UNIVERSITY OF KWAZULU-NATAL

WATER SERVICE DELIVERY IN ETHEKWINI MUNICIPALITY: PERCEPTIONS AND PROCESSES IN JOHANNA/BOXWOOD ROAD INFORMAL SETTLEMENT

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DECLARATION

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ABSTRACT

Government is expected by its citizens to deliver services with the highest degree of quality and of suitable standards. This results in citizens' satisfaction and positive perceptions of their government. Any failure of government to meet citizens' expectations results in dissatisfaction and protests. In line with this assertion, the study primarily aimed at analysing the perceptions of the Johanna/Boxwood Road Informal Settlement's dwellers, in relation to the provision of water services by the eThekwini Municipality. It also sought to propose policy recommendations at a strategic level in line with the Sustainable Development Goals (SDGs) to advance quality water-service delivery beyond 2015. The study was grounded on the Expectation-Perception and Core-Value theories. The two theories centre their perspectives on the customer's view and on the ethos of customer service. These aspects accentuate the essence of organisations, including government, measuring the perceptions and expectations of customers. Their constructs are premised on reliability, assurance, tangibility, empathy, and responsiveness when services are delivered. One hundred units of analysis were drawn as the sample from the Johanna/Boxwood Road Informal Settlement, using a random sampling technique for the quantitative research method. Fifteen senior officials were interviewed from eThekwini Municipality's Water and Sanitation Unit, deploying the qualitative research method. The data collected was analysed using SPSS Version 23 for the quantitative research method, and Nvivo Version 10 for the qualitative research method. A huge percentage of the Johanna/Boxwood Road Informal Settlement dwellers surveyed believed that the quality of water delivered by eThekwini Municipality was high, and the delivery of water was reliable. They further asserted that the municipality was empathetic when delivering water services for them, expressing confidence in it. However, the results also stressed the importance of developing a policy that would be responsive to the needs of the citizens, and which would positively affect the lives of the common people. The findings further underscored the essence of enhancing communication between the municipality and the community when services such as water were delivered. The monitoring and evaluation tools were also identified by the study as being critical to measuring the progress when delivering services, particularly water.

The major recommendations of the study are that: 1) eThekwini Municipality should improve communication with the community, 2) eThekwini Municipality should develop response

strategies on how to efficiently deliver water services to areas, such as Johanna/Boxwood Road Informal Settlement, 3) more work needs to be done in order to understand how the water is collected and stored at household level, 4) more relationship building with the community should be undertaken by eThekwini Municipality, and 5) eThekwini Municipality should evaluate uts incentive programme at lower levels in order to encourage more productivity. Collectively, the recommendations of the study suggest the transformation of developmental local government, such as eThekwini Municipality in improving service delivery and good governance. This serves to fulfil the Sustainable Development Goals (SDGs) espoused by the United Nations, 2015, in terms of Goal 6 which places emphasis on ensuring availability and sustainable management of water and sanitation to all by 2030. The model proposed in the last chapter of the dissertation should therefore be adopted to enhance water delivery and management at local government level.

ACRONYMS

CBD	Central Business District
CHP	Comprehensive Housing Plan
COGTA	Cooperative Governance and Traditional Affairs
DSW	Durban Solid Waste
DWAF	Department of Water Affairs and Forestry
DWS	Department of Water and Sanitation
EM	EThekwini Municipality
EWS	EThekwini Water and Sanitation
FAO	Food and Agriculture Organisation
FBW	Free Basic Water
IDP	Integrated Development Plan
KPI	Key Performance Indicator
kW	Kilowatt
LED	Local Economic Development
LGSD	Local Government Service Delivery
MDGs	Millennium Development Goals
MPA	Masters of Public Administration
MSLCS	Municipal Services and Living Conditions Survey
NDP	National Development Plan
NWWTW	Northern Waste Water Treatment Works

PMS	Performance Management Strategy
PPP	Public-Private Partnership
RSA	Republic of South Africa
SDBIP	Service Delivery and Budget Implementation Plan
SDGs	Sustainable Development Goals
SERVQUAL	Service Quality
SIWA	Stockholm Industry Water Award
SIWI	Stockholm Industry Water Institute
SPSS	Statistical Package for the Social Sciences
UN	United Nations
WPTPSD	White Paper on Transforming Public Service Delivery
WSDPs	Water Services Development Plans

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CHAPTER 1

INTRODUCTION

1.1 Background to the Research Problem

According to Statistics South Africa 2001, the population of eThekwini was 3.09 million 1999. The population has grown at an average annual rate of 1.13% to reach 3.44 million in 2011 (eThekwini Municipality's Integrated Development Plan Review 2013/2014: 20). This rapid growth came as a result of migration of more people from rural areas to the city in the search for job opportunities and hoping for better living conditions. Consequently, there has been a mushrooming of informal settlements.

According to the South African Local Economic Development (LED) Network (2010), eThekwini Municipality is located on the east coast of South Africa within the province of KwaZulu-Natal. It also spans an area of approximately 2297 square kilometres. It can be argued that the eThekwini Municipality is one of the most diversified municipalities in the country with the largest number of informal settlements. This includes, but is not limited to, racial diversity. Ultimately, the municipality faces multifaceted challenges in terms of social, economic, environmental, and governance factors. eThekwini Municipality comprises a diverse society which experiences various social, economic, environmental, and governance challenges (eThekwini Municipality's IDP Review, 2013/14: 20).

Before the year 1994, eThekwini Municipality was made up of seven local councils, namely South Local, North Local, South Central, North Central, Inner West, Outer West, and Durban Metro councils, which were amalgamated in 2000 to form one Metro during the new demarcations of local government by the Municipal Demarcation Board. The Municipal Demarcation Board was established through the Local Government: Municipal Demarcation Act 27 of 1998. This Act sought to provide for criteria and procedures for the determination of municipal boundaries (RSA, 1998:1).

The amalgamation meant that there was a large percentage of rural areas which had, before the advent of the democratic dispensation, been unserviced and remained mainly disenfranchised.

These areas had to be incorporated into the newly established Metro post first democratic local government elections in the year 2000. The amalgamation and migration of people had implications specifically in relation to the provision of service such as job creation, and ensuring access to basic social services such as infrastructure development, including water delivery, particularly in informal settlements. Moeti (2014: 152) states that apartheid had created distortions in settlement patterns on the basis of race. Furthermore, the apartheid system was designed to bring about an uneven distribution of municipal capacity in favour of the White minority residing in the town areas to the detriment of the disenfranchised Black majority living in the rural areas. The amalgamation resulted in a great many people relocating to the city in the hopes of better living conditions.

The amalgamation process resulted in the birth of the Johanna/Boxwood Road informal settlement, as depicted in figure 4 of chapter 4, situated 8 km from the Central Business District (CBD) on the North of Durban which had to be serviced by the eThekwini Municipality. The municipality's service-delivery units such as Durban Solid Waste (DSW), eThekwini Water and Sanitation (EWS), and Electricity, provide services such as the collection of refuse, provision of 65 kilowatt (kW) free basic electricity, and 9kl of free basic water, the people living in this area being deemed indigent, as this is an informal settlement (eThekwini Water and Sanitation's Service Level Standards 2014/2015: 4). In line with this assertion, Section 153 (a) of the Constitution (RSA, 1996: 81-82) directs that a municipality must structure and manage its administration and budgeting and planning processes to give priority to the basic needs of the community and to promote the social and economic development of the community. Related to the underlying study, this poses the question of whether the citizens of the identified informal settlement are satisfied with the standard of water-service delivery by eThekwini Municipality. The study further seeks to analyse the perceptions which the citizens of Johanna/Boxwood Road Informal Settlement hold about eThekwini Municipality.

The White Paper on Transforming Public Service Delivery (1997: 1), known as *Batho Pele*, states that meeting the basic needs of all citizens is one of the key programmes of government in relation to development. Viewed from the study's perspective, *Batho Pele* suggests prioritising service delivery in general, and water delivery to the citizens in particular. From a constitutional perspective this remains one of the government's key mandates, particularly at local government

level. It is in this context that the researcher explored the extent to which eThekwini Municipality provided water services to the Johanna/Boxwood Road Informal Settlement's residents and the perceptions they have thereof. Mantzaris and Pillay (2014: 24) accentuate that it is always important for any government to constantly ensure that it does not relegate the needs of the community to the back burner. This has a potential of causing disatssfaction if it happens. The residents of Johanna/Boxwood Road Informal Settlement are the customers of eThekwini Municipality. The analysis of their perceptions with regard to basic service delivery is therefore of the essence as this will enhance the character and reputation of the municipality.

According to eThekwini Municipality's Municipal Services and Living Conditions Survey (2012/13, Corporate Policy: 22), the residents' perceptions regarding the quality of municipal services remain critical. As such, the municipality must conduct surveys to establish the citizens' service-delivery satisfaction levels (eThekwini Municipality's Municipal Services and Living Conditions Survey, 2012/13, Corporate Policy: 22). Furthermore, also within the said municipality, a Customer Perception Analysis Survey was conducted for eThekwini Water and Sanitation Unit by the University of KwaZulu-Natal (Water SA 2008) and by Nielsen South Africa (2010). These surveys were aimed at determining the perceptions of the customers regarding the service-level standards provided by the eThekwini Municipality's Water and Sanitation Unit. The surveys concluded that eThekwini Municipality was not influenced by international interests or by the private sector, whose prime purpose was to maximise on profits (Wilson, 2006: 3). The surveys further asserted that many people failed to pay their water bills, owing to unemployment. According to Nielsen South Africa (2010: 13), eThekwini Municipality scored 72 (out of 100) on the equity or satisfaction score when it came to water-service delivery. This suggested that the customers were satisfied with the water-service-delivery standards as provided by eThekwini Municipality. However, looking at the density of Johanna/Boxwood Road Informal Settlement, an interest was generated for this study to be conducted to establish the level of water service delivery, and the perceptions the residents of this informal settlement held of eThekwini Municipality. The study intended to recommend water-service-quality-improvement strategies, in the event that there were service-delivery gaps identified.

As alluded to earlier, water provision to citizens remains an essential service. The demand for water increases continuously in any municipality such as eThekwini, including

Johanna/Boxwood Road Informal Settlement. The United Nations (1998: 80) argues in its report that the rapid expansion of water use will have risen by 40% by 2025. The UN's report further states that 2.8 billion people in 48 countries, particularly in Africa, will experience serious water challenges by 2025 (United Nations, 1998: 80). Similarly, municipal authorities are increasingly confronted with challenges to increase the supply of water to citizens and to make effective use of existing water resources. From a public administration perspective, it is within this context that it is essential to address the challenges of service provision such as water.

Section 27 (1) (b) of the Constitution (RSA, 1996: 13) stipulates that it is the right of everyone to have access to sufficient food and water. This reinforces the notion that water is a basic necessity, meaning that local government must provide quality water services. However, most South African municipalities have witnessed service-delivery protests because of a citizenry that is mindful of its rights to public services. South African citizens do not shy away from public protests to make their voices heard– sometimes using violent, desperate, and vulgar methods (Mubangizi, 2013: 7).

Section 152 (1) of the Constitution (RSA, 1996: 81) describes the object of local government as being:

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

Linked to the objects of local government is the importance of conducting a research with a view to understanding the perceptions citizens have of their local government, particularly eThekwini Municipality, with regard to water delivery.

It was therefore primarily within the above context that this study was undertaken. The study sought to evaluate the rendering of water services to Johanna/Boxwood Road Informal Settlement within the eThekwini Municipality. Furthermore, it investigated and ascertained the

perceptions of the community on water-service-quality delivery in the identified informal settlement; and the extent to which the community was being engaged in the activities of the eThekwini Municipality as far as water-service delivery is concerned. Furthermore, the study sought to elicit the views that were held by the citizens that could assist the municipality in improving the quality of its water-service delivery to the people, particularly of Johanna/Boxwood Road Informal Settlement. Moreover, the study sought to understand the nature and the extent to which policies and strategies of the municipality impacted on the delivery of water services by engaging with municipal officials. To this end, fifteen senior managers from eThekwini Water and Sanitation were interviewed.

1.2 Policy and theoretical framework of the study

This section reflected on the literary work related to the study. It further served to give clarity and attention to the research problems. Various books, journal articles and relevant official documents were consulted in fulfilling this study.

1.2.1 Review of Related Literature

Phiri and Mcwabe (2013: 96) state that it is critical for organisations to develop a profound understanding of what customers expect. They assert that this knowledge results in customers deriving their perceptions of service quality on the levels of satisfaction they experience with any particular business (Phiri *et al*, 2013: 96). Furthermore, the authors comment that this understanding will assist organisations to deliver service quality, thus leading to customer satisfaction. Various organisations, including government institutions, have embraced the concept of Service Quality (SERVQUAL) in that citizens are no longer merely the passive recipients of service: they have become involved in governance service-delivery-related matters (United Nations, 2007: 309). Zeithaml and Bitner (2003), as cited by Phiri *et al* (2013: 98), state that organisations have an obligation constantly to assess customers' perceptions in relation to their expectations. They argue that customers form their perceptions of any company on the basis of whether they feel satisfied with the overall service provided by the company. Any failure to assess customer perceptions may plunge the company into a state of instability; perceptions–whether real or unfounded–are formed by the customers. These perceptions have a tendency to shift at any moment, hence the importance of conducting research on the quality of service

provided by any organisation. This is equally applicable to the services that are delivered for the citizens by any sphere of government. These services must also be checked for customer saisfaction. Should citizens perceive their government institution to be failing with regard to service delivery, they tend to resort to alternative means of demanding services, such as protesting against the government (Institute for Contemporary Studies, 2012: 3).

Contextualised within the local government environment, there is a clear perspective that service providers need a psychological paradigm shift in the discharge of their duties as per the *Batho Pele* principles. The *Batho Pele* principles are based on ensuring that the interests of citizens are prioritised by public servants. The White Paper on Transforming Public Service Delivery (1997: 8) defines the *Batho Pele* principles as:

- **Consultation:** This principle may be defined as ensuring that the residents play a vibrant role in the policy-formulation practices by any sphere of government, in relentlessly measuring customers' perceptions in relation to what they expect from their regime. This is effected with a view to legitimising the actions of government and enhancing democracy to effect change in any government behaviour (Wilson, 2006: 72). The rights of the citizens are accorded legitimacy of existence if citizens are consulted by their government when decisions have to be made.

- **Service Standards:** This principle deals with ensuring that public expectations are matched by achievable and measurable performance standards (eThekwini Water and Sanitation, 2012: 3). It is critical for any sphere of government to have in place service standards that will meet the expectations of the citizens. To this end, citizens deserve to be provided with quality services. Citizens must be apprised of the service level and the service product they can expect, and must also be informed where they may expect to receive the service (eThekwini Water and Sanitation, 2012: 5). Such an act satisfies citizens that officials cannot offer slipshod service.

- **Access:** This principle empowers all citizens of the country to benefit equally from the basic services provided by their government. The Service Charter (2013: 5) compels government to ensure that it presents the systems, processes, and programmes that will make it easier for all citizens to have access to the services it designs, no matter where

their home. This is against the backdrop of a time at which other sectors of society had been deprived of access to government services, before the democratic dispensation in 1994. Currently, the government of the Republic of South Africa remains unswerving in its determination to guarantee that its citizens are provided with adequate services such as water and waste removal (City of Cape Town, 2008: 2).

- **Courtesy:** The White Paper on Transforming Public Service Delivery (1998: 6) defines courtesy as the care and consideration that is extended by the public servants to the citizens when serving them. There has had to be a shift when dealing with the public from imposing on them to treating them with politeness and dignity. The Service Charter (2013: 4) stresses that it is important for any government servant to serve his or her fellow citizens with promptness and courtesy at all service delivery points. On the other hand, Wilson (2006: 83) argues that the tensions that exist between the state and society will continue to strengthen as citizens' human rights are abused by state elites. The principle of courtesy is there to ensure that there is no exploitation of citizens when they are being served, it being their right to be served promptly and politely.

- **Information:** This principle asserts that government institutions are obliged to provide correct information to the citizens. Van der Waldt (2014: 169) states that this is in line with ensuring that there is increased accountability of performance on the part of managers and front-line employees. The provision of accurate information, such as displaying clear signage and having information desks in place, allows citizens easy access to information. This reduces the chance of citizens engaging negatively with public servants, reacting emotionally. Rather, citizens engage with officials on the basis of facts. This means that when facts are provided, the chances of protesting or militating against government are minimised, if not eliminated.

- **Openness and transparency:** This implies that it is important for the holders of public office to ensure that they remain transparent and open about the decisions and actions that they take (United Nations, 2007: 140). This is in line with the dictates of Section 33 (2) of the Constitution which demands of all public servants to give in writing reasons for their administrative actions (RSA, 1996: 15). Such behaviour helps to instil the culture of

conscientiousness in public servants when serving fellow citizens. This further enhances the power of the citizens to participate in matters directly affecting their lives: public servants must conduct themselves openly and transparently.

- **Redress:** South Africa is known as a country characterised by the legacy of apartheid, segregation, and separate development. The advent of the new democracy in 1994 meant that there had to be a change in the way in which government conducted its service-delivery business. The White Paper on Transforming Public Service Delivery (1998) was published in line with response to the needs of the citizens. Consistent with this assertion, the democratically-elected government had to redress the damage of apartheid. Hence, the adopting of the principle of offering the citizens an apology and a full explanation should they not receive the service for which they have approached government (WPTPSD, 1998: 7). Citizens must consistently be treated empathetically and with the dignity they deserve. Citizens, as customers, demand excellent customer service from their government.

- **Value for money:** This principle states that citizens deserve to be provided with basic amenities in such a manner as enhances their lives cost-effectively, characterised by integrity and accountability. Pillay (2014: 27) accentuates the importance of handling the citizens' money in a responsible way, offering value for money when public goods are delivered to them. This emphasises the fact that public servants have to use public money correctly and when necessary to do so, and not to embezzle public funds, depriving citizens of their rights. The White Paper on Transforming Local Government (1998: 32) emphasises the fact that local government must make a paradigm shift in terms of how it delivers services. The White Paper (1998:32) states that there must be stringent controls in place with regard to accountability, equity, and fiscal matters. It becomes more difficult for government employees to waste public funds when the rules, processes, and procedures are clearly defined. This must be effected within the parameters of implementing Chapter 10 of the Constitution. Chapter 10 accents the importance of employees' conducting themselves ethically when serving their fellow citizens (RSA, 1996: 107).

However, KwaZulu-Natal Provincial government has eleven *Batho Pele* principles as it added the following three more principles:

- **Encouraging Innovation and Rewarding Excellence:** This principle is about being creative in executing government's work, and ensuring that the staff who go an extra mile in doing their work are rewarded. It further ensures that ideas from staff are embraced by management.

- **Customer Impact:** This principle assesses the effectiveness made in improving the lives of the citizens when services are delivered by government.

- **Leadership and Strategic Direction:** This principle is about the forward-thinking of government's management when planning for the new direction to be followed by staff in delivering services.

The fundamental purpose of the *Batho Pele* is to ensure that the needs of the citizens come first in the course of being served. This is in line with ensuring that citizens are satisfied with government's service-delivery standards, including the supply of water. This shift emphasises local government's need to understand the perceptions of citizens, in order to devise service-delivery improvement plans and strategies. The principles of *Batho Pele* declare that any sphere of government must prioritise service delivery to its citizens. The principles further assert that government's role is not only to exercise political governance, but also to ensure effective interaction with the citizens in achieving public goals and objectives (United Nations, 2007: 8). On the other hand, Wilson (2006: 83) points out that tensions exist between the state and society; and this includes human rights' abuses. The provision of water services to the community is one of the constitutional basic human rights. Any lack thereof means failure of government to deliver. Equally, Mchunu and Theron (2013: 39) argue that, despite the *Batho Pele* principles being in place, there are voices which have offered protests demanding service delivery. This study therefore supported that eThekwini Municipality should be providing water services equitably even to the Johanna/Boxwood Road Informal Settlement's citizens. A deduction may be made that no view may uphold the monolithic, reclusive, and unidirectional nature of quality-service delivery by any sphere of government.

Having introduced the *Batho Pele* principles as the basis of service delivery within local government, the succeeding discussion addresses the theories that served as the basis for the study.

1.2.1.1 Expectation-perception theory

This theory foregrounds its view from the perspective of the customer. Musaba, Musaba and Hoabeb (2014: 541) state that excellent customer service means going the extra mile, and beyond what customers expect, giving them what they actually want. They further stipulate that good customer service means exceeding the consumers' expectations, and impressing them with empathy and understanding. In view of the expectation-perception theorists, it becomes critical that perceptions and expectations of the customers should be measured. Muhammad (2012: 1) emphasises the importance of organisations or institutions' measuring from time to time the way in which expectations of customers are met. The author further states that the efficiency of either private or public institutions firmly depends on how that institution successfully delivers services to its target markets or customers. Equally, Houston and Sausi (2013: 127) enhance this view by stating that citizens' experiences and perceptions of public services remain extremely important in the identification of the needs of local communities. They also assert that this helps in the design of efficient service models that result in improved service-delivery standards. Furthermore, and related to the study, the expectation-perception theory contends that citizens should expect to receive water services from eThekwini Municipality; any failure would be considered unresponsive to the needs of the citizens. In this context, the study measured citizens' perceptions on the delivery of water services from the perspective of the Johanna/Boxwood Road Informal Settlement.

1.2.1.2 Core-value theory

The Core-value theory came about as an alternative to the Expectation-Perception theory, most institutions opting for a conglomerate of core values comprising a customer service ethos. In attempting to deconstruct and reconstruct the perceived or real service quality for the purpose of this study, five key service-quality determinants or constructs, as detailed in Musaba *et al* (2014: 535), are elaborated below. These constructs are: (a) reliability; (b) assurance; (c) tangibles; (d)

empathy; and (e) responsiveness. Musaba *et al* (2014: 533) assert that customers rate service quality on the basis of the following five determinants:

- **Reliability:** refers to the ability to provide what was promised, dependably, and accurately. This measure was used to test how reliable the water-service delivery was within Johanna/Boxwood Road Informal Settlement. It remains critically important to give people the help they need in a reliable manner. The extent to which this occurred at Johanna/Boxwood Road Informal Settlement was explored.

- **Assurance:** refers to the knowledge and courtesy shown to customers, and the ability to convey trust and confidence. The White Paper on Transforming Public Service Delivery (1997: 6) places more emphasis on the importance of courtesy which ultimately assures the citizens of service provision. The study examined assurances given to the citizens of Johanna/Boxwood Road Informal Settlement relating to water-service delivery.

- **Tangibles:** refer to the physical facilities and appearance of the service provider. This variable of the core-value theory also viewed the physical facilities of the recipients of government service, such as water. An attempt was made to assess the cleanliness of the Johanna/Boxwood Road Informal Settlement.

- **Empathy:** this construct refers to the degree of caring for and individual attention shown to the customer by the government institution/official. To be employed by a government institution means commitment to serving with understanding the needs of the citizens. This construct related to whether eThekwini Municipality delivered water empathetically for the people at Johanna/Boxwood Road Informal Settlement.

- Responsiveness: refers to willingness to help customers promptly. Phiri *et al* (2013: 101) define responsiveness as taking care of customers immediately. This study viewed responsiveness as finding out whether the citizens of Johanna/Boxwood Road Informal Settlement perceived that eThekwini Municipality treated them with compassion, care, and conscientiousness. The United Nations (Public Administration and Democratic

Governance) (2007: 8) states that it is important for any government institution to ensure that it is responsive to the needs and desires of its citizens. Figure 1 depicts the core-value theoretical constructs.

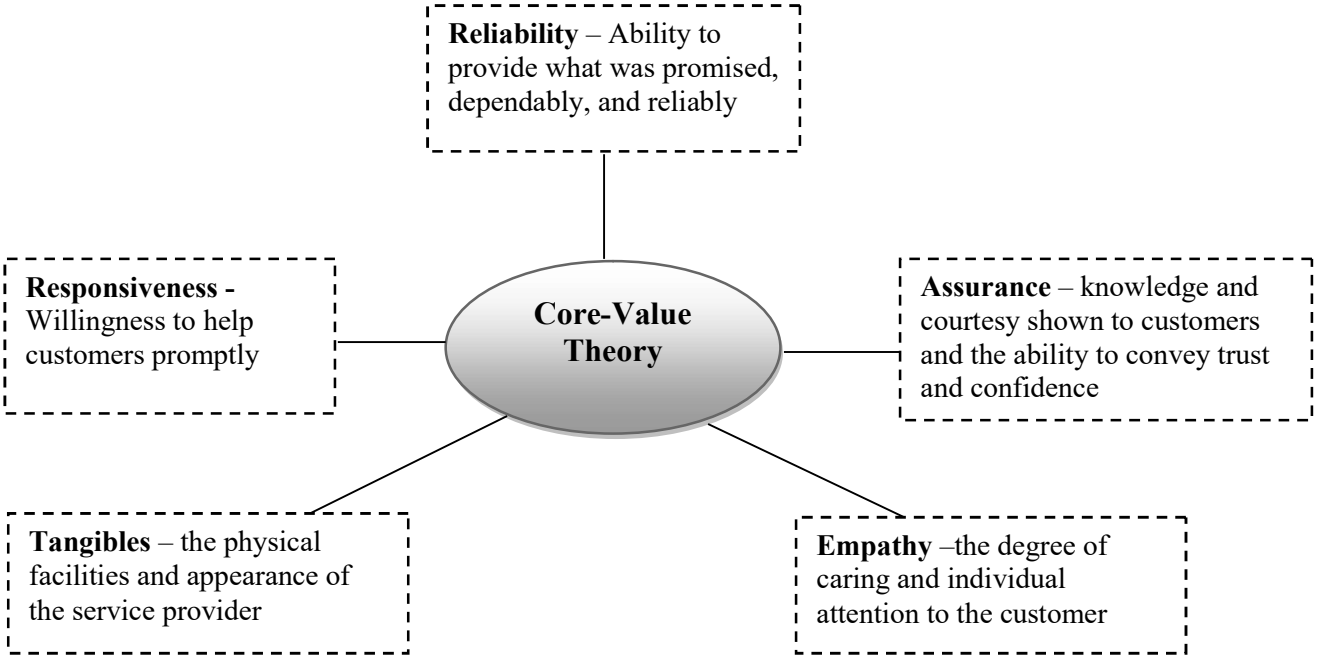


Figure 1.1: Core-value theoretical constructs

Source: Researcher, 2015.

In the context of the above exposition, the researcher believed that there was a need for further investigation to analyse the five key constructs/variables which underpin the Core-Value Theory in addressing the water-service-delivery needs and perceptions of the citizens within the Johanna/Boxwood Road Informal Settlement in eThekwini Municipality.

1.3 Research Questions

The main research question of the study was:

What are the perceptions of the citizens of Johanna/Boxwood Road Informal Settlement and views on strategic interventions of eThekwini Municipality on water-service delivery?

Linked to the main research question the following were the specific research sub-questions:

- What are the perceptions of the Johanna/Boxwood Road Informal Settlement's residents on water-service delivery by eThekwini Municipality in their area?

- What is the efficacy of the consultation strategies employed by eThekwini Municipality in the delivery of water services at Johanna/Boxwood Road Informal Settlement?

