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COLLEGE OF LAW AND MANAGEMENT STUDIES

**Assessment of oversight mechanisms to enhance good governance in local
government: A case study of oKhahlamba Local Municipality**

BY

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**A dissertation submitted in partial fulfilment of the requirements for the
degree of Master of Public Administration (MPA)**

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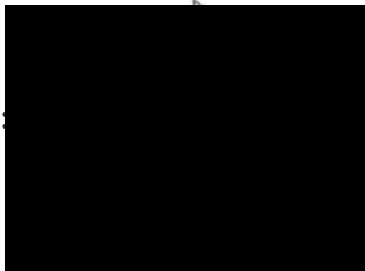
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DECLARATION

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ACRONYMS AND ABBREVIATIONS

A-G	Auditor-General
COGTA	Co-operative Governance and Traditional Affairs
DLG	Developmental Local Government
HRC	Human Rights Commission
IDP	Integrated Development Plan
IFEP	Intergovernmental Forum for Effective Planning
IGR	Intergovernmental Relations
IMF	International Monetary Fund
KZN	KwaZulu-Natal
LED	Local Economic Development
M&E	Monitoring and Evaluation
MFMA	Municipal Financial Management Act
MPAC	Municipal Public Accounts Committee
NDP	National Development Plan
OECD	Organisation for Economic Co-operation and Development
OSS	Operation Sukuma Sakhe
PAC	Public Audit Committee
PFMA	Public Financial Management Act
PP	Public Protector
PVT	Public Value Theory
RSA	Republic of South Africa
SCOPA	Standing Committee on Public Accounts
SDBIP	Service Delivery Budget Implementation Plan
SDGs	Sustainable Development Goals
UKZN	University of KwaZulu-Natal
UNDP	United Nations Development Programme
WPLG	White Paper on Local Government

ABSTRACT

The 1996 Constitution of the Republic of South Africa (RSA, 1996) establishes chapter 9 institutions as mechanisms to safeguard good governance and quality service delivery in the public sector. The main objective of the research reported in this study was to assess the roles of oversight mechanisms in enhancing good governance in local government with specific reference to oKhahlamba Local Municipality in the KwaZulu-Natal province (KZN). The main aim was to contribute to theoretical knowledge in terms of the roles that are played by the oversight structures to regulate and increase service delivery impact in local government. Qualitative data methodology was considered in collecting data from the sample of 12 municipal officials. The findings suggested that the oKhahlamba Local Municipality has successfully implemented oversight structures, however the lack of public participation in the municipal affairs was a concerning matter. The findings further confirmed that oversight structures at oKhahlamba Local Municipality were imperative to assist the municipality manage resources effectively in order to benefit maximum service delivery to the local populace. These findings were also confirmed by Public Value Theory that was adopted in the study. In terms of this theory (Public Value), oversight mechanisms enhance the value and entrench good governance in the public sector and entrench.

The study submitted recommendations that are instrumental to boost service delivery capacity of the local government sphere and general, and uKhahlamba Local Municipality in particular. For example, the study recommended the monitoring and evaluation of service delivery systems in local government in order to mitigate violent service delivery protests. It also recommended the renovation of public participation strategies at Okhahlamba Local Municipality.

CHAPTER ONE

INTRODUCTION, BACKGROUND AND CONTEXT OF THE STUDY

1.1 INTRODUCTION

The oversight structures or Chapter 9 institutions in South Africa, including the Public Protector (PP), Auditor-General (AG), Standing Committee on Public Accounts (SCOPA), Public Audit Committees (PACs) play an important role to strengthen good governance in local government and other government institutions. The local government sphere in South Africa consist of 257 municipalities that are expected to play a critical role towards the realisation of the developmental visions of the National Development Plan (NDP) and Sustainable Development Goals (SDGs) in 2030. The purpose of these visions is to promote socio-economic development through the alleviation of poverty, unemployment and inequalities that face the majority of the South African communities. However, the current challenges confronting oversight structures threaten the survival of many municipalities and their constitutional mandate for quality service delivery. To this end, the majority of the municipality in the Province of KwaZulu-Natal (KZN) face service delivery protests while some are placed under administration due to their failing systems. Against this background, this study assessed the role of oversight mechanisms of enhancing good governance in local government, with specific reference to Okhahlamba Local Municipality in the KZN Province. chapter presents the overview of the entire study by outlining the research background, problem statement, research objectives and key questions that guided the study. It also presents the theory, literature review and the methodological approach of the study.

1.1.RESEARCH BACKGROUND

Local Government is life, and it is through local government that community services such as water and sanitation, electricity, human settlement and infrastructure development can be delivered. Shah and Moore (2012:73) explain that the concept of local government or district councils is not new. It is old as the history of human civilization. Furthermore, it is only recent that local government has been constitutionalised and included in the academic discourse. In South Africa and other constitutional democracies, local government is established as a government sphere that is located at the community levels so that it may easily facilitate service delivery and promote local democracy (Oosthuizen and Thornhill, 2011:163). Furthermore, it is through local government that community aspirations may be realised through socio-

economic development initiatives that are promoted by municipalities (Van der Waldt, 2018:12).

Local governments across the world are the vehicles for service delivery and if local governments are not capacitated, monitored and supported, there will be no hope for local communities (Development Bank of Southern Africa (DBSA), 2017:224). Within the South African context, local government is established by the Constitution of 1996 as an independent sphere of the government that possess autonomous powers to formulate policies and facilitate service delivery. The other two spheres of government and various institutions serve as oversight structures to monitor the extent to which municipalities prioritise good governance in their operations (Mahass, 2016:303). The Public Administration literature is inundated with case studies that define good governance as a cornerstone for the success of service delivery mandate in local government. For example, Raga (2015:25) regards the existence of various oversight structures, such as Auditor-general, Public Protector, Human Rights Commissions and various constitutional imperatives as critical elements for enforcing transparency, openness, consultation, rule of law and justice in local government.

Reddy (2016:1) admits that in the presence of many challenges facing the local government sphere, the roles of oversight structures have over the years assisted municipalities to manage their finances and deliver reasonable services to their local communities. In addition, Kraai (2017:1) explains that the implementation of the recommendations of the oversight structures that are established by the Constitution of the Republic of South Africa (1996) can promote accountability and increase checks and balances in the management of local government affairs. Despite the responsibilities of local government to develop local communities, there are key challenges that engulf municipalities since their inception in 2000 in South Africa. The section below explores those challenges at length.

1.2.PROBLEM STATEMENT

Despite the existence of the Chapter 9 institutions that are established by the South African Constitution of 1996 to regulate good governance in the public sector, many municipalities are still failing to manage their service delivery operations. The scandals of Fraud and corruption involving administrators and politicians during the outbreak of COVID-19 are the bone of contention in the context of municipal governance in South Africa (Mail and Guardian, 2020). For this reason, administrators and politicians in this sphere of government are considered to be insensitive and unethical public servants who steal from the destitute and hungry citizens. It

is often argued that political interference that dominates local government sphere is responsible for undermining the role of the oversight structures in local government (Raga, Brynard, and Ntsusha, 2013:675). Fraud and corruption, maladministration, poor service delivery, self-enrichment, lack of critical skills and absence educational qualifications are the common challenges in local government (Community Survey, 2017:198). Local communities, especially those situated in rural societies regard local government as an insensitive, intolerant and hostile government institution that fails to comply with constitutional imperatives of basic service delivery (Zulu and Mubangizi, 2012:27). The literature evidence also points to various institutional and policy challenges that affect the ability of local government to execute its service delivery mandate. From a policy perspective, it is often argued that while local government is key for the development of the country, its policies and monitoring and evaluation systems are in disarray (Reddy, 2016:12). This view stems from the realisation that local government has not yet implemented many of its service delivery policies; hence, service delivery protests in local government have been escalating since 2006. Furthermore, due to the ambiguities in policy practice of Intergovernmental Governmental Relations (IGR) in South Africa, the oversight mechanisms to assist municipalities are facing trying times. Their powers are limited and can only suspend the municipal leadership and place the affected municipalities under administration (Cameroon, 2016:309).

Van der Waldt (2018:4) observed that the literature on local government management, such as the National Treasury's Guidelines for Legislative Oversight (2018) and Oversight for Accountability Models (2015) place a strong emphasis on the monitoring evaluation (M&E) systems for the national and provincial spheres of governments, and are practically mute on the pressing issues that need urgent attention in local government. For this reason, it seems that the role of oversight mechanisms is not well defined. Reddy and Wallis (2014:56) add that the notion that the legislative and executive authorities of the municipality are vested in its municipal council is confusing and disorientate the role of the oversight structures to scrutinise local government operations. From the Constitution (RSA, 1996), the following loopholes are regarded as blocking the roles of the structures:

- a. The national and provincial governments may not interfere with administrative processes of municipalities; and
- b. The external stakeholders have no (or very) limited involvement in the implementation of local government policies.

These loopholes therefore suggest that some challenges confronting local government operations stem from incongruent policy practices. The absence of the clear roles of the oversight mechanisms in local government promotes fraud and corruption, nepotism, patronage political interference and service delivery failures. For example, the Report on the State of Local Government (2009) stated that that lack of accountability and oversight support in local government has destroyed public faith from local government and created opportunities for fraud and corruption. Public participation is another mechanism that can be used by municipalities to enhance their accountability measures. Section 152 (e) of the Constitution (1996) encourages municipalities to allow ordinary citizens to participate in policy debates and the formulation of the Integrated Development Plans (IDPs) in their respective communities.

The challenges that face local government in general are of particular resemblance to Okhahlamba Local Municipality, for example, while the municipality delivers reasonable amount of services, its policies are not yet fully implemented in a manner that optimizes service delivery. Poor public participation in community meeting, and *izimbizo* (traditional gatherings) is viewed in a very negative light at Okhahlamba Local Municipality (IDP, 2018:129).

1.3.AIMS AND OBJECTIVES OF THE STUDY

The main aim of the study was to contribute to the theoretical knowledge for understanding critical roles that are played by the oversight structures to regulate and increase service delivery impact in local government with specific reference to Okhahlamba Local Municipality. Owing to the aim for this study, the objectives were broken down as follows:

- a. To explore the role of the various oversight structures in improving service delivery in Okhahlamba Local Municipality;
- b. To examine the extent to which legislative and policy framework promotes public participation and oversight mechanisms in local government.
- c. To describe the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality.
- d. To draw conclusions and submit recommendations for improving the oversight mechanism in local government generally and more specifically in OKhahlamba Local Municipality.

1.4.RESEARCH QUESTIONS

Owing to the above-mentioned objectives, the questions of the study were structured as follows:

- a. What are the roles of the various oversight structures in improving service delivery in Okhahlamba Local Municipality?
- b. To what extent does the legislative and policy framework promote public participation and oversight mechanisms in local government?
- c. What are the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality?
- d. What conclusions can be drawn in order to submit recommendations for improving the oversight mechanism in local government generally and more specifically in OKhahlamba Local Municipality?

1.5.SIGNIFICANCE OF THE STUDY

The outbreak of COVID-19 in 2020 exposed the desperate and poor institutional planning in many countries of the world. The academic research is needed to capacitate government for catastrophic disasters. The study of this nature is therefore essential to share knowledge on how local government should be restructured and monitored in order to play a critical role in the developmental agendas of the NDP and SDGs in 2030 and beyond. The success of local government to implement these agendas depend mainly on the active roles of the oversight structures in enforcing good governance and ethical leadership. It is anticipated that findings of this study will contribute to the body of knowledge in the field of local government and public administration in terms of exploring the theories that may help assist public institution to improve service delivery. The study will also contribute to more policy formulation for extending government's influence in the quest for building a developmental state.

1.6.PRELIMINARY LITERATURE

Before embarking on literature review, it is essential that researchers understand the meaning of literature and the type of literature sources that may answer the research problem and further contribute to new knowledge. According to Yin (2009), a good literature should be able to respond to the identified problem statement in the research being pursued and proceed to investigate the causes of the research problem. Against this background, this study used various sources of information, including textbooks, research articles, government reports, internet sources and dissertations to establish the role that should be played by the oversight structures to enhance good governance in local government. Williamson (2014:2) writes that literature review is a collection of ideas for various authors that seeks to explore the nature of the research problem and moves on to devise solutions to the research problem. For the purpose of this study, the literature will address *inter alia*, the following key thematic areas:

- a. Conceptualisation of key concepts,
- b. Exploration of good governance and oversight mechanisms in local government,
- c. Global trends of accountability and governments' oversight mechanisms,
- d. Municipal IDPs as accountability instruments,
- e. Developmental local government in South Africa,
- f. Legislative and policy framework for local government oversight mechanisms, etc.

1.7.DEFINITIONS OF CONCEPTS

For ease of understanding, the study clarified the following definitions which are frequently used in the study.

1.7.1. ACCOUNTABILITY

The concept of accountability is used to describe the level of responsibility or obligation for the government or officials in the position of power to be responsive, impartial and caring to accommodate the needs of the masses/citizens (Zulu and Mubangizi, 2012:35).

1.7.2. LOCAL GOVERNMENT

The concept refers to a government of a specific areas or community (Msomi, 2016:116). In the South African context, local government is a democratic structure that was introduced after the introduction of the democratic order in 1994 (Van der Waldt, 2014). The purpose of local government is to provide services and government to the local populace (Reddy, 2016:37).

1.7.3. OVERSIGHT INSTITUTIONS

In the South African democracy, and other constitutional democracies, it refers to the constitutionally established structures to safeguard democracy, held public official accountable and uphold the constitutional values (Cameroons, 2005:122).

1.7.4. INTEGRATED DEVELOPMENT PLAN

The concept of Integrated Development Plan (IDP) refers to a five-year strategic framework that is used in local government to outline municipal service delivery plans (Cameroons, 2005:99). Other authors, including Mantzaris (2015) explain Integrated Development Plan as an instrument through which municipalities pave way for socio-economic development in order to benefit the poor in their respective communities (2015:3).

1.7.5. SERVICE DELIVERY

The concept of service delivery refers to the set of regulations, policies, principles and mechanisms that are used by both public and private institutions to provide tangible and intangible services to their constituencies (Hlophe and Mtshali, 2017:28). Singh (2011:276) define service delivery as a physical distribution of community services to the people in order to enhance their standards of living.

1.8.OVERSIGHT MECHANISMS IN LOCAL GOVERNMENT AS CATALYSTS FOR GOOD GOVERNANCE

The literature alludes to the role that can be played oversight mechanisms to improve accountability for enhancing good governance in local government. For example, Jokazi (2016:27) asserts that accountability remains an important aspect that should be implemented to improve good governance in public institutions. This view is also elaborated in Malena, Forster and Singh (2015:15) that "...accountability mechanisms can contribute to improved governance, increased development effectiveness through better service delivery, and empowerment". To further enhance accountability in the public institution, the South African Constitution of 1996 establishes chapter 9 institutions whose roles are to foster accountability and transparency in the public institutions.

Reddy (2016:19) warns that the efficiency of the oversight structures can only be visible when they are embraced in local government and allowed to play a mentoring and monitoring role without external pressures imposed by the politicians. Zulu and Mubangizi (2012:23) attest that implementing good governance in the public institutions will depend on the institution's ability to embrace accountability measures and practicing the 'rules of the game' in executing their functions.

From a global perspective, the roles of accountability structures feature more prominently as catalysts for attaining the vision of the SDGs to alleviate poverty and poor socio-economic development in 2030. For example, the World Bank (2018:365) explains, "the need for strengthening accountability relationships between policy makers, service providers, and clients was at the core of the 2015 World Development Report for making services work for the poor majorities in the underdeveloped and developing nations". Furthermore, the UNDP (2017:87) reveals that historically, the attempts to address accountability have mainly focused on improving the quality of government policies, checks and balances, auditing mechanisms, and law enforcement agencies. However, these top-down accountability measures have not produced the desired outcomes at a global scale. This view is aligned with the practice of oversight mechanisms in South Africa in which they gradually become politicised and deviate from their 'watchdog functions'. The international Monetary Fund (IMF) (2016:698) resonates that the increasing failure of the accountability mechanisms in government institutions have, in some instance attracted the contributions of the vigilance structures such as ombudsman, service delivery privatisation or contracting government services to private and independent institutions. While this may represent an ideal situation to improve service delivery for poor

communities, it may ultimately contribute to unemployment and poverty for many communities. A brief overview of the theoretical foundations of the study is provided in ensuing discussions.

1.9. THEORETICAL FRAMEWORK

O'Neil (2010:2) states that the theory rationalises a clear description of why a particular phenomenon is happening the way it does, and help the researcher to build an argument based on the philosophical proposition of a theory. Furthermore, Creswell (2014:34) explains that “theory is a unified set of ideas formed into propositions, or hypothesis that specify the relationship among variables in terms of a direction”. Stewart and Klein (2016: 615) concur with these definitions by asserting that theory is a broad description of some features of nature that is supported by the body of evidence.

For this study, the Public Value Theory is used to explain the roles and expectations of the public representatives and officials in managing public institutions in a manner that add value to the lives of the people at the community level. In more general terms, the Public Value Theory argues that, the existence of governments in any society should be evident with the quality of service delivery and the manner in which citizens respond to government regulations (White, 2016:2). The escalation of service ice delivery protests in most communities across the world signifies the deterioration of the value of government and oversight mechanisms. Public officials are increasingly becoming unaccountable and fail to add positive values to the lives of their citizens.

1.10. PUBLIC VALUE THEORY AND GOD GOVERNANCE

Public Value Theory is a theory developed by Professor Mark Moore in 1995. This theory is predominantly used in community development, political and social sciences studies. It is aligned with public administration values that promotes the value for money, effective and efficient government operations, accountability, and public participation (Stevenson, 2015:304). For this study, Public Value Theory is conceptualised as a catalyst that should promotes co-operative governance and oversight mechanisms in the governance affairs. Furthermore, the theory is relevant to the current study owing to its strong emphasis on accountability measures to improve local government operations. In essence, the theory strives to reinvigorates the values of public administration that promote good governance and the curbing of all forms of maladministration in public institutions. The theory postulates that Public Administration should contribute to the positive outlook for communities in terms of quality services (Maurice and Steyn, 2017: 384). It is therefore anticipated that PVT may assist

local government and Okhahlamba Local Municipality in particular to turn around its service delivery systems. Of significance about PVT is the emphasis on the role of Intergovernmental Relations (IGR) that should serve as a panacea of development in South Africa.

1.11. RESEARCH AND RESEARCH METHODOLOGY

The adopted qualitative methodology to collect data and draw conclusions about the role of oversight mechanisms in local government. For ease of understanding all three research approaches including qualitative, quantitative and mixed research methodologies are explained in the sub-sections below.

1.11.1. THE CONCEPTS OF RESEARCH AND RESEARCH METHODOLOGY

Before explaining research methodologies, it is imperative to understand the differences between the concepts of research and research methodology. This is also observed by Creswell (2009:13) who postulates that the concepts of '*research*' and '*research methodology*' need to be clarified and understood in pursuit of attaining the findings that respond to the research questions. Most researchers, including Bless and Higson-Smith (2005:127) conceptualise research as the active and scientific search for knowledge in natural settings or environments. This view correlates the perception of Yin (2009:13) that research is a logical and organised enquiry for reaching new conclusions about a particular social phenomenon. Furthermore, Lewis and Thornhill (2003:68) assert that research is an activity that people undertake in order to find out new meanings in a systematic way, thereby increasing their knowledge. These definitions are of particular resemblance to this study, in which the researcher engaged with various municipal officials in a critical search for knowledge that strives to locate the role of the oversight mechanism in enhancing good governance in local government.

Research methodology can be defined as science of procedures for the search of knowledge. In addition, Yin (2009:171) defines research methodology as a scientific procedure or theory of how knowledge should be collated, organised and synthesised in order to discover the facts. Similarly, for Teddlie and Tashakkori (2007:303) research methodology elucidates the kinds of social investigations that are researchable and constitute a research problem. For this study, the dearth of accountability, openness and clear reporting lines in the absence of oversight mechanisms in local government is a researchable problem that should be tackled through the utilisation of scientific and logical procedures.

Researchers distinguishes between three types of methodologies that can be used in research. For example, Creswell (2009:106) asserts that researchers may choose between qualitative,

quantitative and mixed methodologies when conducting researches. These research methodologies are explained briefly below.

1.11.2. QUANTITATIVE METHODOLOGY

Creswell (2009:265) explains quantitative methodology as the approach dealing with the testing of hypotheses and theories in order to determine facts and predict the outcomes. It is a type of research that is conducted in a natural environment in order to ensure objectivity and reliability of findings (Bless and Higson-Smith, 2005:158). The quantitative methodology relies on the random selection of research participants in a manner that is accurate and reliable. This accuracy and reliability is informed by the tradition of the quantitative methodology that is premised on analysing a research problem quantitatively. Similarly to this assertion, Van der Waldt and Clark, (2009:13) explain that the data in quantitative methodology is usually quantifiable and is analysed in statistical formats. Unlike the qualitative research where the researcher is physically present in the data collection phase, in quantitative, the researcher is regarded as an external agent to the actual research being pursued.

