation of community participation and CBM in water management in the South African local government with specific reference to selected local municipalities in the ORTDM?
- Which framework can be developed, adopted and implemented to best improve CBM in citizen participation for improved water management in the Republic of South Africa with reference to selected municipalities in ORTDM?

1.5 CENTRAL THEORETICAL STATEMENTS

The study used both the new public management (NPM) and public governance paradigms as its theoretical framework. The study aims to improve community participation in the monitoring of public service rendering to communities. A brief look at the concept of management within the realm of NPM follows below. For Minnaar and Bekker (2005:94), management comprises the activities undertaken to attract, develop and maintain effective resources towards the achievement of the set goals of an organisation. Management can further be defined as the allocation of

resources and oversight of the day-to-day operations of the organisation. From another perspective, Robbins *et al*. (2013:29) define management as processes required for the efficient allocation of resources achieving public desirable goals. Traditional approaches of public administration are seen to be propounded by numerous challenges of bureaucratic delays in implementing policy programmes and planned projects (Brunet & Aubry, 2016:1596). NPM was coined in the quest of enhancing efficiency and overall performance of the organisation (Hughes, 2003:48).

NPM and public governance have become part of the paradigmatic developments of the discipline of public administration given the emphasis on people-centred quality-driven service delivery through network governance (Simonet, 2008:618; Islam, 2015:148). NPM was originally aimed at the use of performance management to track and trace employee performance in attempting to ensure that adverse performance patterns are corrected in time (Van Thiel & Leeuw, 2002:276). Notably, performance management has been enhanced and infused into a broader practice of monitoring in the world of today (Boyne, 2002:99). Moreover, NPM is interlinked with 21st century practices that seek to offer the best public service quality in a de-bureaucratised public sector where monitoring practices are crucial for the continuous improvement of both individual and organisational performance (Hope, 2001:130).

Hope (2001:126–127) argues that the water sector is publicly owned and managed by institutions that undertake the institutional operations and governance of water delivery services. In an effective and efficient public sector, the prospects for democratic empowerment of citizens seem to depend on the efficacy and effectiveness of the government (Gumede & Dipholo, 2014:47; Matji & Ruiters, 2015:1). In the case examined by this study, the participation of community members is critically important to enable communities to set their own development goals and to work cooperatively with the authorities to achieve them (Mautjana & Makombe, 2014:56; Mchunu & Theron, 2013:116). Hence, CBM will play a crucial role in the genesis of good governance to ensure local accountability in relation to NPM and progress on citizens' needs (Pollock & Whitelaw, 2005:213).

Vigoda (2003:4) suggests that active citizen involvement in the monitoring of their public goods and services delivered to them promote evidence-based management and programming in local government. Moreover, CBM in the local context is located in the local sphere of government since municipalities are directly linked to service rendering through community development initiatives (Dawson, 2014: 4). For the purpose of the study, CBM generates feedback that is used in the modification of public service delivery programmes. Thus, participation is not merely useful, it helps the community own the processes of performance and enables a contribution to determine the feasibility and relevance of projects in the IDP or LED strategies pursued by the municipality.

Community participation and monitoring are critical components of a successful public sector since public service rendering is based on specific citizen expectations (Stepath, 2000:1; Liu *et al.*, 2013:6). Community participation has various roles including *inter alia*, the determination of needs and priorities, fostering public accountability and effective and efficient public sector management (Vigoda-Gadot, 2002:536). Monitoring is an *ex-post* activity that happens during the course of a programme and is usually undertaken by the management function of an organisation (Govender, 2011:811). NPM concentrates on a shift from internal processes of management to an output-based process. There is still a lot of bureaucracy involved with the measuring of the outputs and continuously improving the way in which government operates and executes its mandate (Serra, 2013:570). In principle, community participation and monitoring are some of the key determinants of good public governance (Liu *et al*., 2014:5).

Johnson (2013:2) justifies the platform of CBM where citizens, government agencies, industry, academia, community groups and local institutions collaborate to monitor, track, and respond to issues of common community concerns. CBM can be seen as an extension of developmental local government since it brings together numerous intertwined aspects of local government functionality *inter alia*, public participation, enforcement of accountability, public involvement in the monitoring of local governments and overall interaction between the people and their local authorities (Serra, 2013:570). Notwithstanding, to make sure that the cooperation of the

government and citizens is successful, there must be monitoring processes in relation to the outcomes in form of service delivery (Mubangazi & Tshishonga, 2013:300).

The study considers the preceding statements as the key theoretical framework for understanding the research problem with particular reference to ORTDM and its local municipalities.

1.6 RESEARCH METHODOLOGY

A research methodology details the plan, structure and strategy of investigation conceived to obtain answers to research questions and problems (Kumar, 2005:84; Welman *et al*., 2005:52). In simple terms, the methodology of a study details issues like the research paradigm, research design, data collection techniques, sampling procedures and data analysis approaches as discussed in the following sub-sections.

1.6.1 Research paradigm and design

Becker and Bryan (2004:186) point out that the research design and research methodology have superficial similarity. The study was qualitative in nature and made use of a case study research design. Qualitative research refers to an approach to the study of the world that seeks to describe and analyse the behaviour of humans from the point of view of those being studied (Webb & Auriacombe, 2006:597). For Berkovich (2018:2063-2067), the qualitative approach stems from an anti-positivistic, interpretative approach, is ideographic and thus holistic in nature, and aims mainly to understand social life and the meaning that people attach to their everyday life. Thus, qualitative research seeks to describe and understand social phenomena in terms of the meaning people bring to it (Bryman, 2012:11). The study adopts the qualitative research paradigm within the confines of the case study as discussed above.

Case study approaches play an important role in addressing the source of behaviours. Yin (2009:18) mentions that a case study can be regarded as a survey of a real-life phenomenon where boundaries between the phenomenon and context

under investigation are unclear. In most cases, a case study seeks to derive a deeper understanding when in-depth investigation is required (Van Dijk & Moeng, 2011:119). This could have a positive effect to test a hypothesis or theoretical assumptions/statements to answer the research question. Moreover, there are no precise guidelines that specify how many cases should be included as the researcher is in control. There are a number of factors that have a bearing on the case study, its conclusions and findings, such as:

- it is hard to derive a definite cause and effect on conclusion;
- it is hard to generalise from single case study; and
- there may be possible biases in data collection and interpretation because of a single person who collects and analyses the information (Zainal, 2007:5).

Possible limitations to the utilisation of case studies in social science research are that, firstly, the study involves a small number of cases. The small size of the sample implies that the results are more easily influenced by personal biases. Secondly, another source of uncertainty in this approach is the absence of credibility in generating conclusions from a single case. The study used the ORTDM and local municipalities as the cases to be described in the study. A summary of the population and sampling used in the study is provided in Table 1.4, which follows in the next sub-section.

1.6.2 Population and sampling

Babbie (2011:119) views the target population as a large group of individuals for which the study generalises its conclusion. The population includes all the people who appear to be significant to accomplish the objective of the study (Thomas, 2011:61). In this case, the ORTDM and its five local municipalities and communities that comprise household dwellings with different racial groups, genders, religions and classes can be considered as the population. Therefore, due to the size of the population, the study drew up a sampling frame to identify representatives of the population. O'Reilly and Parker (2012:191-192) define sampling as the process of selecting a few cases from a bigger group to become the basis for estimating or predicting the prevalence of an unknown piece of information, situation or outcome regarding the bigger group, in other words a subgroup of the population that a

researcher is interested in studying. Yin (2011:88) argues that the purpose for selecting the specific study units from the voluminous study population is to include those that will yield the most relevant and plentiful data given the topic of the study.

In this regard, the study used purposive sampling procedures to select research participants from the selected municipalities. For Burger and Silima (2006:66), purposive sampling is a form of sampling where the researcher relies on his or her own expert judgement to select units that are representative or typical of the population, but that would give good quality data. The researcher selected a representative sample of respondents for the study from the municipalities involved. The details of the sample and the data collection aspects are presented in Table 1.4 below.

Table 1.4: Sample and sampling methods

STUDY POPULATION	SAMPLING METHOD	SAMPLE SIZE	PARTICIPANT GROUPS
Eastern Cape Office of the Premier	Purposive sampling	5	Intergovernmental relations officials Public participation managers Integrated development planning officials
Eastern Cape Department of Local Government and Traditional Affairs		5	Water service committees
OR Tambo District Municipality		10	Public participation managers Integrated development planning officials Local economic development officials Mayoral committee Speaker from mayoral office Water service committees Municipal councillors Non-government organisations involved with water services Community development workers Water service providers Community members
King Sabata Dalindyebo Local Municipality		60	
Nyandeni Local Municipality		40	
Qaukeni/Ingquza Local Municipality		40	
Port St. Johns Local Municipality		40	
Mhlontlo Local Municipality		40	
TOTAL		**240**	

Source: Own compilation

The study cannot cover the entire population and is limited in terms of time constraints. Table 1.4 presents an estimation figure of 240 participants of the sample size that could answer research questions. This type of population allows sufficient data gathering to reach data saturation to enable a detailed analysis.

1.6.3 Instruments for data collection

The study employed a qualitative method and both primary and secondary data collection techniques since triangulation helps improve the validity and reliability of the research findings (Golafshani, 2003:603). The next section presents the data collection techniques used in the study.

1.6.3.1 Literature study

A survey of existing literature was undertaken especially towards understanding the practice, development and challenges faced in the process of utilising monitoring in the implementation of community-led development projects in the local sphere of government. Stern and Porr (2011:49) acknowledge the importance of studying existing literature in an empirical study that uses the grounded theory approach. The study surveyed literature from various sources such as reports, performance indicators, policy frameworks and local government service delivery barometers to help inform and corroborate data gathered from semi-structured interviews and focus group discussions.

International sources were reviewed to gauge how other countries use the CBM approach with a view to derive valuable lessons for the water management in South Africa. Therefore, discussions on international cases attempt to answer the research questions (Blaikie, 2010:18). Moreover, in this study an analysis of international cases established the theory, origins and principles of CBM through community participation. Although several studies have indicated literature available on CBM, literature pertaining to the South African context still lacks.

1.6.3.2 Semi-structured interviews

In discussing the importance of conducting interviews as an instrument of collection, Adams (2015:493-494) point out that semi-structured interviews are advantageous in

empirical studies because they are well suited for the exploration of the perceptions and opinions of responding complex and sometimes sensitive issues and enable probing for more information and clarification of answers. Woods (2011:2) identifies the primary benefits of semi-structured interviews as follows:

- standardisation of questions allows for the increase of data reliability;
- replication is possible and permits creativity and richness of data;
- ability to ask spontaneous questions allow for the expression of participants' opinions; and
- interviews provide an opportunity for participants to express themselves in harmonious environment.

In order to help probe more aspects experienced, individuals related to water services management at the ORTDM and its local municipalities were selected. Interviews will be conducted with 10 officials from the Eastern Cape Office of the Premier and Department of Cooperative and Traditional Affairs along with 10 representatives from the ORTDM. The official designation of these respondents is detailed in Table 1.5 that follows.

1.6.3.3 Focus group discussions

For Dilshad and Latif (2013:192-193) define a focus group as a carefully planned discussion designed to obtain perceptions on a defined area of interest in a permissive, non-threatening environment. Focus group discussions have the advantage that they can provide valuable output through the interactions between the researcher and the group (Kumar, 2011:160). According to Moriarty (2011:10), group interaction promotes group participation throughout the interview and dominates individualism. Creswell (2014:19) further stated that the researcher can identify key questions and probe the follow-up questions. On the contrary, the following limitations have been identified:

- data capturing is costly, time-consuming and results may be subject to scientific evidence (Hannum, 2004:17);
- some group members are unavailable when required (Dilshad & Latif, 2013:197);

- focus groups promote a group voice and lacked an expression of owns opinion (Debbie, 2006:4); and
- the method requires an experienced facilitator with a technical and research skills (Halcomb *et al*., 2007:1008).

The study utilised five focus group discussions consisting of ten respondents each to collect data from five local municipalities of ORTDM. Notably, the focus groups in the King Sabata Dalindyebo Local Municipality were bigger than in the other four local municipalities because it is the most populated part of the ORTDM. The details of the five local municipalities are illustrated in Table 1.5 and community members who participated in these focus group discussions.

Table 1.5: Data collection methods

<table>
<tr><th>POPULATION</th><th>RESPONDENTS' DESIGNATION</th><th>DATE COLLECTION METHODS</th><th>NO. OF RESPONDENTS</th></tr>
<tr><td>Eastern Cape OTP</td><td rowspan="2">Intergovernmental relations officers; Public participation managers; M & E Unit</td><td rowspan="2">Semi-structured interviews</td><td>5</td></tr>
<tr><td>Department of Cooperative and Traditional Affairs</td><td>5</td></tr>
<tr><td>OR Tambo District Municipality</td><td>Municipal manager;
Speaker of the mayor
Members from mayoral committee
Water portfolio committee members
Public participation managers
IDP officials
LED managers
Members from water-based planning and information system</td><td rowspan="10">Focus group discussions</td><td>10</td></tr>
<tr><td>King Sabata Dalinyebo Local Municipality</td><td rowspan="5">Public participation officers
IDP managers
LED managers
Water technical staff
Water-based planning and information system</td><td>10</td></tr>
<tr><td>Ingquza Local Municipality</td><td>10</td></tr>
<tr><td>Port St. Johns Local Municipality</td><td>10</td></tr>
<tr><td>Nyandeni Local Municipality</td><td>10</td></tr>
<tr><td>Mhlontlo Local Municipality</td><td>10</td></tr>
<tr><td rowspan="4"></td><td rowspan="4">Ward committee members
Public participation officials
Ward councillors – Contracted full-time and part-time</td><td>10</td></tr>
<tr><td>10</td></tr>
<tr><td>10</td></tr>
<tr><td>10</td></tr>
</table>

	Community development workers NGO's in water services		10
	Community members from district and local municipalities		40
			20
			20
			20
			20
			240

Source: Own compilation (2018)

1.6.4 Data analysis strategy

Qualitative research is aimed at developing a deeper understanding of human behaviour and the meaning they attach to that behaviour. In the context of the study, grounded theory was used for the analysis of data and this assisted significantly with the achievement of the research objectives due to its ability and potential to construct a theoretical framework in the manner in which the existing public participation structures manage water in the case of ORTDM and its local municipalities. Birks and Mills (2011:2) describe grounded theory as the systematic method to extract data towards theory development. Thus, the theory remains a reasonable explanation of phenomena until more evidence becomes available to dismiss the theory.

On a similar note, Constantinou *et al.* (2017:573) express that grounded theory can be regarded as a general methodology for developing theory that is based on systematically gathering and analysing data so that the theory evolves during the actual research through continuous interplay between analysis and data collection. Moreover, grounded theory, due to its nature of being rooted in empirical research, becomes perfectly compatible with the qualitative research approach, which focuses on the researcher developing intimate relations with the study subjects, enabling them to develop the best understanding and interpret human behaviour, felling, attitudes and emotions. A merit for this approach is that grounded theory is evolutionary in its nature, thereby enabling a gradual and concurrent development of suitable theory for CBM.

There are three instances where the use of grounded theory is particularly useful in an empirical study (Birks & Mills, 2011:16):

- when less is known about the area of study;
- when the generation of theory with explanatory power is a desired outcome; and
- when an inherent process is imbedded in a research situation that is likely to be explicated by grounded theory methods.

In this sense, constant iterative analysis synthesises data gathered with the use of the three instruments as outlined in the preceding sections of this proposal. Data was coded and concurrently thematically analysed towards expanding the existing body of academic knowledge on community-based monitoring practices as catalysts for community development.

1.7 ETHICAL CONSIDERATIONS

De Vos *et al*. (2005:115) are of the view that the researcher has an ethical obligation to protect participants from all possible harm or any form of physical discomfort that may result from the research project. In the study, research participants were treated with dignity, their privacy and confidentially were maintained, and they participated voluntarily by signing an informed constant form prior to partaking in the study. Apart from the ethics related to research participants, the study also took into account the ethics principles related to the handling of data and dissemination of results. Lastly, the research received ethics clearance from the North-West University.

1.8 LIMITATIONS OF THE STUDY

Maree (2013:42) describes limitations as problems that arise during the course of a study that may be impossible to avoid. Tloalele *et al.* (2007:559) postulate that every study has limitations and delimitations, no matter how well it is conducted and constructed. Firstly, the study was limited by the inability of the researcher to study the whole population, hence the use of a sample of 240 respondents. The study was further geographically delimited and focused on district municipalities and local municipalities within a single province. The purpose of the study was to gain an in-

depth understanding of CBM within the context of this district municipality and its unique characteristics as described in the problem statement.

1.9 SIGNIFICANCE OF THE STUDY

The study contributes both to the expansion of an existing body of knowledge while helping to transform public policy making, implementation and evaluation. Firstly, the study seeks to establish the theoretical frameworks, informing CBM and community participation towards gaining a deeper theoretical understating of the critically important concepts. Secondly, the study determines the origins and local locus and focus of CBM in relation to the enhancement of community participation in local government in South Africa, thus improving on the utilisation of this type of participatory approach to improve service delivery on community-led projects.

Thirdly, the study has a significant bearing on the future prospects of CBM and best practice for active citizen participation in local government. Fourthly, the study helps to improve the practice of CBM with the lessons which it derives from international leading examples and case studies on the involvement of communities in the monitoring of developmental projects. Lastly, the study is more likely to benefit the various stakeholders in local government and the Eastern Cape province for an improved people-driven, accountable, transparent model of service delivery for attaining sustainable socio-economic development.

1.10 LAYOUT OF THE THESIS

The study seeks to develop a CBM framework for the implementation of community participation in water services in the ORTDM and selected local municipalities. The study has seven chapters.

Chapter 1: Introduction and general orientation

The first chapter covers the introduction and general orientation of the study. This chapter builds a foundation for the entire study through the discussion of the research problems, research questions and objectives, as well as the limitations the study. Also, Chapter 1 includes a discussion of the research methodology used in the study.

Chapter 2: Theoretical framework for community-based monitoring and public participation within public administration

Chapter 2 discusses the theoretical framework guiding monitoring in community participation, public accountability and transparency in the South African local sphere of government. Furthermore, the second chapter plays a role in linking the theoretical framework with the objectives of the study and identifying the gaps between theory and practice. This chapter covers the origins and implications of monitoring and community participation to the South African local sphere of government. This chapter discusses the global, regional and local perspectives of CBM and public participation. In general, the chapter endeavours to locally contextualise community participation while finding a way to improve community development in the Republic of South Africa.

Chapter 3: Legal and policy framework for community-based monitoring and public participation

Chapter 3 presents and discusses the legal and policy framework guiding CBM and public participation in the Republic of South Africa with specific reference to the local sphere of government. In general, Chapter 3 weighs on the legal and policy entrenchments for public involvement in the activities of local government.

Chapter 4: International cases for community-based monitoring

This chapter takes a look at global examples of CBM practices aimed at helping in the development and improvement of the South African local government. The study explores cases from Canada, India and the Philippines. This main aim of this chapter is to develop an understanding of the different approaches employed in the involvement of communities in the monitoring of water services at the grassroots levels, thus deriving lessons for the local practice of CBM.

Chapter 5: An analysis of community-based monitoring within the OR Tambo District Municipality

The chapter analyses data with a view to make an argument on how monitoring is undertaken in ORTDM and the required manner of implementation. The study uses

grounded theory to establish the manner in which the reality of monitoring matches or varies from required standards. In this chapter, the study analyses, interprets and presents data focusing on specific themes as they emerge from the data collected. This chapter discovers the development of a sustainable theoretical framework of CBM for enhanced community participation in water sector services in the Republic of South Africa.

Chapter 6: Proposed framework for community-based monitoring

Based on the empirical and theoretical evidence gathered in the preceding chapters of the study, Chapter 6 develops a framework for the utilisation of CBM in the selected local municipalities of the ORTDM. Such a framework can be adopted by other local government authorities around South Africa, targeting water management but also applicable to general local government efficiency.

Chapter 7: Recommendations and conclusion

The final chapter presents the exploration and strategies through which CBM can best be utilised to enhance community participation in the implementation of community development initiatives at the local sphere of government in South Africa. Further, the chapter looks at implementable recommendations for consideration by the various stakeholders towards restoring local government pride, building peaceful municipalities, while promoting sustainable socio-economic development for a better standard of living for all.

1.11 CONCLUSION

In this chapter, the discussion centred on the introduction and general orientation of the study, which seeks to develop a CBM framework for water service delivery in the ORTDM. This was made possible through the discussion of the problem statement, research objectives, research methodology, limitations, ethical considerations and the outline of the thesis. This opening chapter is crucial to the study since it provides clarity on the roadmap of the study and the problem of a lack of community-based monitoring as a public participation strategy. There is a need for the state as represented by municipalities, to ensure that there is a sustainable delivery of fundamental public services such as water. The research argues that CBM can be a

useful strategy through which the communities in the ORTDM can actively have a say in the issues of access and quality of water services they get from their local governments. The next chapter provides for a discussion of the theoretical framework that underpins the study.

CHAPTER TWO
THE THEORETICAL FRAMEWORK THAT SUPPORTS MONITORING AND PUBLIC PARTICIPATION

2.1 INTRODUCTION

The provisions of Section 27(1) (c) of the Constitution of the Republic of South Africa (1996) relate to the right to sufficient food and water for all citizens. Water is a basic need for human survival and the bleak situation reflected in Chapter 1 about problems with access to water is cause for concern among local residents. This is because a lack of access to water infringes on people's rights and affects their living standards. The study seeks to develop a CBM framework for the management of water services in the ORTDM. Also, the study explores the use of CBM as a practice to improve on access to safe drinking water for the people in the ORTDM. Chapter 1 delineated the study by providing the premise for this study. The aim of this chapter is to analyse the theoretical foundations onto which the CBM framework for the water services in the ORTDM is developed.

In line with the first research objective as outlined in Chapter 1, namely determining the origins, principles and theoretical approaches guiding CBM and community participation in the context of water management with particular reference to selected local municipalities in the ORTDM, the current chapter gathers literature on the theoretical foundations guiding the study. The study assesses two theoretical foundations that will guide in the incorporation of CBM into the management of water services in the ORTDM, namely are NPM and community participation. NPM is analysed as the paradigm that encompasses CBM and public accountability. The evidence presented in the opening chapter establishes that community participation is a cornerstone of good governance in a democratic government such as South Africa.

However, public participation is often circumscribed by the capacity of communities to organise and engage in a participatory process. Chapter 2 shows how the relationship between public participation and monitoring in an NPM-guided era is maintained in a sustainable manner. The topics addressed in this chapter include the

theoretical and practical consideration in the discipline of public administration (PA), the origins and implications of monitoring in community participation in the local sphere of government, and describing the theoretical foundation for public participation and its implications for democracy and good governance with reference to local government service delivery.

In order to determine a philosophical and theoretical premise of PA, the study discusses the epistemological nature of the discipline of PA and how this influences community participation (and monitoring) of public services. Such a determination would help in factually deducing if PA has an agreed method of functioning or has diverse models of execution for the discipline. The discussion in the next section gives the epistemological orientation of PA.

2.2 EPISTIMOLOGICAL DEVELOPMENT OF PUBLIC ADMINISTRATION

The Oxford Dictionaries Online (2015:58) conceptualises epistemology as a theory of knowledge, especially with regard to its methods, validity, scope and the distinction between justified belief and opinion. In simpler terms, the study views epistemology as a theoretical understanding of the body of knowledge within the confines of factual belief. The epistemological orientation of PA therefore becomes the body of knowledge that has been or is used to study and understand the discipline of PA both globally and locally. One key starting point on the epistemology of PA is the contribution of various scholars (Rutgers, 2010:2). According to Rutgers (2010:6), the epistemology of PA as a discipline has been affected by an identity crisis in the past and it is difficult to delineate its disciplinary boundaries.

Olla (2014:66) quotes various scholars, who each provided their own understanding of the public administration. First is Woodrow Wilson (1887), who defined public administration as being detailed in the systematic execution of public law (Olla, 2014:67). Secondly, White (1926) viewed public administration as the specialised management of people and materials in the accomplishment of the purpose of the state. This definition was also similar to that of Waldo (1955), who viewed public administration as the continuous organisation and management of people and

materials to achieve the purpose of government. PA has been studied through various periods during which scholars debated the identity and purpose of PA.

Dahl (1947:11) subscribed to the view that PA is not a science but simply an art that can be categorised among other art disciplines that fall in the ambit of the social sciences or humanities. This is despite scholars such as Rutgers (2010), Dahl (1947) Raadschelders (1999:284) who provide an alternative perspective where PA can be studied through a collective body of interdisciplinary theories and approaches. On the same note, Riccucci (2010:s306) acknowledges the presence of an ever-present debate on the identity and scope of PA, thus the discipline has always been a centre of debates over the years. In such a situation, the interdisciplinary stance to the epistemology of PA becomes a balanced position that allows for a flexible and augmented approach to understanding PA. However, Kelly and Dodds (2012:201) claim that public administration lacks a foundation grounded in scientific principles, even though scientific methods are used to study the discipline. Nonetheless, one cannot view PA as a science because the discipline does not have a generally accepted "formula" that can guide its analysis or study, in contrast to the natural sciences (Rutgers, 2010:8).

Wright (2015:801) claims that PA has to be cognisant of values, culture and social behaviours, making it more of a social science. In addition, Thornhill and Van Dijk (2010:96) argue that PA has a less definite identity and was gradually shaped by debates characteristic of the social sciences where various scholars put forward what they perceive to be the fundamental focus of PA. These phenomena are studied within the framework of organisational structures operating in a particular social context, which is a political system. Therefore, the exposition of the epistemological orientation of PA has established the evolving nature of the discipline together with its relations with other disciplines (Ali-Habil, 2011:946). As a result, the debates on how to best achieve a depoliticised PA are ever evolving (Svara, 2001:176). In this regard, Waldo (1968:9) calls for the adoption of a professional perspective to the study of PA to counteract the effects of encroachment from other disciplines, which has become part of the interdisciplinary matrix. However, public organisations inherit the problems of PA, so PA as a science

was initially presented as a panacea to the problem of poor governance and progress has been made to recognise the discipline (Frederickson *et al*., 2012:265). In resolving the problem of poor governance in the public sector, there is a borrowing of practices from scientific fields in an interdisciplinary kind of relationship as supported by Thornhill and Van Dijk (2010:95). In the process of theorising public administration, one should note the flexibility of the discipline as explained by Van der Waldt (2016:7). Therefore, due to its interdisciplinary nature, PA integrates perspectives from other disciplines towards establishing an identity.

Within the context of this study, the epistemological orientation of PA helps us to understand how the monitoring of water services is conceptualised within paradigmatic developments in the discipline. Paradigm shifts have been occurring within PA since the foundation of the discipline in the late 19th century. According to Kuhn (1989:20), a paradigm refers to a constellation of values, beliefs, and perceptions of empirical reality, which together with a body of theory is used by a group of scientists by applying a distinctive methodology to interpret the nature of some aspects of the universe we live in. In other words, a paradigm refers to the generally accepted perception of what constitutes a theory through which reality is interpreted or studied over a period of time (Frederickson *et al*., 2012:131).

In PA, paradigms are phases through which the discipline was studied over time. The expiration of beliefs or agreed epistemological orientation of the discipline of PA leads to a cessation of existing paradigms and the adoption of new set of methods. Such a change in that epistemological position is referred to as a paradigm shift (Kuhn, 1989:20). Some of the paradigms are described in more detail below.

2.2.1 Politics-Administration Dichotomy (1900–1926)

A key contributor to this early PA paradigm was former American president Woodrow Wilson, who played an influential role in the early study of PA. Woodrow Wilson wrote his essay called, “The Study of Administration” and published it in the *Political Science Quarterly, 1887* (Henry, 2013:36). A key position was that the scope of politics and that of administration were different and they therefore had to be clearly distinguished. Another contributor to this paradigm was Frank Goodnow, who argued

that there are two distinct functions of government, namely the political and the administrative side. Similar to Wilson, Goodnow called for politics to be confined to policy making or expressions of the state will, while administration has to do with the execution of these policies (Basheka, 2012:34; Henry, 2013:36; Yeboah-Assiamah, Asamoah & Kyaremeh, 2016:383).

Fry and Raadschelders (2014:52) observe that during the time that this paradigm was the most prevalent, Max Weber also contributed to an understanding of the operation of government by bringing in issues of public organisation, bureaucracy and authority as the pillars on which public organisations are built. Despite the criticism levelled against Wilson, Goodnow and Weber, the contemporary PA and public sector still has features of bureaucracy, separation of powers and dichotomy (Uwizeyimana, 2013:166). Within the confines of this study, the monitoring of water services is located within bureaucratic structures and as argued in the previous chapter, access to quality water is in its very nature a contentious and political issue. Separating the administrative monitoring from the political participation of communities may not be possible, and arguing for a CBM framework may offer a possible solution to the effective integration of administration and political participation.

2.2.2 Principles of Administration (1927–1937)

According to Lynn (2001:149), the second paradigm marked the inclusion of PA into the wave of management theory. The publication of a book titled “Principles of public administration” by W.F. Willoughby 1927 marked an era where PA changed and needed certain principles to excel. According to Willoughby (1927), certain scientific principles of administration existed and administrators should be experts in their work if they learned to fully apply these principles in their daily administrative work (Chalekian, 2016:317). Notably, the period during which the principles of administration were on the forefront saw a blossoming of PA, both professionally and academically, improving both the activity of public administration and the discipline of PA.

Other contributors of this era were Luther Gulick and Lyndall Urwick, who wrote the "Papers on the Science of Administration" in 1937 (Henry, 2013:38). Specifically, Gulick and Urwick promoted seven administrative principles aimed at improving administrative efficiency represented by the acronym POSDCORB. It stands for Planning, Organising, Staffing, Directing, Coordinating, Reporting, and Budgeting (Fry & Raadschelders, 2014:126). These principles were aimed at improving the understanding of PA and the skilling of those executing government policies with these principles to make them more professional and effective (Breese, 2013:284). In summary, the second paradigm in the evolution of PA aimed to improve PA through the inclusion of the administrative practices that are still discernible in public organisations today (Meier, 2010: 284).

2.2.3 The challenge of Public Administration (1938–1949)

The third paradigm was popular in an era when PA was faced with a serious challenge to its identity (Baracskay, 2011:13; Farazmad, 2012:489;). During the 1940s there was a rise in the dissenters from PA due to the position taken especially by the pioneers who viewed PA as separate from politics. A major objection was that politics and administration could hardly never be separated in any distinct manner due to their interrelatedness (Lu, 2013:311). In addition, another objection was that principles of administration were something less than the final expression of managerial rationality, especially when applied in the context of administrative efficiency (Meier, 2014:8). In addition, this was an era when the scholarship in political science expanded in scope to include PA aspects like public policy making. This further placed a challenge on public administrators who had to maintain their unique identity amidst an infusion of political scientists.

A further critique to the preceding paradigm was raised by Chester Barnard when he published his "The functions of the Executive" manuscript where he actually "punctured" the principles of public administration due to their oversimplification of management rationality (Gabor & Mahoney, 2010:1). Simon (1946) also published his book on "Administrative Behaviour" in a move to add to the criticism of the POSDCORB principles being argued as universal (Georgiou, 2013:1015). The third era in the evolution of PA saw the deflation of the dichotomy and a critique of the

principles of administration with suggestions of incorporating human behaviour in the study of PA and the reuniting of PA with politics, the home of its birth.

2.2.4 Public Administration as Political Science (1950–1970)

An unhappy ending to the third era in the evolution of PA saw the discipline reverting to being a sub-discipline of political science (Ringeling, 2012:17; Halligan, 2015:708). However, this re-embracing did not come effortlessly and PA lost its focus in the process of getting a locus (Stanisevski, 2013:306). Academically, this refocusing affected the teaching of PA so that there was a growth in the use of case studies in the teaching of the discipline. Practically, this paradigm revealed that the dichotomy of politics and administration was intellectually untenable (Rosenbloom, 2008:60).

As proof that political science had absorbed PA, during the ten years leading to 1960, only a paltry sum of publications in five major political science journals in the USA dealt with PA (Riccucci, 2010:32). In addition, writings in the political science sphere saw PA as synonymous with political science, so PA faced extinction. For scholars such as Waldo (1968:18), political science as the natural home of PA claimed what originally belonged to it. To this end, the era ended with PA showing a political science character and playing second fiddle to its founding parent, a relationship that affected the smooth evolution of PA (Lanham, 2006:605-606).

2.2.5 Public Administration as Management (1970–1990)

The absorption of PA by political science in the previous paradigm led some pro-PA scholars to search for ways of re-discovering its lost identity since they could not continue to be second-class citizens to political science (Smith, 2015:3). This was an era when PA was rejuvenating and reconstructing. Due to the loss in the focus of PA in the preceding era, the fifth paradigm sought to establish a focus in the discipline obtained from the adoption of private sector management techniques. Management offered techniques often highly sophisticated that required expertise and specialisation, but in what institutional setting that expertise should be applied is undefined (Van der Waldt, 2013:3).

A key development during this paradigm was that administration and management were made synonymous and all-inclusive regardless of whether they were undertaken in a private sector business, a non-profit organisation or public sector entity (Cook, 2007:7-8). However, in the process of including management techniques, PA had to specifically focus on the implication of the 'public' in PA. This created the need to adopt such practices with a focus on public sector service delivery in mind. It was during this era that PA rediscovered its identity, both from the locus and focus perspective. Problems caused by the legacy of an inefficient bureaucracy, organisational management and public sector efficacy led to the transformation of PA by the adoption of new public management (NPM) as a private-sector inspired model of public sector management (Fry & Raadschelders, 2014:56). NPM is analysed in more detail later in this chapter. The conclusion of the fifth era in the development of the field of PA changed the course of the discipline because of the emergence of an approach that improves government efficacy (Bao *et al*., 2012:445).

2.2.6 Public Administration as Governance (1991–Present)

According to Provan and Kenis (2005:231), changes in globalisation and market forces has led to governments doing self-assessments because of the shift in the roles of various role players in society. Such valuable assessments have helped governments to rethink how they fulfil their mandates. Sorensen and Torfing (2005:203) claim that such changes in a society have affected the shape of PA. Hence, such changes made are possible through a broad of ownership and building a people-centred model of service delivery (Theletsane, 2014:838; Adres, Vashdi & Zalmanovitch, 2015:142).

The concept of governance has gained popularity in contemporary PA to an extent that some scholars even equate it with a proxy through which public administration and government achieve its aims (Frederickson *et al.*, 2012:280; Fukuyama, 2013:350; Jonas & Muller, 2013:128). The paradigm of governance has been credited for building the rules and practices of management where various stakeholders have become active in the determination of service delivery (Rhodes, 1996:653). The era of governance and networks is still prevalent and coupled with

NPM-inspired reforms, the discipline and activity of PA has been significantly improved (Christenes, 2012:4; Norman, 2014:243). As the final paradigm in the evolution of PA, the PA as governance era saw a growing influence of globalisation and the adoption of best practices in governance by many governments.

As PA has developed through the different eras and paradigms, the study recognises that as a discipline, PA is influenced by its practice and the relationship between the theory of PA and its application is continuously tested. From a theoretical perspective, the study recognises that through NPM and governance, the discipline of public administration now encompasses specific theoretical concepts, which for the purpose of the study is regarded as important. In the context of this study, the next section analyses NPM in greater detail with specific emphasis on its principles, such as *inter alia* community participation and monitoring of performance to enforce public accountability.

2.3 NEW PUBLIC MANAGEMENT AS A THEORETICAL FOUNDATION

As a paradigm, NPM is part of the evolution and development of the discipline of PA. It emerged from the growing influence of private sector and market forces together with the fast pace of globalisation (Thomas, 1996:612). NPM has become part of the paradigmatic development of the discipline of PA, featuring an emphasis on people-centred and quality-driven service delivery. According to O'Flynn (2007:354), NPM aims to dismantle the bureaucratic pillars of traditional public administration, to do away with large hierarchical systems and use lean, flat, autonomous organisations drawn from private sector inspired practices with good leadership. NPM has generally become an approach to public sector management that seeks to transform the operation of government towards a more efficient way of delivering public goods and services (Kettl, 2007:26).

The origins of NPM can be traced to the seven principles of Hood (1991:4), namely hands-on professional management; use of explicit standards and measures of performance; a greater emphasis on output controls; a disaggregation of units in the public sector; greater competition in the public sector; private sector management

styles and more discipline in the use of public resources as its pillars. NPM reforms, also termed entrepreneurial government, were first adopted by the United Kingdom (UK) and United States of America (USA) in the 1970s as business-like styles of public administration (Hughes, 2003:48; Burnham & Horton, 2013:28). In South Africa, NPM became popular in the 1980s after the discipline of PA adopted what was then known as the new public administration initiative, which later crystallised into modern-day NPM (Thornhill, 2006:800). NPM implies that PA also began to practice an agenda that included private sector practices within its curriculum. Simply put, neither the activity of public administration nor the discipline of PA was spared the influence of the NPM wave of administrative reforms. The said reforms are discussed in the later sections of the chapter. The public sector acceded to the pressure mainly due to the advantages that the reforms brought. For many years PA had relied on outdated schools of thought such as the bureaucratic organisational arrangements of Max Weber (Pyper, 2015:15).

NPM emerged from the belief that a large monopolistic public sector was inherently inefficient, creating the demand and need to reorient the state towards more private sector influence (Hood, 1991:15). These reforms were considered after the increasing problems with classical PA approaches, which meant that government efficacy was affected (Henry, 2010:35). As such, NPM is a wave of public sector reforms aimed at improving the functionality and efficiency of public entities and government in general (Thomas, 2013:714; Raadschelders *et al*., 2015:162). In the course of the historical development of the NPM paradigm, Osborne and Gaebler's publication of their book titled "Reinventing government" in 1992 marked the implosion of a wave of global public administration reforms (Thomas, 2001:12).

From an economic perspective, NPM is a diverse ideology that encourages the use of commercial models of organisation and management practice in the public sector (Rowe & Shepherd, 2002:277). The reason behind such an adoption is because the commercial or private sector practices have proven to be effective and are based in the disciplined use of resources (Eakin *et al*., 2011:341). Moving away from the traditional models of public organisation which have been obsessed with hierarchy and vertical organisational relationships, NPM takes a comprehensive view of

efficiency and effectiveness in public entities (Parsons, 2010:19). Efficiency and effectiveness have become the pillars of responsive government. Conceptually, efficiency is “doing the things right” while effectiveness is defined as “doing the right things” (Baumuller, 2007:257). Public sector efficiency is one of the key aims of NPM, especially when focussing on the need to make government more responsive and less mechanistic. On the same note, government efficiency equally implies the ability of a government to do thing rights by *inter alia* expediting service delivery, keeping citizens satisfied and building a community-owned government (Andrews, 2010:26).

NPM is also rooted in the use of performance management to monitor employee performance in attempting to ensure that adverse performance patterns are corrected in time (Hughes, 2003:47). Notably, performance management has been enhanced and infused into a broader practice of government monitoring, as is discussed in the next sub-section. The economic use of resources is especially important because the resource of public finance, which is the main source of funds that fuel public service delivery, is always limited (Hughes, 2012:85). It should therefore be used sparingly and wisely. The public sector benefits from NPM in that it brings an increase in organisational efficiency and achieves responsiveness of the government to local needs and priority concerns (Rowe & Shepherd, 2002:277). Additionally, NPM is interlinked to 21st century practices that seek to offer the best service quality in a de-bureaucratised public sector where monitoring practices are crucial to continuous improvement of both individual and organisational performance (Hope, 2001:130).

Expanding further, Osborne and Gaebler (1993:42) argue that NPM concentrates on the ability of a government to improve its efficiency through a number of approaches. Usually, an entrepreneurial government promotes competition between public service providers. Also, competent government inspired by NPM acts as an agent to empower its citizens by pushing control out of the bureaucratic apparatus into the hands of the community (Hernes, 2014:5). The NPM paradigm as a central theoretical framework of the study argues that entrepreneurial government consists of a government that has an urge to “profit” from its business (Osborne & Gaebler,

1993:41). Entrepreneurship is the art of growing the scope and sphere of influence of a business. Such can imply the increase in the customer satisfaction barometer of communities, say in the provision of basic service such as water. In so doing, satisfied citizens feel empowered and valued by their government, leading to peaceful citizen-government relations. That can help in the future functioning of government due to an increase in trust and collective ownerships of service delivery programmes. The study therefore assumes that these can only be made possible when service delivery programmes such as the one for the monitoring of water services become community-based.