- How are water service standards implemented and maintained at Johanna/Boxwood Road Informal Settlement in eThekwini Municipality?

- What is the impact of the monitoring and evaluation system adopted by eThekwini Municipality in the delivery of water services at Johanna/Boxwood Informal Settlement?

- What is the impact of the performance-management strategy used in the delivery of water service processes at Johanna/Boxwood Road Informal Settlement in eThekwini Municipality?

After conducting the study, all questions raised in the study were answered.

1.4 Research Objectives

The overall and primary objective of this study was to explore the perceptions of the citizens of Johanna/Boxwood Road Informal Settlement and views of Municpal officials of eThekwini related to water-service delivery.

The secondary research objectives of the study were as follows:

- To elicit community perceptions on the quality of water services delivered to the Johanna/Boxwood Road Informal Settlement by eThekwini Municipality;

- To understand the efficacy of the consultation strategies employed by eThekwini Municipality at Johanna/Boxwood Road Informal Settlement;

- To ascertain the implementation of the water-service standards at Johanna/Boxwood Road Informal Settlement in eThekwini Municipality;

- To evaluate the effectiveness of the monitoring and evaluation system employed by eThekwini Municipality in delivering water services to Johanna/Boxwood Road Informal Settlement; and

- To establish the extent of the impact of the performance-management strategy used in the delivery of water services to Johanna/Boxwood Road Informal Settlement in eThekwini Municipality.

The objectives the study sought to address were all achieved by viewing the data collected. The study produced a local government service-delivery model.

1.5 Organisation of the Dissertation

The study comprises six chapters:

Chapter 1 is an introduction to the study which incorporates the research title, background to the study, research problem, research questions, research objectives, research methodology, study site, target population, sample, sampling methods/techniques, data-collection instruments, data analysis and interpretation, qualitative validity and reliability, significance of the study and justification, ethical considerations, and limitations of the study.

Chapter 2 delineates and reviews in detail the scholarly literature related to the study, viewing the topics, such as the role of local government, from the South African perspective. It further examines the provision of water in South Africa in general, water-service delivery within the informal settlements, and in particular, the legislative framework within a South African local-government sphere. The literature reviewed assesses extensively and mainly the pre- and post-apartheid eras (1994).

Chapter 3 covers the theoretical framework which underpins the study. The expectation-perception and core-value theories upon which the study is grounded are exhaustively elaborated. The two theories are applied in context as they relate to service quality and the way in which customers respond when their expectations are either met or unmet.

Chapter 4 outlines the research methodology; also detailing the processes and procedures that have guided the research. This chapter also includes the population, sample size, and sample of participants, together with the data collection.

Chapter 5 presents the data interpretation, and analysis thereof. Both quantitative and qualitative data are analysed in this chapter.

Chapter 6 provides recommendations and conclusions drawn from the findings administered through the quantitative and qualitative research methods.

1.6 Conclusion

This chapter examined extensively the background and the research problem, detailed the preliminary literature review and provided reasons for the choice of the topic. The chapter also elaborated on the *Batho Pele* principles which have to be prioritised by public servants in the discharge of their civic duties. The principles of consultation, service standards, access, courtesy, information, openness, and transparency, redress, and value for money, encouraging innovation and rewarding excellence, customer impact, and leadership and strategic direction were applied within the context of local government. This chapter also introduced the expectation-perception and core-value theories as the theoretical basis for the study. The research questions, the research objectives, and the organisation of this study were introduced in this chapter.

CHAPTER 2

LITERATURE REVIEW

2.1 Introduction

South Africa is a country known for its history of apartheid policies and legislation. The Group Areas Act, No. 41 of 1950, introduced the implementation of separate development among different races. In terms of the Act (1950: ix), various racial groups such as Whites, Asians, Blacks, or Coloureds had to live according to the composition of their racial groupings. This resulted in people of African origin being forcibly relocated to areas far removed from the cities. It further allowed the government of the time to ignore the basic needs of Black people. This is evidenced by the argument advanced by Mbeki and Phago (2014: 206) that the apartheid government had only prioritised the needs of the community and their service provision on the basis of the colour of their skin. The Blacks had been coerced to settle in areas where there were no basic services, which resulted in the glaring disparities created by apartheid and discrimination (Moeti, 2014: 151). Racial segregation and separate development ensured that Blacks could not have access to basic conveniences such as water, thus depriving them of their dignity. The apartheid system created an environment characterised by the imbalances and distortions in terms of the settlement patterns which favoured the areas inhabited by Whites to the detriment of the areas mainly occupied by Blacks, such as the rural areas (Moeti, 2014: 152). The racial segregation laws and the existing local government system had ensured that Blacks could not reach health and basic facilities; and their dignity was not respected (Netswera and Kgalane, 2014: 261). This resulted in the electorate expecting to be provided with basic services such as water and sanitation in a non-racial, non-sexist, and democratic manner.

Framed within the context of the preceding exposition, this chapter therefore addresses the background to local government adapting to the broader environment of service delivery in the South African scenario, including the provision of water services. It reviews the history of the informal settlements with specific focus on the water-service delivery to Johanna/Boxwood Road Informal Settlement in eThekwini Municipality (EM). The legislative perspectives informing the delivery of water services by local government are also explored.

2.2 Diagnosis of the concept of informal settlements

This part of the chapter focuses both on the international as well as national thinking and understanding on, and of the phenomenon "informal settlements". The purpose of this undertaking is to understand the meaning of the phenomenon itself; the interconnectedness and subsequent implications to the delivery of water services. Moreover, the chapter sought to provide the understanding of what the existing conceptions and perceptions could be, from theoretical point of view, on supplying water services to informal settlements' dwellers on an equal footing to the so-called 'formal-housing' dwellers.

2.2.1 Defining Informal Settlements

Informal settlements can be defined in a variety of ways. For example, Al-Daily, Parrott and Stephenson (2013: 1) define informal settlements as the increase in population resulting from rapid urbanization, emanating from people migrating from the rural areas to the urban places. The authors accentuate the fact that informal settlements' rapid growth in cities is uncontrolled. Upon arrival in cities, the residents expect to be provided with services by the government of their respective areas. The Vienna Declaration (2004) defines informal settlements from the globalised context as human settlements, which for a variety of reasons do not meet requirements for legal recognition, and have been constructed without respecting formal procedures of legal ownership, transfer of ownership, as well as construction and urban planning regulations. Vienna Declation (2004) further states that informal settlements exist in their respective countries and hamper economic development. Also to note, the Declaration asserts that these settlements are mainly characterized by informal or insecure land tenure, inadequate access to basic services, both social and physical infrastructure and housing finance.

Similarly, as suggested by the Economic Commission for Europe in 2008, an informal settlement represents any human settlement where housing has been constructed without the requisite legal title for ownership and/or use of the land for residential purposes. Allusions to illegality refer mainly to conformity with planning, zoning and construction norms and, more importantly, to tenure situations, for example, squatting on public or private land. Residents of informal settlements often lack legal rights to the land and the house and are vulnerable to eviction. The

vulnerability of dwellers in informal settlements is sometimes amplified by a general inadequacy of housing, access to services, such as water (Economic Commission for Europe, 2008).

Huchzermeyer (2004: 28) cited by Nnadozie (2013: 87) argues that the inductive research of western scholars in the 1960s, particularly on informal settlements in Latin America, had a significant impact on international thinking on how to deal with unauthorised housing or illegally occupied land. The author argues further that for the first time, social insight into the functioning of informal settlements was being introduced into the international development literature and into international consultancy and advisory work (Nnadozie, 2013: 87). However, given the significant diversity in the forms and types of informal settlements, and hence different understanding behind the definition of informal settlement, it is necessary to avoid seeing such a complex phenomenon as two-dimensional -formal or informal- only (Tsenkova, 2009: 5). For Tsenkova (2009: 8), despite a great range of spatial manifestations across the globe, there are several major types of informal settlements:

- Squatter settlements on public or private land;
- Settlements for refugees and vulnerable people; upgraded squatter settlements; illegal suburban land subdivisions on legally owned private, with illegal changing of land-use, often on the urban fringe; and
- Overcrowded, dilapidated housing without adequate facilities in city centres or densely urbanised areas.

2.2.3 The Genesis and Trajectories of Informal Settlements

In tracing the genesis of informal settlements, authors like Tsenkova (2009: 8); Hernandez-Garcia (2013: 14) are of the view that in many countries across the globe, the formation of informal settlements is not new but dates back to the 1950s and 1960s. This was when informal settlements themselves became visible enough to attract the attention of the researchers. While there could be a number of factors which contributed to the wide spread of informal settlements in urban areas, but the most cited is migration. For Tsenkova (2009: 8) and Hernandez-Garcia (2013: 14), rural-urban migrations have significantly contributed to the urbanisation process, and remained at the centre of population growth in cities. This is inclusive of those whom the cities

could not accommodate. Under these circumstances, these authors reckon that in the absence of accommodation for people who have come to seek employment opportunities but without accommodation, they have been forced to find alternative dwellings, hence in the informal settlements. For these reasons, the shortage of officially built houses; increased urbanisation unparalleled with proper accommodation, the increased demand for housing being greater than the supply thereof, or greater than what the city could afford, eventually gave rise to the creation or expansion of informal settlements.

Tracing the history of informal settlements prior to the 1950s and 1960s, Hernandez-Garcia (2013: 13), asserts that as far back as before the industrial revolution, people provided themselves with shelter, mainly through self-help and self-building. With technical developments and a growing economy, the practice of self-help and self-building, that was for everyone and a common practice, was thereafter left to the more disadvantaged groups, especially in urban areas. From this perspective, the author further argues that the self-help and self-building practice gradually lapsed from formal procedures of the economy and the city (Hernandez-Garcia, 2013: 13). It can therefore be argued that Hernandez-Garcia's assertion points to the fact that self-building was initially a normal, formal, and acceptable practice and also supported by governments. However, with globalisation and adoption of what could be termed as 'international best practices' and 'internationally acceptable technologies', governments abandoned or rather rejected the notion of self-help and self-building in favour of commoditised housing schemes. In the process, the poor who could not afford to buy or rent the government-supported housing projects, were left-out in the cold, and their houses termed 'informal'.

2.2.4 Causative Agents of Informal Settlements

For the purpose of this discussion, causative agents of informal settlements relate to factors other than just movements of people, namely migrations. In that respect, Gilbert (2015: 111) points out to the fact that most writers broadly agree that self-help and slum housing develop as a consequence of poverty. Using the case of Latin America as a point of reference, Gilbert (2015: 112) has found that at one point in time the economy of Latin America was incapable of accommodating every citizen or provide everyone with a well-paying job. In the process, compounded by social inequalities inherent in the development process, the level of poverty

escalated, and people could not afford to buy formal houses. In turn, the poverty-stricken or the unemployed built themselves what is today termed as 'informal settlements'. Viewed from this perspective, Al-Daily *et al* (2013: 2) affirm that the vast majority of the urban poor live in informal settlements. Related to the study, eThekwini Municipality has had the influx of informal dwellers post 1994. Consequently, this influx has imposed a burden on Municipality's development plans such as the delivery of water.

2.2.5 The Theory of Urban Development of the Informal Settlements

There are a number of scholars who have explained the development of informal settlements from the theoretical perspective. These include Castells (1974); Duhau (1998); Pradilla (1987); Schteingart (1981) Ziccardi (1985), all cited in Al-Daily *et al* (2013). For Al-Daily *et al* (2013: 3), the 'Theory' of urban development of the informal settlements is the articulated group of propositions that aim to explain the development and operation of the process in which low income urban social groups, within a framework of economic and political aspects such as habits, values, and specific practices, undertake illegally and directly, the occupation of land spaces to build themselves their homes. They do this with sole purpose of promoting the intervention of the government to legitimate, when such is the case, land ownership, improve conditions for their homes and incorporate the settlement to the urban group through the introduction and installation of public services and infrastructure (Al-Daily *et al*, 2013: 3)

The recent contributions to the theory are vast. The theory of Urban Development of Informal Settlements has recently been found to be entrenched in "liberal theory", "fundamentalist view", and "socialist view or goal-orienting view". From liberal theories, the fundamental reason of creating informal settlements is mainly population and migration based. The view from this perspective is that the rural community has an oversupply of labour, hence there are employment opportunities, no industries except supermarkets compared to industrial or urban sides (Dash pour and Alizade (2011: 48). The oversupply of labour then initiates a wave of rural migration to cities. Inevitably, not all will find families and friends for accommodation. Eventually, they find an open space to build a house on assumption that this takes place at an aggregated level or affordable areas of resident, hence the development or expansion of informal settlements. For

Dash pour *et al* (2011: 49), increased population is the main factor of urban development of informal settlements, and its solution is controlling the population

On the other hand, the fundamentalist view in the development of informal settlements is largely based on economic and political system among developing countries. It is argued that this view tries to discern the reasons of informal settlements in the form of space political economy (Ahadiyan and Shaker-Ardakani, 2013: 316). In contrast to liberal view, space political economy investigates genesis of different settlements trying to be involved in the issue of origins. This view assigns mono-city of urban system and its heterogeneity to external factors making every efforts to solve the problem by adjusting working, production, distribution, and consumption structures namely, economic construction, and finally, communities' fundamental changes. Therefore, no instruction provided for sectional and case dealing of informal settlement; at best, they are like sedatives that may hide the pain of origin (Hakimi, Fatahi and Abdollah, 2013: 3).

However, the new socialist and goal-oriented perspective maintains that informal settlement and emerging marginal groups in urban communities of developing countries results from the natural trend of the contrast between work and investment (Dadash pour *et al*, 2011: 50). Forcible outcome of rules performance governing capitalist economy system, namely capital concentration and accumulation is uneven economic growth, and social contrast outbreaks, including rural and urban life. In practice, opposed to concepts of destruction; it mostly considers notions like empowerment, improvement, and renovation. Therefore, according to the aforementioned, it can be viewed that informal settlement and marginalization are caused by different factors (Dadash pour *et al,* 2011: 50). This research views the informal settlement from the perspective of the community- and goal-oriented approach trying to empower such settlements.

2.2.6 Informal Settlements: Formality-Informality Discourse

For Hernandez-Garcia (2013: 16), informality is a term in Latin America that operates at a scale beyond the settlement level: for many it represents a type of economic development. On the other hand, the term applies to social and cultural practices, qualifying expressions and manifestations which are not part of the mainstream. Hernandez-Garcia (2013: 17) further argues that the discussion of the relationship between informality and formality is at the centre of the

current debate on informal settlements. Thus, questions which are being debated include: 1) Is informality close to illegality, and on these grounds, should the aim be to eradicate it, as traditional views imply? or, 2) Is informality a valid alternative to formality, and as such, should it be permitted. That is, should informal settlements' dwellers be provided with a full package of basic services on the same level as formal houses residents, and also be afforded social securities on the same level as disadvantaged and poor persons? These questions constitute current debates in the South African local government context. As such, this has seen an escalation of service delivery protests among local citizens, including informal settlements' dwellers demanding the provision of services from their local authorities (Mbeki *et al,* 2014: 214).

Taking it further, Elmouelhi and Oguz (2013: 2) take a view that the formal system consists mainly of the political regime, government, and official institutions, with the laws and regulations controlling this system in planned urban areas protected and adhered to by the citizens.

Having presented the theoretical context within which informal settlements are located, the ensuing discussion investigates how informal settlements are addressed within the South African local government sphere, in relation to water service delivery.

2.3 The Role of Local Government: A South African Perspective

The local sphere of government is prescribed in Section 41 (1) of the Constitution of the Republic of South Africa of 1996 as part of cooperative governance which cannot operate independently. It is also interrelated and interdependent with the national and provincial spheres of government (RSA, 1996). Despite this, local government has its own distinctive functions which it performs within the local space, it being the sphere of government closest to the people. Local government derives its mandate from Section 152 (1) which states that it must provide (RSA, 1996: 51):

- A democratic and accountable government for local communities;
- Services to communities in a sustainable manner;
- Social and economic development;

- A safe and healthy environment; and
- The involvement of communities and community organisations in matters of local government. This must be actively encouraged.

Local government mandates are the constitutional imperatives that municipalities are expected to fulfil, including water delivery. These mandates lay the foundation on which local government is expected to operate. Moeti (2014: 151) argues that it is within this context that local government is expected to provide basic services such as water, so that it can satisfy the needs of the citizenry. In the same way, Koma (2010: 111) asserts that local government has the mandate to deliver adequate services and to be sensitive to the needs of the people it serves. To be able to be responsive to the needs of the citizens, local government must take notice of what citizens say they need (United Nations, 2007: 104). National government, on the other hand, is viewed as lacking the capacity to deliver basic services like local government. To this end, Van der Waldt (2014: 4) asserts that the importance of local government cannot be overstated, it being the sphere of government that directly serves the needs of the people at local level. This implies that there is a great deal of expectation from the people regarding local government, and the advancement of local democracy in the provision of basic services such as water.

As stated in the introductory section, South African citizens began to appreciate being served by their government, especially at the local level, after the attainment of the democratic dispensation in 1994. Being at the coalface of the delivery of services, local government has the duty and the mandate to provide services such as water, sanitation, electricity, waste removal, shelter, and the construction of roads (Gordhan, 2014: 8). Similarly, Van der Waldt (2014: 172) asserts that local governments have improved their standards of delivering basic services such as potable running water, electricity connections, and effective collection of waste services. The new government took over a service infrastructure which was inferior and of poor quality during the apartheid dispensation (Nnadozie, 2013: 81). It became necessary for the new government to provide better basic services. Thus, the emergence of the democratic government brought with it a great deal of expectation of value.

The above argument lies in the context of the apartheid government's entrenching of poverty within the fabric of Black people so that they could not have access to any services. This is evidenced by the fact that poverty in South Africa is still within the discourse and parameters of the racial lines that were engineered and pioneered by the apartheid government (Moyo, 2013: 5155). The attainment of the democratic state in 1994 helped alter the political environment substantially for all South Africans (Kanyane, 2013: 128). However, it could be argued that there are people in some rural and peri-urban areas, including informal settlements such Johanna/Boxwood Road, who are still deprived of access to water.

The characterisation of poverty in the above manner highlights that, even though local government is providing services in South Africa for local people, attempts must still be made to engage in the dialogue that will extricate the citizens from poverty and lack of basic services such as water and sanitation (Moyo, 2013: 5155). Nleya (2008: 272), on the other hand, advances the view that poverty remains one of the striking features which the South African government has to address in dealing with the issue of the provision of basic services.

The United Nations (2014: 8) argues in its Millennium Development Goals (MDGs) Report (2014) that much progress has been made not only with regard to eradicating poverty and hunger, but also with the provision of water. Such an assertion is also supported by the MDG Report (2013) stating that over 2.1 billion people have now gained access to improved drinking water sources (United Nations, 2013: 4). The same report asserts that the global population using improved water sources has grown from 76 per cent in 1990 to 89 per cent in 2010 (2013: 4). The implication of this is that the MDG water target had already been reached five years ahead of time, the target date being the end of 2015. The MDGs are aimed at expressing a pledge to uphold human dignity, equality, and equity, to ensure that the entire world is freed from extreme poverty (United Nations, 2014: 3). Providing water services is part of ensuring that poverty is eliminated. Placed within the South African context, the 2013 South Africa's Millennium Development Goals Report (2013: 23) stipulates that in 2012 there were 4.4 million households that received free basic water as against the 6.2 million households in 2009. However, it is emphasised that this should not be analysed within the context of a decline, but instead must be viewed within intense targeting of the indigent households. The report further asserts that of the 4.4 million households that accessed water in 2012 in South Africa, 2.5 million were indigent:

this was therefore a huge achievement within the MDGs. However, it is hoped that the ushering in of the Sustainable Development Goals (SDGs) rather than the MDGs will fast-track the issue of post-2015 development agenda (UN, 2015: 23).

2.3.1 Competent Administration

In line with the above assertion, to be able to efficiently and effectively provide basic services such as water to the neediest citizens, local government must employ people having the requisite skills. Van der Waldt (2014: 13) argues that the terms "productivity" and "innovation" have become as important within the public sector as they are in the private sector. Whoever is employed by government at any level must produce the services required by the citizens, and must be able to generate creative ideas. In line with this, the Public Administration Management Act (RSA, 2014: 4) emphasises the need for professionalisation of public services, including local government. The Act aims at improving the manner in which public services are provided, that is, with the highest degree of professionalism, competency, ethical correctness, and impartiality (Kanyane, 2013: 134). The Act argues that this must be achieved in a manner reflective of the highest ethical standards, which ultimately ensures the delivery of basic services in an impartial, efficient, and more economic manner, thus fulfilling the needs of the citizens (RSA, 2014: 4).

Peters and Pierre (2009: 39) assert that both the policymakers and the citizens wish to have a workforce that meets the needs of fellow citizens. Similarly, the White Paper on Human Resource Management (1998: 2) expresses as its vision the importance of a diverse, competent, and well-managed workforce, capable of and committed to the delivery of high-quality services such as water. This will ensure that South African citizens are not denied their rights to basic services, and are untangled from the remains of the inherited inhumane apartheid. However, there have been instances in which public protests have occurred as a result of the inability of the workforce to deliver basic services (Mantzaris and Pillay, 2014: 17). It could be argued that local government cannot succeed in delivering water and other services if it lacks the requisite skills in the form of staff competency.

Mantzaris *et al* (2014: 20) assert that government has to focus more attention on on employing staff on the basis of merit when delivering services to satisfy the citizens. A competent

workforce can therefore be recognised as an absolute essential if basic services, including water, are to be delivered successfully. This accounts for all areas– urban, peri-urban, informal settlements, and rural areas. From the theoretical perspective discussed in Chapter 3 of this study, citizens expect services to be delivered in line with the expectation-perception and core-value theories. These theories are fundamental to service delivery such as water. The theories further place strong emphasis on satisfying the needs of the customers and on ensuring that customers are treated responsively, reliably, empathetically, and in a manner that gives assurance to the quality of services provided.

However, if local government is able to deliver basic services such as water, sanitation, and waste removal with speed and immediacy as a result of competent staff, then local government will be regarded as being responsive and empathetic to the needs of the people. Asamoah (2013: 22) places emphasis on staff having to be employed on the basis of merit, so that basic service delivery will improve. The successful delivery of services such as water depends on the employment of qualified staff. Equally, citizens have to be involved in the determination of their needs. This will result in the staff displaying the qualities of public honesty, integrity, and accountability (Kanyane, 2013: 132).

2.3.2 Strong Leadership

On the other hand, Kanyane (2013: 127) expresses the view that the South African public service is branded as lacking accountability, good governance, and transparency; and is considered replete with incompetent and under-qualified staff who cannot deliver the required basic services. If, therefore, any government sphere, such as local government, continues to employ incompetent and unskilled staff, and does not involve citizens in its decision-making processes, the delivery of basic services will remain unrealistic. Kanyane (2013: 134) argues that the performance of local government in South Africa has left much to be desired with regard to the delivery of basic services such as water, hence the escalation of public-service-delivery protests.

Consistent, strong leadership in local government is of vital importance. Strong leadership is essential for the provisioning of basic services such as water; poor leadership condoning corruption, mismanagement, non-performance and misconduct. Pillay (2014: 27) characterises this type of leadership as integrity leadership. Pillay (2014: 28) further argues that it is through

integrity leadership that the various spheres of government will succeed in delivering services without any patronage, nepotism, fraud, maladministration, and with the highest degree of good governance. In essence, this implies that people will continue to suffer if leaders do not subscribe to ethical values espoused by the Constitution. Section 195(1) of the Constitution entrenches, inter alia, the following values as fundamental to the discharge of any public service delivery work by a public administrator that (RSA, 1996: 107):

- A high standard of professional ethics must be promoted and maintained;
- Efficient, economic, and effective use of resources must be promoted;
- Public administration must be development-oriented;
- Services must be provided impartially, fairly, equitably, and without bias; and
- People's needs must be responded to, and the public must be encouraged to participate in policymaking.

Most complaints that have emerged in the informal settlements and at various levels of governance have resulted from poor leadership. Mantzaris *et al* (2014: 19) state that this usually results in a lack of accountability, with the political actors manipulating the administrative offices in government. It is therefore necessary for all government officials and politicians to uphold these principles when delivering basic services such as water.

2.3.3 Independence of Administration

It is within the above context that Woodrow Wilson, the classical theorist, believed in the separation of powers and responsibilities between the politicians and the administrators. Wilson believed that there would be no manipulation by the politicians were there a separation of such powers. In agreement with this assertion, Visser (2009: 18) states that there should be no political interference in the running of administration if citizens are to receive basic services fairly. This is upheld by Schedule 1 of the Municipal Systems Act (RSA, 2000: 106) which stipulates that a councillor must execute the functions of his/her office in good faith, with honesty and with the highest degree of transparency. As such, administrators have to be hired based on merit rather than on the basis of their connections. This will ensure that any poor

service delivery, unresponsive decision-making and consumption by both politicians and bureaucrats does not find expression in the local government system (Visser, 2009: 19).

Related to the above statement, living in a globalised world poses a challenge to all government role players in any sphere of government, including both politicians and administrators, to comply with the rules of good governance. Adherence to this principle ensures that service delivery occurs at all government levels without any impediments. Thornhill and van Dijk (2010: 103) believe that the fundamental reason for local government's failing to deliver basic services has been the hierarchical top-down approach to policy implementation. The above-mentioned researchers assert that this approach has not been based on recognising citizens as clients, thereby resulting in their not being involved in the policy formulation processes. The current approach to the success of the delivery of basic services at local government is based on interactive governance to enhance local democracy (van der Waldt, 2014: 13). This accentuates the importance of community involvement in matters pertaining to basic service delivery such as water, sanitation, and storm-water drainages. Non-involvement of the citizens has been identified as one area that has resulted in government's being viewed as non-democratic, ineffective, largely inflexible; resulting in wasteful expenditure of public funds (United Nations, 2007: 133).

Asamoah (2013: 21) states that local government sector has attracted a great deal of publicity for negative reasons; and as such, its service-delivery capability has been ineffective. Asamoah (2013: 22) argues that political interference and bureaucratic inertia have resulted in low productivity in Ghana. Asamoah (2013: 21) proposes that there must be strong administration and leadership, provision of enough resources, eradication of corruption, and enhanced knowledge of performance expectations, if Ghana is to improve.

2.3.4 National Development Plan (NDP)

In line with the preceding paragraph, the National Development Plan (NDP), the South African 2030 Vision, accentuates the importance and the commitment of government to eradicate poverty and reduce water scarcity by 2030 (2012: 24). The purpose for the NDP is to improve service delivery for all South African citizens (eThekwini Municipality IDP Review, 2013: 10). The NDP places emphasis on ensuring that all people of South Africa are guaranteed access to

clean, potable water, and that there is sufficient water provided for agriculture and industry, to develop the country (NDP, 2012: 55).

The NDP foregrounds this study on the assertion that every South African citizen deserves to have access to water services. Pravin Gordhan (2014: 8), the then Minister of Cooperative Government and Traditional Affairs (COGTA), proclaims that the time has come for local government to meet the transformation agenda and to accept a paradigm shift, focusing on delivering services with honesty and integrity to the needy and disadvantaged. It is argued in the NDP that South Africa is a country characterised by abject poverty, whereby very few people have employment. Lack of employment and living in poverty reduces the ability of people's benefiting from government services. Consistent with this account, the NDP places people at the centre of development. Equally, Koma (2010: 112) argues that the NDP was developed with a view to improving the lives of the communities in the urban areas in general, and in rural areas and informal settlements in particular; allowing these people to live above the poverty line and to have access to basic services such as water (Koma, 2010: 112).