1.11.3. QUALITATIVE METHODOLOGY

Qualitative research is a type of research that allows a direct engagement between the researcher and respondents to explore and describe that nature of the research problem. For this reason, qualitative research is described as an exploratory research due to its nature of disclosing the unknown facts (Brink and Van der Waldt, 2008:75). Most importantly, the qualitative methodology deals with the “*what*”, “*why*” and “*how*” of the research problem (Henning, 2009:84). This implies that qualitative research strives to investigate a research problem in order to establish the new knowledge. In addition, qualitative methodology is based on the interpretations of meanings that human beings bring to the natural environments (Denzil and Lincoln, 2005:10). Newman (2008:82) claims that the strength of qualitative research is based on studying a phenomenon in its natural environment in order to interpret and make sense of it.

Owing to the nature of the proposed study that sought to describe and explore the role and nature of the oversight structures, qualitative methodology was deemed relevant to guide the research processes of the study. For this reason, this study used structured and semi structured interview to solicit qualitative information from the officials of Okhahlamba Local Municipality. Furthermore, the interviews were conducted with the oversight structures that play a monitoring and oversight roles in Okhahlamba Local Municipality, including the Chief

Financial Officer, Municipal Manager, Senior Directors in the Offices of the Auditor-General and Public Protector, two officials of the Public Audit Committees and IDP Manager. Leedy (2014:164) list some of the qualitative method criteria as:

- a. **Purposefulness:** The aim of the research is clear from the beginning. The research question dictates the method being used to collect data, which will have to be analysed at a later stage (Leedy and Ormrod, 2014:164).
- b. **Explicitness and assumptions and biases:** This is a natural setting where the researcher and the respondent have a conversation in a normal way. If the researcher has briefed the respondent on what they expect, and how the interview is going to be conducted, and that the researcher may have some assumptions and some bias, the interview is likely to yield some good results. But this is so dependent upon the experience of the researcher (Leedy, 2014:164).
- c. **Rigor:** The one-on-one talk offers the researcher a chance to go deeper on the issues being discussed. Leedy (2014:164) state that the researcher employs rigorous, precise and exact methods to collect data. The data have to be recorded, using some of the reliable and acceptable tools. The researcher used the Dictaphone in the case of the present study (Leedy, 2014:164).
- d. **Open-mindedness:** The researcher has a much bigger scope to work with. They can have a number of follow-up questions, emanating from the original question. As Leedy et al, *ibid*, state, here the researcher needs to be flexible with their line of questions, but stay within the theme (Leedy, 2014:164).
- e. **Completeness:** The researcher's advantage when conducting the qualitative research is they can have time to describe the phenomenon in details, and at that time the researcher starts processing or interpreting the data they are collecting, and can start formulating a bottom up (grounded) theory about the phenomenon being studied. They can ask probing questions, and questions for clarification (Leedy 2014:164).
- f. **Coherence:** The exercise is likely to yield coherent data, provided the questions are well formulated, and well asked. Leedy (2014:164) argue that the set-up gives the researcher an opportunity to reconcile the multiple data sources and arrive at a consistent conclusion. This is an opportunity for the researcher to verify and reconcile the information they will have obtained from the secondary sources about the phenomenon being studied.

It was necessary for the researcher of the current study to observe and apply the above-mentioned criteria more consistently in order to ensure quality of the study.

Bless and Higson-Smith (2005:105) state that in the interview set-up, the respondent has freedom to expand on the topic as they see fit, to focus on particular aspects, and to relate their own experiences, as long as they stay within the theme. Bess and Higson-Smith (2005:105) recommend this kind of interview for exploratory research where the research questions cannot be narrowly defined. "It is an excellent technique when no comparison is sought between the responses of different participants, but when each participant is considered as a specific case, such as in a case study" (Bess and Higson-Smith, 2005:108). But what the respondents say should be related to the general theme of the study. This technique is associated with interpretivist tradition, and is regarded as literary and ideographic (Nair, 2008:14).

1.11.4. RESEARCH DESIGN

Research design refers to the overall procedures that are used by researcher to collect data, analyse findings and draw conclusions about the study. Newman observed that (2013:254) research design represents a collective arrangement, setting or framework for conducting the study. With regard to this study, the descriptive design, using qualitative methodology was used. Kothari (2009:284) concludes that "...descriptive research design includes surveys and fact-finding enquiries of different kinds. The major purpose of descriptive research is the description of the state of affairs as it exists". The study was designed using the following framework:

1.11.5. RESEARCH PARADIGMS

Research paradigms refers to the general views and perceptions that are possessed by the researcher about the nature and reality of research. Morgan (2007:23) states that research paradigms are based on comprehensive and fundamental worldview that incorporates beliefs, thoughts, perceptions, and values that guide the researcher from crafting the research problem, literature review, data collection until the study draws its conclusions. Morgan (2007:28) also states that "research paradigms as epistemological stances funnel down a researcher's potential approach which is based on specific belief system – be it positivism, post-positivism, interpretivism or social constructivism".

Schwandt, (2001) explains that a paradigm is a shared world-view that represents the beliefs and values in a discipline and that guides how problems are solved in scientific methods. Similarly, Rocco, Bliss, Gallagher and Perez-Prado (2003:19) state that a paradigm is a view

which details the beliefs or assumptions that guides a researcher's inquiry. This implies that every researcher will approach research with his/her conceived ideas of interlocking and sometimes contradicting philosophical assumptions and standpoints. Creswell (2007:15) indicates that the research design process begins with philosophical assumptions that the researcher makes when deciding to undertake a study. Researchers bring their own worldviews, paradigms, or sets of beliefs to the research activity, and these inform the conduct and writing of the study. In addition to this view, Creswell (2007), Mason (2002:59) indicates that in defining one's paradigmatic perspective as a researcher, the interplay between ontological and epistemological assumptions, meta-theoretical underpinnings, the research questions, and research methodology become prominent.

Constructionism is defined by Crotty (2003:42) as "the view of that all knowledge and therefore all meaningful reality as such is contingent upon human practices, being constructed in and out of interaction between human beings and their world and developed and transmitted within an essentially social context." This implies that knowledge is not discovered, but is constructed. This is of particular resemblance to this study which sought to construct knowledge that will benefit local government and other public institution in South Africa.

Social constructivism originates from a sociological background which purports that knowledge production is socially oriented and is constructed out of active interaction between the individuals in their social spaces. Likewise, Bereiter, (2006:87) view constructivism "as a theory that is based on observation and scientific study, about how knowledge is constructed and shaped based on individual experience of the external world". In conducting this study, the researcher anticipated that the information possessed by the research respondents would be critical to create knowledge that benefits Okhahlamba municipality to embrace the role of the oversight structures.

1.12. DATA COLLECTION PROCEDURES

The researcher of the current study used qualitative methodology to guide its data collection, presentation and analysis processes. For this reason, the qualitative data collection procedures in the form of qualitative interviews were applied.

1.12.1. RESEARCH INTERVIEWS

Bryman (2008:78) define interviews in the context of social research as an engagement where interviewers and interviewees work together in producing retrospective accounts or versions of their understanding, views, opinions, experiences, feelings and beliefs about a specific topic.

Interviews allows for a deeper exploration of a research problem in a manner that results into much desired findings Mason (2002:59). The literature of research design and methodology outlines three types of research interviews. It was imperative for the researcher of the current study to explain these interviews because of their accuracy in collecting reliable data. They include:

- a. **Structured Interviews:** Structured interviews, sometimes referred to as homogenous interviews involve the use of face-to-face dialogues along the controlled protocols and regulations. The aim is to guide the interviewees (respondents) to respond within the predetermined parameters. Clark and Newman (2008:88). As a procedure in structured interviews, the interviewers are required to read out questions exactly and in the same order as they are printed on the schedule. In the proposed study, this type of data collection technique was used to solicit information from the officials who play an oversight and mentoring role of local government operations, including the Chief Financial Officer, Municipal Manager, Senior Directors in the Offices of the Auditor-General and Public Protector, two officials of the Public Audit Committees and IDP Manager.
- b. **Semi Structured Interviews:** This technique of research interview comprises of characteristics for both unstructured and structured interviews. Firstly, they use close and open-ended questions (Whitley and Kite, 2013:486). Therefore, it has a benefit of collecting data using both types of interviews in semi-interviews, the interviewer has a set of pre-planned questions, and respondents have flexibilities to respond as much as they are willing without being interrupted (Whitley and Kite 2013: 486). This type of interviews was used to solicit more detailed information from the respondents of this study.
- c. **Unstructured Interviews:** This type of interviews or informal interviewing is more flexible in the sense that there are no guiding principles or formal set of questions. (Maree, 2018). For this reason, the interviewer will approach interviews exercise without any predetermined theoretical grounding or questions about social realities (Mouton, 2014:12).

1.12.2. RESEARCH SAMPLING

According to Clark and Newman (2008:38) sampling refers to an act of identifying samples from the entire population for measurements in order to generalise the findings of the study. This is due to the observation of Creswell (2008), that “studying a subset of the population is more convenient than studying the entire population”. Brynard (2014:57) define sampling as “a technique used to select a sample or a smaller group with the aim of ascertaining the properties of the target population or the larger group under study”. Cochran (2013:6) resonates that sampling procedure is significant to understand because it serves to “make sampling more effective and efficient” in addition, Creswell (2008:18) points out that using accurate sampling methods allows researchers the ability to reduce research costs, conduct research more efficiently (speed), have greater flexibility, and provides for greater accuracy. Grinell and Williams (1990:127) opine that in most cases, 10% of the sample population is a sufficient percentage for controlling errors in any study.

Zikmund and Lewis (2007:85) list two types of sampling types in research methodology, namely non-probability (non-random sampling) and probability samplings (random sampling).

1.12.2.1. PROBABILITY SAMPLING

In probability sampling, all subjects in the general population have reasonable chances for selection and participation in the study. Michaelson (2015:81) posits that this type of sampling is more beneficial to the research process because it neutralises the researcher’s risk of biasness and unintended errors of selections.

Probability sampling is defined as having the “distinguishing characteristic that each unit in the population has a known, nonzero probability of being included in the sample” (Michaelson, 2015:81-82). There are four types of probability sampling, including simple random sampling, systematic random sampling, stratified random sampling, and cluster sampling. Table 1 below provides a summary of the roles of these 4 probability sampling methods.

Table 1: Probability Sampling Methods

Sampling	Selection Strategy	Reference
Simple Random Sampling	Each element/ research subject of the study population stands an equal probability of being selected.	Bless and Higson Smith, (2005:162)
Systematic Sampling	Each element/research subjects is selected at equal intervals.	Osborne and Martins (2016:8)
Stratified/Cluster Sampling	Each subject/respondent is allocated to a group then a simple random sample is used to select participants from each group	Creswell (2008)
Cluster Sampling	Each element is allocated to a group, then each element in the group is selected at randomly and all elements of a group are included in the sample.	Yin (2009)

Source: adapted from different sources as indicated in the table

1.12.2.2. NON-PROBABILITY SAMPLING

Non-probability sampling is a convenient way for researchers to organise samples without any financial implications and serves a great deal of time. According to O'Dwyer and Bernauer (2014:82) “in non-probability sampling, elements – which could be groups, clusters or individuals are not selected in accordance with their prevalence in the population, thus the likelihood of all representative elements being sampled from the population cannot be determined”. In this sampling method, the researcher makes use of subjects that are conveniently available and accessible at the time or who represent certain types of characteristics relevant to the phenomenon under study. Different types of non-probability sampling are shown in table 2 below.

Table 2: Non-Probability Sampling

Sampling	Selection Strategy	Reference
Convenience Sampling	The sample consists of research participants who are readily available to participate in a study. For this reason, it is sometimes known as haphazard or accidental sampling.	Bless and Higson Smith (2005)
Purposive Sampling	Purposive sampling is selecting a sample “on the basis of your own knowledge of the population, its elements, and the nature of your research aims”	Babbie and Mouton (2001)
Snowball Sampling	The selected samples take responsibility to identify additional members for inclusion in the study process.	Henning (2009)
Quota Sampling	The samples are selected through non-randomly methods on the basis of their known proportion to the population”	Sekaran and Bougie (2013)

Source: adapted from different sources as indicated in the table

2.1.1.1

2.1.1.2 1.13.3.3. SAMPLING STRATEGY FOR THE STUDY

Purposive sampling was used to reach a total of 12 participants for this study, including 3 members of the municipal audit committee, Chief Financial Officer (CFO), 5 managers in PMS, IDP, LED, Public Participation and Co-operative Services Units, and 3 members of the Portfolio Committee.

1.13. STUDY SITE

The study site can be defined as the geographical location where the researcher intends to conduct the study (White, 2004:05). The study site is usually affected by the research problem identified by the researcher. In the case of this study, Okhahlamba Local Municipality form the base of the study. Okhahlamba Local Municipality is one of the local municipalities that were formed under the precepts of the Local Government Structures Act 117 of 1998 (IDP, 2015-2016). The municipality is deeply rural and is linked to uThukela District municipality. It has a population of approximately 140 000 and 39 300 households (Census 2011). The map below

shows Okhahlamba Local municipality and other municipalities in the KwaZulu-Natal Province.

Figure 1: A map Showing Okhahlamba Local Municipality and other municipalities of the Province of KwaZulu-Natal



Source: OKhahlamba Local Municipality (2016-2017)

1.14. DATA ANALYSIS AND CODING

The data analysis for this study was focused on the processing and analysis of the data collected through qualitative methods (research interviews). It is always recommended that, one collected the data is prepared for analysis (Kothari, 2004). This requires the data to be edited, coded, classified and tabulated, so that they can be analysed as well be able to identify “patterns of relationship that exist in the data-groups” (Henning, 2009:91). The thematic analysis was used for this study.

1.15. THEMATIC ANALYSIS FOR QUALITATIVE DATA

Braun and Clarke (2006:6) define thematic analysis as a technique used to identify, analyse and report themes or patterns contained in the qualitative data. Themes are the main constructs or patterns identified by the researcher during the collection of data process (Welman and

Kruger, 2005:211). Furthermore, Braun and Clarke (2006:6) argue that thematic analysis does not optimally categorise and describe a data set in a detailed fashion, yet often it does go beyond organising and describing data, and actually interpret different aspects of the topic of the study.

1.16. DATA QUALITY CONTROL

It is important that quality control measures are ensured in research. This will guarantee researcher's integrity, reliability and validity of the collected data (Braun and Clarke (2006:6) According to Bless and Higson-Smith (2005), qualitative studies emphasize the role of trustworthiness.

- a. Ensuring the Trustworthiness for Qualitative Data:** Gunawan (2015:10-11) observes that a study is trustworthy only if its readership judges it to be as such. Ganawan (2015) further advices, in order to ensures trustworthy of data, researchers should consider using triangulation as mechanism for the check and balances of data. Clark and Newman (2008) outline four criteria may be used to ensure trustworthiness of the collected data, namely: credibility, transferability, dependability, and confirmability.
- b. Credibility:** According to Bless and Higson Smith (2005:192) research credibility constitutes researcher's confidence that the study will produce positive results and address the research problem. Kothari (2009) opines that, "to maintain credibility the researcher should make sure that the results obtained in the study can be trusted and can be applied by any other researchers in other different situations and yield the same results". For this study, credibility will imply that a suitable research design was used and the researcher applied accuracy in analyzing the collected data.
- c. Transferability:** Creswell (2008:18) explain that "transferability is established by providing readers with evidence that the research study's findings could be applicable to other contexts, situations, times, and populations." This can only happen when accuracy was maintained in the data collection and analysis processes. Bless and Higson Smith (2005:192) explain the concept of transferability as relating to the extent to which the study produces the same results that can be used by other researchers to generalize results for other studies.
- d. Dependability:** Yin (2009:278) asserts that a valid research is evident with the results that can be true even when the same study is conducted by other researchers. In order words, dependability is the evaluation of the research process to ascertain its integrated

processes of data collection, analysis and the formulation of a theory. Dependability in this study will be important for developing a reasonable model that can assist to enhance the functions of the oversight structures in local government. It will therefore be essential for the researcher to apply accuracy with data collection instruments.

- e. **Confirmability:** White (2016:187) explain that confirmability is a final element of trustworthiness in qualitative research. It relates to the level of confidence that the researcher should possess when the findings are based on actual occurrences as revealed by the participants rather than perceptions and potential biasness of the researcher (White, 2016:187).

1.17. ETHICAL CONSIDERATIONS

In conducting this study, the researcher observed key ethical considerations for promoting fairness, unbiasedness and respect for research subjects. These aspects included:

1.17.1. ENSURING PARTICIPANTS WERE GIVEN INFORMED CONSENT

Generally, participants have a right to refuse to take part in the study, as pointed out by Bless and Higson-Smith (2005:100). All participants will be informed of their right as far as participating in the study. The main right was that their participation would be voluntary, a point made by Babbie, (2005:447), and that participants could withdraw from taking part in the study at any time should they feel threatened by the research processes.

1.17.2. ENSURING NO HARM COMES TO PARTICIPANTS

Leedy (2011:12) advises that researchers should take great care in ensuring that participants do not suffer any physical and psychological harm when participating in a research. Taking this advice on board, the researcher will ensure that participants are not harmed in any way when the interviews are conducted. Also, as recommended by Babbie (2005:455), the researcher ensured that the wording of the questions did not have a negative emotional impact upon the participants.

1.17.3. ENSURING CONFIDENTIALITY AND ANONYMITY

Babbie (2005:450-451) emphasises the importance of confidentiality and anonymity, as aspects of research. He states that identities of the participants should be protected at all times. For this reason, and many others, there was no reference to the identities of the research participants. Pseudo names were used where necessary.

1.17.4. PERMISSION TO CONDUCT THE STUDY

Leedy (2011:116) argue that the permission to conduct research is as important as a foundation of a house. Permission to conduct the study will be sought from the UKhahlamba Local Municipality. This is in line with a research principle that requires researchers to first communicate with those in authority when conducting research. Furthermore, the study will be guided by the ethical conduct that is prescribed by the University of KwaZulu-Natal (UKZN) where the researcher is affiliated as a student.

1.18. CHAPTER SUMMARY

Local governments across the world are the custodians of service delivery. Therefore, if local governments are not regulated by effective oversight mechanisms, there will be no hope for indigent communities. The purpose of this chapter was to highlight key issues of oversight mechanisms and the need for good governance in the South African local government. The chapter introduced the research background, problem statement, aim and objectives of the study. The theoretical framework and research methodology are also introduced in this chapter. The next chapter focusses on literature review.

CHAPTER TWO

ENHANCING GOOD GOVERNANCE THROUGH OVERSIGHT MECHANISMS IN LOCAL GOVERNMENT

2.1 INTRODUCTION

It has been 27 years since the first democratic local government system was introduced in South Africa. While much improvement has been attained in terms of local government and restructuring, many municipalities, the vast information documented in the empirical and literature evidence suggest a strong need to review the success of local government in meeting its constitutional obligations to citizens, that is service delivery and the promotion of local democracy. Key to such a review is to ascertain the extent to which the constitutional powers and functions of this sphere enables local municipalities to meet their developmental mandate and fulfill service delivery mandate for local constituencies. The failure of the oversight structures to monitor powers and functions in local government has threatened the survival of many municipalities in the Province of KwaZulu-Natal, and has triggered public discontentment and resulted to service delivery protests. The ensuing discussions provides an overview of the current state of local governance and the review of powers and functions of local government, legislative and policy framework. The chapter concludes with review of the best international practices of oversight structures with the view to share lessons that should be learnt by South African municipalities.