As listed by Thomas (1996:10), a reinvented government measures the performance of their public entities by focusing not on inputs, but on outcomes. In addition, such governments are driven by their goals and their missions instead of rules and regulations. According to Drewry (2014:15), NPM endeavours to make the services provided by government more responsive and accountable to citizens by applying business-like management techniques with a focus on competition, customer satisfaction, and measurement of performance. NPM aims to act as an accountability fostering mechanism that superimposes stronger private sector management practices into the public sector (Bao *et al*., 2012:445). This is achieved through the creation and maintenance of competition amongst public organisations and respecting the need to satisfy the public sector customer.

The public sector customer focus of NPM is part of a philosophy of openly defining appropriate public activities and delivering them in a more transparent manner, making the public service delivery responsible to the citizens (Aberbach & Christensen, 2007:233). Prior to the growing influence of NPM to influence public sector administration reforms globally, public sector customers were treated like traditional citizens where their government would offer services using a one-size-fits-all strategy (Bao *et al.*, 2012:445). In short, the strategy was that the people were assumed, because of lack of alternative choices and competition, to be forced to like whatever service quality they got from the government. In addition, the definition by Bao *et al.* (2012) includes a practice of measuring performance, which can be likened to modern performance management of monitoring and evaluation, an

essential part of a customer-oriented public sector culture. NPM views the creation of the public good as a cooperative production process involving the public, the private market, and the non-profit sectors (Rondinell, 2007:23). In an all-stakeholder arrangement, NPM thrives with the inclusion of all relevant stakeholders in the promotion of community development as mentioned above.

Community members are essential stakeholders in service delivery by government. By definition stakeholders are individuals, groups, or organisations that can affect or are affected by a policy programme, be it service delivery or otherwise (Bryson & Patton, 2010:31). In simpler terms, NPM uses what can be called a bottoms-up approach where the citizen has a greater say in determining what the community needs. The government should therefore strive to offer public goods and services according to the expectations of the community. Such a situation also succeeds when other non-governmental role players are included. This may be in the making, monitoring and evaluation of public policies and programmes (Bao *et al*., 2012:448). Post-1970 reforms in the public sector also adopted private sector practices such as managerialism, which is also defined as citizen-centred leadership. Thus, NPM reforms took the shape of a more managerial and market-oriented form for the delivery of public services with an increased role of citizens in this process (Osborne, Radnor & Nasi, 2012:137).

As a pro-government efficacy paradigm, NPM is laden with divergent but collective phenomena that can help transform public service delivery by improving the efficacy of government. This is particularly important given its attention to customer satisfaction and professional management techniques. Key NPM ideas include trust in supremacy of private-sector management approaches, fusion of foresight and anticipation into daily decision-making, use of rigorous performance management systems and development of a customer orientation as a source of feedback on organisational efficiency (Romzek, 2006:165). The mentioned ideas synonymous with NPM are of great importance in the study since they collectively build on the improved efficiency, which is the timely delivery of public services (Thomas, 1991:11). This is important especially in the context of the study where water service

delivery in the ORTDM needs improvement, as argued in the problem statement provided in Chapter 1.

The conceptualisation of NPM focused on positive practices as construed by Osborne and Gaebler, who use the vocabulary of the NPM as reinventing government, reengineering and revitalisation of the public sector (Van Wart, 2001:64). Thus, NPM proposes mainly positive practices that aim to make government much better than the traditional government. NPM is associated with organisational transformation, customer satisfaction, entrepreneurial management and empowerment (Rizvi, 2001:96). From the positive terminology associated with NPM, the study observes that NPM-based governments improve their efficacy by redefining their service clients as customers and offering them choices between services such as schools and hospitals, between training and development initiatives, housing and other infrastructural options (Osborne & Gaebler, 1993:45).

Diagnostically, a reinvented government prevents problems before they emerge, rather than reacting to a problem by offering some remedial services. Devolution and decentralisation are the other pillars on which reinvented governments are based (Herrera & Post, 2014:621). NPM-based governments focus on both macro and micro service delivery in an all-stakeholders model of community development. The fact that in an NPM style government there should be both preventative and corrective measures has positive implications. As put by scholars Awal *et al*. (2014:30), NPM seeks to make government stay ahead of the socio-economic challenges by developing social and economic programmes that can help with early detection and designing better solutions to problems. Another positive feature of NPM and its impact on government is that it gives the public a choice and alternatives to services, thus making it almost similar to private sector market-based business affairs. The presence of alternatives ensures that the people are in a position to detect the quality of public services.

NPM's ability to offer a diverse service delivery model does not only help keep citizens satisfied, but also plays a key role in the rejection of certain services. Thus, NPM both has a direct and indirect influence on community-based service delivery

models. Another important feature of NPM as a paradigm in the study is its valuation of leaner and manageable public sector organisations in comparison with large and mechanistic structures that are common in traditional bureaucratic times. Leaner public entities make public participation easier and less complicated.

NPM also incorporates the private sector practice of managerialism, signifying a move from traditional management. Managerialism is conceptualised as “managing for results” by orienting public sector coordination mechanisms, financial management, staffing and rewards toward the achievement of results, thereby making it more effective (Head & Alford, 2015:719). Although it does not directly imply community-based service delivery, managerialism is informed by the expectations and reactions of community members to public policy input and implementation programmes aimed at community development. In the context of the study thus, managerialism can be an important concept in the delivery of water services to the people of the ORTDM. This deduction comes from the fact of managerialism as practice that can prioritise the needs of the people towards ensuring a coordinated and results-based public sector.

In short, the emergence of NPM meant that there would be a complete rethinking of how governments function in terms of efficiency and allowing the market and other private sector forces to determine the course of daily life. It is this NPM paradigm that would later detect and cement the principle of placing government into the hands of the people and those consuming the services offered by the government. Also NPM abolished the fragmented strategy of delivery of public services (Thomas, 1996:11). In this case, NPM is a crucial theoretical foundation for this study. The next sub-sections discuss the principles of NPM, with particular reference to reforms like public accountability and performance monitoring.

2.3.1 Features of New Public Management

NPM is guided by various principles that are the core focus of its reform movement. These principles cover *inter alia*, explicit measurement of outputs, private sector customer orientation, enforcement of public accountability, monitoring of

performance, promotion of public sector competition and citizen-owned government. The next sub-sections discuss these principles in detail.

2.3.1.1 Explicit standards and measurement of outputs

O'Flynn (2007:354) argues that NPM has a strong emphasis on the measurement of outputs with the goal being to make sure that resources are used in an effective, efficient and economic manner for the satisfaction of the needs of citizens. In a reform movement aimed at making government more efficient, measuring outputs and managing performance are key principles that help transform how government functions in this era of globalisation. In the study, output measurement and performance management are applied in a manner where they ensure a tracing of the performance of local government as a way of making government monitor their progress periodically.

Output-focussed government involves citizens in determination of the outcome standards that serve as service delivery benchmarks (Dunn & Miller, 2007:348). Such benchmarks should be informed from the community, which makes the process of service delivery easy to implement. Output measurement and explicit benchmarks enable the effective and efficient execution of community development programmes. Therefore, based on the above argument, local government monitoring can only be possible where the output standards and performance outcomes are explicitly stated (Siltala, 2013:474).

2.3.1.2 Monitoring of performance

This characteristic of NPM is the crux of this study, since it is the pillar on which CBM is founded. NPM is also grounded in the need to monitor performance, which has an effect of timeously sorting out variances between policy expectations and reality (Wolf, 2011:266). Monitoring has accumulated great value in the public sector at the turn of the 21st century to enhance good governance (Paudel, 2013:709; Vyas-Doorgapersad & Zwane, 2014:72). An eventual crystallisation of performance management as a practice into contemporary monitoring practices is important to the study since the development of the NPM emphasises the need for public service efficiency (De Kool & Van Buuren, 2004:179). Foremost, the inclusion of

management in service delivery programmes has given rise to the monitoring of performance (Sun & Van Ryzin, 2014:328; Hood & Dixon, 2015:265; Dan & Pollit, 2015:1309). This is evident that NPM supports effective government, since service delivery programmes are managed through the private sector customer concept. An unpacking of monitoring as a key concept and feature for efficacy-based NPM practices is discussed below.

Gudda (2011:1) postulates that monitoring is, “the art of collecting the necessary information with minimum effort in order to make a steering decision at the right time”. Monitoring is carried out in a systematic, objective and methodical manner within the lifecycle of a policy, programme or project. In the context of the study, monitoring will be community-based public participation practices where members of the community take part in the collecting, reporting and review of data of water services provision by their municipality in the OR Tambo district. Gudda (2011:1) further underlines that the main purpose of monitoring as a continuous function is to factually determine if the programme is doing, “the right thing at the right time”. In this regard monitoring is an ongoing tracking of programmes that are being implemented, like that of water service delivery in the ORTDM.

The core focal issues for monitoring are the resources, activities, objectives and key project assumptions. The primary requirements for effective monitoring include quality data, indicators, performance markers and results. By and large, monitoring can be done in the form of field visits, systematic reporting and stakeholder meetings. In the same sense, there is need for a continuous tracking of the key elements of project implementation performance such as inputs, activities, outputs via recordkeeping and periodical reporting (Mark, 2017:18). The study argues that the kinds of inputs that can be monitored include finances, equipment, human resources and other procured items. In other words, it seeks to track the actual implementation *vis-à-vis* the planned implementation to determine whether progress is being made or not. In laymen’s terms, monitoring compares predetermined programme or project goals, available resources, adopted implementation plans against actual or real-time project performance. This process enables one to pick the anomalies and take corrective measures to ensure that the implementation stays on

course. Monitoring is critical for determining whether resources are being used effectively and efficiently as per set guidelines. Moreover, it looks at whether implemented programmes and projects are on schedule, pick out challenges and make corrective recommendations for the implementation to stay on course.

Bamberger and Hewitt (1986), cited in Gudda (2011:3), posit that effective monitoring focuses on project accessibility, deals with efficiency issues, enhances project design, includes views from various stakeholders, looks at project achievements and provides guidelines for future projects and shapes strategy. In the case of the study, CBM would focus on whether water services programmes improve both access to water and the quality of such delivered water services. According to Ochieng *et al*. (2012:186), effective monitoring improves planning, implementation, management and efficiency of programmes.

Monitoring is seen as a continuous function that uses systematic collection of data on specified indicators to provide management and main shareholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and allocated funds (Naidoo, 2011:39). Therefore, monitoring allows for timely correction of variances, remedial action and for projects to adapt to emerging challenges of environmental challenges. In the context of the study, monitoring at the grassroots level through communities has an advantage of improving efficiency of water service delivery. This is because all aspects and components of water service delivery are placed in the hands of the service consumers who have a say on whether the goals of the water of sanitation programmes are being achieved. In the event of variances emerging, an adaptation of the projects can be required as informed by the public service consumers as advocated by the tenets of NPM.

2.3.1.3 Private sector customer concept

The customer concept is one principle that NPM borrows from the private sector in order to improve on how the government treats and values its public sector customers (Holzer & Callahan, 2001:299; Malatesta & Carboni, 2014:63). Also, a customer orientation helps the citizens detect service quality by mentioning preferences that are time and place bound (Kaboolian, 1998:190). The private sector

customer concept has had a marked effect on how government delivers services to its people since it gave citizens a visible voice to comment on what needs have to be satisfied. In other words, the customer concept has deepened community participation and took the civic role of citizens to greater heights. Lambright (2008:364) focuses on monitoring contract relationships between service providers and the government to promote accountability. Therefore, in an NPM-guided public sector, government should regard their citizens as public sector customers who have a say in service quality, have many alternatives and choices and have channels of appeal in case their needs are not fully satisfied by services offered by their government.

In the same manner in which private sector businesses treat and value customer feelings and needs, the public sector not only has to apply the same principles, but it should also serve the real owners of public service delivery processes, thereby making sure that all the public goods and service are designed and offered according to the preferences of the people. Thus, the study works with an assumption that citizens who are treated like private sector customers are more likely to have access to a variety of good quality water services within their municipality. This is despite the background of the ORTDM where communities are without access to safe drinking water as mentioned in Chapter 1.

2.3.1.4 Enforcement of public accountability

According to Kaboolian (1998:190), NPM has the effect of increasing the accountability of public managers since a strict measurement of performance and outputs also ensures that all actions of office bearers are traceable. Accountability has been part of formal public sector practice for many years, aimed at evaluating efficiency, effectiveness and economy is the activities of government (Johnston & Kouzmin, 2010:519). Often referred to as an answerability for the actions and decisions in public service delivery, public accountability is a good governance practice that fosters holding governments accountable in a technical process of policy monitoring. Such accountability is based on reliable statistics and political processes of empowering the public and civil society to participate effectively in the democratic process (Olum, 2014:604). The requirement is that those who hold public

trust should account for the use of that trust (Khalo, 2013:580). In the study, public accountability is used to support the NPM reforms since it is one of the practices that can improve of the efficacy of government.

In promoting public accountability in South Africa, Kalema (2007:256) mentions that if public accountability is to become an effective tool for promoting democratically responsible government, it must be propagated in local communities. This can be done by sensitising communities to the need to participate in service delivery, both in the planning and monitoring of various interdependent activities tied to service delivery (Kalema, 2007:256). These activities include processes of IDP and budgeting in local government. These IDPs also include plans for promoting access to basic services, such as access to safe drinking water. Once these service delivery plans and the budget have been approved by the municipal council, it is obliged to exercise oversight by monitoring and evaluating the progress and results of financial management and other service delivery outcomes (Masehela *et al*., 2012:347).

The rationale behind the establishment of this arrangement in municipalities was to help transform municipal oversight and accountability, which was lacking. This led to a rise in service delivery protest in recent years in South Africa (Masehela *et al*., 2012:350). Thus, the people take part in the actual processes of planning and monitoring while the municipal experts use their legal oversight to ensure that things are going according to plan.

There are various ways in which local communities can actively enforce public accountability in the current public sector. These include informal methods within the wider practice of CBM (Olum, 2014:607; Nagavarapu & Sekhri, 2016:78). Overall, public accountability is essential in the delivery of community development services regardless of the community participation approach though which such answerability is promoted. In spite of the existence of multiple accountability structures within local government, problems of poor accountability are evident, suggesting deficiencies in organisational structural arrangements (Kakumba & Fourie, 2008:124). Goetz and Jenkins (2010:365) claim that the public sector organisations have not fully embraced the practice of citizen involvement in the enforcement of public

accountability. There is a need for a system of government that continuously improves such practices at the local sphere of government.

Public accountability is also linked to transparency, which is another characteristic of good governance (Macedonia, 2014:4). Good governance is conceptualised in the later section of the chapter. Transparency can be defined as the ability to find out what is going on inside a public sector organisation through avenues such as open meetings, access to records, online information, whistle-blower protections and even illegally leaked information (Piotrowski & Van Ryzin, 2007:308). From another perspective, transparency is about information and sharing information that may be welcomed or uncomfortable (Farrell, 2016:446). In the same sense, Grimmelikhuijsen (2010:10) sees transparency as an active disclosure of information by an organisation in such way as to allow the internal working or performance of the organisation to be able to be monitored by external actors. Frank and Reigina (2011:3) argue that accountability without transparency is of little value. People cannot be held accountable if what they are doing is not clearly determined or known. The two are complementary and they collectively seek to make government effective.

As one of the *Batho Pele* principles that have become the cornerstone of service delivery in South Africa, Nzimakwe and Mpehle (2012:281) argue that transparency is a mechanism that allows customers to hold public officials accountable for the type of services they deliver. Transparency also has a cross-cutting character, thus it has to be exercised in each and every programme in the public sector (Da Cruz *et al*., 2016:869). Otenyo and Lind (2004:299) write that in local government, transparent procedures are desirable in a host of service delivery activities, for example in hiring practices, contracting of private sector companies and the planning of service delivery. Partially instilling transparency in the delivery of public services therefore not only leads to fragmented government, but also destroys public confidence in the government. Thus, at the local government sphere, municipalities have to be exclusively transparent in all activities, including the drafting and reviewing of IDPs, budgets and project specific programmes such as LED, and the delivery of services such as water and infrastructure (National Development Plan, 2011:429).

Transparency and accountability are also essential in community participation, especially in the processes of CBM, including in municipalities such as the ORTDM.

2.3.1.5 Community-owned government

Callahan (2007:1180) notes that a critical principle in the reinvention of government movement is based on the building of “community-owned” government. Such community ownership is not based on the takeover of government roles and responsibilities, but a forging of synergies and alliances for service delivery. Such a government, according to Denhardt (2004:137), empowers rather than serves its clients, the public sector customers or citizens. In so doing, the government thrives by shifting ownership of public initiatives aimed at community development into the hands of the community, thus empowering them to be part of the solutions to the problems they face. Such ownership is made possible through community participation.

Overall, community-owned governments are evidence of local democracy and people empowerment (Dunn & Miller, 2007:347). An empowered community is more likely to take charge of its future and destiny because of the ability of its government to serve its people, unlike the classical “one-size-fits-all” practice (Dunn & Miller, 2007:347). In so doing, the people-centeredness of the government would mean that a more courteous private sector practice is brought on board the public service, that of a customer orientation. Rowe and Shepherd (2002:278) and Candler and Duman (2010:172) argue that community participation goes together with the NPM principle of the “private sector customer” since it is based on the consumerist model, perceived basically as a means of eliciting consumers’ preferences to ensure that services more accurately reflect their specific needs and expectations. Since the aim of the study is to develop a CBM framework for water services in the ORDTM, community-owned government as a principle of NPM serves to guide the ownership of the water services in the municipality.

2.3.1.6 Promotion of public sector competition

Another principle of the NPM paradigm is to give citizens value for money through the promotion of competition between public sector agencies and organisations

(Simonet, 2013:263). Competition in the public sector happens through market-oriented arrangements within units of government and across government boundaries, NGOs and even extending to private sector role players, especially those engaged in public-private partnerships (PPP) as explained by Kaboolian (1998:190). Similar to private sector market-based business practices, promoting competition in the delivery of public services not only improves on the quality of services, but also ensures that the public sector customer gets the best services from available alternatives. This NPM principle is of great importance to the study since a competitive public sector would mean that the people of the ORTDM get the best quality services in the delivery of safe drinking water. In the long run, competition makes government delivered services equally attractive to goods from reputable public sector business.

The exposition of the principles on NPM as a key theoretical foundation of the study discussed in the above sub-section served to prepare the study to provide a supporting theoretical foundation. Such a theoretical foundation is the practice of community participation, which is discussed next. In the next section, community participation is conceptualised. Its local origins are traced with its theoretical foundations and it is applied to a developmental state. The nature of the study gives community participation a crucial role since the CBM framework is grounded in citizen involvement in the affairs of government.

2.4 COMMUNITY PARTICIPATION IN A DEVELOPMENTAL STATE

Community participation within the context of a developmental state is explored as a theoretical foundation of the study. For Aulich (2009:44), community participation refers to an attempt by members of the community to collectively, as their own initiative or facilitated by their local government, reach certain self-determined goals according to established methods and procedures to realise community development. In other words, the preceding definition implies that community participation follows set procedures and aims towards the achievement of collective goals and satisfaction of their needs (Meyer *et al*., 2002:63; Slotterback & Crosby, 2012:24). A community includes ordinary citizens, pressure groups, charity organisations and other relevant stakeholders (Denhardt, 2004:137). If one would

refer to a community-owned service delivery initiative such as water provision, it would include one if not all of the said constituent groups.

According to Richardson (1983:8), community participation within the context of NPM refers to the processes by which ordinary citizens can partake in the formulation, implementation or monitoring of policy decisions. NPM gives the citizens both a voice and a choice (Aberbach & Christensen, 2007:235). Such a feature of NPM in relation to the people owning the process of service delivery implies that the government becomes an agent through which the needs of the people are determined and fulfilled through well-formulated programmes. As a people-centred government, public officials have to use their policy expertise to put the expectations of their constituents into workable service delivery programmes. Community participation in the context of this study is a key pillar of a democratic developmental state as signified by the *status quo* in South Africa. Having argued that, the study now zooms into the conceptualisation of democracy and the developmental state.

Oxford Dictionaries Online (2016:6) defines democracy as a system of government by the whole population or all the eligible members of a state, typically through elected representatives. Democracy may also refer to the control of an organisation or group by the majority of its members (Oxford Dictionaries Online, 2016:6). Tracing the origins of community participation locates the practice in democratic theory (Webler, 1999:58). Democratic theory is derived from the term democracy, which means rule of the common people (Paterman, 1970:5). In addition to the preceding, democratic theory is concerned with the processes through which ordinary citizens exert a relatively high degree of control over leaders by taking part in the activities of their government (Paterman, 1970:8; Wong *et al*., 2011:596). Moreover, the democratic theory describes an institutional arrangement for arriving at political decisions which realises the common good by making the people themselves decide issues through the election of individuals who represented and implement policies aimed at promoting the will and expectations of the people (Nanz & Steffer, 2004:315; Peters, 2010:153). Warren (2000:317) writes that the democratic theory affirms that governments should be responsive to citizens as a consequence of citizen participation through elections, public deliberation, petitioning, protesting or

other channels. Thus, democratic theory has an underlying principle of majority rule, which signifies public consensus in the affairs of government and daily livelihoods (Cerase, 1999:422).

The act of the people determining the manner in which the government carries out its mandate is a major advantage of a democracy. The involvement of the community is also part of a process of good governance (Morse, 2006:2; Font *et al*., 2015:154). Generally, governance is the process through which elements in the society wield power and authority and influence policies concerning public life and socio-economic development of their locality (Weiss, 2000:797). These elements cover elected representatives and citizens. When properly done, the process of governance takes shape to be good governance, which refers to the process of ensuring respect of human rights and the rule of law; strengthening democracy, promoting transparency and building capacity of public administration (Weiss, 2000:797). Therefore, community participation becomes one of the key determinants of good governance, since it is rule by majority consensus. The discussed tenets of democracy are somewhat synonymous with the characterisation of the developmental state, as provided in the coming discussions.

According to Chang (2010:82), a developmental state can be regarded as a state that, “derives political legitimacy from its record in economic development, which it endeavours to achieve mainly by means of selective industrial policy”. Similarly, a developmental state deliberately intervenes to ensure that there is socio-economic development in its communities. Van Dijk and Croucamp (2007:665) regard a developmental state as a state focused on a democratic institutional character to promote and sustain developmental goals of the state. The essence of its thrust is embedded in the bureaucratic competence and economic planning of the state. To this end, the state utilises its resources towards pro-poor economic activities aimed at addressing matters impacting development and promotion of socio-economic participation (Van Dijk & Croucamp, 2007:668). Thus, such a state has vigorous standards to enter bureaucracy and foster a sense of socio-economic growth and simultaneously raise the standard of living (Maphunye, 2009:28).

According to Maserumule (2007:212), the underlying issues for planning economic development can be linked to a developmental state and to this end is, “that type of state radically planned in a manner that makes it possible and necessary for government to influence the duration and pace of economic and social development rather than leaving it to the dictates of the markets”. Maphunye (2009:8) advises that to achieve a developmental state, the government should be intimately involved in the micro and macro-economic implementation and planning to grow the economy in a rapid and steady manner. In this way, the economy can advance faster when compared to regulatory states, that is, states with direct control of economic activities. Moreover, in the developmental state, public and community participation is greatly recognised (Kwon, 2005:478).

Considering the key characteristics of a developmental state, Thornhill (2009:33) identifies the following:

- autonomous and effective bureaucracy;
- political leadership orientated to enable development;
- involvement of communities local matters;
- production-orientated private sector; and
- performance-orientated government supported by their constituencies.

In this regard, a developmental state duly deploys its political and administrative resources to control economic development. Nonetheless, South Africa is not excluded from the rest of Africa’s development performance because of its on-going struggles with widespread poverty, inequalities and other developmental strategies. Edigheji (2010:4) defines a democratic developmental state as a wish to build sustainable programmes through policy programmes for the long term care of the state. Accordingly, for the state to adopt a democratic developmental state, institutional capacity and public participation play a pivotal role to attain socio-economic goals while deepening a sense of democracy (Gumede, 2009:7; Madumo, 2012:42). Such a state should maintain its mandatory role by directing development for a better quality of life for all its citizens without any interference. Thus, democracy and development should complement each other in building the capacity of the state. In the context of the study, the democratic developmental state intervenes to ensure

that community-based participatory mechanisms such as CBM give effect to the socio-economic development in communities such as the ORTDM.

Community participation and democracy are all important aspects of good governance and in the context of a democratic developmental state such as South Africa, this has been statutorily located in municipalities, which should promote community participation (Barnes *et al*., 2007:15; Nkuna, 2011:629; Fourie & Reutener, 2012:82). In other words, municipalities have been established to give effect to community participation. Thus, local government has become the arena for the promotion of good governance. The popular practice of developmental local government shows local government in South Africa as embracing and promoting a people-centred form of government in South Africa (Jakoet-Salie *et al*., 2016:118).

Generically, developmental local government refers to a government that is motivated to engage and work together with relevant stakeholders to pool resources required for the sustainable development of the community (Draai & Taylor, 2009:115). These stakeholders include *inter alia*, citizens, charities and pressure groups whose interest can be affected or influence public policies. The efficacy of service delivery by the government is highly dependent on the principle of empowering communities in the delivery of services by their government (Dassah, 2011:593). This has been a critical point for arguing community-based solutions to community development in the post-apartheid South Africa.

Mfene (2013:12) argues that community participation is critical at the planning and evaluation phase of public programmes and projects due to its ability to concurrently give a valuable assessment on whether the set planned goals and objectives are achieved while gaining some insights on the costs and the benefits of the programme being undertaken. Inclusion of communities in the determination and monitoring of the manner in which they will get services from the government serves to smoothen the process of service delivery and instils a public consultation culture. From another angle, the study values community participation as part of good governance since it promotes a reform culture that seeks to make government more economic, effective and efficient. Conrad and Hilchey (2011:277) write that citizen

involvement in the monitoring of their public services promotes innovative governance. Therefore, constant and consistent community participation in the monitoring of service delivery is a key determinant of good governance (Liu *et al*., 2014:5).

Community participation also implies empowering communities and citizens into exercising the practice of self-governance (Dunn & Miller, 2007:347). Such self-governance is based on good governance practices that invert the classical top-bottom approach to make it a bottom-up culture (Osborne & Gaebler, 1993:51). In expanding further, Dunn and Miller (2007:347) explain that community-owned service delivery is by nature bottom-up, anti-hierarchical, anti-bureaucratic and contextual in the sense that particular services delivered in a given locality should match the community that participated in the decision and deliberations of such service standards. Citizens involvement in the affairs of government is premised in the local sphere of government as discussed in the ensuing sections.

The Constitution of the Republic of South Africa (1996) states in Section 151(1) that the local sphere of government consists of municipalities, which must be established for the whole of the territory of the Republic. From another angle, Venter (1998:201) describes local government as that sphere of government closest to its constituents and involved in rendering a wide range of services that materially affect the lives of the inhabitants residing within its area of jurisdiction. Local government is seen as the “grassroots” government because of its proximity to the people, local government is the government closer to the people. Local government was established in Chapter 7 of the Constitution of the Republic of South Africa (1996) (Sections 151-164) with the aim of promoting socio-economic development in South Africa.

Local government serves as the apparatus to ensure that the government is taken closer to the people for improved consultation and to ensure that service delivery is tailor-made to suit the specific needs of the target communities. This includes the water needs of residents living within the jurisdiction of the ORTDM. Reddy (1999), as cited in Van der Waldt *et al*. (2007:3), defines local government as, “the level of government created to bring government to the local populace and to give citizens a

sense of participation in the political process that influences their lives". In the same vein, the preamble to the Local Government: Municipal Structures Act (117 of 1998) provides that local government is a distinctive sphere of government, interdependent and interrelated with national and provincial spheres of government.

Of particular importance to the loci and foci of local government in South Africa is its ability to champion local economic development (LED). Such LED is championed through developmental local government, which the White Paper on Local Government (1998) views as, "local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs in order to improve the quality of their lives" (Department of Provincial and Local Government (DPLG), 1998:8). In laymen's terms, this is a local government practices aimed at an all-stakeholder approach to sustainable community development. The study emphasises that developmental local government should be in line with creating and sustaining people-centred government.

The phenomena of developmental local government emerged from the fusion of the social interventionist goals of the Reconstruction and Development Programme (RDP) and the market-driven economic strategies of the Growth Employment and Redistribution policy (GEAR); the two main national policies of the post-apartheid era for addressing economic growth and poverty eradication (Smith & Vawda, 2003:28). The RDP and GEAR represent diverse visions for how to bring about equity and redistribution in a deeply divided state and economy. Up to date, developmental local government has become the pillar on which public service delivery hinges. Municipalities in South Africa are obligated to lead in the development of the local economy through the integrated development planning (IDP) process, which is also a community-participation advocating initiative. The IDPs are the developmental visions for municipalities for their people.

Through developmental local government, local communities engage in the service delivery process to reconfigure the public sector in such a manner that the mechanistic structure of the government matter less than the ability to make

government more responsive and effective. In other words, the NPM feature of reinventing the operation of government does not only result in an empowered community, but has the effect of shifting the ownerships of service delivery programmes and control into the hands of the community, which should be consulted as both an *ex-ante* and *ex-post* activity. An *ex-ante* activity is an action taking place before the implementation of a policy programme, with an *ex-post* acidity referring to the one that happens after such an implementation (Hiriart *et al*., 2010:1010).

Numerous benefits are tied to the involvement of communities in shaping and monitoring public service delivery as argued by Thomas (2013:792), who links community participation to the following advantages of the practice:

- ensures information and feedback generation, since when citizens contribute to ground-level knowledge that would otherwise never be available to any decision makers in government;
- improves on the legitimacy of public entities and decisions made therein since the community are made to actively participate in arriving at such decisions therefore facilitating the swift revision and implementation of public service delivery programmes;
- improves overall performance of government especially in the provision of basic services such as water, road infrastructure and healthcare; and
- boasts trust between the community and their government or representatives and on a greater extent improvement in the quality of life and standards of living for the community.

As outlined by Thomas (2013) in the previous section, involving communities has become the culture within which community-based service delivery resides. All of the four listed benefits are critically important, especially given that an absence of these would mean that the citizens lack trust in the government, which would cripple feedback generation and affect decision-making. As such, the study deduced that community-centred government is critical both as an *ex-ante* and *ex-post* activity, failure of which is costly to the efficacy and legitimacy of the government or public entity. According to Till and Meyer (2001:377), the failure to involve the public as a key stakeholder in community development projects usually cost twice as much as

due involvement of the public. Thus, community empowerment and involvement is a major ingredient for the success of and sustaining of “reinvented” and more effective people-centred government in the 21st century.

On another note, public participation in local government in the age of reinvented government should be viewed through a multi-dimensional lens. It is viewed as a complete process where the people actively take part in the processes of public service decision making, developmental programme implementation, monitoring and of such developmental programmes and the equal enjoyment or sharing of the benefits of community development that happens as a result of involvement (Draai & Taylor, 2009:114). As the ultimate aim of participation, there has to be positive results that benefit the community and more importantly creates good working relations between the “owners of the government” and the public officials who serve them. Moreover, an inherent benefit of such a process is that is has the effect of promoting accountability of officials since the service delivery programmes are community-owned.

The inclusion of communities in the planning and monitoring of service delivery programmes has given rise to community-based service delivery practices. One such practice is CBM. Conceptually as defined in Chapter 1, CBM is defined as, a process in which all relevant stakeholders *inter alia*, government, civil society and the private sector collectively collaborate in the process of monitoring and responding to issues of community concern (Fernand-Gimenez *et al*., 2008:1). In addition, CBM is an emerging approach towards the entrenching of participatory development in the public sector, and signifies a shift from “top down” to “bottom-up” service delivery and promotes good governance (United Nations Economic and Social Council (ECOSOC), 2016:2) in the manner discussed in the previous sections of the study are given due consideration.

Ideally, CBM as a participatory community development aims to mobilise members of the community through an identification of community needs, determination of the development priorities, capacity building, and keeping track with progress on the implementation of these development goals as explained by World Vision Advocacy

Forum (WVAF) (2012:32). On the same note, Conrad (2007:218) and Shrivastava *et al*. (2013:171) deduce CBM as positively directing the collaborative efforts of communities leading to sustainable development within their locality. This happens as a result of community members taking part in the periodic review of the progress of the public service delivery programmes which they help determine.

There are numerous benefits of representative democracy through CBM that do not only enable responsive government, but also creates accountable public officials. Traditionally, public officials are the people who are mindful of the wishes of the electorate that gave them the mandate to government them (Kyohairwe, 2014:89). Therefore, in the event of non-delivery of that mandate, the people still have the leverage to decide the fate of their political representatives by following procedures to replace their political leaders or public officials in general (Kyohairwe, 2014:89). On the same note, Mubangizi and Tshishonga (2013:315) argue that, "the public can, and do, play a role in holding the government accountable". Therefore, CBM upholds the placing of the authority to enforce accountability on the public sector in the hands of the public. Locally, Malapane (2015:870) argues that CBM and the authority it places into the hands of the public is good for democracy, only when used in a responsible manner that does not sabotage the progress and gains realised by government to addresses poverty, unemployment and inequality in South Africa. Nonetheless, the public plays a crucial role to demand for accountability (Malapane 2015:871).

In the context of this study, the CBM practice is thus located in the local sphere of government since municipalities are directly linked to service rendering through arrangements like community development initiatives or public participation. On a positive note, CBM generates feedback that is used in the modification of public service delivery programmes (Leon & Timm, 2013: 2). Thus, participation is not only useful, it means the community owns the processes of public service delivery and municipal performance. It enables contributions to determining feasible projects in the IDP or local economic development (LED) initiatives pursued by municipalities. Community involvement is both an *ex-ante* and *ex-post* activity. The people should

also have a say in the monitoring of service delivery programmes in their municipality of entity.

From the discussion, communities in the ORTDM can actively participate in the making and monitoring of water services in their area. Critical to this is the legal implications of access to safe drinking water as a right to all the people of South Africa. In so doing, the requirements discussed here expand the NPM practice of people-owned government by entrenching it in the local legislations. In deducing, the requirement for public participation in local government acts as the anchor for the study's position that community participation is an essential part of a people-centred government in the provision of water service in the ORTDM.

In summary, the study values the importance of monitoring within the wider practice of community participation to ensure the success of service delivery programmes such as the provision of water services to the people of the ORTDM. Community participation in the case of the study is taken from the key NPM principle of the effective government NPM, which supports establishment of community-owned government. This is the type of government that empowers its people, places the needs of public service "customers" on the forefront, enforces public accountability through people-centred service delivery and uses a bottom-up style of management. Bottom-up strategies will ensure that the public owns the programmes that they help design, can monitor progress as the service delivery initiatives are implemented and have the liberty to modify these at any given time (Mwesigma & Mubangizi, 2015:16). Overall, the citizen owned government should be efficient, effective and economic. Therefore, due to their proximity to the communities, municipalities serve as the public entities where this entire process of establishing and maintaining of a customer-oriented government is situated.

2.5 CONCLUSION

The first research objective was to, "determine and establish the origins, principles and theoretical approaches guiding CBM". Therefore, this chapter gave effect to the achievement of this research objective. The chapter discussed the theoretical foundations that the study uses to develop a CBM framework for water services in

the ORTDM. These include NPM and community participation in a developmental state. The theoretical foundations of the study aim to make government more efficient and results oriented, people-owned and effective. Such goals are dependent on the inclusion of the public in the monitoring of public service delivery. And in the context of the study, monitoring is focused on the delivery of water services in the ORTDM. Furthermore, the theoretical foundations collectively seek to reinvent the activity of public administration using community-based delivery frameworks.

Across the system of government in South Africa, CBM is arguably located within municipalities. Placing the government in the jurisdiction of the people has an impact on enforcing public accountability and building trust between the people and their government. In the end, that can improve on government efficacy, thereby delivering public goods and services which meet expectations of the people, improving living standards and promoting democratic governance. The next chapter offers a discussion on statutory and policy framework guiding CBM for water service delivery at the local sphere of government.

CHAPTER THREE
LEGAL AND POLICY FRAMEWORK FOR COMMUNITY-BASED MONITORING OF LOCAL GOVERNMENT WATER SERVICES

3.1 INTRODUCTION

Water is one of the essential elements of a sustainable livelihood in any society, and everyone should have access to safe drinking water (World Health Organization, 2003:3). The study seeks to develop a community-based monitoring framework for water service provision in the ORTDM. This is one district in the Eastern Cape Province of the South Africa that has a huge water service delivery backlog, with some communities sharing drinking water with their livestock (Nonkonyane, 2014:3). A case in point is a story that appeared in the Daily Dispatch (2013:3) detailing how villagers in the Lower Xhongora village, 55 kilometres southwest of the rural hub of Mthatha, walk long distances to fetch river water, exposing themselves to the risk of contaminated water. They sometimes sharing water holes with animals.

In seeking to clearly understand community participation in the context of the study, the chapter explores the applicability of a legal and regulatory framework that establishes grassroots government as an arrangement that places citizens in the centre of government in municipalities. This discussion of the statutes and regulations play a key role in determining how the community can actively take part in monitoring how the ORTDM delivers quality water services to its people, societies and communities. Evidence presented in the opening chapter establishes community participation as an essential cornerstone of governance in a democratic government. In addition, Chapter 2 of the study suggested involving members of the community in the daily activities of their government as a way to foster public accountability and good governance.

In addition to the above, this chapter discusses the founding principles of local government and the legal and regulatory policies that support public participation in local government. The discussions set parameters for constant and consistent utilisation of sustainable community participation in a democratic developmental state such as South Africa.

3.2 CONTEXTUALISING PUBLIC PARTICIPATION IN LOCAL GOVERNMENT

The evolution of local government in South Africa is linked to a history of colonialism, racial discrimination, freedom and democracy. It can be traced back to the scramble for Africa and the partition that saw Europeans settlers come to Africa for the continent's wealth and resources. In the process, a group of Dutch settlers, led by Jan Van Riebeeck, also set foot at the Cape of Good Hope, but not without resistance from native African tribes and later on fellow Europeans such as the British. In order to acquire and annex land for trading, the Dutch and British troops attacked Khoisan communities, forcing them to flee to the former Natal, Transvaal and Orange Free State provinces (Southall, 2014:2). This left the administration of the Cape of Good Hope under the rule and dominion of Dutch settlers.

In 1910, the union of four provinces under British rule paved the road to the establishment of the Union of South Africa (Hattingh, 2008:135; Southall, 2014:2). The Republic of South Africa Constitution Act (32 of 1961) amended British policies and provided political rights to a White constitutional parliament to manage the affairs of local authorities. In 1948, the government of South Africa followed through on its intent to promote racial segregation by way of legislation (Ferree, 2011:84; Mhlauli *et al*., 2015:205). Boesak (2015:xiv) notes that the argument was that friction between Black and White communities will be minimalized on the passing of racial segregation laws. The White government found it difficult to manage local native African peoples and to fulfil the administrative gaps in terms of service delivery. This was especially true in rural areas, even though local authorities had a constitutional obligation to do so (Koma, 2012:53; Powell, 2012:13).

In principle, apartheid centred on the pursuit of separate models of development for White and Black communities. In practice, the racist motivation at the base of the policy inevitably meant underdevelopment all Black areas, but even more so in rural areas (Boesak, 2015:xiv). Local administrative councils were established under provincial ordinances, but they lacked constitutional powers (South African Local Government Association (SALGA), 2000:20). In this case, Ndletyana *et al.,* (2008:6) singled out the Population Registration Act (1950) and Group Areas Act (1950), which supported the establishment of racial segregation. In particular terms, the

Black Local Authorities Act (102 of 1982) empowered black communities to establish their own local authorities (Botes *et al.,* 1997:213), this despite Black people being forced to live outside cities in townships. Also, native Africans were never consulted on any of the laws governing them, which resulted in political instability within local authorities (Mhlauli *et al*., 2015:205). That alone indicates a predisposed system were administration was imposed on Blacks with zero public participation in Black communities. The protests and uprisings of the 1960s onwards made the people's desire that the public be included in policy-making abundantly clear.

From the above the argument is that Black communities lacked socio-economic opportunities and were not allowed to enjoy the natural advantages associated with living in urban cities, such as access to employment, access to social services, increased political rights, increased opportunities for trade and enterprise, which led to more entrenched segregation and further impoverishment (Glaser, 2001:5). The delivery of services such as water and electricity to Black communities was not prioritised, leading to some of the backlogs that are still evident in places such as the ORTDM.