The United Nation's Food and Agriculture Organisation (2000: 5) states that water plays an important role in poverty alleviation. FAO further asserts that about 1.3 billion people had insufficient provision of hygienic water, and about 3 billion people had no access to sanitation facilities before 2000. It could therefore be stated that water poverty has a negative bearing on the health of people exposed to undernourishment (FAO, 2005: 5). Educationally, young girls find themselves being socially excluded as a result of the shortage of water, owing to their inability to purchase essential feminine-hygiene items, most families being too poor to provide such assistance. FAO views water as the fulfilment of the United Nation's (UN) mandate of the provision of water as a basic human right. Municipalities have the responsibility of ensuring that everybody has access to safe and clean water.

Houston *et al* (2013: 134) argue that citizens hate to be taken for granted, expecting to obtain certain essential services. They further assert that when that when people's expectations are not met, they grow more isolated and alienated, and this leads to deterioration of service delivery in a number of critical aread (Houston *et al*, 134: 134). Consistent with this statement, any local government structure has the duty of ensuring that it accommodates the expansive community in

its planning programme. This will help address the issue of rapid informal economic activity and informal settlements (Visser, 2009: 21).

Equally, South Africa must apply similar qualities if it is to ensure that there are no gaps in service-delivery-satisfaction levels at all spheres of government, including the provision of water at local government. In the same vein, Thlabi (2015: 17) asserts that, if bureaucracy and poor planning have anything to do with the deficiency of the provision of services by municipalities in South Africa, then this situation demands urgent attention. The author suggests that this situation could be addressed through selecting people from the most deprived communities and training them to become professionals (Thlabi 2015: 17). Haigh, Fox and Davies-Coleman (2010: 484) further advance this view by stating that it remains critically important for the municipalities to ensure that they find and train staff in adequate skills. They argue that it will be easier to deliver basic services such as water even in the informal settlements provided competent skills have been sourced.

Having laid the foundation within which local government provides basic services, the ensuing discussion contextualises the provision of water in South Africa.

2.4 Water In South Africa

The provision of basic water services to all did not exist before 1994. Most of the rural underprivileged depended solely on river water for drinking and general water requirements. People without access to water included those who lived in informal settlements. The reliance on water from unsafe sources created many adversities and, to a large extent, women and children bore the brunt of fetching water from the streams, rivers, and wells. To this extent, Nnadozie (2013: 82) asserts that political restrictions imposed during the South African colonial period on Black Africans deprived them of access to education and health services, such as hospitals and to basic services. This deprivation to amenities, particularly clean water and health, resulted in the wide inequalities in access to resources and services which are still prevalent even today (Nnadozie, 2013: 85). This ends up undermining the constitutional rights of the citizenry.

However, the advent of the new political dispensation post 1994 moved swiftly into establishing policies that ensured equitable access to water services. This dramatic change and policy shift resulted in the improved quality of life and better-developed economic status. More people were

able to have access to water connections. Attesting to this, Figure 1.2 below depicts the significantly large number of households with access to piped water in South Africa since 1996 (Statistics South Africa, Census 2011: 59).

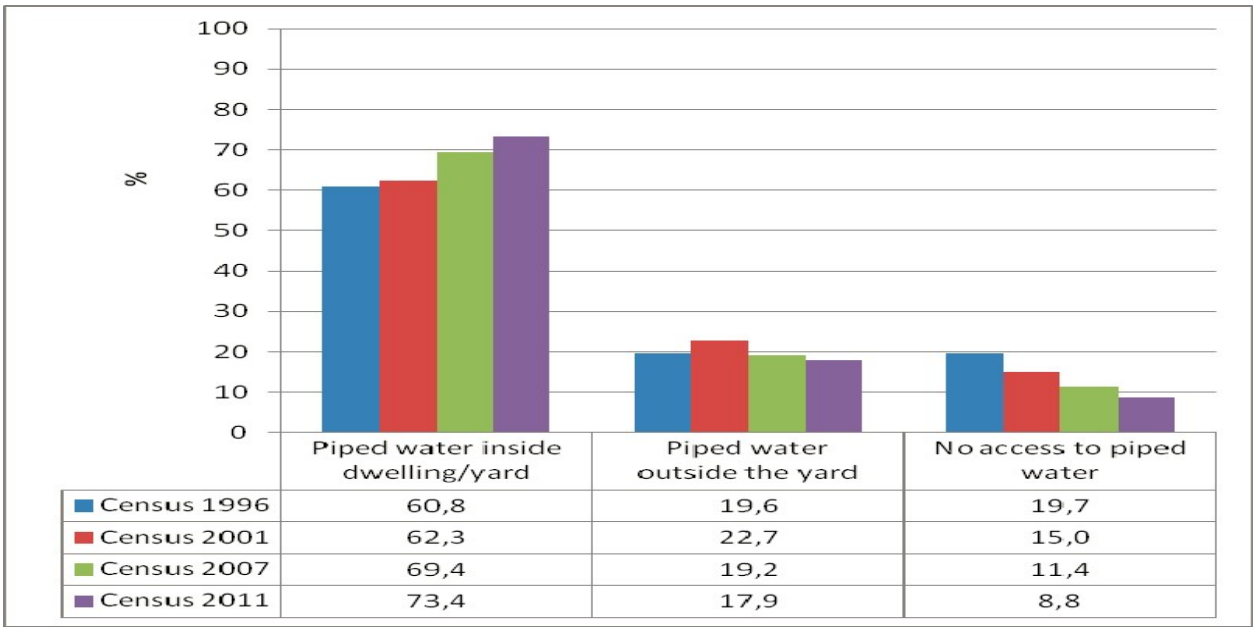


Figure 2.1: Percentage of households with access to piped water: censuses 1996, 2001, 2007 and 2011

Source: StatsSA 2011: 59

In the context of eThekwini Municipality, the municipality is one of the few in the world that provide quality water that is safe to drink directly from the tap. eThekwini Municipality won the Stockholm Industry Water Award (SIWA) in 2014 in Sweden. This award was conferred upon eThekwini Municipality by the Stockholm International Water Institute (SIWI) because of eThekwini's transformative and inclusive approach to providing water and sanitation services. This is the highest honour within the water sector. It was emphasised that internationally, eThekwini Municipality was leading in the public sector in relation to the provision of water services. The eThekwini Municipality's Water and Sanitation Unit was again voted as the Municipality of the Year in 2015 in the whole of Africa by the Africa Utility Week. The award was conferred in recognition of the municipality's exceptional water and service delivery project through which the lives of about 500 000 residents living in the informal settlements have been improved.

Having cited the provision of water in South Africa and eThekwini Municipality's ability to provide drinking quality water directly from the tap, the discussion now focuses on water-service delivery within the informal settlements.

2.5 Water-Service Delivery Within Informal Settlements

The 1994 democratic elections ensured that all of the country's citizens were able to vote freely. This meant that there was de-racialisation of the settlement areas as the citizens of the country could live anywhere they wanted where they were afforded the opportunity of accessing basic services. This was as a result of the enactment of the Constitution (RSA, 1996) which highlights the importance of the Bill of Rights. Section 27 (1) places emphasis on access to sufficient water.

The new government guaranteed to design progressive water-services policies which took into account the developmental nature of the country (Nleya: 2008, 278). On the other hand, the Constitution ensured equitable and fair distribution of services to all South African citizens. Mbeki *et al* (2014: 206) assert that the democratic government introduced the policies and laws that abrogated the legacy of the apartheid system. The repealing of the discriminatory laws resulted in the rapid migration of people to the urban areas. The urban migration can be attributed to the hope of attaining better job opportunities in the cities, hope of one's poverty being eradicated, and access to housing and water-services opportunities. Upon arrival in the informal settlements and the cities, the citizens erect their structures and shacks illegally without consulting the municipalities (Mbeki *et al,* 2014: 214).

The illegal erection of the shacks poses a challenge to the municipalities with regard to their siting. Once settled in those areas, the illegal occupants of the land expect government to provide them with basic services such as water and sanitation as well as housing. It may be argued that there is tenure insecurity after the illegal occupation of the land by the informal settlers.

Government has the duty to provide basic services to its citizens (Huchzermeyer and Karam, 2006: 3). Local government has to provide services with a view to ensuring that citizens do not live under unhealthy conditions. Van der Waldt (2014: 10) asserts that urban migration is a global phenomenon which has resulted in local government being faced with a challenge of:

- the dramatic increase in population as people move from the rural areas to the towns and cities;
- an increased demand for services that are above the capacity of the current infrastructure;
- an increase in unemployment and poverty; and
- an increase of homelessness, and the burgeoning of informal settlements.

Essentially, this rapid urban migration to the informal settlements results in overcrowding and in the municipalities' failing to provide services to those who have settled illegally in the area. The fundamental reason for this failure is that these people had not been catered for in terms of the urban planning or the Integrated Development Plan (IDP) and Service Delivery and Budget Implementation Plan (SDBIP). The IDP is effected as set out in Chapter 5 of the Municipal Systems Act No 32 of 2000. Section 25 (1) of the Act requires any municipal council to develop a strategic planning instrument to inform all planning, budgeting, management and decision-making processes in a municipality (RSA, 2000: 35). The SDBIP is defined in the Municipal Finance Management Act, No.56 of 2003, as the management, implementation, and monitoring tool that assists the political leadership, the bureaucracy and the community in prioritising spending of the budget (RSA, 2003: 35). The SDBIP therefore gives effect to the IDP, which identifies the key strategic priorities of the municipality. In line with this statement, citizens expect government to deliver water services consistent with the IDP, within the constraints of the budget.

Section 16 (1) of the Municipal Systems Act (2000) affirms the importance of the involvement of local community in the affairs of local government. This is in keeping with the enhancement of local democracy. The Act stipulates that the community has to be involved in the review of the IDP and the preparation of its budget to align it with the SDBIP. This ensures that both government and the municipal staff contribute greatly to the developmental goals of any municipality. Ultimately, this results in citizens' recognising the government as theirs despite where they live. This includes the residents who live in informal settlements, as they, too, have to be accorded the respect they deserve, as per the enshrined constitutional imperative. However, Visser (2009: 7) argues that there is a downside that has been brought about by what he terms overzealous institutionalization of community participation. The argument that may be posed

against this stance is that it seems to negate the importance of advancing local democracy in promoting the basic service-delivery agenda.

According to Pierre *et al* (2007: 193), the involvement of the local community in matters pertaining to their governance affairs enhances democracy and basic service delivery. The researchers further assert that public participation is central to the democratization of administrative agencies' decision-making processes. In essence, this strengthens the view that all citizens of the country, whether residing in cities, peri-urban areas, including informal settlements, and rural areas, have to be honestly involved in the making of decisions by government. This ultimately reduces any potential for or any need to protest against their government when basic services are not delivered. However, Faleni (2015: 13) stresses the importance of effective communication between government and its citizens in prioritising service-delivery issues to circumvent any discord. This ensures that the government, including local government, is able to fulfil its constitutional mandate and obligation to deliver services to its citizens because it is held accountable by its citizens.

eThekwini Municipality is no exception to the above scenario. People have migrated to the city to occupy illegally the land next to the city centre. Incomers have erected their shacks, after which they have claimed that the municipality has to provide basic services for them. Nleya (2008: 269) declares that a large number of people live in the informal settlements with a limited access to basic services. The dismantling of apartheid resulted in the mushrooming of the informal settlements, such as the Johanna/Boxwood Road Informal Settlement. The municipality has found itself having to provide water and sanitation services to people who have illegally occupied this informal settlement. To prevent further mushrooming of the informal settlements permission from the municipality for the willy-nilly erection of shacks is withheld (Mbeki *et al,* 2014: 214). This leads to the eruption of conflicts between the municipality which demands the removal of people occupying the area illegally, while the people resist any such enforced removal, squatters demanding to be provided with services. This emphasises the fact that the citizens who build shacks are deprived of sufficient information disseminated by the municipality.

On the other hand, there are other reasons that have been advanced as leading to the burgeoning of the informal settlements. Among these are the economic growth in cities and the slow pace of providing low-cost government-subsidised houses (Parrott *et al,* 2013: 2). Government has endeavoured to address the issue of informal settlements through designing programmes aimed at eradicating these settlements. However, the efforts do not seem to yield any positive results, as the spread of the settlements continues unabated. Many people who had been excluded from participating in economic activities during the dehumanising apartheid period hope for the better opportunities afforded by towns and cities.

Government is bound by the Constitution to ensure the provision of services to all citizens, this including water to dwellers in the informal settlements. In the same breath, eThekwini Municipality has experienced the proliferation of informal settlements. Colvin (2015: 22) asserts that millions of people migrate to the urban areas. Countries that are not rich in water such as South Africa, find it difficult to serve those new communities with water, waterborne sewage, and flush toilets. There are views that have surfaced from various authors who argue that the manner in which eThekwini Municipality provides water services to the informal settlements may further be widening the gap of inequality. Pillay (2015: 6) asserts that supplying water to the people of eThekwini is about more than service delivery. Hellberg (2014: 226) affirms this view that the manner in which eThekwini provides water services has a categorising effect. This suggests that the perceptions of people with regard to how they are supplied with water by eThekwini may be based on class. Despite the basic human rights enshrined in the Constitution there are technologies such as the water-flow limiter valve used by eThekwini Municipality to restrict the daily volume of water to a pre-set amount of 300 litres a day (eThekwini Municipality, 2012/2013: 4). This is particularly the case in some areas at which the valve is set to limit the flow of water to the Free Basic Water (FBW) at 300 cubic metres a day (Hellberg, 2014: 228). The water dispensers or standpipes are a means of providing access to water services in the informal settlements without any charge to the customers as the Constitution dictates, although this cannot refer to an unlimited supply and totally free of charge.

However, the views expressed by Pillay and Hellberg presuppose that the manner in which eThekwini Municipality provides water services to the citizens is based on segregation and social injustice. They further surmise that there is a perpetuation of the apartheid policies which were

based on unfair and unequal delivery of services, particularly water. The end of apartheid ensured that every citizen of South Africa had access to water services (Hellberg, 2014: 230). Even people living in the informal settlements expect to have access to adequate water supply and sanitation (Musangifi, 2013: 26). Despite this expectation there have been instances in which the provision of basic services has been lacking. As with customers, citizens expect services to be delivered with the highest degree of excellence and to their satisfaction (Phiri *et al,* 2013: 96). In a similar vein, the basic water services have to be provided reliably, responsively, empathetically, tangibly, and in a reassuring manner (Phiri *et al*, 2013: 103). This is to state that even the residents in the informal settlements have a fair amount of expectation that they will be provided with water services and other basic amenities.

The notion which is expressed above is not limited to South Africa only. For example, Yemen, one of the Arab States, has also experienced the issue of informal settlements. Sana'a, a municipality in Yemen, has witnessed the rapid expansion of her informal settlements (Parrott *et al,* 2013: 4). On the other hand, the World Bank (2014: 1) states that there has been a burgeoning of informal settlements in Papua New Guinea. World Bank (2014:1) highlights that the informal settlements in Papua New Guinea are under-serviced and overlooked by the government in respect of water and sanitation. The striking features of the urban informal settlements in Papua New Guinea are informal employment, low incomes, lack of recognition by formal governments, and large and overcrowded households (World Bank, 2014: 5). The direct implication of this statement is that the informal settlements will continue to grow; with the demand for basic services such as water and sanitation increasing concomitantly.

Framed within the context of the expectation-perception and core-value theories, the citizens in the informal settlements expect to be provided with basic services responsively, reliably, and empathetically, without any exception, demanding that their constitutional rights of access to services have to be protected. The promise of better socio-economic opportunities has resulted in many people both young and old migrating to urban areas. This population mobility has resulted in a population explosion in the urban areas, in the hope of more economic opportunity.

Academic evidence has proved that the income and economic gap has widened between those who live in the informal settlements and those who live in the cities in the post-apartheid South

Africa (Nleya, 2008: 270). This is despite the progressive policies and laws that aim at eradicating informal settlements. Among these policies and laws is the Comprehensive Housing Plan (CHP) which was designed as part of the Development of Integrated Sustainable Human Settlements (RSA, 2012/2013: 351). The Plan aimed, among other things, at eradicating the informal settlements in South Africa within a short space of time (RSA, 2012/2013: 351). This would ensure provision of the municipal engineering services such as water provided at all levels of society, including the townships and informal settlements. In 2003 the Department of the then Water Affairs and Forestry (DWAF) adopted the Strategic Framework for Water Services. This policy states that government must ensure that water services and sanitation schemes are made available to all sectors of society ranging from the small, remote rural communities, to the large urban areas (RSA, 2003: 1). In fact, the policy states that everyone has the right to basic sanitation that is affordable, appropriate, socially acceptable, and sustainable. It further stipulates that everyone has the right to water services that are necessary for health and hygiene (RSA, 2003: 26).

However, the gap in society's living standards has resulted in the rapid urbanisation of poverty, and as such, most people find it difficult to pay for water services. Lagardien and Cousins (2004: i) argue that the question of rapid urbanisation will remain a challenge for the foreseeable future for city centres in developing countries. There is argument that the expansion of informal settlements results in poor living conditions, government having an inadequate supply of financial resources, and lack of capacitated staff (Al-Daily *et al,* 2013: 17). The South African government initiated its programme of eradicating and upgrading the informal settlements by 2014; however, the government failed to meet this target.

In line with the foregoing statement, sub-Saharan Africa is said to be accounting for most informal settlements (Ziblim, 2013: 6-7). Between 2000 and 2010, about 827.6 million inhabitants globally were said to be living in informal settlements. The argument being advanced here is that most of the inhabitants living in informal settlements have had no access to water and sanitation. This has resulted in their experiencing severe health problems, exacerbated poverty, and debilitating economic situations (Musangifi, 2013: 27). This is the case with South Africa. Urban migration has had an impact on water scarcity which has resulted in conflict with the water-service providers about illegal water connectors. Despite these challenges, eThekwini

Municipality has extended the provision of water services even to the informal settlements through standpipes and through regular water meters to the towns and cities (Hellberg, 2014: 229). This has served to prove that the democratically-elected government is a people-centred government, service provision no longer being based on racial lines. Hellberg (2014: 230) asserts that people-centred development may be the solution to the existing service-delivery problems. The author states that the majority of the citizens feel total ownership of the service-delivery processes when they participate in government activities. However, Nleya (2008: 274) argues that the disadvantaged can only be patient to a certain degree for the delivery of basic services. When their expectations are not fulfilled they resort to other means, such as staging public protests. They do this within the context of exercising their constitutional right of access to basic services (RSA, 1996).

The prevailing view in the above narrative is that government, within various spheres, including local government, is viewed as being distant from the citizens it serves. The United Nations (1998: 11) argues in its Human Development Report (1998) that one of the fundamental causes of public protests around basic services is the lack of consumer education and information. The report asserts that the citizens are bound to protest about what they perceive to be the lack of services if little or no information is provided to them. On the other hand, Nleya (2008: 279) reinforces the importance of citizenship mobilisation on the provision of water services. This includes the informal settlement areas. The author asserts that mobilisation of citizens will help in ensuring that the service-delivery demonstrations are minimised, if not eliminated, as active citizenry remains key and important. Al-Daily *et al* (2013: 17) reinforce the importance of participatory governance, involving as it does all stakeholders, including citizens in the informal settlements. The authors further argue that the inclusion of the destitute in governance matters gives an assurance of the entrenchment of good governance principles for informal settlements. This assertion strengthens the view that most of the informal settlements have not realised progress with regard to the delivery of essential services such as water, owing to the lack of good governance systems.

The United Nations (2007: 8) states that the government's role is not only limited to exercising political governance: it extends to ensuring that it interacts with civil society organisations. This is premised on the good governance theory which accentuates the principles of democracy,

transparency, equity, compliance with international standards, community empowerment, conscientiousness regarding the requirements of the citizens, and partnerships between government and civil society (Wilson, 2007: 113). The argument being advanced here is that it is necessary for local government to set up structures of dialogue with the citizens if it is to succeed in the delivery of basic services. According to the Public Service Charter (RSA, 2013: 7) it is important for government officials, both bureaucrats and policymakers, to liaise with members of the community about the level and quality of the public services they expect and receive.

Government has to involve the community in its activities and decision-making processes, if it is to fulfil its mandate of delivering services of water, sanitation, and waste removal. It is argued that when the community is kept constantly informed by its government about government plans, including urban planning and development in the informal settlements, the community accepts that it owns the policies and legislation designed by the government. However, the contrary is true that if government, at any level, deprives the community of information; people then finding expression in protests. People believe that it is only through protests that their voices will be heard by government. Similarly, Mchunu and Theron (2014: 41) argue that it is through active citizenship that the state will be able to address social problems, and provide services such as water, which it fails to do when citizens do not play meaningful roles. Citizens who are informed are able to compel their government to be accountable. If citizens are not involved, the principles of efficient public service, accountable administration, and rule of law, effectiveness, and efficiency suffer, and the government cares less about providing services (Pillay, 2014: 27). The participation of the citizens in government activities and decision-making processes ensures that democracy is firmly entrenched.

2.6 Water Provision and Legislative Framework: A Local Government Perspective

This section offers the legislative context within which water services are to be delivered. The Constitution (RSA, 1996) will be discussed in line with other relevant and key pieces of legislation within the context of water service provision from a local government perspective.

2.6.1 Constitution of the Republic of South Africa of 1996

South Africa is a constitutional democracy, and as such derives its mandate from the Constitution of 1996, when it comes to the delivery of services in general, and water in particular

(Koma, 2010: 112). Chapter Two of the Constitution enshrines the Bill of Rights and the importance of complying with the dictates contained therein. Section 27 (1) stipulates that everyone has the right to have access to (a) health-care services, and (b) sufficient water. Vandemoortele (2012: 7) argues that human rights are the values that traverse across all countries whether considered to be affluent or indigent. With such constitutional provisions, enshrined basic human rights denote that the country should respect human value and dignity. This includes the disadvantaged and the vulnerable sectors of society such as the people with disabilities, women, the aged, and those people living in the informal settlements; and includes servicing members of society who are more affluent.

The Constitution dictates that a citizen's status should not affect the way he or she is treated. Basic services are to be provided in a manner that constitutionally satisfies all sectors of society, mainly the poverty-stricken and the economically disempowered. This must be balanced with what is reasonably possible in light of financial and other constraints. However, all citizens are entitled to being treated fairly, justly, and equally. Section 9 (3) of the Constitution compels the state not to discriminate unfairly whether directly or indirectly, be it on the basis of race, gender, sex, colour, sexual orientation, pregnancy or marital status, language, age, or disability. Furthermore, Section 152 (1) of the Constitution provides the basic objectives for local government, which seek to:

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

Related to the study, local government objectives are spelled out to ensure that basic service delivery to the people is complied with. Part of what Section 152 (1) articulates is to ensure that there is an enhancement of democratic values and accountability by local government. This provision ensures that there is neither departure nor any deviation by any sphere of government from fulfilling its mandate of service delivery, particularly at local government level. Local

government has the responsibility of promoting democratic principles and enhancing the values of democracy. Local government has further to ascertain delivery of basic services such as water.

2.6.2 Promotion of Administrative Justice Act 3 of 2000

No equal constitutional recognition of the rights of all South African citizens had been in force before the attainment of the democratic dispensation in 1994. No action was ever taken against any government official who might have treated any citizen badly. However, Section 33 of the Constitution, Act 108 of 1996, enshrines the importance of giving written reasons to the citizens for treating them in a manner that adversely affects them. To this effect, government has enacted the Promotion of Administrative Justice Act No 3 of 2000, which promotes Section 33 of the Constitution. This is in line with ensuring that, where essential services are concerned, citizens deserve to be given written reasons by their government should they not be satisfied with services rendered to them.

Citizens expect to receive services that will satisfy them in terms of the expectation-perception and value-core theories discussed in Chapter 3. These theories advocate the importance of the customers and the core values of service ethics. These values centre on the key service quality determinants which are reliability, assurance, tangibility, empathy, and responsiveness (Musaba *et al,* 2014: 533). People have recourse to the Promotion of Administrative Justice Act in the event that they feel dissatisfied. This is a legislative commitment by government with regard to the delivery of basic necessities, including basic services such as water. According to Hughes (2012: 172), government at any level is bound to provide services in a responsive manner.

2.6.3 White Paper on Transforming Public Service Delivery, 1997

As alluded to earlier, South Africa has a history of apartheid, ending in 1994. According to Nnadozie (2013: 98) the apartheid government sought to segregate and disempower the majority Black African population. Nnadozie (2013: 85) further asserts that the apartheid system had left a legacy of wide inequalities in access to resources and services that persist even today. However, the election of the democratic government in 1994 ensured legislation to cater for the needs of the entire citizenry. The government of South Africa adopted the White Paper on Transforming Public Service Delivery (1997) as an over-arching Code of Conduct for all employees in government service, including local government. This White Paper, known as the

Batho Pele White Paper, implies that the interests of citizens are prioritised. According to the *Batho Pele* principles, public servants are expected to deliver services in a manner characterised by transparency and openness, consultation, high service standards, access, redress, courtesy, information, and value for money (RSA, 1997: 6-7). This is the transformation agenda aimed at improving effectiveness and efficiency in the delivery of services to meet the needs of the citizens of the republic. Essentially, taking account of the principles of the White Paper ensures that everyone is treated equally, irrespective of status and where they reside.

Constitutionally, government is obliged to provide services to all its people, including those who live in informal settlements and rural areas. It is against professional ethics to discriminate against citizens at any socio-economic level, such citizens being constitutionally protected in terms of the Bill of Rights. The White Paper on Transforming Public Service Delivery (1997: 1) stipulates that the success of public-service delivery will only be judged effective should delivering of services meet the needs of all South African citizens. Van der Waldt (2014: 46) asserts, on the other hand, that it is at the level of local government that basic service delivery such as water will be achieved by all people. Thus local government bureaucrats have to ensure that there is total adherence to the principles of *Batho Pele.*

2.6.4 Water Services Act No. 108 of 1997

The Water Services Act, No 108 of 1997 ensures that the right of access to basic water supply by the citizens is protected. The Act further compels the water services' authorities to ensure that they develop and adopt the water services' development plans (WSDPs). To achieve this, municipalities are required by the Act to see that every citizen has the right of access to water. The Act specifies that the water services authorities are accountable to their consumers, no matter where they reside. Section 4 (2) of the Act clarifies that, although it is the mandate of the water services' institutions to set up conditions within which water is to be delivered, this must be achieved by prioritising the interests of the citizens (RSA, 1997: 2). The Act further ensures that all South African citizens should have access to a water and sanitation supply.

An argument may be advanced that it is easy to realise this at a theoretical level, however, practically, this may not be so easily achieved. Peter *et al* (2007: 101) argue this assertion within the principal-agent theory. They assert that government, as the principal, always attempts to save

when it comes to delivering services, whereas citizens, as agents, wish to maximise their benefit from services. Peter *et al* further maintain that the agents will always hide their true preferences and beliefs from the principals with a view to ensuring that they benefit more (2007: 102). Equally, the principals will always hide their beliefs from the agents who are the citizens. The Water Services Act demands that the water-services authorities satisfy the needs of the citizens wherever they reside. This includes those who reside in urban, peri-urban, or informal settlements, as well as in the rural areas.