2.2 THE GLOBAL CONTEXT OF ACCOUNTABILITY AND OVERSIGHT MECHANISMS

From a global context, there is a general consensus that accountability mechanisms are necessary to assist countries of the world to achieve the developmental outcomes, including the post-2015 SDGs (Affolder, 2017:616). This view is also shared by Ban Ki-Moon (2018) that the current socio-economic conditions engulfing the global community call for an inclusive, robust yet flexible accountability framework". Accountability in the socio-economic context, is about setting clear goals and targets and being responsible for delivering on them (United Nations, 2018). The Organisation for Economic Co-operation and Development (OECD) (2017:37) posits that "another crucial step for the provision of accountability in the global context, is to define and agree on clear standards based on common principles, against which the activities of the various actors can be assessed". The OECD (2017:37) postulates that accountability and oversight mechanisms are key to the sustainable development and the

alleviation of poverty cases. In this regard the OECD (2017) outlines the shared principles for achieving common development goals, including:

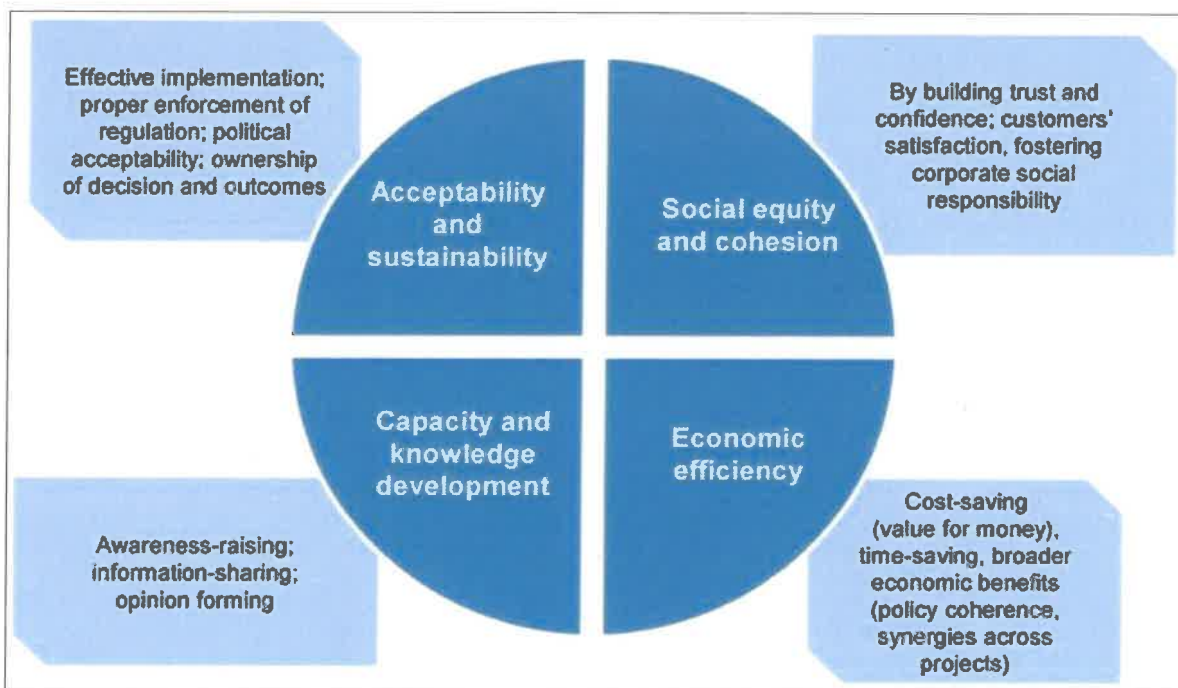
- a. **Ownership of development priorities by developing countries:** countries should define the development model that they want to implement.
- b. **A focus on results:** having a sustainable impact should be the driving force behind investments and efforts in development policy making.
- c. **Inclusive development partnerships for development:** development depends on the participation of all actors, and recognizes the diversity and complementarity of their functions.
- d. **Transparency and accountability:** development co-operation must be transparent and accountable to all citizens.

The view of the OECD in relation to the promotion of sustainable development in the developing nations suggests that the development and economic prosperity for the indigent communities will require stronger and more effective action by a wider range of partners than ever before. Accountability mechanisms will need to be strengthened to help boost the effectiveness of international development co-operation around the global goals (OECD, 2017:45). The successful implementation of accountability mechanisms should assist governments across the world to achieve:

- i. Social equity and cohesion;
- ii. Economic efficiency;
- iii. Capability and knowledge development; and
- iv. Acceptability and sustainability.

Figure 2 in the diagram below demonstrates the benefits of successful implementation of the accountability and oversight mechanisms:

Figure 2 OECD typology of long-term benefits for accountability and oversight mechanisms



Source: Organisation for Economic co-operation and Development, 2017

From a South African perspective, the provisional Constitution of 1993 makes provisions of the oversight mechanism in all state organs. This provision was further endorsed by the 1996 Constitution which provided for the roles of the government spheres to structure their oversight mechanisms. Owing to the focus of this study, a concerted effort was made to describe the role and nature of oversight mechanisms in the local government in general and oKhahlamba Local Municipality in particular.

2.3 THE CONSTITUTIONAL IMPERATIVES OF MUNICIPAL SERVICE DELIVERY IN SOUTH AFRICA

In the South African context, local government is established by the 1996 Constitution as a third and independent sphere of government that is responsible for service delivery and the promotion of socio-economic welfare for local citizens (Reddy, 2018:28). The other levels of government, include National and Provincial governments, who have direct influence to develop, capacitate, monitor and evaluate local government operations (Kraai, 2017:10). The service delivery mandate of local government is enshrined in Chapter 7 of the Constitution (RSA, 1996), subsections, 152 (a) – (e), which lists the following objectives:

- a. Facilitation of accountable governance structures and representative democracy for all local communities;

- b. Provision of quality services that meet public expectations;
- c. Implementation of socio-economic programme for the creation of employment and alleviation of poverty;
- d. Promotion of safe and decent living conditions at community levels; and
- e. Encouragement of local communities to participate in political debates and policy formulation activities of their local communities (RSA, 1996).

The majority of communities in South Africa have not implemented these objectives, and their service delivery systems are in disarray.

- a. The post 1994 government in South Africa regarded service delivery as a benefit that could reverse injustices endured by majority of the non-white communities under the Apartheid regime (Kanyane, 2014:95-96). For non-white communities, the delivery of services such as water and sanitation, infrastructure development, human settlement, and electricity, did not improve until 1994 (Bekker, 2008:32). The establishment of municipalities in 1995 became a bold step of the democratic government to fulfil the vision of socio-economic development. Van der Waldt (2014:164) states that municipalities were created to respond to the constitutional imperatives requiring local government to exercise the following mandate: Municipalities are formulated as the agents for the promotion of a democratic and accountable governance system that should prevail in all local communities.
- b. The service delivery mandate of local government is enshrined in Chapter 7 of the Constitution (RSA, 1996), subsections, 152 (a) – (e), which lists the following objectives:
 - c. Municipalities should serve a principal function of providing sustainable and quality services;
 - d. Municipalities are accountable for the promotion of socio-economic development, thus alleviating poverty, unemployment and inequalities at the community levels;
 - e. Municipalities are expected to create the environment that is safe, healthy and habitable by local communities;
 - f. Municipalities are required to engage local communities in service delivery, planning, policy formulation and other matters of local government affairs.

- g. Municipalities are expected to structure their revenues in a manner that cater for the above listed objectives.

To further concretise the impact of municipalities, the government has introduced myriads of initiatives and policies that are aimed at capacitating municipalities. The following sections of this study have elucidated the legislative and policy framework that regulate municipal operations. Majority of South African municipalities are currently contemplating strategies to translate policies into tangible services. Kanyane (2014:93) observes that municipalities are undergoing major challenges relating to failing financial management systems, staff incapacities, service delivery backlogs, fraud and corruption, and politicisation of municipal operations. The global economic crises further impede the ability of local government to render community services (Phakathi, 2016:171).

Despite the existence of the challenges that undermine government's commitment towards improving service delivery, it can be argued that municipalities have somehow contributed to improving local conditions. This view is supported by the findings of Statistics South Africa (2016:1) that key service delivery areas such as water, sanitation, electricity and refuse disposal have improved under the current local governance system. The table below reflect the trends on service delivery improvements in local government. To further intensify service delivery impact in local government, the vast body of information in contemporary literature suggest effective and efficient roles for the oversight mechanisms.

2.4 SEPARATION OF POWERS IN THE PUBLIC SECTOR

The concept of the separation of powers is derived from the South African provisional Constitution of 1993 (Kraai, 2017:61). This constitution made provisions for the separation of powers between the three arms of the state, namely executive, legislative and judiciary. The concept was further endorsed in the South African Constitution of 1996 (Thornhill, 2014:25). In addition, the 1996 Constitution provides for the three spheres of government which are assigned different responsibilities in relation to the provision of community services (Van der Waldt *et al*, 2018). Different chapters of the 1996 Constitution are also explicitly clear about the roles of different social state organs towards advancing the development of the South African communities (Van der Waldt *et al*, 2018), for example Chapter 4 defines outlines functions of the legislative authority, the functions of the presidency are listed in Chapter 5, while Chapter 8 is concerned with the administration of justice (judiciary).

Mojapelo (2013:37) describes the separation of powers as the division of explicit roles, obligations, and tasks to individual institutions with a defined interpretation of competence and authority. Kraai (2017:60) resonates that “the functions of the separation of powers in the three spheres of government, executive, legislature and judiciary is to circumvent the exploitation of authority and promote oversight mechanisms”. This view is also elaborated in Landsberg and Graham (2017:62), “the principles of the separation of powers is that permissible political authority may not be assigned to individuals or a single institution in a state” this is necessary to promote the interdependency, and interrelated nature of public institutions. In addition, Kraai (2017:60) explains that the legal framework of the fundamentals of the legislative, executive and judicial authority is as follows:

- a. The legislative authority in all state organs are expected to play a role of policy-making, regulate financial systems, and to represent interests of citizens.
- b. The legislative institutions are mandated by the Constitution of 1996 to endorse proposals relating to proposed policies and budgets.
- c. The executive authority enforces policy decisions as endorsed by legislatures.
- d. The judiciary institutions are responsible for defending and prescribing the regulations of the state.

The successful implementation of these functions may promote efficiency, effectiveness and the economic use of resources in all public institutions. Furthermore, these functions may pave way for the recognition of oversight mechanisms in the public sector. The role and nature of these oversight mechanisms is further detailed in the ensuing discussions.

2.5 OVERSIGHT MECHANISMS IN THE SOUTH AFRICAN GOVERNMENT

To this end, it can be deduced that, a reasonable amount of work has been accomplished by municipalities to fulfil their constitutional objectives of service delivery to local communities. Despite this achievement, the majority of the South African municipalities experience the myriad of institutional challenges that impact on their service delivery capabilities (Reddy and Shembe, 2015:12). According to the Department of Cooperative Governance and Traditional Affairs (COGTA) (2018:10), inadequate accountability and poor governance are the primary challenges in respect of service delivery in the municipalities of the KZN Province. In responding to these challenges, various municipal councils in the province have adopted comprehensive governance models and various strategic initiatives based on the separation of legislative and executive powers (Malatsi, 2018:17).

In addition to the various strategic initiatives that are spearheaded by the municipal councils, they have considerable powers to streamline the governance of municipalities. For example, as both the legislative and executive authority within municipalities, they are responsible for ensuring the formulation and implementation of municipal bylaws and policies (Kraai, 2017:12). It is unambiguously clear about the separation of powers between the administrative and political office bearers in local government (RSA, 1998). This is in many instances, necessary to ensure checks and balances for maximising service delivery impact in municipalities (Kraai, 2017:18). It is clear from this view that, oversight mechanisms in local government are important to circumvent the plethora of challenges that continue to affect the majority of the South African municipalities. The precise roles of various oversight structures in local government are listed in below discussions.

2.6 ROLES OF OVERSIGHT MECHANISM IN LOCAL GOVERNMENT

There are internal and external oversight structures that play a role to regulate local government operation and promote good governance (Van der Waldt, 2014:214). These include internal and external oversight structures.

2.6.1 INTERNAL OVERSIGHT MECHANISMS IN LOCAL GOVERNMENT

The ensuing discussion covers the role of internal oversight structures in local government.

2.6.1.1 MUNICIPAL PUBLIC ACCOUNTS COMMITTEES

To enhance the functions of the municipal councils, oversight functions are cascaded through two important committees within municipal structures before reaching the council, which exercises the ultimate oversight role (Malatsi, 2017). On the one hand, municipal public accounts committees (MPACs) perform an internal oversight role while municipal audit committees, on the other hand, are structured more independently to perform a fairly external oversight role. Although both institutional arrangements have existed for quite some time, reports of municipal maladministration and corruption are rife and on the rise. The Auditor-General's latest report on local government has highlighted its dismal performance and lack of accountability (RSA, 2020). All this begs the question: is municipal oversight flawed?

2.6.1.2 MUNICIPAL AUDIT COMMITTEES

Koma (2014:102) explains that every municipality must have an audit committee that serves as an independent advisory body to the council on financial accountability and oversight, and that the committee performs five important functions:

- a. Advising the council, the executive authority and the municipality's management staff on internal financial controls and internal audits, risk and performance management, accounting policies, the adequacy, reliability and accuracy of financial reporting information, legislative compliance and performance management.
- b. Reviewing the municipality's annual financial statements to provide the council with an authoritative and credible view of the municipality's financial position, its efficiency and effectiveness and its overall level of compliance.
- c. Responding to the council on any issues raised by the Auditor-General.
- d. Investigating the financial affairs of the municipality when requested by the council.
- e. Performing any other functions that may be prescribed.

Furthermore, Koma (2014:105) elaborates that the structural independence of the Municipal Auditee Committees is statutorily protected by ensuring that:

- a. The majority of its committee members and the chairperson are external appointments, not employed by the municipality in any capacity;
- b. At least three members have the appropriate experience; and
- c. No councillor occupies a seat as a member of the committee.

While the committee is composed largely of external members, it is not entirely clear what constitutes the "appropriate experience" required to qualify for selection. This ambiguity leaves it to the discretion of council to determine the level of expertise necessary for appointment to the audit committee (Kraai, 2017:23). While the National Treasury has published guidelines to assist municipal councils, councils may choose to disregard them. The relationship between the committee's capacity and its performance cannot be over-emphasised. Building a strong, independent body to oversee executive and administrative action is key to enhancing the municipal council's ability to take appropriate action against poor governance and maladministration (Kraai, 2017:18).

Owing to these challenges that are experienced by Audit Committees, most authors, including Naidoo and Mbwise (2014:13) resonates that understanding the experience required to become

a member of the audit committee will surely help. Kraai (2017:18) also explain that Audit Committee's ability to accurately evaluate performance is reliant on the information given to it by the municipality's administration. Information on how the municipality has implemented its audit plan – including internal controls, risk management, loss control and legislative compliance – is reported to the committee through its internal audit unit. These units often lack resources, capacity and expertise to provide reliable and quality reporting to the audit committee. Where this is the case, the important advisory role of the committee, as the sole independent voice within municipal structures in the reporting process to council, is significantly diluted. But perhaps even more concerning is the lack of any powers enabling the audit committee to require information from municipal structures. Despite the fact that these structures are expected to produce needed information voluntarily, audit committees struggle to obtain it. This may be, in part, because of the lack of consequence management within municipalities (Kraai, 2017:23).

While the audit committee performs an important function in monitoring, reviewing and investigating administrative and executive performance, its role is limited to an advisory one. The committee is well placed, as a significant and more independent voice for ensuring effective oversight by the municipal council, but it has no enforcement powers. It remains up to the council to decide how it will respond to maladministration, corruption and the mismanagement of public funds.

2.6.1.3 MUNICIPAL PUBLIC ACCOUNTS COMMITTEES

The Municipal Public Accounts Committees (MPAC) are traditionally borne from what is known simply as “section 79 committees”, established in an effort to assist the municipal councils in performing their functions more effectively and efficiently (Van der Waldt, *et al.* 2014). Legislation outlines key features of a section 79 committee that impacts its functioning, including:

- a. Members of the committee, along with a chairperson, are appointed by the council from amongst its councillors;
- b. Members may be removed by the council at any time;
- c. The committee's functions are determined by the council;
- d. The council delegates to it duties and powers in terms of section 59 of the Systems Act;

- e. External advisors, who are not councillors, may be brought in to assist the committee where its members lack the technical knowledge and capacity necessary to perform its functions;
- f. The council may determine the committee's procedures; and
- g. The committee may be dissolved by the council at any time.

Additionally, the Constitution (RSA, 1996) states that all committees of the council must be constituted in a manner that fairly represents the parties and interests reflected in the council itself (Venter, 2016). As MPACs are established by municipal councils, their composition should be reflective of this constitutional imperative. (RSA, 2003) The MPACs perform functions similar to those carried out by the Standing Committees on Public Accounts, or SCOPA, found at national and provincial levels (RSA, 2003). They serve as internal oversight committees, not much different from audit committees although structurally less independent, designed to review the municipality's financial statements, audit reports, performance reports and annual reports and report to the council with recommendations (Venteer, 2016). Some MPACs are also mandated by councils to initiate and develop oversight reports on the municipality's performance claims in its annual report (Venter, 2016). An MPAC may also be required to investigate matters referred to it by the council that affect the municipality. But these two functions are discretionary, not peremptory.

2.6.1.4 COUNCILLORS AS OVERSIGHT STRUCTURE IN LOCAL GOVERNMENT

Councillors play a critical role in regulating internal municipal affairs, including the approval of budgets. The budget is a critical aspect that turns strategic plans into tangible service delivery. Therefore, the municipal council is responsible for ensuring policy priorities represent budget planning of the municipality (Van der Waldt et al, 2014:214). This view is also endorsed in Gwala, Theron and Mchunu (2015:56) that "councillors should focus on allocating budget inputs (resources) amongst competing priorities consistent with the strategic plans that are set in the municipal IDP". In addition, councillors are entrusted with the responsibility to promote the consultations of various municipal stakeholders, including communities in ensuring that budget represents aspirations of communities (Kraai, 2017:32). The rationale behind stakeholder engagement in the budgetary processes of the municipality is to enhance good governance over financial matters of the municipality and to hold the municipal council accountable for service delivery (Van der Waldt, et al, 2014:214). According to Moeti (2017:202), "in order to promote maximum service delivery, the municipal council must

approve credible budget with realistic revenue and expenditure estimates”. This will require councillors to consider the long-term financial feasibility of the municipality.

2.6.1.5 MAYOR’S ROLE IN THE MUNICIPAL BUDGETARY PROCESSES

The mayor is regarded as a political head of the municipality that should ensure strong political leadership of the municipality and the implementation of policies and strategies. According to Van der Waldt, et al (2014), Section 152 of the Municipal Financial Management Act 56 of 2003 requires the mayors to:

- a. Guide the municipality with regard to fiscal and financial governance of the municipality;
- b. Promote the culture of monitoring and evaluation to ensure that the implementation of the responsibilities of the municipal managers (mm) and the chief financial officer (cfo);
- c. Ensure that all municipal plans are within its financial feasibility and budget limits;
- d. Constantly report to the municipal council the implementation of budget and the financial state of the municipality; and
- e. Report to the provincial executives any financial difficulties and seek immediate intervention in the areas of concern (Waldt, et al 2014).

The successful implementation of the afore-mentioned responsibilities of the mayors are key for the execution of service delivery mandate in local government and ultimately the promotion of sustainable development for communities.

2.6.1.6 THE MUNICIPAL MANAGER

The municipal manager is required to execute municipal administrative functions in collaboration with other senior officials, including the chief financial officer and Municipal Systems Act sections 56 and 57 officials (Van der Waldt, 2014:216). These officials play huge roles in ensuring that municipal operations are within the constitutional boundaries and further promote a sound financial administration (Turok, 2009:28). In addition, Pauw, Van der Linde, Fourie and Visser, (2014) explain that the senior management of the municipality and other role players, particularly those dealing with financial administration must ensure that:

- a. Municipalities are guided by policies, internal controls and sound financial management systems;

- b. Municipalities adhere to proper planning, including the efficient, effective and economic use of scarce resources;
- c. Fruitless and irregular expenditures are avoided at all costs;
- d. The collected revenues are properly managed and used towards the satisfaction of service delivery needs for local communities.

The above mentioned responsibilities demonstrate that the process of local government restructuring and transformation in South Africa has succeeded to professionalize the local government sector. However, some municipalities are yet to implement these transformations in order to strengthen their constitutional mandate of service delivery. The institutionalization of the oversight structures is another evidence that local government is accountable and open to public scrutiny.

2.6.2 EXTERNAL OVERSIGHT MECHANISMS IN LOCAL GOVERNMENT

The ensuing discussions focus on the role of the external oversight mechanisms in regulating good practices at the municipal levels.

2.6.2.1 NATIONAL TREASURY

National Treasury is established by the South African Constitution of 1996 as a structure responsible for the allocation of financial resources to all government spheres, departments and public entities. It is regulated by the values of good government in terms of allocating resources in a manner that is transparent, open and informed by rigorous consultations with the public sector and foreign financial experts (RSA, 1999). Van der Waldt (2014:213) resonates that “National Treasury is traditionally a public institution that must strengthen the legislature’s authority on financial matters and promote order in the financial transactions of the government sector”. Williamson (2016:309) postulates that, in addition to many parliamentary obligations of the National Treasury, it has emerged to be a critical administrative institution that is designed to play a monitoring and evaluation role of public institutions. This role mandates Auditor-General (AG) to control financial affairs of the government sectors. The functions of National Treasury are aligned with the Public Audit Act, Public Financial Management Act and Municipal Financial Management Act (2003) that regards public financial management as a functions linked to ethical leadership and good governance.