The struggle for racial equality and for the end of racially-defined development in South Africa bore fruits in the early 1990s. This led to developments such as the adoption of multi-party government structures under an interim Constitution of 1993. Further to this, the apartheid government abolished homelands and formed a united Republic of South Africa (Van der Waldt, 2007:13; Stull *et al*., 2016:371). The redistribution of power between White and Black leaders paved the way for the establishment of local government as a space that promotes integration (Lanegran, 1996:120). The Local Government Transition Act (209 of 1993) recognised all the local forums with the appointment of interim transitional councils (Ntsime, 2003:39). South Africa subsequently followed a democratic path to synthesise its government and to create three interrelated, autonomous and interdependent spheres of government that include national, provincial and local government in terms of the Constitution of the Republic of South Africa (1996). Since the birth of the new democratic South Africa, there has been continuous effort to ensure that a people-

owned government is created, especially with reference to the local sphere of government (Booysen, 2009:12-13).

A wide range of statutes and policies govern the local spheres of government and community participation. One can single out the White Paper on Local Government (1998), specifically its promotion of developmental local government. Accordingly, Section B of the White Paper on Local Government (1998) establishes developmental local government, which allows citizens continuous input into local decision making. This indicates that community participation is not an end itself, but rather a means to achieve a better quality of life for the people while promoting a deepening of democracy. Also, Section B of the White Paper in Local Government (1998) sets the objective of developmental government as promoting public participation in the local matters (DPLG, 1998:16).

Further to this, the Constitution of South Africa (1996) establishes municipalities and stipulates rules, structures and responsibilities within the jurisdiction of local governments. In specific terms, Section 151 (status of municipalities) and 152 (objects of local government) provide vital aspects of both the grassroots government and community participation in the affairs of their government. Of key significance to this study are the five roles, powers and functions of municipalities in the post-apartheid South Africa as outlined in Section 152(1) of the Constitution of South Africa (1996). Municipalities have to:

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

These objectives were identified at a critical time when most Black communities experienced service delivery backlogs due to the disparities promoted by the apartheid government. Moreover, another aim of local government also is to promote the active involvement of groups in communities in matters of government, thus

furthering the requirements for developmental local government. The study argues that contemporary South African municipalities should be able to expedite service delivery, including water service rendering, using its constitutional mandate as foundation.

The roles and responsibilities of local government are executed according to the Constitution (1996) and enabling legislations. One such act details municipal demarcation. According to Tsatsire *et al*. (2009:143), Sections 24 and 25 of the Municipal Demarcation Act (27 of 1998) give effect to the creation of municipalities as stipulated in Section 155 (3) (b) of the Constitution (1996). Lehman (2007:305) posits that the first democratic local government elections had a significant effect on the number of municipal demarcations. Such a move was long overdue, since the pre-1994 government had skewed planning and development models for White and Black communities (source). The number of municipalities were reduced from 843 to 293 (Ntsime, 2003:41), and further reduced from 278 to 257 in 2016. This responds to the objective of meeting local needs and allows the municipality to take charge of these boundaries.

Section 155(1) of the Constitution of the Republic of South Africa (1996) establishes the three categories of municipalities in South Africa. These are in summary Category A (metropolitan municipalities), Category B (local municipalities) and Category C (district municipalities). Metropolitan municipalities have exclusive and legislative powers and authority in their areas. Local municipalities share executive and legislative power and authority with district municipalities. Category C municipalities have executive and legislative authority in an area that includes more than one local municipality (De Visser & Steytler, 2016:10). It is the responsibility of the district municipality to provide services such as water to all its local municipalities (RSA, 1998).

In the context of this study, the ORDTM is a Category C (district) municipality with local municipalities that fall within its jurisdiction. The provision of water and related services in the ORTDM covers an expansive area, including the King Sabata Dalinyebo, Mhlontlo, Ngquza Hill and Nyandeni local municipalities (Eastern Cape

Socio Consultative Council, 2017:1). The study argues that one cannot address local government efficiency without promoting democracy through increased public participation (ORDTM IDP, 2015/16:2). These categories of municipalities, similar to the three spheres of government, have to cooperate and coordinate their programmes in the spirit of good faith by establishing sound intergovernmental relations (South Africa, 1996).

Overall, the three spheres of government have to ensure that the citizens actively partake in the affairs of government. In addition, according to Section 59(1) (2) of the Constitution (1996), the national sphere of government has the legal responsibility to promote citizen participation in matters of government. Ideally, this allows community members a platform to share their ideas and influence decisions with policy makers in national, provincial and local government (Du Plessis & Lues, 2011:107). The government should be people-owned so that the people are included in various matters that affect their standard of living and quality of life. Such affairs are transformed into viable policies aimed at the alleviation and eradication of poverty, inequality and unemployment (Crook, 2003:80).

The interaction between policy makers and citizens has been widely recognised in South Africa (Auriacombe, 2016:2). In grounding community participation as obligation for municipalities, Section 152(2) of the Constitution of the Republic of South Africa (1996) stipulates that municipalities have the responsibility to mobilise administrative and financial resources and allows community members to own their initiatives. The positive step was taken to eradicate inequalities in democratic participation and to guide municipalities so that they uphold the fundamental rights of citizens, such as access to safe drinking water as enshrined in Section 27 of the Constitution of South Africa (1996). Section 155 (1) of the Constitution (1996) sets forth the categories of municipalities as a way to demarcate and allocate responsibilities to determine and manage various service delivery programmes. Twenty-first century governments are centred on the participation of the ordinary citizens in the activities of their local governments or municipalities. Public participation becomes a key part of the success of municipal service delivery.

The next section outlines the various policy frameworks that give effect to community participation at the local sphere of government. This is of particular interest to the study since water service delivery backlogs are more prevalent at the grassroots level in the five local municipalities in the ORTDM. Fundamentally important aspects of community participation and the right to water are statutorily enshrined in the Constitution (1996) together with other pieces of legislation and policy frameworks. These are discussed in the coming subsections.

The discussion starts with global provisions on the right to water and the delivery of water services to communities of the world.

3.3 INTERNATIONAL PROVISIONS CONVENTION ON THE RIGHT TO WATER

Worldwide, the evolution of human rights has challenged the global community to act and adapt to the demands of the human race, such as the provision of the basic necessities of life (Irujo, 2007:268). Global communities continue to grow and services have to adapt accordingly A lack of adaptation can contribute to instability, which causes an increase in poverty. The International Covenant on Economic, Social and Cultural Rights of 1966 declared that everyone has a right to access to safe drinking water (UN, 1966). Further to this, the right to water was explicitly recognised at the Mar del Plata United Nations Water Conference in 1977 (Cooper *et al*., 2014:124). This recognition of the importance of safe drinking water places water services at the forefront of service delivery in communities, including South Africa, and specifically the ORTDM. Water also becomes an enabler to the enjoyment of the various social, cultural, economic and other related rights. There are several international treaties for water sharing to manage water as a commodity without any conflicts (Irujo, 2007:271).

The UN recognises that people have an inherent and fundamental human right to safe and clean drinking water and sanitation towards fully enjoying life (UN, 2015:6). As an outcry to the world and its member states, the UN called for states to provide the required financial and other resources, capacity-building and technology transfer through global assistance and cooperation (specifically in developing countries) towards ramping up efforts to provide adequate safe, clean, accessible and

affordable quality water (UN, 2015:6). In the context of the study, this resolution further affirms the UDHR and humane calls for human dignity through access to quality water and sanitation.

In addition, in 2002 the United Nations' Committee on Economic, Social and Cultural Rights adopted General Comment No. 15 on the human right to water. The General Comment states that, "the human right to water is indispensable for leading a life in human dignity, as well as it being a prerequisite for the realisation of other interrelated human rights" (UN, 2010:2). UN General Comment No. 15 further rubber-stamps the need for access to quality water by defining the right to water as the right of everyone to "sufficient, safe, acceptable and physically accessible and affordable water for both personal and domestic uses" (UN, 2010:2).

The global community forged a partnership and generated new innovative ideas to collectively eradicate inequalities in access to services through a universal declaration of Millennium Development Goals (MDGs) by the United Nations (UN) (Attaran, 2005:0955). The key factor of the MDGs was to develop a clear blueprint with a set of targets and indicators for monitoring and accountability (Fukuda-Parr, 2016:44). The MDGs were replaced in 2015 by the Sustainable Development Goals (SDGs), listing 17 measurable goals with 169 indicators (Stuart & Woodroffe, 2016:70). The SDGs echo the same objectives, with SDG number 6 focussing on access to clean water and sanitation. The global targets vary and underdeveloped countries lack resources and are dependent on international agencies for their development (Thompson & Nleya, 2008:116). For this reason, the local communities find it challenging to promote their developmental agenda within the set goals set of the UN (Mathews & Ohadi, 2008:755).

The principles of the SDGs extend to social and health indicators, which include goals for justice and environmental conversation. The SDGs reflect a trend towards transparent engagement with communities and civil society. Therefore, government has a fundamental duty to monitor the progress made in the achievement of indicators (United Nations Educational, Scientific & Cultural Organisation, 2016:122). According to Bhaduri *et al*. (2016:3), the SDGs goals present challenges. Gine-

Garriga *et al*. (2016:1109) point out that the joint monitoring programme of the UN's SDGs ensures that global policies collectively work towards improving on accessibility, availability and the quality of water to everyone.

Hak *et al*. (2015:568) argue that the SDG indicators are key in monitoring and evaluating the global role players in pursuing sustainable development. Therefore, national government should ensure that their policies reflect the SDGs. Local government should promote the basic human right of access to water. It should not be used as a political tool, but as an obligation to ensure public participation. They should provide water monitoring regulations to all sectors at a micro level (Langford, 2007:278). National leadership must leave no one behind in water management (Ait-Kadi, 2016:109). The SDGs emphasise the need to accelerate service delivery, especially in ensuring access to and participation in the monitoring of basic amenities like water. They form the global developmental agenda until 2030, and SGD 6 seeks to ensure access to water and sanitation for all (UN, 2015:5). The UN (2015:6) provides the following global statistics and facts to justify why water service provision tops the global development agenda:

- a total of 663 million people are still without water;
- 1.8 billion people use a source of drinking water that is contaminated with faeces;
- 2.4 billion people lack access to basic sanitation services, like toilets or latrines;
- water scarcity affects more than 40 per cent of the global population; and
- nearly 1000 children die every day of preventable water- and sanitation-related diarrhoeal diseases.

These facts are indicative of the critical situation that the world finds itself in, requiring states to collectively act in terms of water provision. One example is the effect that a lack of access to water has on disease outbreak (Davies *et al*., 2015:196). This is the case in the ORDTM were communities share water with animals, exposing them to faecal contamination (Hemson, 2016:30). The study argues that it is therefore crucial to ensure that safe drinkable water and sanitation is prioritised in South African communities.

3.4 NATIONAL POLICY FRAMEWORK ON THE RIGHT TO WATER

In building a developmental state, the African National Congress (ANC) on its 52nd National Policy Conference in Polokwane in 2007 adopted an economic strategy that addresses the national threats and mobilises community participation in the allocation of state resources (Jourdan, 2013:108). In this regard, in 2011 the National Planning Commission (NPC) introduced the National Development Plan (NDP): Vision 2030 as a blueprint to strengthen socio-economic activities and eliminate poverty and inequality (Zarenda, 2013:1). In connection with the GWMES, the DPME plays a pivotal role in facilitating government policies with the Medium Term Strategic Framework (MTSF) (2014–2019) to support the NDP goals (DPME, 2014:27). The NDP serves as a priority framework to guide a planning and allocation of resources across all spheres of government, to measure performance targets and to achieve national developmental goals (Maraj-Sampsone & Ferreira, 2015:117). This means that the operationalization of the NDP acts as the blueprint for socio-economic development that seeks to fight poverty and realise the objectives of the SDGs (Gumede & Asmah-Andoh, 2016:271).

The NDP also promotes a people-centred government and community participation as the only way to create a bottom-up approach to the delivery of public services such as water. However, Moyo and Mamobolo (2014:945) argue that finding ways to improve poverty and inequalities by using the NDP seems to be insufficient. Community members should actively take part in the monitoring and evaluation of the government's programmes aimed at attaining national goals (NPC, 2012:410). The people can easily participate in the monitoring of programmes aimed at fighting poverty only if they are consulted in the drafting of those policies giving effect to the programmes, hence promoting a people-centred service delivery (Cilliers & Camp, 2013:1; Gumede & Asmah-Andoh, 2016:274).

The locus of public sector service delivery in South Africa as highlighted in the preceding sections in this chapter is the local sphere of government. This is the vehicle through which the government pursues and sustainably achieves a community-owned government. In this regard, Section 152(e) of the Constitution of

the Republic of South Africa (1996) states that local government was established to act a means of fostering a culture of participatory government. Municipalities have to encourage the active involvement of local communities and community organisations in matters of local government (Ababio, 2004:275). Although there can be a contribution from the national and provincial spheres of government to community-driven public service delivery, municipalities are and remain the core arena of such practices (Govender & Reddy, 2011:65).

Section 195 (e) of the Constitution of South Africa (1996) declares that the public sector should be transparent, accountable, and development-oriented. Furthermore, the eight *Batho Pele* (People First) principles collectively emphasise the need for the government to respond to the needs of the people. In summary, the eight *Batho Pele* principles are consultation, service standards, access, courtesy, information, openness and transparency, redress and value for money, all of which advocate for people-centred accountable government or public service delivery. Hence, public services, such as water, should be delivered in response to the needs of the people, since water is essential for a livelihood. Nothing for the people can be done without the people. The people own the process of policy making and the wider delivery of services by their representatives. Such a delivery of public services should be carried-out in a transparent, accountable and development-oriented manner, which necessitates people-oriented practices such as CBM.

According to Slotterback and Crosby (2013:23), the community should be involved in a bottom-up approach to service delivery where the government models its public goods and services around the voiced preferences and priorities of the people. In that way, the community will have what they deem a priority given their needs. There should be thorough public consultation in the drafting and review of the IDP so that the needs of the community are noted and accordingly prioritised in order of importance. Apart from the right to water, the Bill of Rights (Chapter 2 of the Constitution of South Africa (1996)) confers other basic rights, such as the right to a safe and clean environment as stipulated in Section 24, housing, as declared in Section 26, food, healthcare and social security as contained in Section 27. These are just as important as the right to water. They all complement each other.

Section 27(1) (b) of the Constitution of South Africa (1996) accords the people the right to water. As a realisation of this right, a White Paper on National Water Policy (1997) was drafted to address water availability and accessibility to the end users. The aim was to provide future solutions to water in a sustainable manner. The White Paper on a National Water Policy (DWAF, 1997:60) outlines the key principles to ensure equity, provision of water in a cost effective manner and focuses on the protection of water reserves. The Minister responsible for Water Affairs (DWA) works at the national level to provide norms and standards. In this regard, the Minister may overrule the existing water services and local government can enforce municipal by-law enforcement. The National Water Act (NWA) (36 of 1998) provides national strategic objectives for the establishment of natural environmental and water resources through dams, rivers, boreholes and water infrastructure in a sustainable manner.

In collaborating for sustainability of water in local government, national and provincial regulatory frameworks work through the DWA. Section 62 of the Water Services Act (WSA) (108 of 1997) confers powers to the Minister of DWAF to hold relevant provincial and local governments accountable as water services institutions. On the same note, Section 139 of the Constitution (1996) allocates powers to provinces to intervene in the matters of local government when that local authority is unable to fulfil its constitutional obligation towards the delivery of basic services. Section 63 of the WSA holds the provinces responsible for monitoring municipalities in matters relating to water provision and to take corrective action whenever it is needed. The neighbourhood clause of the White Paper on National Water Policy (DWA, 1997:18) states that national, provincial and local government has a responsibility to share water through transboundary agreements and treatises. Intergovernmental relations play a valuable role in ensuring the smooth coordination of efforts to ensure that water services are provided in an economic, efficient and effective manner.

Section 41 of the Constitution of the Republic of South Africa (1996) provides for intergovernmental cooperation in sustainable provision of clean, safe and enough drinking water to the people in any locality, province or district. Section 155(6) and

155(7) of the Constitution of the Republic of South Africa (1996) stipulates the constitutional obligation of all three spheres of government to cooperatively provide public services. Local government should operate in terms of legislative and executive authority as prescribed in Schedule 4B and Schedule 5B of the Constitution of the Republic of South Africa (1996). Policy formulation regarding monitoring is driven by the national Department of Cooperative Governance and Traditional Affairs (COGTA) and determines local government to account for the manner in which the monitoring of water service provision is conducted. The following section specifically details the local government policy framework for water service delivery.

3.5 LOCAL GOVERNMENT REGULATIONS ON WATER SERVICE DELIVERY

Since local government is the government that is closest to the people, this sphere of government to be empowered in its endeavours to provide water services to all. The WSA values the contribution of ordinary citizens to eliminating water backlogs and improving the accessibility of water services in South Africa. Overall, the Act was designed to engage provincial and local government as prescribed by Section 156 of the Constitution (1996). Section 3(3) of the WSA mandates municipalities to supply water or enter into an agreement with water service providers as outlined in Section 19 (1) (a) and (b) (i) (South Africa, 1997). Coning and Sherwill (2004:26) state that the primary function of the WSA is to control water accessibility in an economic and efficient manner. Section 19(5) requires a water service authority or water service provider (WSP) to sign a service delivery agreement as empowered by the Local Government: Municipal Systems Act (32 of 2000). Thus, it is the involvement of the people in policy making that gives effect to water rights and needs.

There has recently been a focus on the effectiveness of service delivery. Sometimes this has suffered due to many challenges affecting the efficacy of municipalities (Coning & Sherwill, 2004:26). In addressing these concerns, the government of South Africa privatised some services, such as water, through public-private partnerships where service providers may be contracted in terms of the Local Government: Municipal Finance Management Act (56 of 2003). Since Section 72 of the Local Government: Municipal Systems Act (32 of 2000) states that municipalities

are best informed by their IDPs, the Local Government: Municipal Finance Management Act (56 of 2003) assists municipal managers to communicate effectively to improve the delivery of services like water. In addition, Section 71 of the Local Government: Municipal Systems Act (32 of 2000) further states that in order for service delivery to be cost-effective and distributed efficiently, relevant units should monitor procurement systems timeously.

The ORTDM is providing water to the consumers as regulated by the Water Services Act (108 of 1997). The ORTDM is further tasked with coordinating and providing water to all five local municipalities, including the four covered in this study, namely the King Sabata Dalinyebo, Mhlontlo, Ngquza Hill and Nyandeni local municipalities (Nyandeni Local Municipality, 2017:38). These are municipalities with huge water service backlogs due to the segregationist development model that was used by the apartheid government (OR Tambo District Municipality, 2017:176).

In his State of the Nation Address (SONA) of 2016, President Zuma said that municipalities must engage on implementable programmes that relieve stress and produce a new business models for water infrastructure (SONA, 2016:12). The monitoring of water services should take a robust move towards finding strategic partners, including community members, as a way of creating sustainable management in the provision of water services. De Visser (2009:18) posits that municipalities have failed to create conducive and enabling structures and mechanisms to consult. As a result, communities show their dissatisfaction by protesting in the streets. These public service delivery protests have led to the loss of public property in recent times (Paret, 2015:115). In addition, there is increasing concern about the balance of power between the municipal institutional structures and the communities (Heydenrych & Zaaiman, 2013:173). There is an urgent need for a multiple stakeholder approach to the monitoring of water services provision.

A critical policy prescript for the expansion of the grassroots government, the White Paper on Local Government (1998), seeks to capacitate and sustain municipalities and community participation. Since the dawn of democracy in 1994, local government in South Africa has become the centre for government transformation

(Dassah, 2011:601). The cornerstone of democracy as enshrined in the Bill of Rights in Chapter 2 of the Constitution of South Africa (1996) dictates the dimensions of a development-orientated government, signifying a need to anchor local government in its citizens or communities.

Community engagement in all aspects of the policy process, including policy making, implementation, monitoring or evaluation, is crucial for community development (Govender & Reddy, 2011:66). Ruiters and Matji (2016: 291) claim that the democratic government should enable policies that accommodate all relevant stakeholders. Former South African statesman Thabo Mbeki identified a policy gap between the Constitution (1996) and the social contract. In answer to this gap, the RDP was an effort to mobilise resources and introduce economic policies that improve the efficiency and effectiveness of services to the communities (Nkuna, 2011:627).

There are numerous local government pieces of legislation that promote community participation in the affairs of government, including the Local Government: Municipal Structures Act (117 of 1998). This is a key local government statute that promotes best practices at the grassroots level. In principle, the Local Government: Municipal Structures Act (117 of 1998) details the powers, roles and functions municipalities as required by Section 156(2) of the Constitution of the Republic of South Africa (1996). Also, Section 84 of the Local Government: Municipal Structures Act (117 of 1998) provides for the division of powers and functions between local municipalities and district municipalities in resourcing basic services such as water. Specifically, the district municipalities are responsible for water supply, sewerage management and the disposal of refuse. Such water should be safe and drinkable, and local authorities should in general ensure that there is a safe and clean environment for communities (South Africa, 1998). Local municipalities are therefore given powers to manage the water made available by their district municipalities.

Municipalities are required to establish representative structures to facilitate public participation in matters of local government as required by Section 19 of the Local Government: Municipal Structures Act (117 of 1998). These representative

structures can further serve as forums to determine the needs of the communities. Such structures include ward committees, which have served as a united voice of the public as prescribed in Section 72 of the Local Government: Municipal Structures Act (117 of 1998). Sustainable public participation in local government is promoted through ward committees, IDP processes and budget planning (De Visser, 2009:18). In addition, executive mayors are required to appoint members to serve in mayoral committees by Section 60 of the Local Government: Municipal Structures Act (117 of 1998). These committees can advise and make decisions that champion and facilitate the delivery of water services to communities within the municipality.

The basic tenets of public participation are shown in Figure 3.1. The figure shows that municipalities have to give effect to public participation by creating a positive engagement environment where both the government representatives and the people collectively map the way forward in addressing the needs of the communities. Such a positive environment can produce societies where the people have confidence in their political representatives, thereby reducing incidents of hostilities and violent public service delivery protests.

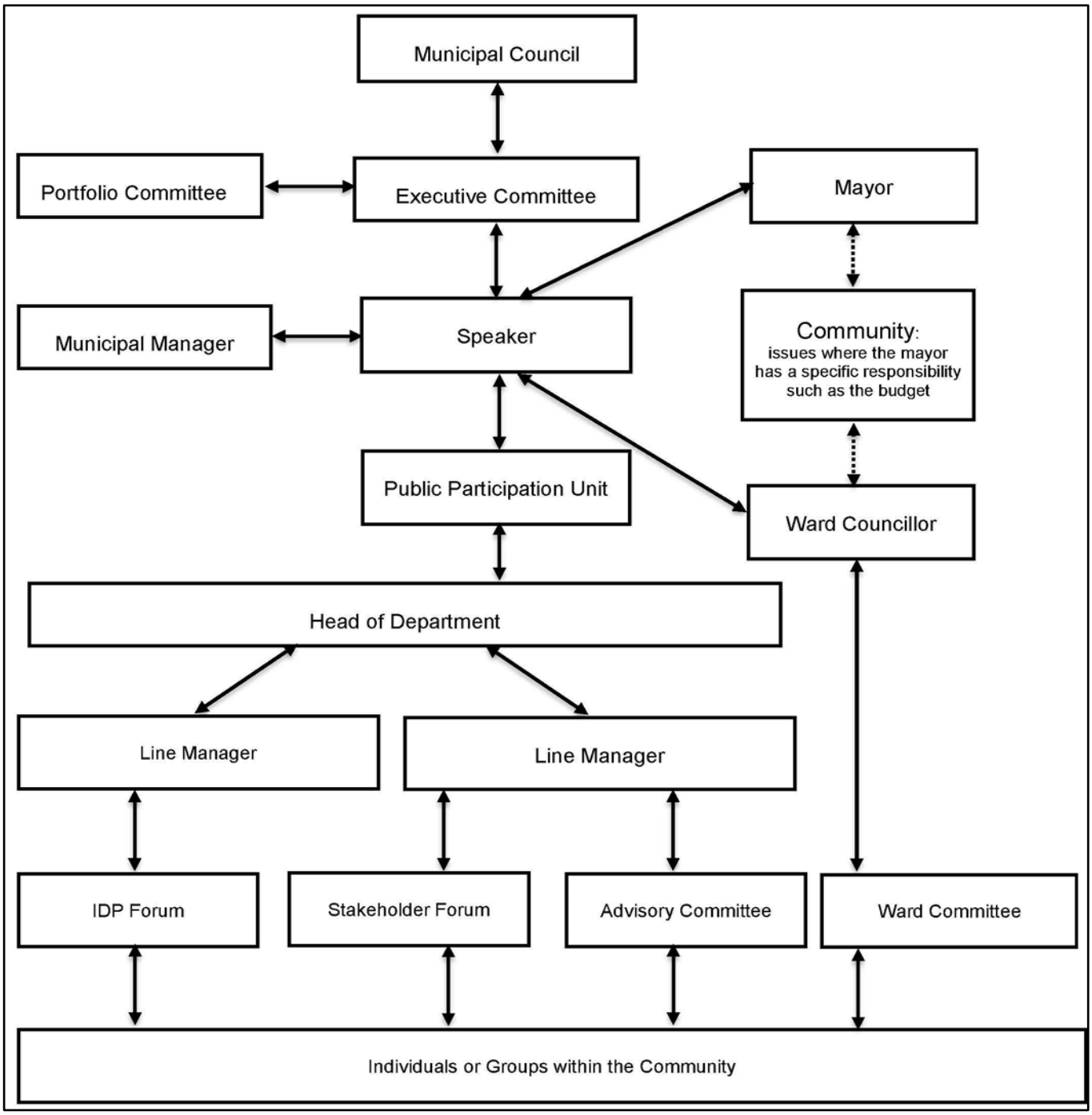

Figure 3.1: National policy framework on public participation

Source: Adapted from the Department of Provincial and Local Government (2007:71)

Section 152(1)(e) of the Constitution of the Republic of South Africa (1996) introduces the requirement of community participation in the affairs of municipalities. Also, Section 16 of the Local Government: Municipal Systems Act (32 of 2000) legally obliges municipalities to ensure that communities also take part in the monitoring and evaluation of the performance of their government (Van Dijk &

Reyneke, 2015:145). For the communities to participate in local affairs, Section 17 of the Local Government: Municipal Systems Act (32 of 2000) requires municipalities to put in place conditions where communities participate in decision making that affects the delivery of services by the government. Section 16(1) of the Local Government: Municipal Systems Act (32 of 2000) notes that transparency is a necessary tool to monitor the performance of representatives and public officials and that it is more attainable when a government is people-driven (Albalate de Sol, 2013:90).

The failure of municipalities to actively engage communities in local matters have inevitably resulted in explosive public service delivery protests in recent times (Reddy, 2016:2-3). In the context of the study, the involvement of communities in the determination of water service needs, the prioritising of water service needs and the subsequent monitoring of the water service delivery programmes in the ORTDM could be best achieved when the people are actively engaged. Section 120 (6) of the Local Government: Municipal Finance Management Act (56 of 2003) acts as a guide to community participation initiatives at the local level. In this regard, Section 76 (b) (i-v) of the Local Government: Municipal Systems Act (32 of 2000) sets out mechanisms that municipalities can use to improve socio-economic circumstances or livelihoods of persons within their area of jurisdiction. According to Section 120 (2) (c) of the Local Government: Municipal Finance Management Act (56 of 2003), municipalities have the power to control and enforce public accountability reporting about their performance. Mgaqelwa (2016:4) mentions that the ORTDM has unpaid water invoices amounting to R76 872 064 (Daily Dispatch, 2016:5).

The minister responsible for the DWAF has threatened to interfere and dissolve the municipal council of the ORTDM as a way of pushing for responsible leadership and people-centred governance (Daily Dispatch, 2016:8). The water arrears have been blamed on the absence of public participation in the governance of the municipalities and service delivery in general (Daily Dispatch, 2016:8). Public participation in the process of municipal budgeting also enhances public service delivery since it ensures transparency in the management of the financial affairs of the municipalities. Similar to the IDP process, the people can help determine the degree of financial commitment that a municipal council can make towards the delivery of pressing

needs such water (Morudu, 2017:3-4). This is particularly important in the context of the study, where a considerably high number of households and communities in the ORTDM still fetch their drinking water from open sources such as rivers and dams.

As the key public participation forum, ward committees should be effectively utilised by municipalities since they bridge the divide between the government and its people, hence enabling public participation in local government. In the context of the study, the use of committees can strengthen public consultation and promote CBM in water service delivery. Ward committees facilitate public input into the policy making, reviewing and evaluation of government service delivery. The study deduces that municipalities are at the centre of government service delivery and should ensure that the grassroots needs of communities are addressed through a bottom-up approach instead of a top-down approach that has little regard for community priorities and preferences.

While water service delivery and public participation have been described above, the following section focuses on the monitoring obligation of local government.

3.6 MONITORING OF LOCAL GOVERNMENT WATER SERVICE DELIVERY

A key milestone that the public sector in South Africa achieved was the promulgation of the White Paper on the Transformation of the Public Service Delivery in 1995, also known as the *Batho Pele* White Paper because it contains the robust principles that seek to build a strong people-centred government (Russel & Bvuma, 2001:245). As one of the *Batho Pele* principles that has become a cornerstone of service delivery in South Africa, Mokgoro (2003:7) argues that transparency is a mechanism that allows customers to hold public officials accountable for the type of services they deliver. In addition, Sections 9 and 10 of the Promotion of Access to Information Act (PAIA) (2 of 2000) promote openness and transparency of the information that is held by the state. In addition, Section 32 (a) of the Constitution (1996) provides that the public has the right to be kept informed about how well all spheres of government are managed. They should be able to collectively monitor the progress with the implementation of the service delivery programmes (South Africa, 1996).

The *Batho Pele* principles cover a wide array of issues within the context of the study, especially those of value for money and access, which are discussed next. In the provision of water services, the people should be given greater value for money, since public services are financed by mainly tax/rate payers' funds (Basset, 2016:289). Therefore, monitoring the quality and accessibility of safe drinking water ensures value for money for the people of the ORTDM. Also, the principle of access should be observed in the provision of water services (Maluka *et al*, 2014:1022). This applies mainly to deep-lying rural areas far away from tapped or safe drinking water (Rodina & Harris, 2016:336–338). These communities have to be provided with access to safe water since they share waterholes with animals and risk disease (Palamulani & Akoth, 2015:8620). Adding to this, the people of the ORDTM should have access to information on water availability or at least updates as to when the piped water will reach their communities (Hlongwane, 2015:290).

In the event of water infrastructure failing or being rationed within a community, proper redress should be provided through the provision of water tanks to ensure that communities still have access to safe drinking water. Overall, the *Batho Pele* principles guide government service delivery in responding to the needs of the people. The ORTDM should prioritise water provision since it is the very basic ingredient for human survival and existence. Water services delivery should be monitored continuously to make sure that policy plans are being executed as articulated. Presently, municipalities and government entities have begun to include monitoring strategies in their own policy frameworks. These have been developed within the confines provided by the GWMES as postulated by the DPME in the Presidency.

According to Pitts (1983:516), monitoring entails keeping track of one's on-going programmes, ensuring that the process consistently continues to take the appropriate remedial steps when necessary. In service delivery monitoring plays an important role in ensuring that services are delivered effectively, ensuring in this case that access to safe drinking water is promoted (Rivett *et al*., 2013:409; Hay *et al*., 2012:440). Although Goldman *et al*. (2012:41) argue that monitoring is the main challenge that local governments face, this is still an evolving practice and more

should be done to smoothen it across the three spheres of government. In managing performance information, the National Treasury developed a framework that supports the government entities with performance monitoring information (National Treasury, 2007:3). This framework was introduced after the identification of gaps in public accountability and transparency. It provides for the timely correction of variances in service delivery programmes (National Treasury 2007:16). Moreover, the said gaps in accountability affect public service delivery efficacy, giving rise to the adoption of monitoring practices.

The DWAF has been involved in initiatives that support participatory approaches in water resources as prescribed in National Water Act (36 of 1998). The National Water Resource Strategy 1 (NWRS1) of 2004 acts as the compass focussed on local government water service delivery. The NWRS1 presents an opportunity to create platforms for cooperation and makes conscious decisions on local water management. Broadly, the NWRS1 builds a firm foundation for the multi-stakeholder approach to the managing and monitoring of water services delivery (Van Koppen & Schreiner, 2016:6). Walter *et al*. (2011:359) argue that water provision is an issue of "fundamental human rights" magnitude. The delivery of water services should be carefully planned to ensure that it does not become unaffordable for the ordinary citizen, which supports the delivery of free basic services. Also, Chapter 13 of NRWS1 confers powers to the Minister of the DWAF to strengthen monitoring and enhance the information system for the water sector as outlined in Section 68 of the WSA.

The planning and monitoring of water resources is set as a national function of the DWAF. The National Water Resource Strategy 2 (NWRS2) of 2013 supports the initiative to eliminate poverty and reduce inequalities (NPC, 2012). Pedregal *et al*. (2015:4) also argue that the provision of water is an effective tool to fight poverty and inequality. The CBM is similar to the whole idea of managing performance as illustrated in Figure 3.2. The figure shows a relationship between monitoring and the Framework for Managing Programme Performance Information (National Treasury, 2007). Changes in government programmes at national, provincial and local spheres

are monitored according to a set of indicators. Greater citizen effort is needed to ensure that data are available to achieve local developmental goals.

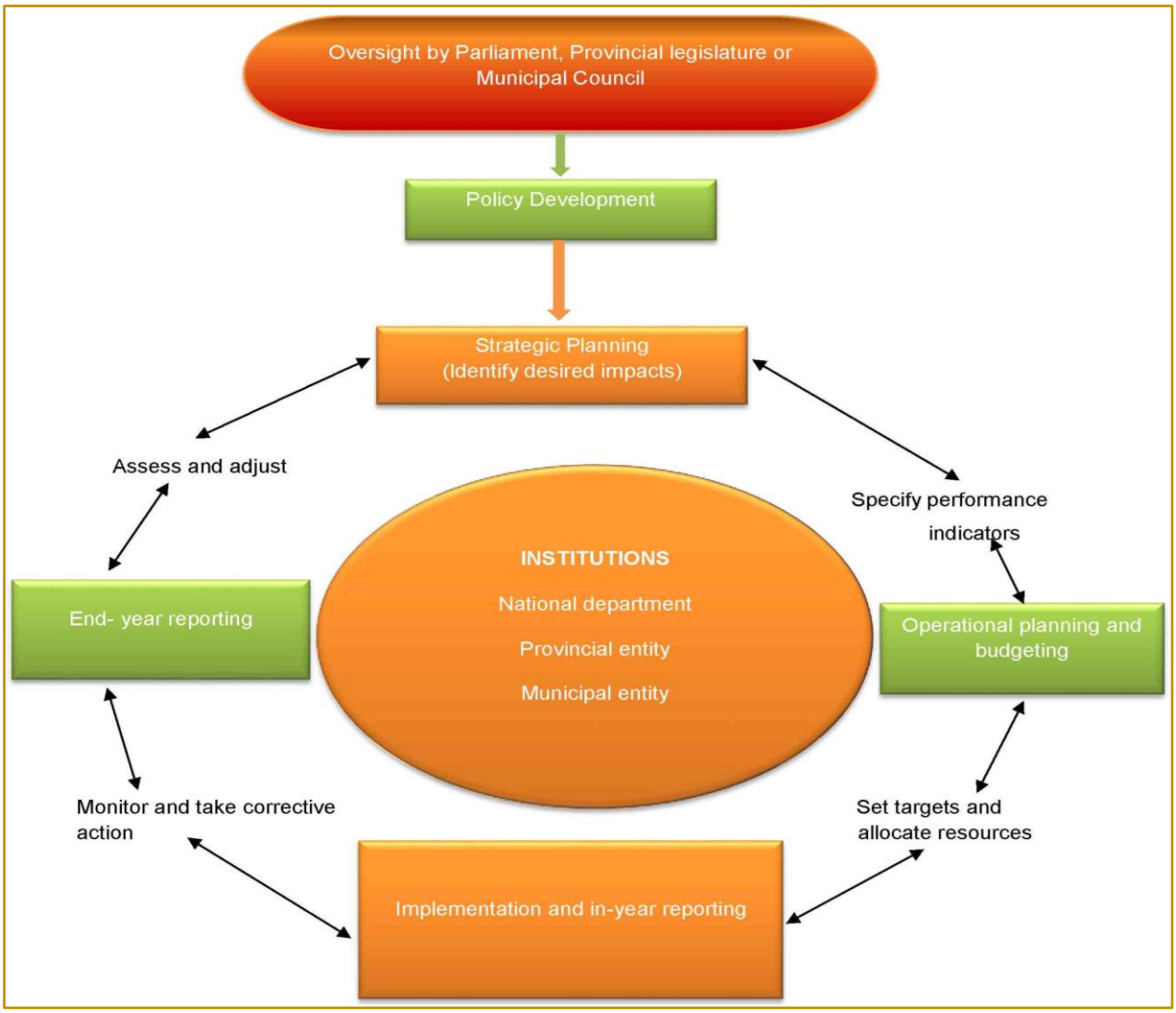

Figure 3.2: Planning, budgeting and reporting cycle

Source: Adapted from the Department of Treasury (2007).

In line with the NWRS1 and NWRS2, municipalities such as the ORTDM have the mandate to ensure that all communities within their jurisdiction have access to water. The ORTDM uses its water service delivery plans, an essential component of the IDP, to plan and determine the water needs of all its five local municipalities. This water service delivery plan includes input from communities through IDP consultation and review process. However, at present community involvement in these processes is lacking. The municipality uses these predetermined water needs and expectations,

its laid-out plan and budget allocations to periodically monitor the achievement of these water delivery targets. The study argues that an essential part of CBM is to involve communities in all processes, including water service monitoring.

3.7 CONCLUSION

Chapter 3 addressed the second research objective, which sought to “analyse the legislative and policy frameworks which guide community participation as well as CBM systems in South Africa”. The crucial role that legal and regulatory frameworks play in shaping the delivery of services should not be discounted. This chapter explored legal and policy frameworks that support public participation in the monitoring of services, water service delivery in the case of ORTDM. In summary, this chapter reviewed the key aspects of public participation and monitoring in local government especially in the case of water services, but what is not clear is the impact of communities participating in the affairs of local government. While South Africa has a rich pool of statutes and policies governing water service delivery, there still is a gap that needs to be closed towards ensuring that all citizens, regardless of their geographic location, has access to the same quality of water. This is in line with SDG number six, which calls for everyone to have access to water and sanitation.

The next chapter analyses international examples to establish international best practices in promoting public participation in the monitoring of government service delivery programmes.

CHAPTER FOUR
INTERNATIONAL BEST PRACTICE IN COMMUNITY-BASED MONITORING

4.1 INTRODUCTION

South Africa may benefit from considering international best practice for CBM. Looking at best practice may help the government ensure that the communities have a say in review and revision, as well as tracking and tracing of programmes. This has and can affect the prospect of the government advancing the living standard (World Bank, 2011:7). According to Moynihan *et al.* (2012:28), the norm is that community participation leads to a more people-centred service delivery culture. This can also improve citizen-government trust (Moynihan *et al*., 2013:28).

The study argues that ensuring CBM in South African municipalities would significantly improve service delivery and increase the access of local communities to the basic services required for daily life. This is further supported by local government legislation such as the Local Government: Municipal Systems Act (32 of 2000) which, as put by Rogerson (2011:151), was enacted to, "provide for mechanisms and processes that are necessary to enable municipalities to move progressively towards the social and economic upliftment of local communities" (South Africa, 2000:1). Having the communities and other relevant stakeholders take part in the delivery of services strengthens the practice of developmental local government in South Africa (Van Donk *et al*., 2008:511).

The previous chapter of this thesis outlined the legislative and the regulative framework for CBM, including a conceptualisation of the important practice of community participation. Consequently, this chapter takes a look at key international examples of CBM practices aimed at helping in the development of a CBM framework for water service delivery by South African local municipalities. The study explores examples of CBM from three countries, namely India (CBM in the protection of vegetation), Canada (in the protection of marine resources) and the Philippines (in the protection of sustainable forest management). The study chose the three examples due to the unique nature of CBM practices in these countries, all which

have community-empowering initiatives that not only conserve the surrounding environment, but also develop local communities. While none of the examples are specific to water service delivery, lessons may be gleaned from analysing the processes and persons involved in ensuring CBM as applied to the various government services. In discussing these international examples on CBM, the main aim of this chapter is to develop an understanding of the various divergent approaches employed in the sustainable involvement of the respective citizens or communities in the selected countries. This is done in the context of local government monitoring of community development and poverty alleviation initiatives at the grassroots level, thus deriving lessons for the local practice of CBM.