2.6.5 National Water Act No. 36 of 1998

The Act sets the parameters within which the Department of Water and Sanitation protects, uses, develops, conserves, controls, and manages water services (RSA, 1998: 8). In doing so, the sphere of local government tasked with providing basic amenities, including water, is expected to ensure that both urban and non-urban consumers have access to water (RSA, 1998: 9). Siebrits, Winter and Jacobs (2014: 97) assert that South Africa has made promulgation of the national water legislation for the purpose of attaining societal transformation. This is with a view to creating a paradigm shift to embrace the notion of an equitable society. When an equitable society is created there cannot be any racial group that can complain of any water deficit.To this extent, the White Paper on Water Services (2002: 10) emhapsises the rights which everybody has to have access to sufficient water and sanitation. This ensures that government provides for all its citizens so that they will have access to water and sanitation amenities.

2.6.6 White Paper on Transforming Local Government of 1998

The White Paper on Transforming Local Government (1998) derives its mandate from the Constitution (1996) which places emphasis on local government being democratic and accountable to the citizens. In achieving this, stress is placed on local government having to transform and become developmental in nature. This ensures that the needs of the country's citizens are fulfilled and met, such as delivering of water services. The crux of the White Paper on Local Government is the encouraging of the local government sphere to work with local communities in the fulfilment of their basic needs. This is with a view to democratising local government. In achieving such an end, citizens, as the end-users of municipal services, are expected to play a meaningful role in shaping the policy-formulation processes. This includes

communities living in informal settlements, ensuring that all citizens participate in the municipality's administration and management, budgeting and planning, thus meeting the needs of the public.

2.7 Conclusion

This chapter has provided a detailed discussion on the history of South Africa which was characterised by elements of inequality and disparity when it comes to the provision of basic services, particularly within the sphere of local government. The apartheid government was not interested in accommodating all citizens equally, hence its policy of separate development. This policy resulted in Black people's being excluded from any planning by government, with government only planning for White people. The literature review has analysed the role of local government in the provision of basic services such as water within the new South African context, after the 1994 democratic dispensation. The expected qualities of the public servant have also been elaborated upon.

It is important for local government to design strategies that will foster the interests of all of its citizens. This should not take into account the geographical location of citizens. In line with this assertion, the question of the delivery of water services in the informal settlements has been discussed. The discussion has further reflected that there must be a decisive commitment from local government to deal with basic-service-delivery inequalities that are still prevalent in some parts of South Africa. The legislative framework within which local government provides water services has also been covered in this section.

CHAPTER 3

THEORETICAL FRAMEWORK UNDERPINNING THE STUDY

3.1 Introduction

This chapter provides an analysis of the theoretical basis on which the study is contextualised. It highlights the importance of theory in research. The theories adopted in the study are then discussed. Thereafter, public goods or services are defined with a view to creating a context and applicability within which these items are provided to the public. The main reason for contextualizing public goods and services is to find a balance between the needs of the public and the application of the selected theories. Although public goods are not the primary focus of the study, water-service provision falls within the ambit of public services.

Any sphere of government has the mandate of providing services to its citizens, who expect to be satisfied with the level of service provision by their government. Any satisfied citizen tends to rely on the services provided and to believe in the government entrusted with that service (Al-Daily *et al,* 2013: 2). These authors contend that people are naturally motivated, both intrinsically and extrinsically. The authors further state that the desire of any citizen to be served is based on intrinsic motive, while being served to their satisfaction is related to their extrinsic motive. Intrinsic motive refers to the fact that the citizen has a longing to fulfil internal desires, while extrinsic motive implies that the external environment triggers the external desire to be supplied with services. Associated with this assertion is that any successful delivery of basic services and effective governance may be linked to a positive perception and satisfaction (Al-Daily *et al,* 2013: 3). Among other principal functions of any government is to provide in a satisfactory manner, basic services such as water, to its citizens. It is when satisfied that citizens wish to interact with government as the main service provider.

Framed within the context of the above background, the first part of the ensuing discussion reflects a conceptual definition of theory and its significance in research. The identified theories adopted for the study will subsequently be discussed within the context of service delivery.

3.2 The Importance of Theory in Research: A Scholarly View

Various scholars have offered varied views on the definition of a theory. Du Plooy-Cilliers, Davis and Bezuidenhout (2014: 37) define theory as a systematic description of concepts,

constructs and relationships of specific phenomena in a particular discipline. However, it is important to state that theory is essential for research work, as it provides a framework for analysis and an efficient method of field development. The author further states that theory offers lucid explanations of a pragmatic world. Essentially, this means that the framework serves as a structure to identify differences in analysis. Equally, developing a theory reduces the margins of error in endeavouring to solve problems based on the current theoretical basis. This implies that the current literary work serves to discuss the current body of knowledge. Basheka (2015: 480) asserts that a theory encompasses a systematic collection of related principles). It can be argued that any endeavour being made to define theory should respond to general questions that researchers intend to address. Such a view is supported by Du Plooy-Cilliers *et al* (2014: 35) when stating that a theory describes systematically the concepts, constructs, and relationships of specific phenomena in a given discipline. Effectively, this implies that any attempt to define a theory should provide responses to the general questions on how and why some concepts have relationships. No academic work of any discipline may be undertaken without due consideration of its theoretical foundation.

On the other hand, du Plooy-Cilliers *et al* (2014: 37) enhance the definition of theory academically as serving to explain logically why something is as it is, or functions as it does. This is attempting to provide answers to the "why" question which the researcher of any study may have. Theories, though not cast in stone, have the power of providing the best explanations of why the available phenomena are in the current state (du Plooy-Cilliers *et al*, 2014: 38). For example, a question may be raised as to why people have the perceptions that they hold about any service provision. For the purpose of this study, an attempt is made to establish the perceptions that the citizens of Johanna/Boxwood Road Informal Settlement hold on eThekwini Municipality's ability to deliver water services. It further establishes the strategic interventions adopted by eThekwini Municipality's Water and Sanitation Unit in its attempt to improve water-service delivery. This leads one to surmise that one of the basic tenets of theory is that it may be used as an explanation. In the context of this assertion, this study intends to investigate whether the perceptions held by the residents of Johanna/Boxwood Road Informal Settlement in respect of eThekwini Municipality's water-service delivery are positive or negative.

It is therefore not inappropriate to argue within the context of Hunt (1991) and Wacker (1998: 364) cited by Isaacs (2015: 319), that if a theory cannot provide a prediction, it cannot be worthy of being called a theory. In essence, the argument being posed here is that before a researcher undertakes any research work, the research must be premised on a strong theoretical basis, justifying the assumptions and existing clarifications. Isaacs (2015: 319) asserts that the theory the researcher opts for determines the issues that will be given priority, and the type of data the researcher decides to gather. However, it must be stressed that no single study can be limited to one theory. This means that a research work being undertaken may draw from multiple theories. Consistent with this assertion, the researcher adopted two theories: the expectation-perception and core-value theories. As such, Creswell (2014: 15) states that any theory that is used must be able to be verified or tested; and such a verification or refinement must lead to better understanding of the world. It is therefore incumbent upon the researcher to scientifically collect data either to support or repudiate the theory, before completing the revision of the purported theory, and before conducting any additional tests (Creswell, 2014: 15). In essence, it is any researcher's major assignment to collect information on the instruments framed around the measures filled by the units of analysis or completed by the researcher, by means of observations, or through engaging with various participants. Related to this study, community members of Johanna/Boxwood Road Informal Settlement in eThekwini Municipality were selected for quantitative data as units of analysis, to elicit their perceptions on the delivery of water services in their area. Questionnaires were administered, with one hundred residents drawn from Johanna/Boxwood Road Informal Settlement using a simple random sampling technique. The study used the simple random sampling method to afford each household unit the same opportunity of being selected to participate in the survey (du Plooy-Cilliers *et al*, 2014: 138). eThekwini Municipality's aerial maps were utilised in selecting the identified number of households.

Correspondingly, senior officials from eThekwini Water and Sanitation Unit were selected as the unit of analysis for qualitative data, eliciting their views on strategic interventions for the delivery of water services within Johanna/Boxwood Road Informal Settlement. To achieve this, fifteen senior officials from eThekwini Water and Sanitation Unit were interviewed. This resulted in the researcher's being able to draw informed conclusions on the basis of having tested the theory.

Clearly, any theory that is selected should be able to provide relationships between the units that are being observed. In line with this assertion, any theory that is chosen should be applicable to the phenomenon being studied. In view of what the scholars say, the study adopted the following theories as discussed hereunder.

3.3 Selected Theories

As noted above, the expectation-perception and core-value theories were adopted in the underlying study as discussed below.

3.3.1 Expectation-perception theory

One of the fundamental duties any government is expected to perform is to satisfy its citizenry. Within the context of this assertion, the expectation-perception theory draws its strength from the fact that all citizens, as customers, expect services to be delivered by their government professionally. Saleh and Al-Marzouqi (2014: 140) state that most citizens of any country expect services to be delivered with the highest degree of quality and by competent staff. They state that any organisation performing in this manner becomes a customer-driven institution catering to the needs of its customers. Related to this, it is asserted that it is any government's responsibility to ensure that it constantly evaluates its service quality as perceived by its customers. Phiri *et al* (2013: 96) argue that service quality remains key in attracting and retaining customers. This is equally applicable to the provision of services such as water within the government context, citizens developing trust in their government when government is perceived to be listening to them.

To this end, the Service Quality (SERVQUAL) instrument becomes critical in measuring and monitoring how customers feel about the quality of service provided by their government. The Service Quality instrument was developed by Parasuraman, Zeithamal, and Berry in 1988, with the fundamental purpose of assessing customers' perception of service quality rendered either by business or a government institution. Parasuraman, Zeithmal, and Berry (1988), as cited by Saleh *et al* (2014: 141), argue that service quality is a form of attitude somewhat related to satisfaction, and resulting from the expectations of customers compared with the perceptions of service performance. Saleh *et al* (2014: 140) state that SERVQUAL is a concise, multiple-item scale, with good reliability and validity that may be used by governments to comprehend the service

expectations and perceptions of consumers. This understanding can and should ultimately result in service improvement by governments for its citizens. In the course of government's discharge of its duties and service-delivery activities, service quality would refer to the discrepancy that exists between customers' perceptions and expectations.

According to Saleh *et al* (2014: 141), the Expectation-Perception Theory aims at:

- Determining the quality of water-service delivery the citizens expect to receive;
- Establishing the nature of the gap that exists between the citizens' service expectations and perceptions of the actual service;
- Evaluating the overall level of customer satisfaction with eThekwini Municipality's ability to deliver water services; and
- Linking the gap between the expected and perceived service quality to respondents' level of satisfaction with eThekwini Municipality's water services.

However, Nandan (2010: 103) argues that literature has not succeeded in providing consensus on what constitutes the general elements of service quality, although Parasuraman, Zeithamal, and Berry had developed this measurement instrument in 1988. This being the case, there is, however, a common agreement that the citizens want and expect efficiency, politeness, and effectiveness in the process of being served, whether by politicians or bureaucrats. Such an assertion is supported by Section 33 (2) of the Constitution which states that everyone has the right to administrative action that is lawful, reasonable, and procedurally fair (RSA, 1996: 15). This is in recognition of one's basic human rights as enshrined in Chapter 2 of the Bill of Rights of the Constitution of 1996. Consistent with this statement, all public servants are expected to give written reasons for their administrative actions as this inculcates the ethic of assiduousness in the minds of public servants when delivering services to the public. Brynard (2009: 638) asserts that the provision of written reasons is for the purpose of creating a need for accountability, transparency, and accessibility in public administration. It therefore stands to reason that accountability be provided, this being critical to the success of public administration.

On the other hand, Czepiel (1990), as cited by Nandan (2010: 98), defines service quality as customer perception of how well a service meets or exceeds their expectations. In line with this

expression, Nandan (2010:98) continues to assert that it is necessary to measure service quality in terms of customer perception, customer expectation, and customer attitude. The argument centring on this assertion is that customer satisfaction grows when service quality is evaluated. The evaluation of service quality is part of constant monitoring, so that the gap between perception and expectation of quality service may be merged and matched. Framed within this context, the underlying study was an attempt to advance the role of service quality affecting customer satisfaction within the context of water-service delivery, with specific reference to Johanna/Boxwood Road Informal Settlement within eThekwini Municipality. The study further sought to scrutinise the strategic performance-management interventions dealing with the quality of water-service delivery at this informal settlement.

Saleh *et al* (2014: 141) have advanced an argument that the service quality instrument has not been used extensively within the public-sector environment, and as such, has left room for further research and application. Their argument presumes that government institutions have always enjoyed the monopolistic nature of service provision (Saleh *et al*, 2014: 142). This means that the services have been provided only by one or two organisations, resulting in the citizens being offered little or no opportunity at all of opting for alternative service providers. Citizens have sometimes had to be content with bad service provision. They have also not challenged what has been viewed to be poor service-delivery standards because there has been no instrument to use with which to measure satisfaction levels. Should this situation prevail, it is likely to subvert any inventive ways for service providers to examine issues of service quality and customer satisfaction. As such, the introduction of the SERVQUAL instrument becomes relevant, government officials having to be alert to quality when serving fellow citizens.

Ravindran and Kalpana (2012: 408) state that it is essential to note that the understanding of the structure of the satisfaction determinant is critical not only for measurement or tracking purposes, but also for providing increased insight into satisfaction processes. There should be no cost paid for poor service quality. Instead, any government official who performs below the expected service quality should be charged. However, despite there being no insistence by the citizens on government good behaviour, it becomes essential for both the politicians and public servants to agree that the quality and standards of service provision is paramount (Mantzaris *et al*, 2014: 17). Service quality is thus guaranteed and citizens' satisfaction is maximised.

Ravindram *et al* (2012: 409 maintain that within this context, the value of service provision depends mainly on the interactive nature between the service supplier and the consumer.

However, it could be argued that South Africa has, over the years, experienced increasingly violent service-delivery protests with water being counted as one of the issues. Houston *et al* (2013: 127) are of the view that most citizens become disatissfied when their government fails to meet their expectations. As with private institutions, public institutions are no longer protected from improving their service quality. Public organisations have been faced with instances in which citizens have demanded that their expectations be met (Saleh *et al*, 2014: 142). This has resulted in most citizens being empowered with information about their rights enshrined in the Constitution.

Section 195 (1) of the Constitution stipulates, among other matters, the following principles as essential to public administration, in that:

- A high standard of professional ethics must be promoted and maintained;
- Services must be provided impartially, fairly, equitably, and without bias;
- Efficient, economic, and effective use of resources must be promoted;
- People's needs must be responded to;
- The public must be encouraged to participate in policymaking; and
- Transparency must be fostered by providing the public with timely, accessible, and accurate information.

Based on the above imperatives of the Constitution, there has been a growing number of citizens who have become conscious of the type of service quality they receive and should expect from public servants, and they demand value for their money. Citizens understand that it is their money being expended by government, hence their increased expectations. When the residents believe that their expectations, for example, of water services have not been met, they resort to unacceptable actions such as protests to register their dissatisfaction. This is particularly true when there are discrepancies in perception between what the experts view to be effective ways of rendering water services and what citizens, as water users, regard as reasonable expectations of

receiving water. Sudharani *et al* (2012: 408) enhance this view by stating that citizens' experiences and perceptions of public services always remain significant in satisfying them. This helps in the development and implementation of service models and in the setting up of proper monitoring and evaluation instruments of service delivery. It is important for the purpose of this study, therefore, to measure the perceptions and expectations of the customers/citizens of Johanna/Boxwood Road Informal Settlement in relation to the way in which water services are delivered by eThekwini Municipality.

3.3.2 Core-value theory

The core-value theory emerged as an alternative to the expectation-perception theory, comprising as it does core values of a customer-service ethic. Saleh *et al* (2014: 142) define the core-value theory as the realisation of people's needs, such as security, shelter, independence, and success. People's values are framed around the context of fulfilling their individual needs. In the interests of this study, citizens always expect service-improvement standards from government when delivering services, with special focus on customers rather than on bureaucracy (United Nations, 2007: 6). The officials and politicians have come to realise that they cannot conduct their business to the total neglect of the interests of individual citizens. Citizens, as consumers of public services, have developed a sense that government institutions are bound to adopt proactive measures in improving the quality of their service. Although consumers may possess differing perspectives regarding service delivery such as water, nevertheless they are united in wishing to be treated promptly, efficiently, and with respect upon being served by government institutions. It is around the context of this determination that the five service-quality constructs, as enunciated by Musaba *et al* (2014: 535), are discussed. These constructs or dimensions are: (a) reliability, (b) assurance, (c) tangibles, (d) empathy, and (e) responsiveness.

Musaba *et al* (2014: 535) define *reliability* as the ability to deliver what the service provider has promised the customer. In the context of this research, reliability refers to government being able to deliver services such as water to citizens, in line with its commitment. The central purpose of any government structure is to fulfil the wishes of the citizens, as may have been promised during the elections. When any government comes into power, there is a reasonable expectation on the part of citizens that their lives will change; and as such, government is expected to be reliable in terms of service delivery. The immediate question is what happens when government

delivers below expectation. Phiri *et al* (2013: 96) offer a response that emotions of disappointment and regret are an instant effect when delivery of any government service falls below the previously held expectations. This is certainly true for the delivery of water services by eThekwini Municipality, which is expected to fulfil the mandate of satisfying the needs of its citizens. Citizens expect water services to be delivered correctly the first time they have dealings with their service provider.

Within the core-value theory scenario, citizens expect greater reliability with regard to water-service delivery by eThekwini Municipality within the promised time. Of importance is that citizens expect government employees to be able to deliver a first-class public service with reliability and efficiency (Saleh *et al,* 2014: 14). The Core-Value Theory entitles all citizens to a government characterised by a courteous, and timely service-delivery ability, without being selective in its efforts. If government responds positively, it has succeeded in demonstrating its reliability to its citizenry, and the element of trust grows stronger. This fosters a customer-driven government organisation.

Musaba *et al* (2014: 535) define *responsiveness* as the willingness to assist customers, and preparedness to provide a prompt, efficient service. In the case of government, citizens have a fair amount of expectation, demanding that services be delivered by government employees to the highest degree of quality. People expect to be served by competent public officials who will be responsive to their needs and will be knowledgeable when responding to their questions. Citizens view this as government employees being willing to help them and as their being attentive to individual needs. The neo-classical theorist, Mary-Parker Follett, supports this assertion in her ideas expressing the law of the situation. Follett (1926) as cited by Peters *et al* (2007: 354), believes that orders are best implemented when they are circular. Follett believes that work flows smoothly when both the leaders and followers see themselves as taking orders from the law of the situation; and not when the leaders think of themselves as giving orders. The argument advanced by Follett is that it cannot be a matter of government imposing itself on its citizens: government must equally expect to be told by the citizens of their needs, responding to them. Follett's law of the situation states that situations, not people, give the orders. In the context of this study, South African citizens expect to be provided with water services; they have to be consulted by their government on how to be served satisfactorily.

However, Phiri *et al* (2013: 96) argue that citizens have the propensity of sharing their negative experiences with their social networks when they are not satisfied with any service. It is therefore important to be responsive to the service-delivery needs of the citizens such as providing water. It becomes imperative for institutions to serve all stakeholders equally and without any bias (United Nations, 2007: 9). The issue of responsiveness is further raised in Section 195 (1) (d) Chapter 10 of the RSA Constitution of 1996, which stresses the provision of services impartially, fairly, equitably, and without any bias. To be able to achieve this requires both public administrators and politicians to conduct their service-delivery activities deploying the highest degree of ethical values.

On the other hand, *assurance* is defined as the knowledge and courtesy of employees, and their ability to inspire trust and confidence. This is one of the most important constructs. Employees are expected to display the knowledge, both generally and technically, of any institution in which they serve. In this study, the citizens of eThekwini Municipality expect municipal staff to be knowledgeable and to be expert in the delivery of water services. This helps community members improve their lifestyle. People therefore need to be assured of courteous support from staff. In so doing, staff earn the trust of the citizens.

The White Paper on Transforming Public Service Delivery (1997: 9) is emphatic in stating that public servants must be courteous when serving fellow citizens, serving them to highest degree of excellent standards. The above-mentioned White Paper further states that public servants must be genuine and honest when serving the citizens. In line with this research, assurance as a construct is critical in analysing whether the citizens are being provided by bureaucrats with the treatment they deserve. It must be emphasised that, in the course of discharging its assignments, government cannot renege on its commitment to assurance as a service quality (Phiri *et al*, 2013: 101). This emphasis is best represented by Figure 3.1 below, depicting that the customer remains central; as he or she expects personal needs to be fulfilled in terms of the expectation-perception and core-value theories. Likewise, it is essential to be conscientious in applying the values of greater responsiveness, empathy, reassurance, and reliability vis-à-vis the customer when delivering services.

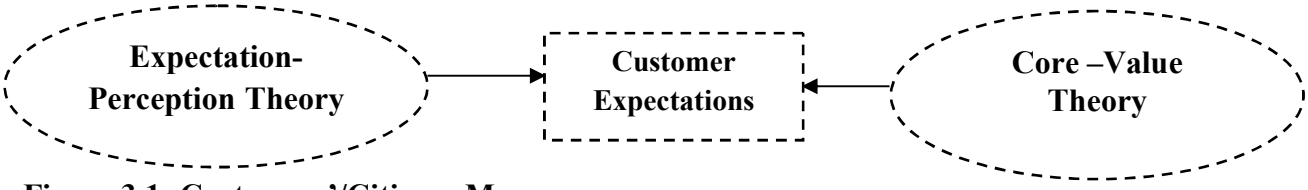


Figure 3.1: Customers'/Citizens Map

Source: Researcher, 2015

The above figure depicts the view that the customer or citizen remains the central person for whom services have to be delivered. Related to the study, the two theories imply that the customers/citizens have expectations to be served with quality and should have timely services delivered to them, and that their expectations have to be met by their service provider/s (Musaba *et al*, 2014: 535). The customers/citizens always have their own perceptions about the type of service they expect. The perceptions can either be negative or positive. They are deemed positive when customers/ citizens are satisfied. On the other hand, they are seen to be negative when the provider has failed to meet their expectations, such as providing them with water. As such, government provides services for its citizens as they are the recipients thereof, and they must be satisfied. Government derives its mandate when voted to power by its citizens. There is therefore an obligation to fulfil its mandate, meeting the needs and the expectations of the citizenry. In line with this assertion, citizens expect service quality which service institutions or government offer to meet their expectations; citizens having perceptions of the performance of the institutions/government providing the services. It therefore appears that citizens use their expectations to predict the type of service they should receive in transactions from their government. In the course of discharging its tasks and responsibilities, quality of service remains fundamental for government. Should citizens feel that government cares for them, they tend to give their full support to it, voting for it.

3.4 Application of Expectation-Perception And Core-Value Theories on Public Goods/Services.

Houston *et al* (2013: 127) define public goods as the delivery of a variety of services by government institutions to their people. As such, people expect their government to provide basic services such as water without any failure. They know that it is government's responsibility to meet their needs without making them pay for the services. Houston *et al* (2013: 127) advance

this view by stating that public services are provided by the government voluntarily to its citizens on the basis of the commitment it makes during the electioneering period. Government makes promises to its people in terms of the services they should expect. In the course of this promise, citizens do not expect their government to "crowd out" private contributions (Hughes, 2012: 164). By "crowding out" is meant that government is not expected by the citizens to pay any private company to provide services on its behalf. It is argued that when the services are contracted out to private companies, accountability is lost in the process; citizens then raise questions as to why government must outsource public services (Hughes, 2012: 164). In the context of this statement, citizens always remain averse to any services being privatised. Citizens expect their government to deliver services without making them pay for their provision. Should the services be outsourced, citizens view this as contributing to the fixing of prices, forming of cartels, restricting access to basic services (Hughes, 2012: 147). All government institutions are deemed accountable to their citizens through the political system. On the other hand, an argument has been advanced that efficiency improves when the services are outsourced to private companies (Hughes, 2012: 147). This remains a subject for further research.

When government performs poorly fails to meet the demands of citizens, citizens normally resort to social actions such as protesting, or holding back their votes during elections (Houston *et al,* 2013: 134). Unmet expectations have the propensity to result in violent protests which sometimes results in loss of lives or destruction of infrastructure, citizens demanding services to be delivered. Privatising public services by government can therefore be viewed as an admission of failure to provide services to citizens, expressing weakness in the skills government has in-house (Hughes, 2012: 153). On the other hand, private companies report to their private owners/shareholders and they have no time to satisfy the needs of the customers if they are not making money. Government is not therefore expected to behave in like manner as private businesses. Citizens expect their government to provide them with services conscientiously, without charging them at all.

Framed within the above declaration, the engagement of private companies generally has the potential to allow private institutions to collude, maximising their profits (Hughes, 2012: 146). Collusion encourages companies to dishonour the rules by which they have to abide, citizens in the long run not being provided with basic services. Citizens ultimately suffer despite their

having an expectation of basic service delivery, as a result of the expectation-perception theory. Phiri *et al* (2013: 103) argue that citizens tend to experience anger and disappointment when their government fails to deliver the expected basic services. This is particularly the case when government is the sole service provider, with citizens having no alternative option. People tend to think that they would have received better service delivery from another provider had they had an option. Within the context of eThekwini Municipality, eThekwini Water and Sanitation Unit is the only water and sanitation service provider. It is therefore the only player, and a monopoly has been created (Nandan, 2010: 101). However, it could be stated that this is a justified and a legal monopoly which has been created through the Water Services Act of 1997 and the RSA Constitution of 1996. These two pieces of legislation assert that water-service provision lies with local government, which provides basic services. This is accentuated by Section 27 (1) of the Constitution which states that everyone has the right of access to sufficient water.

However, it can be debated that the state of monopoly which eThekwini Municipality enjoys as the water-service provider has created an environment in which it has no real competition other than the perceived and intangible competition. The perceived or real competition is used in this context to refer to issues such as unemployment, poverty, inability to pay for the services that have been provided by government, and disease. When a service provider has no real competition it may neglect important aspects such as service quality, meeting the expectations of the citizens, serving the citizens in a responsive, empathetic, and reliable manner that gives assurance to the citizens. Citizens expect optimum efficiency, effectiveness and politeness in the course of being served, expecting that their needs should not be neglected (Nandan, 2010: 103). Houston *et al* (2013: 136) state that when the citizens approach government, it is with a hope that their expectations will be met. When the citizens' expectations meet with failed service encounters, disgruntlement becomes the overriding sentiment. Disgruntled citizens communicate their unmet expectations to their government (Houston *et al*, 2013: 136). It is therefore important on the part of government to ensure that its service-delivery standards match the expectations held by citizens prior to visiting government offices.

Applied within the context of public service provision, the expectation-perception theory asserts that citizens will retain positive feelings should services such as water be provided within their expectation. Their satisfaction levels result in their revisiting the service station or centre that

helped them. It is therefore correct to state that the citizens of eThekwini Municipality, particularly those living at Johanna/Boxwood Road Informal Settlement, would wish to be associated with their municipality should services such as water be delivered to their maximum satisfaction.