2.6.2.2 PUBLIC PROTECTOR

In the new democratic order of South Africa, the Public Protector as an independent stricture established by Section 181 of the 1996 Constitution with a mandate to support and strengthen constitutional democracy operating in a manner that is subject only to the Constitution and the law (Van der Waldt, et al, 2018) Its independence of the Public Protector derives from the fact that the Constitution creates it. This is why the Constitution in unambiguous terms provides that the Public Protector is independent and subject only to the Constitution and the law, and it must be impartial and must exercise its powers and perform its functions without fear, favour or prejudice. The core mandate of the Public Protector is to support constitutional democracy operating as a supreme administrative oversight body by investigating and rooting out improper conduct in all state affairs while providing services that are universally accessible to all (Moeti, 2019). Section 182 of the Constitution mandates the Public Protector to:

- a. Investigate any conduct in state affairs, or in the public administration in any sphere of government, that is alleged or suspected to be improper or to result in any impropriety or prejudice;
- b. Report on that conduct; and institute appropriate remedial action;
- c. Public protector must be open to the public scrutiny, unless exceptional circumstances, to be determined in terms of national legislation, require that a report be kept confidential; and,
- d. To investigate allegations of corruption as mandated by Section 6(4) (a) of the Public Protector Act, read with the Prevention and Combating of Corrupt Activities Act 12 of 2004.

2.6.2.3 THE AUDITOR-GENERAL

Moeti (2019:51) explains that the Auditor-General is responsible for the auditing of public institutions and entities and to prepare audit reports once these institutions /entities have been audited. Furthermore, Moeti (2019:52) explains that Auditor General is the independent institution that is established in line with Section (4) (d) of the Auditor General Act of 1995. It assigns powers to the Auditor general to ensures that:

- a. Reasonable precautions are observed in the proper collection of revenues.
- b. Public institutions take satisfactory to utilize resources in a manner that is efficient, effective and economically.

- c. Public transactions are in line with the set laws and policies to maintain controls in public institutions.
- d. Public institutions comply with Public Audit Act 25 of 2004 and other financial control mechanisms that promote good governance, professionalism and ethical leadership.

2.6.2.4 STANDING COMMITTEE ON PUBLIC ACCOUNTS

The Standing Committee on Public Account is established in relation to various policies that regulate financial management and promote good governance in public institutions. Moeti (2019:51) notes that most of the oversight roles in the public sector are carried out by this committee. Furthermore, Kraai (2017:63) notes that this “committee is allocated different tasks, mainly in relation to the oversight of the executive authority, thus through specialization the committee enhances parliamentary efficiency and effectiveness”. The SCOPA is also responsible for soliciting public opinions on enhancing the mechanism for parliamentary oversight mechanisms (Moeti, 2019: 51).

2.7 CHAPTER SUMMARY

The chapter demonstrated the nature and role of oversight mechanisms in South Africa with particular reference to the local government sphere. In essence, the chapter posits that the process of local government restructuring and transformation has had huge impacts for the functioning of municipalities. Furthermore, despite the teething challenges that engulf the sector, municipalities are in a positive trajectory to enhance local democracy and contribute to an inclusive service delivery in order to fulfil service delivery needs for local communities. The complexity and changing nature of local government is however raising worrying concerns that undermine the constitutional obligations of oversight structures in local government. This is one of the critical areas that municipalities will have to address in order to succeed with their mandate of community development. The following chapter continues to explore the institutionalization of oversight mechanisms in local government with specific reference to oKhahlamba Local Municipality. The chapter also reviews the legislative and policy context regulating oversight mechanisms.

CHAPTER THREE

OVERSIGHT MECHANISMS IN OKHAHLAMBA LOCAL MUNICIPALITY: LEGISLATIVE AND POLICY CONTEXT

3.1 INTRODUCTION

The previous chapter presented a broad overview of the oversight mechanisms in local government. Various internal and external accountability strictures were discussed. This chapter deals with the implementation of oversight structures at oKhahlamba Local Municipality. The chapter also examines the extent to which legislative and policy framework prioritises the implementation of oversight structures in local government. The chapter concludes with the discussion of the theoretical foundations that are relevant to strengthen the capacities of oversight roles in public institutions.

3.2 GOOD GOVERNANCE AND OVERSIGHT MECHANISMS: MEANING, CONTEXT, AND PRACTICE IN LOCAL GOVERNMENT

The South African Constitution of 1996 establishes Chapter 9 institutions, including the Public Protector, Auditor-general, Human Rights Commission, Commission for the Promotion and Protection of the Rights of Cultural, Religious and Linguistic Communities, Commission for Gender Equality and Electoral Commission. These institutions are independent of government and play critical roles to enforce good governance and responsible governance at the institutional levels in the 3 spheres of government (Kraai, 2017).

In the case of Okhahlamba Local Municipality, the implementation of good governance in local governments is informed by various policy imperatives, including the RSA 1996 Constitution, Local Government Municipal Systems Act 32 of 2000, Local Government Municipal Structures Act 117 of 1998 and Municipal Financial Management Systems Act 56 of 2003 to mention a few. There is a general consensus that in addition to the implementation of oversight structures, municipalities should be guided by strong political leadership which is able to enforce policies and prioritise service delivery (Mahass, 2016). According to Msomi, Reddy and Zondi (2018), addressing the challenge political interference will rehabilitate this government sphere and promote collaborations between municipalities and local communities. This view stems from the realisation that service delivery protests are caused by unaccountability and tensions between municipalities and communities.

The lack of good governance in local government has negative effects for the fulfilment of socio-economic development at community levels (White, 20116). Therefore, ignoring local government challenges may derail the prospects of the successful implementation of the NDP and SDGs in 2030 (Mahass, 2016).

The White Paper on Local Government (1998) cites local government challenges as derived from the apartheid governance system which left indelible mark on the lives of communities, particularly those situated in the rural communities. Reddy (2005:51) posits that “given the historical legacy and resultant developmental challenges, limited resources and lack of incapacities, the democratic local government system has made reasonable progress in to assist municipality discharging their constitutional mandate. However, they have to be more effective in terms of enhancing service delivery and the facilitation of good local governance. The transformation and restructuring process of local government which began immediately after the 1994 elections has been remarkable in professionalizing municipalities so that they may execute their service delivery mandate more efficiently (White, 2016).

The contemporary literature in local government is inundated with case studies that recommend the implementation of good governance as a cornerstone for safeguarding service delivery mandate in municipalities. Good governance in local government implies that the operations of this sphere are conducted openly, transparently and in the manner that is consultative. In the last twenty years, the concepts of “governance” and “good governance” have been used widely in government and academic settings to place emphasis of the management of resources and policies through exercising authority in a manner that is fair and responsible (White, 2016)). In the South African context, the emphasis on good governance is manifested in various policy frameworks and democratic processes that operate at the local government sphere, including Integrated Development Planning, Developmental Local Government, and Public Participation, These aspects of good governance are discussed in relation to Okhahlamba Local Municipality in the ensuing discussions.

3.3 INTEGRATED DEVELOPMENT PLANNING AS AN ACCOUNTABILITY MECHANISM AT OKHAHLAMBA LOCAL MUNICIPALITY

Municipalities in South Africa are still in the trajectory of local government restructuring and transformation which began after the attainment of democracy in 1994. This restructuring and transformation process requires flexibility and strategic management of municipal institutions (Van der Waldt *et al*, 2014:103). In addition, the Integrated Development Planning (IDP) is another critical aspect that is formulated in line with the Local Government: Municipal Systems

Act 32 of 2000 to provide strategic directions to the municipal councils in relation to all service delivery priorities for local communities. It is also an accountability tool for strategy formulation, strategy implementation, monitoring and evaluation to assist municipalities achieve their constitutional obligations (Goodstein, Nolan and Pfeiffer, 2011:267). According to the Intergovernmental Forum for Effective Planning (IFEP) (2009:82) IDP is defined as a participatory planning process that is aimed at sectoral strategies in order to support the optimal allocation of scarce resources. It is also a process through which municipalities prepare a strategic development plan for a five-year period (Department of Provincial and Local Government (DPLG) (2001:1). In the case of oKhahlamba Local Municipality, IDP is conceptualised as a ‘cornerstone’ for the establishing of a strong and viable governance structure that is open to public scrutiny and embedded on the values of good governance and ethical leadership (IDP, oKhahlamba Local Municipality, 2018-2019:5).

In the case of oKhahlamba Local Municipality, the IDP is a strategic initiative responsible municipal planning in relation to budget and service delivery planning, determining the implementation of socio-economic projects/programmes, SDBIP, organizational performance and monitoring and evaluation (M&E) ((IDP, OKhahlamba Local Municipality, 2018-2019:5). The diagram below depicts the role of the IDP at oKhahlamba Local Municipality.

Figure 3: Flow of Integrated Development Plans activities in Okhahlamba Local Municipality



Source: Okhahlamba Local Municipality, 2018.

Figure 3 depicts that the IDP plans of Okhahlamba Local Municipality are aligned with the recommendations of the Local Government Municipal Systems Act 32 of 2000. According to this Act, the IDP process should serve as a framework for planning, PMS, budget allocation, survive delivery implementation, and monitoring and evaluation (Van der Waldt *et al*, 2018:127). The processes highlighted in figure 3 are linked into a single cycle in local government that is also aligns various sectoral initiatives from national and provincial government levels. It is also imperative that communities are encouraged to participate in all these IDP processes as recommended by Section 152 of the Constitution (RSA, 1996).

3.4 DEVELOPMENTAL LOCAL GOVERNMENT

The concept of Development Local Government emanates from the White Paper on Local Government (1998) to signify the synergic nature that should exist between local citizen and their municipalities. The concept purports that community development may not be possible if local communities are engaged in policy and service delivery planning in local government (Reddy, 2005). For this reason, The White Paper on Local Government (1998) defines DLG as “local government that is committed to "work with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives". Since the establishment of the municipal systems in South Africa in 1995, there are various policy imperatives and structures that have been formulated to enables DLG. For example, in terms of Chapter 7 (e), “municipalities should encourage the culture of public participation in local government affairs (RSA, 1996). Various scholars, including Theron and Subban (2011) stress highlight the importance of deepening the local democracy in local government in order to promote participatory development and the fulfilment of socio-economic aspirations for indigent communities and to give rise to a developmental state.

A developmental state is broadly conceptualized as a state that prioritises community development and implements policies facilitates socio-economic opportunities (Van der Waldt *et al*, 2018). Thus, to advance the vision of a developmental state in South Africa, concerted efforts should be propagated to the implementation of the NDP vision 2030 in order to alleviate poverty, inequalities and unemployment. To achieve this vision, municipalities should be capacities in order to play a leading role towards the development of local communities (White Paper on Local Government, 1998). Furthermore, Van der Waldt *et al* (2018:127) posit that “a developmental state generally attempts to deploy its administrative and political resources for economic development”. This suggests that a developmental state should have capacity to implement its policies for the regulation of its political and administrative processes. The White

Paper on Local Government (1998) identifies 3 approaches that should be implemented by municipalities in order for local communities to be more developmental. Namely:

- a. **Integrated Development Planning and Budgetary Systems:** IDPs and sound financial management systems are important to promote service delivery mandate of local communities and further to assist in the acceleration of South African sustainable development.
- b. **Performance Management Systems:** proper performance management systems are necessary to keep check and balances of the municipality and to ensures value for money in terms of services that are rendered to local communities.
- c. **Public Participation:** community engagement in local government affairs symbolizes local democracy and commitment of the South African government to recognize the role of ordinary citizens in service delivery and policy planning.

The vision of Developmental Local Government is a stepping-stone for many developmental initiatives that the country aspires to achieve towards ensuring better life for all South African citizens.

3.5 GOOD GOVERNANCE AND PUBLIC PARTICIPATION ANALYSIS IN OKHAHLAMBA LOCAL MUNICIPALITY

The IDP process of Okhahlamba Local Municipality defines good governance and public participation as key constructs for successful oversight mechanisms in the municipality. The process of local government restructuring and transformation has resulted to numerous processes that strive to entrench local democracy and maximize service delivery impact for local communities. Public participation encourages the involvement of communities in local government affairs, including service delivery and policy planning (Van der Waldt et al, 2018:65). Other scholars, such as Ibrahim-Shittu & Musbauden (2016:1) confirm that the process of public participation has immeasurable benefits for local communities and that public policy making remain incomplete and ineffective without the involvement of communities. In the context of the current study, public participation is construed as a strong oversight mechanism that should be implemented by South African municipalities.

To comply with the legislative framework for public participation in local government, Okhahlamba Local Municipality is committed to the culture of community dialogues and robust debates in order to enhance good governance in the municipal area of jurisdiction (IDP, 2018). The establishment of ward committee structure is another effort of the municipality to

understand community problem and respond to them as a matter of urgency. Despite the common challenges that are experienced by municipalities to implement the culture of public participation, it can be deduced that public participation is a form of local democracy and an instrument to improve service delivery. As far as public participation is concern, Ibrahim-Shittu & Musbauden (2016:15) explain that:

- a. Public engagement between communities and local authorities may be intricate, however, underestimating community influence may be wrong and detrimental for emerging democracy;
- b. When decisions are made without engaging communities, community disgruntlements and confrontations may emerge.
- c. Public participation is an essential knowledge sharing activity that should be embraced towards reaching common grounds between communities and their authorities,
- d. Public participation is a multifaceted governance approach that promotes interactions between citizens, government officials, civil society organisations, NGOs etc. Thus, the role of inclusive governance is clearly underlined in public participation.

Inequality, however, remains an issue of concern especially in the context of the distribution of human and institutional resources. Thus, the maximization of value preferences of the stakeholders in local government planning is clearly underlined.

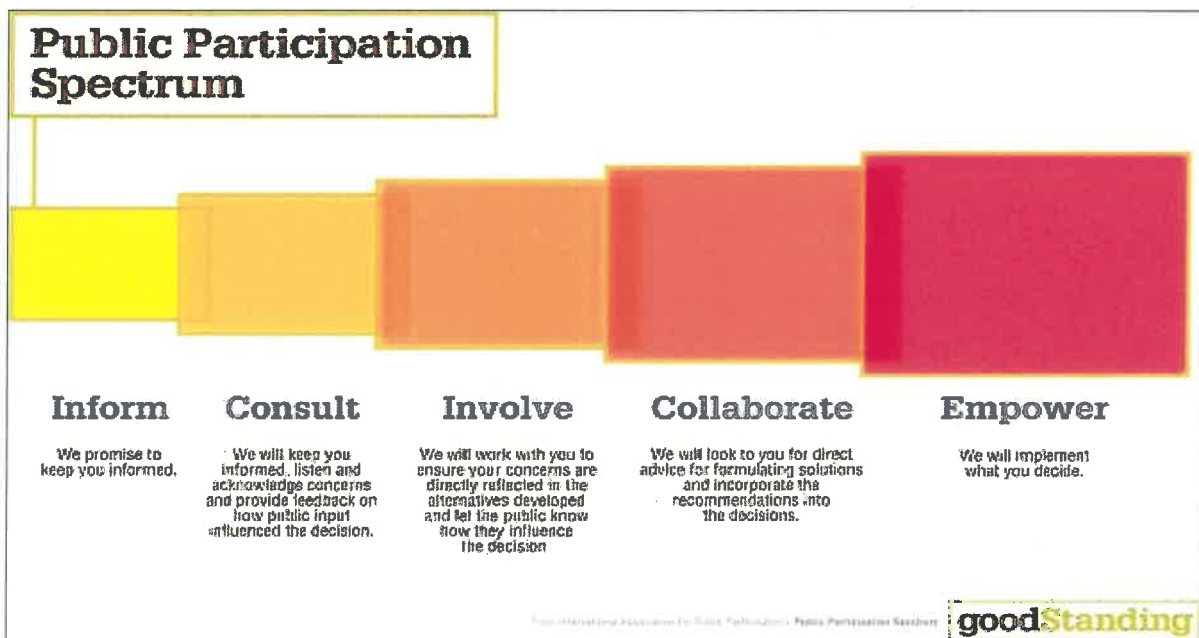
Good governance and public participation are the ‘cornerstone’ for the promotion of efficiency, effectiveness and economic use of resources in local government (Harting, 2016:8). In the case of South Africa, public participation is enshrined in the Constitution of 1996 and many other policies regulating provincial and local government. In the quest for co-operative governance, the responsibility of operationalizing and implementing public participation lies with the three levels of the South African government, namely national, provincial and local government (Thornhill, 2014:202).

According to Reddy (2016:17), public participation refers to the “...the involvement of citizens in a wide range of policymaking activities, including the determination of levels of service, budget priorities”. In the case of residents of Okhahlamba Local Municipality, public participation is important to increase citizens’ influence on public policies and programmes ensuring a more positive impact on their social and economic lives (Okhahlamba Integrated Development Plan, 2018). Shehu and Dollani (2016:9) observe that the lack of public participation in local government may be detrimental to the quality of services that are rendered

to communities and that “without participation the needs and priorities of the poor people are not taken into account, bureaucracy and non-transparent processes in the administration of local governments result in lower levels of revenues, and therefore also lower levels of spending on various social programmes”.

According to Van der Waldt *et al*, (2018) public participation is a process, not a single event, therefore public officials should engage communities on a regular basis in an attempt to find solutions for improving community lives. Furthermore, Mahatsi (2018:251) notes that public participation should result into community empowerment in which citizens are informed, consulted, involved in decision-making processes and encouraged to collaborate in government activities. This view is further reflected in figure 4 below.

Figure 4: Public participation as a source of Community Empowerment



Source: Mahatsi, 2018

3.6 LEGISLATIVE AND POLICY FRAMEWORK FOR OVERSIGHT MECHANISMS IN LOCAL GOVERNMENT

Since the introduction of the South African democracy in 1994, there are numerous legislative and policy frameworks that have been promulgated in order to streamline government operations and accelerate the development of the country. Of significance about this legislative and policy framework is the outline of processes that may assist local government to be more developmental and assist in the quest for creating a developmental state in South Africa. Issues of efficiency, effectiveness and economic use of resources are emphasized through various

policies of this government sphere. The ensuing discussions reflect local government policies that promote good governance through recognized oversight mechanisms in local government. The discussions further reveal the strides of Okhahlamba towards implementing these policies.

3.6.1 CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA 1996

The South African Constitution of 1996 is embraced as a supreme law of the Republic, upon which various legislative policies and good practices are established. This Constitution is also established along integrity, ethical leadership, Ubuntu, consultation, transparency and accountability as basic values that should serve as a cornerstone for public institution. In terms of oversight structures in public institutions, Chapter 9 of this Constitutions is explicitly clear about the role Chapter 9 or ‘watchdog institutions’ towards promoting good governance in the public sector. The preceding chapter has elucidated on the role that should be played by Auditor General, Public protector and SCOPA in promoting clean financial management systems, good governance for maximizing service delivery impact in South Africa. oKhahlamba Local Municipality subscribes to the norms and standards that are defined by the chapter 9 institutions by conforming to their orders.

In spite of the current challenges that affect the smooth operations of municipalities in South Africa, the constitutional emphasis on service delivery is pursued through various strategies, programmes and policies. In addition, attempts are being made to uphold constitutional imperatives that give effect to oversight mechanisms (Kraai, 2017). The challenge of service delivery protest is a complicated one as these protests are politicised and are detrimental to the constitutional democracy of the country (Mahlasela, and Pillay, 2018).

3.6.2 THE WHITE PAPER ON LOCAL GOVERNMENT 1998

The White Paper on Local Government (WPLG) 1998 gives effect to many policies that have been promulgated to regulate this government sphere. It regards municipalities as having pivotal role towards ensuring sustainable development of the country in general and municipalities in particular (Van der Waldt, et al 2018). The proclaiming of the Developmental Local Government (DLG) vision by this White Paper implies a strong commitment of local government in fulfilling service delivery needs for local communities. In terms of this vision, service delivery is a joint effort between citizens, communities, groups and municipalities that should results to the fulfilment of quality service delivery and decent quality of living (RSA, 1998).

3.6.3 LOCAL GOVERNMENT: MUNICIPAL SYSTEMS ACT, 32 OF 2000

Local Government: Municipal Systems Act 32 of 2000 is a critical piece of legislation that recognises the role of oversight mechanisms and stakeholder engagement towards normalizing municipalities and promoting good governance (Mahlasela and Pillay, 2018). Chapter 4 of this policy spells out the need for public participation and further identifies operational areas that require close public scrutiny (RSA, 2000). For example, these operational areas include service delivery planning, budgetary process and IDP formulation. Public participation allows transparency and accountability at all levels of the municipality. In case of oKhahlamba Local Municipalities, public participation is facilitated by Ward Committees structures that are situated at communities to serve as a link between citizens and the municipality. The Local Government Structures Act 117 of 1998 (as discussed in the preceding section) defines regulations governing public meetings, and prescribed time-frames for municipalities to hold public meetings.