4.2 COMMUNITY-BASED MONITORING IN THE PHILIPPINES

The Republic of the Philippines is an island nation in far-east Asia. It has one of the most renowned CBM initiatives in the world (Long *et al*., 2013:261). The CBM initiatives are famous for serving as a key poverty alleviation strategy. This is particularly vital given that the Philippines is considered a poor developing nation (Long *et al*., 2013:264). The model of CBM in the Philippines places the sole responsibility of sustainable forest management in the hands of community members, with government playing an oversight role. Such practices are similar to South Africa where water services delivery has significant input from local communities, although local municipalities deliver it.

4.2.1 Structure and process of community-based monitoring in the Philippines

According to Wallace (1993:20), the Philippines in 1995 officially adopted CBM as its strategy for sustainable forest management in recognition of the urgent need for effective action to significantly minimise negative upstream to downstream and on-site impacts of forest management externalities. The strategy was proclaimed by the Department of Environment and Natural Resources as a people-allied method to sustainably manage forests and develop communities (Sarker & Rodgrigo, 2014:9) since most of communities living around these forests are categorised as being poor. There has been an improved forest management environment for over two decades since the said adoption of CBM (Campo *et al.,* 2009:3614).

The Philippine CBM strategy recognises the ancestral claims of indigenous peoples to public forests and forestlands and other natural resource assets, as well as their right to peaceably occupy, develop, manage, protect and also benefit from forestlands and resources (Rola, 2004:180). This gives the local people a mandate to effectively manage forests as their property since the forests are a source of shared pride and livelihood through sales of wood and other products and by-products. In the Philippines, CBM functions through the forging of solid and viable partnerships between and among community-based organisations, the national government, local government units, NGOs and other private and public groups (Buscher & Dressler, 2010:374). These stakeholders are active in the negotiation of resource allocation, coordination of resource utilisation activities, and the facilitation of responsibility, benefits and costs sharing of sustainable forest management (Gregorio & Herbohn, 2015:177). It is imperative that various stakeholders engage in the collective efforts to create and sustain workable CBM policies. Furthermore, in identifying the relevant stakeholders, the discussion emphasises communities, organisations working within communities, private interest groups and multiple levels (or spheres) of government.

The system has an all-stakeholder approach to ensure that forests are managed in a manner that is sustainable for all possible stakeholders, but it is mainly aimed at poverty alleviation and the development of the local community. Spanish colonisers took state control of forests and other natural resources without the input of local citizens. They consolidated forest control as a way of maximising their gains and remittances to the principals back in Spain (Guiang *et al*., 2001:18). In other words, the bureaucratic control of resources and LED is linked to a legacy of colonial practices where authority was centralised (Legaspi, 2001:132).

The current CBM strategy has largely benefited from the initial inroads into community participation in reforestation and forest protection activities in the 1970s, which pointed to a community-owned management model (Larsen, 2000:60). CBM gradually developed with an overall goal of ensuring that local communities take maximum benefit from actively managing and running their local forests. Specifically, CBM stemmed from the Integrated Social Forestry Programme of 1982 (Puhin *et al*.,

2005:95). The initial concept and understanding of the “social forestry” or “community forestry” programme was largely focused on efforts to promote family reforestation, community-owned tree farms, smallholder plantations, firewood and fruit production and harvesting, forestry systems and alternative livelihood systems. Overall, this programme was aimed at improving the livelihoods of the local communities and people. These are Filipino communities whose history was marred by colonial dispossession where there were no LED initiatives that could help mitigate poverty and engage the community in developing or improving their standards of living (Gregorio *at al*. 2015:177-178).

CBM was introduced in the Philippines due to an urgent need to empower and involve communities in forest management since state monopoly in the management of forestry was failing (Guiang *et al*., 2001:2). According to Guiang *et al.* (2001:2), there is a strong belief that responsiveness, effectiveness and efficiency are optimally obtained when decisions, programmes and projects are done by those who know them best, meaning the community itself. This can ensure that LED initiatives are tailor-made to suit the unique needs of specific sections of the society. CBM brought about a system where LED initiatives are shaped around the people as chief benefactors of forestry instead of the state bureaucracy managing things using a generalised centralised system (Guiang *et al*., 2001:2).

In the Philippines, CBM places the obligation of forest management entirely in the hands of local communities and local government entities in a decentralised manner. Such a kind of devolution process is driven by the failure of conventional state-centred management models to ensure sustainable resource management (Pulhin *et al*., 2005:89). According to Enters and Anderson (2000:170), in the context of LED initiatives, this failure is attributed to a number of factors, including the lack of coherence between initiatives and local livelihood strategies and the exclusion of local people in the design, planning, implementation, and monitoring of locally relevant socio-economic advancement projects (Sugimote *et al*., 2014:185).

Centralised public service delivery or LED initiatives have numerous limitations, for instance limited access to deep-lying rural communities, inability to sustain present

development projects at the local level, limited adaptability to local circumstances, and the creation of some dependency (Korten, 1981:53). In other words, LED initiatives that are not community-driven and owned have tended to become “spoon-feeding” strategies that can merely maintain poverty without eradicating it (Mansuri & Rao, 2003:32). Therefore CBM seeks to empower the local people and wean them from any form of dependence on state-funded assistance (McKay & Johnson, 2017:2).

The loss of forests negatively affects the stability of watersheds and water supply for domestic and irrigation needs, the security of communities from flash floods, and pests and related diseases. This further affects the productivity of coastal areas and mangrove swamps and the protection and maintenance of roads, bridges, dams and ports (Viles & Spencer, 2014:3). In addition, centralised forest management has led to a sharp rise in forest degradation and deforestation. Such deforestation or poor forest management further threatens the continued existence of the Philippines’ more than 13 000 plant species (Lasco & Pulhin, 2006:51). These are plant species that have for years been part and parcel of Filipino heritage (Novellino, 2002:354).

The negligence of the Philippine government when it comes to including communities in the management of local forests caused a shortage of timber products (Korten, 2008:53). Another challenge was massive forest degradation, which was a threat to the livelihoods of local communities (Viles & Spencer, 2014:291). Thus, the act of bringing government and the local communities together made possible a shared responsibility for forest sustainability. A fraction of the proceeds from the trade in timber and other forest products is now ploughed back into the forests (Danielsen *et al*., 2009:40). Thus, having the local communities on board has had the effect of significantly cushioning the forests against indiscriminate destruction, and in the process, concurrently developing a community-wide natural resource conservation culture. Such a system would ensure that communities appreciate the value of forests, collectively work towards their conservation and do so in a more transparent and meticulous manner than when done by the government alone.

In practical terms, the CBM evolution in the Philippines created a gradual shift from the original “protect, prohibit and punish” model of forest management to a “protect, participate and profit” model that is aimed at improving local livelihoods (Larsen, 2000:60). Local communities actively take part in empowering CBM projects (Kouril *et al*., 2015:152). This practice ensures that they get a reward for participating. According to Guiang and Harker (1998:16), the new paradigm has had many advantages, including long-term renewable forest co-production agreements covering 25 years, resource use rights over timber and non-timber products. The said new practice also prioritises mineral rights and rights for local community members to enter into joint ventures with public or private entities for purposes of development and management of forestlands. Such forests will be under the communities’ tenure coupled with rights to issue individual property rights within the communal tenure and rights inclined to the transfer claims to next of kin or other members of the community.

The CBM discussed means that Filipinos have more discretion when it comes to the ownership of their forests, enabling them to have longer term plans. Therefore, CBM has made forests a source of livelihood for generations of Filipinos. Further to this, there are many initiatives that aim to strengthen how local communities own, monitor and benefit from local forests under their jurisdiction (Pulhin & Dressler, 2009:206–207). Initiatives such as joint forestland use planning exercises, community mapping and resource valuation to enhance local interests and participation of local communities in the pursuit of CBM. There is information sharing and continued cooperation among communities in maximising the co-benefit of ownership and management (Croke, 2012:11). The implementation of CBM also helps curb graft and corruption in forest regulations and ensures transparency in the allocation process, thereby improving the living standards of Filipinos (Viles & Spencer, 2014:292).

There are a number of benefits to community participation as it took shape in the Filipino CBM programme. Such benefits include the creation of employment or part-time paid jobs; active participation in various forest management activities; getting various kinds of subsidies or grants for starting alternative livelihood systems from

the government; being awarded contracts for reforestation and rehabilitation activities; increased socio-economic and rural infrastructure; health services, access to borrowing and credit systems since CBM programme membership itself serves as collateral security for securing short to medium terms loans (Larsen, 2000:60); getting technical assistance from various stakeholders; being awarded performance-related accolades and recognition and opportunities to help fellow community-based organisations with assistance from NGOs (Villanueva & Bousquet, 2009:3609). In further substantiating, Villanueva and Bousquet (2009:3609) expound that the NGOs are civic organisations engaged in numerous capacity-building initiatives such as the farmer-to-farmer forest management extension programmes that promote the adoption of various sustainable forestry technologies nationwide.

Therefore, it is encouraging for local communities to be part of this CBM programme since it also generates an income and improves the quality of their lives. Training and development programmes are meant to address the skills scarcity and improve the quality of produce, which directly implies more proceeds for local communities. Considering the poverty in the Philippines, placing the responsibility of forest management and community income generation from forest initiatives on the community marks a significant move towards sustainably alleviating and eradicating poverty.

4.2.2 The process of community-based monitoring in the Philippines

The CBM programme and its concomitant processes in the Philippines fall into five stages as discussed below.

4.2.2.1 Communication channels

Since CBM is based on the community's ownership of empowering socio-economic development initiatives, the first stage of the process is that of gathering all involved community members through community meetings. In the Philippines, this happens through either self-initiated or locally assisted sites where community meetings are the primary means of direct communication between organisational leaders and community members, as well as among community members. Both horizontal and verbal communication is needed and the sourcing of information is critical for the

functioning of the CBM programme. The meetings normally serve as an essential stage for planning, decision making and information dissemination. Meetings also serve the purpose of consultation, problem solving and conflict resolution (Roaf, 2005:3). At self-initiated sites, local community meetings are institutionalised, with an elder or a council of elders presiding over them and they are held in a particular location (Gofman, 2010:12). Particular to note is that community meetings further act as a marketing strategy to sell ideas to new community members who could possibly join the CBM initiatives (World Vision Advocacy Forum, 2012:10).

4.2.2.2 Community mapping

After community meetings there is a process of community mapping. Community mapping in CBM is a project-introduced activity with the objective of not only accurate data gathering through community participation, but also community empowerment for community members (Roaf, 2005:3). Mapping ensures that a CBM programme recruits or sells its ideas to valuable individuals who can contribute to the cause. Mapping also seeks to exploit any available potential for expansion of the programme. The mapping of a local community has numerous advantages, including enabling the community to exercise authority over the facilitator and other outsiders through positive engagement about issues in a community-based manner (Paneque-Galvez *et al*., 2014:1485).

Community mapping workshops in CBM also ensure that members gain ownership of quality information about issues and opportunities generated in the CBM programme. These workshops also serve to engage outsiders or external stakeholders in a continuous learning process that results in greater awareness of underlying community issues and concerns. These external stakeholders might be NGOs who fund the CBM programme who can benefit from gaining insight into the community's plight and status (Buscher & Dressler, 2010:372). Thereafter, external stakeholders can help facilitate the sourcing of more funding for the programme (MEASURE Evaluation, 2014:3).

4.2.2.3 Community participation

The actual planning of the CBM programme activities or community development projects happens at this stage. Such planning takes the shape of land use planning activities to provide what Paz (1999:29) terms the structure for gathering empirical and secondary data on the physical, social, economic and political attributes of forestlands. This then serves as the information base of local governments' municipal plans for the upland or forested areas. The process involves municipal officials, members of the CBM projects, NGOs and other relevant stakeholders and becomes a dialogue for setting the CBM programme priorities and goals (Villanueva & Bousquet, 2009:3609).

In addition to the above, the planning phase provides for team building between the three groups, from which partnerships will later emerge for the entire CBM programme. More importantly, it is an ideal occasion for the determination of community needs for resource allocation purposes (World Bank, 2013:15). After planning has been done, the designed plans are implemented and continuously improved towards maximising the benefits and empowering the local communities. Although the government is represented in these planning sessions, it has an overseer role, since CBM seeks to take locally relevant interventions to fight poverty away from the overburdened government responsibility in the Philippines (Reyes & Due, 2009:9).

4.2.2.4 Indicators for community development

The evaluation of the community development project or CBM programme activities happens in this stage. Here, the community members undertake a thorough review of their projects. Gaps and loopholes are identified and addressed to ensure that all those who are part of the project will achieve maximum benefit from it. This stage also features the timely correction of variances and the implementation of remedial action (Pacha, 2015:20). Since it is a community-owned project, evaluation is spearheaded by community members and the adopted modifications are done to benefit the community (Fry, 2011:185). For example, evaluation may lead to the identification of the need to train and develop more staff or open fresh forest plantations. Once more, all relevant stakeholders can provide help for the process to

succeed and offer advice as and when required (Buscher & Dressler, 2010:372). Also, a review process provides the opportunity and space for social negotiations on specific crucial resource allocation issues, particularly in the area of local resource utilisation involving the determination of funding and expansion moves (Blanke & Walzer: 2013:548). The results of this stage and process can determine the kinds of resolutions that can be passed, be it investing in skills or the expansion of the community-based project (Duthy & Bolo-Duthy, 2003:13).

4.2.2.5 Capacity building and training

As a pro-poor initiative, CBM strives to ensure that it has a value-addition and poverty eradication effect. This can be attained when the participants of the CBM are skilled and competent. Capacity building through training and development seeks to build capacity in the CBM programme. In the Philippines, the skilling of the community members taking part in CBM becomes an instrumental feature of community organising and capacity building strategies of NGOs and professionals assisting in CBM (Buscher & Dressler, 2010:375). In specific terms, training and development is undertaken to equip the people in agroforestry with farm planning, data gathering for community mapping or land use planning, as well as specific forest management skills like nursery formation and tree marking (Guiang *et al*., 2001:151).

In the process of attending training and applying the technologies taught, the communities develop farmer-trainers who later serve as the resource persons for CBM programmes (Pulhin & Ramirez, 2016:3). The Filipino government has since established thriving training centres where agroforestry technologies and projects can also be showcased (Borlagdan & Paz, 1996:59). Civic groups conduct training on organisational skills such as team building, problem identification and solving, priority setting and conflict resolution, which help in other important areas of CBM activities (Sabogal, 2015:2). At the completion of training, the process cycle for CBM is repeated with the aim of continuously improving the project (Bliss *et al*., 2008:149).

The CBM example discussed in this section shows how social forestry has led to community development and environmental conservation in the Philippines. The local communities in the Philippines have managed to build local knowledge and CBM practices that have led to the conservation of valuable species of forestry. The CBM practices discussed have had an effect of lessening the burden on the central government to manage forests by forming partnerships with communities and placing the ownership for managing and developing forests and communities in their own hands. With reference to the study, there are various practices that the ORTDM can take from the Philippines. Among these are the decentralisation of water service management and the profiling of communities to best design a working CBM model for each of the communities.

Canada is another example where the implementation of CBM has led to sustainable environmental and human development, and similar to the discussed Philippines example, the country has various practices from which the ORTDM can learn. The next section discusses CBM in Canada.

4.3 COMMUNITY-BASED MONITORING IN CANADA

Canada is the citadel of marine and coastal life and the continued preservation of these environments is crucial (Garda *et al.,* 2017:2). The government in Canada has adopted a CBM paradigm in the conservation and preservation of marine and coastal life for reasons very similar to the Philippines. The government recognised the importance of acknowledging local communities in close supervision of one of the valuable environments in the world (Liu *et al.*, 2014:3). Conrad and Hilchey (2011:297) state that the adoption of the Aarhus Convention in June 1998 by the United Nations Economic Commission for Europe mandated the participation of the public in environmental decision making and access to justice in environmental matters. Canada is one of the signatories of this convention, which is regarded as a community-based bottom-up strategy to engage local communities in the management and monitoring of the ecosystem (Judson & Hall, 2006: 385).

In Canada, CBM has been conceptualised as, “a process where concerned citizens, government agencies, industry, academia, civic organisations, community groups

and local institutions collaborate to monitor, track and respond to issues of common community concern" (Vos, 2015:8). In addition, Vos (2015:8) further notes that it is clear from the definition that the Canadian CBM brings the relevant stakeholders on board. It is therefore a community-based all-stakeholder approach, which improves project funding (Johnson *et al*., 2015:7). For example, the role of academia is to conduct research and continuously provide input into the CBM model on new ways to adapt to climate change and changing patterns in the monitoring of the local environment. Civic organisations take part by lobbying the Canadian government to empower and provide local communities with resources for CBM, while the industry participates by availing funds for implementing CBM activities (Vos, 2015:8). Kearney *et al*. (2007:88) write that in Canada CBM is based on a governance paradigm that differs from the dominant paradigm or mode of thinking of government agencies, which is traditionally bureaucratic in nature. This is because it seeks to find ways of managing the environment sustainably by equipping communities as a source of information that can be used for adaption and sometimes developing the local economy.

4.3.1 Structure of the Canadian community-based monitoring model

The Canadian CBM model was adopted not without its share of challenges (Kanu *et al*., 2016:8). A key challenge for coastal communities is that they fall under various regional and local governments that hold the resources that local communities rely on for their social, cultural and economic well-being. Such resources vary from fish and minerals to coastal lands and beaches. These often fall under various jurisdictions, which poses a challenge with regard to how much benefit the local communities can gain from their participation (Kearney *et al*., 2007:89). Due to the existence of local Canadian by-laws and regulations giving effect to local sovereignty, CBM has become the only hope for local community-owned management and monitoring of ecological regions for local benefit (Sherstone, 2007:16). As mentioned above, CBM gains its strength from its design in the Canadian context. The model has three main points of strength, discussed below.

Firstly, according to Whitelaw *et al.* (2003:411), CBM involves multiple stakeholders and is an important tool for achieving integrated management, moving beyond the

limitations of particular sectorial interests and focusing on single species and their habitats. Regardless of how the local government's practice and value for community participation in LED, CBM makes local development uniform since CBM practices cut across local laws and regulations (Knopp *et al*., 2013:10). Also, by sharing power with various stakeholders and by stakeholders internally sharing power among themselves, the formerly warring sectors can achieve more progress and development together amicably. In other words, a united CBM stakeholder group can produce better outcomes or benefits than individual efforts and selfish competition among development partners (Riddell, 2014:4).

Secondly, the CBM model in Canada requires a high level of accountability with frequent and transparent accounting by senior regulators to ensure that there is efficiency in these CBM activities (Gaventa & Barrett, 2010:42). The stakeholders, such as civil society organisations, therefore account to their respective local communities. As a pillar that anchors and promotes open and transparent local government, CBM in Canada can be considered as going beyond a democratisation and opening of government. Thirdly, CBM in the Canadian context reflects a partnership in which communities may play the lead role in respect of good governance. They can be more effective than in government-led activities. In simple terms, this is directly comparable to the 'subsidiarity' principle (Kearney *et al*., 2007:89). For example, coastal communities may be more successful than government at designing effective harvest regulations for local fisheries, because they understand what will work in a local situation (Carvalho *et al*., 2009:120; Ecological Monitoring and Assessment Network, 2003:17). In summary, CBM in Canada gives local communities the opportunity to own their local development and use these for LED.

Expanding further, the Canadian CBM model aims to ensure that there is stability in the environmental management sphere, including the preservation of ecological zones, biosphere and the arctic ice sheet (Conrad & Daoust, 2008:358). This locally designed model of community-based capacity building has numerous advantages. These advantages include that CBM can sustainably enhance community capacity and social capital; assist communities in establishing a desired vision for their

community. Furthermore, it leads to more inclusive decision-making processes for communities, development of extended social networks, provision of data related to the local environment to supplement what is sourced from external experts. CBM further enables communities to respond to environmental change through adaptive management, creating a sense of empowerment in the community and advancing the concept and practice of sustainable development (Canadian Council of Ministry of the Environment, 2006:3).

Therefore, apart from LED, CBM offers sustainable ways of dealing with *inter alia* climate change (Pilon *et al.,* 1996:161). The various advantages of the Canadian CBM model shows that coastal and marine sites, which have been threatened by environmental degradation and climate change, have produced communities that can assist in shaping activities to establish a safe and liveable society. Above all, the Canadian model has a mix of social benefits, ranging from increased empowerment and control over resource management to building social capital (Dubois, 2006:24). Social capital refers to the institutions, relationships, and norms that shape the social interactions in a society (Taylor & Goodrich, 2011:1). According to Dubois (2006:24), social capital is the combination of skill sets, common values, respect, and trust within a community that allow for cooperation in the pursuit of common societal development goals. Social capital is therefore what any community needs to gain upward mobility and development, since it is the tool that enables the community to cope with various risks and uncertainties. Increased social capital improves the community capacity to deal with challenges associated with poverty, environmental degradation, harsh weather patterns brought by for example global warming, thereby achieving community sustainability (Barnes-Mauthe *et al.,* 2015:284).

CBM as shown in preceding arguments, has the effect of building trust between the citizens and their government. There is a great need for this in the developing world where the citizens should be further empowered and entrusted with the management and monitoring of services delivery related to for instance water and other public amenities (Sigman, 2014:13). In Canada, CBM also generates locally relevant monitoring information by allowing the community to explore issues important to them (Sigman, 2014:3). The study argues that in doing so, it promotes a bottom-up

approach to community development where it is the community that determines its priorities and models of development as opposed to a top-down approach where the public officials offer to the people what they perceive to be the best mix of developmental strategies.

CBM seeks to promote the engagement of community members in the debate and practice of shaping the future, hence the need to infuse modern methods of monitoring and managing with indigenous knowledge systems. A collaborative CBM model involves both scientific researchers and residents, including traditional knowledge holders, commonly referred to as 'knowledge co-production' (Berkes *et al*., 2011:50). Dubois (2006:24) regards the Canadian CBM model as having the effect of engaging communities and scientists and providing relevant and useful information for LED. The Canadian practices facilitate the inclusion of both local knowledge and scientific data in a way that benefits community and citizen participation in CBM (Dubois, 2006:24). Furthermore, collaborative processes should result in greater decision-making powers for participating communities, moving them from an advisory capacity to inclusive governance in a participatory and citizen-empowered democracy (Wang *et al*., 2015:4).

There are various activities that make up the Canadian CBM model as presented in the section that follows. Community monitoring activities include different aspects of the ecosystem such as ecosystem composition, including indicator species or species at risk of extinction or endangerment; ecosystem structure, covering an in-depth biodiversity analysis; and species and analysis predator-prey relations. CBM also entails various processes such as linking species with environment and nutrient cycling monitoring. The final part of the Canadian CBM model is that the local community periodically undertakes an evaluation and control activity to assess whether community-owned ecological or ecosystem management initiatives are headed in the right direction. In the event of a CBM model and its associated activities showing signs of going off-course, corrective measures are taken in time (Danielsen *et al*., 2010: 1167). The Canadian CBM model has been praised for its involvement of community participants in each and every stage of the monitoring

process, from defining the problem through communicating the results and taking action (Conrad & Hilchey, 2011:278).

It is clear that the CBM model in Canada focuses on constant and consistent monitoring and evaluation of local ecosystems, with the explicit identification of challenges and the design of various courses of action. In other words, the monitoring of local biospheres is done, owned and continuously developed by the local community. The citizens in communities with CBM tend to be more engaged in local issues, to participate more in community development, and to have more influence on policy-makers. The members of local communities have a say in making locally-relevant policies, thereby making development for the community, with the community (Conrad & Hilchey, 2011:278). In Canada CBM has been shown to encourage more sustainable local communities (Moyer *et al*. 2008:648). In addition, CBM is beneficial to government agencies as it offers a cost-effective alternative to government employee monitoring. The sections that follows takes a look at the character of the Canadian CBM model.

4.3.2 Community mapping for monitoring

CBM in Canada is dependent on community mapping, which is a practice where the needs and contributions of a particular community help to champion its development. Key objectives of community mapping include assessing community readiness and concerns, identifying existing groups and activities, establishing trust between the state and local communities, conducting consultation and outreach activities and creating an inventory of existing monitoring programmes (Dubois, 2006:30). Community mapping has four key activities that define its success, namely creating a foundation for transparency and accountability, community mapping of management structures, the establishment of partnerships for community data management plans and rights-based visioning (Canadian Community Monitoring Network, 2014:12). The study now discussed the four key activities of community mapping.

4.3.2.1 Creating a foundation for transparency and accountability

Creating a friendly environment for a transparent and accountable CBM activity is a key factor for the success of such an activity. The study values the need for a due

process of reconnaissance aimed at building a concrete foundation for CBM to thrive. Such a process leads to the creation of a transparent CBM model, mainly because it identifies all stakeholders, making them part of the CBM activity. Pinkerton (2009:253) writes that this activity entails the identification of groups, government agencies and other networks established in local communities, either directly or indirectly influencing environmental planning, management, assessment, monitoring and reporting. The idea is to become familiar with the local community and groups, to initiate partnership building and to commence with the governance and institutional analysis. As discussed, this is the ground-breaking stage and it marks the beginning of another vital process of community mapping, which is critical for the smooth implementation of CBM activities.

4.3.2.2 Community mapping of management structures

The second activity takes reconnaissance one step further by additionally identifying and confirming the primary players with respect to environmental monitoring, land use and decision-making. Such vital information helps in identifying local community champions who can lead the CBM activities (Parlee, 1997:27). A situational analysis aims to assess resources and possible strategies that can enable a given community to take part in a CBM activity. This activity also seeks to pin-point the structure of leadership in a community as a starting point for finding active members of the society who can be leaders of any emerging CBM activity (Aceves-Bueno *et al*., 2015:495).

4.3.2.3 Establishment of partnerships for community data management plans

The third activity seeks to further expand on the profiling of a community. It tests the readiness of a community to actively participate in CBM activities (Dubois, 2006:29). During this process, consultation should cover as many communities as possible, seeking individuals and groups that may be interested in monitoring, whether directly involved in environmental matters or not. The process of consultation also involves the creation of common goals for data management and monitoring on the conservation or preservation of coastal environment. The study further argues that during this stage, the members of the community can help in designing its plans and corresponding areas for monitoring of data. Communities further help with the design

of community data management plans by establishing benchmarks against which the performance of the coastal environment management initiatives will be measured.

4.3.2.4 Rights-based visioning

The final activity in the profiling of communities details the process of establishing an image of the desired future and then to identify barriers to and opportunities for realising that vision. Such visioning is based on the rights of the community to take part in developmental programme in their locality. In doing so, there is a great need for the community to be aware of the challenges and potential for success in the CBM activities. In other words, it involves a strengths, weaknesses, opportunities and threats (SWOT) analysis of the process. As a final stage, visioning assists in the determining of the kinds of CBM activities in which any particular community can engage (Spellerberg, 2005:269). At the conclusion of this activity, there is clear vision and direction so that the relevant CBM activities can be sustained and others can be modified or phased out.

According to Craig *et al*. (2016:3), the implementation of this model for community mapping requires a number of factors. These factors include a solid understanding of community dynamics and management structures; active participation by government agencies and NGOs with respect to natural ecosystem monitoring and conservation; the enhancement of the capacity of the community to carry out monitoring; and functional communication links between the ecosystem monitoring practitioners, government agencies, decision makers, and the community. It therefore requires an appreciation of the influence of globalisation and the influence of multiple stakeholders in community development (Stepenuck & Green, 2015:2).

4.3.3 Process flow of community-based monitoring in Canada

The CBM process flow of the Canadian model is outlined by Conrad and Hilchey (2011:282), who structure it as a four-step chronological process. These are the key phases that the CBM process goes through as discussed below.

4.3.3.1 Step 1: Identification of stakeholders

The Canadian CBM process values the need to include all relevant stakeholders in the process of monitoring and managing community development programmes (Johnson *et al*., 2015:3). These various stakeholders include community members, NGOs, civic and charity organisations, international development partners and CBM experts. As a crucial plan of the CBM model these stakeholders are responsible for numerous activities, including governance analysis, consultation and outreach, identification of champions in communities, partnership development and selection of working organisational structure. The identification of stakeholders sets the foundation of the CBM process since this step ensures that the communities have a stock of the experts and partners at its disposal for utilisation in the development of the community (Pratihast *et al*., 2013:93). For Moynihan *et al*. (2012:29), stakeholder identification is a critical task to undertake towards ensuring that marginalised groups are at considered to actively participate in the CBM programme.

4.3.3.2 Step 2: Identification of skills and resources

The identification of stakeholders is succeeded by the auditing and identification of the resources available to the CBM process. Such an audit specifically targets how the multiple stakeholders can be handy in driving the CBM process forward on the kinds of skills they have (Pollock *et al*., 2003:30). Such a skills audit also serves to identify any need for training on fresh skills and the development of the existing skills range. This stage also audits the resources needed to fuel the community development CBM process. Having a proper picture of the available resources also serves to equip the champions of the CBM process on whether there is a need for external funding or to look for funding from other sources that do not make part of the stakeholder identified in step one. In other words, this stage concerns an audit and capacity building of the CBM process (Johson *et al*. 2015:7).

4.3.3.3 Step 3: Creating a communication plan

Due to the important role that communication has in any organisation, the CBM process in Canada is dependent on communication and feedback generation (Pollock, Whitelaw & Atkinson, 2003:30). Stage 3 seeks to achieve feedback that results in management recommendations. In the CBM process, the communication

of data, results and general performance has a positive effect on community development initiatives (Weston & Conrad, 2015:2). Feedback in precise terms instils confidence in members of the community who are part of the CBM process, leading to fluency in the running of the process. For the CBM process to work properly, an effective communication plan has to be in place to enable a timely and periodic relay of vital information and statistics. Furthermore, feedback can also lead to the expansion of the CBM process to other new community members and even bring new stakeholders on board (Tremblay, *at al.,* 2008:32).

4.3.3.4 Step 4: Creating a monitoring plan

The final step of the Canadian CBM process entails the creation of a monitoring plan. There is a great deal of data collection at this stage. Such data include community visioning and organisational logistics (Fernanez-Gimenez & Ballard, 2011:63). Also, there is a great deal of research that should take place on monitoring since data is a vital resource of any performance management process. The creation of a monitoring plan depends on data since this can show issues such as fluctuations in performance. Stakeholders use data to determine performance indicators and to monitor performance in a timely manner. Data also serve as a tell-tale sign to detect any need to reconsider performance strategies (Rzadki, 2012:17). In the Canadian case, data can indicate whether marine or coastal systems are properly preserved and conserved (Boyce *et al*., 2006:385). Data can also serve to indicate if there is need to look at the relations between the CBM process and the laws or by-laws of local government (Ferrari *et al*., 2015:1). In the end, it is this monitoring plan that the CBM process uses to constantly and consistently monitor its activities, transmit maximum benefits to the local community and continuously improve on all possible mechanisms in the short, medium and long run (Storey *et al*., 2016: 2).

The following section presents some of the deductions from the CBM model. The Canadian CBM model has been identified as multi-stakeholder arrangement, focussed on mainly ensuring that there is transparency and accountability in the process. The model involves stakeholders who each has a unique role to play. Also, the Canadian CBM model is centred on promoting a bottom-up approach to local

economic and community development since it is the community that determines its priorities and models of development as opposed to a top-down approach where the public officials offer the people what they perceive as the best mix of developmental strategies. In ensuring that due transparency and accountability is fostered in the CBM model of Canada, there are numerous activities and stages that the process follows, including community mapping, need analysis and the determination of community needs. The building of local skills and social capital are some of the key objectives of CBM in Canada and there is a constant sourcing of the local communities on how best they can manage their local coastal environment using locally designed models for their benefit.

The study observes that, melting glaciers, rising sea levels and dying marine life makes this Canadian CBM model relevant to the future, not only of Canada, but of the entire world. A continued management of costal and marine life can help mitigate the effects of climate change. The study can benefit from creating related CBM models for the ORTDM, ones that are multi-stakeholder designed, are centred on preserving a precious natural resource of water, and all this in the spirit of transparency and accountability.

The Indian CBM example is discussed in the next section.

4.4 COMMUNITY-BASED MONITORING IN INDIA

Similar to the Philippines case, the Indian CBM model is aimed at the protection and conservation of natural resources, that is, vegetation. The Indian CBM model is based on the use of community-based approaches to the conservation of natural medicinal plants. It involves various interested stakeholders such as government agencies, NGOs and global donor agencies (Ghate & Nagrendra, 2005:515). Medicinal plants play a pivotal role in the manufacture of medicines and effective remedies for healthcare, both within India and other parts of the world (Bhattacharya *et al*., 2009:470). Despite the existence of tried and tested medicinal plants found in local Indian forests, the sustainable management of these priceless species is challenging. These challenges include forest degradation and indiscriminate tree

cutting. Such threats to valuable plants have led to persistent calls for society-wide conservation initiatives and interventions (Singh, 2008:469).

In addition to the vital medicinal plants in forests in India, conservation is also required since there is a good number of salient and scarce forest plants that have over the years served the Indian community and society with medicinal solutions and nutrition (Ghate & Nagendra, 2005:515). Without these medicinal and nutritious forests and plants, the local community can struggle to sustain proper development. Their protection and conservation drive towards healthy living and nourishment, thus leading to a decent living standard for households and local communities. Notwithstanding, these plants and forests have become a source of income for local Indian communities, which have become actively involved in their conservation (Nayak & Berkes, 2010:707-708).

4.4.1 Multi-stakeholder community-based monitoring in India

According to Shukla and Gardner (2006:3), more than 80% of the population of South Asia uses plant-based medicines for maintaining and improving their health, creating a need to sustainably manage these plants. Also, the World Health Organization (WHO) lists a cumulative 21 000 plants with reported medicinal uses around the world, with most of these found in India (Shukla & Gardner, 2006:3). Due to this wealth of medicinal plant species, India has seen a rise in CBM initiatives aimed at preserving this rich heritage. This attracts many stakeholders as either partners of financiers of these CBM initiatives (Arts & De Koning, 2017:323)

Shukla and Gardner (2006:3) identify global developmental partners, including the United Nations Development Programme (UNDP), the International Development Research Centre (IDRC), Oxfam International, the WHO, the Ford Foundation and the World Bank being the main financiers of the Indian CBM initiatives. These are funds that are specifically dedicated to the development of medicinal plans for promoting healthcare and the wellbeing of the local people. The Indian CBM projects target promoting community ownership of plant conversation programmes as a measure to transmit benefits to the people. In specific terms, the said stakeholders are engaged in financing capacity building for CBM at the various levels of

government, from the national to the regional and municipal level (Shukla & Gardner, 2006:4).

The main reason why the Indian CBM initiatives involve many stakeholders is because these are community-owned programmes ran by ordinary members of the community. The majority lack appropriate expertise and funds to smoothly manage their initiatives. In such cases, various civic organisations assist in one way of the other. This capacity building includes interventions like skills training and the expansion of CBM initiatives to other regions as a way of spreading the potential of communities to manage their own natural resources (Walia & Pal, 2013:1162). The Indian CBM initiatives are designed in a such way that they largely depend on the input of local community members in sourcing information about the plant species with medicinal value. It is this valuable indigenous knowledge system that global pharmaceuticals rely on (Shukla & Gardner, 2006:9). Indigenous knowledge systems have always been the back-bone of the Indian community-led developmental programmes (Namsa *et al*., 2009:234).

4.4.2 Approaches to community-based monitoring in India

There are various approaches that have been adopted to manage valuable forest plants in India. Most of these approaches emphasise community-based strategies to achieve total forest conservation and zero deforestation (Orissa, 2003:473). Ghate and Nagendra (2005:512) note that a well-organised monitoring mechanism has been adopted in India. Above all, local communities have formed local committees responsible for monitoring medicinal and nutritious forests and plants, guided by various rules aimed at totally eradicating forest degradation. In this CBM approach, offenders receive relatively harsh punishment, with harsher sanctions for repeat offenders. Such a strict code of plant conservation fosters compliance and ensures that communities have a shared vision to ensure that medicinal plants are protected from deforestation, making sure that communities reap the maximum benefit from conserving and utilising these plants and forests (Orissa, 2003:476). Forest protection rules and regulations have been developed by the community over the years, most of which outlaw illegal forest harvesting, thereby giving the community collective ownership and benefit from local forests (Ghate & Nagendra, 2005:512).

In India, CBM is simplified by community groups and their leaders keeping record of the plant species in each forest they manage. In the event that NGOs or pharmaceutical companies require harvesting, there are community registers that inform them on the appropriate plants and forests that can be targeted. In that manner, no income leaks from the community, since the committees serve as a bridge between their plants species and whoever is interested in harvesting them. Furthermore, these records are accurate and such data are used whenever legitimate harvest or extraction takes place. This ensures that the process of harvesting and related proceeds is smooth, thereby avoiding delays and other unnecessary bottlenecks (Sharma & Kohli, 2006:12). On another note, CBM initiatives in India have managed to smoothly manage the much-needed regeneration of harvested forests, thereby sustainably ensuring that no plant species are totally wiped out by degeneration (Ghate & Nagendra, 2005:527).

Leach, Mearns and Scoones (1999:225) write that CBM works on the widespread belief that a distinct and stable local environment that may have succumbed to degradation or deterioration has great potential to be restored and managed sustainably. In such an instance, the local community is seen as the appropriate body to carry out such restoration and care, and is envisaged as being capable of acting collectively toward common environmental interests (Leach *et al*., 1999:228). It is therefore both economically beneficial and empowering to the local society for community-led environmental conservation programmes such as CBM to take the lead in creating sustainable and community developing communities.

The Indian CBM approaches have shown that community development programmes may effectively reach the poor by strengthening their community-based and outreach components, especially in rural areas where poverty levels are high (Baqui *et al*., 2008:243). In addition to this, a sustained NGO facilitation of CBM approaches can help to improve coverage, since the burden of the government in managing such community-owned and community-benefiting programmes decreases (Baqui *et al*., 2008:242). Fighting poverty and promoting community development in any setting is a task for all those who can take part, from NGOs to members of the community.

Similar to the Canadian and Philippines examples, the government in India plays an oversight role in the management of forests. This is achieved with polices and guidelines that make sure that the benefits of CBM are transmitted to local communities (Ghate & Nagendra, 2005:512). Government also regulates the liberal structure where communities are welcome to participate in CBM programmes without many hurdles. The Indian government promotes the inclusion of many stakeholders and role players in the management of forests through CBM initiatives.

4.4.3 Future of community-based monitoring in India

CBM continues to make a difference in the Indian society. This stems from a trend where CBM is used to ensure that local communities actively participate in the development that affects them. In doing this, community members collectively shape their society by monitoring the sustainable management of local forests (Garcia & Lescuyer, 2008:1306; Tiwari & Ravindranath, 2011:169). Adding the capability approach to community development, society is said to assume a state of equilibrium to the surrounding environment if the two are allowed to co-exist in a less coercive manner (Vijge & Gupta, 2014: 23). CBM is the process through which the people and their community or environment find sustainable ways to benefit one another. In the case of medicinal and nutritious plant conservation, CBM always plays a crucial role in ensuring that these precious plants are guarded against deforestation and any other form of degradation (Afreen *et al*., 2011:189).

In the long run, a simple natural resource such as traditional indigenous forests can add value a community's standard of living. From another angle, a community that feels inspired by actively taking part in local economic development initiatives is more likely to be peaceful and progressive as compared to a scenario where community involvement is absent. In deducing this, CBM will forever remain a useful tool for poverty alleviation and economic development since it is the best way to engage people in the affairs of their government at the grassroots local government (Larrazabal & Skutsch, 2011:9).

The Indian CBM is aimed at managing medicinal plant forests. Such management is done by local communities. Plant forests need to be given ample time before they

can be harvested. Secondly, the local communities have a fair share of proceeds for medicinal plant species that are harvested or exported to places other than the local communities. Thirdly, there is a huge contribution of donor agencies in the promotion of CBM in India mainly due to its generation of indigenous knowledge systems. Fourthly, global UN organs and agencies also fund the CBM initiatives in India. Fifthly, the CBM model followed in India also serves to guard against forest degradation by following a harsh penal code for offenders and repeat offenders. Lastly, CBM in India has led to employment generation for the local communities, most of whom are rooted in the use of herbal medicines for healthcare. Above all, the CBM initiatives in India are effective poverty eradication tools. With particular reference to the study, the ORTDM can use the practices from India to ensure that its CBM in water service provision is pro-poor and has a multi-stakeholder approach.