Equally, viewed within the context of the legal framework, it may be stated that citizen protection is not assured when services are outsourced to private providers. According to Saleh *et al* (2014: 141) the core-value theory asserts that citizens consider themselves important when government attaches the values or principles of responsiveness, reliability, empathy, assurance and tangibility in supplying their needs. These principles are key in satisfying the needs of the citizens. In line with this statement, the citizens of eThekwini Municipality expect water services to be delivered in a reliable and responsive manner. It remains important for government to deliver services effectively and efficiently for the citizens to ensure that they are satisfied.

3.5 Conclusion

This chapter has provided the theoretical basis upon which the entire study is grounded. It has emphasised the perspective that, while the private sector focuses on generating profits, government's role is to ensure that it renders services to its citizenry in a manner that meets their needs. This thinking has been applied within the scholarly theory that has informed the undertaking of this research. The chapter has further placed emphasis on the theories upon which the study is framed. The expectation-perception and core-value theories have been elaborated upon. These theories place the customer/citizen at the centre of service delivery. Summed up, these theories stress that the needs of the citizens must be fulfilled and taken account of, citizens expecting their needs to be met. The constructs of responsiveness, reliability, assurance, empathy, and tangibility have been expounded within the context of public-services delivery. The delivery of public services has been juxtaposed and compared with the contracting out of public services to the private sector. The discussion has shown that citizens suffer when services such as water are privatised; this is viewed as government reneging on its duties and responsibilities. Hughes (2012: 145) argues that contracting out is another way of government privatising its service provision. This instantly triggers the question regarding the extent to which such an act of outsourcing government's services satisfies the needs of the citizens, particularly those most needy.

CHAPTER 4

RESEARCH METHODOLOGY

4.1 Introduction

This chapter presents the research design adopted by the study, the research strategy, the study site, target population and sampling, and the data-collection instruments. Overall, the study was undertaken in Johanna/Boxwood Road Informal Settlement to establish the role of local government in general and the role of eThekwini Municipality to address water service delivery issues in particular.To collect data, both qualitative and quantitative research methodologies were adopted within the targeted population as described in the chapter. The issues of ethics were considered when undertaking this research.

4.2 Research Design

There are three broad types of research methodologies, namely quantitative, qualitative, and mixed methods. Du-Plooy-Cilliers *et al* (2014: 148) define quantitative data-collection methods as having the tendency to depend on random sampling. They further assert that quantitative research aims at finding causal correlations that may be generalised. Monfared and Derakhshan (2014: 1111) explain qualitative research as an inclusive research process covering an array of interpretive techniques which seek to describe, decode, translate, and otherwise come to terms with the meaning of naturally occurring phenomena in the social world. Equally, du Plooy-Cilliers *et al* (2014: 175) assert that qualitative researchers aim at exploring, understanding and describing so that they will keep a focus on learning the meaning that the participants hold about the phenomenon. Ponce and Pagan-Maldonado (2014: 113) define the mixed-methods research as intentionally combining the simultaneous use of both qualitative and quantitative approaches. For quantitative and qualitative data collection, questionnaires and interviews were adopted by this study.

However, given the nature of the context and issues that were explored by this research, the study adopted a mixed-methods design in collecting data. This was as a result of the limitation that might be noticed in the use of one single method. Creswell (2003: 15) cited by Ponce *et al* (2014: 114) mentions the triangulating of data sources which he refers to as seeking convergence between qualitative and quantitative methods. In this context, the complexity of the research

problem determines that both quantitative and qualitative research approaches can be used concurrently. For instance, the research intended to establish whether there were perceptions reflected in failures and/or successes of municipal strategies and monitoring systems in the delivery of water. Ponce *et al* (2014: 114) stipulate that when the researcher integrates the quantitative and qualitative approaches in the design of the mixed study, the researcher does this to create a third research model to create harmony in the study. The mixed-methods approach refers to the mixing of various types of research methodologies. Akhavan and Tillgren (2015: 1) state that the mixed-methods research is used simultaneously to gain deeper understanding of the phenomenon being studied. As indicated earlier, questionnaires were administered in order to explore the perceptions held by the citizens of Johanna/Boxwood Road Informal Settlement of eThekwini Municipality regarding the delivery of water service. On the other hand, interviews were conducted with Municipal officials to gain deeper understanding of water related strategic issues in order to propose future strategic interventions that could be implemented in the delivery of water services within eThekwini Municipality in general, and Johanna/Boxwood Raod Informal Settlement in particular.

4.3 Research Strategy

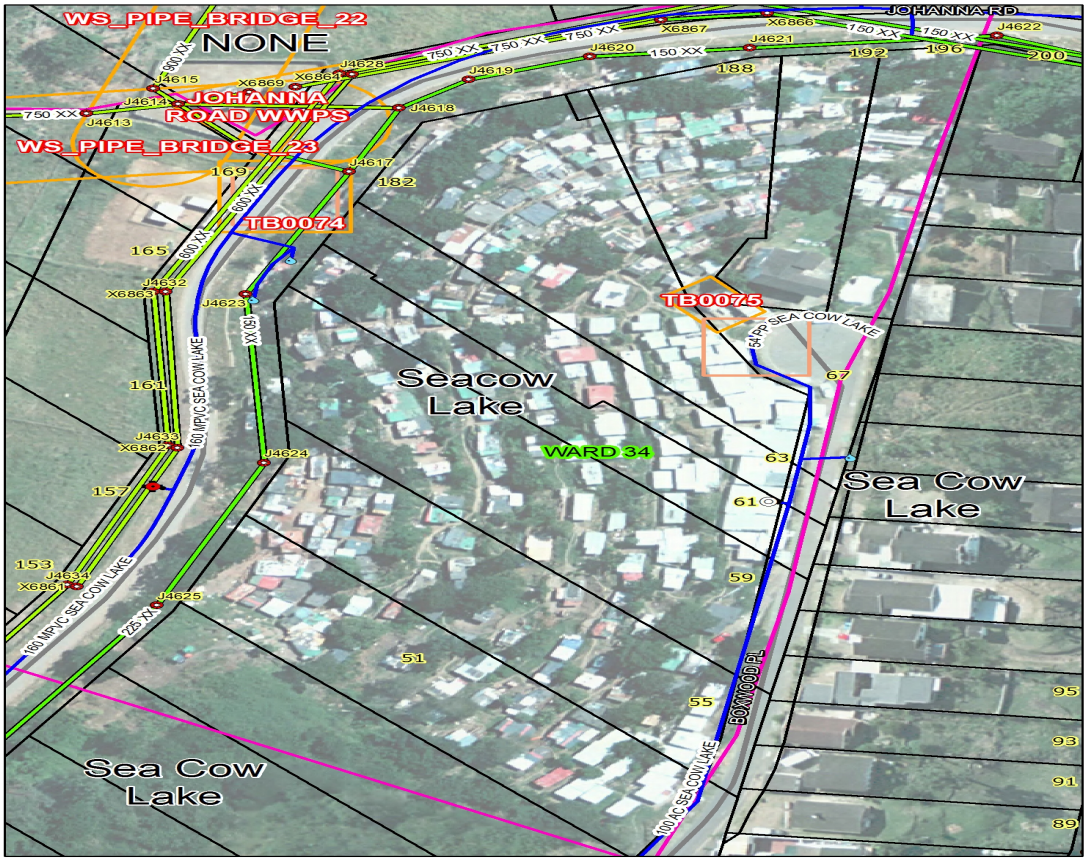
This study adopted a case-study method to derive the data. Johanna/Boxwood Road Informal Settlement within eThekwini Metropolitan Area was selected as a case study. A case-study approach remained pertinent to this research as it allowed the researcher to probe exhaustively an event, a process, or one or more persons (Ponce *et al*, 2015: 128). The unit of analysis was the selected residents of Johanna/Boxwood Road Informal Settlement deployed for quantitative eduction. Fifteen of eThekwini Municipality's Water and Sanitation Unit's senior managers were identified as units of analysis deploying the qualitative method.

4.4 Study Site

Johanna/Boxwood Road Informal Settlement is situated on the North of Durban with the households estimated to be about 400 and the population of 14 748 (Pietersen, GIS MAP 2011). It is found on the commercial and industrial centres along the North Coast Road. This research area is estimated to be 8 km from the Central Business District (CBD) of Durban. Households are built on somewhat terrain and the community access roads have not been built because the pathways are narrow. Striking about this area was that most of the people were unemployed and depended

on government's social grants for a living. As such, they are characterised as low- income households. The houses are built next to the Northern Waste Water Treatment Works (NWWTW) and next to the eThekwini Municipality's electricity power station (Pietersen, GIS MAP 2011). Map 4.1 shows the map of Johanna/Boxwood Road Informal Settlement.

Map 4.1: Johanna/Boxwood Road



Source: GIS MAP 2011, EThekwini Municipality

4.5 Target Population and Sampling

According to du Plooy-Cilliers *et al* (2014: 132) a research population refers to the total of all people from whom the researcher can get information. For the purpose of this study, the researcher confined the research to the sampled population of Johanna/Boxwood Road Informal Settlement as it would be too time-consuming to deal with the entire population. A 100 per cent sample would be the entire population, therefore a 1 per cent sample would consist of only 1 out of every 100 entities in the population (du Plooy-Cilliers *et al,* 2014: 133). The characteristics of the target population on which the researcher based his research were: language, gender, disability, employment status, and home ownership (du Plooy-Cilliers *et al* (2014: 132). In this study, the residents of Johanna/Boxwood Road Informal Settlement were the population of the study as they shared common characteristics of residing in the area and were deemed to be meeting the research parameters.

Du Plooy-Cilliers *et al* (2014: 135) define sample as a subset or portion of the total population that is considered to be representative of the entire population. In the context of this assertion, it can be stated that the sample must always be viewed as an approximation of the whole, rather than as a whole in itself. The acceptability of the representativeness of the sample makes it easier to generalise the findings of the researcher to the rest of the population. For quantitative data, the sample for this research work was drawn from the members of the community of Johanna/Boxwood Road Informal Settlement. Hughes (2012: 118) asserts that numbers in quantitative methods are more meaningful and useful in providing the information to the decision-makers.

For qualitative data purpose, fifteen senior officials from eThekwini Water and Sanitation Unit were sampled. Du Plooy-Cilliers *et al* (2014: 125) assert that one's sample must be representative and appropriate to the topic being investigated. The researcher ensured the representative nature of the area in which the research was conducted. The Municipality's Water and Sanitation Unit's senior officials were also sampled in a manner that reflected the representative nature of the unit in fulfilling the demands of the mixed-methods approach.

The main purpose of sampling was to ascertain that the sample was collated in an approach that represented all people residing at the Johanna/Boxwood Road Informal Settlement. According to

du Plooy-Cilliers *et al* (2014: 135), the representative nature of the population enables the researcher to predict the possible opinions held by all the other people in the population despite their exclusion from the main research. In the light of this assertion, the researcher used the purposive sampling strategy randomly, in selecting the participants.

4.5.1 Sampling methods/techniques

4.5.1.1 Non-probability sampling

According to du-Plooy Cilliers *et al* (2014: 137) non-probability sampling is used when it is difficult to reach to the entire population of the research. Bird (2009: 1315) asserts on this very aspect that non-probability sampling is associated with qualitative research. It is on the basis of this assertion that non-probability sampling was utilised in selecting the respondents for the research. Monfared *et al* (2014: 1111) state that qualitative research is based on explorative methods, and allows the researcher to collect, analyze and interpret data by observing what people do and say. This is in line with gaining a profound understanding of the underlying reasons, perceptions, and motivations of the participants. Therefore, the inclusion of the participants in the sample was based on the judgment of the researcher. This study used the random sampling to select the sample. In random sampling the researcher uses his or her own judgment about which participants to choose, selecting only those who best meet the criteria of the study (Bird 2009: 1314). Bird (2009: 1314) further asserts that random sampling is the best kind of non-probability sampling; as participants who are considered to be relevant to the research are deemed to be representative of the entire population. The critical aim of selecting the participants in this manner was to ensure there that was a reflection of the broad range of perspectives, such as place of origin, language, education, and age,

4.5.1.2 Sample size

The researcher drew the sample of 100 units/people randomly, targeting those who were over the age of eighteen. The selection of those who were over eighteen was based on the assumption that they were the household owners and were responsible for the payments of bills. Consistent with this assertion, the selection of 100 units in this study is supported by Isaacs (2015: 320) that a rule of thumb of 12-26 people might seem sufficient in research. As noted earlier, this study adopted the mixed-methods approach. Therefore, the sample size was selected purposefully for

the qualitative section of the study and was conducted randomly for the quantitative data (Monfared *et al*, 2014: 1113). The respondents were selected from and among the residents and officials of Johanna/Boxwood Road Informal Settlement for qualitative research data; and from eThekwini Water and Sanitation Unit for qualitative research data.

4.6 Data-Collection Instruments

Data-collection instruments utilised in the study comprised an array of tools. These included empirical data and scholarly material as discussed below.

4.6.1 Empirical data collection

Questionnaires were administered to the residents of Johanna/Boxwood Road Informal Settlement for the quantitative research method. Bird (2009: 1307) states that the use of questionnaires as the research tools helps in the acquiring of information related to public knowledge, standards of attitudes and perceptions. The fundamental thrust of the research undertaken was mainly to determine the perceptions of the residents of Johanna/Boxwood Road Informal Settlement in relation to the provision of water services by eThekwini Municipality. Interviews were conducted with the eThekwini Water and Sanitation Unit's municipal officials to collect data for the qualitative research method. All transcripts from the interviews were recorded, and transcribed verbatim in English. The questions designed were open-ended. Tsinda, Abbott, Pedley, Charles, Adogo, Okurut and Chenoweth (2013:6942) assert that open-ended questions give the participant freedom of expression and spontaneity of answers, and also provide an advantage of strengthening the overall quality of the results.

Questionnaires and interviews were utilised to assert the attainment of the study's objectives. Akhavan and Tillgren (2015: 2) state that the usage of semi-structured interviews permits the interviewees to respond spontaneously to questions, and to recount their experiences with ease when responding to questions.

The researcher further used secondary data which included written documents such as newspaper materials and pertinent scholarly articles with journals and books as sources, to collect more information in support of the research work.

4.6.2 Data analysis and interpretation

Data analysis is the extraction of meaning, implicit or explicit, of all fieldwork and the information collected for the study (Ponce *et al,* 2015: 125). For the purpose of analysing quantitative data, the Statistical Package for the Social Sciences (SPSS) Version 23 was used as the statistical software package. Du Plooy-Cilliers *et al* (2014: 206) state that statistics are used in data analysis to eliminate any possibility of conjecture. The statistics were used in this research to validate the correctness of data. The descriptive statistics were also used to analyse quantitative data. This research was premised on the mixed-methods approach. According to Ponce *et al* (2015: 113) mixed-methods study refers to the simultaneous and intentional combination of qualitative and quantitative approaches as the basis of the research. For example, qualitative research methods would be premised on processes, concepts, symbols, description of things, and meanings while quantitative research methods woud be based on perceptions (Monfared *et al*, 2014: 1111). The data collected through the structured interviews was analysed using the thematic analysis method. This denotes that the data was analysed by observing the recurring themes for qualitative research; in which data collection tools were adjusted to further explore emerging themes (Tancred, Schellenberg and Marchant, 2016: 233). The researcher used *Nvivo* Version 10 to analyse the qualitative data. Data was coded line by line, and the codes were categorised according to themes which were analysed in relation to their linkages. The coding was done with a view to identifying the most prominent themes and categories upon which analysis was based. Isaacs (2015: 321) asserts that codes are labels that are used to segments of the transcript that describe them. The main reason for coding is to continuously collapse those codes that do not add value to the research and conjoin those with similar themes.

4.6.3 Quantitative reliability

The researcher ensured reliability of the data that was collected. Bird (2009: 1311) defines reliability as the credibility of the research, and the consistency of the research questions. This implies that a credible research would produce the same results at a different time if the same were duplicated (du Plooy-Cilliers *et al*, 2014: 255). This view is affirmed by Bird (2009: 1310) when asserting that reliability in research is linked to testing the replicability of results by another researcher using the same method or instrument at another time. A reliability check is to lend credibility to the research work being undertaken. Unreliability is believed to be produced

by framing questions ambiguously. For example, Bird (2009: 1311) states that even when the closed-ended questionnaire is used to extract research information from the same population, it must produce similar results to those of another researcher into the same topic, and should avoid ambiguity. Therefore, another researcher conducting the same research on the same population using the same research instruments such as the questionnaire, should deliver similar results. This will provide the true integrity of the research. In this study, credibility was achieved by reading repeatedly the interviews that had been transcribed up to the point of satisfaction.

4.6.4 Quantitative validity

According to Oppenheim (1992) as cited by Bird (2009: 1311) validity refers to whether or not the research question is able to measure what it was intended to. In supporting this definition, du Plooy-Cilliers *et al* (2014: 256) state that any instrument that is selected in conducting research must be in the position of reflecting the constructs that were being measured. This is achieved through designing short, and straight-forward questions which are easy to be understood by the targeted population. The researcher in this study adhered to the formulation of short and concise questions which enabled the participants to understand what was required without difficulty.

4.6.5 Qualitative trustworthiness

As it has been stated earlier on in the study, qualitative research aims at enhancing an understanding about the phenomenon being studied. Therefore, it is important to establish whether the results of the research can be dependable. According to du Plooy-Cilliers *et al*, 2014: 258) qualitative research uses the term trustworthiness to refer to the reliability and validity of the results. The data collected for the research must be interpreted accurately by the researcher so that they will be believable when they are analyzed. In line with this assertion, the data collected for this study were analyzed using N Vivo Version 23 to guanrantee trustworthiness of the analysis.

4.6.6 Ethical considerations

Article 5 of the United Nations Universal Declaration of Human Rights stipulates that there should be no one subjected to inhumane or degrading treatment. Concurring with this view,

Section 10 of the Constitution (RSA, 1996: 7) asserts that everyone has inherent dignity and the right to have their dignity respected and protected. In the same vein du Plooy-Cilliers *et al* (2014: 269) maintain that a researcher should avoid actions that may be viewed as threats to the health, values, dignity of the researcher's participants or aiming at falsifying information. The researcher therefore adhered to the following ethical standards:

- According to Bird (2009: 1313) questions have to be structured in a manner that does not compromise the dignity nor cause physical harm to participants. In formulating the questions, the researcher ensured that the dignity of the participants would not be compromised nor any physical harm could be caused on them. This implies that ethics remain of critical importance to all participating in the research, as questions may affect the rights of individuals and ultimately the quality of the data obtained from the inquiry;

- The ethical value of confidentiality was protected. Isaacs (2015: 320) asserts participants have to partake in the research without any coercion and feeling that any promise of confidentiality has been violated. The researcher respected the confidentiality and anonymity of any matters discussed in private between himself and the participants. This study observed the importance of confidentiality when it was conducted;

- The study complied with the university's Code of Ethics as stipulated by the Ethics Committee. The Ethics Committee accentuates the conducting of research to the highest degree of honesty and integrity. In fulfilling this commitment, the researcher applied for ethical approval, which was granted. The gatekeeper's and ethical clearance letters are attached hereto as Annexures D and E, respectively, as proof of approval; and

- The researcher obtained the informed consent of the participants, attached as Annexure A. The participants were apprised of their voluntary participation in the research and that they were able to withdraw at any time without having to give a reason. No ill effects would result.

4.6.7 Significance of the study and justification

Pillay (2015:6) asserts that supplying water to the people of eThekwini is more than service delivery. Water supplying could further entrench inequalities. Pillay presumes that the manner in which eThekwini Municipality provides water to the citizens is based on segregation and social

injustice. He further surmises that there is a perpetuation of the apartheid laws which were based on unfair and unequal delivery of services, particularly water. Framed within this context, the study was therefore aimed at contributing significantly to the understanding of the current legislation and policies that underpinned water-service delivery in the informal settlements. Siebris, Winter, and Jacobs (2014:105) argue that conducting any study should enable the researcher to engage the missing paradigm in the body of knowledge. Consistent with this assertion, had this study not been conducted, the lack of understanding about water delivery to the informal settlements, especially at Johanna/Boxwood Road Area, would persist.

4.7 Limitations of The Study

- **Generalization:** The research was restricted to one informal settlement, namely Johanna/Boxwood Road Informal Settlement within eThekwini Municipality. The research did not cover a variety of informal settlements; and as such, its findings could not be broad. As a result of the limited scope of the researcher's work, the conclusions made might not be applicable to certain circumstances.

- **Replicability of findings:** The study was also not intended to be longitudinal; this would have enabled the researcher to understand the replicability of the findings in the Johanna/Boxwood Road Informal Settlement. Longitudinal research technique enables the researcher to measure the same aspects repeatedly on the same people over a long period of time.

4.8 Conclusion

This chapter presented the research methodology used in collecting data. The research instruments that were utilised to administer the research were also covered in detail. The study reflected on the research design, research strategy, study site, target population, and sampling. It further expanded on the instruments that were used in collecting data, such as the use of empirical data and secondary scholarly material. The chapter also revealed the ethical considerations which were observed when undertaking the research. The significance of the study and the justification thereof were also addressed in detail, water-service delivery remaining critical to people's lives.

CHAPTER 5

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

5.1 Introduction

This chapter presents the descriptive data collected for the study through the questionnaire from the respondents of Johanna/Boxwood Road Informal Settlement. One hundred respondents answered the questionnaire.

The chapter further reflects on the interpretation of qualitative data regarding the Johanna/Boxwood Road Informal Settlement. It further creates the synergy between the questions and objectives of the study with the information gleaned from the interviews conducted with eThekwini Municipality officials. Above this interpretation, three categories have been added as per the findings of the study, namely i) Organisational culture, ii) Policy Framework and iii) Political environment. These were deemed important environmental factors for water- and sanitation-service delivery to ensure future environmental sustainability as contained in Goal 6 of the United Nations Sustainable Development Goals. Goal 6 accentuates the availability and sustainable management of water and sanitation to all by 2030. Fifteen participants were interviewed using an interview schedule. All participants were from the eThekwini Municipality's Water and Sanitation Unit. In terms of rank within the unit, participants were between mid-level and senior management. Twenty per cent of the participants were female.

5.2 Results of the Quantitative Data

5.2.1 Description of study population

A total of 100 residents of Johanna/Boxwood Road Informal Settlement took part in the study. The oldest (72 years) study participant was male, whilst the youngest was 19 years old. The mean age of the female study participants was 35.59 years, standard deviation 10.64 years, as shown in Table 5.1.

Table 5.1: Description of Study Participants (N=100)

Variable	N	Percentage (%)
Gender		
Female	46	46
Male	54	54
Language Spoken at home		
IsiZulu	72	72
IsiXhosa	28	28
Province of origin		
Eastern Cape	33	33
KwaZulu-Natal	67	67
Employment Status		
Employed	34	34
Unemployed	66	66
Level of Education		
Primary Education	19	19,2
Secondary Education	72	72,7
Post Matric / Diploma	8	8,1
Gender of head of household		
Female	28	28
Male	72	72
Variable (N)	**Results**	
Age of the respondents*		
Females (46)	35,59 years (SD 10,643)	
Males (54)	34,54 years (SD 11,006)	

** p>0.05*

More than half of the respondents were males. The majority reported IsiZulu as their home language. About two thirds of the respondents reported having reached secondary education. Females in the sample were slightly older than males. However, this was not statistically significant. Fifty four percent of the respondents reported that they knew who their ward councillor was.

Most (66%, n=66) were unemployed and 33% (n=33) were originally from the Eastern Cape, as shown in Table 5.1. The above table confirms the reflection under the literature review that many people have migrated from rural areas to urban areas. This has resulted in the eThekwini Municipality having to cater for many unemployed people in terms of the provision of free basic services, such as water supply.

Table 5.2: Respondents' awareness of water services in Johanna/Boxwood Road Informal Settlement

Variable	N	Percentage (%)
Knowing the water services provider		
Yes	54	54
No	46	46
Main Water Source		
Metered in-house supply or yard standpipe	2	2,0
Neighbour's house	2	2,0
Communal tap less than 200m away	37	37,4
Communal tap more than 200m away or no access to water	58	58,6
Submitting water related complaints in the last 6 months		
Yes	10	10,3
No	87	89,7
Awareness of water monitoring problems		
Yes	34	34
No	66	66
Improvement of access and quality of water services from the previous year		
Yes	30	30
No	70	70

More than half of the respondents agreed that they knew who their water services provider was. A majority of the respondents reported accessing water sources more than 200 meters away. More than two thirds of respondents had not submitted water related complaints to eThekwini Municipality in a period of 6 months. A majority of respondents were not aware of any water monitoring problems in eThekwini Municipality. An overwhelming majority of respondents did not agree that there were improvements with regard to access and quality of services compared to the previous year.

5.2.2 Community's perceptions on the quality of water services delivered by eThekwini Municipality to the community of Johanna/Boxwood Road Informal Settlement.

Sixty-one per cent (n=61) either strongly agreed or agreed that the standard of delivering water services to Johanna/Boxwood Road Informal Settlement was very high, as depicted in Table 3.

Table 5.3: Responses to Community Perception of Ethekwini Water and Sanitation Unit

Characteristic, n (%)	SA	A	SD	D	N
Reliable when delivering water	29	34	15	9	13
Responsive to customer needs	16	24	26	16	18
Adequate facilities and infrastructure	23	28	24	17	7
Empathetic	21	31	22	15	11
Inspires confidence in customer	25	33	15	18	9
Staff available and well trained	21	22	19	22	16
Water-delivery standard very high	29	32	11	18	10
Conscientious in dealing with citizens	22	35	13	13	17
Service comparable to rest of RSA	26	20	25	19	10
High water quality standard	29	35	11	18	7

Key: SA=strongly agree, A=Agree, SD=strongly disagree, D=disagree, N=neutral.

Most study respondents, that is, 29% and 35%, either strongly agreed or agreed, respectively, that the standard of the quality of water-service delivery to Johanna/Boxwood Road Informal Settlement was very high**.** This was in contrast to only 11% and 18% respondents strongly disagreeing or disagreeing that the standard was high. Table 5.3 supports the notion that the people at Johanna/Boxwood Road Informal Settlement are satisfied with the standard of water-service delivery by eThekwini Municipality. This is in line with the expectation-perception theory which reflects the satisfaction of the citizenry. However, the remaining number of dissatisfied people as depicted by those strongly disagreeing and disagreeing, shows that there is a need for improvement.

5.2.3 Understanding the efficacy of the consultation strategies employed by eThekwini Municipality at Johanna/Boxwood Road Informal Settlement.

Sixty four per cent of the study participants did not know who their ward councillor was; also 87% of the study participants indicated they had never submitted a water complaint to eThekwini Municipality, as indicated in Table 5.4. The fact that more than sixty four per cent of the participants did not know their ward councillor is cause for concern. This could either imply that the elected representatives have worked so well that the participants have no need to complain as

they might know him or have not worked hard enough for their community to be known. Section 16 (1) of the Municipal Systems Act of 2000 compels both public and political representatives to call community meetings to address service-delivery issues such as water. Table 5.4 further reflects that 87% of the study participants had never submitted any complaints. This could indicate that people are satisfied, hence there is no need for them to report any water complaints. On the contrary, it could suggest that the municipality has to design vigorous information dissemination strategies, in line with the *Batho Pele* principles.