3.6.4 LOCAL GOVERNMENT: STRUCTURES ACT 117 OF 2000

The Local Government: Municipal Structures Act 117 of 1998 was promulgated in order to define new local government processes that were essential to professionalize municipalities and further align their operations with the developmental mandate of the government since 1994. The Act is key for the establishment of municipalities across establishes criteria for determining the category of municipalities and decides on the category/type of municipality to be established in an area. Currently, there are 257 municipalities in South Africa that are structured according to 205 local municipalities, 44 district municipalities and 8 metropolitan municipalities (COGTA, 2019: online). Similarly, to the emphasis of the Municipal Systems Act (2000), Friedman (2004:30) asserts that the Local Government: Municipal Structures Act (amended in 1999 and 2000) is explicit about the roles of citizens' participation in local government affairs, namely:

- a. Contribute to the decision-making process of the municipality;
- b. Be informed of the decisions of the municipal council; and
- c. Disclose the state of affairs of the municipality.

The implementation of Local Government: Municipal Structures Act and many other policies should be prioritized in order to fulfil the developmental mandate of local government which is enshrined in Chapter 7 of the 1996 Constitution.

3.6.5 MUNICIPAL FINANCIAL MANAGEMENT ACT 56 OF 2003

Public money is an asset that require prudent and responsible management by elected office bearers and any other recognised personnel in the public sector (Williamson, 2016). It is through responsible actions and ethical conduct of various public officials that service delivery impact may be realized at community levels (Williamson, 2016). The promulgation of the Municipal Financial Management Act (MFMA) 56 of 2003 coincided with the emphasis on good governance and prudent management of financial resources in local government and other local government entities. Mofulatsi and Kisten, (2019:7) explain that the poor implementation of MFMA on local government has both direct and indirect effects. The direct impact refers not only to bribes, but also to the inflated prices of procured goods and services. The indirect effects include inefficiencies in many operations of municipalities that affect service delivery.

3.6.6 NATIONAL DEVELOPMENT PLAN: VISION 2030

Against the background of socio-economic challenges that are manifested through poverty, unemployment and inequalities, the South African government introduced national development Plan in 2011 as a diagnostic tool to these challenges. The principal objective of the NDP Vision 2030 is to mobilize all public institutions and communities to work on a common goal to bring about economic stability and the overall development of the country (National Planning Commission, 2012). The National Planning Commission (NPC: 2012:14) is established along specific challenges that engulfs South African communities, including:

- a. **Unemployment:** Joblessness is a major economic that affect many citizens;
- b. **Social ills:** unemployment is cited as an instigator to many problems such as poverty crime, fraud and corruption and incurable diseases.
- c. **Illiteracy:** The majority of South African communities are illiterate. Furthermore, the educational systems is not aligned with the standards and expectations of the labour markets.
- d. **Poor infrastructural development:** the lack of and ageing infrastructure inhibits opportunities for economic development. It is also a contributing factor to service delivery protests that affect South African communities.
- e. **Spatial patterns:** The legacy of apartheid left indelible mark which requires great strides of the government and concerned organisations to promote social cohesions and inclusive economic development.

- f. **Economic Development:** the standard of living for many communities is below average due to poor economic development and the scarcity of investment opportunities at community levels.
- g. **Public Service:** following the demise of the apartheid legacy in 1994, the South African government is faced with the mammoth task to transform the public sector and build a democratic, non-racial, inclusive and responsive public sector.

It is also anticipated that the success of NDP will depend on greater synergies between all government departments in which they all work towards common understanding of long-term objectives (NPC, 2011). For this reason, the plan is cognizant of institutional challenges across the South African public sector that may affect the vision to create a developmental state. For this reason, various oversight structures have been instituted and given legislative rights to sustain order and stability in public sector departments and local government.

3.7 ALIGNMENT BETWEEN THE INTEGRATED DEVELOPMENT PLAN OF OKHAHLAMBA AND THE NATIONAL AND PROVINCIAL IMPERATIVES OF THE SOUTH AFRICAN GOVERNMENT

Various government strategic and policy frameworks encourage progressive and collaborative endeavors between communities, civil society organizations and government sectors in order to accelerate development of the country (Lennan and Munslow, 2009). The Constitution of the Republic of South Africa, also supports interaction and co-operation between the three spheres of government on a continuous basis and therefore provides a set of principles to direct the manner and quality of those interactions. (RSA, 1996). In the case of oKhahlamba Local Municipalities, its IDP is formulated in consultation with the Provincial Government in order to align its plans with those of the province which are interpreted through the Provincial Growth Development Strategy (PGDS).

3.8 THE ROLE OF OVERSIGHT STRUCTURES IN ENHANCING ECONOMIC DEVELOPMENT IN OKHAHLAMBA LOCAL MUNICIPALITY

The KZN Provincial Growth and Development Strategy (KZN- PGDS) aims to create a comprehensive and focused development strategy that is informed by inputs of communities, civil society organisations and all concerned service delivery agencies (RSA, 2019). In this regard, municipalities are regarded as key stakeholders whose plans must be aligned with the PGDS. The strategic goals of the KZN PGDS are listed as follows:

- a. **Job Creation:** joblessness is a common challenge that affect the majority of South African citizens as expounded in the NDP: Vision 2030. The Provincial Governments

prioritizes specific job-rich areas, such as tourism, textile, manufacturing and agriculture. Capacity building in these job-rich areas is prioritized through various policy initiatives such as Joint Initiative for Priority Skills Acquisition (JIPSA). The introduction of Operation Sukuma Sakhe (OSS) is another critical aspect that symbolizes the commitment of the provincial government towards socio-economic development for communities (OSS, 2015:164).

- b. Composition of Oversight Committee in Okhahlamba Local Municipality:** The oversight committee in local government refers to a committee of council of the municipality that is established in recommendation of the Section 79 of the Local Government: Municipal Structures Act 117 of 1998 (RSA, 1998). This also Act allows for the co-option of advisory members to a to serve on the oversight committee, who are not members of the municipal council (RSA, 1998). To avoid conflict of interest and separation of roles and responsibilities between the executive and municipal council, it is not recommended that members of the Executive Committee be members of the Oversight Committee (Okhahlamba, Local Municipality, 2018-2019:4). In the council held in 2016, it was resolved that the Municipal Public Accounts Portfolio Committee be adopted to serve on the Oversight Committee of the Municipality (Okhahlamba Local Municipality 2018-2019:5). This was deemed necessary to strengthen good governance mechanisms in the operations of the municipality. Okhahlamba Local Municipality assigns the following responsibilities to the oversight structure of the municipality:
- c. Undertake a review and analysis of the Annual Reports and other strategic documents of the municipality:** This is necessary to ensures the implementation of policies, budgets and service delivery programs/projects of the municipality.
- d. Invite, receive, and consider inputs from councillors and portfolio committees, on the Annual Report:** This is necessary to promote stakeholder engagements and to strengthen participatory governance within the municipality.
- e. Consider written comments received on the Annual Report from the public consultation process:** This is necessary to ensures that the municipality remains responsive to public views that are oriented towards improving municipal operations.
- f. Conduct Public Hearing(s):** This is necessary to allow communities or any organ of state to submit their views and opinions in the drafting of annual reports.

- g. **Receive and consider Council’s Audit Committee views and comments on the annual financial statements and the performance report:** This is necessary to promote continued clean financial governance in the municipality.
- h. **Preparation of the draft Oversight Report, taking into consideration, the views and inputs of the public, representative(s) of the Auditor-General, organs of state, Council’s Audit Committee -and Councillors:** This is necessary to demonstrate that the municipality is in compliant with the legislative and policy frameworks that promote good governance in local government.

While the main purpose of oversight mechanisms in local government are to enforce good government and promote policy compliance, it is evident with the above-mentioned functions that the oversight mechanisms in Okhahlamba Local Municipality are also instrumental in promoting public participation and stakeholder engagements in order to ensures the sustainability of the municipality.

3.9 THE PROMOTION OF INTERGOVERNMENTAL RELATIONS IN OKHAHLAMBA LOCAL MUNICIPALITY

Chapter 3 of the South African Constitution of 1996 promotes intergovernmental system that is based on the principle of mutual cooperation between the three spheres of government, namely – local, provincial and national (COGTA, 2017:12). It is also a description of the separation of powers between the government spheres and the demarcation of their responsibilities. While each of these spheres are allocated specific responsibilities, it is expected that many other functions are shared among the three spheres. In spite of this arrangement, local government is required to enhance their administrative and financial capabilities in order to carry out the national and provincial functions (COGTA, 2017:12). This may be possible if municipalities are responsible for ensuring that available revenues are collected, resources are allocated appropriately and procurement and service delivery processes are economical, efficient, effective and equitable (National Treasury, 2016:48).

According to Williamson (2017:204) asserts that the South African system of intergovernmental relations is complex and continues to evolve as better modes of cooperation and coordination emerge and as functions are shifted between the spheres. There are specific elements that define the quest for intergovernmental relations in South Africa, including:

- a. **Accountability:** each government sphere is allocated specific constitutionally defined powers and responsibilities; and is accountable to its legislative authority. for example,

the national sphere of government may intervene in the affairs of national and provincial. The provincial government to may also intervene in local government affairs depends on whether the relevant sphere fails to carry out an executive obligation.

- b. **Transparency and good governance:** Accountability of political representatives to the electorate and transparent reporting arrangements within and between spheres is at the heart of the intergovernmental system. While political executives are responsible for policy and outcomes, the accounting officers are responsible for implementation and outputs.
- c. **Mutual support:** National and provincial governments have a duty to strengthen the capacity of municipalities. Spheres of government must also act cooperatively towards each other, for instance through avoiding legal action until all other mechanisms have been exhausted.
- d. **Revenue-sharing:** The fiscal system takes into account the fiscal capacity and functions assigned to each sphere. Provinces and municipalities are funded from own revenues, equitable share allocations, and conditional and unconditional grants. The grant system must be simple and comprehensive and not compensate provinces and municipalities that fail to collect own revenues.
- e. **Responsibility over budgets:** Each sphere of government has the right to determine its own budget and the responsibility to comply with it. To reduce moral hazard and ensure fairness, national government will not bail out provinces or municipalities that mismanage their funds, nor provide guarantees for loans.

Clearly, in assessing the relationship between the service delivery responsibilities of municipalities and the local government fiscal framework, issues of good governance are exceptionally important, hence this study endorses a view that IGR is another form of oversight mechanism in local government. The IDP practice and other strategic initiatives of Okhahlamba Local Municipality embrace the above mentioned principles in enhancing its oversight mechanisms.

3.10 THEORETICAL FRAMEWORK

The study was established along the tenets of the Public Value Theory (PVT). This theory was developed by Professor Mark Moore of the Harvard Kennedy of Government in 1995. The theory is concerned with the creation of progressive, efficient and effective public institutions contribute positive values in the lives of their constituencies (Moore, 1995:16). The

foundations of PVT can be traced to the New Public Management (NPM) which is concerned with the transformation of the public sector by embracing private sector models (Maynhardt, 2009:194). The theoretical constructs of efficiency, effectiveness, public transformation, good governance and economic use of resources are broadly conceptualized as ‘cornerstone’ for the public sector, including local government.

The essence of PVT in relation to this study suggests that oversight mechanisms in local government are the critical structures that should be prioritized to safeguard good governance and ensures adherence to ethical conduct by the officials in this sphere. Local government in the South African context has been considered as a sphere that experience major institutional challenges since its inception in 1995 (Pauw, Woods, Van der Linde, Fouries and Visser, 2009). Owing to these challenges, the sphere is regarded as failing to contribute positive values in the lives of local communities. Service delivery failure in many local municipalities is construed as a major setback to the constitutional democracy of the Republic (Buhlungu, 2017). This view stems from service delivery protests that have become a prominent feature during the second decade of South African democracy (Buhlungu, 2017).

Upholding the seminal aspects PVT in local government may contribute towards transforming community lives in order to maximize service delivery impact for local communities. Furthermore, to achieve these values, public institutions should be safeguarded by normative values that define the expectations of the government officials, civil society organization and other interested parties that are committed to social change (Thompson, 2016:38). Emile Durkheim (1964) and Marx Weber (1958) postulated that values were crucial for explaining the nature of social changes driven by public organizations. In addition to this view, values have played an important role not only in public administration, but also in other social science discipline, such as psychology, sociology and anthropology). Till date, values are used to characterize cultural groups, societies, and individuals, to trace change over time, and to explain the motivational bases of attitudes and behavior (Schwartz, 2012).

There are 4 values that are outlined by Schwartz (2012) that are rooted in this theory, namely:

- a. **Values refer to desirable goals that motivate action.** Public officials who respect the rule of law and who actions are justifiable and within institutional parameters are motivated to conform to normative values regulating their institutions.

- b. **Values transcend specific actions and situations.** For example, honest, integrity and impartiality are the main requirements for public institutions/organisations. Such values promote cohesiveness between the society and their institutions.
- c. **Values are beliefs linked inextricably to affect.** When values are imbedded in public institutions, they become integral part of the officials/authorities who serve in different portfolios in government.
- d. **Values serve as standards or criteria.** Values are necessary to guide human behaviours in order to produce acceptable outcomes. Through normative values, public officials are able to decide between good and bad behaviours and be alert to possible consequences.

It is evident with the above mentioned assertions that good values are the backdrop upon which public institution should be established. Beck Jørgensen & Bozeman (2016:98) assert that public value has preserved itself as a most fundamental topic in Public Administration owing to ability to navigate beyond government failures in contemporary societies to adopt market and private sector methods for policy implementation and service delivery. Perlman and Murphy (2008:64) observe that PVT demands a commitment that is goal oriented for government officials than those envisaged under classical Public Administration.

3.11 CHAPTER SUMMARY

This chapter was premised on extent to which oKhahlamba Local Municipality implements oversight mechanisms. The discussion covered in this chapter are evident that oKhahlamba has established reasonable oversight structures that serve to safeguard good governance in order promote efficiency, effectiveness and economic use of resources. The chapter also highlighted the role of legislation and democratic local governance practices that are the results of local government restructuring and transformation, such as IDP and public participation. The chapter concludes with the review of Public Value Theory in relation to the implementation of oversight mechanism in the public sector in general and particularly at oKhahlamba Local Municipality. The research methodology of the study is presented in the next chapter.

CHAPTER FOUR

RESEARCH DESIGN AND METHODOLOGY

4.1 INTRODUCTION

The previous chapters provided the research background, problem, literature and theoretical aspects of the study. This chapter presents the research design and methodological approach that was implemented by the researcher in order to answer the research problem and attain objectives that were set for the study. Through this chapter, the researcher attempted to generate a new knowledge that will be pertinent for local government and other government institutions to uphold the values of good governance. The chapter was necessary to operationalise the research process and concepts of research design in relation to the current study.

4.2 CONCEPTUALISATION OF RESEARCH

The concept of research is constituted by two words, namely '*re + search*', therefore, research implies a continuous investigation of facts until new knowledge is established (Pendey and Pendey, 2015:8). Research refers to the scientific enquiry that is pursued in order to excavate the social reality (Creswell, 2017:12). Research is conducted through succinct and structured methods that are destined to unearth the truth and draw conclusive findings about the study (Babbie and Mouton, 2001).

Formulating a research problem is a fundamental and initial phase in research. It is during this phase that the researcher should develop a comprehensive framework for conducting the entire study and decide on the wording, concepts in order to avoid confusion that may emerge later regarding interpretation and analysis of results (Kothari, 2005). This view is further elaborated in Sequeira (2014:17) that pre-planning for results, sifting of data and interpretation are the building block for scientific enquiry. Willemse (2015:65) explains that research is necessary to develop and understanding of social reality and social processes as well as to examine and validate theories. Meyers (2009) explains that research is conducted for the purpose to:

- a. Add value to the body of knowledge within a specific discipline/fraternity;
- b. Ascertain the validity and evaluate hypotheses;
- c. To broaden the scope of knowledge and share findings in appropriate manners; and
- d. Design questions for the enquiry.

Gounder (2012:42) reiterates that undertaking a research activity implies that:

- a. **It is guided by a set of research paradigms (research philosophies or worldviews):** this implies the selection of qualitative and quantitative approaches or the combination of both in the study and their alignment with the field of study and the problem that is explored in the study.
- b. **It is conducted within the framework of standard procedures, methods, and approaches:** implies that proper and scientific procedures have been followed and that the research objectives are adequately addressed.
- c. **The researcher is neutral, objective and unbiased in all processes that inform the study:** implies that conclusions are drawn without infiltrating the researcher's personal interests.

It is evident through the conceptualisation of research that it is a formal and academic activity that is necessary to solve social problem. This current study was designed as an assessment of oversight mechanisms in local government in order to enhance good governance with specific reference to Okhahlamba Local Municipality. The study was significant to enhance service delivery in order to fulfil the community needs. The next sub-heading elucidates the concept of research methodology.

4.3 RESEARCH METHODOLOGY

Research methods and research methodology are two different concepts that are often confused in terms of their application. For Bless and Higson-Smith (2015:34), the fundamental difference between these concepts is that *research methods* refers to the methods that are chosen by the researcher to answer the research problem, while *research methodology* explains the scientific processes that are deemed by the researcher to be relevant for a particular research problem being pursued in the study. Furthermore, "*research methods involve conduct of experiments, tests, surveys and the like. On the other hand, research methodology involves the learning of the various techniques that can be used in the conduct of research and in the conduct of tests, experiments, surveys and critical studies*" (Bless and Higson-Smith, 2015:197).

Creswell (2016) explains research methodology as a technique used by researchers to collect, organise and analyse data, and that the methodology employed in the study is determined by research problem and questions. Furthermore, Blumberg, Cooper and Schindler (2011) postulate that research methodology is important to guide correct theoretical framework and scientific decisions for answering the research problem.

4.4 THEORETICAL FRAMEWORK FOR RESEARCH DESIGN AND METHODOLOGY

The theoretical framework for research design and methodology serves as a ‘cornerstone’ for the collection, control and analysis of data. Authors, including Verma and Malick (1999:6). The theoretical perspective in the current study is imperative to inform the methodological approach and thus shed light of research processes. Blumberg, Cooper and Schindler (2011:36) endorse the view that the role of the theory in research is to enhance research methods and guide researchers towards drawing conclusive findings. Additionally, Artino (2018:65) postulates that research theories or paradigms are necessary in the study to monitor scientific discoveries through their assumptions and principles and point to the gaps in the quest knowledge generation. According to Best and Khan (2006:10) the theory explain relationships between the variables that are investigated in the study and attempts to explain future implications and predict possible concurrences. The theory is therefore necessary to stimulate and advance search for new knowledge (English and Maclean, 2005:17).

Theory should therefore guide the research and formulate a framework of action and understanding (English and Maclean, 2005:17). In addition to theoretical underpinnings, researchers are required to conduct the studies within the precepts of the established philosophies or paradigms. The general overview of research philosophies is explained in the ensuing section. The philosophy that guided the development of this study (positivism) is also reflected in the next section. It also addresses the philosophical assumptions of positivism, namely, ontology, epistemology and axiology.

4.4.1 POSITIVISM

In conducting this study, the researcher was influenced by the view that research is solid and concrete when it uses scientific methods to discover social facts. For this reason, the positivist philosophy was adopted. The positivist research philosophy was inaugurated by Augustus Comte in the 19th century. The philosophy is concerned with knowledge production in a manner that is reliable and trustworthy (English and Maclean, 2005). Its deals with critical judgements in addressing research problem (Artino (2018:65). According to the view of positivist researchers, research is trustworthy only if it is based on factual information that is gathered through observation of tangible social realities. (Best and Khan, 2006)). This philosophy is also influenced by belief that only scientific knowledge can establish facts about social reality. In the context of this study, the positivist view may opt to deal with complex realities that affect local government such as leadership failure, political interference, service

delivery failure and fraud and corruption. These are contemporary social realities that require real-life solution as purported by positivist ideology rather than causal imaginary constructs that are invisible to societies (Artino, 2018:65).

4.4.2 ONTOLOGICAL VIEW OF POSITIVISM

Ontology is generally conceptualized as a 'science of being' (Crotty: 2003:10). It is concerned with the reality of the world that is investigated by researchers. Guba and Licolin (2011:53). It is also concerned with realities and facts that shape the physical world. The ontological assumption seeks to answer questions such as "what are the social phenomena that worth to be known?" Ahmed (2008) avers that researcher's ontological position in a study should adopt the view that the world that is investigated inhabited by humans with their own through and who possess their interpretations and generate their meanings about the physical world. This view deviate from unethical and biased research tendencies. In approaching this study, the researcher emulated the ontological view that the findings of the study would be accurate and reliable when research participants were given opportunities to express their view local government operations that may yield positive results for service delivery.