4.5 GENERAL OBSERVATIONS FROM INTERNATIONAL BEST PRACTICE

The study seeks to develop a CBM model for water services delivery in the ORTDM. From the discussed examples, there are various themes that can be derived towards the development of the intended model. Firstly, there is the theme of a multiple stakeholder approach to CBM, which involves multiple stakeholders, including civic organisations, academics, the government, donors and communities themselves. The study can benefit by creating related CBM models for the ORTDM, ones that are multi-stakeholder designed, are focused on preserving and providing a precious natural resource such as water, and all this to be done keeping good governance principles such as transparency and accountability in mind.

A second emerging theme from the examples is that of a decentralised form of resource management characterised by less central government control of CBM in the Philippines, India and Canada. This has the effect of lessening the burden on government, while ensuring government's capacity to focus on other pressing service delivery programmes. A third theme that has emerged is that of community mapping, which emphasises the establishment and development of skills and resource needs of communities in both India and Canada. Such a practice can help in the provision of water services in the ORTDM. In specific terms, the creation of a community profile can assist in the effective and efficient allocation of CBM priorities,

together with resourcing needs. Such mapping can be used to also allocate funding resources.

The fourth theme that has emerged concerns the building of a transparent and accountable CBM model. In other words, the CBM model will comprise a community-based open and transparent process that will enable the community to take ownership in leading their developmental projects. In the case of the study, that will refer to water services in the ORTDM. The fifth emerging theme relates to the promoting of a community-owned development practice inspired by the bottom-up approach to management. In such an approach it is the community which determines its priorities for any CBM process, thereby leading to a people-inspired management culture. In the context of water service management, getting the input of the members of a local community before making them part of a CBM process can be the best way of creating people-centred community development activities.

The sixth theme that has prominently featured in the three case studies is that of local communities reaping direct benefits from their participation in CBM processes. As discussed be it costal management in Canada, natural forest management in the Philippines or the protection of medicinal plant species in India, the community always has a fair share of the proceeds. Therefore, people in the ORTDM can be strongly motivated to participate in a CBM process when they are certain of benefitting be it individually, collectively as a group or as the community as a whole. Lastly, there emerged a theme of developing and utilising indigenous knowledge systems in natural resource preservation and management. Indigenous knowledge systems have featured mostly in the Philippine and Indian examples as the panacea for the sustainable management of forests and medicinal plants. In inferring this to the study, utilising local knowledge system on how to best preserve and provide water may yield positive results for the ORTDM.

4.6 CONCLUSION

This chapter discussed and analysed international best practice for CBM in line with the third research objective, which sought to, “analyse international cases studies on how other countries are undertaking CBM, with a view of deriving valuable lessons

for the water management in South Africa". The chapter offered a discussion of CBM models, approaches and processes in three countries *viz*, the Philippines, Canada and India. A common feature of CBM in all these examples is its connection with the sustainable management of natural resources. In simple terms, CBM is being used to ensure the community gets something tangible while preserving and managing natural resources. A number of similarities can also be identified in the discussed examples, including the active involvement of NGOs in facilitating and funding these CBM initiatives. There is the shortage of skills in local communities that has led to a massive investment in the training and development of CBM participants.

Challenges always emerge in any poor local economic development arena, and the three global practices for CBM have shown challenges that include the extent to which these initiatives can eradicate, not just alleviate, poverty in local communities. While CBM has ensured smooth natural resources management in the Philippines, Canada and India, there is need to widen the scope of these initiatives to ensure that they bring a constant and consistently income to the beneficiaries. Nonetheless, CBM has been a tool for enhancing the efficacy of municipalities and the government in general, since it involves local people carrying out community development programmes. When applying the discussed examples to this study and South Africa in general, the use of community members to collect data and to monitor natural resources such as water can serve to mitigate the effects of water shortages and to improve water management. In the ORTDM, communities can help monitor the availability of naturally occurring water from rivers, springs or dams to ensure that every corner of the community can be served with safe drinkable water throughout the year. This also calls for a multi-stakeholder coordinated effort coupled with the political will from the politicians and government officials.

The next chapter provides an analysis of challenges related to community-based monitoring of water services in the ORTDM.

CHAPTER FIVE
AN ANALYSIS OF CHALLENGES RELATED TO COMMUNITY-BASED MONITORING OF WATER SERVICES IN THE OR TAMBO DISTRICT MUNICIPALITY

5.1 INTRODUCTION

This study seeks to develop a community-based water monitoring framework for the ORTDM, a poorly developed region in the Republic of South Africa. The study underlines that the Constitution of the Republic of South Africa (1996) declares access to basic services, such as water, a basic right. Various local and international

5.2 EMPIRICAL RESEARCH METHODS

As was policies and legislations speak to the issue of water as a critical component for human development, as was discussed in Chapter 2 of the study. Carrying on from the foregoing chapters, this chapter presents and analyses empirical findings from research data obtained from interviews and focus group discussions. The theoretical perspective on community participation, as discussed in Chapter 2, serves as analytic framework, whereas the final section of this chapter synthesises the findings. discussed in Chapter 1, the study was qualitative in nature using grounded theory and a case study design. The main instruments for empirical data collection comprised semi-structured interviews and focus groups, so the theory is generated only from the data collected during the study (Charmaz, 2017:34; Dunn *et al.,* 2017:200). The study comprised officials and ordinary local community interviewees to elicit a relatively balanced view on water management within the district. The predominant emphasis when mobilising the research respondents was to have a fairly diverse view in terms of gender, age, official job portfolio representation and area of residence. The study, however, acknowledges that the guiding focus of group discussions was a challenging endeavour as almost every respondent was fervently engaged to express their opinion. The main criteria for participating in focus groups was that respondents had to be above the age of 18 years.

The study involved 184 respondents because they were more acquitted with the CBM practices at ORTDM. The interviewed respondents were dominantly Black African, with a few Coloured and White respondents. Respectively there were 38 Black Africans, 8 Coloured, 3 Whites and 1 Indian participant(s) in this study. This statistic is reasonably reflective of the racial distribution in the areas where the study took place with Statistics South Africa (StatsSA) (2016:20) showing the Eastern Cape Province's racial demographic profile as 86.3% Black African, 8.3% Coloured, 4.7% White and 0.4 of Indian or Asian origin.

Participants comprised of municipal officials and members of local communities. Data were gathered through focus group discussions and semi-structured interviews for community members and municipal officials respectively in the ORTDM. Semi-structured interviews were held in all the municipalities and the Office of the Premier (OTP) resulting in a total of 49 participants. Participants from the OTP and Eastern Cape Department of Cooperative Governance and Traditional Affairs (COGTA) were IGR officials, and officials working within the public participation or monitoring and evaluation units. Other interviewees were drawn from Ingquza Hill Local Municipality (IHLM), Nyandeni Local Municipality (NLM), Mhlontlo Local Municipality (MLM), King Sabata Dalindyebo Local Municipality (KSD) and Port St. Johns (PSJ) Local Municipality. As is shown in Table 5.1 below, the participants consisted of public participation officers, IDP officials, LED officials, water technical staff, and members from Water-based Planning and Information Systems. In the ORTDM, semi-structured interviewees comprised the municipal leadership, members from the mayoral committee, water portfolio committee members, public participation managers, IDP officials, LED officials, and members from the Water-based Planning and Information System.

Table 6.1: Structure of respondents and data gathering methods

AREA OF ORIGIN	SEMI-STRUCTURED INTERVIEWS	FOCUS GROUP (MUNICIPALITY)	FOCUS GROUP (WARD)
ORTDM	7	8-member group	-
Nyandeni	6	7-member group	Two groups: with 10 members
Mhlontlo	7	8-member group	Two groups with 8 members
Ingquza	6	7-member group	Two groups with 8 members
KSD	7	8-member group	Three groups with 10 members
Port St. Johns Municipality	7	6-member group	Two groups with 9 members
OTP and EC COGTA	10	44	90

Source: Author's impression (2018)

A critical aspect to highlight is that a broad spectrum of views was solicited to enrich the findings of the study. Anonymity was protected and all the interviews were done on the understanding that views or opinions would not be credited to named persons in the study except when explicit consent was given by the interviewee. Overall, a common set of questions was asked to similar categories of interviewees (see the annexure at the end of this study). Based on Table 6.1, the respondents are allocated pseudonyms to show their category as follows:

- LGI1-Local Government Interviewees from the ORTDM.
- LGI2-Local Government Interviewees from local municipalities.
- FGM1-Focus Group Municipality One (for district focus group participants);
- FGM2-Focus Group Municipality Two (for local municipalities focus groups)
- FGW-Focus Group Ward (ward-based focus groups in communities).
- POI- Government Officials Interviewees (for OTP and the COGTA).

The anonymous pseudonyms were allocated based on the numeric order of respondents and their category. For example, a respondents allocated as number 1

from the local government in the ORDTM is written as Respondent 1LGI1, while respondents 5 from the ward focus group is denoted by Respondent 5FGW. The study interviewed 144 respondents because they interviewees were more acquitted with CBM practices than the 96 focus group discussion participants

5.3 THEMATIC DATA ANALYSIS AND DISCUSSION OF FINDINGS

A sequential series approach of open, axial and selective coding established the labels and helped the researcher identify interesting features in the data related to research questions and objectives (Costa *et al*., 2016:38; Saldana, 2016:55). This study used both open and axial coding techniques. Given the process of open coding, the study constantly compared data to populate the categories (Sarantakos, 2013:324; Kenny & Fourie, 2015:1275). Axial coding assisted in determining the relationships that emerged between the categories (Andrew *et al*., 2018:227). Finally, selective coding represented a different point of view such as where no direct relationship between categories as possible (Kennedy, Terrell & Lohle, 2015:217; Zambrano-Varghese, 2017:143). The data gave rise to three main themes, which are spread across important aspects seeking to develop a community-based monitoring framework for water services in the ORTDM. The themes are access to water, understanding of water management framework, and community participation in the management of water services.

In the coming sections, the different themes are examined, starting with the all-important aspect of access to water.

5.3.1 Access to safe, clean and reliable water

In this section, the study discusses various themes related to the access residents of the ORTDM have to water services.

5.3.1.1 The access residents have to water services in the district

Chenoweth and Bird (2018:29) write that access to water is a substantial challenge in many societies across the globe. In South Africa, many municipalities, including the ORTDM are confronted with the challenge of access to safe drinking water. The study explored the aspect of access to water in the ORTDM and five of its local

municipalities. The findings show a positive reality in two of the selected local municipalities, with Respondent 1FGM1 (2018) indicating that in Mhlontlo and Nyandeni local municipalities, for instance, many people have access to clean water. However, in some areas with communal taps access remains minimal. This was supported by respondents from wards in the Mhlontlo Local Municipality, who said the following:

> In wards 6, and 17 boreholes are not properly functional. Even more, some areas such as ward 18 have no potable water supply and communities have access of water from open unsafe places with water rationing or restrictions is in place in the few location where the municipality supplies water tanks (Respondent 3FGW, 2018).

The study revealed that the ORTDM has improved access to water, although a number of factors still affect the smooth delivery of water services. Access to quality potable water is hindered by an assortment of barriers revolving around finances, rural spatial patterns and political will. Respondents from rural areas in for example PSJ local municipality lack access to water because of the absence of enough water delivery infrastructure as mentioned by Respondent 6LGI1 (2018). As a result of this, respondents from LGI2, FGM2 and FGW raised the issues of a lack of access to water since they are confronted with primary water access challenges such as lack of water for domestic use, water for animals and water for other primary purposes. The study regards primary use as cooking, drinking, bathing and washing as explained by Respondents 4LGI2 (2018) and Respondents from FGW. The residents acknowledged that lack of access in certain areas have adverse development implications as it perpetuates poverty, leads to poor nutrition, health and sanitation outcomes. The study argues that taking the prevailing conditions of partial water access in rural areas into consideration, productive activities like local economic development (LED) projects have been compromised as people can hardly do gardening or start agriculture and other commercial ventures in the absence of reliable water access.

The above situation prevails despite South Africa having signed and ratified water protocols. There seems to be acknowledgement that access to primary water is backed by legal instruments, particularly for rural people. Such protocols include the

United Nations General Assembly Resolution 64/292 (2010), which bemoans the prevailing lack of access to water by noting that approximately 884 million people lack access to water of which 1.5 million children under 5 years of age die as a result of water related illnesses (UN, 2010:3). This worrying reality calls for resolute interventions to address the water starvation and thirstiness of the world. This can be made possible through initiatives that both promote access and quality of water.

As argued throughout this study, water is a basic human right, which enables the subsequent enjoyment of other related and auxiliary rights. For instance, the right to a safe environment and human dignity will not be attainable in the absence of water. In the same vein, water should be treated as a broad and hugely significant right in modern society. However, South Africa and the ORTDM in particular do not rank water a fundamental human right as seen in the reality of access to water in surveyed municipalities. Those without access cannot take legal action against those who are deemed responsible for providing it.

Despite the existence of piped clean water in urban wards in the ORTDM, the study established that the ORTDM is blamed in its water delivery policies and practices. Respondent 7FGM2 (2018) argued that almost half of the PSJ Local Municipality did not have formal piped water in 40% of its wards. For the mentioned respondents, it was shocking that in a developmental state like South Africa, in the 21st century, there are communities that still rely on streams and unprotected reservoir water. By law, local government water service policies and by-laws are managed by the ORTDM, so it is the responsibility of the district office to take responsibility and to ensure improved access and quality of water. On the contrary, respondents from FGM2 (2018) in the Ingquza Hill, Mhlontlo and KSD local municipalities cast the blame on the ORTDM for the erratic water supply, especially to remote rural areas within their communities. A respondent from the LGI1 category addressed these issues by providing the following explanation.

> As the district authority we are overall responsible for water service provision but we are constrained in terms of both finances and expertise to expedite delivery in rural wards of our district. We have boreholes and water trucks which are not sufficient. It would help if we can get more funds to build dams, hire water treatment technicians and deliver reliable water sources to

> our people. But as you know finance is the scarcest resources in this part of the world. But we are committed to improve water access and quality in all corners of the ORTDM (Respondent 3LGI1, 2018).

The study established that communal water taps have been used in some informal settlements, although some dwellers still walk distances equal to a kilometre to fetch water for personal and domestic use. Villagers in areas such as Lusikisiki and Flagstaff complained of having a poorly functioning water system due to the many operation and maintenance problems. For instance, Respondents 8 and 9 (FGW, 2018) complained about the long distances they have walk to fetch water from community taps. At times some households lack economically active adults relying on young children for water fetching responsibilities, who cannot endure long distances with a water bucket on their heads. Residents who live far from the water sources expressed proximity to water sources as a major access constraint. Some of the challenges cited by Respondent 2 (POI) in quote above indicate that the post-1994 government still faces challenges related to basic service delivery. Previous studies also reported that residing far away from water sources is an economic burden as people spend much time and energy sourcing water, which is worse in rural areas with poor roads (Sorenson, Morsink & Campos, 2011:1554).

Remote water sources expose the collectors of water to abuse such as rape and mugging. Respondents 4 and 5 from the FGW mentioned that the problem of far-off sources jeopardise the safety and well-being of women and children, who are the main collectors of water. Statistically, the Eastern Cape Province has a high level of rape and harassment cases, especially in rural municipalities of the ORTDM such as the PSJ, Ingquza, Mhlontlo and Nyandeni. According to Jewkes *et al*. (2011:5), the Eastern Cape is one of the rape and domestic violence hotspots in South Africa. The study links challenges with water access in the ORTDM to the continued existence of poverty among communities in the Eastern Cape Province, especially in the rural parts covering the vast areas falling under the ORTDM.

Water access in the urbanised areas of all five local municipalities in the ORTDM was found to be good or normal. For example, the PSJ discussions with FGM2 (2018) indicated that there was a high level of water connectivity in urban areas.

Respondents 4 and 6 in FGM2 (2018) made special mention of wards 2, 3 and 5, which have good connectivity and access to safe drinking water. The same was said for a majority of wards in the KSD that surround Umtata. As argued previously in this section, this access is due to the urbanised nature of these parts of municipalities. Therefore, infrastructure and the level of municipal socio-economic development is a key factor in determining access to water.

Further opinions from respondents in this study indicated challenges related to the lack of willingness on the side of those tasked with delivering water. In other words, the municipalities did not value the need to deliver water, especially in rural areas with poor infrastructure as compared to those near to the rural hub of Umtata. The following is an extract from one of the focus group discussions from the PSJ and Ingquza local municipalities.

> Our district municipality whose head offices are in Umtata, which should have oversight and ensure that we in the local municipalities have access to water, is not doing enough to ensure improve access to water. This lack of willingness in the responsible authorities has left those in remote parts of our municipalities thirsty and desperate for water. Most of the times, we rely on water from open sources such as rivers, which we share with both wild and domestic animals. This water is not safe at all, but we have no alternative sources (Respondent 8FGW, 2018).

The above quote raises the concern of unequal access to basic services in the ORTDM. With mostly those in the KSD and areas that surround the Umtata socio-economic hub having better access than the more remote areas of rural municipalities such as the PSJ and Ingquza, the situation is dire. Those who are excluded tend to grapple with several socio-economic and political challenges. The following are quotes from a respondent from the rural wards on the PSJ Local Municipality.

> What I can say is that a significant portion of us in these rural municipalities and wards or areas remain unintegrated and alienated from the water service delivery framework. We do not have enough political muscle to compel responsible authorities to address our concerns. In other words, our cries have fallen on deaf areas may be due to our remoteness to Umtata where the urban perception has led to more access to water for those living in the KSD. I think the current water service delivery framework fails to address the plight of vulnerable groups and it is not

> well enforced. Also, I think it give greater credence to experts without equally taking into cognisance the valuable roles communities can play in making the framework more robust. Thus they never consult us on how we need our right to water fulfilled. And I blame the national government for neglecting us, it is them who should oversee these processes (Respondent 2FGW, 2018).

The ORTDM was making alternative arrangements to ensure that areas that do not have enabling infrastructure accessed at least safe drinking water regardless of whether they can have some water for LED projects and programmes. In the interview sessions with municipal officials, the following was one response in relation to how the municipality was ensuring that its residents had access to water.

> As the district authority we have made alternative arrangements to improve access to water especially for our rural populace. In the PSJ Local Municipality for instance, wards 11 and ward 32, which are rural experience serious water outages. So we have made the following interventions. In ward 11 we used water tanks, while in ward 32 which is also rural, we pump water using diesel engines. In the case of water tanks, we have municipal trucks delivering safe and drinkable water to areas in these wards where residents walk the shortest distance to access this water (Respondent 5LGI1, 2018).

The next theme looks at the impediments to access to water in the ORTDM.

5.3.1.2 Obstacles to access to water in the ORTDM

One theme in the study was centred on the lack of a smooth working relationship between the providers and consumers of public services. There is a broken relationship between ordinary ORTDM residents and their municipalities to such an extent that residents perceive that their water access challenges are not being taken seriously. As will be discussed in Section 5.3.3. of this chapter, there is not enough community participation in the water service delivery processes of the ORTDM. Although some residents professed a lack of knowledge on how the government delivers water to their homes, they indicated that there is unequal prioritisation of water service provision across the ORTDM, with Umtata and urban wards in the PSJ, Ingquza Hill, Mhlontlo, KSD and Nyandeni local municipalities given unfair preference over the rural ones.

Data gathered from officials from the OTP and COGTA in the Eastern Cape Province showed a province grappling with many challenges which one expected would have been eradicated almost three decades after the dawn of democracy. Respondent 2 from the POI (2018) categorically raised an issue with challenges related to ensuring access to water in the province by mentioning the following:

> As a province, we are doing all we can within available (and limited) resource to make sure that people of the Province, regardless of their location, get fair access to water. But we have financial, human capital, infrastructural constraints among others. The level of socio-economic as well as infrastructural development is the province is not uniform. So delivering water in an area which for example has many slums or informal dwellings is a challenge. One would expect all public entities to partner through provision of a basket of public service but that is not the case. I would expect the Department of Human Settlements, Social Development, Home Affairs to partner with local government to deliver housing, social security, infrastructure and water to ensure that the people are covered in all necessary fronts (Respondent 2POI, 2018).

In the context of the in urbanised areas of the ORTDM, there have been complaints about the inability to pay for municipal water bills. It originates from the relatively poor state of households as gathered from Respondents 2 and 5 under the LGI1 (2018) category. Also, since water is a basic need, Respondents 2 from LGI1 (2018) and 5 felt that the municipality should at least make sure that there are free basic units to ensure that those residents that default due to an inability to pay, do not get their water disconnected indefinitely. The study further gathered that respondents in the ORDTM felt vulnerable to water and sanitation illnesses in times when they utilise unsafe or open water sources. These diseases that the Respondent 7 and 8 in the LGI2 (2018) category referred to included dysentery, cholera, typhoid and bilharzia. The study established that the water is easily contaminated through animal faecal matter and chemicals from agricultural waste in areas where there are farming activities.

Respondents from the FGM1 (2018) pointed out the fact that political interference in the district water management structures inhibited the sustainable delivery of water since administrators are unable to carry out their duty. FGM1 (2018) expected a close harmonious working relationship, both vertically and horizontally and including politicians and administrators, to be the solution to both access and quality of water

in the ORTDM. From the COGTA perspective, strengthening the government oversight role at municipal level through the introduction of a new model where chairpersons of committees can be employed as non-executive councillors would help improve how water is delivered. The new role will be able to map data gaps and involve all the municipal structures in monitoring of water management. Participants also mentioned the improvement of compliance standards as an expectation in the Ingquza Municipality so that community members can monitor water data.

Deliberations across the focus groups and interview sessions with municipal officials showed common challenges in most municipalities in the jurisdiction of the ORTDM. Respondents identified the following significant challenges affecting the delivery of water to residents in the ORTDM: public service information backlogs; delays in replacing old and dilapidated water infrastructure; poor maintenance of water delivery infrastructure; political challenges or squabbles between a project steering committee and community members on who wield much power in water delivery practices; lack of monitoring by community members; and the centralisation of powers in the district office as the service provider and overseer of water server provision. There were also challenges related to turf wars between elected and traditional leaders. For instance, in Ward 32 of the Nyandeni Local Municipality, there is a tussle between the ward councillor and the traditional leader on who has a say in leading maintenance interventions for broken water infrastructure.

In addition to these challenges, from the perspective of the respondents from the OTP, there are common challenges. They include the fact that communities are not involved in government planned programmes and the absence of community empowerment to sustain local economic development. Additional problems include the slow pace of developmental partnerships where cooperation with vital sectors is still at an inception stage and hence resources are not fully mobilised. There is also a low population density in rural areas as a result of spatial distribution, which affects access to existing water sources and water services planning for poor communities. One respondent from the POI (2018) specifically discussed this issue as follows.

> In sparsely populated areas, the costs of providing water infrastructure to ensure universal coverage is deemed high. In these areas, only a small portion has no access to adequate, reliable and safe water as a result. Some of the difficult to access areas have poor road network as a result of topography which exacerbate access challenges. An example is the Wild Coast in the coastal ranges of the former homeland of Transkei. This includes areas falling under the ORTDM. Such areas, realistically pose challenges in terms of geotechnical planning and drainage. As such water usage in such communities is poor and people tend to store household water in unsanitary containers. As the government, we need to work at how we can make basic service delivery sustainable and universal to all citizens and residents (Respondent 9POI, 2018).

Another dimension of challenges came from the Eastern Cape province's COGTA respondents who aired displeasure with the intergovernmental cooperation and relations across the public service in the Province. The following interview extract corresponds with the suggestion by the OTP respondent that there should be a basket of public services to the residents of the ORTDM. Respondent 5 from the POI had this to say:

> As COGTA you might view us as the pivot for intergovernmental relations and cooperation. As far as we are concerned, there is not much of a cooperative spirit the public service of the Eastern Cape Province. This is a factor which leads to fragmented delivery of basic services such as housing, roads and water. The individual departments' programmes of actions are not in sync with each other, so delivering one parallel to the other does not effective address poverty and lack of access to services. We need harmony across departments and cooperation to achieve a developmental province, where our residents have all they need to earn a decent standard of life (Respondent 5POI, 2018).

Section 41(1) of the Constitution of South Africa (1996) promotes harmonious and mutual intergovernmental cooperation. Overall, Section 41 stipulates that the three spheres of governments and organs of state (including public entities) should preserve the peace and national unity; and should provide effective, transparent, accountable and coherent government as well as cooperate with one another. This cooperation should be in good faith through practices such as fostering friendly relations, assisting and supporting each other, informing and consulting on matters of common interest and coordinating actions with one another (RSA, 1996:21). In this regard, the study deduces that the provision of water and other enabling types of

infrastructure to the people of the ORTDM should be guided by practices derived from Section 41 of the Constitution (1996) towards a coordinated, integrated style of service delivery.

The discussion now turns to data analysis related to how the respondents perceive water service provision framework in the ORDTM. Also, these components of water management are examined from an angle where their efficacy is measured to improve access and quality of water for the residents of the ORTDM. Several studies have identified inefficient governance of institutions as a major contributor to poor service delivery (Funke *et al.,* 2014:34; Ruiters & Matji, 2015:665). In this context, governance entails all the critical components such as planning, regulation, legislation, decision making and control. In other words, effective water governance denotes a situation in which a range of social, economic, political, administrative and environmental systems can effectively regulate and manage the water resources of various constituencies in each community. As such, questions relating to institutional and other arrangements in the management of water in the ORTDM were posed to respondents. Closely related to the political dimension is the social dimension, which speaks to aspects of equitability in the use of water resources.

Overall, the empirical study findings suggest that achieving sustainable access to reliable, safe and affordable water provision for the various constituencies remains a major challenge in the ORTDM. Water access challenges point to problems in management as well as the allocation and availability of resources. At the same time, the prevailing level of socio-economic development across the ORTDM affects the ability of the municipality to improve access and quality of water. Upon mitigation of the identified challenges, the delivery of water to the people of the ORTDM can become sustainable and equal regardless of the geographic location of a community.

The study explored issues related to how the respondents understand how the water management framework of the ORTDM functions from the respondents' perspective, and this theme is analysed in the coming section.

5.3.2 Understanding and perceptions on the water management framework

In this section, the study analyses data and discusses findings on themes related to how respondents in the study perceive the water service management framework currently being used by the ORTDM.

5.3.2.1 Views on current framework versus global water access standards

The study explored if the current water management framework of the ORTDM is aligned with the Sustainable Development Goals (2015). Findings on this particular aspect show that there is an absence of synchrony between the SDGs and the ORTDM water management framework. According to the UN (2015:6), the 6th SDG target improves access to safe drinking water and sanitation. In the background of this 6th SGD, the UN declares that:

> Clean, accessible water for all is an essential part of the world we want to live in. There is sufficient fresh water on the planet to achieve this. But due to bad economics or poor infrastructure, every year millions of people, most of them children, die from diseases associated with inadequate water supply, sanitation and hygiene. Water scarcity, poor water quality and inadequate sanitation negatively impact food security, livelihood choices and educational opportunities for poor families across the world. Drought afflicts some of the world's poorest countries, worsening hunger and malnutrition. By 2050, at least one in four people is likely to live in a country affected by chronic or recurring shortages of fresh water (UN, 2015:6).

Respondents from the district and the local municipalities felt that the current water management framework employed in the ORTDM is not giving effect to the current UN agenda on ensuring access to water and sanitation. Sanitation is solidly linked to water as seen in the following definition. According to the Oxford Dictionary Online (2018:1), sanitation is defined as one of the conditions for public health, especially the provision of clean drinking water and adequate sewage disposal. The study deduces sanitation to be all issues linked to hygiene and safe living conditions or environment. Thus, the provision of clean drinking water becomes part of sanitation requirements. Water is a key denominator in the quest for community and household sanitation. Failure by the ORTDM to align its water service delivery (and management) plans with the SDG is an infringement of the residents' right to access to sanitation (and water).

The ORTDM water management framework is not aligned with the SDG. Overall, it is the absence of practical systems of measuring water delivery that leaves the municipality short of benchmarks for improved access or quality. Also, the behavioural factors include social and financial problems affecting the sustainability of the ORTDM water programme. Respondent 1FGM2 (2018) criticised the lack of an all-stakeholder participative strategy in the design, implementation and monitoring of the water management framework in the ORTDM. As a benchmark, ward committee members, ward councillors and a traditional leader of an area must play a leading role in water management and monitoring (Respondent 3FGW, 2018). In the end, the study deduces that the ORTDM water management framework should be equipped with competent human capital, be bottom-up people-centred and prioritise improving access and quality of water towards achieving the SDG of water and sanitation in the district.

Development and strengthening water management frameworks is generally a socio-political phenomenon, which necessitates sustained improvements to keep up with the needs of the water users and expected standards. This means continual improvement of water management skills, ranging from technical, economic, legal, chemical, policymaking and biophysical and hydrological expertise that is not balanced in all the municipalities. The study explored the respondents' understanding of how the water management framework in the ORTDM works. The data show that a majority of respondents, particularly those tasked with the management of water managers, particularly in Nyandeni, Mhlontlo and KSD local municipalities, have a poor understanding. This is worrying as put into perspective by one respondent in the study quoted as follows.

> I understand the implication of our personnel and support structures to understand how the water service delivery should be operated, but we have a problem. You get a situation whereby those entrusted in running the logistics of water service delivery being unaware of their mandate and responsibilities. In that situation, do you expect either access to water getting improved, community participation being practices or quality of water services being improved? That is one aspect which needs massive improvement, having right knowledgeable staff in position to drive and keep the mandate (Respondent 4POI, 2018).

It is important for all the various stakeholders who play a key role in water service delivery to be knowledgeable about how water should be delivered. In the delivery of municipal services, a critical component is that of human resources, both in communities and at the institutions that authorise and provide water. Discussions of how the water management framework was structured and give effect to equal access to water and quality water services in the ORDTM revealed other obstacles inhibiting water service delivery. For Respondent 3 from the FGW (2018) category, there is a lack of coordination in units and structures tasked with giving to water service provision. The following is an extract from the respondent.

> The water delivery framework looks disjointed as we speak because the institutions entrusted and mandated to provide safe water have weaknesses which hinder effective delivery of water services. In simple terms, they are not as united as they should be and that affects how they exercise their roles and responsibilities. The main culprits in this context include the Integrated Development Planning (IDP) committees, Infrastructure Departments and LED units which have failed to exercise proper oversight on ensuring a consistent delivery, compliance with standards and expectations of water delivery in our communities. These institutions should be in a better position and deliver on their mandate without fail (Respondent 3FGW, 2018).

The current water management framework employed by the ORTDM has been perceived to be failing to address the needs of the communities. The study now analyses the data on the theme of perceptions of the respondents on the capacity of the same current water management framework to improve access to quality water in the ORTDM.

5.3.2.2 Perceptions on the capacity of the current water management framework

The capacity of institutions to manage water resources was raised as a concern mostly by respondents from the FGW category and some from the FGM2 (2018). This capacity is viewed in terms of the ability to effectively manage, supply, repair, expand, maintain and deal with crises or interruptions. ORTDM municipalities are struggling to reconcile water demand with supply due to institutional problems. The study established that there is a blame game across institutions, municipalities and officer bearers on who is responsible for the failing water management framework.

Respondent 7LGI1 (2018) cast the blame on the local municipalities for failing to provide accurate state of water demand and supply in their areas of jurisdiction.

Respondents 2, 3 and 5 from the FGW (2018) pointed fingers at the district water management authority located within the ORTDM for failing to manage the water service framework. There was a lot of political interference in the administrative processes related to basic service delivery such as water, with officials from the district municipality being blamed for imposing programmes and plans in their local municipalities. An example was what Respondent 2 from the FGM2 (2018) said was an imposition of a spatial water delivery plan in the Mhlontlo Local Municipality by the district office. In the imposed plan, the district supported the maintenance of existing water delivery levels in its IDP while local municipalities felt that there is need for expanded water delivery programmes to cover currently excluded rural and remote areas.

Additional data from the POI (2018) category of respondents unearthed problems linked to the administrative aspects of the water services delivery framework and components. The quote below is from one official from the OTP in relation to the obstacle linked to the administrative challenges.

> We have a serious problem that is administrative in nature. Administrative aspects cover water harvesting, usage rights, water allocation, resource protection, pollution prevention, catchment area management and water conservation and management which need the cooperation of several stakeholders. At present, the working relations among stakeholders such as the OTP, district and municipal water authorities are not good. For example, the abuse of water resources when reported to authorities is not being attended to. Equally so, cases of vandalism require communities to cooperate with authorities to safeguard critical water infrastructure, something which is not taking place to the expectation of municipalities. Communities can be uncooperative on issues that directly affect the supply of water to their areas, like the vandalism of power lines supplying electricity to water pumps (Respondent 8POI, 2018).

Another challenge affecting the improvement of water access in the ORTDM relates to the obscure distinction between the separation of responsibilities of water service authorities and water service providers. First, the dominant view was that water service providers are often blamed for failing or lacklustre service when in fact some

of these challenges are to do with the water authorities. Moreover, institutional fragmentation emerged as a serious concern from the perspective of municipal officials and the OTP. Key players in the provision of water are government, water authorities, municipalities (district and local), consumers, local leadership, and many other interests' groups. For example, overlapping responsibilities between various agencies creates an unnecessary complication, which undermines coordination and speedy resolutions especially of crisis situations.

The study observes that it is difficult to try and separate the implication of wider local government institutional challenges from the issues of water provision in their respective constituencies. This is because most of the municipal challenges also affect water service delivery. To a large extent the views of the many focus groups (FGM1, FGM2 and FGW, 2018) is that good governance as a critical piece that has to be addressed to enhance institutional performance. Such a consistency is in line with what Megdal, Eden and Shamir (2017:6) argue, namely that good governance is a tenet of sustainable and effective public service delivery. It includes the provision of clean, safe, affordable and reliable water to local communities. Moreover, this signifies the perceptions people have about the institutions that provide water services.

On further impediments affecting access to water in the ORTDM, Respondents 4POI (2018), 4FGM1 (2018), 8FGM2 (2018) and 7FGW (2018) echoed similar calls. Overall, a top-down approach has not been effective as major institutional processes alienate the local residences from providing input into water management in the region. As such a system that is driven by people who are not in the deep communities is fraught with problems of being run from offices. A more localised system can do better since accountability is compromised in a top-down system of governance. In fact, the responsible water providers are not ranking well in terms of being accountable and transparent. According to Akamani (2016:17), the coordination among the actors in water governance does not give much recognition to the weak and powerless.

In this regard, the ORTDM should explore how it can adopt and implement citizen-centred management and monitoring of its water resources. Inarguably, this bottom-up practice can create a people-owned water services and governance framework. For instance, reporting water infrastructure failures or vandalism and providing useful feedback will be easy if service delivery begins with the people or community. One respondent addressed this issue as cited below.

> I would look forward to a day when officials who fail to address our severe water interruptions are answerable to us the community. We must be able to scrutinise the leadership and the institution mandated with water provision. They must appear before us and we grill them. What does being a public servant mean? Is it not supposed to mean somebody who serves and also listens to the people? Our government or municipal officials here are bossy and content with the knowledge and information that they possess thus rendering is not useful in any capacity. In the same context, we should be consulted and involve where it's possible in determining how our critical services like water are delivered to us. Sometimes officials search for solutions and input from far way places while the people are knowledgeable and informed about a particular issue related to water and public service delivery (Respondent 3FGW, 2018).

In addition to the above concerns, the manner in which municipalities identify, recruit, retain and develop talent should be enhanced. From the view of Respondent 4FGM1 (2018) and 3POI (2018), poor organisational culture and human resources management in ORTDM is a huge drawback for the performance of departments that deal with water management. As a result, talent development and enhancing organisational culture can provide needed human capital and culture for sustainable water service provision. That kind of talent management enhances the workplace environment and engenders inclusivity and high performance culture.

Tsui and Proctor (2017:3) argue that the human resources practice of talent management entails matching competent, qualified and capable human resources (talent) and job requirements. Also, talent management ensures that competent talent is retained and continuously improved to keep the productivity in an organisation at an optimum level. In the study, talent management can ensure that managers and their subordinates tasked with managing water service delivery are competent, match requirements and keep improving access and quality of water. Managing water and sustaining water systems over a long period means working

with a plethora of stakeholders, including government, local authorities, and traditional leadership, private sector and community-based water committees. Water service users as the largest stakeholder in water deserve a much more central role in the governance of water affairs. However, in the ORTDM, there is not much community involvement in the critical aspects of water service delivery, including water as a priority in the IDP and budgeting phases of the municipality. The respondent quoted below professed this absence of crucial public participation.

> The current water management framework leaves a lot to be desired as far as our involvement as the residents and water consumers is concerned. In summary we are the least involved stakeholders in the management of the community water delivery process. As the IDP is premised on community involvement, we do not know where our municipalities are getting this input from. Maybe that is why we continue to have water shortages, lack of access to water and delays in sorting our complaints. Our active involvement makes the water governance system to be people-centric as it encapsulates the people's self-determination. The values, beliefs, expectations and attitudes of people must be well captured within a viable water management framework. Feedback is equally critical in strengthening the institutions tasked with water provisioning at it helps them to reorient their operations according to the demands of the consumers (individual, institutional and private water users). We yearn to have the largest stakeholder have a corresponding loudest voice in the management of our water here in the ORTDM (Respondent 9FGW, 2018).

The water management framework of the ORTDM is ambiguous, with the residents feeling that they are side-lined when it comes to determining how their access to a basic municipal service like water is delivered. This also includes the quality of water rendered to them in their respective municipalities. As a result, the municipality flouts procedures related to public participation and uses a top-bottom administration-centric strategy of public service delivery. Such modus operandi does not only put the municipality at loggerheads with communities, but adversely infringes on the residents' right to safe and drinkable water. As discussed in Section 5.3.1. of this chapter, the most affected are the rural dwellers who have resorted to using open source water, which is unsafe. Respondent 6LGI2 (2018) from the Nyandeni Local Municipality bemoaned the effect of fragmented water service delivery framework by highlighting how it affects the community:

> Nothing about us should be done without us taking part in it. Since Nyandeni relies on ORTDM to manage and deliver water, the district's non-compliance with requirements for public participation kills public input the planning and implementing of the water projects. Therefore, if you were not part of the planning process how you access something that you were part when it was planned because it is determined by somebody who lacks appreciation of the gravity of the problem for a working solution to be implemented (Respondent 6LGI2, 2018).

In order to gain insight into how the water management framework is structured, the researcher interviewed officials from the government. Specifically, the Eastern Cape Department of Cooperative Governance and Traditional Affairs (ECCOGTA) was interviewed for its views on the current water management framework. Overall, the officials cast the blame on district and local municipalities' failure to improve on people-centred governance. However, various institutions have made several efforts to enhance effective water delivery. For example, according another respondent:

> The national Department of Water and Sanitation signed delivery agreements as part to enhance accountability with to the people of the Eastern Cape Province, despite the haphazard delivery of water services across the ORTDM. The OTP has the powers to champion the best practices for the implementation of an integrated service delivery in the province. Key to the achieve of our role at the OTP is to promote smooth communication, transparency and accountability across the entire public service in our province. This provides a political oversight within the provincial departments and at local level. We exercise this oversight role to ensure that the citizens have a proper platform to raise their service delivery concerns (Respondent 5POI, 2018).

As the department responsible for ensuring intergovernmental cooperation in the South African public service, the COGTA indicated that it plays a role to ensure that all critical stakeholders partake in the water management framework. This involved establishing the vital processes and procedures to involve community members in the municipal activities, such as managing water service provision. However, Respondent 2POI (2018) indicated that the COGTA's role is minimal and does not involve enforcing compliance in municipalities such as the ORTDM. The study thus established through the interviews and focus group discussions that in the case of planning for water service delivery, the role players include the traditional leadership, ward councillors, the project steering committee (PSC) members, community

representatives and the municipal official. The study emphasises that the success of these processes depends on how a municipality values public participation.

Respondents from the OTP were of the opinion that public participation in the current water management framework is important for the delivery of water services in ORTDM communities. Respondent 3POI (2018) explained that Department of Water and Sanitation has a constitutional obligation and mandate of water provision, so the OTP has delegated the COGTA in the Eastern Cape Province to monitor if that obligation is being met at a municipal level. In addition, Respondent 6POI (2018) said that the OTP plays a significant role in public participation in government programmes (including delivery of basic service such as water). The respondent further explained that.