Table 5.4: Responses to water-service delivery questions at Johanna/Boxwood Road Informal Settlement

Characteristic	Yes (%)	No (%)
Do you know the water service provider in your area?	54	46
Do you know your municipal ward councillor?	36	64
Are municipal offices in your area accessible?	17.2	82.8
Have you ever submitted a water complaint?	13	87

5.2.4 Establishing the extent of the impact of performance-management strategy used in the delivery of water services at Johanna/Boxwood Road Informal Settlement.

Over fifty five per cent (n=55) study respondents were of the view that municipal employees in the water-services unit of eThekwini Municipality performed their duties in good faith as shown in Table 5.5 An important observation was that most (69% either strongly agreed or somewhat agreed) of Johanna/Boxwood Road Informal Settlement study participants believed that eThekwini municipal workers were not discriminating on political lines when discharging their duties, as shown in Table 5.5 It is evident that eThekwini Municipality's employees subscribe to the values of responsiveness, conscientiousness, assurance, and empathy, in line with the constructs of the core-value theory. This is encouraging as the conclusion can be drawn that employees do not conduct their tasks and duties on the basis of political affiliation.

Table 5.5: Study Participants' View of Ability of Municipal Workers in Doing Their Job

Characteristic	SA	SWA	SD	D	DK
Employees perform their duties in:					
Good faith	45.92	9.18	25.51	11.22	8.16
Diligently	42.42	14.14	20.20	14.14	9.09
Honestly	38.38	16.16	25.25	13.13	7.07
In a transparent manner	45.92	16.33	23.47	7.14	7.14
Officials enhance credibility and integrity	42.42	12.12	28.28	5.05	12.12
Officials do not abuse water services	34.00	2.00	25.00	3.00	36.00
Act impartially and without prejudice	52.00	8.00	24.0	3.00	13.00
Activities driven by needs and aspirations	36.00	10.00	31.00	5.00	17.00
Ethical standards held high	49.00	9.00	20.00	12.00	10.00
Community treated:					
With respect	48.48	7.07	24.24	11.11	9.09
Equally, regardless of political affiliation	62.00	7.00	20.00	6.00	5.00
No discrimination of any sort	64.00	5.00	16.00	9.00	6.00

Key: SA=strongly agree, SWA=Somewhat agree, SD=strongly disagree, D=disagree, DK=Dot know.

5.2.5 Investigating perceptions of Johanna/Boxwood Road Informal Settlement citizens on water-service delivery and strategic interventions of eThekwini Municipality.

Fifty-five per cent (n=55) of the study respondents were not aware of the municipality's free basic water service, as shown in Table 5.6. Over 65% (n=29) indicated that the municipality had resolved most of their water problems as shown in Table 6.6. While 65% of the units of analysis stated that eThekwini Municipality had resolved their water problems as reported, 55% were not aware of the free basic water service provided by the municipality. This could indicate that eThekwini Municipality must consult the community and disseminate more widely its information on services, so that the citizens would be empowered. This would enable citizens to make informed decisions based on such information.

Table 5.6: Assessment of eThekwini Municipality's Strategic Interventions

Characteristic	Number	Percentage %
How aware are you of the free basic water?		
Fully aware		
Somewhat aware	34	34
Not aware at all	9	9
Somewhat unaware	55	55
	2	2
Has this free water service helped you?		
Yes	36	81.82
No	6	13.62
Do not know	2	2.55
Has anyone prevented you from accessing this service?		
Yes	33	73.33
No	12	26.67
What actions have authorities taken to address issues?		
Inform community through meetings	6	13.64
Resolved problems	29	65.91
We went to the media	1	2.27
Problem remains unresponded to	5	11.36
Do not know	3	6.82

5.2.6 Investigating perceptions of the citizens of Johanna/Boxwood Road Informal Settlement on water-delivery service and strategic interventions of eThekwini Municipality, by groups.

Table 5.7: Differences among respondents in terms of their perceptions of water services provision (N=100)

Variable	Percentage Group 1	Percentage Group 2	Chi Square	P-Value
Employment Status	Employed	Unemployed	5,707	0,017
Females	10	30		
Males	24	36		
Language spoken at Home	Females	Males	7,749	0,006
IsiZulu	45	27		
IsiXhosa	19	9		
Anything preventing household from accessing free water	Employed	Unemployed	8,886	0,006
Yes				
No	31,3	41,4		
	3,0	24,2		
Awareness of water monitoring problems	Employed	Unemployed	14,146	<0,001
Yes	14	14		
No	20	52		
How accessible are the Municipal Offices from your area	Employed	Unemployed	3,148	0,076
Not Easily Accessible				
Easily Accessible	25,3	57,3		
	9,1	8,1		
Variable	**Mean Group 1**	**Mean Group 2**	**T-test (df)**	**P-Value**
Average number of people staying in the household by gender of household head	Male 3,00	Female 5,00	2,330 (37,026)	0,025
eThekwini Municipality is responsive to the needs of the customers*	Males 2,65	Female 3,15	1,757 (98)	0,082
eThekwini Municipality is reliable when delivering water services to the area*	Employed 4,00	Unemployed 3,29	-2.492 (98)	0,014
I trust eThekwini Municipality to always deliver water services with compassion*	Employed 3,76	Unemployed 3,14	-2,242 (75.969)	0,028

Variable	Mean Group 1	Mean Group 2	T-test (df)	P-Value
The standard of delivering water services in eThekwini Municipality is of high quality*	Employed 3,88	Unemployed 3,30	-2,168 (78,953)	0,033
eThekwini Municipality are conscientious to the water service delivery needs of their citizens*	Employed 3,85	Unemployed 3,17	-2,738 (82,327)	0,008
How aware are you of the free basic water you are allowed to access every month**	Employed 2,59	Unemployed 2,02	-1,954 (98)	0,054
eThekwini Municipality is reliable when delivering water to our area by gender of household head*	Male 3,39	Female 3,89	1,782 (58,837)	0,080

**Coding: Strongly Disagree (1), Disagree (2), Neutral (3), Agree (4), Strongly Agree (5).*

***Coding: Not aware at all (1), Somewhat unaware (2), Somewhat aware (3), Fully aware (4)*

The analysis presented above shows differences in terms of perceptions of respondents. Gender and employment status seemed to play a major role in terms of the respondents' perceptions of the delivery of water services by eThekwini Municipality. There were statistical differences with regard to gender in terms of employment status. More males were employed than females. There were statistical differences between males and females in terms of the language spoken at home. More unemployed respondents reported that there was something preventing them from accessing free water services. There were no statistically significant gender differences in this regard. More unemployed individuals reported lack of awareness about water monitoring problems, and this was highly significant. However, gender did not seem to have the same difference. Both unemployed and employed individuals seemed to agree that the municipal offices were not easily accessible from their area. More than half of the unemployed reported the assertion, however the difference was borderline significant. The same was not observed in terms of gender.

The households headed by females seemed to have more people staying together than those headed by males. This difference was statistically significant. Female respondents than male counterparts seemed to agree that eThekwini Municipality was responsive to customers' needs and this was borderline significant. This difference was not observed with regard to employment status. Employed individuals tended to agree that i) eThekwini Municipality was reliable when delivering water services to their area, ii) The standard of delivering water services in eThekwini Municipality was of high quality, iii) eThekwini Municipality were conscientious to the water service delivery needs of their citizens, and iv) trusted eThekwini Municipality to always deliver water services with compassion. These were statistically significant. There were no gender differences, except for borderline statistical significance in terms of females being more agreeable with the statement that eThekwini Municipality was reliable when delivering water services to their area. Employed individuals reported being more aware of the free basic water they were allowed to access every month than the unemployed and this was statistically significant. However, no significant differences were observed in terms of gender.

5.2.7 Discussion

The study sample was predominantly male, IsiZulu speaking, unemployed and the highest level of education being secondary school education. Age varied hugely in the study. However, there were no statistically significant differences between males and females in this regard. Household headed by females seemed to have more people staying there than those headed by male counterparts. However, this difference did not seem to have an effect on the amount of water being consumed in the household. More than half of the respondents reported knowing who their water services provider was. However, there was no difference in terms of gender of the respondent, nor whether the household was headed by a female or male, nor the employment status of the respondent. More than half of the respondents said that their source of water was more than 200 metres away from their household.

An overwhelming majority of respondents (82.8%) perceived the eThekwini Municipal offices to be not easily accessible. This seemed to be true even among those that were employed (25.3%). This finding may also be a contributing factor in terms of a very high proportion of respondents/houeseholds that have not submitted any complaints in the past 6 months (for example, from the conducting of the survey). This may be as a consequence of one of two things. Firstly, it could be because there were no complaints to submit, or secondly as a result of the inaccessibility of the offices and lack of knowledge of other ways and avenues to submit their complaints. These outcomes speak directly to the municipal efforts in terms of some of the content of the community outreach programmes and awareness campaigns.

About 42% of the respondents disagreed that the municipality was responsive to the customers' needs. This was irrespective of the high favourability in terms of the community's perceptions regarding the delivery of high quality water services and reliability in providing such services. About a third of respondents viewed the municipality as unempathetic towards their needs when they have water related problems. Seventy percent of the respondents did not agree that eThekwini Municipality had improved the access and quality of water services compared to the previous year. These results signal areas that might be in need of much attention in order to improve the community perceptions in terms of customer satisfaction (customer oriented service delivery).

Although more males were employed than females in this study, gender did not seem to play a role on the perceptions on water services delivery. This is important, because intervention strategies may not need to focus exclusively on gender. However, employment status seemed to have effect on water services delivery in the area (Johanna/Boxwood Road Informal Settlement). More unemployed respondents reported having i) trouble accessing municipal offices from their area, ii) hardship accessing free water and iii) were more unaware of water monitoring problems. On the contrary, employed respondents were more inclined to perceive the municipality as i) reliable in the delivery of water services in their area, ii) trustworthy in the delivery of water services with compassion and to inspire confidence, and iii) having a high quality standard of delivering water services to their area. Furthermore, the employed individuals tended to be aware of the amount of free basic water they were allowed to consume on a monthly basis.

These differences highlight the important areas of intervention that the municipality would need to focus on in order to improve the perceptions that a community, such as Johanna/Boxwood Road Informal Settlement, hold toward the municipality. This community, in general, seems to agree that the municipality does well in terms of the quality of water services. However, there seems to be lack in terms of relations with the community and how the problems are addressed as and when these problems arise and are reported to the municipality.

5.3 Qualitative Data Interpretation

The following section presents qualitative data and interpretation.

5.3.1 Community Perceptions on the Quality of Water Services Delivered to the Johanna/Boxwood Road Informal Settlement by eThekwini Municipality

The participants perceived the delivery of water services to be of a high quality and standard. This view was unanimously held by the participants in this study. This is reflected by one of the participants in his response about the awards/accolades that the municipality has won for water quality.

"*...I am not sure whether you are aware that this Municipality has picked up a lot of accolades with regards to the quality of water. One, we have picked up Blue drop status which is run by the National Department of Water, where they do the so called "external audit" on all our processes, ensuring that the potable water that we dispense through our pipes to the homes of our citizens is of the highest quality…But, I think the cherry on top was picking up the Stockholm Award which I am told is "THE" award, there is nothing higher than that in the water industry.*" (Participant 1, 2015)

The quality of water provided was deemed the same in all the communities served by the municipality, irrespective of their socio-economic status.

"*There was no separation whether you lived in UMhlanga or whether you lived in informal settlements area. It had to be the same standard that we had to maintain in all the areas*" (Participant 4, 2015).

The delivery of water services was not viewed as limited only to the provision of water, but also to include attending to the customers' needs and complaints. Customers could visit the regional centres, if they had grievances regarding the service they were receiving. The municipality wanted to make sure that their customers spent as little time as possible waiting in the queue for attention.

"*I know my personal experience, when I go to a bank I stand 30 minutes to an hour before I get to the teller. But within our Regional Centres, 10 minutes-15 minutes tops and our customer is out of the door*" (Participant 9, 2015).

If customers sent their complaints in writing, they would be replied to within a specified time frame. The municipality seemed to have every intention of providing services of high quality.

"*…when we say that you will get water connection within 14 days, we mean exactly that, when we say to a customer we will respond to your correspondence in 7 days we do exactly that. We respond to a customer within 7 days, you find in other companies saying to you "thank you so much. We are in receipt of your letter and we will get back to you in due*

course". Our letters are very, very different to that, our letters go on to say 'thank you very much for your letter. We take note of the content, we note that your problem is 1, 2, 3 & 4 we now furthered it to X-Y-Z departments who will investigate the following. So, immediately the consumer knows exactly what we are going to be doing. When the response goes back to that customer it is a holistic respons" (Participant 7, 2015).

For informal settlement communities, like the Johanna/Boxwood community, the provision of water services is somewhat different from in formal settlements. The community is provided with standpipes, each household being provided with a certain number of litres of water per day.

"*Generally, you know, like I said we have these standpipes*."

"*...we do not provide individual connections to each and every house. We provide communal standpipe, which services people within 200 meters radius*."

"*...the Council Policy will provide 300 litres per household per day, and we found that this amount of water was sufficient*" (Participant 5, 2015).

For informal settlement communities, the municipality deemed it necessary also to set up ablution facilities for sanitation purposes. This was done so that negative unintended consequences could be avoided as a result of water provision to the community. As one of the participants reported below:

"*I think, we have gone to the extent of putting in ablution blocks as well in these areas. It is mixture of the container, the idea brought in eThekwini Water and Sanitation where people have communal toilets and communal wash areas in the informal areas so that you do not have grey water running all over the show*" (Participant 7, 2015).

However, there were other key challenges that were highlighted by the participants in terms of service provision both in Johanna/Boxwood Road Informal Settlement and other informal settlements in general. Some of these challenges overlap with the sections that will be presented further on in the report. The next section reflects challenges that the participants deemed crucial to service provision.

5.3.1.1 Political environment

One of the participants felt that critical issues included the concern about the often blurred lines between politics and service provision. This was especially true when it came to what the politicians promised the communities and what the municipality could provide as mandated by policy and legislation. This divide between the promises made by political leaders and policy expectations would then create unrealistic expectations in the community. As a result, the municipality is left to deal with the consequences of such actions.

> "*...we have our Councillors promising houses, et cetera, and ...uhmm...during...uhmm... you know ... during the voting times... during... where Municipal votes, et cetera, are counted then people. Uhmm...Housing will erect houses and in some cases they do not follow the normal process of notifying our Planning and Design Section and ...uhmm... these things...uhmm they are short circuited and as a result those areas do not have formal piping infrastructure in place but the houses were built. So, we have to now...uhmm...the policy does not cater for that because the Policy says "no", we should not be giving them water because they do not have formal piping infrastructure*" (Participant 14, 2015).

5.3.1.2 Illegal connections

Some of the members in the community, owing to their desire to have water taps as close as possible to their dwellings, make illegal connections. This practice is unacceptable as it disturbs the supply network. Where it interferes with the system, leakages may result, with a very high risk of contaminating the network. This would negatively affect the quality of water being provided, which could lead to health risks.

> "*Of course, in many instances you find that people are lazy to walk to the stand pipes, they connect pipes from the stand pipes to their properties. You know so, which is deemed to be an illegal kind of activity*."
>
> "*I am sure it was a result of illegal connection before the ablution blocks really took hold and were successful because we detected the level of e-Coli in one road which is right next to the Johanna Road Settlement.*"

"*...certainly in relation to other informal settlements we have noticed that they tend to…uhmm… from our water pipes serving the water dispensers, they tend to lay their own pipes,…uhmm… to their own households but they are taking more than the 300 litres of free water but in addition they are damaging our pipes and as a result you get a lot of water wasted, leakages, it actually creates dampness in that area as well, and then you can have health problems as well as a result of that*" (Participant 9, 2015).

5.3.1.3 Access to the community

Some settlements are difficult to reach, because of the terrain; the infrastructure required to provide water and sanitation services is therefore arduous to instal. Because of the very nature of informal settlements, it is demanding to plan, let alone set up the infrastructure needed to provide services once the area has been occupied. It also impedes the regular maintenance work on the pipes, or the attending to leaks or faults once reported by the community. This may result in unnecessary escalation of costs.

"*Because the homes are so clustered, there is no space for proper infrastructure to be put into place…uhmm…, you know, even if you were to get a pipe in it is very difficult to get to these pipes to repair water leaks etc …You find where some of these informal settlements are allocated, it is very difficult to get services to these people. For example, if it is higher up on the hill trying to get water pumped into there is very expensive*."

"*My guys will come back, previously, they are not able to drive there because there were instances where the guys got stuck, another guy somersaulted with the vehicl*" (Participant 7, 2015).

Access to the community also decides access by municipal employees (namely, water samplers) to critical points where they draw water samples to test for quality. In some cases the samplers are not able to do their job effectively, being prohibited from entering the community and consequently reach the sampling points. At times staff face intimidation and possibly risk their lives doing their job. The job of the samplers is, however, critical to the chain of high-quality

service to the community. Sampling is of paramount importance to the monitoring and evaluation of the quality of water received by the end-user.

> "*It becomes a high risk for samplers to go there and taking armed security guards is not really a way forward*" (Participant 2, 2015).

5.3.1.4 Abuse of the system

Some participants have noted the abuse of the water services provided in informal settlements, such as at Johanna/Boxwood Road. Some community members have made illegal connections resulting in their using of more than the free 300 litres per household per day. Others from higher socio-economically viable neighbourhoods came with containers to exploit the "free" 300 litre per provision. In some instances taxi drivers come to wash their vehicles using water from the standpipes.

> "*Through that process we do it via the stand pipe, but the problem is that we found that there is a lot of abuse on those stand pipes…uhmm…uhmm… yes…. there is a lot of abuse on those stand pipes*" (Participant 11, 2015).

There was consensus among the participants that the vandalism of infrastructure seemed to be common, especially in informal settlement areas. This would include the damaging of water pipes as a result of illegal connections and vandalism of ablution facilities, resulting in unnecessary costs. It was apparent that the community had to be sensitised to the importance of looking after its own infrastructure. The damaging and vandalism of the infrastructure resulting because the community in the informal settlements did not pay for services such as water. Despite this possibility it was essential to empower the community by keeping them better informed. Participants wished for communities to take more responsibility in caring for and protecting the infrastructure that has been installed to provide services efficiently.

> "*But there are instances where the community sometimes puts stuff down the waste water toilet facility and it led to blockages but we were quite fortunate that …uhmm…we have waste water operations teams that can react.*"
>
> "*…but in addition they are damaging our pipes and as a result you get a lot of water wasted…*"

"*...the containerized ablution blocks which are used in Johanna Road. To start with, they were put there and it was expected that the community themselves were going to look after them. This actually does not happen*" (Participant 13, 2015).

5.3.1.5 Billing system

The informal settlements have inherent difficulties in terms of how they are structured and organised. This poses a particular challenge because it is not easy to document the exact site of each household. Unlike formal townships, informal settlements do not, in most cases, have physical addresses with house numbers. This makes it impossible for the municipality to bill households and to collect revenues through the already established revenue collection models, once households have used more than their stipulated 300 litres per day. This situation results in the loss of revenue and an added cost to the municipality, which the municipality has to recoup in whichever way it can.

"*Firstly, there is no proper addressing. When you want to deliver any kind of service as Municipality you need to have some way to identify a dwelling, a consumer, a place that you want to deliver service to*."

"*...it now ensures that our paying customers are paying the price with regards to the abuse of water on the stand pipe*" (Participant 7, 2015).

5.3.1.6 Migration

The informal settlement community is a very fluid one in the sense that there is a high rate of migration which is unpredictable at best. Migration generally refers to people moving in or out of the place. However, for the purpose of this study migration has been used to refer to people moving from their areas, particularly rural areas, into the City of eThekwini and its surrounding towns. People migrate to the City hoping and expecting that government will deliver services for them. However, there is the gap between reality of what the Municipality can deliver, and what the citizens expect (Houston and Sausi, 2013: 128). This high rate of migration results in difficulties in terms of planning and resource allocation. Fluidity in population affects the delivery of services such as water.

"*We all know that even the population is not stagnant. You make your predictions to say "this is what I want to do for so many households" and by the time you implement your project the goal-posts have moved in terms of the number of households maybe and yet your budget was limited to what was there at that particular time when you made your preliminary feasibility*" (Participant 1, 2015).

5.3.2 Understanding the Efficacy of the Consultation Strategies of eThekwini Municipality at Johanna/Boxwood Road Informal Settlement

The responsiveness of an organisation to situations determines perceptions of the recipients of its services on the quality of its services. This report focuses on three aspects under this category. These are a) Consultation Strategies, b) Responding to Complaints, and c) Customer Satisfaction.

5.3.2.1 Consultation strategies

Among the participants, there seemed to be various understandings of consultation and the translating of consultation to practice. For some, consultation was limited to reporting problems (for example leaks, burst pipes, inter alia), while to others consultation extended to conducting awareness and educational campaigns. To some, consultation implied a regulated activity, and to others a critical process leading to a successful project that should be part of the process from the beginning. The community (as recipients of services) should, as partners, be part of consultation. These differing understandings may be informed by different backgrounds in terms of training and experience. The unit represented by the participant is depicted below.

"...you can see on our wall we have got a nicely drawn Customer Services Charter as well as the Service Level Standards which are reviewed and updated quarterly in order to make sure that we are responsive to the customers' needs" (Participant 1, 2015).

- ***Consultation as a reporting tool***

This kind of consultation was viewed in the light of people's either reporting incidents to their local ward councillor, who would act as an intermediary between the community members and the municipality. Alternatively, the community members would report problems through the Call

Centre. The municipality would then respond to those reported problems within the stipulated time frames. What was unclear was whether the telephone number for the Call Centre was toll-free, and whether the community members knew that they could call directly instead of reporting to the ward councillor, who would take the matter to the relevant unit.

> "*…people are even going to the Ward Councillors reporting incidences, they can even report directly to the Call Centre but these are all attended to within the time stipulated*" (Participant 10, 2015).

- ***Consultation as awareness and educational campaigns***

Awareness and educational campaigns were deemed successful forms of consultation. However, these forms present some limitations to the following: a) Awareness campaigns would make use of radio; listeners could call in afterwards. This feedback could be used as an information collection strategy, ascertaining whether any problems were reported by callers. The problem with this strategy is that only people who can afford to make a call and wait in line to go on air may actually make a call. There is a selection bias in terms of who can afford the call. Not everyone has enough airtime to wait in line.

> "*...such that they are interactive with listeners and then immediately, you know when you are on radio and people are given an opportunity to fire the questions, then if there is a problem, then you will know*" (Participant 1, 2015).

In terms of educational campaigns, there is a dedicated team working with communities and the ward councillors to educate people on services provided by the municipalities and how to take care of the infrastructure provided. However, this approach may have serious limitations as it seems be one-directional, top-down, and instructive by nature. An opportunity exists of using this team for more than simply educating and instructing communities. The team could be used to engage with communities, learning from them, which could provide a valuable resource in terms of information about the community, leading to better planning.

> "*There is a team which deals with educating people on how to take care of infrastructure, how to use water, how to own the infrastructure that we*

are giving to them because that infrastructure is theirs. If they are not taking care of the infrastructure, it will be a fruitless exercise to us as a Municipality." (Participant 9, 2015)

"*They did a proper consultation process, unlike our guys here, our guys*" (Participant 4, 2015).

- ***Consultation as a regulated activity***

When asked about consultation strategies, some participants perceived consultation as an activity mandated by certain regulatory frameworks. They therefore had an obligation of performing it as per regulations. Such a view is understandable. However, if consultation is only conducted to fulfil requirements without greater understanding, adverse effects on the provision of services could result.

"*The IDP process itself requires us to first go to the communities and hear what they want instead of us coming to them*" (Participant 2, 2015).

"*The consultation is as per National Treasury Regulations. You have got to basically write to National Treasury and get their views and recommendations*" (Participant 3, 2015).

"*You know "BATHO PELE", one of the principles of BATHO PELE is consultation and in terms of just that is Transparency, Openness and Redress. If you look at our Customer Services Charter, our Customer Services Charter speaks to what do we do, it speaks to our commitment to our consumers*" (Participant 7, 2015).

- ***Consultation with communities as partners***

There were those among study participants who viewed consultation as critical to the success of projects. Communities were deemed important partners that should be involved and engaged from the planning stages right to implementation. This was perceived to strengthen rather than to weaken the project. Participants were aware that in some cases the projects foundered because the consultation process was wrongly undertaken. This was identified as a weakness within the

organisation. Some participants could identify successful projects in which consultation, inter alia, was performed correctly.

> "*To illustrate that …uhmm… a year ago or two years ago we had what we called "a Student Conference". That came out off the suggestion from the "man in the street" who made a suggestion to say "you should be educating the students and you should be recognizing your students and it would be nice to get a group of students around the table and hence we had hosted very successful Student Conference which was attended by the Mayor*" (Participant 1, 2015).

> "*…we try very hard to involve the community at every level that they get to be aware of the role they play as consumers because it is not just a question of giving something and they have nothing to do with it. They are critical part of our distribution system*" (Participant 2, 2015).

> "*But one thing is very; very important is that we have to have a proper consultation strategy. When we visited "Singapore", they have done it very successfully…. They did a proper consultation process… I think if we spent a little more time with the community and getting their feedback and address this thing here in a much more work-shopped way I think we would have got better results*" (Participant 4, 2015).

5.3.2.2 Responding to complaints

Participants expressed the importance of the municipality's quick response to customer complaints or reports of incidents such as leaks. The positive outcome and/or consequence is positive customer/community perceptions of water and sanitation services which the municipality is providing.

> "*But within our Regional Centres, 10 mins-15 minutes tops and our customer is out of the door.*"
>
> "*…when we say that you will get water connection within 14 days, we mean exactly that, when we say to a customer we will respond to your correspondence in 7 days we do exactly that. We respond to a customer*

within 7 days… We take note of the content, we note that your problem is 1, 2, 3 & 4 we now furthered it to X-Y-Z departments who will investigate the following. So, immediately the consumer knows exactly what we are going to be doing" (Participant 7, 2015).

5.3.2.3 Customer satisfaction

Customer satisfaction seems to be one of the important aspects with regard to service delivery. As such, the service delivery standards reportedly were developed with this in mind. As one of the managers put it, "*These standards were designed with customer satisfaction in mind.*" However, customer satisfaction is deemed by some participants to be met simply because no community service-delivery protests were made. There seems to be no active surveillance in place to monitor customer satisfaction. This oversight needs rectifying in order to meet this goal.

There was a level of confidence among the participants that customer satisfaction was being achieved and that the needs of the customers were being met.

> "*I think the biggest thing is for us to never lose sight of our customers down on the ground, know them, hear them, feel their pains, clean their hands for us to be in sync with what is the services that they desire and how can we meet it … uhmm especially in the informal settlements …uhmm…these poor people having to have a voice, they should be encouraged…*"
>
> "*Africa is not a first world, South Africa is not a first world, I am very proud to say that as business Unit we give our customers a world first class service in terms of quality of water. I believe we are the few countries in the world that you go to your tap and just open your tap and drink water out of the tap. How many Countries can do that?*"
>
> "*Nevertheless, we are also meeting the needs of our customers, I think that was more important*" (Participant 4, 2015).

