

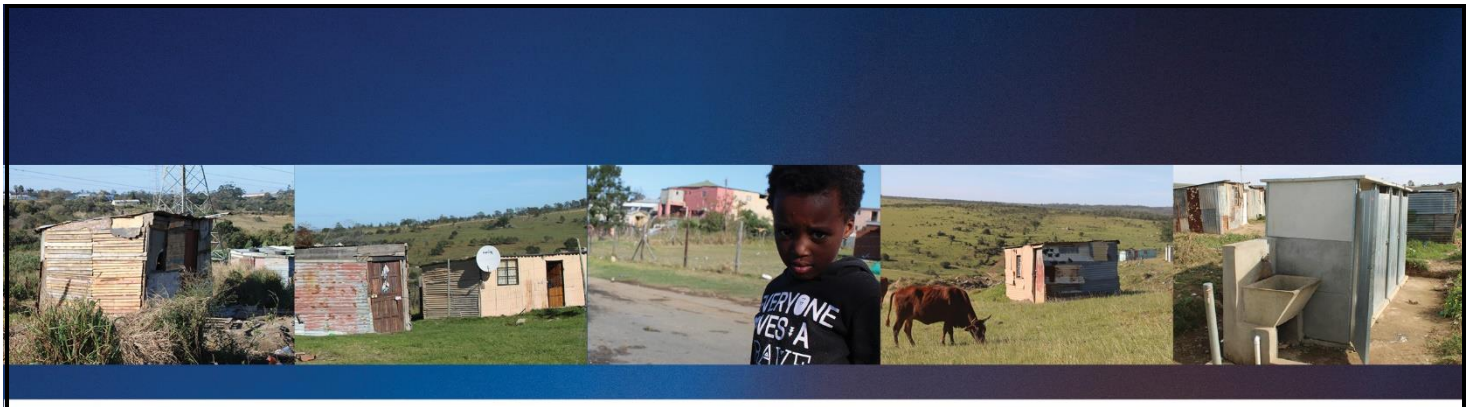
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Urban governance through the lens of service delivery monitoring in informal settlements: a case study of Buffalo City

Kente, Masixole

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UNIVERSITY OF THE WITWATERSRAND, JOHANNESBURG

URBAN GOVERNANCE THROUGH THE LENS OF SERVICE DELIVERY MONITORING IN INFORMAL SETTLEMENTS

A CASE STUDY OF BUFFALO CITY

By: Masixole Kente (2400405)

A research report submitted to the School of Architecture and Planning, Faculty of Architecture and the Built Environment, University of the Witwatersrand, Johannesburg in fulfillment of the requirement for the degree of Master's in Urban Studies.

Supervisor: Nqobile Malaza

October 2021



DECLARATION

I, Masixole Kente (student number: 2400405), hereby declare that this undertaking entitled “Urban governance through the lens of service delivery monitoring in informal settlements: A case study of Buffalo City”, is my own original work. It is being submitted for the *Master of Urban Governance and Politics* to the Faculty of Engineering and the Built Environment at the University of the Witwatersrand, Johannesburg and has, not previously in its entirety or in part, been submitted to any university for an academic qualification. And any references included herein have been duly acknowledge.

Signed on this, the 20 day of October 2021

Signature ..... Masixole Kente

DEDICATION

I dedicate this work to my late aunt, Miss Bulelwa Kente. The sacrifices you made were not in vain, thank you for laying a solid foundation. I am the person I am today because of you.

I dedicate this work to my mother, Nomakhaya Kente, my dad, brothers and sisters and extended family members. I also dedicate this work to my fiancé and beautiful children. Your patience and understanding made this journey worthwhile and I hope one day I could return the favor.

I also dedicate this research to all the men and woman including the youth who exude active citizenry by taking positive steps towards monitoring of frontline basic services in their informal settlements, demanding accountability thus strengthening our democracy. Your commitment towards your communities is admirable.

ACKNOWLEDGEMENTS

For this paper I owe gratitude to my supervisor Ms. Nqobile Malaza, who provided me with the intellectual direction and always available to offer guidance and firm advice whenever required. She helped to keep me focused and motivated throughout the research project. For this I am deeply indebted.

I am also grateful to Afesis-corplan, where I work, for the support and resources made available for me to draw from. I am certain the skills acquired from this research project will benefit the organization, as it continues to advance access to basic services in informal settlements and good local governance. Special thanks to my friend and colleague Qhamani Tshazi for being my sounding board.