> A stakeholder approach to the coordination of service delivery orientated programmes as been adopted where forums such as the Imbizo Focus Week, executive committees (EXCO) outreach programmes and Premier Coordinating Forum (PCF) are spearheaded by the Premier's office. Take for instance, the PCF addresses issues relating to service delivery improvement and implementation of macro-provincial projects. The PCF platform allows engagements between provincial and local government on key issues such as the Back-to-Basics projects, monitoring of infrastructure spending on water services and Integrated Service Delivery Model (*Masiphatisane* programme). The outcomes of these interventions is that communities received feedback on service delivery issues and some of the targeted areas are hot spots prone to service delivery protest. It is a way of depending our democracy through hand-on monitoring of provincial service delivery programmes (Respondent 6POI, 2018).

The above discussion gives evidence of the administration of water service delivery at the provincial level. This is in spite of the many obstacles that have affected how the communities in the ORTDM municipality give meaningful input regarding the water service delivery mechanisms in their locality.

5.3.2.3 Perceptions on the effectiveness of the current water delivery framework

The study explored how respondents perceive the current water management framework, with a look at how a community-based water management framework for the ORTDM can be designed. Overall, respondents considered an efficient, safe and

wide-covering water system important to their wellbeing. Data gathered with respect to the kinds of water delivery mechanisms showed various methods of supplying water in the ORTDM, ranging from no formal services (illegal connections), communal tapes, yard connections, community boreholes, standpipes and household connections. With regard to community expectations on how the water management framework should be managed, there was a segment of what respondents in the study expected of the water service managing authorities in their communities.

Respondents from the Nyandeni Local Municipality, FGW (2018) category, set their key expectations as that of water being always available and accessible. The group showed disappointment and anger because they do not understand why they do not have access even though the government is spending much money on water projects. For those in the FGM2 in the KSD municipality, they expected water to be affordable and not to be disconnected if they default on water bill payments, since some households cannot afford to pay their bills. As for those from the Mhlontlo Local Municipality, wards 2, 23, and 25 ward councillors should manage and monitor water delivery and serve their respective constituencies wholeheartedly. Also, a recommendation from the Nyandeni and Mhlontlo local communities was the establishment of a community-based management framework for water services since it has the potential to address the challenge of lack of community input in the management of water. Transparency and accountability can be sustained if such a framework can be put in place.

A dominant expectation in the study was that respondents expected the ORTDM water management framework to be premised on transparency and accountability. It was established both in interview and focus group session that the current framework leaves much to be desired. Undesirable characteristics in the current framework included flouting of supply chain management procedures when awarding of tenders. Respondent 5FGM2 (2018) pointed out the lack of compliance with public service regulations, including the Code of Conduct in the bidding for and awarding of water purification and delivery tenders in the ORTDM. In terms of how the design of water management must be done, the PSJ said different stakeholders must be

involved because water must be physically and economically accessible with no discrimination. The emphasis must be on an integrated and transparent plan based on planning, as well as monitoring all the water activities. A respondent highlighted this as follows:

> The Eastern Cape Premier and Minister of Executive Council (COGTA) are busy convening the *Imbizos* to listen to the people because the PSJ leadership is not performing as expected and the communities lacks service delivery at all costs. Here in the PSJ the municipality is doing the opposite of what is required, no transparency in the bidding and award of water or infrastructural tenders. Tenders end up being snatch by incompetent companies hence poor or shoddy infrastructure. They also fail to consult us on how we expect them to deliver the precious liquid of wat to our communities (Respondent 9FGW, 2018).

One respondent from the FGW (2018) in the Ingquza Hill Local Municipality called for the involvement of the members of the communities in the various components and activities of water services management in the ORTDM. The water management components according to Respondent 4FGW (2018) include that communities are involved in the determination of the water service delivery project, which includes a stakeholder analysis, periodic monitoring, punitive evaluation process of the entire phases and stages of delivering water to local communities. Respondents recommended that the community members get actively involved in the assessment of water infrastructure needs, water budget drafting and the assessment of the maintenance needs of existing water infrastructure. Respondent 1POI (2018) felt that there should be regular and timely reports on water issues across all five local municipalities falling within the district. Another official based in Bisho had this to say:

> Vibrant communication participation should be the proper way to design a community-based water management framework. This is because at present, municipal officials are taking all the decisions by themselves with no input from communities whatsoever. The proposed implementation of this CBM can be introduced this will increase the participation of communities in municipal affairs. As the OTP, we cannot oversee and enforce community-based water management directly on municipalities since there have their right to self-determination through their legislative and other powers or mandates (Respondent 5POI, 2018).

As a remedy for the lack of expertise and skills-promoting community-based water services management in the ORTDM, the Eastern Cape Department of COGTA agreed to offer training workshops and sessions to help improve water management across municipal staff (Respondent 2POI, 2018). The COGTA department offers training for municipal councillors and ward committees as a way of promoting community-centred government. Such skills can translate into community-based water service delivery due to intensified public participation. Training is being offered regardless of the fact that about 30% of the ward councillors are illiterate or lack basic education (Respondent 5LGI, 2018). This class of councillors is linked to the political selection or eligibility for ward council candidates based on political rather than meritorious profiles (Respondent 7FGM1, 2018). In addition, when municipalities fail to achieve something like water service delivery, ward councillors are scared to report back to the people because of fear of retribution through physical harm or violent destructive public service delivery protests. One respondent from Mhlontlo Local Municipality, ward 8, mentioned the of local municipal officials being training but failing to apply the acquired skills due to bureaucracy in the district:

> Training and skilling is offered to all the municipal officials including those in the local municipalities while the decisions and other activities are undertaken at district level in Umtata. So the training of local municipal officials can be said to be a waste because the bossy district water management officials will never listen to the views of those that they regard as low level managers. They only need local municipal managers to implement whichever policy they impose on them from Umtata, the district capital (Respondent 1FGW, 2018).

Arguments and discussions in this section show that residents are dissatisfied, implying that the current water management framework is ineffective. Some areas have been shut out of the mainstream water delivery processes. There is erratic water supply or poor quality in some of the areas that do have access to water. The study further analyses the financing and maintenance issues in an effort to understand how the present water delivery and monitoring processes function in the ORTDM. This is further discussed in the following section.

5.3.2.4 Perceptions related to financing and maintenance issues

The current water management framework was explored along the lines of budget issues. A significant percentage of financing for water comes from taxpayers' money in South Africa. Various water providers, mainly municipalities, augment this with the user fees they derive from rate payers for water services rendered. To a great extent, this financing arrangement has been beneficial for most water consumers in the areas in which the study was done, as it saw the number of people having access to safe and drinkable water increase significantly. With most municipalities covered for this study being part of one of the poorest provinces in South Africa, fiscal financing has had considerable success, although there is still a category of people, especially those residing in informal settlements and rural areas, without access. Nonetheless, high dependency on financing from the national government has created some unique challenges for municipalities, as discussed later. One FGM1 respondent described the main financing arrangement of municipal water as follows:

> In ORTDM water is mainly funded under the Presidential Interventions Programme which covers all ORTDM water projects. However, the available structures in this municipality have made it challenging for people to understand water governance. Presidential Intervention Programme was established with specific focus on water provisioning, and baseline data for various sectors was established and strategic reports on implementation of projects were developed. One focus for this financing arrangement was to ensure that no resident in South African local government will be denied their right to water because of ability to pay. However, the ORTDM still closes water to unpaying middle income households who are not categorised as generally poor (Respondent 5FGM1, 2018).

The study identified shortcomings in the municipality as there is massive failure to maintain water and related infrastructure. This includes the rehabilitation of old water infrastructure in the ORTDM. This has affected especially places in rural PSJ, Mhlontlo, Ingquza, KSD and Nyandeni local municipalities who are without any reliable source of drinking water as revealed by respondents quoted in Section 5.3.1.. In addition, many challenges to providing access to affordable water result from a lack of enough finance. Respondent 6POI (2018) acknowledged that financial constraints have affected the optimal servicing of water plants, sourcing of basic

equipment, purchasing protective gear and servicing of vehicles. Another respondent is also quoted below, speaking on the same issue.

> Due to budgetary constraints, routine maintenance works are often not attended to on time in the absence of replacement parts such as water valves, thus affecting water supplies to communities. In other words, operation and maintenance funding is still an issue which municipalities wants resolved to allow for the carrying of preventative maintenance such as equipment servicing and cleaning, routine maintenance, breakdown maintenance and corrective maintenance. You will note that prevention is better than cure, hence the critical role of routine maintenance. Further compounding this challenge is that we do not have enough financial resources to attract scarce skills such as water treatment engineers therefore affecting the potential of expanding of water infrastructure in this district (Respondent 4LGI2, 2018).

The lack of routine maintenance on the water infrastructure in the ORTDM as discussed by Respondent 4LGI (2018) has adverse effects. This goes hand-in-hand with what scholars Cossio *et al.* (2017:1395) argue, namely that the failure to undertake important maintenance jeopardises the life of water assets, which in turn compromises service delivery. A lack of essential periodic rehabilitation and maintenance might expose communities to water poisoning or harmful pathogens that cause water-borne diseases such as diarrhoea, cholera or typhoid. Respondents 1 and 9 from the FGW (2018) were of the view that dependency on government funding will prolong the ability of municipalities to expand their services because they have always had budgetary constraints. As a remedy, they suggested the design of a sustainability model by the ORTDM to be self-sufficient in funding its existing and future water infrastructure.

Nonetheless, a self-sufficient model might not be feasible in the ORTDM because most of the residents are unable to pay for government services. As a result, charging them for services rendered can lead to other forms of unfair discrimination, such as discrimination based on one's socio-economic status. Overall, there is not much economic activity in the district, so disposable incomes are low, with many households dependent of social grants for sustenance. The following is an extract from one of the respondents in the study:

> A significant concern is that a major portion of households are poor, therefore are dependent on Free Basic Water (FBW). As such, they do not pay much for the water they receive. A small portion which mainly comprises business people, farmers, institutions and those regarded as not indigent are the main few rate payers in all the interviewed municipalities. Those who exceed the FBW have been largely failed to pay for water rates resulting in high defaulting rates. In fact, this situation was most salient in 2016 when the ORTDM wrote off about R300 million in 2016 as debt amnesty to residents, institutions and civil organisations. Even government departments struggle to make rate payments on time. Such a phenomenon argued the authorities has an adverse implication on the available resources for municipalities to render efficient services (Respondent 8LGI1, 2018).

Economists generally acknowledge that water infrastructure investments are capital intensive with a small pool of finance at the disposal of municipalities. They are constrained with regard to the upgrading, renewing and putting in place new infrastructure (Rouse, 2014:25). Various water assets and their management systems are not up to the task as they require upgrading. Insufficient resources affect repairs and the expansion of water assets. These maintenance challenges interrupt water supply in terms of distribution, storage and treatment. Another financial factor is that the pressure of population growth in townships along with ageing infrastructure demands financial resources, which are presently limited partly due to non-payment from water users.

Respondents 2POI (2018) and 5LGI1 (2018) felt that water tariffs were a hindrance to the municipality's ability to render effective water services. Respondent 9FGW (2018) even regarded the idea that those who can afford services should enjoy the services, as elitist. There was a general perception among respondents that tariffs are not reflective of the costs of providing water and sustaining operations in an optimal manner. On the contrary, Respondent 2FGW, a resident in the Nyandeni locality, noted that this issue of tariffs is not only contentious, but has political implications as the political elite are unlikely to review the rates upwards in fear of political backlash. In addition, another resident of ward 5 in the PSJ Local Municipality reported that:

> I acknowledge the state of poverty across this municipality but the costs of providing water are incommensurate with the costs. The area is not rich and any move toward reviewing rates

> upwards is a political powder keg. We know that politicians will vow to shoot-down such thinking as such municipalities must deal with the situation as it is. Otherwise this matter may cost other people their jobs. Even more, no consumer will vote for increments in water rates payments (Respondent 9FGW, 2018).

According to Respondent 6LGI1 (2018) another concern is that maintenance costs seem to consume much of the little resources in terms of costs, and municipalities are not well positioned to attract external funding given the perceived risks presented by their financial flows and other regulatory and policy impediments. This point buttresses the concerns about water financing in other jurisdictions, such as private sector water service provision. Bigger water authorities like the KSD and PSJ who have better economies can individually explore other financing options to fund water investments, something small municipalities such as Mhlontlo and Nyandeni cannot do (Respondent 9FGM1, 2018). Innovative project financing can be explored to augment the financial resources of municipalities and to facilitate quick water service project development. However, such explorations require an innovative governance structure that is flexible to bring on board a portfolio of financing alternatives for water projects and their maintenance.

A substantial number of people in ORTDM reside in rural areas. Rural municipalities are most constrained financially. In Mhlontlo, Nyandeni and KSD for instance, several water meters need overhauling. Poorly maintained meters worsen the capacity of the municipalities as they fail to get money from rate payers. Poor households are big debtors in the region. The study established that municipal water authorities are compelled to find innovative ways to carry out maintenance and improvements within the financial constraints at their disposal (Respondent 6 POI, 2018). Furthermore, Rouse (2014:25) mentions that an associated issue is that of the compliance of rate payers, which hurts the financial position of many municipalities across the world. As a result, most rate payers are not that compliant, which compromises water finances. In the absence of corrective measures to address water rate payments, municipalities will find it difficult to address financial shortfalls.

Inarguably, effective performance of the water system demands a balance of political goals (ensuring everyone has access) and financial reality (ensuring the sustenance of the water system). As noble as water services would be, it has a negative bearing on the financial capacity of the water authorities and providers to service and expand water assets and infrastructure. Municipalities have relied heavily on outsourcing services in the absence of upfront finance to undertake several activities. This leads to high charges to municipalities, especially for maintenance services, technology and engineering services.

Drawing on the views of respondents in the preceding section, many participants are not informed on the water monitoring structure and their perception is that it is not functioning well. A vibrant framework would make it possible for citizens to increase public awareness, to establish proper water pressure management, to oversee pipe replacement, to detect and repair leaks, and to do constant upgrades in information technology management tools to sustainably deliver water services. Public scrutiny provides institutional checks and balances that help to ensure that resources earmarked for water are utilised judiciously and they have reached the designated targets and achieved their expected impact. The local municipalities therefore may need to pursue a positive perception should they improve on their services in terms of increasing access.

5.3.2.5 Perceptions of communication for effective water service delivery

The study also revealed communication factors affecting both the public understanding of the current water management framework and its perceived effectiveness. The following section analyses the communication aspects of the ORTDM water management framework. Communication emerged as a major issue in assessing aspects such as participation and the general stature of the prevailing water management framework in the ORTDM. Community participants from the FGW (2018) category lamented not being informed of interruptions in a timeous manner. Changes to scheduled service work are not well communicated to the water users, especially those in poor communities. Similarly, Respondent 2LGI2 (2018) lamented the absence of credible complaint mechanisms water consumers can use to address their issues with the municipalities and the absence of a customer service

department is a worrying concern. Moreover, even other officials are worried about the lack of surveys by water authorities to solicit people's views of the rendered services as expressed by Respondent 8LGI2 (2018).

Knowledge that comes from communication is key to participation, and the participants felt that poor people are kept from participating and decision making. A critical component of good governance is communication, particularly information flow. The overall opinion of all respondents in the study was that there are significant communication problems that many see as indicative of the stance that municipalities have when it comes to relaying critical information. Poor information flow is often associated with poor governance, rampant corruption, lack of transparency, inefficiency and a constrained democratic space (Fung *et al*., 2007:33). The sentiments of respondents in the FGW (2018) category were that having access to accurate, useful and accessible information will help promote the ability of communities to promote accountability in water framework management. The study quote one of the respondents as follows.

> The process of communication in this district is not robust, as it impedes citizen feedback on all water governance issues in various municipalities. Dysfunctional communication channels equally make it challenging for citizens to demand change because of the absence feedback mechanisms. Importantly, it would very important to have the responsible authorities to have a strong communication channel to the people. Such communication will be of critical importance to enable behaviour change and attitude change among the users of water. Communication both for input and ex-post feedback generation is virtually non-existent in the ORTDM. Residents are always in the dark and I assume the municipality uses the, 'if you do not get what you like, learn to like what you get' in designing public goods and services (Respondent 10FGW, 2018)

Respondents from the PSJ said there are challenges of inconsistency in updating the communities with water information. For the sake of transparency there is a need for intensive engagement platforms. Such platforms would be helpful in disseminating vital and regular information updates in local water challenges and developments. The available information on water resource management in the various areas is fragmented, which is a testament to the absence of a robust water information database (Respondent 2FGM1, 2018). Moreover, water conservation

educational activities are not properly communicated as revealed by Respondent 8FGW (2018). Such an absence of critical awareness initiatives affects the prospects of the ORTDM having water preserving residents. Wards and rural respondents in the study spoke of being unfamiliar with educational initiatives done by the municipalities aimed at water conservation, harvesting, recycling and usage minimisation, which strengthens a water management framework. As a result, the adoption and use of a community-based water model can help enhance water education, which lowers the costs of water delivery for municipalities.

In relation to communication for transparency and accountability in the ORTDM, there was consensus among respondents on the lack of planning and coordination in relation to water monitoring. There is very little public accountability on the side of political appointments and executives, although the *Masiphathisane Simanxadanxada* initiative has been established to revive those relations. The *Masiphathisane Simanxadanxada* is a programme that supports the back to basics approach in public service delivery based mostly at the ward level, with links with the district and provincial government (Respondent 2FGW, 2018).

The research study further established that the participants felt that they lacked critical information to understand the water management framework. They contended that the responsible water authorities were not sharing information with them, and as a result they could not participate in decision making. Respondent 3FGW (2018) said that sometimes residents notice that the water project is progressing, but there is no transparency about why, when it will start again. The authorities will say that the budget is finished and that they are waiting from their funders to progress. For example, several people acknowledged being unfamiliar with the incident reporting process within their areas of residence. The residents therefore struggle to report incidents on time and they also underreport some incidents out of a lack of knowledge about established reporting channels. This is partly a problem that results from the existence of poor communication systems. Because of this arrangement there are no community structures in place to properly communicate with water consumers.

Moreover, the local people are hardly skilled to assist with water challenges that affect other communities. Another major concern among respondents from the Mhlontlo and PSJ local municipalities was the breakdown of communication between the ORTDM and their municipality, meaning that localised water service delivery community participation initiatives were being suffocated in the processes. In laymen's terms, a breakdown of communication in the ORTDM on its adopted community participation programmes automatically subdues tailor-made local municipality public participation interventions. The next section focusses on the participation of the ORTDM communities in water services delivery, management and monitoring framework.

5.3.3 Public participation in water resources management

The importance of community participation in local government issues cannot be overlooked. This is equally important for the study because CBM is anchored in the practice of involving local communities in the planning and monitoring of public service delivery. Hence, this section analyses data and discusses findings related to public participation in the delivery of water services in selected local municipalities of the ORTDM.

5.3.3.1 Community involvement in planning and monitoring water delivery

The participants were asked about their understanding of public participation in water affairs and the responses were varied. Officials directly dealing with water and those with portfolios such as IDP and LED were of the opinion that the public participates in water management in the five local municipalities. The views of one of the respondents from the district officials in Umtata addressed this issue as follows:

> Aspects such as water monitoring is still heavily in the hands of responsible authorities. In the same regard, citizens and water consumers particularly households have not done much in terms of taking legislative course against the dissatisfying services. We have a too centralised water management framework that gives too much powers to municipal officials while neglecting the oversight role especially given the need to promote community participation in the provision, and monitoring of water in the district. This way of doing things even starves communities of vital information such as the water conserving programmes undertaken by

> authorities. But water conservation practices are of critical importance in terms of improving water sustainability for the covered areas (Respondent 4FGM1, 2018).

The citizens of KSD, Mhlontlo, Nyandeni and Ingquza Hill local municipalities pointed to the nature and low levels of participation as problematic. In particular, respondents 2FGW (2018) and 8FGW (2018) indicated that they were not even considered in basic public participation processes such as the drafting or revision of their municipalities' IDP. Also, Respondents 3, 5 and 6 from the FGW (2018) category indicated that in the PSJ, Mhlontlo and Nyandeni communities, residents only attend municipal meetings sporadically and they are not always notified about public participation meetings in their areas in time. The mentioned meetings include IDP meetings, budgeting consultation as well as LED projects and initiatives. When community members do attend meetings, they are merely informed of decisions. An additional example is that in Ingquza Hill Local Municipality, the knowledge about participation in water governance is limited, with many unaware that they can take part in determining how their government delivers services to their community (Respondent 1FGW, 2018). Respondents also said they would welcome an opportunity to choose and nominate people who directly speak on their behalf in ward committees and other *ad hoc* service delivery platforms.

As revealed in the empirical data, the current water management framework allows communities to participate in local water affairs, but it is not adequate. This type of inadequacy relates to public participation in the ORTDM being linked to general involvement without particular arrangement or blueprints for how processes such as the drafting, implementation and revision of water service delivery programmes in ORTDM communities can be improved through community involvement. Respondent 5FGW (2018) spoke of the kind of conflicted relationship in the current management of water services in the ORT district by mentioning that the district municipality is both the water authority and overseer of water delivery in all the local municipalities. This double responsibility means that the local municipality has no voice in determining how their unique water needs should be determined and monitored. Just like many local municipalities are struggling to deliver basic services, the PSJ has

signed a service level agreement with the ORTDM for the delivery of water (Respondent 6POI, 2018).

Since water providers have no competition in terms of providing water services, they lack urgency to engage people to participate in water affairs. This may suggest that municipalities are not compelled to satisfy their residents-cum-customers and adapt to challenges that may affect water users. In areas where there is some community participation in water management and monitoring, there is an imposition of views or opinions by those perceiving to be knowledgeable of issues at hand as quoted in the following interview extract.

> We have illiterate/uneducated members of the communities, but it does not mean that their input should be ignored. In some local municipalities like the Ingquza Hill, public consultation forums have become platforms for municipal officials to dictate to their constituents how they will deliver water in their communities. For example, in many of the community participation meetings, residents feel that ward committee members, ward councillors and traditional leaders are the only who dominate the participation in meetings, crowding out the views of ordinary people, whose expectations should inform service delivery or monitoring (Respondent 2LGI1, 2018).

5.3.3.2 The extent to which communities are involved in water service delivery

Respondents in the study lamented not being meaningfully involved in the water service management and monitoring except for infrequent meetings. Respondent 9LGI1 (2018) argued that it is difficult for ordinary residents to participate if they do not possess a deeper understanding of the of water situation as information is difficult to come by. This implies that public participation is limited to mass information gathering which does not necessarily influence how water is delivered in one's community. This view speaks to other issues identified in studies such in Kenya's urban-based community driven water schemes in Kisumu (Ananga *et al*, 2017:325). Equally related to this aspect of failure to respond to the many demands of water consumers is the lack of tailored approaches to various challenges. Such responsiveness should be sensitive to aspects such as integrity, equality, gender equity and anti-corruption. The study perceives that it is reasonable to assume from

the analysed data that responsiveness is partly a result of weaknesses in the ORTDM water management framework and institutional shortcomings.

In the focus group discussions and interview sessions, respondents acknowledged their partial and superficial involvement in the planning, implementation and monitoring of water projects in their respective areas of residence. From the rural enclaves in the PSJ, to the peri-urban communities in the vicinity of the regional town of Umtata, residents felt neglected and left out of issues that dearly affected their daily lives. Members of local communities feel less engaged in the initiation of water management projects, many of which are initiated and run by municipalities and government as echoed by Respondent 5LGI2 (2018). A total of 36 wards in the KSD local municipality have voiced their opinion on water affairs. They are actively involved in water planning, delivery and monitoring as seen from the responses of Respondent 1LGI1 (2018), 3FGM1 (2018) and 7LGI2 (2018). Such participation is mainly through local *imbizos* and ward committees, forums that are synonymous with grassroots participation in processes such as IDP. The study attributes this spread of public participation to the location of these wards, which are all within the radius of the district capital of Umtata. The following is a quote from one official stationed in the ORTDM offices in Umtata.

> The KSD Local Municipality has seen a surge in community participation in water planning, management and monitoring. This is championed by active involvement of the Executive Mayor and at local level LED, IDP and spatial development planners. public participation with the water communities was carried out via ward councillors, ward committees, Community Development Workers, senior municipal officials together with members of the community. As a result of this level of community engagement, the KSD has witnessed short lag times between reporting of water faults and rectification together with improved access to water in rural areas such as Mqanduli (Respondent 2LGI1, 2018).

The communities from the Mhlontlo and Nyandeni local municipalities indicated that their understanding of public participation was that the community provides input at the design stage of water projects. This is very important and can also add value in making the right decisions that concerns the interest of the communities, not of the municipal officials. Respondents from the FGW (2018) mentioned that once you

include in the project planning, it will be easy to monitor such a project, which is difficult if you are asked to monitor something that you did not participate in its design. Moreover, the Ingquza Hill focus group felt that ideal public participation is when the municipality calls communities for project implementation to ensure that the monitoring or evaluation will also be community-engaged.

The study supports the preceding argument and notion since the design, planning and project implementation sets the stage for a determination of performance indicators for ease of monitoring. A respondent from the FGW (2018) for a form of servant leadership in local municipalities as a way of entrenching community involvement in water resources management and monitoring said the following:

> Do things such as a people-centred government still exist? In this part of the world it does not. Since public servants serve we the people, why don't they listen to us and be answerable to us in localised meetings. As I see it, public participation is made to look as a top-bottom arrangement, but is should be a bottom-up arrangement where we use our social contract powers to set-up meetings and tell municipal (and government) officials what we want, be it water or infrastructure. The municipality must heed our calls to set up meetings and workshops, not just itself being the convener of workshops. Some decisions must be made by communities not to engage in fruitless talk shows that are camouflaged as campaign gimmicks. These councillors we have in the ORTDM only come to use when their elected political terms are about to expire to canvass for our votes (Respondent 10FGW, 2018).

Public participation is viewed as noble but, its scope in the ORTDM is yet to sufficiently cover the monitoring of water management. From another angle, there is provision for community participation in local government matters, such as the delivery of basic services, while there has not been an explicit guideline for how the public can take part in monitoring the water service delivery framework in any municipality or in the ORTDM. According to Respondent 8FGM2 (2018), the following are the structures that generally promote community involvement in water service delivery.

> We have water boards established and monitored by the national Department of Water and Sanitation and instructed to capacitate the municipalities by the relevant minister, thus, public participation is minimal when it comes to the operational activities of water infrastructure as

> coordinated by these water boards the district only called the communities when it suits them. As mentioned, this is just an arrangement brining in the public mainly in the planning of water service plans, but there is not much fabric towards ensuring that the communities will stay put during the planning, execution, monitoring and evaluation of water service delivery programmes in their local municipality (Respondent 8FGM2, 2018).

The Mhlontlo and Nyandeni communities complained of minimal commitment in public participation at the municipal level. Respondent 6FGW (2018) mentioned that the ward Councillor is regarded as the mayor of the ward. If this person fails to attend to the local water challenges, he or she lacks leadership traits. Both municipalities, however, acknowledged the role the community has been playing in the monitoring of water data in their community. The people mandated to do so are the ward councillors. However, the process was affected by many other challenges. For example, ward councillors sometimes have sour relations with the community leaders, which also affects information flow in the community. In some instances, ward councillors do not attend community meetings and they delegate people who lack an understanding of community challenges (Respondent 9FGM1, 2018). One respondent said the following:

> As it has become common in the South African public service, policies and regulations are well crafted in black and white, but the challenge comes with interpretation and implementation in the various spheres. I honestly blame this on poor leadership of skills scarcity which affects policy implementation even at local government level. Here in the Eastern Cape Province, municipalities are still finding it difficult coping with the effects of public participation as special to relations to water service management delivery. Interventions were made by the government at local level by introducing the Public Participation Policy of 2007 and other regulatory policies that support the Section 152 of the Constitution (1996) but its effects are still negligible. Municipalities need to be trained and made to appreciate that they are the grassroots government which means that it is the actual place for people's participation in government. It even more critical when it is in the delivery of essential services such as water (Respondent 9POI, 2018).

The ORTDM's perception of public participation in the water service management delivery system is based on the IDP Road shows and the Mayoral *imbizos* where there is a situational analysis on certain ward identification with service delivery challenges and the district sector departments are invited by the office of the mayor

to present the status-quo of their programmes and provide solutions (Respondent 1LGI1, 2018). In addition, respondents from the OTP and COGTA mentioned Section 152 of the Constitution of South Africa (1996) and local government statutes such as the Local Government: Municipal Structures Act (117 of 1998) as the pillars of public participation in water service management delivery (Respondents 1, 3 and 4POI, 2018).

Respondents further mentioned that the battleground for public participation is the ward committees. In 2015, the government of the Eastern Cape province introduced the *Masiphathisane Simanxadanxada* programme as a way of going back to the basics of people-centred government. District and local mayors together with ward councillors provide political oversight to help achieve performance targets. Ward "war rooms" utilise the existing community structures to mobilise community members to identify their water needs and saccade such information to the local municipality, district municipality and provincial COGTA for consideration as discussed in the focus group session with FGW (2018). War rooms were established to revive a dying obligations that the government had towards promoting community participation at local sphere to render services such as water delivery.

Additional opinions from respondents indicate a gradually disintegrating community participation trajectory as far as water service delivery is concerned. In KSD Local Municipality for instance, Respondent 2LGI2 (2018) mentioned the phasing-out of community-based water forums, something that further diminished the participation of communities in water management. However, the study acknowledges that a small group of respondents was content with the water they got from the municipality. They were not concerned with being actively involved in the process of planning, implementing and monitoring water, they merely wanted access to water. The respondents who expressed a high level of satisfaction came from a group that receive free basic water. One focus group respondent in the FGW (2018) category talked about their gratitude:

> As the poorest of the poor here in ward 8 of the Ingquza Hill municipality, we are happy that we have free basic water. While some are worried about having a say in how they get and pay for

> their water, our community is grateful since half a loaf is better than no bread. Some we are appreciative of the developments they have witnessed over the years in terms of an uptick in the households accessing water. Over the years we have seen an increase in poor communities' access to water. We do not worry about the perceived poor quality of water, but accessing it. Having a communal tap within two hundred meters is far better than having to walk for over two kilometres to fetch open source water in the streams, which is highly likely to be contaminated (Respondent 10, FGW, 2018).

The study gathered that there is a lack of willingness on the side of those holding to the levers of power in terms of improving the level of community engagement and participation in water delivery and monitoring. Respondents 7 and 10 (FGW, 2018) argued that the political heads in the ORTDM give preference and priority to commercial entities and the well-off individuals over poor households. This neglect of the poor is seen in the servicing of areas surrounding Umtata where most commerce happens. It is the area with most rate-paying business where the municipality makes a killing with revenue generation. In the urban areas, water consumers are actively involved due to their socio-economic status, while in the rural areas the households are seldom consulted or involved. To a certain extent, the business owners in urban areas have a hand in the decisions of the ORDTM through some form of lobbying as chief revenue contributors to the municipality's fiscus.

5.3.3.3 Public participation in water planning for water service delivery

The term planning is defined by the Business Dictionary Online (2015:1) as, "a basic management function involving formulation of one or more detailed plans to achieve optimum balance of needs or demands with the available resources". The planning process involves the identification of the goals or objectives to be achieved, a formulation of the strategies to achieve them, the arrangement of the means required to achieve those objectives and the implementation and monitoring of all the steps in their proper order (Business Dictionary Online, 2015:2). Planning is critical for monitoring since CBM can only occur when water delivery programmes are well planned. In the context of this study and section, planning is confined to the determination of water delivery goals and programmes in the ORTDM. In this section, the study discusses the respondents' views of their involvement in the planning phase of the ORTDM water management framework. The lack of efficient

information and feedback generation channels affects the communities' ability to take part, especially in the planning activities linked to water service delivery.

Water consumers, particularly the young, pointed out how undeveloped the media platforms are that could facilitate discussions. Respondent 1FGM2 (2018) posited that the municipalities are not utilising social media effectively to communicate about water issues, and social media is highly accessible to many, even those in the deep rural countryside of the ORTDM. One participant commented as follows:

> Planning begins with the authorities being able to establish, sustain and utilise good communication networks especially linking them with their constituencies. But here in this district, we do not have such thing as effective communication, there is a very haphazard way of communication. Word of mouth has never been an effective communication channel. Those of us who do not frequent the urban centres cannot access the few notices places on their noticeboards calling us to community meetings or water forum meetings. On the contrary, poor communication channels kill the ability to them as the municipality to generate useful feedback. In summary we are kept in the dark and do not get information on time to be actively giving our input in the water forum meetings (Respondent 5 FGW, 2018).

The respondent raised an important aspect of community engagement, which is feedback generation. Feedback is an integral part of every project or programme's implementation process, since it indicates areas where the municipality can improve to promote a community-owned government. The ORTDM can hugely benefit from improved communication channels and avoid the current, 'haphazard loudspeaker announcement which sometimes are broadcast when people are away from their homes' (Respondent 3 FGM2, 2018). Having effective communication and community involvement in water management has the effect of ensuring that communities become the watchful eyes of water infrastructure, especially in areas where theft and vandalism are rife. Water management should not leave out the vital component of community education on water, including using water sparingly, guarding against vandalism and holding water managers accountable.

At present, the ORTDM is not planning for water communication or education. Water education could be undertaken by having open communication channels such as social media or local community radio stations where water health messages can

reach a substantial number of the poor. As alluded to by Respondent 9FGW (2018), the current lack of planning for community-owned water management practices has led to the theft and vandalism of community water taps. Taps are stolen and water is left flowing unattended, jeopardising the community's right to reliable, safe and accessible water. Respondent 4POI (2018) is cited in the interview extract below in connection with the role of media in water planning and community participation in water service delivery in the ORTDM.

> The municipality in general was not playing a crucial role in informing about water issues. We need more channels of disseminating information about water to communities. For instance, why can't the ORTDM make sure that our community radio station devote some time to educative programmes in local languages to engage communities on water planning, expectation, rights, monitoring and safeguarding water infrastructure. Also, rural people in the ORTDM have little capacity to understand and access available information which is mostly conveyed through the English language instead of also utilising isiXhosa the dominant language in ORTDM (Respondent 6POI, 2018).

Another planning issue that has affected the empowerment of communities is the status of key role players, namely traditional leaders and councillors. Respondent 3LGI1(2018) said that the ORTDM faces a challenge when it comes to achieving effective water service delivery because traditional leaders are focused on long term plans because their positions are hereditary. Ward councillors' tenure is only five years. As a result, there may be resistance to implementation of reforms related to water planning because traditional leaders are not in a hurry, while councillors pursue development within their term with an eye on pleasing their electorate. This situation creates political instability and distortion of information in terms of community development (Respondent 3LGI1, 2018). Furthermore, political tussles between political parties and factions divert attention from critical water issues as discussed in Section 5.3.1 and 5.3.2 of this chapter. Another factor raised was the lack of information that results from the illiteracy of some ward councillors and members of ward committees. One respondent discussed this challenge as follows.

> Political office is not merit-based, and you will have some elected councillors who are not able to read, write or communicate effectively. These are people who are popular to the community while professionally they are not competent. In instance where the municipal council makes

> decision and needs these to be disseminated to the communities, these illiterate councillors are scared to play their role in engaging their constituents. Illiterate ward committee members deprive community an opportunity to access water services to lack of capacity in execution of developmental programmes. This kills communication, they jeopardise planning for water, water monitoring and people-centred development in general (Respondent 9FGW, 2018).

Planning is one crucial component of modern public service delivery. There is little planning for public participation in water management in the ORTDM and the community involvement is generic. However, the respondents shared the current obstacles to such planning, which can serve as lessons for the municipality to ensure that communities are involved. A dominant theme in these discussions is that planning for or community participation in the water management framework in the ORTDM happens in urbanised areas, with rural dwellers either unaware or unconcerned due to frustration with service delivery. Also, there is a lack of synchrony between what is written on paper regarding people participation in water management and what is on the ground. Overall, the municipality fails to plan for a community-owned water service delivery framework.

5.3.3.4 Understanding water service delivery monitoring

The study also probed the perceptions of participants about the water monitoring framework in the ORTDM. The perceptions expressed were mainly a result of observation of existing services, knowledge and lived experiences. The results suggest that people are more concerned with their bad experiences with service delivery than with being involved in monitoring the water services. Knowledge about water monitoring structures has been recognised as an important component of a water monitoring framework since it can be an indicator that people are indeed playing a part. However, many of the respondents in the study professed that they were unaware of the present structure, they did not even know they could participate in water service monitoring. One respondent expressed this as follows:

> We are not aware that there are arrangements where we as the public, can take part in monitoring how water is delivered here in the ORTM. What we know is that ward committees and councillors facilitate community participation through such things like IDP drafting and reviewing but not specifically on the drafting or monitoring of water delivery. I can add that, it would be relieving to know that we can take part since the current delivery plans and

> programmes in our municipality are starved of the community element. Public monitoring of water can expedite both access and quality of water as I perceive it (Respondent, 4GLI2, 2018).

The overwhelming response of most respondents on involvement in water management indicated that those not directly working on water issues were ignorant of any programmes to engage communities to monitor water. This finding was unexpected as it points to problems related to public participation and undervaluing of traditional knowledge systems, discourages community involvement in research and undermines water awareness efforts (Briggs, 2005:102). An analysis of this finding is that officials and the ORTDM considers the monitoring of water to be too technical for the ordinary citizen and thus involves water authorities and external consultancies who it perceives to be well acquainted with it. However, officials from the ORTM said in the interview sessions that the mere of fact of communities being involved in IDP means they are also welcome in the monitoring of water.

The monitoring system in place seems to have shortcomings when it comes to carrying out preventive or maintenance work. Respondents 2, 7 and 10 from the FGW (2018) category expressed concerns that whoever is monitoring their water quality was betraying them since the quality of the water they receive is not always consistent, suggesting that the responsible authorities are not carrying out regular water tests and analysis, something that monitoring should flag and diagnose. However, these respondents acknowledged that their perception was not backed by laboratory test evidence but was based on their own “naked-eye” analysis of the water colour and taste. On the practice of the involvement of the ordinary citizens in monitoring water, one respondent indicated that most rural residents are illiterate and cannot effectively participate in water monitoring exercises (Respondent 4FGW, 2018). The study supports this argument to some extent, as seen in the social demographic structure of the ORTDM, which has mostly rural and aged households.

The ORTDM had some evidence that the communities were involved in monitoring of water. However, Respondent (2LGI1, 2018) professed that the existing arrangement was not adequate to deal with challenges of water delivery in the ORTDM. In other words, the monitoring was not effective, so the access and quality

of water has not improved. According to Respondent 5LGI1, the ORTDM recently launched an app called "*Thetha Nathi",* which means "Talk to Us" to allow the community to access municipal services and engage with ORTDM administrators by means of a cell phone message. These chats cover various areas, including reporting of faulty water infrastructure or tracing progress in expanding water infrastructure on the side of the municipality. This app needs internet connectivity, which affects those in areas where the network signal is either non-existent or weak.

Some participants, mainly those not directly working in water management, were not familiar with how water is monitored in the areas they reside in, except to say the local municipality has the responsibility to render such a service.

A crucial aspect in water framework monitoring is water quality control. In many jurisdictions and localities across the world, citizens play a crucial role in the water monitoring process (Buckland-Nicks *et al.*, 2016:20). The role of citizens can include monitoring water bodies or protecting and restoring water sources. The study revealed that citizens are not aware of the water monitoring workshops that may have been carried out by the local councils. The respondents revealed that they are not certified to be familiar with basic water quality monitoring techniques. Such techniques are basically testing alkalinity, hardness, and the biological and physical characteristics of water, measuring the composition of chemicals, water temperature, bacterial concentration and Ph. Countries such as China, Canada, Mexico, Brazil and Ecuador have active citizen participation in water quality monitoring, which has seen a substantial increase in the quality of domestic water (Burgos *et al*., 2013:10315).

In Mexico for example, communities are taken through some training in water data management, watershed management and water monitoring techniques. Input from communities in water quality monitoring is taken on board by responsible authorities to help improve on challenges identified (Buckland-Nicks *et al.*, 2016:24). It is therefore plausible to argue that intense community engagement in water quality monitoring and management can generate high quality data or information that would improve communication between authorities and residents. Not only that,

communities can become proactive in protecting their water sources. In the case of this study, Respondent 8POI (2018) mentioned the following:

> Local government community partition in water monitoring in South Africa has minimal impact due to loopholes in both design and execution. The COGTA for example, has developed the Eastern Cape Institutional and Social Development (ISD) guidelines on how involve communities on municipal infrastructure services such as water, to ensure that all relevant stakeholders actively play a part in the delivery and monitoring of water. However, the challenge is that water projects are predominantly government owned due to community conflicts and members of the community are invited to partake in projects which they barely own (Respondent 3POI, 2018).