4.4.3 EPISTEMOLOGICAL VIEW OF POSITIVISM

Epistemology is the science of how knowledge is generated to shape the world. The philosophy is mainly concerned with justifications, rationality and beliefs about knowledge production (Ahmed, 2008). For Artino (2018:72) epistemology is concerned with the way in which researchers interpret the world and make sense of it. It is also about the generation of knowledge, and necessarily defines 'what constitute the processes for knowledge generation'. It further manifests the understanding of what knowledge entails in terms of its scope and legitimacy. In developing knowledge that worth addressing research problems, researchers may pose the questions of 'what is considered to be normative/acceptable knowledge in a particular discipline (Bryman, 2008). In relation to the current study, it is anticipated that findings will contribute new insight to the body of knowledge in the field of Public Governance and further assist municipalities to enhance their oversight mechanisms in order to benefit service delivery to communities.

4.4.4 AXIOLOGICAL VIEW OF POSITIVISM

The concept of axiology echoes the role of ethical conduct and normative values in the research process. According to Artino (2018:72) the questions of how researcher observe ethical considerations in research processes is of paramount importance. Neumann (2014:303) asserts that researcher's values in research are important in all stages if the findings are to be credible

Bryman (2008) contends that the choice of philosophy in the study reflects researcher's values about research. For example, the study involving interviews denotes researcher's belief on social interactions in the quest for knowledge development.

4.5 RESEARCH METHODOLOGY

Qualitative methodology is concerned with the methods of collecting, organizing, sifting and analysis empirical data (Williamson (2015:65). Additionally, the concept of research methodology is explained as a method or procedure through which the enquiry should be conducted (Schwardt, 2007:195). Creswell and Tashakkori (2007), and Teddlie and Tashakkori (2007), research methodology provides an insight into a nature of research problem that worth investigation. Research methodology is also a strategy that encompasses research design and the underlying philosophy for data collection (Creswell, 2014:61). Researchers distinguish between 3 types of methodologies, namely qualitative, quantitative and mixed methodologies. The current study is established along qualitative methodology; however, all 3 methodologies are discussed hereunder for ease of understanding.

4.5.1 QUALITATIVE METHODOLOGY

Qualitative methodology researchers rely on inductive and logical approaches of data collection (Bless and Higson-Smith, 2014:15). According to Creswell (2009:108) researchers may opt for this type of research (qualitative methodology) when they want to develop theories or hypothesis and a deeper understanding of the phenomena being interrogated in the study. The strength of qualitative methodology lies with its interpretive and naturalistic approach to the world (Creswell, 2009). For example, qualitative researchers prefer to interrogate research problem in its natural settings and make sense of its through attaching interpretations. Furthermore (Denzin and Lincoln (2005:10) assert that qualitative research implies an emphasis on non-experimental, interpretative and non-measured examination of the research problem. In conducting this study, the researcher employed qualitative approach in which research processes were person-centred in order to develop an understanding of human experiences as far as local government oversight mechanisms are concerned. This was imperative for the generation of unbiased and conclusive results of the current study. The characteristics of the study are listed by Maree (2016:108) as follows:

- a. Qualitative research is conducted through scientific methods and specialises in verbal, non-numerical, observational and face-to-face encounters between researchers and their respondents.

- b. Qualitative research method caters detailed responses in which respondents are encouraged to express their view in great lengths.
- c. The enquiry takes place in a natural setting and respondents respond to open-ended questions rather than close ended-questions.
- d. Qualitative methodology is exploratory. The focus is on '*why and how*' of the phenomena and now '*how much*' it happens.

Owing to the nature of the research problem and research objectives of the current study, qualitative methodology was deemed relevant to draw the conclusions about problem being pursued.

4.5.2 QUANTITATIVE METHODOLOGY

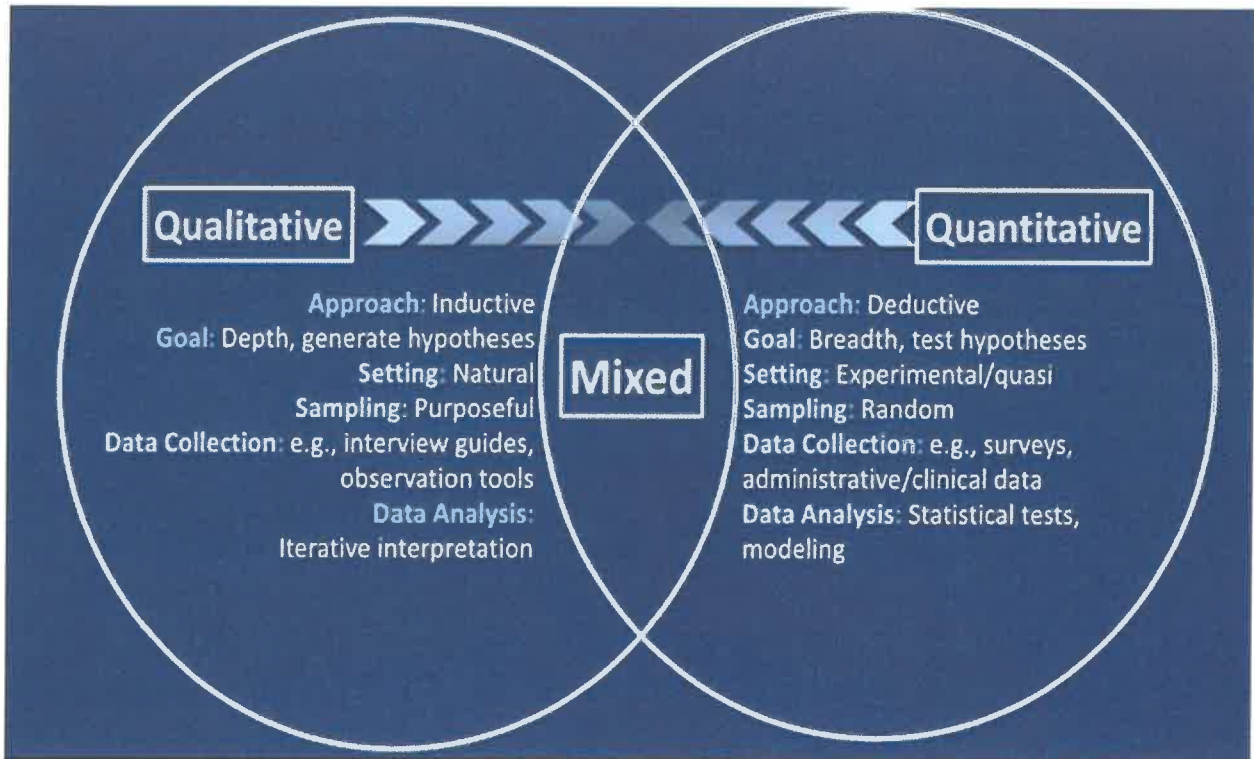
Van der Merwe (1996) explains quantitative methodology as a research approach that deals with the testing of theories, hypotheses, ascertaining facts and examines relationships between variables. Furthermore, due to its descriptive nature, quantitative methodology may be able to predict outcomes of the study (Maree, 2016). Quantitative research uses methods from the natural in quantitative methodology, respondents are randomly selected in an unbiased manner. Ellis and Steyn (2009: 24) maintain that The techniques used in quantitative research include random selection of research participants from the study population in an unbiased manner and in which questionnaires are standardized order to maintain consistency. The researcher in quantitative research is external and indirectly involved and its results are highly possible to be replicable.

4.5.3 MIXED METHODOLOGY

The foundations of mixed methods can be traced to the field of social sciences. However, it has recently been extended to other field such as health, pharmacy and medicine studies (Creswell and Plano Clark, 2011). The concept of "mixed methods" refers to a type of research that specialises on the integration of qualitative and quantitative approaches within a single study. The fundamental thrust of mixing qualitative and quantitative strengthens the outcome of the enquiry by providing more solid conclusive finding (Creswell and Plano Clark, 2011). The process in mixed methodology involves the reliance on rigour, testing of hypothesis, generating results in the form of verbal and numerical data (Creswell and Plano Clark, 2011).

Figure 4 below provides summary of the key characteristics of quantitative, qualitative and mixed methods.

Figure 4: Characteristics of Qualitative, Quantitative and Mixed Methodologies



Source: McMillan and Schumacher (2016)

4.6 RESEARCH STRATEGY

According to Creswell (2014:101), research strategy provides a practical guide on the execution of research using logical and step-by-step plan in order to address research problem and achieve objectives of the study. Saunders et al (2009:600) conceptualized research strategy as a detailed framework revealing the plan of the researcher to address research questions. Similarly, Bryman (2008:72) explained research strategy as a ‘road-map’ guiding the successful conduction of the research. The conceptualization of research strategy suggests the need for careful planning and the consideration of logical and comprehensive planning in order to generate findings of the study.

In the case of this study, a case study approach was adopted as a research strategy. According to Yin (2003:227) case study refers to the scientific and empirical investigation that is centred on a specific phenomenon within its real-life context. Other authors, such as Dul and Hak (2007) explain case study research as defined case study as “a technique that seeks to navigate a phenomenon in its natural setting through the utilisations of carefully considered methodologies in order to generate in-depth knowledge. Therefore, it can be deduced that a case study accommodates different research methodologies in order to answer the research

problem. In the context of the current study, a case study analysis of Okhahlamba Local Municipality was considered in order to provide an in-depth analysis of oversight mechanisms in local government with the view to understand their roles in enhancing good governance.

4.7 DATA COLLECTION INSTRUMENTS

Deciding on data collection instrument is another important consideration in the study. This consideration is also imperative to reflect how the research problem was addressed in order to draw conclusions of the study. Owing to the qualitative nature of the current study, the researcher explored the data collection instruments that are concomitant with qualitative methodology, namely qualitative interviews. The selected data collection instruments were necessary to reflect the following aspects in this study:

- a. **Validity** is the ability of data collection collect data that is a true reflection of the phenomenon being explored (Blumberg, 2017)
- b. **Reliability:** Refers to the consistency of a research instrument to produce same results over time (Blumberg, 2017)
- c. **Integrity:** refers to the objectivity of research instruments to produce results that are dependable and ethically approved (Blumberg, 2017)

The above listed aspects served as a yardstick in this study towards ensuring valid and reliable research findings of the current study. The data collection instruments of the study are covered in the ensuing section.

4.7.1 RESEARCH INTERVIEW

Interviews are a commonly utilized instrument to establish interviewees experiences, ideas and inner thoughts about a topic of interest to the interviewer. Interviews are relevant data collection tool when the researchers seek to solicit information relating to the interviewees experience about the phenomenon being pursued in the study (Creswell, 2016). The strength of inter views lies with the probing and follow-up questions which are based on the interrogation of interviewees to get clarity on the response (Dul and Hak (2007). Qualitative interviews are also based on unearthing facts and meaning of variables that guide the study (Kvale,1996). There are 3 types of qualitative interviews, namely: structured, unstructured and semi-structured interviews. These 3 types of interviews are discussed hereunder.

4.7.1.1 STRUCTURED INTERVIEWS

Structured interviews are applicable in qualitative methodology as a data collection strategy (Hennings, 2010:63). This type of interviews is based on the set of standardized questions that have been formulated in advance. Researchers in structured interviews are required to maintain uniformity with questions. Creswell (2016:113) advises that researchers unstructured interviews set questions in advance in order to be guided by predetermined set of questions without any alteration. The method to conduct structured interviews include face-to-face and telephonic conversation. The use of modern technologies is also concomitant with structured interviews, these include conversations through Zoom and MS Team platforms. These methods were essential for this study owing to the period of COVID-19 which required the researcher to maintain social distancing with the respondents. The participants for the current study were reached telephonically. The process of data collection involved structured interviews. The interviews were aimed at soliciting their views and opinions on the roles of the oversight mechanisms in local government.

4.7.1.2 UNSTRUCTURED INTERVIEWS

Unstructured interviews are also referred to as ‘informal conversational interview’, ‘in-depth interview’, or ‘unstandardised interview’, (Marce, 2018). For this reason, the interviewer approached interviews exercise without any predetermined theoretical grounding or questions about social realities (Mouton, 2014:12). Unstructured interviews are a direct opposite to structured interviews in that there is not recommended sequence in the structuring of questions (Newman, 2012:116). This view is also articulated in Bless and Higson-Smith (2013) that structured interviews do not comply with the sequencing of questions. The questions may focus on the unlimited themes of the study being pursued by the researcher.

4.7.1.3 SEMI-STRUCTURED INTERVIEWS

Semi-structured interviews allow for flexible conversation between researchers and respondents regarding the identified problem statement. Tashakori, and Teddlie, (2010:18) advise the when conducting semi-structured interviews, researches may begin with observation, informal interviewing in order to establish understanding of the study. Since semi-structured interviews are based on open-ended questions, the conversation may shift from interview guide, and focus on matters that were not set at the initial stage of the study (Bless and Higson-Smith, 2013).

4.7.2 RESEARCH QUESTIONNAIRES

Due to the qualitative nature of the study, research questionnaires were not used, however they are discussed in this study for ease of understanding. The questionnaires are defined as data collection strategy, involving a series of questions that are open-ended and/or close-ended for respondents to answer (Potgiter & Lindley, 1999:91). They are considered to be relevant when the researcher conducts a study that covers a wide geographical area, including multiple stakeholders. The response rate tends to be high in questionnaires, especially when the respondents are interested in the subject of research (Bertram & Christiansen & 2014).

The sampling procedures in research, and particularly in the current study are discussed in the following section.

4.8 RESEARCH SAMPLING

Bernard (2009:28) commented that “data collection phase is crucial in any investigation”. This is due to the understanding that the data contributes to the broad understanding of the theoretical framework adopted in the study. For this reason, it becomes crucial for researchers to identify a relevant sampling technique. Creswell (2016) also avers that Determining research population and research sample are critical decisions that should be made by researchers before data collection. This stage in research may be determined by resources and timeframes for the study. In terms of definition, research sample is explained as technique to decide on the number and characteristics of research participants (Creswell, 2014).

The selection of research participants in qualitative studies is informed (Bertram and Christiansen, 2014) by their level of understanding of the problem investigated in the study and their passion for the subject of investigation. Henning (2012) advise that research samples should be representative of the population in order to attain generalized findings. For the purpose of this study, research a total of 12 subjects were selected from oKhahlamba Local Municipality for participation in the study. The rationale for their selection was informed by their understanding and passion of the subject matter. Furthermore, the subjects were directly or indirectly linked to oversight mechanisms on the basis of service delivery, financial management or any strategic position in the municipality. There are two main types of research sampling, namely probability and non-probability sampling.

4.8.1 PROBABILITY SAMPLING

Probability sampling can be explained as a type of sampling in which research subjects stand for fair chances for selection in the study. This implies that the researcher may not consider

any characteristics, such as gender, age group, racial background, income status etc. Henson (2014:76) comments that probability sampling is associated with the randomization system of selecting samples, in which a method is formulated to guide the selection of subjects in a manner that avoids biasness.

- a. **Simple random sampling:** research subjects are randomly selected for maximum participation in the study. The strength of this sampling method lies with its zero chances for researcher's subjectivity and personal error (Tashakori, and Teddlie, 2010:18).
- b. **Systematic sampling:** this sampling frame is based on the supply of information about a relevant sample for consideration in the study (Henning, 2012).
- c. **Stratified sampling:** The application of this sampling frame involves the division of research population into smaller strata (Homogenous groups) in which researchers may choose predetermined number of subjects (Mouton, 2014).
- d. **Cluster Sampling:** This sampling strategy is used for larger samples in which the researcher divides the population into smaller clusters. Its advantage involves channelling researchers' concentration to a specific section of geographical areas of the study, and thus saves time and costs. In addition, De Vos et al (2011:230).

The selection of appropriate sampling procedure is important to identify relevant samples that assist to draw conclusive findings in the study. The non-probability sampling is discussed in the section below.

4.8.2 NON-PROBABILITY SAMPLING

According to Bertram and Christiansen (2014), non-probability is premised on the philosophy of identifying research subjects for participation in the study based on the researcher's judgement. In this sampling method, researchers use their personal judgment or knowledge to select participants that are deemed relevant for participation in the study. In the case of the current study, the researcher used his knowledge of local government system in South Africa to identify municipal officials that are involved in oversight mechanisms in Okhahlamba Local Municipality. The researcher adhered to research ethics, personal integrity and professionalism to avoid biasness and conflict of interest in selecting the sample. Non-probability sampling consists of the following sampling methods:

- a. **Convenience Sampling:** Convenience sampling involves the selection of subjects based on their readiness and availability to participate in the study (Bougie and Sekaran, 2013). In this sampling methods, researchers are warned against selecting subjects who are conveniently available but do not have knowledge of the phenomenon being investigated (Bougie and Sekaran, 2013). This may distort findings of the study. In addition, in convenience sampling, researchers do not approach data collection stage with a clear determination of sampling requirements, rather a first available subject is considered.
- b. **Purposive/Judgmental Sampling:** In this sampling method, the selection of research subjects is determined by the researcher based on their characteristics that fit the purpose of the study (De Vos, 2011). This sampling method allows researchers to use their discretion/deliberate choice to decide on research informants (Creswell, 2016). This sampling was also of great relevancy to this study because the researcher relied on the information provided by the key informants in relation to oversight mechanisms in local government.
- c. A total of 12 informants was drawn from oKhahlamba Local Municipality. They included, 3 members of the municipal audit committee, Chief Financial Officer (CFO), 5 managers in PMS, IDP, LED, Public Participation and Co-operative Services Units, and 3 members of the Portfolio Committee. The information provided by these official was imperative to shed light on the oversight mechanisms of the municipality, current and future plans to safeguard good governance and promote inclusive service delivery.
- d. **Snowball Sampling:** This sampling methods is also known as chain referral. It is used in studies that involve samples with unique personalities and that are rare to reach. The procedure involves the identification of the first subject who will then refer the researcher to other subjects sharing the similar traits (Creswell, 2016).
- e. **Quota Sampling:** Quota sampling is a method in which the researcher identifies subjects in their designated quotas who share similar characteristics that are relevant to the study being pursued (De Vos, 2011). Every subjects in their designated quotas have equal chances for participation in the study.

The analysis of the collected data was analysed using thematic analysis which is discussed in the next section.

4.9 DATA ANALYSIS METHOD

The procedure in data analysis involves the conversion of raw data into tangible facts. Clark (2006) explain that the rationale for data analysis is to simplify and categorise the collected data in order to decide on the useful information collected from the field. Furthermore, (Bougie and Sekaran, 2013) state that quantitative and qualitative data have common purposes, including:

- a. Simplify, describe and sift the data;
- b. Examine relationships between the variables; and
- c. Conduct comparative analysis of variables.

Owing to the qualitative methodology that guided the study, data was analysed through thematic analysis which is discussed below.

4.9.1 THEMATIC DATA ANALYSIS

The data collected through qualitative methods needs interpretations. This suggests the needs for the coherent and logical simplification of qualitative data. Thematic analysis is one of the procedures that are used to simplify qualitative data (Denzil and Lincoln, 2005).

According to Pera and Van Tonder (2011) thematic analysis is a terminology in qualitative data analysis for simplifying, classifying data patterns according to themes or categories that may be deemed relevant by the researcher. The researcher may then use such themes/categories to develop arguments in a way that responds to the research problem (Pera and Van Tonder, 2011). Through thematic analysis, the researcher is able to determine precisely the synergies between concepts theoretical framework and data. The use of thematic analysis allows the researcher to analyse the themes in relation to literature and theoretical framework of the study (Bougie and Sekaran, 2013). Denscombe (2010) mentions 3 principles that may promote efficiency and effectiveness of qualitative data, namely:

- a. The first principle involves the categorization of raw data into a succinct structure, this will require the consolidating of oral data into charts and tables.
- b. The second principle involves the organizing of data according to research objectives, and
- c. Thirdly, the sifted data should assist the researcher to develop a theory or improve the theoretical basis of the study.

The above 3 principles were strictly implemented in this study. The researcher categorized data in a manner that responds to the problem statement. The alignment between research objectives and data was ensured. Finally, the researcher was able to use collected data to enhance the theoretical foundations of the study.