5.3.3 Effectiveness of Monitoring and Evaluation System Employed by eThekwini Municipality in Delivering Water Services to Johanna/Boxwood Road Informal Settlement

This is an important part of the process as it deals with monitoring and evaluation of the services provided. The study participants' responses demonstrated that the municipality was strong on the

technical aspects of monitoring and evaluation. The municipality was able by various means to monitor the quality of water, and to monitor leaks and burst pipes. The municipality was able to monitor the activities and performance of its employees through the Key Performance Indicators. Participants expressed confidence in monitoring and evaluating these areas of water and sanitation service delivery.

> "*Yah, well, there are various Sections and Departments, monitor water loss, they go out, driving by and reporting any water leakages, et cetera.*"
>
> "*We have got SCADA. SCADA is our monitoring system.*"
>
> "*So, the monitoring and how effective we are is critical because it is linked to how we keep our Key Performance Indicators and part of it is that we have a collaboration with the University of KwaZulu-Natal.*"
>
> "*Uhmm… Yah, on the Monitoring and Evaluation System, actually what is happening before the construction started there, we drew up a bar chart, it is called a Gantt chart. A Gantt chart, it is when you can see all activities that are going to happen in the project.*"
>
> "*And then what happens is that you will find that in this particular informal area is that the stand pipe feeds off the bulk meter that gives you an idea of how much of water that particular informal area or settlement is using on the daily basis.*"
>
> "*So, at any given point in time on a daily basis our laboratory can raise an alarm system to say 'hey, guys listen out of that reservoir ….the lime content or chlorine content or whatever they use in there is too high', you know, 'what is going on there'? So, these things are monitored. I am very proud to say that, I believe that the water that comes out of the tap is safe because of those individuals because they sample the water, our scientists, our laboratories ensure testing is 100% accurate*" (Participant 4, 2015).

Some participants felt that improvements could be made in certain areas. Even though the technical aspect of monitoring is performing well, some of the participants noted that there was room for improvement. The systems that have been set up could be optimised so as to obtain the

best value from the investment. Participants also made suggestions on what could be improved and how useful this could be.

> "*I think the technical monitoring, as I said, is pretty good. There are obviously ways to improve it.*"
>
> "*We have to have at some point some monitoring device whereby the caps are not left opened and water is not just dripping and as well we have to have some ways of identifying the leaks that are around there.*"
>
> "*The challenge is, there is no value coming out of that process because no one is utilizing the SCADA, the SCADA is down sometimes. If I ask the guys now 'the Johanna Road thing went down, is there any information that is coming through?' How did you come to know? No one will be able to tell me that*" (Participant 2, 2015).

On the community or customers, participants were divided, or at least had different perceptions when it came to monitoring and evaluation. Some felt that the measures in place were effective, whilst others said that, although something was being done, the municipality was weak in this area. Some who expressed confidence in this area used proxy measures as the source of evidence for effectiveness. One participant stated that community members not striking in the streets was proof that monitoring and evaluation was working. On the other hand, there were significant concerns in terms of the municipality's lack of understanding at community level, of i) how the water was collected, and ii) how it was stored and used. There was also concern about the low response rates to surveys being conducted in eliciting information on these issues. This was despite having community liaison officers regularly visiting the area. An example was provided of how monitoring and evaluation at community level could work effectively, in which regular meetings with the community were held, and concerns were addressed in trying to increase customer/consumer satisfaction at community level.

> "*In fact, as I mentioned that there is direct interaction with Councillors of all the Wards within the eThekwini Municipal Area. At this Department, we track the extent to which we get queries or concerns from each of the Councillors…*"

"*We also have Sizakala Customer Service Centres which are also other means to get inputs. Those services are measured through independent surveys just to see the effectiveness of how they perform also in the delivery of handling customer inputs.*"

"*I believe that we have our Customer Liaison Division which is actively involved in the informal areas, actively involved in engaging the Councillor of this particular area as often as possible…*"

"*There are questionnaires that go out and ask for customer feedback …and the response rate is very, very low. Now, well, whether that is the question of people saying I am satisfied with what I am getting therefore I do not need to respond or they are saying no one is listening to me therefore why should I respond, is not entirely clear. So, there again, having trainers or liaison people who interact with the communities on the regular basis is the best way to get feedback because there is a level of trust that is built up and they know that they can take something to these people and it will be addressed. Putting things out on the paper and over the radio is well and good for segments of the people but it is not ideal for everyone*" (Participant 7, 2015).

Providing Sizakala Customer Service Centres demonstrated that eThekwini Municipality was striving to fulfil the *Batho Pele* principle of access. This was despite the earlier assertion by the respondents of Johanna/Boxwood Road Informal Settlement.

5.3.4 Ascertaining the Implementation of the Water-Service Standards at Johanna/Boxwood Road Informal Settlement in eThekwini Municipality

The relationship between the supplier of services and the beneficiaries of those amenities is a delicate one. It is one that requires certain components for it to flourish. Community trust, engagement and empowerment are among those important components.

5.3.4.1 Community trust

Among the participants there was recognition of the importance of building trust within the community. It was observed that trust was not always evident: there was suspicion in the community of the intentions of the municipality. Some participants seemed to see perceptions held by the community that had been informed by historical events, possibly leading to the breakdown of trust. At times this lack of trust had placed the municipal employees' safety at risk. However, the participants recognised that there was an opportunity of building trust. Making use of the community liaison officers was seen as beneficial.

> "*We need to get people to understand that we are partners in this. We are not coming with a big stick to beat them up and say "This is the way it is going to be", we want to hear what they have to say, we want to hear what their difficulties are, we want to find solutions.*"
>
> "*I heard several times "why are you bothering to come to us, you do not listen to what we say anyway, and whatever we say is not going to make any difference…*"
>
> "*They build that trust with Municipality*" (Participant 4, 2015).

5.3.4.2 Community engagement

There were varying degrees of understanding of community engagement among study participants. Some perceived engagement with the community as a process that could yield positive results, in which consumers/community members were partners and also agents of change. Participants saw this as being a 'win-win' for both the community and the municipality, the kind of engagement leading to satisfactory outcomes for both community and municipality. These participants had noted examples of how this partnership yielded desirable results for both parties. Others expressed frustration with reaching common objectives. This process was deemed necessary for the purpose of the community agreement with the municipality's planned objectives.

> "*Maybe, we can institute that once a quarter there is a feedback meeting to say "this is the quality of water in your area, these are risks we have identified, this is what has improved, this is what has gone backwards and*

how are we going to move this forward?" because if communities are involved they help" (Participant 2, 2015).

"*...a year ago or two years ago we had what we called "a Student Conference". That came out off the suggestion from the "man in the street" who made a suggestion to say "you should be educating the students and you should be recognizing your students and it would be nice to get a group of students around the table*" (Participant 7, 2015).

"*I am saying 'sometimes on the issues of community's side we have got some other issues which are not relevant to some of the projects coming in but we try to avoid those ones. Most of the time the communities want to deal with lots of things at one time'. So, we try by all means to compel them to deal with one project which is on the topic.*"

"*We often face challenges of ...uhmm…community…uhmm…demanding employment… they want to dictate the security guard, the storeman et cetera. So, we have to use those people that are recommended and yet the community has their certain demands whereby they want their own people*" (Participant 15, 2015).

5.3.4.3 Community empowerment

A few of the participants expressed confidence that the provision of water and sanitation services, particularly at the Johanna/Boxwood Road Informal Settlement, also provided an opportunity of empowering the community in other areas of life, such as for intervening in improving the nutritional status of the dwellers, addressing health concerns, and restoration of a sense of pride. In general, other benefits had been improvement of job opportunities, and availability of scholarships for people to study further, among other advantages.

"*We did do a pilot with sort of… establishing a health club. I think that has lots of potential because you have people that are committed and they can play a significant role in reporting directly to us or engaging with the community on aspects that they feel that they can rectify within themselves*" (Participant 3, 2015).

"*So, the basic provision of water has had spin-offs into other things, the better nutritional standard for the communities, more pride of community, more interest in what is actually a right…*"
"*There is a whole sorts of different business treatment that we are looking at like fertilizer, compost, pellets, nutrient recovery there. So, surely all these processes here, the community will be affected because the labour is right there*" (Participant 4, 2015).

5.3.5 Impact of the Performance Management Strategy (PMS) used in the Delivery of Water to Johanna/Boxwood Road Informal Settlement

The municipality seems to have put in place certain measures to ensure that services, in this case water and sanitation services, are provided effectively and efficiently. The study participants mentioned a few aspects in this regard. These included performance-management strategies, staff incentives, recognition, retention and development, inter-departmental and sectoral collaboration, and innovative solutions. These were deemed critical elements to the provision of services and therefore had positive spin-offs to customers and consumers.

The strategy that the municipality was currently employing in terms of monitoring performance of its employees was deemed effective. However, it was also perceived by some to be still maturing and as a result was not yet yielding optimal results, which might bear fruit over the next two to three years. Nevertheless, the strategy was accepted as a vehicle through which everyone could be held accountable, and their performance measured by key performance indicators (KPIs). The purpose of this process was not deemed primarily as a punitive measure, but as one which encouraged individuals to work harder and at times to go beyond the call of duty. The process was deemed fair and objective rather than subjective. The majority of participants expressed confidence in the strategy since everyone was held to the same standard. Through this strategy staff incentives could be determined and people could be recognised for their contribution and hard work.

The strategy was also seen as a tool assisting in determining areas in which staff needed to be developed. The strategy had the potential of being used as a tool for staff retention purposes.

Some participants complained about how the organisation was losing personnel to the private sector, for example, because they were not compensated properly.

> "*I think…, in general, the Performance Management Strategy that is used by eThekwini Municipality to deliver water services is working very perfect, although there are some grey areas that need some attention. But, as far as I can see it is working very well.*"
>
> "*We have Key Performance Indicators. Every Manager has these Key Performance Indicators and we have to report on these Key Performance targets every month. That is sent to the Head of the Unit and he keeps an eye, makes sure that the performance of the Unit, of the Water and Sanitation Unit, is up to standard in the delivery of water services in general.*"
>
> "*…the quality of our service delivery, the quality of our water, the quality of the attention we give to our consumers is all based on the commitment of our staff… in this Unit I am very proud to say that Management does not take pride in standing up on the podium to say "Look at what Management has done", we recognize people at ground level.*"
>
> "*But, we cannot get them internally because we do not offer the salaries that they can get elsewhere. So then what are we going to do? So we have to have all of these things in place. Train our own people, pass on from one generation to the next…*"
>
> "*…we take a lot of pride in the development of staff and then of cause we allow those people who are performing moderately okay, to get like… for instance they get like four days off in a year for performing at a certain level and whereas others who excel they get a double notch, you know, for the entire year, so it is very generous*" (Participant 2, 2015).

5.3.5.1 Inter-departmental and sectoral collaboration

There was consensus among the study participants that better coordination of activities across departments was needed. It seemed as though the different departments were not fully aware of the way in which services they were providing were linked to one another. Coordination of

activities and services was deemed to make better sense, this benefiting the organisation by saving time and extra costs, while lowering the risk of duplication of services.

> "*Informal Settlement affects Health Department, Electricity, City Department and it affects Housing, Physical Environment, Road Departments, et cetera. So, what I feel is a good thing to do is to …we are all Municipal Departments, it should be a coordinated effort when one is providing services to this community or informal so that it can be done in a more coordinated manner and it will save us costs, it will save us time, it will save us duplication, et cetera*" (Participant 14, 2015).

Some of the participants raised the issue of public private partnerships (PPPs) and whether this collaboration would be effective in the provision of water and sanitation services. These participants seemed to be in favour of such collaborative efforts. One example of such an effort was that of a partnership between the municipality, VEOLIA, SAPREF and Mondi, in which VEOLIA was contracted to set up infrastructure and provide SAPREF and Mondi with second-class water at a lower cost. These participants suggested this as a route that the municipality might and probably should explore in the provision of water services. The current global debate is on whether the commodification of water would be a moral or ethical exercise, especially in water-scarce settings like South Africa. The debate is framed around government's justifying the legitimacy of its activities and making the provision of services such as water to the citizens less costly (Holcombe, 1997: 21).

> "*Looking at these private parties, if I can come back to our DWR Plant. The Private party will leverage all the finance to fund the plant. You understand now why eThekwini did not provide any of the capital. How they are getting their revenue, they are getting their revenue from the Agreements with SAPREF and Mondi.*"
>
> "*Yes, we have done very good, we have won awards and we are great, we did all these things but that is now. What about the future? How do we now improve on what we currently have? These are the kind of strategies in terms of whether it is PPPs or different contracts where if we are not managing it well, then we need to ship it out*" (Participant 4, 2015).

5.3.5.2 Innovative solutions

There seems to be commitment among the participants and the municipality to look for innovative ways of addressing challenges in service delivery, particularly in the water and sanitation service-delivery arena. These solutions include the use of technology in monitoring the water infrastructure network to provide practical solutions at end-user level (the customers/consumers). The use of ICT ensures that knowledge is shared between eThekwini Municipality's officials and the consumers. In general, ICT is used to promote communication. As such, it may also be used to provide information related to water and sanitation to staff and end-users in the 21st century. The municipality's systems are used as a back up to provide information. People could use ICT to buy water and to report queries and complaints using their cellphones. This type of innovation was perceived to be the driving force behind the level of excellence displayed by the Water and Sanitation Unit.

> "*I think, we should try and not run away from... uhmm… changes in terms of technology. So, it is important that if we have to make sure that we monitor improvement in terms of the service delivery we include the technology side of the system. So, I think by this we have to make sure that we have got some devices that we are able to record our service delivery so that we improve.*"
>
> "*You know, sometimes a weakness is not always a weakness, you know, within a weakness you find a strength, within a weakness you find answers as well. So, we need to take advantage of those weaknesses. What is in your face and we can use that to our advantage.*"
>
> "*…we need to be moving to the situation where we provide sustainable solution and a complete solution for different communities*" (Participant 4, 2015).

5.3.5.3 Perceptions

This section covers two aspects of perceptions emanating from the qualitative study of this project. It further addresses the perceptions of the study participants in terms of the organisation's attitude towards the community and the way in which the community perceives the organisation, from the organisation's point of view.

5.3.5.3.1 Perceptions of the organisation

There were two dominant perceptions held by the study participants about the informal settlement community. On the one hand, the community was perceived as partners in service delivery, and on the other hand, less so. In fact, at times the community was seen to some extent to be hindering the delivery of services. These perceptions informed the approach that the participants would prefer to use when addressing challenges. Those who saw the community as partners expressed the importance of proper and effective consultation from the conception of projects, whilst on the other hand these were processes that were deemed frustrating. Those who saw value in engaging in these processes properly, appreciated the outcomes thereof. This did not mean that there were no challenges, however, these participants saw that the process would go a long way in safeguarding the relationship built with the community; it would pay off when addressing challenges.

> "*And informal settlements specifically, have their own dynamics, people trust together from different walks of life coming and living in close confined situation. That psychology, that context and that society has to be understood and that should be informing our strategies for all service delivery, including water service delivery. Once we understand that clearly, then all Municipal Services could be governed around those specific unique contexts of informal settlements and that is key for all*" (Participant 6, 2015).

There were also other participants who mentioned the vandalism of infrastructure, illegal connections and abuse, the municipality's loss of revenue, and that the community needed to be educated on these issues

5.3.5.3.2 Community perceptions

Perceptions of the majority of participants suggested that the organisation was not perceived positively by the community. Some participants mentioned the lack of trust the community had towards the municipality; the intentions of the municipality were not clearly understood, and that this undermined the security of the water samplers in the community. This led to difficulties of the municipality in obtaining information from the community. This situation negatively affected the improvements in service delivery that could be made.

"*I believe that a budget should be set aside to ensure, you know, people talk about education, it is not only just about education, it is about keeping your customer informed regularly as possible, to ensure that you keep and maintain that personal contact with your customer base all the time, to ensure that you are visible all the time. You must not be seen to be coming around to my home once a month when you are reading the meter. You must be able to be heard and seen all the time.*"

"*We need to get people to understand that we are partners in this. We are not coming with a big stick to beat them up and say "This is the way it is going to be", we want to hear what they have to say, we want to hear what their difficulties are, we want to find solutions*" (Participant 7, 2015).

5.4 Organisational culture

The participants displayed a proud organisational culture. This organisational culture is important in ensuring that service delivery occurs. It helps in advancing the values of integrity, caring, discipline, and loyalty in delivering water services. eThekwini Water and Sanitation prides itself on high performance and productivity, which is evident through the accolades and the awards that it has won for delivering water services. It seems to be embedded in the identity of the organisation to improve itself and the services delivered, and the study participants spoke to that to varying extents. Critical to its culture is being customer driven.

"*I think as EWS we have our culture, our own internal culture in terms of saying 'we are proud customer service agents', whether it is general worker digging a trench or whether it is the Head of water and Sanitation. We have a proud culture of saying 'we are customer driven'*" (Participant 7, 2015).

However, it is not always the case that all members of the organisation live up to this culture. In some instances the participants reflected the opposite of this culture, in what seemed like an "us and them" situation; the organisation no longer being customer driven. This was especially evident when challenges had to be addressed.

"*…because these people have invaded land that has not been developed.*"

"*…because we also have to inform them that one's wishes are not always possible…*"

"*If they mess it up through illegal connections you could have back flow which then can contaminate the entire distribution system*" (Participant 11, 2015).

5.5 Policy framework

Policy was viewed in two ways. Firstly, it was seen as offering guidelines for excellent service delivery. This was especially true when it came to the quality of water being provided and the maintaining of the standard of quality throughout the areas serviced by the municipality. Policy was seen to play a critical role in that regard from service delivery standards to performance-management systems. Policy was also perceived to be fair in terms of how to treat people or communities able to afford standard services. The framework also guides the way in which communities should be engaged.

"*...on our wall we have got a nicely drawn Customer Services Charter as well as the Service Level Standards which are reviewed and updated quarterly in order to make sure that we are responsive to the customers' needs at any given moment.*"

"*...the City has drawn up a Policy of implementing different service levels…uhmm… this came about after 2000 from the Water Act where the Water Act specifically states that 'every household ...uhmm…will get water'.*"

"*Our Service Level Standard Document, as explained earlier on, is a commitment from the Head to our consumers and he has committed to every single Manager within Water and Sanitation to those standards and to those Performance Indicators or Areas.*"

"*In as much as I am saying they are not our customers, they are the residents of the City and we have our obligation via the Constitution to ensure that they get portable water*" (Participant 5, 2015).

There were limitations, however, that were identified that were detrimental to the delivery of services, especially in informal settlements. Policy did not seem to take into account the dynamics of these contexts, and at times hindered the efficient delivery of services, as reported by some of the participants.

"*I believe, we can do more if we can be able to have that leverage of making decisions for ourselves because currently the bureaucracy that is within our system as a Municipality, I know that does not only apply to us as eThekwini Municipality but all municipalities, there is bureaucracy in terms of you take a decision now to do something and then the process in order for you to be able to finally say "I am doing it", it can take you almost a year before you can go on the ground doing something*" (Participant 1, 2015).

5.6 Political environment

Service delivery occurs within a certain context and environment. This context and/or environment will either aid or pose challenges to the delivery of services, and particularly in this context of water and sanitation services. The political environment highlighted by some of the participants was not particularly helpful to service delivery and was against policy. The participants reported that the politicians, especially around the election season, would make promises to their electorate; these promises would not be in line with policies in place. The result was conflict between what policy directed and the expectations created by the politicians. The municipality would be caught in the middle of this conflict. The participants expressed readiness to cooperate with their politicians in the policy-development processes, so as to achieve more efficient and sustainable service-delivery strategies.

"*...if I may mention here…uhmm….with housing issues, sometimes it is on political pressure that …uhmm…we have our Councillors promising houses, et cetera, and …uhmm...during…uhmm…you know… during the voting times… during… where Municipal votes, et cetera, are counted then people… So, we have to now…uhmm…the policy does not cater for that because the Policy says "no", we should not be giving them water because they do not have formal piping infrastructure…*"

"*...and another important thing is we need political buy-in, political buy-in to the strategies that we want to develop or that we want to improve on, you know, our City Fathers, they need to understand that in as much as they are politicians, they have a critical role to play in a partnership with us to*

ensure that we provide efficient, effective and dynamic service, equal to none and that it is sustained service going forward" (Participant 14, 2015).

5.7 Conclusion

This chapter tabulated the data collected from the one hundred Johanna/Boxwood Road Informal Settlement's respondents for quantitative analysis. It further presented the analysis gathered from the fifteen eThekwini Municipality's senior officials' interviews for qualitative research method. Interviews with various officials were presented and analysed within the constructs of the core-value theory. Theory constructs such as responsiveness, reliability, assurance, empathy, and tangibles were covered in detail in relation to the study. This chapter also highlighted the need to entrench organisational culture if officials are to deliver quality water services efficiently, economically, and productively for the community.

CHAPTER 6

CONCLUSION AND RECOMMENDATIONS

6.1 Introduction

Phiri and Mcwabe (2013: 96) assert that service quality is essential for any organisation when providing a service to all its customers. This creates the impression to customers that such an organisation is customer-focused. The fundamental thrust of serving the customers is therefore framed around the level of trust and satisfaction. This is based on the quality of service that customers should receive. When satisfied with the quality of service they have received, customers spread by word of mouth the good news about the organisation that has served them well. Likewise, citizens have fixed expectations of the highest quality of service from their government (Phiri and Mcwabe, 2013: 97).

It is on the basis of the preceding assertion that the researcher accepts that citizens expect quality and excellence when being served either by their administrators or politicians. Such a statement strengthens the notion that any government will be trusted by its citizens provided it responds positively to their needs. Nnadozie (2013: 99) calls this behaviour of government as entrenching a stakeholder-friendly philosophy which ensures enhanced and intensified involvement of communities in the activities of government. Any government faces a challenge of not being voted in again if it turns its back on its citizens. It is therefore important for government to ensure that it meets the expectations of its citizens. Phiri and Mcwabe (2013: 97) stress that no service provider can succeed in its business if it shuns building customer loyalty through the provision of quality service. This ensures that customers are attracted to the products or services being provided.

6.2 Main findings of the research

The study was aimed at determining the perceptions of the Johanna/Boxwood Road Informal Settlement's residents in relation to quality water-service delivery by eThekwini Municipality. A high percentage of the Johanna/Boxwood Road Informal Settlement's dwellers who participated in the study agreed that the quality of water delivered was high, and the delivery of water was very reliable. Participants expressed confidence in the service, and felt that the municipality was

empathetic. However, 42% of the respondents believed that the services were not responsive to the customers' needs; 41% felt that well-trained staff were not available; and 44% felt that the service was not comparable with the rest of the country. A large percentage of the respondents did not know their water-service provider, nor their ward councillor, and had never submitted any complaint in the past.

The study participants from the municipality felt confident of the quality of water and sanitation services that the municipality was delivering to Johanna/Boxwood Road Informal Settlement. They were confident of the monitoring and evaluation tools and systems the municipality was employing. However, some of them felt that the tools could be improved and more could be done with existing instruments, making the best use of them. Some expressed inadequacy in terms of the tools to evaluate and monitor social aspects of service delivery in the community. They believed that the performance-management systems were very effective in the delivery of services, and were fair. They saw these systems having positive spin-offs to the customers, thus improving customer satisfaction.

Challenges to service delivery were identified by the participants. Some of these challenges had serious negative consequences and must be addressed as a top priority. The relationship between the Johanna/Boxwood Road Informal Settlement and the municipality was in need of attention. As a result, trust between the community and the municipality was lacking. The perceptions from both the community and municipality were to a large extent negative. The organisational culture of the municipality was largely positive and seemed to influence an attitude of excellence in the delivery of services and innovative solutions. However, this did not always translate well in terms of perceptions towards the community, the community not being viewed as partners in service delivery.

Policy was found to provide an enabling environment for service delivery. However, there were some instances in which it was viewed as limiting; and the process of reviewing or formulating policy was not responsive enough to deal with the changing dynamics in communities. Similarly, the political environment was at times not in tune with policy imperatives and seemed to put pressure on the implementers in terms of unrealistic expectations raised by politicians.

6.3 Interconnection between research objectives, research questions, data collection methods and analysis

Table 6.1 provides the interconnection between the research questions, research objectives, research methods and analysis.

Table 6.1: Interconnection between research objectives, research questions, data collection methods and analysis

Research Objectives (RO)	Research Questions (RQs)	Data Collection Methods	Analysis
RO1: To elicit community perceptions on the quality of water services delivered to the Johanna/Boxwood Informal Settlement by eThekwini Municipality.	RQ1: What are the perceptions of the Johanna/Boxwood Road Informal Settlement's residents on water-service delivery by eThekwini Municipality in their area?	Community survey Random sample	Descriptive statistics
RO2: To understand the efficacy of the consultation strategies employed by eThekwini Municipality at Johanna/Boxwood Road Informal Settlement?	RQ2: What is the efficacy of the consultation strategies employed by eThekwini Municipality in the delivery of water services at Johanna/Boxwood Road Informal Settlement?	In-depth interviews of eThekwini Municipality's Water and Sanitation Unit's senior and middle managers. Purposive sample	Content/ Thematic analyses
RO3: To ascertain the implementation of the water-service standards at Johanna/Boxwood Road Informal Settlement in eThekwini Municipality.	RQ3: How are water service standards implemented and maintained at Johanna/Boxwood Road Informal Settlement in eThekwini Municipality?	In-depth interviews of eThekwini Municipality's Water and Sanitation Unit's senior and middle managers. Purposive sample	Content/ Thematic analyses
RO 4:To evaluate the effectiveness of the monitoring and evaluation system employed by eThekwini Municipality in delivering water services to Johanna/Boxwood Road Informal Settlement.	RQ4: What is the impact of the monitoring and evaluation system adopted by eThekwini Municipality in the delivery of water services at Johanna/Boxwood Informal Settlement?	In-depth interviews of eThekwini Municipality's Water and Sanitation Unit's senior and middle managers. Purposive sample	Content/ Thematic analyses

RO5: To establish the extent of the impact of the performance-management strategy used in the delivery of water services to Johanna/Boxwood Road Informal Settlement in eThekwini Municipality.	RQ5: What is the impact of the performance-management strategy used in the delivery of water service processes at Johanna/Boxwood Road Informal Settlement in eThekwini Municipality?	In-depth interviews of eThekwini Municipality's Water and Sanitation Unit's senior and middle managers. Purposive sample	Content/Thematic analyses

6.4 Conclusions and Recommendations of the research

Table 6.2 presents the overall conclusion and recommendations of the dissertation.