According to Mathipa and Le Roux (2009:255), organisations function well if they are composed with the right mix of competent, motivated and skilled staff. The study also looked at how respondents understood water monitoring from a human capital point of view. Overall, there were issues related to skills and technical abilities that affected the involvement of communities in water monitoring. Respondent 6LGI1 (2018) bemoaned the lack of technical abilities among both municipal officials and residents to drive water resources monitoring activities. Such mentioned technical skills relate to fixing boreholes, fixing leakages, water treatment, addressing pipe bursts and cleaning water tanks. While there was acknowledgement of the current level of staff training for water delivery and monitoring, there was consensus on the lack of human resources to deliver technical task outcomes. Respondents 3, 8, 10 and 2 from the FGM2 (2018) blamed budgetary constraints and the existence of skills and technical gaps that can drive needed change. Also, the absence of enough financial resources to fund critical municipal staff skilling implies that the training of communities for water monitoring might be an unachievable fairy-tale.

With regard to additional competencies in the ORTDM, several skills-related issues were raised. In ORTDM there is a substantive shortage of engineering and technical staff because of high staff turnover and unattractive remuneration in municipalities (Respondent 5LGI1, 2018). The focus groups consisting of municipal representatives blamed a constricted talent pipeline that creates a shortage of certain skills in South Africa (FGM1 and FGM2, 2018). The concern for the entire water value chain was to

attract science, technology, engineering and mathematics (STEM) professionals as well as other competencies such as accounting. It is critical to underscore that this skills and competencies challenge is shared with other municipalities and other departments like road works and energy. Put differently, the municipalities struggle to attract, recruit and retain top-notch professionals (Respondent 1LGI1, 2018). Reasonably, municipalities have to explore novel ways to attract and retain such personnel to enable the water system to thrive and optimally deliver for its customers. One would view up skilling the current employees, reviewing internships, attractive graduate trainee programmes, recruiting beyond national borders, and improving on the working conditions as ways of deepening the pool of qualified people (Respondent 5FGW, 2018).

This study probed respondents' understanding of how public accountability fares in the current water management framework. The study deduces that accountability is one pull factor that could establish community-based monitoring of public services. This is important as the many stakeholders such as interest groups, rate payers, local leaderships, institutions and the government have the right to know the way water affairs are addressed and how public funds are used. Quoted below is a view from a respondent on their understanding of accountability within water service delivery monitoring in the ORTDM.

> Answerability can help improve both access and quality of water. And this can be ensured through community involvement in all components of public service delivery including water. The current level of persistent non-accountability and poor community participation leads to poor outcomes in terms of water delivery. Having a community-based water model which is predicated on high community involvement. That kind of community empowerment would ensure that those tasked din the municipalities to manage our water make decisions with the communities in mind since making a community unfriendly decision will come back to bite them in various encounters of the water monitoring process (Respondent 9FGW, 2018).

Institutions mandated with the responsibility to run water affairs should always be accountable. Increasing the opportunities for different stakeholders to have public officials answerable is a factor that was deemed important by most of the focus group respondents. However, it is difficult to implement measures of accountability in

such a way that ordinary citizens can give their input in all processes that deal with water governance as mentioned by Respondent 3FGW (2018). Young and literate respondents felt that it would be prudent of the ORTDM to enhance its digital platforms to elicit conversations as a means to enhance the civic space for water interactions. A key component is improved information dissemination. A majority of the respondents in the study commented on the dearth of information about water affairs, a factor they considered disempowering. Information availability was associated with the promotion of transparency and community participation.

5.4 DISCUSSION OF FINDINGS

Overall the results revealed that the ORTDM is marred by uneven and unfair socio-economic and municipal development across rural and urban categories. The spatial patterns of development imply that those in rural areas have less access to services such as water compared to those who live in urbanised areas surrounding Umtata. In all the surveyed local municipalities, the study established that those in rural PSJ, Nyandeni, Ingquza Hill, Mhlontlo and KSD are sometimes desperate and use less safe water. The water is often contaminated with animal faecal matter and they have to walk long distances to fetch it.

The ORDTM has intervened by pegging boreholes and delivering water in carrier tanks, but residents felt that these provision mechanism were unreliable, leading to spells of waterlessness. In cases of blockages or breakdown in water infrastructure, the ORTDM takes long to attend to complaints, which is frustrating for the residents. Water services are delivered by the district municipality through service agreements with little or no input from local municipalities. Furthermore, respondents felt that rural lives did not matter in the minds of those working on water as they enjoy the comfort of the urban hinterlands of Umtata and surrounds.

On the aspect of how respondents in the study understood the water management framework, the results reveal that only respondents who work in the municipal offices knew how it functions. While the water management framework was well crafted on paper, its implementation is substandard. One of the significant challenges was the lack of competent technicians to run the water treatment and repairs. Respondents

from the community and ward categories acknowledged that the responsibility of water provision was in the hands of their municipality, but they were alarmed at how their municipalities neglect it.

Further findings indicated that the role players in water management such as councillors and traditional leaders are in turf wars that affect how they deliver water to their communities. Also, the provincial authorities were seen to be active in driving community-based water management and monitoring practices, but these efforts are sometimes hindered by lack of political will in municipalities. In the ORTDM, there seemed to be a correlation between the level of socio-economic and infrastructural development and access to basic municipal services like water. Therefore, massive infrastructural investment by the government can improve access to water for some remote communities in the ORTDM. Shortfalls in intergovernmental relations have affected access to water and the improvement of community involvement in service delivery.

There is severe hostility between the ORTDM and its local municipalities. The former is seen as imposing water delivery plans on its subordinates. Financial obstacles have also hindered the way in which water is delivered and how communities take part its monitoring. Budgetary constraints cause an inability to hire water engineers, technicians and expand water infrastructure or to train staff on pertinent water issues. Information and communication were deficient in the ORTDM to such as extent that communities do not have access to vital water data or information. This affect how they can give input or feedback as part of continuous improvement. This has also affected the prospect of the ORTDM to have a community-owned water service management framework.

The literacy levels of community members and some ward councillors has affected the smooth flow of information between Umtata and local municipalities. The findings revealed that there is a level of technicality at which the ORTDM cannot engage communities because the ordinary community members cannot grasp the information. However, the COGTA has established guidelines on how municipalities such as the ORTDM can engage their communities in water management and

monitoring. While the study showed that community members are eager to monitor how their water is delivered, municipal officials indicated that they engage more with experts and consultants who are well-versed in the system of water treatment and delivery. The findings show that participants, particularly the community ward residents, perceive a significant handicap in accountability in terms of water governance. The study values accountability as a critical aspect in water good governance as affects the level and quality of engagement between water providers and consumers of water.

Issues related to vandalism of water infrastructure and community responsibility to ensure the safe-keeping of all water resources were also raised. While decentralisation or semi-privatisation of water services can be a blow to state-sponsored free basic services and subsidised water, the study explored the prospects of private water service providers in the ORTDM. The study values how the adoption and implementation of modern technologies, people-centred practices and innovation can transform water delivery and monitoring in the ORDTM. Innovatively decentralised water systems are more likely to be successful as countries such as Mexico have done better in connecting their hard-to-reach communities. This entails strengthening community-based organisations to take a leading role in water management. The fact that current participation initiatives in water delivery in the ORTDM are confronted with numerous challenges does not make this practice less relevant. The ORTDM should explore workable community-based water monitoring models to ensure that grassroots government improves water access and quality.

5.5 CONCLUSION

This chapter presented the findings of the empirical investigation on the community water governance in the ORTDM in line with the fourth research objective, which sought to, “explore challenges encountered in the facilitation of community participation and CBM in water management in the South African local government with specific reference to selected local municipalities in the ORTDM”. The results of the study show that the water governance framework in place is functional, but a lot more can be done to address the challenges to its optimal performance. The

challenges that stood out related to financial constraints, challenges to community participation, poor transparency and accountability, institutional defects and absence of political will. The embedded socio-economic and political dynamics complicate the participation of those in the lower rung of the society. The institutional problems emerge as a human issue that perpetuates water insecurity. Overall, the findings suggest that local politics and power issues have huge bearing on the performance of the current water management framework. The next chapter presents a proposed community-based water monitoring framework for consideration in the ORTDM.

CHAPTER SIX
A FRAMEWORK FOR IMPROVED COMMUNITY-BASED MONITORING IN WATER SERVICE DELIVERY

6.1 INTRODUCTION

The preceding chapter analysed data and presented findings, highlighting several deficits in the water service monitoring and delivery in the OR Tambo District Municipality (ORTDM). This study seeks to develop a community-based water service monitoring framework to enhance water monitoring for communities in the ORTDM and it is essentially premised on the empirical findings, but also incorporates legislative and policy provisions and the core tenets of community development theories that contend for the ownership, autonomy and participation by communities in water management. Furthermore, the framework seeks to enhance water provision not only as a fundamental human right, but also as a key imperative for sustainable community development. In the ORDTM efforts to offer universal water access has not been effective. This includes challenges related to the quality of delivered water.

One concern is the superficial levels of public participation by community members in water monitoring in general and decision making to be specific. Deficits within the present water service delivery process and practices are basically in the following areas: participation, public accountability, social inclusion, communication, administration, performance and community involvement in water monitoring in the ORTDM. The water delivery challenges are compounded by rising demographics, urbanisation and prevailing settlement patterns, particularly in informal settlements and rural areas (Doorn, 2016:756). The crux of the thesis is that the shortcomings in the prevailing system can be addressed with a community-based water monitoring framework, thereby improving water service delivery in the ORTDM. Communities become the centre and focus of water affairs, which could potentially enhance the responsiveness to operational and strategic challenges and address the accountability deficit noted from the empirical findings.

This chapter builds on the arguments, discussion and analyses contained in Chapters 1 to 5 of the study. The context and various important aspects that were discussed culminated in the crucial development of the framework in this current chapter. Water is viewed as a right, as a security concern, and as a basic need. The core is to make the best water delivery system available to the largest number of people in ORTDM in line with the social contract between the state and the citizens (Rousseau, 2018:24). Because water is a socially, economically and politically determined variable, communities should therefore be at the heart of the entire process. The framework is grounded in a firm understanding of the underlying structures and the prevailing shortcomings in the current water delivery service. The next section provides the framework for improved CBM in water service delivery in the case of the ORDTM.

6.2 PROPOSED COMMUNITY-BASED WATER MONITORING FRAMEWORK

In order to create a sound understanding of the proposed framework, the study first discusses the meaning and implications of the term framework. The Collins Dictionary (2018) and Green, (2014:34) defines a framework as a particular set of rules, ideas or beliefs used to deal with problems or to decide what to do. For this study, a framework denotes the skeleton or basic structure of ideas that shape a community-based water monitoring framework for ORTDM. Such a structure is tied to improvement of community participation processes and imperatives in local government water service delivery and monitoring.

Essentially, the framework argues for a comprehensive participation by community stakeholders in water monitoring in their areas of residence. The main aims of the proposed framework are to ensure consistent supply or access to water, quality water, universal water provision, equitable sharing of water resources, effective management of water infrastructure, effective operation and maintenance for and by communities in the ORTM. The developed framework proposes water monitoring that at its heart takes into account the water-related aspirations and demands of communities in the ORTDM.

The framework is cognisant of the challenges regarding water resources since the delivery of water services in the ORTDM (as discussed in the previous chapter of the study) including a lack of a community-based component affecting both access and quality of delivered water. The biggest drivers of water shortage or lack of access to clean water for communities include the rising demand, which is influenced by population growth, especially in towns, economic development, irrigation, climate variability and change, land use patterns, and environmental degradation (Ncube *et al*., 2013:29, Van Tol *et al*., 2014:170, Knuppe & Meissner, 2016:3). Figure 6.1 that follows, illustrates the core arguments raised in preceding sections and condenses these into a single framework. The framework is premised on community-centred water planning and monitoring. At the outlying part, six dimensions that interact to influence local water monitoring are macro- and micro-level factors, managerial competence, actors and stakeholders, water sustainability and CBM principles.

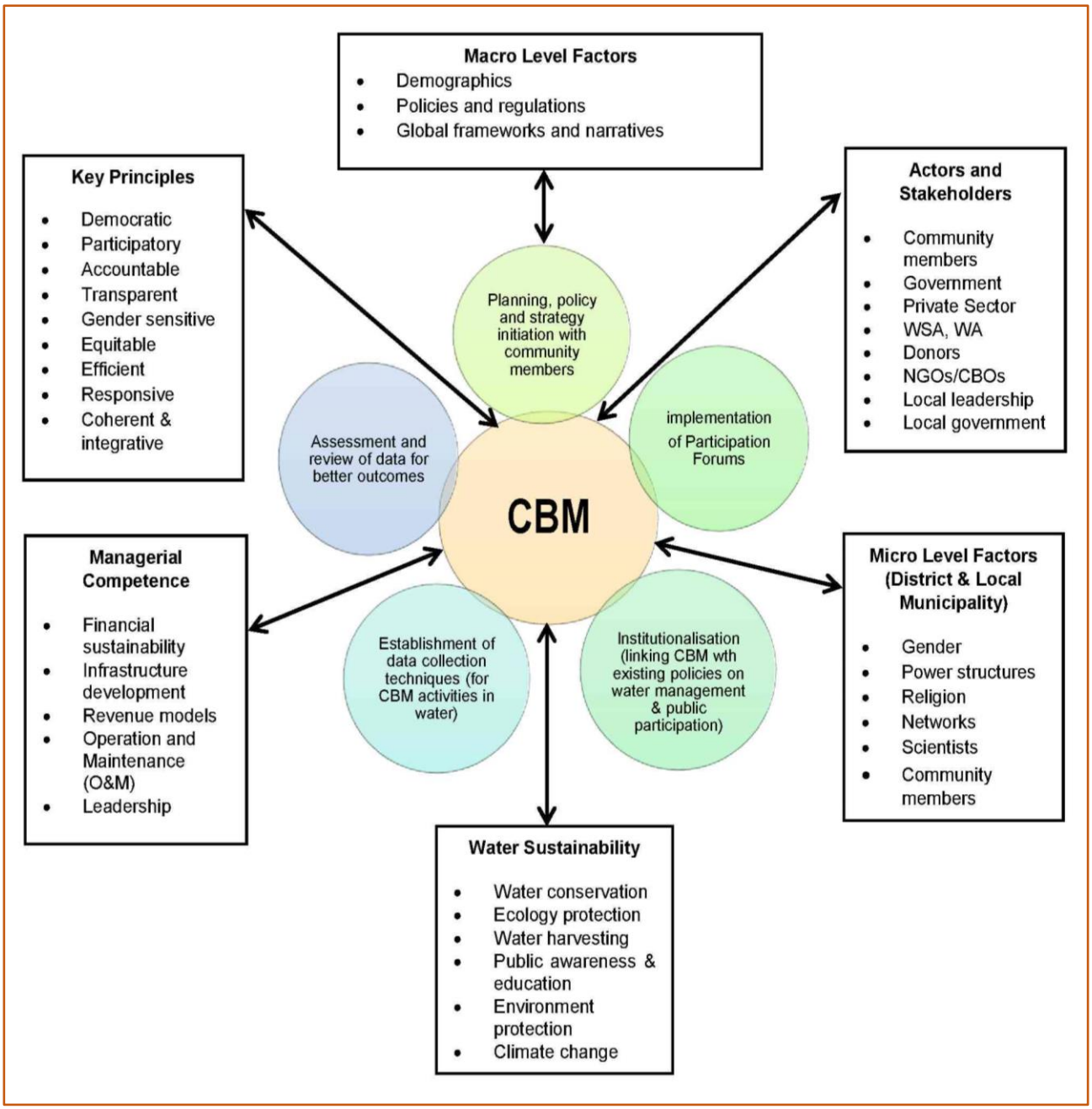

Figure 6.1: Proposed community-based water-monitoring framework

Source: Researcher's own illustration (2018)

The key highlights of the proposed framework shown in Figure 6.1 are as follows:

- An intense involvement of local communities in planning, implementation and monitoring. These priority areas give the community ownership of the processes that influence effective water monitoring. It engages them from the beginning and gives them shared responsibility for the planning and monitoring of water service delivery.

- Continuous improvement of the many practices aimed at enhancing both generic public participation and specific community involvement in the various interdependent processes of planning and monitoring specifically targeted at water delivery in their local communities.
- Socio-political variables must be taken into account and each community has to be informed about the peculiarities in its constituency. More broadly, aspects such as gender, religion, culture, political leadership and others should be aligned towards inclusivity and enhanced participation by the community.
- Key stakeholders remain important in aiding and sustaining community water monitoring. In other words, communities must explore ways of collaborating with other role players in areas such as capacity building, financing and other forms of support.
- Water sustainability is a key concern for this framework and it encompasses communities being aware of its implications. Communities have to be proactive in environmental protection, ecological protection, conservation, water harvesting and undertaking public awareness initiatives in this regard.
- Key monitoring principles anchor the water framework as these provide the tools for engendering the processes, systems and institutions working at advancing water services and affairs in the ORTDM. These principles include accountability, efficiency, coherence and integration, equity and ethics, and importantly, democracy.
- Cognisance should be taken to ensure that identified obstacles that affect both community involvement and sustainable water service delivery in the municipality inform CBM and public participation practices.

As shown in the illustrated figure, the framework is unpacked by first discussing the environmental conditions that should be satisfied for CBM to thrive and bring the required change. Secondly, the study discusses the components of the proposed framework that can be followed once the conditions in the outer environment of the framework are satisfied. Both these parts of the framework are discussed in the face of the various challenges affecting CBM and water service delivery in the ORTDM as

discussed in Chapter 5 of the study. The environmental requirements are discussed next.

6.2.1 Environmental requirements for the CBM framework

As mentioned in the earlier section of this chapter and shown in Figure 6.1., the proposed framework has environmental conditions that must the satisfied for the ORTDM to establish and sustain CBM practices. The study argues that the discussed environmental factors should always be kept in check to ensure that they remain favourable for continued and sustainable CBM practices. This is because the need of water and sanitation will forever remain fundamental in the ORTDM and for its local communities.

6.2.1.1 Macro-level factors

Macro-level factors include the social, economic, legal and political factors that affect the environment in which an organisation of public entity operates. Overall, the study argues that for CBM and entrenched community participation to be achieved, the macro-level factors should be in harmony with each other and collectively promote a model of service delivery that is community-centred. Communities are complex socio-political systems shaped by various interrelated factors. Thus, without a clear understanding of these social, cultural and political dynamics, proposals meant as solutions are bound to be inadequate. Because of the differences between and within communities, a model ought to be cognisant of these differences.

Factors that could potentially be divisive and may cause conflict include religion, settlement systems, land use patterns and property rights, economic interests and culture. Systems in communities of British Colombia managed their water effectively (Yates *et al*., 2018:801), whereas communities in Mount Kenya struggled (Angelo *et al*., 2015:102) because of social factors in communities (McCord *et al*., 2017:801). These social factors can include the leadership dynamic in the ORTDM, the need to respect local community organised forums in matters of local governance, especially when it comes to getting input, feedback and active participation into planning and monitoring public services. Community political leadership also ought to be receptive of changes to a community-driven model (Benit-Gbaffou & Katsaura, 2014:1809).

Another dimension of macro-level significance is the statutory or policy aspect of water delivery and community participation. In line with Section 9 of the Constitution of South Africa (1996), every person has the right to equal opportunities. This equality applies to the right to water as enshrined in Section 27 of the Constitution of South Africa (1996). This framework therefore views the question of access to water, quality of water, affordability of water, reliability of water supplies, transparency and accountability in local water monitoring as vital foundational components of CBM. The proposed framework is in line with the NDP's vision for water delivery, as discussed in Chapter 2 of the study. Water is a human right, and the ORTDM communities have human rights with regard to access to water at the right quality and affordable cost to consumers. Other cross-cutting rights that should be protected include the rights to non-discrimination, participation, equality and equality in water affairs and monitoring. The ORTDM should also consider expanding its free basic water units, especially to those communities around rural areas like the Mhlontlo Local Municipality.

Other critical macro-level factors include the guidelines around water quality in line with the WHO guidelines for drinking water. Moreover, WHO guidelines argue that individuals need 50 to 100 litres a day to meet their basic needs and a water source should not exceed 1000 metres or 30 minutes travel time. Specifically, South Africa as a member of the UN strives to meet global water access obligations. One of these is Resolution 64/292 of the UN General Assembly in 2010 which expresses the human right to water and sanitation and acknowledges that these are the bedrock for realisation other human rights (Hall *et al*., 2014:852). Additionally, the CBM framework should be designed in line with SDG number 6, which calls for universal access to water and sanitation for all the people of the world. Other macro-issues include the broad economic factors that affect water financing, water consumption and fiscal decisions.

The next factor of the proposed framework is micro-factors as discussed in the following sub-heading.

6.2.1.2 Micro-level factors

Another influence on the success of the CBM framework for water monitoring in the ORTDM is the issue of internal factors that affect how the framework can be adopted and implemented. Unlike macro-level factors that are wider in their scope, micro-level factors are contextual and small scale. The study emphasises that although these factors are somewhat narrower in their scale, they are conditions that have a significant effect on how communities take part in the water delivery and monitoring initiatives in the municipality. As outlined in the proposed framework, the following are main micro-level factors that can determine the success or failure of the CBM practices in the ORTDM, including gender, power structures, networks and local community expectations. Considering for instance the influence of gender in CBM for water monitoring in the ORTDM, the study argues that there should be an emphasis on ensuring a gendered CBM framework as described below.

As alluded to earlier in the study, women face significant barriers to participation in ORTDM water monitoring due to various factors. Their low representation influences community decision-making, thereby limiting women's input in all processes of their society or communities (Sinyolo *et al*., 2018:130). Thus, undertaking civil education campaigns to encourage women to be active in grassroots level water politics and monitoring is crucial. In the ORTDM, women are underrepresented in public service delivery processes, a factor which is revealing about local participation and community-centred service delivery since the women make up more than 50% of the populations in these local municipalities. A study by scholars Pande *et al.* (2013:9) on community-based water monitoring in India underscores that an equitable, efficient and effective development must be inclusive of the vulnerable, particularly women. In the case of the ORTDM, the proposed CBM water monitoring framework should have an institutional framework that is gender sensitive, so that it offers women the opportunity to contribute effectively to water monitoring in the communities. This means undoing the current imbalances where women play a very peripheral role in decision making with respect to the management of water.

A success story of a gendered community-based approach that alleviated the burden of accessing water for women is the one implemented in the Punjab Province of

Pakistan where the project provides water to 800 000 people (Asia Development Bank, 2007:1). The community was involved in the planning, construction and now operation and maintenance work of the entire project. The burden of carrying water was reduced by about 2 to 6 hours a day, and income levels for community members increased by an average of between 24% to 45% due to time now devoted to income-generating activities (Asia Development Bank, 2007:2). Local power dynamics also affect the CBM model since local hierarchies should be respected and utilised in the planning and monitoring of water. The same is true about the influence of community expectations that have a huge influence on the success of CBM and other public participation practices. In the context of the ORTDM, data analysed in Chapter 5 of this study shows that there is a lack of harmony between the municipal service delivery initiatives with local communities' leadership. Therefore, the consideration of this micro-level factor can bring needed success to the proposed CBM practices and framework. The next section looks at the factor of managerial competence in the CBM framework for the ORTDM.

6.2.1.3 Managerial competence

According to the Oxford Dictionary (2018: Online), competency is seen as, "an ability to do something successfully or efficiently". The study views managerial competence as the ability of public managers to undertake a given task as efficiently, economically and effectively as possible. Furthermore, the public service management tasks such as the vital processes of planning, organising, directing, staffing, reporting, control and budgeting (POSDCORB), need a competent manager to achieve the service delivery goals of public entities such as the ORTDM. The study further argues that the need for meticulous allocation of resources and the involvement of communities in the utilisation of CBM in water monitoring. Also, there should be compliance with statutes and policies giving effect to public service delivery, the consistent use of monitoring and the need to continuously improve service delivery processes, are all features of the kind of competencies required for the success of the CBM framework for water monitoring in the ORTDM.

In the event of a manager or municipal employee getting such competencies, the challenges such as a lack of uniform water service delivery across rural and urban

areas of the ORTDM and the poor funding of water projects will be effectively resolved. In the short, medium and long term, good managerial competencies will bring the needed transformation, build community-centred municipal service delivery and the living standards of all resident regardless of whether they are from an urban or rural area. In the transformation of water service monitoring practices in the proposed framework, there are actors that should be involved, and these are discussed next.

6.2.1.4 Actors and stakeholders

One of the challenges that the study found was a lack of funding and other resources. As such, this framework takes into account how the ORTDM can pool resources for water planning and monitoring through stakeholder engagement. The framework takes into account key factors for stakeholder engagement in water monitoring as developed by Akmouch and Clavreul (2016:8). As another key factor, the CBM framework is based on the ORTDM's utilisation of tools such as community stakeholder mapping, which is a critical feature of any community-based initiative since it identifies the key players involved in specific phenomena such as the delivery of water to communities.

Generally, community leaders are critical community-based stakeholders, including politicians, traditional leadership and institutional leaders. In rural areas, traditional leadership, political leadership, focus groups, citizens, women groups, private sector, local government, farmers, institutions, water consumers and civic society as salient stakeholders. In the urban areas, it may include residents, political leadership, civic society, agencies, the private sector, institutions, industry, local government and other groups (Garcia-Nieto *et al*., 2015:142; Nel, 2017:76; Raum, 2018:171). These varied stakeholders help to provide checks and balances as well as being consumers of water services themselves. All these stakeholders are bound by monitoring imperatives in community participation and should participate effectively in water monitoring. Stakeholder mapping is key in terms of finding a way in which these groups participate in policy and project design, implementation, evaluation and benefitting (Boon *et al*., 2017:403).

The study argues that the inclusion of stakeholders can help resolve some of the challenges identified in the ORTDM. Such challenges include the lack of funding for community participation in planning and monitoring of services, the lack of private sector role players, poor information generation and sharing between the municipality and community-based civic organisations that have an impact on sustainable service delivery within the ORTDM. The next aspect to be discussed is the imperatives needed for CBM initiatives in the context of water service monitoring in the ORTDM.

6.2.1.5 Guiding principles and imperatives

In order for the CBM framework to achieve its goals, it has to be implemented and structured according to some guiding principles. The guiding principles acknowledge the challenge that the current framework for community participation in the ORTDM, which includes a lack of gender-sensitivity. The local demographic profile of the municipality shows more women-headed households and active roles for women in the livelihoods of various households, especially in the four selected local municipalities. Additional guiding principles include inclusiveness and equity, capacity, transparency and accountability, efficiency and effectiveness, structuring and the integration of new approaches. The CBM practices also have be democratic, effective and coherent or integrative. In other words, the CBM model and practices should be in sync with other policy programmes of the municipality. For example, CBM approaches have to be in harmony with IDP, budgeting and overall developmental vision of the ORTDM or a selected local municipality.

Akmouch and Clavreul (2016:8) further stipulate that a CBM or public participation framework should include the following water monitoring imperatives:

- inclusiveness and equity relate to engaging all stakeholders fairly;
- transparency and accountability means that the process should not be opaque;
- capacity and information means providing financial and skills, and information for productive stakeholder engagement;
- striving for efficiency and effectiveness is of paramount importance;

- the CBM framework should be rooted in policy and frameworks as well as organisational and institutional structure of all organisations; and
- the framework should be adaptive to particular changes in circumstances as well as to differences within localities.

The above guiding principles are essential for the success of CBM practices. The study regards these imperatives as important in the case of the ORTDM. Their water service delivery practices have been criticised in the study because of their lack of adherence to these pro-community principles. These imperatives can lead to the building of community-based water service planning and monitoring practices, which can improve on both access and quality of water in the ORTDM. The next environmental requirement for the success of the CBM framework and practices is water sustainability as discussed in the next sub-section.

6.2.1.6 Sustainability

By definition, sustainability refers to, “the ability to be maintained at a certain rate or level” in generic terms (Oxford Dictionary, 2018:2); while in environmental terms, sustainability is, “the avoidance of the depletion of natural resources in order to maintain an ecological balance (Oxford Dictionary, 2018:2). In the context of the CBM framework for water service monitoring, there is a need for the maintenance of a certain level of community participation on the one hand, while there is need for an overall avoidance of the depletion of water sources. This is especially important given that the water resources which are determined and monitored by communities in the ORTDM are from natural sources such as rivers and dams. The requirement for sustainability further includes the aspects water conservation, ecology protection, rain water harvesting, public awareness and education, natural vegetation or environmental protection and the forging of partnerships for sustainable development in the municipality.

One of the findings of the study was that at times, locals in areas such as Tsolo in the Mhlontlo Local Municipality share water with domestic and wild animals from open contaminated sources such as rivers and local dams. That raises the questions of sustainability both from the perspective of natural water (resources) protection as

well as the sustainable provision of accessible and safe clean water to the people. The study argues that for the CBM framework to work well, there should be an element of sustainability in all the activities that the framework uses to achieve universal access of water to the residents of the ORTDM. In the absence of planning for short, medium and long term access to water services, there is lack of sustainability since some communities can periodically access water that does not have a constant quality. Such a scenario infringes on the rights of citizens to safe, affordable and quality water. Lastly, sustainability also talks to the need to ensure that the costs of providing water to the residents is managed. The study established the challenges of some poor residents who are unable to pay the water supply bills for their households. In that case, the ORTDM has to explore the need to conduct feasibility studies to ensure that the poor can be given free water while the financially stable residents can be charged for delivered water.

The proposed framework for CBM in water monitoring in the ORTDM seeks to resolve the challenges identified in Chapter 5 of the study. Such challenges have been affecting the smooth adoption and implementation of CBM in the monitoring (and planning) of water service delivery in the ORTDM. This section of this chapter discussed the environmental factors or requirements that should be satisfied for the CBM framework to work. These are part of the proposed framework as shown in Figure 6.1. In these discussions, the study argues and notes that macro-factors such as statutory framework, micro-factors such as gender, managerial competency, guiding principles, actors or stakeholders and sustainability are important conditions that are required for the CBM practices and procedure to be effective and efficient in the context of the ORTDM and its local municipalities.

Having presented the outlying features of the proposed CBM framework, the study now discusses the five internal components of the said framework in the following sections.

6.2.2 Internal components of the framework

Covered in this section are the five integral internal components of the proposed CBM framework for the ORTDM. At this stage, the study stresses that the five vital

features of the framework are actually the process that should be undertaken to ensure that CBM in water service delivery becomes a success. The first of the said components is that of planning as discussed next.

6.2.2.1 Planning

According to the Business Dictionary (2015), planning is regarded as a "basic management function involving formulation of one or more detailed plans to achieve optimum balance of needs or demands with the available resources". As a vital process in organisation, planning involves the identification of goals or objectives to be achieved, formulates the strategies to achieve them, and arranges the means required to achieve those objectives and to implement and monitor of all the steps in their proper order (Business Dictionary Online, 2015:2). In the case and context of the proposed CBM framework, planning should be undertaken on many fronts.

Firstly, the municipality should plan for community engagement of its residents and various stakeholders. A community engagement strategy provides for a monitoring framework (such as the ORTDM) to be a platform to deliberate and make decisions involving various stakeholders (English *et al*., 2017:74501). This process involves informing, consultation, collaboration and empowerment. It is critical as it eases the mobilisation of financial, human and political resources critical for water affairs. Additionally, the engagement strategy also depends on the type of water system in use in a locality. The framework argues for having in place a structure that reflects the diverse water management needs or requirements and situations of communities in the ORTDM. This is important especially given that the ORTDM at times fails to achieve its water delivery and monitoring targets due to financial constraints. This would engage local communities and groups within community as a developmental local government-based strategy for pooling resources from various role players.

As much as communities need partial autonomy in the monitoring of water affairs, they still have to collaborate with local and external partners. Water affairs, in general involve a plethora of actors, agencies, sectors, levels of management and complex networks. Collaboration also works as a conflict management strategy that improves the community's voice in the improvement of its socio-economic

developmental needs. The importance of collaboration is underscored in the study of De Boer *et al*. (2016:230) on water resource management. The provision of a critical resource such as water requires complimentary efforts, for no single entity can effectively take that role. Local communities must work amicably with district municipalities, local leadership, private corporations, other institutions, donors and government. Importantly, collaboration eases information sharing and increases the chances of having a robust community water model.

Another vital planning process is that of planning for actual community participation since CBM is derived from the generic public participation practices of local government. The fundamental component of this framework is the actual public participation. Community-driven water frameworks are anchored in a qualitatively enriched form of participation by all stakeholders, particularly citizens or residents (Carlos & Cohen, 2018:169). Participation has the potential to reinforce people's feelings of being worthy citizens, fostering socio-economic inclusion and legitimacy (Chetty, 2018:254). Participation in local affairs is constitutionally supported in a democratic developmental state and Section 152 of the Constitution (1996), which mentions community participation as one of the objectives of local government. Unfortunately, the quality and scale of participation in water affairs have been regarded a weakness in ORTDM. Not only that, the ineffectiveness and underperformance of the current water framework in ORTDM is also a result of poor participation by key stakeholders. Hence, the need for planning for community participation.

Public participation is one of the pillars of local government and public service delivery. This includes such community-based practices like CBM. Therefore, the study now unpacks the various aspects of community participation that the ORTDM should take cognisance of when planning for CBM of water services. These aspects are presented in the following sections.

6.2.2.1.1 Community participation matrix

There are various critical issues in the community matrix. Stakeholder participation in communities improves justice and fairness as it has the potential to incorporate the

preferences of the public (Nielsen *et al.*, 2017:6; Ananga *et al.*, 2017:2). Involving the communities in the monitoring of water improves the thought on technical designs, to gauge maintenance, cost structure, service standards and cost recovery options. Not only that, the water monitoring process garners legitimacy by engaging local participants. Community water models ought to ensure high levels of efficiency and effectiveness. An institutionalised basis for collaboration, internally in the community and externally with other agencies, institutions and players to mutual benefit is fundamental (Harrington, 2017:257). Various participatory methodologies ought to be explored to suit the realities of a particular locality (Basco-Carrera *et al*., 2017:96).

Likewise, to further address this significant participation deficit cited in Chapter 5 of the study, several issues must be dealt with, and such areas are described briefly below. In principle, participation goes beyond tokenism, which involves community members in peripheral decision making. Some of the weaknesses of community participation include the capturing of the process by elite and corrupt elements that have been revealed in findings of several studies (Duchoslav, 2013:29; Carrick-Hagenbarth, 2016:144). Moreover, free riders are a major concern in community initiatives as unpacked in Carrick-Hagenbarth (2016:5) in a study of community projects in Ceara, Brazil. Therefore, beyond the rhetoric of saying that participation is key, the framework advocates for institutionalisation of participation by blending formal and informal process and structures to engender involvement of every stakeholder as discussed in the following aspect.

6.2.2.1.2 Determining the models of stakeholder involvement

The ORTDM should plan how to best mix formal and informal stakeholder engagement processes to ensure it gets the best from all its role players. Formal stakeholder involvement processes include the established methods such as those mechanisms within the community as articulated through developmental local government, while informal stakeholder involvement includes any other mechanism that provides vital data for water service delivery or monitoring in the ORTDM. An institutionalised CBM framework has the potential to promote coordinated and collaborative decision making and is cognisant of the fact that communities are made up of diverse groups. The relative success of the CBM processes of the municipality

are dependent on how best the municipality manages to establish and get the commitment of various stakeholders towards building and sustaining community-based solutions to service delivery challenges.

Participation in the ORTDM has to be measured in accordance with specific levels of participation. The works of Biljohn (2017:43) and Woodhouse and Muller (2017:227) expand on this, and include the following:

- participation in planning and decision making – how much are people involved in the planning of water decisions;
- participation in implementation, detailing the level of involvement of local communities in the implementation of municipal programmes;
- participation in monitoring (included by the author) to show how people are involved in monitoring water affairs;
- participation in evaluation noting how locals are evaluating water affairs; and
- participation in benefiting to show who and what do they actually derive from participation.

By and large, participation has to take place across all levels of decision making since all stakeholders and decision have a role to play in the planning and monitoring of water service delivery. This research concurs with Ballester and Lacroix (2016:2) who identify five conditions for improving the transformational capacity of public participation. These factors include involving political leadership, having a holistic approach to a collective problem, putting in place a visible engagement process, citizen engagement in public policies and a cultural change of all stakeholders. In the process of planning for community participation, there is a need to empower residents to be able to actively participate in the activities of their local government entity.

6.2.2.1.3 Community empowerment

The quality of community participation within CBM programmes is dependent on the capacity of the stakeholders and citizens to participate (Sandovale & Rongerude, 2015:405, Steiner, 2016:236). In other words, it is not a given that encouraging

participation would result in the intended goals being achieved. In the ORTDM, community empowerment will proffer citizens and water consumers with a robust set of civic skills to partake in productive decision-making processes. These said community skills include the ability to debate and engage on critical public issues, conduct meetings, active participation in local affairs, reciprocity and public responsibility (Rushingabigwi, 2017:129). In other words, community members and local government can undertake programmes aimed at enhancing community discourse in the area. Communication as important aspect of community participation is discussed in the section that follows.

6.2.2.1.4 Communication

Communication has been identified as a major challenge with the prevailing water service delivery practices and procedures in the ORTDM, which necessitates developing an innovative communication matrix that engenders participation and relays messages effectively. In the absence of efficient communication, input and vital feedback cannot be provided in time before they affect access and quality of water in the ORTDM. Communication ideally ought to be directed towards improving decision making. As such it has to be reliable, correct, timely and sufficient. With regard to communication, providing information exchanges via all forms of media, public and personal forms such as social media help to generate dialogue and enhance transparency (Rushingabigwi, 2017:129, Sebola, 2017:28). More importantly, the adoption of diverse information and communications technologies (ICTs) can transform speed, nature and methods of communication for community-based water monitoring. Thus, timely communication in accessible language can transform and enhance engagement.

In the modern day South Africa, mobile phones offer a widely used and moderately low-cost communication alternative for swift information transmission that should be harnessed by the local communities. Consumers and stakeholders can use mobile phones to receive water bills, deal with queries, or share and receive vital news pertaining to water (Kumpel *et al*., 2015:10847). In laymen's terms, ICT adoption in communities can stimulate public participation and foster more transparency and public accountability. Social media platforms like Twitter, Facebook and WhatsApp

are examples of low cost ICTs that communities can use alongside messaging and traditional communication conduits.

The preceding section centred on the planning component of the proposed CBM framework. From the argument and discussions, the study deduces that planning for water service delivery and monitoring is critical, especially when viewed from the perspective of planning for public participation. The following sub-section looks at the component of determination of data indicators and parameters for water delivery and monitoring.

6.2.2.2 Determination of indicators and benchmarks for performance

Data is crucial in the planning and monitoring of water services through CBM in the ORTDM. The proposed framework has another internal component in the form of the determination of benchmarks and indicators. At this particular stage, it is critical for the municipality to consult the local communities on their own expectations on the quality, quantity, accessibility as well as best way of delivering water to them. The findings in Chapter 5 of the study indicated that the ORTDM is affected by the lack of public input in matters that affect the delivery of water. This challenge was found to be most prevalent in outlying rural local municipalities such as Mhlontlo, Port St. Johns and Ingquza Hill. The failure of public input in the planning of public service delivery processes by means of platforms such as ward committees and other IDP-related forums inevitably affects the ability of the locals to monitor how such water is delivered. The famous saying goes: “Nothing about us, without us” and implies that community input in benchmarking water service delivery indicators is vital for an ensuing monitoring process.

The proposed framework requires a due diligence process in the determination of the data indicators to ensure a factual determination of whether water services delivery is failing or not. The study emphasises that the determination of indicators is the only way in which monitoring can be done since the process of monitoring is dependent on the availability of clearly defined performance indicators. The indicators that the ORDTMD will have should ensure that access to quality water takes into consideration the most rural parts of the district. That will avoid a situation

where existing high levels of access to quality water in for instance the King Sabata Dalindyebo Local Municipality due to its proximity to the district hub of Umtata, should not be generalised as access to those living or residing in the rest of the district. As argued earlier in this chapter, benchmarks and indicators should include aspects such as access to water, quantity of water, quality of water, community participation progress as well as overall issues regarding sustainable community development.