The ethical considerations of the study are discussed in the section below:

4.10 ETHICAL CONSIDERATIONS

The promotion of ethical values in research is a primary responsibility of the researcher conducting the study (University of Gloucestershire, 2020). Ethical considerations in research imply continuous respect and commitment to the protection of the research subjects. This is due to the fact that research is manifested in respect and trust between research subjects, research institutions and various academic stakeholders (Bertram and Christiansen, 2014). In conducting this study, the researcher observed a number of ethical guidelines including:

- a. **Protection of participants:** The protection of research subjects is an important consideration in the study (Denzil and Lincoln, 2005). In qualitative studies, the protection of subjects has particular importance due to the nature of data collection process which require close interaction between researchers and their subjects. Yin (2009) explains that ethical consideration become more salient when face-to-face interviews are involved in the enquiry. In the case of this study, the researcher refrained from asking sensitive questions that would have reinvigorated their emotions.
- b. **Informed consent:** According to Creswell, (2016) the research exercise should be based on a free will of research subjects in which they consent is given. This also implies the granting of subject's autonomy in research. Jansen and Vithal (2015:104) highlights the importance of the consideration of power imbalances between researchers and subjects. Researchers should be able to disclose to their subjects the nature of the study being conducted and what will happen to the data provided by subjects once the study has been completed. In the case of the current study, the research established a strong rapport with subjects and indicated that the study was for academic purposes only. In this regard, they signed informed consent as a symbol to declare their willingness to participate in the study.
- c. **Confidentiality and Anonymity:** the research ethics allows subjects to remain anonymous and for their information to be treated with high degree of confidentiality

(Babie and Mouton, 2000). In the case of this study, the study used secrete coding to analyse information that was revealed by the subjects.

4.11 CHAPTER SUMMARY

This focus of this chapter was on research methodology and design. The entire research process of the study was informed by positivists world view. In terms of methodology, the study was qualitative in which a sample of 12 participants was reached through purposive/judgmental sampling technique. Structured and semi-structured interviews were used to collect data for the study. The chapter concluded with the ethical guidelines that were observed in conducting the study.

CHAPTER FIVE

DATA PRESENTATION, ANALYSIS AND INTERPRETATIONS OF FINDINGS

5.1 INTRODUCTION

Following the chapter on research methodology and design which is presented in the previous chapter, this current chapter was premised on data presentation, analysis and interpretation of findings. Primary data was collected using qualitative methodology. For this reason, the data is analysed through thematic analysis and presented through key thematic areas that addresses research problem and responds to the objectives of the study. The chapter begins with the review of the case context of oKhahlamba Local Municipality and proceeds to establish correlations between the literature, theory and empirical finds.

5.2 CASE CONTEXT OF OKHAHLAMBA LOCAL MUNICIPALITY DISTRICT MUNICIPALITY AND DOCUMENTARY EVIDENCE

OKhahlamba Local Municipality is one of the local municipalities that fall under uThukela District in the Province of KwaZulu-Natal. It was established in 2000 as per the recommendations of the Local Government: Municipal Structures Act 117 of 1998 which makes recommendation for municipal demarcations through South African boundaries (RSA, 1998). The study used a case study approach of oKhahlamba Local Municipality to establish the roles of oversight mechanisms to enforce good governance for the benefit of service delivery. Socio-economic inequalities which are manifested through poverty, illiteracy and unemployment are the main challenges facing the municipality (Okhahlamba Local Municipality, 2018). The strategic approach of the municipality to turn around its socio-economic challenges includes investments in agriculture, manufacturing, trade, commerce and tourism (Okhahlamba Local Municipality, 2018). These economic sectors form the economic base for the municipality. The municipality regards the implementation of NDP and SDGs in 2030 as critical aspects that will improve the standard of living for the majority of its approximately 135 000 citizens (Okhahlamba Local Municipality, 2018). The map below in figure 5 reflect oKhahlamba Local Municipality.

Figure 5: Map Showing Okhahlamba Local Municipality and its Surrounding Town



Source: Adapted from: <https://municipalities.co.za/districts/view/23/uThukela-District>.

Interconnection between research objectives, research questions, and the interview questions that were used to collect data

Table 3 below shows Interconnection between research objectives, research questions, and the interview questions that were used to collect data.

Table 3 Interconnection between the Research Objectives, Research Questions and the Interview Questions

Research Objectives	Research Questions	Interview Questions
1. To explore the role of the various oversight structures in improving service delivery in Okhahlamba Local Municipality;	1. What are the role of the various oversight structures to improve service delivery in Okhahlamba Local Municipality?	1. What is the role of the oversight committee in relation to service delivery and other strategic operations of the municipality?
2. To examine the extent to which legislative and policy framework promotes public participation and oversight mechanisms in local government.	2. To what extent does the legislative and policy framework promotes public participation and oversight mechanisms in local government?	2. What is the level of efficiency for local government legislation to promote public participation in the municipality and oversight mechanisms in the municipality?
3. To describe the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality	3. What are the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality?	3. What are the contributions of the local government restructuring and transformation in improving service delivery operations in oKhahlamba Local Municipality?
4. To draw conclusions and submit recommendations for improving the oversight mechanism in local government generally and more specifically in oKhahlamba Local Municipality	4. What conclusions can be drawn in order to submit recommendations for improving the oversight mechanism in local government generally and more specifically in oKhahlamba Local Municipality?	4. What proposals can you suggest for the public sector in order to ensure a no-hustle supply chain that is not seen as biased and does not encourage procurement fraud?

Source: Fieldwork enquiry (2020)

In line with the problem statement of the study, table 3 above depicts the objectives of the study to develop a deep understanding of oversight mechanisms in local government, with specific reference to oKhahlamba Local Municipality. it further shows that research interviews were formulated in concomitant with the research objectives and key questions that guided the study.

Table 4: Collaboration between the Theoretical Framework, Research Objectives, Research Questions and the

Interview Questions

Constructs of Public Value Theory	Research Objectives	Research Questions	Interview Questions
Public value	1. To explore the role of the various oversight structures to improve service delivery in Okhahlamba Local Municipality;	1. What are the role of the various oversight structures to improve service delivery in Okhahlamba Local Municipality?	What values is contributed by oversight structures in regulating local government affairs in South Africa in general and particularly in oKhahlamba Local Municipality?
Efficiency and effectiveness	2. To examine the extent to which legislative and policy framework promotes public participation and oversight mechanisms in local government.	2. To what extent does the legislative and policy framework promote public participation and oversight mechanisms in local government?	What is the level of efficiency for local government policies to promote public participation in the municipal area of jurisdiction?
Public sector transformation	3. To describe the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality	3. What are the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality?	What type of support is provided by the municipal council in order transform and enhance proficiency of oKhahlamba Local Municipality?
Best practices and good governance	4. To draw conclusions and submit recommendations for improving the oversight mechanism in local government generally and more specifically in Okhahlamba Local Municipality	4. What conclusions can be drawn in order to submit recommendations for improving the oversight mechanism in local government generally and more specifically in Okhahlamba Local Municipality?.	What conclusions can be drawn in relation to the role of oversight mechanisms in entrenching good governance and best international practices in the South African local government sphere?

Source: Fieldwork enquiry (2020)

As shown in table 4 above, the researcher aligned the theoretical framework of the study with research objectives, questions and interview questions. The theoretical foundations for the study were necessary to contribute to the understanding of oversight mechanisms in regulating good governance in local government. The interview questions were framed in a manner that probed the influence of oversight mechanisms in uKhahlamba Local Municipality to promoting good practice and the enhancement of service delivery. The emerging themes from qualitative data are presented in the next section.

Table 5: Interaction between Emerging Themes and Sub-themes with Research Objectives and Research Questions

Research Objective One	Research Objective Two	Research Objective Three	Research Objective Four
<p>To explore the role of the various oversight structures to improve service delivery in Okhahlamba Local Municipality;</p>	<p>To examine the extent to which legislative and policy framework promotes public participation and oversight mechanisms in local government.</p>	<p>To describe the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality</p>	<p>To draw conclusions and submit recommendations for improving the oversight mechanism in local government generally and more specifically in oKhahlamba Local Municipality</p>
<p>Research Question One: What are the role of the various oversight structures to improve service delivery in Okhahlamba Local Municipality?</p>	<p>Research Question Two To what extent does the legislative and policy framework promote public participation and oversight mechanisms in local government?</p>	<p>Research Question three: To describe the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality</p>	<p>Research Question four: What conclusions can be drawn in order to submit recommendations for improving the oversight mechanism in local government generally and more specifically in OKhahlamba Local Municipality?</p>
<p>Emerging theme one</p> <ul style="list-style-type: none"> • Promotion of efficiency and effectiveness in the municipality. 	<p>Emerging theme two:</p> <ul style="list-style-type: none"> • Legitimisation of service delivery practices. 	<p>Emerging theme three:</p> <ul style="list-style-type: none"> • Modernisation/improvement of governance systems at community levels. 	<p>Emerging theme four:</p> <ul style="list-style-type: none"> • Enhancement of monitoring and evaluation systems.
<p>Sub-themes:</p> <ul style="list-style-type: none"> • Service delivery planning, • Capacity development, • Public participation, and • Advisory roles. 	<p>Sub-themes</p> <ul style="list-style-type: none"> • Service delivery innovations, • Service delivery regulations. 	<p>Sub-themes</p> <ul style="list-style-type: none"> • Incapacitations, resource scarcity, • Assimilation of best service delivery practices. 	<p>Sub-themes</p> <ul style="list-style-type: none"> • Promotion of political will and buy-in from various political affiliation constituting the municipal council

Source: Data interpretation and analysis (2020)

Table 5 above shows the interconnectedness between research themes and sub-themes. The data was broken down into thesmand sub-thems in order to allow for the clear presentation of data. The themes were further aligned with each objective for the study.

Data presentation, analysis and interpretation are covered in the ensuing discussions.

5.3 DATA PRESENTATION, ANALYSIS AND INTERPRETATIONS

Data presentation, analysis and interpretation is a critical phase in qualitative methodology (Leech and Onwuegbuzie, 2011:17), it is where researcher strive to make sense of the raw data. Lambert (2017:56) explain data presentation and analysis as a process involving a careful examination of data. This process also involves data reduction, demonstration and the cross-checking of facts emerging from data. This phase is labour intensive and time consuming because, by nature qualitative data relies on interpretations, simplifications and categorization of data (Creswell, 2009). According to Mouton (2015:319), procedurally, qualitative data is simplified and categorized into themes for ease of analysis and interpretation.

The data for the current study were collected through structured and semi-structured interviews. This necessitated a careful examination of research subject's view and the systematic presentation of data in a manner that respond to the study objectives and address problem statement. The collected data was intended for the assessing the role of oversight mechanisms in oKhahlamba Local Municipality with the view to enhance good government and benefit service delivery to communities. The process of conducting interviews involved extensive planning of approaches to reach research subjects. The purpose of interviews was explained to them (research subjects) and were required to sign the informed consent to indicate their voluntary participation in the study.

The interview schedule consisted of two sections. For example, Section 'A' was aimed at soliciting demographic information (gender, educational qualifications, employment status in the municipality etc.) of the officials that play oversight role at Okhahlamba Municipality. Section 'B' was focused on soliciting information of activities that are generally performed by oversight mechanisms in local government.

Out of 16 planned interview session with the officials, a total of 12 were successfully conducted, which 75% response rate. However, in terms of interview response rate, Visser (2011:56) explains that the evidence suggests that some studies with low response rates, even as low as 20%, are able to yield more accurate results than studies with response rates of 60% to 70%. The reason for non-

participation for some respondents in this study might be attributed to the fact that the study was conducted during era of the COVID-19 pandemic, and most municipal employees were not available in their workstations. Generally, the findings of the study suggested a positive role of the oversight mechanisms to regulate internal operations of oKhahlamba Local Municipality. The findings further suggested that improving service delivery in the municipality will need for strong political will and the buy-in from the wide range of municipal, stakeholders. Qualitative findings of the study are presented in the next section below.

5.4 PRESENTATION OF QUALITATIVE DATA

The findings presented below were solicited through qualitative methodology in which structured and semi-structured interviews were conducted with the municipal officials of oKhahlamba Local Municipality. These officials included: 3 members of the municipal audit committee, Chief Financial Officer (CFO), 5 managers in PMS, IDP, LED, Public Participation and Co-operative Services Units, and 3 members of the Portfolio Committee. Fusch, Fusch, and Ness, (2018, cited in Qwabe, 2020) explains that qualitative researchers are interested in describing unique data patterns in order to give them meanings that are non-numeric. Table 6 below presents the description of research subjects for the current study:

Table 6: Participants in the study

Participants	Area	Number of Participants
Audit Committee members	oKhahlamba Local Municipality	3
Chief Financial Officer	oKhahlamba Local Municipality	1
Manager: IDP	oKhahlamba Local Municipality	1
Manager: LED	oKhahlamba Local Municipality	1
Manager: PMS	oKhahlamba Local Municipality	1
Manager: Public Participation	oKhahlamba Local Municipality	1
Portfolio Committee members	oKhahlamba Local Municipality	3
Manager: Corporative services	oKhahlamba Local Municipality	1
Total		12

Source: Fieldwork enquiry (2020)

The participants for the study were conducted during the period of COVID-19 in September 2020. In compliant with disaster management regulations that promotes social distancing interviews were conducted telephonically. The collected data was then analysed using thematic analysis.

The analysis of data is presented through matrices below. The presentation of data is also aligned with research objectives that informed the current study.

Matrix 5.1: Composition of Oversight Structures of oKhahlamba Local Municipality

Inductive categories	Summary of responses	Sources
Constitutional requirements	<i>The composition of oversight mechanisms is in response to section 179 of the 1996 Constitution.</i>	MO3,
Stakeholder engagement	<i>“Oversight committees are constituted by political office bearers, eternal stakeholders representing Audit committees, risk management committees”</i>	MO8

Source: Fieldwork enquiry (2020)

The findings reflected in matrix 5.1 above responded to the overall aim of the current study which was to contribute to the knowledge base for the rationale of the implementation of oversight structures in local government which specific reference to oKhahlamba Local Municipality. The study revealed that the establishment of oversight mechanisms at oKhahlamba Local Municipality is informed by section 179 of the 1996 Constitution of the Republic of South Africa. This structure is also informed by the Municipal Financial Management Act 56 of 2003, which require municipalities to devise internal and external control mechanisms in order to safeguard the values of good governance. The findings further reveal that the appointment of councillors to serve in the municipal public accounts is another serve to strengthen the accountability within the municipality. Concerning oversight mechanisms in local government, Schaeffer and Yilnaz (2017:9) observe that the success of local government in South Africa depends on the existence of strong control systems that assist municipalities to execute their service delivery mandate.

Matrix 5.2: The role of oversight mechanisms in service delivery improvement at Okhahlamba Local Municipality

Inductive categories	Summary of responses	Sources
Good governance/ service delivery planning	<p><i>“Oversight mechanisms are responsible for the implementation of good governance”.</i></p> <p><i>Oversight mechanisms leads service delivery planning initiatives of Okhahlamba Local Municipality</i></p>	MO1, MO3, MO9
Compliance	Oversight mechanisms enforce compliance with institutional policies and values of effective, efficient and economic use of resources.	MO7, MO12, MO11
Fraud and corruption	Specialising in rooting-out of fraud and corruption and promote the responsive nature of local government to service delivery needs for communities	MO1, MO5,

Source: Fieldwork enquiry (2020)

The findings presented in matrix 5.1 respond to the first objective of the study which sought to understand the roles of oversight mechanisms at uKhahlamba Local Municipality. The empirical findings of the study established that oversight mechanisms serve to enforce good governance in order to maximize service delivery impact at community levels. These findings are further aligned with the view that “oversight mechanisms are democratic structures that strengthen the checks and balances and accountability measures” (Kolisang, 2019:1). Okhahlamba Local Municipality is among few municipalities who attained clean financial audit for 2018-2019 financial year. This achievement may be attributed to the roles of oversight structures to enforce good governance in the municipality.

Matrix 5.3: Legislative Framework and the regulation of Public Participation and Oversight Mechanisms at oKhahlamba Local Municipality

Inductive categories	Summary of responses	Sources
efficiency and effectiveness of local government policies	<i>“local government legislation is effective to promote public participation in the municipality. It also compels the municipality to be transparent on service delivery matter”</i>	MO1, MO12, MO7
Community understanding of local government policies	<i>“Public participation and many municipal activities are affected by the fact that the majority of citizens do not understand how local government policies work”.</i>	MO7, MO8, MO3

Source: Fieldwork enquiry (2020)

Concomitant with the second objective of the study, the empirical findings of the study established diverse opinions about local government policies at the municipal level. Some respondents were convinced that the legislation is instrumental in terms of enhancing public participation and oversight mechanisms in Okhahlamba Local Municipality. Contrary to this view, the findings revealed that community members lack understanding of policy issues in local government, and this contributes to low levels of public participation in local government affairs. The role of public participation is construed by Tshoose (2015:18) as a symbol of local democracy which should be promoted at all levels of the municipality in order to assist citizens realize their socio-economic aspirations.

Matric 5.4: Impacts of Local Government Restructuring and Transformation in Local Government with specific reference to service delivery improvement at oKhahlamba Local Municipality

Inductive categories	Summary of responses	Sources
Capacity development	<i>“The local government restructuring and transformation has been critical in terms improving municipal capacity for service delivery implementation”</i>	MO1, MO5, MO8, MO10
Proactive approaches in service delivery	The restructuring and transformation process has been useful to promote proactive approaches in service delivery	MO3

Source: Fieldwork enquiry (2020)

In line with the third objective of the study which sought to establish the role of local government restructuring and transformation, empirical findings revealed positive changes in the municipality as a result of the restructuring and transformation of local government. This process began after the introduction of democratic dispensation in 1995, with the view to improve new local government systems and to align municipalities with the democratic values of the country (Reddy, 1999). In the case of oKhahlamba Local Municipality, the restructuring process has been imperative to boost service delivery capacity through legislative and policy framework.

Matrix: 5.5 Audit Opinions in Okhahlamba Local Municipality for the Previous Five Years

Inductive categories	Summary of responses	Sources
Clean financial auditing	<i>“The municipality achieved clean financial audit for the previous 5 years”.</i>	MO3, MO5, MO8, MO8
Compliance	The municipality is able to comply with the recommendations of the Auditor general.	MO7

Source: Fieldwork enquiry (2020)

The empirical findings of the study reflected the level of acceptability by the municipality to comply with financial regulations. oKhahlamba Local Municipality is one of the best performing municipalities in the KZN province. The municipality attained clean financial audit for the 2018-2019 financial year (Auditor-General’s Report, 2019). The effective and efficient public participation structures which have been formulated by the municipality serve as regulatory system which impact of good practices within the municipality. These findings were necessary for the overall purpose of the study which was designed to establish the role of oversight mechanisms at oKhahlamba Local Municipality.

EFFICIENCY OF THE MUNICIPAL INTERNAL CONTROLS TO ENSURE SOUND FINANCIAL MANAGEMENT AT OKHAHLAMBA LOCAL MUNICIPALITY

Inductive categories	Summary of responses	Sources
3 lines of defense approach to clean financial management	<i>“Internal controls are the cornerstone of sound financial management systems within the municipality. This is due to the 3 lines of defense approach to controls, which includes: preventative, detective and monitoring approaches”.</i>	MO3
Supply Chain Regulations	<i>“All procurement activities are conducted within the boundaries of supply chain regulations that promote consultation, openness and accountability”.</i>	MO9

Source: Fieldwork enquiry (2020)

The finding reflected in matrix 5.4 reveal that proper internal controls are necessary to curb fraud and corruption which appears to be a pandemic in many public institutions across the country. The findings further reveal that the municipality complies with supply chain regulations in order to ensures efficiency, effectiveness and the economic use of resources. This is evident with the good financial health of the municipality and the provision of service of acceptable standards. These findings respond to the theoretical perspective of the study which suggested positive values that may be contributed by oversight structures in Public Administration.

Matric 5.7: Public Satisfaction of Service Delivery at oKhahlamba Local Municipality

Inductive categories	Summary of responses	Sources
Service delivery protests	<i>“by ensuring that all public complaints are attended to in order to avoid service delivery protests”</i>	MO 11
Customer Satisfaction surveys	<i>“annual customer surveys are conducted in order to understand public satisfaction about municipal services</i>	MO2

Source: Fieldwork enquiry (2020)

In line with the first objective, the findings revealed that service delivery to local communities is a primary objective of the municipal administration. The municipality is guided by constitutional imperatives in their endeavors to render quality services that meet public expectations. The municipal council endorsed the strategy of customer satisfaction surveys which allows citizens to evaluate all municipal services. The feedback received in these surveys is used as a catalyst to improve service delivery systems of Okhahlamba Local Municipality (Municipal, IDP, 2019).

5.5 CHAPTER SUMMARY

The chapter focused on three key aspects of the study, namely data presentation, analysis and interpretations. The data was analysed through thematic analysis. The themes emerging from empirical surveys were strategically presented to match research problem and objectives of the study. The findings revealed that, while there are some challenges in the implementation of policies, the municipality is in a good position to deliver reasonable services that meet public expectations. The findings also revealed that the municipality has established proper checks and balances through various oversight structures. The summary, conclusions and recommendations are presented in the following chapter.