I am grateful to all the participants, who willingly agreed to be part of this research, without them this would have not been possible to achieve. Similar levels of cooperation were obtained from the wide variety of stakeholders, all of whom willingly shared their time and interesting perspectives on the subject matter.

I was in a fortunate position to be funded by the Mosebonet group (CETA) for my entire studies. Your support has made this journey a lot more bearable and for that I am grateful. My wish is for you to continue supporting students from previously disadvantaged backgrounds, whom without your support would find themselves lockout of institutions of higher learning.

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LIST OF ACRONYMS

BCMM – Buffalo City Metropolitan Municipality
CBO – Community Based Organization
CSO – Civil Society Organization
DPME – Department of Public Monitoring and Evaluation
IBP – International Budget Partnership
IDP – Integrated Development Plan
LFA - Logical Framework Approach
MfDRs - Managing for Development Results
NDP - National Development Plan
NEDLAC - National Economic Development and Labour Council
NGO – Non-government Organization
RBM - Results-Based Management
SDF - Sustainable Development Framework
ToC - Theory of Change
UISP - Upgrading Informal Settlements Programme

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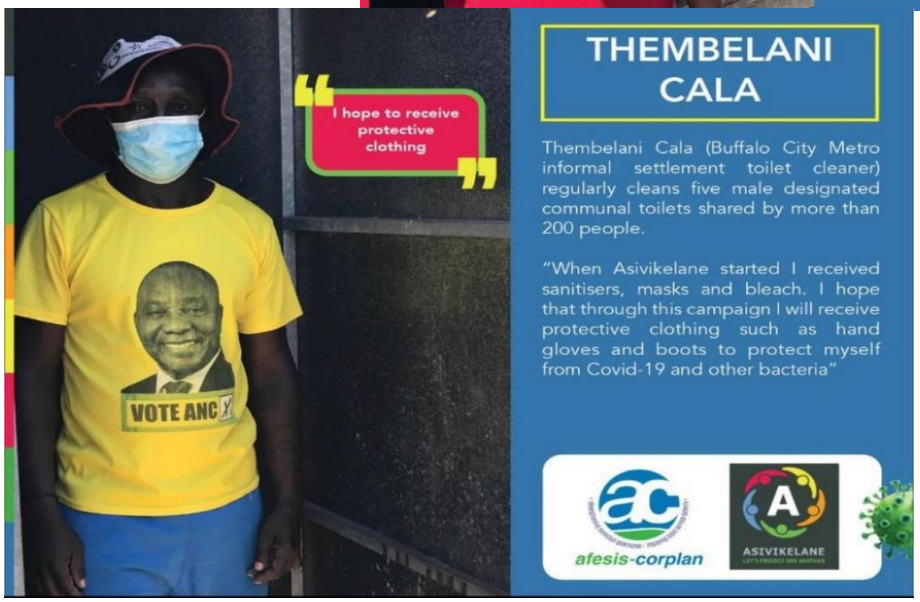
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TESTIMONIALS



Emagalini - "The place of forgotten people"





https://nitter.tedomum.net/asivikelane

ABSTRACT

The challenge of resolving the problem of social inclusion and redress is such that is at the fore of administering governance globally. Understanding governance as a process that involves multi-stakeholders jointly acting towards the improvement of basic services in informal settlements. This paper analyses the salience of collaborative planning approaches in monitoring service delivery in South Africa's informal settlements. Using various informal settlements in Buffalo City in the Eastern Cape province as units of analysis; the paper argues for citizen-centric approaches to service delivery monitoring. The research advocates for a bottom-up approach to community development, where all planning decisions and projects are done with the people that are being 'planned for' and/or 'planned with'. It expands on the Upgrading of Informal Settlements Programme (UISP), and it's attempt to addressing the needs of informal settlement residents.

The study findings demonstrate that through the analysis and monitoring of basic services in informal settlements, spaces for community participation and the collaborative strategies, citizens are able to strengthen governance. On the contrary, the study also shows how the attainment of quality basic services provision in informal settlements is constrained by factors including use of old data and lack of citizen involvement in monitoring basic service delivery. These constrains are tributed to the following factors: lack of a clear policy framework that facilitates citizen involvement in monitoring basic service delivery, lack of intergovernmental coordination and institutional capacity to conduct monitoring, and lack of sensible budgeting that is informed by current data towards the provision of basic services in informal settlements. The paper concludes by proposing for the institutionalization of a citizen-driven monitoring tool, redefinition of the framework for intergovernmental cooperation, and the implementation of mechanisms for ensuring a collective approach to improving the quality of basic services in informal settlements.