The following sub-section looks at the component of assessment

6.2.2.3 Assessment and review of performance benchmarks

The process of assessment and review of predetermined performance indicators serves as a verification process where the ORTDM can cross-check chosen data and performance indicators to allow for a review, if required. The purpose of this assessment and review stage is to allow the municipality to scrutinise chosen performance indicators. This will allow for the implementation of remedial actions on performance indicators before the actual performance is weighed against actual performance in all processes related to water service rendering. One merit of the process of monitoring is that it allows for the rectification of problems as they emerge, thereby avoiding a derailment of public service delivery programmes. In the context of the study, this review will allow the ORTDM to refer back to the challenges faced by current water service monitoring processes. These include public consultation, communication of water-related information, funding for water, together with the critical aspect of power dynamics in water service delivery. All these aspects should have performance benchmarks to ensure that the communities can use the proposed CBM framework to trace improvements in the issues of access, quality and affordability of water.

As discussed in this third internal component of the proposed CBM framework, a review of pre-set indicators of performance serves to ensure that the ORTDM can alter its original planned performance expectations. Such a revised set of indicators will make sure all emerging and existing challenges are resolved before they derail

CBM in water services and community participation in general. The implementation of the CBM process is discussed as the next component.

6.2.2.4 Implementation

The implementation of the CBM framework involves the actual application of the community monitoring activity. Since monitoring is an ongoing process, the study contends that processes of planning, determination, assessment and implementation should happen continuously as a cycle of sequential and interdependent activities. Implementation of community-based monitoring is the core feature of the proposed framework. As seen in the data findings in the previous chapter of this study, poor oversight on the delivery of public goods such as water can lead to serious abuse, underperformance and collapse of water monitoring service delivery. Those in power can choose to misuse funds (the privileged few) and may be involved in corruption (Mugumya, 2013:180, Pillay, 2017:34). It is pivotal for communities to give input when it comes to enacting municipal by-laws, codes of conduct and a (community participation) constitution to combat underperformance and malfeasance (Molina, 2016:13).

In a well-planned and thorough process of CBM, the abuse of power is minimised since close implementation and checking predetermined indicators against period data can often expose such actions in time before they derail the water services delivery process of a municipality like the ORTDM. Therefore, this implementation process is an accountability enforcement stage of the CBM framework. In this stage, various community water monitoring mechanisms can be implemented and these are vital to this framework since they cover following broader areas:

- water resources monitoring;
- performance data and progress monitoring of community indicators;
- sustainable resource quality monitoring;
- hydrological monitoring (ground and surface water quality and quantity); and
- monitoring performance of water actors and institutions.

Water resource monitoring devotes attention to water quality and quantity, ground and surface water and other factors that affect the resource (Sakai *et al*., 2018:38-39, Carlsean & Cohen, 2018:169). Performance and progress monitoring look at measuring outputs and targets against the activities with monitoring the water actors and institutions' performance as key. It looks at service delivery, resource allocation, fee payments and risk mitigation (Guerra-Lopez & Hicks, 2015:22, Thomson & Koehler, 2016:90). Importantly, it is crucial for the ORTDM to explore various participatory methodologies that are ideal for a given community. The community can be provided with simple tools and technologies to effectively monitor water.

The coming section looks at the final component of the proposed framework, which is the institutionalisation of CBM.

6.2.2.5 Institutionalisation

In order for the CBM framework to sustainably improve the access and quality of water services in the ORTDM, there is need for this emerging but important practice to be entrenched into existing public service delivery processes. That can happen once there is ample capacity building for institutionalised CBM. Effective community capacity is vital for the performance and sustainability of a community-driven water model (Megdal *et al*., 2017:3). For example, community-based water projects failed due to capacity limitations in Kenya's Kajaido county (Kwena & Moronge, 2015:2, Milupi *et al.*, 2018:1128). Poor communities typically have to be equipped to manage and operate community water systems. The framework therefore not only has to focus on what local communities ought to do, but also on what they realistically can do for themselves. In other words, it is self-defeating to expect poor communities to run a financially costly water system. This framework thus proposes some key focus areas for capacity building, namely leadership, advocacy, managerial and technical skills, resource mobilisation, and conflict management.

In the case of this study, five capacity dimensions to be considered are individuals, organisations, partnerships, communities and enabling environment as argued for by Storey (2016:1) and Nkabane and Nzimakwe (2018:120). For this proposed CBM

framework, capacity building also ought to take place across the five listed dimensions, so that the prospects of success are improved:

- individuals' capacity with regard to attitudes, skills and knowledge;
- organisation's capacity in terms of teams procedures and routines;
- enabling environment capacity encompasses culture, legislation and policies;
- partnerships capacity around networks, and with other agencies; and
- capacity with regard to local communities, platforms of engagement, social networks and other knowledge sharing mechanisms.

To further expand and discuss how the institutionalisation aspect of the proposed CBM framework should be undertaken, the study now discusses the various sub-components in the following section.

6.2.2.5.1 Re-orientation of water monitoring structures

One of the challenges to overcome when involving people in participating in water project planning and monitoring relates to the fact that the responsibility of bulk water provision lies with the government and water service distribution with local government (Meissner *et al.,* 2018:115). This arrangement implies a top-down approach that disempowers communities and could lead to less accountability. For the CBM framework to be effective local water monitoring structures should be reoriented. Communities ought to be given more responsibilities in monitoring their access to resources so that they are better positioned to govern their own water affairs. The prevailing water service delivery model in the ORTDM undermines the participation and involvement of stakeholders, particularly in the decision making, implementation and monitoring. The current context where the administration of water affairs is done at district level *de facto* undercuts the capacity and autonomy of particular communities to manage their affairs. In other words, it is the central government that wields real power when it comes to issues like water financing and project development (Ovens & Associates, 2015:10). Communities are deprived of information, constrained in terms of participation in planning, budgeting and implementation, which has dented public accountability to water monitoring in the ORTDM.

6.2.2.5.2 De-politicisation of water affairs

The over-politicisation of affairs in the ORTDM, as argued by respondents in the findings, makes it a challenge for other stakeholders to participate effectively and has led to underperformance by the local government. The high presence of political appointees from the African National Congress (ANC) in water committees and in management of water has resulted in a corrosive patronage web. Thus, reducing the adverse effects of political appointees is fundamental and will allow communities to work without being threatened by political groupings within parties. Rather they will be better positioned to mobilise political capital to improve water monitoring, especially for rural areas that are underperforming. In other words, though water service monitoring is inherently political, over-politicisation is counterproductive.

Put differently, there is need to make sure that the politics of CBM in water is more concentrated at the community level rather than having district, provincial or even national political influences shape issues of local concern in water service delivery. The proposed framework discourages of politicking, or rather the location of political influences at the community level. In this regard, re-orienting the political focus of water service delivery will build a more bottom-up approach to CBM, thereby leading to more public ownership of water service delivery processes.

6.2.2.5.3 Equality focus

Another aspect that needs attention while institutionalising CBM in water monitoring in the ORTDM is the issue of equality. The current CBM and public participation practices in the municipality are unevenly distributed across urban and rural areas of the district. Fairness is key in development, whether across various variables such as class, age, and geographic location. This study embraces the components of the Equity Index, which was developed by Luh *et al.* (2013:663) to weigh the three components of water and sanitation equity. These three are structural issues, process issues and outcomes issues. Structural issues refer to the mechanism critical for realising the right to water. Process issues are the programmes, activities and interventions for addressing the right to water. Finally, the outcomes issues reflect the final impact of water access for the people (Tulk, 2018:183).

For this CBM framework, equality has to be viewed in the light of structural, process and outcomes related to public water service delivery in the different ORTDM communities. Furthermore, equality across the said communities includes making sure that rural communities have equal representation in CBM structures, women are included and resources are channelled more to the previously disadvantaged areas to stimulate and accelerate equality and full participation. Overall, equality in CBM should lead to equal access to same quality and affordable water for everyone regardless of their arbitrary characteristics such as geographic location, gender, age, political affiliation of other opinions. This goes hand in hand with Section 9 of the Constitution (1996), which calls for equality, equal access and enjoyment of all rights and privileges by citizens.

6.2.2.5.4 Simplifying and improving the legal framework

There is great need to re-align current water and community participation statutes alongside the values of global CBM practices. Without a cogent legal and policy instrument that robustly affirms the existence and operations of community water monitoring, institutionalising CBM will be challenging. Such legal documents ought to be simplified and offered in local languages for easy use and understanding. For example, having an understanding of the Water Act (108 of 1997) allows communities to be more involved in water monitoring, and specifically in the monitoring of the level of quality of water service delivery. Moreover, there is need for specific legislation that targets the empowerment of local communities in terms of maintaining, resourcing and improving water delivery assets and facilities such as boreholes.

Furthermore, there is need for clarity regarding water rights for communities, particularly for rural dwellers. Training local citizens in the mechanical operations of pumps, borehole and pipe rehabilitation can drive prompt servicing of water facilities and enhance the sustainability of the facilities. This reduces the downtime of water disruptions. Existing legal provision for public participation should include aspects that empower local government to ensure that CBM is funded, and there is a pool of resources aimed at making sure that communities have all the training and support needed to active and effectively participate. Such an arrangement will ensure that

municipalities such as the OTDM have more say in the determination of community participation specifics like planning and funding, while communities are given control and ownership on fundamental services delivery such as water.

Overall, there is need for an institutionalisation of CBM in water service monitoring. That would include a re-orientation of current practices, adoption of community-based approaches and an expansion of the current legal framework for community-based public participation practices in order for the ORTDM to attain effective CBM in water services.

6.3 GENERAL OBSERVATIONS

There are several observations that the study makes in respect of the various issues covered in the preceding. A key observation is the need for the proposed CBM framework to be community-centred to ensure that it is built upon the diagnosed challenges that this study has established. Some of the challenges that the various environmental and internal components of the proposed framework include a lack of a bottom-up model of water service delivery, absence of gendered practices, poor communication channels, failure to include the power dynamics and the uneven delivery of public services across urban and rural areas.

Another observation is the importance of various critical environmental conditions for the effectiveness of this framework. Such environmental factors that influence the effectiveness of CBM practices in water service monitoring include macro- and micro-level factors, actors and key stakeholders, managerial competencies and imperatives of CBM or community-based monitoring solutions. In short, the environmental factors should be satisfied before the ORTDM can implement the internal processes specific components of the framework. While the initial impedance of these conditions for implementation are vital they should continue to be satisfied in order to make sure that CBM practices are successful.

The proposed framework has five internal process, namely planning, determination of performance benchmarks, review of determined indicators, institutionalisation of CBM and implementation. The finer details and chronology of processes should be

evaluated to make sure that CBM in water services delivery is set on a continuous path of improvement. Furthermore, the five internal processes can build a multi-stakeholder approaches to the pooling and allocation of resources for equal participation for communities and sustainable water service access and quality.

6.4 CONCLUSION

Chapter 6 answered to the fifth research objective which was to, “develop a framework which can be employed in order to help to enhance community participation in water management of South Africa for effective service rendering”. A robust community water monitoring framework intertwines a set of independent factors like participation, accountability, transparency, communication, finance and ownership. Essentially, the community is placed at the centre of water affairs and it interacts back and forth with key stakeholders and has to be cognisant of the key aspects around sustainability, internal socio-political dynamics, and ought to be anchored on key monitoring principles, as well as the broader economic issues.

The framework as deepening the involvement of communities in water affairs monitoring in an institutionalised manner within the ORTDM. In this regard, a robust community participation process must be inclusive, representative, timely, should have the capacity to influence outcomes, is done transparently, is based on easily accessible information, has a structured dialogue mechanism and empowers the bottom-up approach to public service delivery. The foundation of this proposed framework is the decentralisation of a sustainable implementation of a community water monitoring in ORTDM. The premise is that communities need more authority and responsibility in water affairs. Overall, the proposed framework seeks to ensure that local water service delivery is planned and monitored by local communities while outlying government authorities offer resources to continuously improve CBM. The next chapter concludes the study and offers recommendations.

CHAPTER SEVEN
CONCLUSION AND RECOMMENDATIONS

7.1 INTRODUCTION

People-owned or community-based monitoring systems have multiplied in the 21st century due to the increasing importance of community participation for community development. In the case of developmental states such as South Africa, monitoring community ownership is the means through which ends such as universal socio-economic development can be attained. This study focussed on the development of a model of community-based monitoring in the delivery of water services in the ORTDM. As argued in the various sections of this study, water is one of the fundamental needs of any community. Of equal importance is the issue of access to and the quality of the water services that each community receives. In the event of a given community being unable to have access to safe, reliable and clean water, the study argues that it should be regarded a failure of those tasked with delivering basic services to that community. In creating sustainable ways for water access, the study developed a model that ensures that all the critical stages in the delivery of water services are community-based. The mentioned stages include issues related to the determination of community water needs, together with the monitoring of water service delivery strategies pursued by the ORTDM.

The study has seven chapters covering the various topical areas, and there are summarised as follows.

7.2 SUMMARY OF THE STUDY

Chapter 1 served to introduce the study by providing some background. The chapter also touched on the problem statement, research objectives and questions, the significance of the study, the research methodology and the layout of the study. In summary, the chapter discussed the prevalence poverty, lack of access to quality water in the ORTDM and the rising service delivery protests as a sign of failing community-based policy-making and monitoring. These factors together make up the problem statement. A qualitative research paradigm was used to do the investigation. The study argued that water is significant in the improvement of the

standard of living in the ORTDM by way of improved community-based service delivery. As the opening section of the study, Chapter 1 laid the foundation for the study.

Chapter 2 provided an exposition of the theoretical underpinnings of the study by offering a comprehensive literature review. NPM and the developmental state were discussed as the guiding theoretical frameworks of the study in line with the first research objective. The first research objective was to, “determine and establish the origins, principles and theoretical approaches guiding CBM and community participation in the context of water management, with particular reference to selected local municipalities in the ORTDM”. NPM and the developmental state together form one pillar that gives effect to the origins and principles guiding citizen-owned water service delivery and monitoring. Since NPM adopts a bottom-up citizen-centred approach to development, its use in a development-conscious developmental state such as South Africa can be crucial to improve access to water and other basic community services. NPM was used because it calls for the enforcement of public accountability and performance monitoring.

The mentioned theoretical foundations of the study were utilised because they aim to make government more efficient and results-oriented, people-owned and effective. This goal is embodied in CBM. The chapter further argued that across the system of government in South Africa, CBM is arguably located within municipalities. This is because placing the government in the jurisdiction of the people has an impact on enforcing public accountability and building trust between the people and their government.

Chapter 3 covered legal and policy frameworks guiding water service delivery at the local sphere of government in South Africa. The chapter gave effect to the achievement of the second research objective. It sought to, “discuss the legislative and policy frameworks that guide community participation and CBM systems in South Africa”. Chapter 3 extensively discussed the statutory and policy frameworks in place in terms of community participation in matters of local monitoring. Such a position is substantiated by statutes like the Constitution of the Republic of South

Africa (1996), and the Local Government: Municipal Structures Act (117 of 1998), which all call for the promotion of a bottom-up way of delivering municipal services. The Constitution (1996) and the various pieces of legislation call for the establishment of people-owned government. By virtue of it being the sphere of government that is closest to the people, local government is the citadel of CBM. The study proposes that municipalities such the ORTDM can use CBM to make sure that locals take part in determining and reviewing the manner in which vital services such as water are delivered.

Community-based public services delivery is anchored in Section 152(1) of the Constitution (1996), which gives a mandate to municipalities to ensure people-centred service delivery. Chapter 3 presented several statutes and policies from global and national perspectives, with SDG 6 giving effect to improved global access to safe and reliable drinking water and sanitation. Other legislative frameworks that give effect to community-based water service provision include Section 195 of the Constitution of South Africa (1996), the National Water Act (36 of 1998) and the Local Government: Municipal Structures Act (117 of 1998). These acts and policies promote community-based public service delivery and sustainable access to basic services for human survival. The chapter established that a myriad of policies and laws in South Africa are indeed giving effect to CBM.

Chapter 4 discussed international best practices on community-based monitoring. The examples include India (CBM in the protection of vegetation), Canada (in the protection of marine resources) and the Philippines (in the protection of sustainable forest management). This chapter was in line with research objective number three which sought to analyse international case studies to see how other countries are undertaking CBM with a view to deriving valuable lessons for water management in South Africa. As argued in the summary of the study in section 7.2 of this chapter, the study in Chapter 4 gathered evidence and literature and argues towards the achievement of its third objective. These international best practices were discussed with a focus on how CBM initiatives have worked as a way of exploring how such lessons can be adopted in South Africa. Community-owned initiatives, localising LED programmes and placing responsibilities in the hands of the communities can be

good for South Africa, the ORTDM in particular. This is because the national or provincial government will not be overburdened by having to design, implement and further monitor water service delivery. They can delegate monitoring to locals through CBM projects.

In Chapter 4, the study established that local communities have reaped the benefits of the different initiatives of CBM. Examples are the utilisation of indigenous forest conversation initiatives in the Philippines. Local communities help conserve forests and obtain sustainable incomes from the sales of wood and medical plants that they patent. Such practices have ensured that locals can reap benefits from the various community-based forest monitoring initiatives. South Africa can explore efforts to implement CBM that benefits local communities, such as creating jobs, and above all, sustainable delivery of quality and affordable water to local residents.

As for the Canadian example, communities and other stakeholders actively engage in the preservation of ecological zones, biospheres and the arctic ice sheet. The said areas have seen a surge in research on how best to preserve them, one of which is community-based conservation. In the context of South Africa, the engagement of various stakeholders can be key to attaining sustainable water service delivery through shared authority and responsibility among role players. In India, CBM is somewhat similar to the Philippines example, but India is more inclined to encounter the scourge of deforestation. India introduced community-based conservation and monitoring through the imposition of stiff penalties to those who are found guilty of deforestation. In all three examples, CBM was found to place an emphasis on the bottom-up citizen-based method of conversing and monitoring natural resources. The international examples are an indicator of how locally designed and tailor-made local economic developmental projects can bring needed income for local communities.

Chapter 5 was focussed on analysing the empirical data collected in the study. This was in line with the fourth research objective, which sought to explore the challenges encountered in the facilitation CBM in water management in the South African local government, with specific reference to selected local municipalities in the ORTDM. In

the fifth chapter of the research, various challenges with the use of CBM in water service delivery in the ORTDM were discussed. The chapter detailed such issues as the lack of intergovernmental harmony, absence of political will in municipalities, infrastructure shortage and the rampant vandalisation of water delivery infrastructure as some of the impediments to the use of CBM. The literature and empirical evidence gathered towards the fulfilment of the research goal shows that there are numerous interventions that the ORTDM and the South African government should undertake towards overcoming the identified challenges to CBM. These interventions are detailed in the developed framework for CBM in Chapter 6 and Section 7.4.2 of this chapter.

The fifth chapter was organised into themes that included access to safe, clean and reliable water, understanding and perception on the water management framework and public participation in water resources management. From the analysed data, the study managed to reveal that access to water in the ORTDM varies across urban and rural wards, with urban dwellers having better access than those in rural areas. This trend was linked to failing municipal leaders and councillors, which has led to the people failing to get access and quality water. Places such as Umtata in the King Sabata Dalindyebo Local Municipality had more access to clean water and sanitation than communities in rural places such as Port St. Johns Local Municipality.

The study established that municipal officials knew that they were obliged to provide water, while citizens were aware of the fact that water and other services were the responsibility of their local municipality. However, the municipality blamed a lack of resources and a lack of total access to water in some areas. On the theme of public participation in the management of water resources, there was evidence that the local government was not equally committed to involving communities in water service delivery planning and monitoring. There were huge challenges such as infrastructure, vandalism and poor flow of information that affect access, quality and monitoring of water services in the ORTDM.

Chapter 6 developed the framework for community-based monitoring in water service delivery in the ORTDM in accordance with the fifth and final research

objective. This objective sought to propose a framework that can be employed to help enhance community participation in water management of South Africa for effective service rendering. Chapters 6 and 7 give effect to the achievement of the fifth and last research objective. As for Chapter 6, the developed framework promotes community participation in the determination of community needs, design of water service delivery plans and the periodic monitoring of that adopted water delivery plan. In laymen's terms, the framework serves to ensure that the challenges identified in Chapter 5 are resolved. A multi stakeholder approach is needed as part of the framework to help the ORTDM and its local municipalities to amicably establish a working CBM. Emphasis was placed on the need for an all-inclusive manner of resolving current challenges to community participation, with bottom-up public service delivery as the norm.

Chapter 7 is the final chapter in which the summary or conclusion of chapters and recommendations of the study are provided. In terms of the recommendations of the study as contained in this chapter, these supplement the framework in Chapter 6, which is in line with the fifth research objective. Thus, the framework and recommendations suggest various ways in which the ORTDM can promote community participation in water service delivery. However, there is an emphasis on the fact that such a move not only entails community participation, but also water service delivery monitoring.

7.3 RECOMMENDATIONS

In this section, the study presents the recommendations for the development of a community-based water service monitoring framework for the ORTDM. These recommendations support the framework developed in Chapter 6 of this study. For community-based water service monitoring to be effective, the study makes the following recommendations for consideration by the relevant stakeholders.

7.3.1 Establishing stakeholder participation structures

One of the key challenges affecting community participation and community-based service delivery or monitoring is the disjointed manner in which the system of government currently functions. The study recommends that national, provincial and

local government as well as other stakeholders work together towards community-owned basic (water) service delivery and monitoring. Each of the identified stakeholders should have a role to play in the stakeholder participation structures. The ORTDM and the Eastern Cape Provincial government must always abide by existing intergovernmental relations provisions to find common ground for mutual existence. This would eliminate the current power squabbles between especially the district and local municipalities. Public service delivery should not degenerate into a turf war, but should be a community-owned practice. The national and provincial government can act as overseers in the public participation forums, while local government and other community-based organisation can organise and manage CBM structures on the ground.

7.3.2 Capacitating existing water service delivery legislation

The main statute that needs capacitation is the Water Service Act (108 of 1997). Another aspect that should be developed is water service authorities. The study established that the above-mentioned water service providers do not emphasise community roles in the delivery of this service. Thus, the current legislation and policy documents on the delivery of water services in South Africa have loopholes when it comes to the delivery of water services at the grassroots levels. While the Water Service Act (108 of 1997) states that water service authorities and water service providers have an obligation to provide water in their areas of jurisdiction, the law mainly applies to district level water service delivery.

At the local municipality level, the role of water service authorities or providers is ambiguous; thus there is a need for a clear-cut empowerment of local municipalities to provide water to their communities. The study therefore calls for a capacitation of existing laws and policies to ensure that local municipalities do not view water as a responsibility of their district. More water service delivery responsibilities for local municipalities, like those in the ORTDM, will mean more grassroots participation and improved CBM. Additionally, the improvement of the current legal framework can enable communities to own water service delivery, improve on community training and development for water monitoring, as well as community ownership of local CBM initiatives.

7.3.3 Intensifying grassroots community participation

The study found that one of the problems inhibiting the application of CBM in water service delivery in the ORTDM was a lack of comprehensive grassroots participation. Communities have been mere spectators in issues that are of cardinal significance to the quality of their lives. In that regard, the study recommends cross-sectoral multi-stakeholder platforms from community-owned service delivery and monitoring. Such platforms can be premised on making sure that all local community participation forums begin at the community level. Ward councillors can play a role in entrenching more grassroots participation. These platforms could take the form of various partnerships, including local villagers and community-based organisations at district or local municipality levels. It should also involve the existing public participation and water committees in the district. Multi-sectoral cross-sectional platforms can help ensure that all required information and participation is established in determining water needs and monitoring the water service delivery in the ORTDM.

7.3.4 Institutionalisation of community-based monitoring

The ORTDM should make sure that CBM has corresponding structures and other arrangements that would promote its success. Existing public participation forums should be modified to ensure that their scope also covers the use of CBM in water delivery. As an emerging practice, CBM should be assimilated into the current scope of all community-owned service delivery initiatives. Furthermore, making sure that CBM has a working and traceable footprint across the entire system of local government will ensure that accountability and compliance can be periodically fostered and monitored. Hence, those wards and districts that do not comply with an existing roadmap for CBM will be taken to task on reasons for non-compliance. The institutionalised CBM should take into account the need to include stakeholders such as volunteers, water users (consumers), water service providers, public officials, water experts, professionals and community members

7.3.5 Improved data management and performance indicators

Similar to any other public service monitoring activity, CBM in water service delivery hugely depends on the availability of data. Such data include data on infrastructural issues in various areas, community water needs, the status of ongoing water

projects, the usefulness of feedback mechanisms and the performance of local leadership in ensuring active community participation. Data management is crucial when planning, monitoring and carrying out remedial action on water service delivery programmes. At times, the absence of data affects the manner in which CBM can be used. Therefore, data gathering and management initiatives can assist the ORTDM to ensure that timely and accurate data informs decision making. In addition, the said initiatives should accommodate even illiterate members so that they can access and participate in decision-making. Since some local leaders are not literate, a user-friendly simplified data management programme can help in disseminating and gathering crucial CBM data and water service delivery information. Furthermore, performance indicators are key to the success of any water monitoring practice, therefore the municipality should ensure that its water target and benchmarks are always up to date for continuous improvement of service delivery.

7.3.6 Improving political will and councillor training

The political leadership of both the district and local municipalities in the OR Tambo district was not fully dedicated to CBM in water delivery. The research thus recommends that those in charge should be more willing to improve on access and community participation in the monitoring of the water they receive. The study views a dedicated municipal mayor as the centre of resource mobilisation and crucial for improving the involvement of local communities in determining and monitoring how they receive public services. In addition, dedicated municipal political leadership will ensure that the objectives of local government as contained is Section 152 of the Constitution of South Africa (1996) are achieved. This goal can be augmented by the improvement of relations across all intergovernmental stakeholders for more CBM efficiency.

In addition to the preceding, there is a need for councillor's training on the role of local government in improving public participation in matters of local concern. As elected office bearers, some councillors (especially those in rural wards) who participated in the study lacked the expertise to execute their tasks well. There is a need for training, development and capacitation of this vital component of CBM in water service delivery in the ORTDM.

7.4. POSSIBLE AREAS OF FUTURE RESEARCH

Future studies on community-based monitoring can focus on the following areas:

- Community-based policy making, implementation and evaluation in the South African public service.
- Evaluating citizen-centred public service delivery programmes and initiatives for sustainable development in the Republic of South Africa.

7.5. CONCLUSION

The study developed a CBM framework for improving citizen participation in water service delivery in the ORTDM. The major justification for the local sphere of government as represented by municipalities is to promote community participation in matters of monitoring. Since water is a basic and fundamental human right, receiving input and having people who review how it is delivered in their municipality is important. The findings of this study reveal that the ORTDM is faced with various challenges that affect its involvement of citizens in the timely planning and monitoring of water services. These challenges have affected issues of access and quality of water. The study recommends the proposed CBM model for use in the ORTDM together with the recommendations in this closing chapter. The study argued that CBM should be the basis from which water quality and access is addressed, since nothing for the people should be done without the people's input. As fundamental as it is, water is the world's most precious liquid, lack of access to it does not only infringe on the rights of communities, it also affects their standard of living. Over and above, each and every role player in the world should not tire in the quest of making sure that all people have access to good quality, affordable and reliable water.

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"Never doubt that a small group of thoughtful, committed citizens can change the world; indeed, it is the only thing that ever has"

–

Margaret Mead (1987)

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ANNEXURE 1: ETHICAL CLEARANCE CERTIFICATE

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2016-06-15

ETHICS APPROVAL CERTIFICATE OF PROJECT

Based on approval by the **Research Ethics Committee of the Faculty of Arts (FA-REC)** at the meeting held on **05/05/2016**, the North-West University Institutional Research Ethics Regulatory Committee (NWU-IRERC) hereby **approves** your project as indicated below. This implies that the NWU-IRERC grants its permission that, provided the special conditions specified below are met and pending any other authorisation that may be necessary, the project may be initiated, using the ethics number below.

Project title: ***Developing a community-based water services monitoring framework for the OR Tambo District Municipality.***

Project Leader/Supervisor: **Prof Gerda van Dijk**
Student: **Z. Roboji**

Ethics number: N W U - 0 0 2 2 2 - 1 6 - A 7
(Institution – Project Number – Year – Status)

Status: S = Submission; R = Re-Submission; P = Provisional Authorisation; A = Authorisation

Application Type: N/A

Commencement date: 2016-05-05 **Expiry date**: 2018-12-30 **Risk:** N/A

Special conditions of the approval (if applicable):

- The study leader must ensure that the questionnaire is ethically sound.
- Translation of the informed consent document to the languages applicable to the study participants should be submitted to the FA-REC (if applicable).
- Any research at governmental or private institutions, permission must still be obtained from relevant authorities and provided to the FA-REC. Ethics approval is required BEFORE approval can be obtained from these authorities.

General conditions:

While this ethics approval is subject to all declarations, undertakings and agreements incorporated and signed in the application form, please note the following:

- *The project leader (principle investigator) must report in the prescribed format to the NWU-IRERC via FA-REC:*
  - *annually (or as otherwise requested) on the progress of the project, and upon completion of the project*
  - *without any delay in case of any adverse event (or any matter that interrupts sound ethical principles) during the course of the project.*
  - *Annually a number of projects may be randomly selected for an external audit.*
- *The approval applies strictly to the protocol as stipulated in the application form. Would any changes to the protocol be deemed necessary during the course of the project, the project leader must apply for approval of these changes at the FA-REC. Would there be deviated from the project protocol without the necessary approval of such changes, the ethics approval is immediately and automatically forfeited.*
- *The date of approval indicates the first date that the project may be started. Would the project have to continue after the expiry date, a new application must be made to the NWU-IRERC via FA-REC and new approval received before or on the expiry date.*
- *In the interest of ethical responsibility the NWU-IRERC and FA-REC retains the right to:*
  - *request access to any information or data at any time during the course or after completion of the project;*
  - *to ask further questions, seek additional information, require further modification or monitor the conduct of your research or the informed consent process.*
  - *withdraw or postpone approval if:*
    - *any unethical principles or practices of the project are revealed or suspected,*
    - *it becomes apparent that any relevant information was withheld from the FA-REC or that information has been false or misrepresented,*
    - *the required annual report and reporting of adverse events was not done timely and accurately,*
    - *new institutional rules, national legislation or international conventions deem it necessary.*
- *FA-REC can be contacted for further information via Ms Yvette van der Merwe - 13128388@nwu.ac.za or 018 285 2301.*

The IRERC would like to remain at your service as scientist and researcher, and wishes you well with your project. Please do not hesitate to contact the IRERC or FA-REC for any further enquiries or requests for assistance.

Yours sincerely

Linda du Plessis

Digitally signed by Linda du Plessis
DN: cn=Linda du Plessis, o=NWU, ou=Vaal Triangle Campus, email=linda.duplessis@nwu.ac.za, c=ZA
Date: 2016.06.15 11:18:42 +02'00'

Prof Linda du Plessis
Chair NWU Institutional Research Ethics Regulatory Committee (IRERC)

ANNEXURE 2: REQUISITION LETTER

12 Tshatshu Lane
Lolo Park
Bisho

11 September 2017

The Municipal Manager
OR Tambo District Municipality
Myezo Park, Mthatha

Dear Sir

REQUEST TO ACCESS DATA COLLETION AT OR TAMBO DISTRICT MUNICIPALITY AND ITS LOCALITIES

My name is Zukiswa Roboji a doctoral student **(student no. 26589907)**, in the School of Government Studies at the North-West University. I am requesting your permission to access data in a research study towards fulfilling the requirements for the degree of Doctor of Philosophy in Public Management and Governance. The objective of this research is to understand how best the communities can participate to strengthen the monitoring structures related to the water service management of the OR Tambo District Municipality and its local municipalities.

This study has been reviewed and received ethical clearance through the North West University Research Ethics Committee **(NWU-0022-16-A7)**. Focus group discussion and personal interviews session will take place. If you would like any additional information about this study, please feel free to contact the supervisor, Prof Gerda van Dijk on 0182991627 or gerda.vandijk@nwu.ac.za.

Your support in this regard is much appreciated.

Thank you in advance.

Z.ROBOJI
0833782106

ANNEXURE 3: SUPERVISOR'S CONFIRMATION LETTER

NORTH-WEST UNIVERSITY
YUNIBESITI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
POTCHEFSTROOM CAMPUS

Private Bag X6001, Potchefstroom
South Africa 2520

Tel: +2718 299-1111/2222
Web: http://www.nwu.ac.za

The Municipal Manager
Attention:
Mr Owen Hlazo
Director: Water and Sanitation Services
O.R. Tambo District Municipality
Nelson Mandela Drive
Mthatha
5099

11 September 2017

Dear Sir

I hereby confirm that Me Z Roboji is a registered PhD student in Public Management and Governance at the North-West University. I request that access be granted to Me Z Roboji for her to complete her data collection as part of her research thesis.

Should you have any questions you are welcome to contact me directly.

Kind regards

Prof HG van Dijk
Director: School of Government Studies
Professor: Public Administration
018 299 1627
gerda.vandijk@nwu.ac.za

ANNEXURE 4: PERMISSION LETTER

O. R. TAMBO DISTRICT MUNICIPALITY

OFFICE ADDRESS:
O.R. Tambo District
Municipality House
Nelson Mandela Drive

POSTAL ADDRESS:
Private Bag X 6043
UMTATA
5100

O.R. TAMBO
DISTRICT MUNICIPALITY

TEL: (047) 501 6400
(047) 501 7000
FAX: (047) 532 3045
E-mail:ortambodm@ortambodm.org.

To: **Zukiswa Roboji**
12 Tshatshu Lane
Lolo Park, Bisho

Dear Madam

RE: PERMISSION TO COLLECT DATA AT OR TAMBO DISTRICT MUNICIPALITY

I hereby acknowledge that Zukiswa Roboji a doctoral student **(student no. 26589907)**, in the School of Government Studies at the North-West University, has met the prerequisite and has been granted access for data collection at the OR Tambo District for the purpose completing her dissertation. The objective of her study is to understand how best the communities can participate to strengthen the monitoring structures related to the water service management of the OR Tambo District Municipality and its local municipalities.

This request was acknowledged by the OR Tambo District Municipality Research and Development office and forwarded to the office of the Municipal Manager for further assistance and authorization. The Department of Water and Sanitation has been identified as the relevant office and the relevant officials have been.

We hope that the findings of the research will benefit our institution, communities in the OR Tambo region and South Africa in general.
You are kindly requested to grant her access to your respective institutions and offices.
Your cooperation and support of this student will be greatly appreciated.

Yours in Municipal Administration

O.N Hlazo
Municipal Manager

100 YEARS HONOURING OUR HERO

ANNEXURE 5: INTERVIEW GUIDE

NORTH-WEST UNIVERSITY ®
YUNIBESITI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT

Faculty of Humanities
School of Social and Government Studies
Private Bag X 6001, Potchefstroom 2520
North West Province, South Africa
Cell: 0833 782106, E-mail: zukiswaroboji@gmail.com

Target respondents: Water management officials in the OR Tambo District Municipality

Title of study: Developing community-based water services monitoring framework for the OR Tambo District Municipality

Zukiswa Roboji is a doctoral student **(student no. 26589907**), in the School of Government Studies at the North-West University. You are invited to participate in a research study towards fulfilling the requirements for the degree of Doctor of Philosophy in Public Management and Governance. The objective of this research is to understand how best the communities can participate to strengthen the monitoring structures related to the water service management of the OR Tambo District Municipality and its local municipalities.

This study has been reviewed and received ethical clearance through the North West University Research Ethics Committee **(NWU-0022-16-A7**). Your participation in this study is voluntary and you will not be adversely affected if you want to withdraw at any stage of the process. All the information provided will be considered anonymous and confidential. This focus group discussion session will take between 30-45 minutes of your time. Once data is analysed, final results will be published in an academic thesis and in academic journals. Thank you for your participation in this research. If you would like any additional information about this study, please feel free to contact the supervisor, Prof Gerda van Dijk on 0182991627 or gerda.vandijk@nwu.ac.za.

Semi-Structured Interview Questions

i. Do you believe the delivery of water services is effective within your municipal jurisdiction? If yes, why and if no, why not?

ii. What is your understanding of the current water management framework – who are involved in this framework and how is water service delivery monitored?

iii. Based on the current water management framework how do you perceive public participation in relation to water service management delivery?

iv. In your own understanding, does your organisation establish the processes and procedures that involve community members in the water services monitoring structures?

v. With the current water management framework, what challenges are faced by the ORTDM in the management of water?

vi. In your own opinion does the performance system of your department monitor water data that make it useful for the community members?

vii. How do you the sustain the idea of transparency and accountability to promote community participation?

viii. Currently, how water monitoring is published? How would you like the local council adequately publishing the water monitoring activities?

i. Has your organisation aligned your water management framework to the recently Sustainable Development Goals, as a benchmark for the need to improve water access in the community? If yes, how and if no, why not?

ix. If a community-based water monitoring programme could be introduced how would it be integrated with other programmes that are operating within your organisation?

x. How best can the water management framework be designed to enable the local communities to actively take part in all essential components of water provision and management?

xi. Do you have any further question that you would like to share which relates to water management, public participation and monitoring of water in your organisation?

Thank you for your participation

ANNEXURE 6: FOCUS GROUP DISCUSSION GUIDE

Faculty of Humanities
School of Social and Government Studies
Private Bag X 6001, Potchefstroom 2520
North West Province, South Africa
Cell: 0833 782106, E-mail: zukiswaroboji@gmail.com

Target respondents: Community members in the OR Tambo District Municipality

Title of study: Developing community-based water services monitoring framework for the OR Tambo District Municipality

Zukiswa Roboji is a doctoral student **(student no. 26589907**), in the School of Government Studies at the North-West University. You are invited to participate in a research study towards fulfilling the requirements for the degree of Doctor of Philosophy in Public Management and Governance. The objective of this research is to understand how best the communities can participate to strengthen the monitoring structures related to the water service management of the OR Tambo District Municipality and its local municipalities.

This study has been reviewed and received ethical clearance through the North West University Research Ethics Committee **(NWU-0022-16-A7**). Your participation in this study is voluntary and you will not be adversely affected if you want to withdraw at any stage of the process. All the information provided will be considered anonymous and confidential. This focus group discussion session will take between 30-45 minutes of your time. Once data is analysed, final results will be published in an academic thesis and in academic journals. Thank you for your participation in this research. If you would like any additional information about this study, please feel free to contact the supervisor, Prof Gerda van Dijk on 0182991627 or gerda.vandijk@nwu.ac.za.

Focus Group Discussion Questions

i. Do you have access to adequate, clean water? If yes, how and if no, why do you think you do not have access?
ii. What are your expectations with regard to the provision and management of water by ORTDM? In your opinion, who do you think should be involved in monitoring of water service provisioning in your area?
iii. Do you participate in municipal activities? If yes, how and if no, why not?
iv. What is your understanding of public participation and monitoring in relation to water service management delivery?
v. What challenges do you face in trying to take part in determining how water services are delivered in your local community?
vi. How would you want the municipal council to involve community members in water monitoring and provisioning?
vii. If community-based water monitoring programmes could be introduced in your community how you would be interested for participating and taking time in promoting the monitoring of water service delivery?
viii. In your own opinion, does participation of communities in water monitoring bring needed change in access to quality water in the ORTDM?
ix. How would the municipalities sustain the idea of transparency and accountability in water service management?
x. How would you like the local council to adequately publish water monitoring activities?
xi. What perceived benefits do you anticipate if your voice would be included in the design and monitoring of the water provisioning programmes in the municipality?
xii. Do you have any further question that you would like to share which relates to water management, public participation and monitoring of water at OR Tambo District Municipality?

Thank you for participating in this discussion.

ANNEXURE 7: CERTIFICATE OF LANGUAGE EDITING

cumlaude
languagepractitioners

Director: CME Terblanche - BA (Pol Sc), BA Hons (Eng), MA (Eng), TEFL

22 Strydom Street
Baillie Park, 2531

Tel 082 821 3083
cumlaudelanguage@gmail.com

DECLARATION OF LANGUAGE EDITING

I, Christina Maria Etrecia Terblanche, hereby declare that I edited the research study titled:

Developing a community-based water services monitoring framework for the OR Tambo District Municipality

for **Zukiswa Roboji** for the purpose of submission as a postgraduate study for examination. Changes were indicated in track changes and implementation was left to the author.

Regards,

CME Terblanche

Cum Laude Language Practitioners (CC)

South African Translators Institute accr nr: 1001066

Full member of the Professional Editors Guild