Table 6.2: Overall research deductions and recommendations

Research Objectives	Research Questions	Research deductions	Recommendations
RO1: To elicit community perceptions on the quality of water services delivered to the Johanna/Boxwood Informal Settlement by eThekwini Municipality.	RQ1: What are the perceptions of the Johanna/Boxwood Road Informal Settlement's residents on water-service delivery by eThekwini Municipality in their area?	Community perceptions of the quality of water service delivery was high. There were differences in perceptions in terms of employment status. Most of community members had issues with accessing Municipal offices.	eThekwini Municipality should improve communication with the community. More awareness should be enhanced as to how the community can raise their concerns effectively. Clear interventions targeting different groups should be considered, as employment was key to how the community perceived the eThekwini Municipality in some areas.
RO2: To understand the efficacy of the consultation strategies employed by eThekwini Municipality at Johanna/Boxwood Road Informal Settlement.	RQ2: What is the efficacy of the consultation strategies employed by eThekwini Municipality in the delivery of water services at Johanna/Boxwood Road Informal Settlement?	The representatives of eThekwini Municipality had limited understanding of how water services strategies were implemented at Johanna/Boxwood Road Informal Settlement.	eThekwini Municipality should consider developing response strategies on how to effectively deliver water services to areas, such as Johanna/Boxwood Road Informal Settlement. Management should be informed of such initiatives.
RO3: To ascertain the implementation of the water-service standards at Johanna/Boxwood Road Informal Settlement in eThekwini Municipality.	RQ3: How are water service standards implemented and maintained at Johanna/Boxwood Road Informal Settlement in eThekwini Municipality?	eThekwini Municipality has strived to deliver and maintain high quality standards in water services delivery. However, there were challenges that threatened these standards at community level.	More work needs to be done in order to understand how water is collected and stored at household level. Interventions are needed to address illegal connections.

RO4: To evaluate the effectiveness of the monitoring and evaluation system employed by eThekwini Municipality in delivering water services to Johanna/Boxwood Road Informal Settlement.	RQ4: What is the impact of the monitoring and evaluation system adopted by eThekwini Municipality in the delivery of water services at Johanna/Boxwood Informal Settlement?	eThekwini Municipality seemed to have done well with technical monitoring and evaluation. The challenge seemed to be at community level, when eThekwini Municipality's representatives were prohibited to do their tasks properly, due to lack of trust.	More relationship building with the community should be undertaken by eThekwini Municipality. The community should be educated on the importance of monitoring and evaluation as a preventative strategy. This could help deal with health problems that could arise as a result of sub-standard water.
RO5: To establish the extent of the impact of the performance management strategy used in the delivery of water service services to Johanna/Boxwood Road Informal Settlement?	RQ5: What is the impact of the performance-management strategy used in the delivery of water service processes at Johanna/Boxwood Road Informal Settlement in eThekwini Municipality?	eThekwini Municipality felt that performance management strategy was transparent. However, they had concerns that the personnel on the ground were not properly incentivized, which affected their performance on the job.	eThekwini Municipality should evaluate its incentive programme at lower levels in order to encourage more productivity at that level.

6.5 Informal Settlement Water Service-Delivery Model: Towards Sustainable Local Government

For efficient, effective, and sustainable provision of water and sanitation services, the municipality has to have certain critical elements in place so as to function properly as presented in Figure 6.1. These elements include i) Responsiveness, ii) Reliability, iii) and Tangibility. This occurs within an organisational culture which informs perceptions about the community served by the organisation. Such perceptions inform the way in which the organisation engages with the community, building a relationship incorporating trust. This also influences the way communication is conducted between the organisation and the community, and the assessment of needs in the community. This process will evaluate the way the community perceives the municipality as an organisation, especially apropos of the provision of water and sanitation services. These processes occur within certain policy frameworks and political environments. The policy frameworks shape the type of services delivered and how they should be provided. Both the organisation and the community should provide a feedback loop in terms of policy formulation and amendments. The political process plays an important part in the policy formulation process and service-delivery expectations in the community. The political influence should therefore create manageable service-delivery expectations contextualised within policy and feedback from administrators as implementing agents. The figure below represents a model for the delivery of water and sanitation services at a local government level.

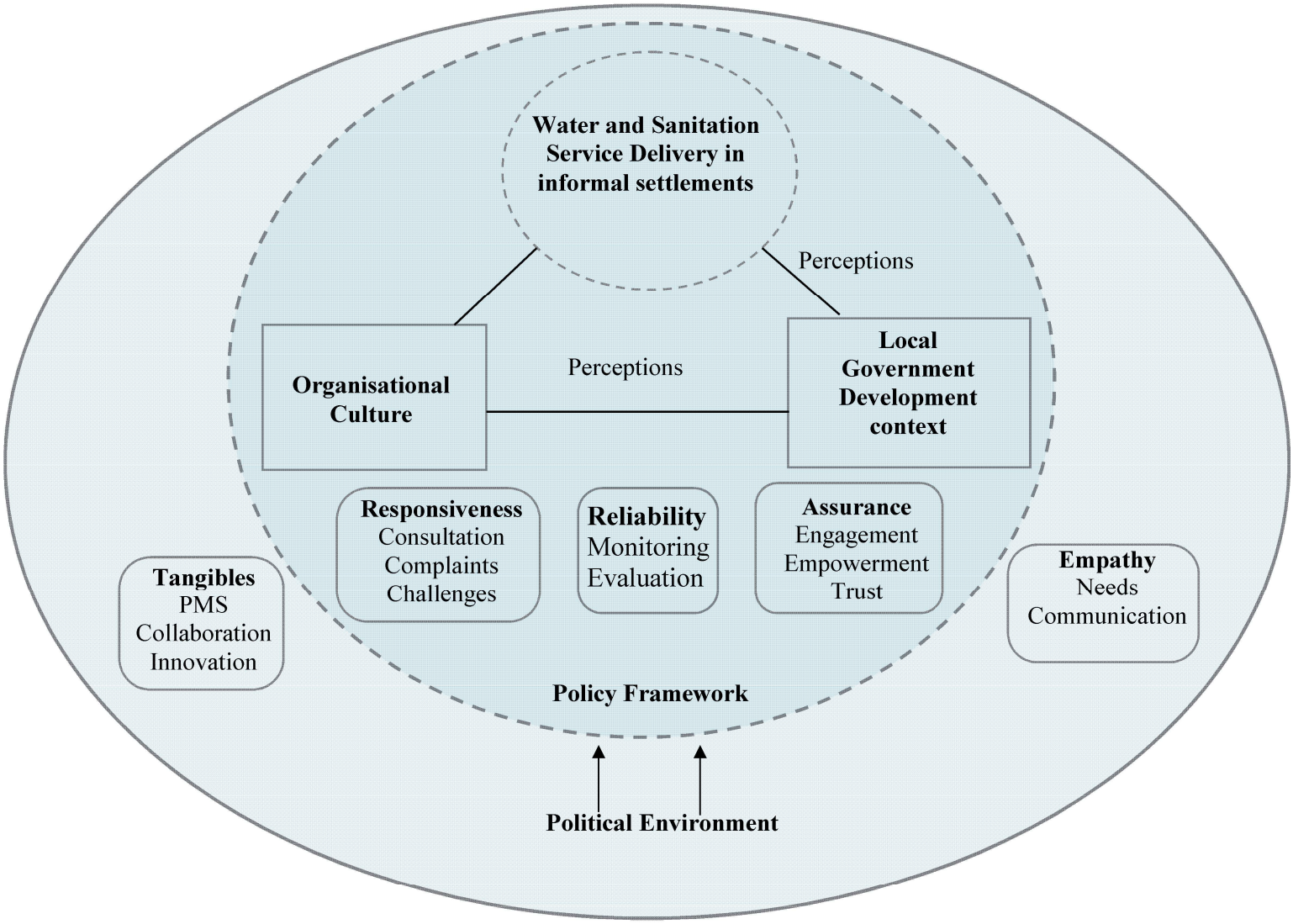


Figure 6.1: Informal Settlement Water Service Delivery (ISWSD) model
Source: Researcher, 2015

Should the above model be adopted, it would facilitate and enhance sustainable local government, and provision of water services in the informal settlements thus the realisation of the UN's Goal 6 water and sanitation.

6.6 Conclusion

On overall this chapter presented the main findings of the research, research deductions along with research objectives and research questions and recommendations. Finally, the chapter proposed the Informal Settlement Water Service Delivery (ISWSD) model.

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ANNEXURE "A"

UNIVERSITY OF KWAZULU-NATAL
SCHOOL OF MANAGEMENT, INFORMATION TECHNOLOGY AND GOVERNANCE
INFORMED CONSENT DOCUMENT FOR PARTICIPANTS IN THE RESEARCH.

Dear Respondent,

Master's Research Project
Research Project: Water service delivery in South Africa: an evidence review of Johanna/Boxwood Road Informal Settlement within eThekwini Municipality.

Researcher: Mandla Saul Malakoana (031-311 8147)
Supervisor: Mr Bongani Qwabe (031-260 7490)
Research Office: Ms. Mariette Snyman (031-260 8350)

I, Mandla Saul Malakoana, am a Master's of Public Administration (MPA) candidate, at the **School of Management, Information Technology and Governance**, of the University of KwaZulu-Natal. You are invited to participate in a research project titled "**Water service delivery in South Africa: an evidence review of Johanna/Boxwood Road Informal Settlement within eThekwini Municipality"**. The aim of this study is to elicit community member's perceptions on the quality of water services delivered to Johanna/Boxwood Road Informal Settlement by eThekwini Municipality.

Through your participation I hope to gain insight into perceptions people hold on eThekwini Municipality at the Johanna/Boxwood Road Informal Settlement. It will further help in the understanding of how eThekwini Municipality responds to the needs of the people apropos of their water-service delivery in the informal settlements generally. The results of the survey are intended to contribute to the improvement of the water-service-delivery standards by the eThekwini Municipality to the people living in the informal settlements, particularly those living in the Johanna/Boxwood Road Informal Settlement.

Your participation in this project is voluntary. You may refuse to participate or withdraw from the project at any time with no negative consequences. There will be no monetary gain from participating in this survey. Confidentiality and anonymity of records identifying you as a participant will be maintained by the **School of Management, Information Technology and Governance,** UKZN.

Should you have any questions or concerns about completing the questionnaire or about participating in this study, you may contact me or my supervisor on the numbers listed above.
The survey should take you about thirty (30) minutes to complete. I hope you will take the time to complete this survey.

Sincerely

Investigator's signature_____Date_____

CONSENT

I…… (**full names of participant)** hereby confirm that I understand the contents of this document and the nature of the research project, and I consent to participating in the research project.

I understand that I am at liberty to withdraw from the project at any time, should I so desire.

SIGNATURE OF PARTICIPANT_____ DATE_____

……

SECTION A: BIOGRAPHICAL DETAILS

For each of the following questions and statements please choose the most appropriate answer or provide the answer in the space provided,

1. Gender: Male ☐ Female ☐

2. How old are you?

3. What is your highest level of education?

Primary Education	
Secondary Education	
Post matric certificate/diploma	
Highest degree attained	

4. Total number of members in the household

1	2	3	4	5	6	7	8	Other (Specify)

5. What is your employment status?

Employed	Unemployed

6. Number of people with disability in the household, if any

None	1	2	3	4	5

7. What is the gender of the head of the household?

Male	Female

8. What is your home language?

9. Which province/country are you originally from?

SECTION B: COMMUNITY PERCEPTIONS ABOUT THE UNIT

The following section has statements about eThekwini Water and Sanitation Unit which help to ascertain water-service-delivery-quality standards within eThekwini Municipality's Johanna/Boxwood Road Informal Settlement. On a scale of 1-5, (1 strongly disagree, 2 disagree, 3 neutral, 4 agree, and 5 strongly agree), indicate your response by entering 'X' where applicable.

		Strongly disagree	Disagree	Neutral	Agree	Strongly Agree
	STATEMENTS	**1**	**2**	**3**	**4**	**5**
B.1	eThekwini Municipality is reliable when delivering water to our area.					
B.2	eThekwini Municipality is responsive to the needs of the customers.					
B.3	eThekwini Municipality has adequate facilities and infrastructure which provide us with an uninterrupted water supply.					
B.4	I find eThekwini Municipality empathetic towards my needs when I have water problems.					
B.5	I trust eThekwini Municipality as they always deliver water services professionally, inspiring me with confidence in them.					
B.6	eThekwini Municipality staff are readily available when water problems are reported; staff are well trained.					
B.7	The standard of water-service delivery by eThekwini Municipality is of high quality					
B.8	As far as I am concerned, eThekwini Municipality is responsive to the water-service-delivery needs of their consumers.					

B.9	Overall, water services in eThekwini Municipality are as high in quality as they are in other parts of the Republic of South Africa.					

SECTION C: COMMUNITY'S LEVEL OF SATISFACTION

C.1 Do you know who provides water services in your settlement?

Yes	No

C.2 What is your main water source?

	Yes	No
Communal tap more than 200m away or no access to water (more than 2 minutes' walk)		
Communal tap less than 200m away (less than 2 minutes' walk)		
Metered in-house supply or yard standpipe		
Neighbour's house		
Municipal truck		
Borehole		
River/well		

C.3 Please rate the price/cost of water on a scale of 1-10 where 1 denotes extremely low and 10 denotes extremely high.

TARIFFS/RATES	Extremely low …… Extremely high										Not sure
Water	1	2	3	4	5	6	7	8	9	10	11

C.4 Do you know who your Municipal ward councillor is?

YES		NO	

C.5 How accessible are the municipal offices from your area?

Easily accessible	Not easily accessible

C.6 Approximately how many buckets of water does your household consume per day?

1-2 Buckets	
3-4 Buckets	
5-6 Buckets	
7-8 Buckets	
9-10 Buckets	
11 and More Buckets	

C.7 What do you use water for mainly?

Cooking	Bathing	Washing	Drinking	Other (Specify)

C.8 How aware are you of the free basic water you are allowed to access every month?

Fully aware	Somewhat aware	Somewhat unaware	Not aware at all

C.9 In your view, would you say that this free basic water assists you in any way?

Yes	No	Do not know

C.10 Has anything prevented you from accessing free basic water?

Yes	No

C.11 What was the longest time you went without water in your household owing to water problems in the area?

I have never gone without water	
Between one and three days	
Between four and seven days	
More than a week but less than two weeks	
More than two weeks but less than a month	
Over a month	

C.12 Do you have any of these problems with water supply? (Multiple responses possible)

Poor quality	
Unexpected water cuts	
Broken water pipes	
The water source is too far away	
Other (Specify)	

C.13 How often do you experience the problem stated above?

Very often	Sometimes	Not very often	I have never experienced any of the above problems

C.14 What actions, if any, has the eThekwini Municipality taken to address the above water problems?

Informed the community through meetings	Resolved the problems	Gone to the media	Remained unresponsive	Do not know

C.15 How quickly does the municipality respond to the above problems?

Very quickly	Fairly quickly	Fairly slowly	Very slowly

C.16 How satisfied are you with the way in which the eThekwini municipality has handled the above problems?

Very satisfied	Somewhat satisfied	Somewhat dissatisfied	Very dissatisfied

C.17 How satisfied are you with the quality of water in your household?

Very satisfied	Somewhat satisfied	Somewhat dissatisfied	Very dissatisfied	Do not know

C.18 Have submitted water-related complaints to the municipality in the past six months/

Yes	No

C.19 If 'yes', have these complaints been addressed to your satisfaction?

Yes	No

C.20 If 'yes', how helpful and professional were the municipal officials?

Very helpful	Somewhat helpful	Somewhat unhelpful	Very unhelpful

C.21 How often does the eThekwini Municipality consult you or your community in addressing water-related issues in your area?

Very often	Somewhat often	Not very often	Not at all

C.22 How satisfied would you say you are with the above consultation?

Very satisfied	Somewhat satisfied	Somewhat dissatisfied	Very dissatisfied

C.23 Municipal employees who work in the water-services department perform their functions in:

	Strongly agree	Somewhat agree	Somewhat disagree	Strongly disagree	Do not know
Good faith					
Diligently					
Honestly					
In a transparent manner					

C.24 Municipal officials who work on water services do their work in a way which enhances the credibility and integrity of the municipality.

Strongly agree	Somewhat agree	Somewhat disagree	Strongly disagree	Do not know

C.25 Municipal officials who work on water services do not use their position for private gain or to improperly benefit other persons.

Strongly agree	Somewhat agree	Somewhat disagree	Strongly disagree	Do not know

C.26 The municipality acts impartially and treats all people equally without favour or prejudice on issues of water-services delivery.

Strongly agree	Somewhat agree	Somewhat disagree	Strongly disagree	Do not know

C.27 Activities and decisions of the municipality's water department are in the best interests of the community, and are driven by the needs and aspirations of the community.

Strongly agree	Somewhat agree	Somewhat disagree	Strongly disagree	Do not know

C.28 I perceive the water-services department in the municipality as upholding high ethical standards.

Strongly agree	Somewhat agree	Somewhat disagree	Strongly disagree	Not sure

C.29 Municipal officials in the water services department act impartially and treat the community with respect, equally, without favour or prejudice, and with no regard for their party political affiliations.

	Strongly agree	Somewhat agree	Somewhat disagree	Strongly disagree	Do not know
With respect					
Equally, without regard for political affiliations					
Without discrimination of any sort					

C.30 Are you aware of any monitoring of water problems by the eThekwini Municipality?

Yes	No

C.31 How satisfied would you say you are with the monitoring of water problems in eThekwini Municipality?

Very satisfied	Somewhat satisfied	Not very satisfied	Very dissatisfied

C.32 In general, would you say that the eThekwini Municipality has improved the access to and quality of water services since a year ago?

Yes	No

C.33 Do you have any other comments which you would like to add regarding water services in your household or in your area?

_____

_____

_____

_____

THANK YOU FOR YOUR TIME

ANNEXURE "B"

(eThekwini Municipality's Water and Sanitation Unit's Officials who participated in the interview as per the attached Annexure "B" of the interview schedule).

The following EWS officials shared their invaluable knowledge, information, experience, and time. The study could not have been undertaken successfully without their contribution.

DATE	EWS OFFICIAL	DESIGNATION	TIME
24 August 2015	Participant 1	Deputy Head: Customer Services	T13:00-T14:00
24 August 2015	Participant 2	Deputy Head: Scientific Services	T14:00-T15:00
25 August 2015	Participant 3	Acting Project Executive	T12:00-T13:00
26 August 2015	Participant 4	Senior Manager: Commercial & Business	T9:00-T10:00
26 August 2015	Participant 5	Senior Manager: Planning	T12:00-T13:00
26 August 2015	Participant 6	Senior Manager: Information Technology	T15:00-T16:00
27 August 2015	Participant 7	Senior Manager: Revenue Protection and Administration	T12:00-T13:00
28 August 2015	Participant 8	Manager: Contact Centre	T10:30-T11:30
28 August 2015	Participant 9	Manager: Departmental Accounting (Water and Sanitation and Cleansing and Solid Waste)	T12:00-T13:00
28 August 2015	Participant 10	Senior Manager: Works	T14:30-T15:30
31 August 2015	Participant 11	Area Engineer: Northern Areas	T10:00-T11:00
31 August 2015	Participant 12	Manager: Regional Customer Services	T12:30-T13:30
31 August 2015	Participant 13	Acting Project Executive	T15:00-T16:00
01 September 2015	Participant 14	Manager: Control Centre	T12:00-T13:00
02 September 2015	Participant 15	Acting Senior Manager	T8:30-T9:30

ANNEXURE "C"

UNIVERSITY OF KWAZULU-NATAL
SCHOOL OF MANAGEMENT, INFORMATION TECHNOLOGY AND GOVERNANCE
INFORMED CONSENT DOCUMENT FOR PARTICIPANTS IN THE RESEARCH.

Dear Respondent,

Master's Research Project
Research Project: Water service delivery in South Africa: an evidence review of Johanna/Boxwood Road Informal Settlement in eThekwini Municipality.

Researcher: Mandla Saul Malakoana (031-311 8147)
Supervisor: Mr Bongani Qwabe (031-260 7490)
Research Office: Ms. Mariette Snyman (031-260 8350)

I, Mandla Saul Malakoana, am a Master's of Public Administration (MPA) candidate, at the **School of Management, Information Technology and Governance**, of the University of KwaZulu-Natal. You are invited to participate in a research project titled **Water service delivery in South Africa: an evidence review of Johanna/Boxwood Road Informal Settlement in eThekwini Municipality**. The aim of this study is to elicit community perceptions on the quality of water services delivered to them at Johanna/Boxwood Road Informal Settlement by eThekwini Municipality.

Through your participation I hope to gain insight into perceptions people hold about eThekwini Municipality at the Johanna/Boxwood Road Informal Settlement. This will further help in the understanding of how eThekwini Municipality responds in general to the needs of the people receiving water-service delivery in the informal settlements. The results of the survey are intended to contribute to the improvement of the water-service-delivery standards by the eThekwini Municipality to the people living in the informal settlements, particularly those in the Johanna/Boxwood Road Informal Settlement.

Your participation in this project is voluntary. You may refuse to participate or withdraw from the project at any time with no negative consequences. There will be no monetary gain from participating in this survey. Confidentiality and anonymity of records identifying you as a participant will be maintained by the **School of Management, Information Technology and Governance,** UKZN.

Should you have any questions or concerns about completing the interview or about participating in this study, you may contact me or my supervisor on the numbers listed above.
The survey should take you about thirty (30) minutes to complete. I hope you will take the time to complete this survey.

Sincerely

Investigator's signature_____Date_____

CONSENT

I…… (**Full names of participant)** hereby confirm that I understand the contents of this document and the nature of the research project. I consent to participating in the research project.

I understand that I am at liberty to withdraw from the project at any time, should I so desire.

SIGNATURE OF PARTICIPANT_____ DATE_____

……

Would you like me to record the interview?

Yes		Continue with interview and record.
No		Continue with interview without recording, but make notes

SECTION A: BIOGRAPHICAL DETAILS

POSITION/DESIGNATION :

DEPARTMENT :

BRANCH :

SECTION B: PROJECT PORTFOLIO

1. Which post do you hold in the eThekwini Municipality?
2. How long have you worked in this post?

SECTION C: CONSULTATION STRATEGIES

3. Can you detail the extent to which you been involved in delivering water services to the Johanna/ Boxwood Road Informal settlement area?
4. Which consultation strategies related to the delivery of water services does eThekwini Municipality have in place?
5. What is the efficacy of the consultation strategies employed by eThekwini Municipality in the delivery of water services to Johanna/Boxwood Road Informal Settlement in eThekwini Municipality?

SECTION D: SERVICE DELIVERY STANDARDS

6. What suggestions do you have on how eThekwini Municipality may improve its delivery of quality water services?
7. What challenges, if any, have you faced in delivering water services in the settlement?
8. How are water-service-delivery-standards implemented and maintained at Johanna/Boxwood Road Informal Settlement?

SECTION E: MONITORING AND EVALUATION SYSTEM

9. How effective and efficient is the monitoring and evaluation system adopted by eThekwini Municipality in the delivery of water services to Johanna/Boxwood Road Informal Settlement Area?

10. What can eThekwini Municipality do to improve its monitoring and evaluation system in the delivery of water services?

SECTION F: PERFORMANCE MANAGEMENT STRATEGY

11. What is the impact of the performance management strategy being used by eThekwini Municipality in the delivery of water services in general?

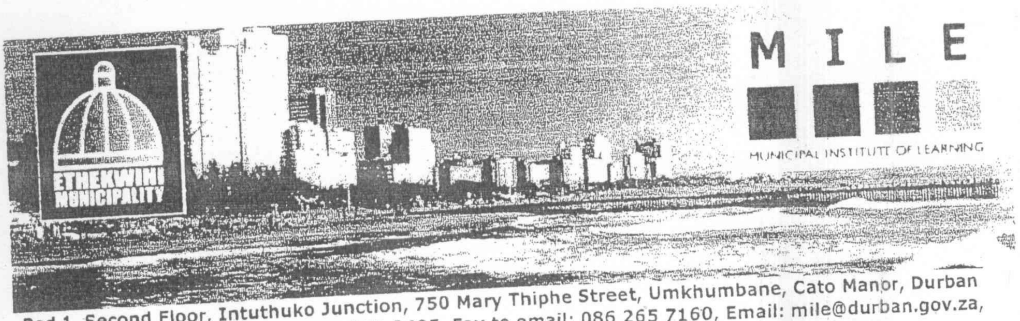
12. What performance management incentives, if any, are in place as a motivation for municipal officials to deliver water to the Johanna/Boxwood Road Informal Settlement?

SECTION G

13. Kindly provide further information and comments detailing your thoughts on ways in which eThekwini Municipality could improve its water-service-delivery standards in general, and in the informal settlements in particular.

THANK YOU

ANNEXURE "D"



Pod 1, Second Floor, Intuthuko Junction, 750 Mary Thiphe Street, Umkhumbane, Cato Manor, Durban 4001. Tel: 031 322 4513, Fax: 031 261 3405, Fax to email: 086 265 7160, Email: mile@durban.gov.za, Website: www.mile.org.za

Enquiries: Mr Collin Pillay
Date: 22 May 2015

For attention: Mandla Saul Malakoana
Student Number: 8932197

Dear Mr Malakoana

RE: GRANTING OF PERMISSION TO CONDUCT RESEARCH AT JOHANNA/BOXWOOD ROAD INFORMAL SETTLEMENT IN ETHEKWINI MUNICIPALITY

This has reference to your application dated 12 February 2015 in which you were seeking permission to do research at Johanna/Boxwood Road Informal Settlement in eThekwini Municipality.

This serves to inform you that eThekwini Water and Sanitation Unit in partnership with the Municipal Institute of Learning (MILE) have considered your request and have agreed to grant you authority to conduct research on the subject "**Water Service Delivery at Johanna/Boxwood Road Informal Settlement in EThekwini Municipality**". You are allowed to use Johanna/Boxwood Road Informal Settlement as your case study and we assure you of our cooperation as eThekwini Municipality in making you achieve your academic goals.

In return, we hope that you will share the results and recommendations of your research with the City for consideration. You are further reminded to take serious account of ethics when engaging in this research.

It has been agreed that you are to liaise directly with the Head: Water and Sanitation Unit, should you require any assistance from our line departments in the eThekwini Municipality.

Mr Ednick Msweli
Head: Water and Sanitation Unit
EThekwini Municipality

Dr Mpilo Ngubane
Head: Skills Development Unit
EThekwini Municipality

ANNEXURE "E"

UNIVERSITY OF KWAZULU-NATAL
INYUVESI YAKWAZULU-NATALI

23 July 2015

Mr Mondla Saul Malakoana (8932197)
School of Management, IT & Governance
Westville Campus

Dear Mr Malakoana,

Protocol reference number: HSS/0845/015M
Project title: Water Service Delivery in South Africa: An evidence review of Johanna/Boxwood Road Informal Settlement within EThekwini Municipality

Full Approval – Expedited Application

In response to your application received on 01 July 2015, the Humanities & Social Sciences Research Ethics Committee has considered the abovementioned application and the protocol have been granted **FULL APPROVAL.**

Any alteration/s to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through the amendment/modification prior to its implementation. In case you have further queries, please quote the above reference number.

PLEASE NOTE: Research data should be securely stored in the discipline/department for a period of 5 years.

The ethical clearance certificate is only valid for a period of 3 years from the date of issue. Thereafter Recertification must be applied for on an annual basis.

I take this opportunity of wishing you everything of the best with your study.

Yours faithfully

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Dr Shenuka Singh (Chair)

/ms

Cc Supervisor: Mr BR Qwabe
Cc Academic Leader Research: Professor Brian McArthur
Cc School Administrator: Ms Angela Pearce

Humanities & Social Sciences Research Ethics Committee
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