CHAPTER SIX

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

Following the presentation, analysis and interpretation of findings in the previous chapter, this chapter presents summary, conclusions and recommendations. The chapter begins with the recapitulation of the objectives of the study. It proceeds to present the presentation of summaries for chapters constituting this study. Finally, the study suggests recommendations that should be pursued by future studies on the similar topic.

6.2 RECAPITULATION OF THE RESEARCH OBJECTIVES AND QUESTIONS

Local government challenges that point to service delivery failure due to institutional incapacities and lack of good governance influenced the research to conduct this study. Despite the restructuring and transformation of municipalities under the current democratic dispensation, many municipalities fail to provide basic services to their communities. The challenges of this nature necessitate strong oversight mechanisms and the implementation of good governance. The study therefore responded to the objectives tabulated below:

Table 7 Research Objectives and Questions

Research Objectives	Research Questions
1. To explore the role of the various oversight structures in improving service delivery in Okhahlamba Local Municipality;	1. What are the role of the various oversight structures to improve service delivery in Okhahlamba Local Municipality?
2. To examine the extent to which legislative and policy framework promotes public participation and oversight mechanisms in local government.	2. To what extent does the legislative and policy framework promotes public participation and oversight mechanisms in local government?
3. To describe the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality	3. What are the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality?
4. To draw conclusions and submit recommendations for improving the oversight mechanism in local government generally and more specifically in Okhahlamba Local Municipality	4. What conclusions can be drawn in order to submit recommendations for improving the oversight mechanism in local government generally and more specifically in Okhahlamba Local Municipality?

Source: Fieldwork enquiry (2020)

6.3 SUMMARY OF CHAPTERS

The study was composed as follows:

Chapter One: The introductory chapter was premised on the introduction, background and context of the study. The fundamental focus of the study was to introduce the problem which is pursued throughout the study and to set objectives and research question. The main theme that emerged from this chapter was the fact that the existing challenges that threaten the ethical conduct in local government is the lack of integrity and ethical leadership. This institutional deficiency has resulted to public discontent which is usually manifested through violent service delivery protests. The purpose of the study was therefore to measure the impact of oversight mechanisms of Okhahlamba Local Municipality.

Chapter Two: the chapter deal with literature evidence concerning oversight mechanisms in safeguarding good governance in Public Administration. The chapter presented the review of the global perspective of oversight mechanisms with the view to emulate best international practices that should be implemented by South African municipalities. For example, the OECD endorse the view that accountability, consequence management and responsible actions by Public officials are essential for the improvement of municipalities. The chapter also presented the oversight mechanisms structures that are established by the 1996 Constitution. The evidence elicited from the literature suggested that oversight mechanisms in South African Public Administration are not fully implemented, hence the high rates of maladministration and unethical conduct.

Chapter Three: linked to chapter two which provided literature evidence of oversight mechanisms in South Africa generally, this chapter focused mainly on the implementation of oversight structures at oKhahlamba Local Municipality. The chapter suggested that the process of local government restructuring and transformation has produced positive outcomes for municipal processes which have translated into reasonable service delivery. The chapter concluded with the review of theoretical perspective which guided the study. Public Value Theory was analyzed in this chapter. The theoretical tenets were centred along the values of good governance that should be instituted in Public Administration so that its systems may produce desired outcomes.

Chapter Four: This chapter focused on research design and methodology of the study. The research process reported in this study was informed by positivist world. According to this

worldview, research is reliable when it is conducted in natural settings in which the responsibility of the researcher is to interpret and collect data. The study used qualitative methodology to collect, analyse and interpret data.

Chapter five: The chapter was based on the presentation, analysis and interpretation of data through thematic data analysis. The data was presented in matrices that responded to research objectives of the study. The empirical findings of the study revealed that the municipality has established sufficient oversight structures which were instrumental to enforce good governance.

Chapter 6: The focus of the chapter was on the presentation of study summary, conclusions and recommendations. It recapitulated research objectives and presented the synopsis of chapters that constituted the study. The chapter concluded with the discussion of findings. It also drew conclusions based on each objective of the study.

6.4 DISCUSSIONS OF FINDINGS AND MAIN CONCLUSIONS

The findings of the study which were gathered through structured and semi-structured interviews with 12 municipal officials of oKhahlamba Local Municipality. Despite the non-participation of the few research subjects the study managed to draw conclusive findings with 75% participation rate. Baruch and Holtom (2016) assert that “the acceptable response rate is 52.7% with a standard deviation of 20.4%”. In light of this assertion, the researcher was convinced that the participation rate was beyond the acceptable rate. The findings revealed that the municipality is in compliance with Section 179 of the RSA Constitution which recommends the establishment of oversight structures in local government. The role of oversight mechanisms is to safeguard democracy in order to maximize its service delivery impact for local communities. The existence of oversight structures in this municipality is evident with clean auditing which has been attained by the municipality of the past five consecutive years. The municipality was also listed as one of the best 18 performing municipalities in South Africa (Auditor-General’s Report, 2019). The findings of the study are in sync with the assertion of the Auditor- General (2016) that a compliant public institution is the one which invest on accountability structures and deliver services that meet public expectations.

6.4.1 RESEARCH OBJECTIVE ONE AND RESEARCH QUESTION ONE

6.4.1.1 Research objective One: to explore the role of the various oversight structures to improve service delivery in Okhahlamba Local Municipality.

6.4.1.2 Research question One: what are the role of the various oversight structures to improve service delivery in Okhahlamba Local Municipality?

6.4.1.3 Findings: the municipality has proper oversight mechanisms in place. Their roles include the safeguarding of good governance and to play an advisory role on municipal strategic matters such as service delivery and the management of resources.

6.4.1.4 Conclusion: the findings suggested adequate evidence that the oKhahlamba is in compliant with the constitutional imperatives enshrine in Section 179 of the 1996 Constitution that require municipalities to establish oversight structures. It is imperatives that these structures are capitated and supported for continual efficiency of the municipality.

6.4.2 RESEARCH OBJECTIVE AND RESEARCH QUESTION TWO

6.4.2.1 Research Objective Two: to examine the extent to which legislative and policy framework promotes public participation and oversight mechanisms in local government.

6.4.2.2 Research Question Two: to what extent does the legislative and policy framework promotes public participation and oversight mechanisms in local government.

6.4.2.3 Findings: the findings revealed that the municipality was in compliant with the legislative and policy and policy framework regulating. However, the lack of understanding of policies by communities was a main challenge which limited their participation in the municipal affairs. The lack of public participation at oKhahlamba Local Municipality may threaten the sustainability of good governance in the municipality. The literature reviewed for this study cited public participation as a key element in the public sector and which authorities should encourage.

6.4.2.4 Conclusion: despite the successful implementation of oversight mechanism at oKhahlamba Local Municipality, the lack of public participation was cited as a challenge that need strategic intervention of the municipal leadership. The municipality should invest in the efforts that may enhance public participation in the municipal affairs.

6.4.3 RESEARCH OBJECTIVE THREE AND RESEARCH QUESTION THREE

6.4.3.1 Research Objective Three: to describe the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality

6.4.3.2 Research Question Three: What are the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality?

6.4.3.3 Findings: local government restructuring and transformation is a process that was initiated by the democratic local governance system in 1995 to reverse the imbalances created by apartheid regimes in the local government sector between 1948 and 1993. The findings of the study revealed that oKhahlamba Local Municipality is one of the South African municipality who embraced this process. The restructuring and transformation of oKhahlamba Local Municipality is evident with the service delivery systems which has been implemented to boost service delivery capacity.

6.4.3.4 Conclusion: local government restructuring and transformation has contributed to significant improvement of service delivery systems at oKhahlamba Local Municipality. This improvement can be sustained through the monitoring and evaluation of the municipal processes, including municipal IDP and other strategic initiatives.

6.4.4 RESEARCH OBJECTIVE FOUR AND RESEARCH QUESTION FOUR

6.4.4.1 Research Objective Four: To draw conclusions and submit recommendations for improving the oversight mechanism in local government generally and more specifically in OKhahlamba Local Municipality

6.4.4.2 Research Question Four: what conclusions can be drawn in order to submit recommendations for improving the oversight mechanism in local government generally and more specifically in OKhahlamba Local Municipality

6.4.4.3 Findings: The study concluded that local government in South Africa is a critical structure that may contribute to the developmental outcomes that are reflected in the National Development Plan: Vision 2030. Furthermore, to attain this vision will require active collaborations between the government, private/business sectors and civil society organizations. Capacity development and effective management of resources should be prioritized. Co-operation between oversight

mechanisms and local government functionaries will be key towards promoting good government at municipal levels.

6.4.4.4 Conclusion: The themes that emanated from empirical findings of the study suggested oversight mechanisms at oKhahlamba Local Municipality as critical institutions that bring about order and stability in the operations the municipality.

The recommendations are presented in the ensuing section. Recommendations were drawn from literature and empirical evidence. The suggested recommendations are relevant to the local government sphere in general and more specifically to oKhahlamba Local Municipality.

6.5 RECOMMENDATIONS OF THE STUDY

The recommendations were drawn as follows:

6.5.1 RECOMMENDATION ONE: SERVICE DELIVERY IMPROVEMENT

The literature evidence identified service delivery as a critical area that meet continuous improvement in local government in order to mitigate violent service delivery protests. This view was also reflected in the empirical evidence of this study that oKhahlamba is committed to quality service delivery. The study recommends the implementation of more innovative technologies for service delivery improvement. Such technologies will speed up service delivery and ensures that the wider community benefits in terms of service delivery.

6.5.2 RECOMMENDATION TWO: STRENGTHENING OF PUBLIC PARTICIPATION

Public participation is a symbol of effective local democracy in local government. Public involvement in local government affairs is necessary to promote mutual relationships between communities and their municipalities. The legislative and policy framework regulating local government is explicitly clear about the roles of the public in legitimizing local government process. The findings of the study identified public participation as an area that need improvement.

6.5.3 RECOMMENDATION THREE: INTERFACE BETWEEN POLITICAL AND ADMINISTRATIVE STRUCTURES

The governance of local municipality is affected by various institutional challenges, including poor political-administrative interface, leadership failure to make policy decisions, and failure to draw

the line between part politics and municipal affairs. The greatest challenge is when political interference affects the independent nature of the oversight structures. The study recommends the clear distinction between political and administrative activities in the municipality. This will be necessary to allow oversight structures to perform their duties without any political influence.

6.5.4 RECOMMENDATION FOUR: CAPACITY FOR POLICY IMPLEMENTATION

Policy implementation in local government is a critical element that determine the pace and quality of municipal services. The strengthening of policy implementation at oKhahlamba Local Municipality should involve a multi-stakeholder participation, including members of the community. This recommendation was informed by empirical findings of the study that suggested that poor public participation in the municipal affairs was due to the fact that communities lack policy understanding.

6.5.5 RECOMMENDATION FIVE: MONITORING AND EVALUATION OF SERVICE DELIVERY SYSTEMS

A regular monitoring and evaluation of municipal service delivery systems will be necessary to assist the municipality achieve their institutional goals. The monitoring of service delivery programs and projects will also assist to ensures the municipality deliver quality service that are much needed to assist communities realise their socio-economic aspirations.

6.6 CHAPTER SUMMARY

This chapter drew conclusions regarding the role of oversight structures in safeguarding good governance and promote quality service delivery in local government with specific reference to oKhahlamba Local Municipality. The summary of chapters that constituted the study were presented with the view to highlight the outcomes that emerged from those chapters. The findings were also presented in relation to each objective of the study. The chapter concluded with the proposals for recommendations that may assist local government in general and Okhahlamba in particular to enhance its internal operations.

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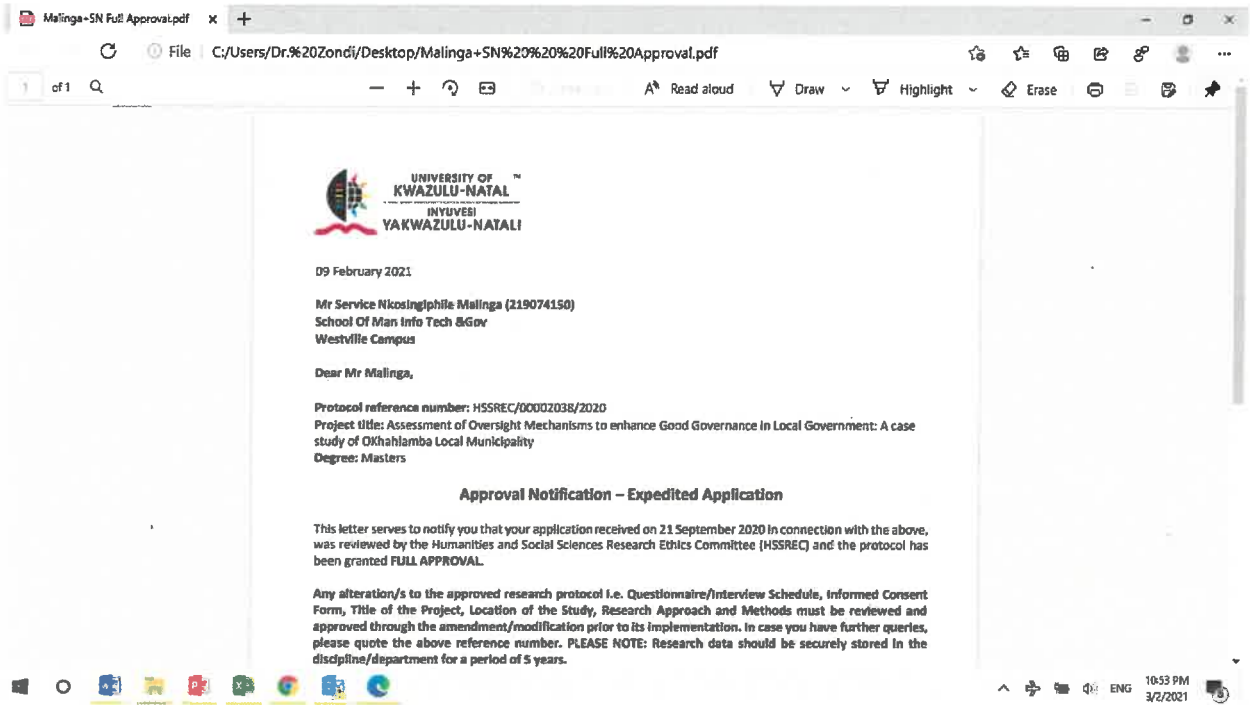
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ANNEXURE 1: ETHICAL CLEARANCE APPROVAL



ANNEXURE 2: INFORMED CONSENT

UKZN HUMANITIES AND SOCIAL SCIENCES RESEARCH ETHICS COMMITTEE (HSSREC)

APPLICATION FOR ETHICS APPROVAL For research with human participants

Information Sheet and Consent to Participate in Research

Date:

Greetings,

My name is Service Nkosingiphile Malinga, a registered student at University of KwaZulu Natal, studying towards Masters of Public Administration (MPA) from the school of Management, Information Technology and Public Governance (Westville Campus). My contact Numbers is 082 040 7540 and email address is nkosimalinga123@gmail.com

You are being invited to consider participating in a study that involves research on the 'assessment of oversight mechanisms to enhance good governance in local government: a case study of Okhahlamba Local Municipality. The aim and purpose of this research is to assess the roles of the oversight structures regulating efficiency for service delivery operations in local government with specific reference to Okhahlamba Local Municipality

The study is expected to include a total of fifteen municipal officials, namely, Chief Financial Officer, Municipal Manager, LED Manager, IDP Manager, LED Manager, Co-operative services manager, Public Participation Manager, 3 officials who serve on the municipal Audit Committee and 3 ward councilors. The data collection procedure will involve structured interviews. The duration of your participation if you choose to participate and remain in the study is expected to be 30 minutes.

The study will not provide any direct benefits to participants. The confidentiality and anonymity of the participants will be protected. Their personal information will not be mentioned in the research report. Final copies of the dissertation will remain a public resource. It will be made available at the University Library. Community members will also be able to access dissertation through the office of the Municipal Manager.

This study has been ethically reviewed and approved by the UKZN Humanities and Social Sciences Research Ethics Committee (approval number_____).

In the event of any problems or concerns/questions you may contact the researcher at cell. Number, 082 040 7540 or the UKZN Humanities & Social Sciences Research Ethics Committee, contact details as follows:

HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION

Research Office, Westville Campus

Govan Mbeki Building

Private Bag X 54001

Durban 4000 KwaZulu-Natal, SOUTH AFRICA

Tel: 27 31 2604557- Fax: 27 31 2604609

Email: HSSREC@ukzn.ac.za

Your participation in the study is voluntary and by participating, you are granting the researcher permission to use your responses. You may refuse to participate or withdraw from the study at any time with no negative consequence. There will be no monetary gain from participating in the study. Your anonymity will be maintained by the researcher and the School of Management, I.T. & Governance and your responses will not be used for any purposes outside of this study.

All data, both electronic and hard copy, will be securely stored during the study and archived for 5 years. After this time, all data will be destroyed.

If you have any questions or concerns about participating in the study, please contact me or my research supervisor at the numbers listed above.

Sincerely

Service Nkosingiphile Malinga
(Researcher name and signature)

CONSENT TO PARTICIPATE

I (Name) have been informed about the study entitled (provide details) by (provide name of researcher/fieldworker).

I understand the purpose and procedures of the study (add these again if appropriate).

I have been given an opportunity to ask questions about the study and have had answers to my satisfaction.

I declare that my participation in this study is entirely voluntary and that I may withdraw at any time without affecting any of the benefits that I usually am entitled to.

I have been informed about any available compensation or medical treatment if injury occurs to me as a result of study-related procedures.

If I have any further questions/concerns or queries related to the study I understand that I may contact the researcher at (provide details).

If I have any questions or concerns about my rights as a study participant, or if I am concerned about an aspect of the study or the researchers then I may contact:

HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION

Research Office, Westville Campus
Govan Mbeki Building
Private Bag X 54001
Durban
4000
KwaZulu-Natal, SOUTH AFRICA
Tel: 27 31 2604557 - Fax: 27 31 2604609
Email: HSSREC@ukzn.ac.za

Additional consent, where applicable

I hereby provide consent to:

Audio-record my interview

Signature of Participant

Date

**Signature of Witness
(Where applicable)**

Date

**Signature of Translator
(Where applicable)**

Date

ANNEXURE 3: PERMISSION LETTER TO CONDUCT THE STUDY



LOCAL MUNICIPALITY – UMKHANDLU WENDAWO

OFFICE OF THE MAYOR

259 KINGSWAY STREET, P.O.BOX 71, BERGVILLE, 3350

Reference: Permission Request

Enquiries : Mr Nkosi Malinga

Telephone: (036) 448 8000

Date : 24/07/2020

Mail : Nkosi.malinga@okhahlamba.gov.za

Fax : (036) 448 1986

Dear Mr SN Malinga,

RE: APPROVAL OF PERMISSION REQUEST TO CONDUCT RESEARCH STUDY AT OKHAHLAMBA LOCAL MUNICIPALITY

This letter serves to confirm that you have been granted permission to conduct your research study at Okhahlamba Local Municipality for your dissertation in peusal of your Master of Public Administration degree.

I believe that your research may contribute positively towards the local and provincial spheres of government as the recent Auditor General report depicts a regression in the number of Clean Audit municipalities across the country.

I would like to request that on completion of your dissertation, a copy be shared with the Records Management Unit of the Municipality.

I wish you all the best with your research study process and look forward to the release of your findings.

Yours Sincerely

Mr. M Ndlangisa
Mayor: Okhahlamba Local Municipality

ANNEXURE 4: RESEARCH INSTRUMENTS

University of KwaZulu-Natal

School of Management, IT and Governance

Research Interview Schedule

**Assessment of oversight mechanisms to enhance good governance in local
government: a case study of oKhahlamba local municipality**

Interview Number----- **Date of Interview**-----

Section A: Oversight Mechanisms in oKhahlamba Local Municipality

1.Explain the composition of the oversight committee of the municipality.

2. What is the role of the oversight committee in relation to service delivery and other strategic operation of the municipality?

3. How efficiency of the oversight committee of the municipality is determined?

4. What type of support is provided by the municipal council towards enhancing proficiency of the oversight committee in the municipality?

5. What is the level of efficiency for local government legislation to promote public participation in the municipality?

6. What are the challenges that affect the efficiency and effectiveness of the oversight committee in the municipality?

7. How does the municipality ensure public satisfaction of t services it provides to communities?

8. How does the municipality provide feedback to service delivery concerns/complaints that are raised by communities?

9. How effective are the internal control mechanisms to ensure sound financial management and compliance to local government financial legislation?

10. What has been the audit opinions in the past five years, and does the municipality respond to those audit opinions?

11. What are the contributions of local government restructuring and transformation in improving service delivery operations in Okhahlamba Local Municipality?

-----**The End**-----

Thank you for your participation in this survey