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CHAPTER ONE

UNYAWO ALUNAMPUMLO

CHAPTER ONE: UNYAWO ALUNAMPUMLO

Unyawo alunampumlo is a Xhosa proverb that translates into “the foot has no nose” meaning that you do not know where your feet might take you one day. This expression resonates with this journey that I have undertaken as a researcher. A few years ago, it would have been almost impossible for me to know I would take interest in understanding the role citizens ought to play in monitoring basic service delivery in informal settlements. Linked to this express is a constant reminder that, wherever you go, you must humble yourself by showing humility and empathy towards other people because you never know when you are going to need their help. For this chapter I have chosen a song by **Aubrey Qwana,** titled ***Molo***, which stands for greetings, a form of introduction. As a token of respect to the reader as this is a customary thing to do in the Xhosa kingdom, where the study was undertaken.



https://www.youtube.com/watch?v=hvTAFIK31B4

1.0 Overview

This chapter provides the overall introduction to the background of the problem identified by this research project. The 1st chapter is divided into eight sections. Section one outlines the background to the study. Section two presents the research problem; section three details the philosophical position through which the case is interpreted. Section four describes the Asivikelane campaign undertaken by various non-governmental organisations NGO’s to address basic services provision in informal settlements, while section five presents the significance of the research study by explaining the nature and potential use of the research product. Section six deals with the research question and objectives. While section seven addresses the research ethics and the limitation. Finally, section eight outlines the entire chapters of the dissertation.

1.1 Shiny cities of corrugated iron in the urban centre

Since the 1990s, South Africa has faced high rates of urbanization and an increase in formation of informal settlements all around the country. This was influenced by population growth and migration, which then led to uncontrolled development of unplanned urban settlements, where people live in shacks made out of wood and corrugated iron (Huchzemeyer, 2011). The living condition in these areas is often poor and unhealthy, categorised by a congestion of structures with limited access to basic services such as, water and sanitation. In 1994, there were approximately 300 urban informal settlements across various cities in South Africa and by 2017 the number had grown to approximately 2,700. Informal settlements increase rapidly and are home to somewhere between 1.1 and 1.4 million vulnerable households in the entire country (Eglin, 2019). Despite the South African government having committed considerable number of resources to build approximately 3.2 million houses, and with the introduction of the Upgrading of Informal Settlements Programme (UISP), the problem of service delivery in informal settlements persists (Huchzermeyer, 2003; Eglin, 2019). The reality is that millions of South African urban citizens are still subjected to inadequate dwelling conditions which lack proper infrastructural basic services. The residents of these informal settlements are exposed to contagious diseases and other life-threatening hazards, with Covid-19 pandemic topping the list and causing a shock wave in the entire globe.

Firstly, the continued escalation of basic service delivery challenges in informal settlements indicates that the South African government has failed to ensure that rapid urban growth is supported by investments in public services meant for upgrading informal settlement areas. Secondly, the inability for government to effectively monitor basic service provision in informal settlements has amplified the challenge, which further necessitates this research. As argued by Lancaster, (2018) and Eglin, (2019) efforts such as provision of a top structure as the dominant approach to informal settlement upgrading, where focus is on delivery of low-income housing have been less effective and may never be enough at the current pace of delivery. Similarly top-down forceful interventions such as evictions to eradicate informal settlements yield less favourable results, as people often will move from one place to the next or settle back at the same place after a period of time. Overtime these approaches prove to be

insufficient and inefficient and are no longer sustainable towards winning the fight against basic service delivery in informal settlements (Turok and Visagie, 2021).

Eglin (2019) argues that a major challenge of 'government-as-provider' and enforcer strategy is government's claim of constant lack of resources. This has made it impossible to regulate and integrate a system of equitable access to decision making, most notably provision of basic services and access to land by informal settlement residents. Thus, all South African cities continue to expose a large proportion of the urban poor to dehumanizing living conditions that threaten not only their health but their human dignity.

1.2 Problem statement

The main argument is that the role citizens ought to play in monitoring of basic services delivery in informal settlements is often overlooked. The legislated structures such as ward committees and councillors that are tasked with the oversight role in their communities have been rendered ineffective; as indicative by the current state of congested informal settlements across South Africa, and in particular Buffalo City Metropolitan Municipality (BCMM) (Ngamlana, 2015; Eglin, 2019). As a result, it has been evident in the recent past that a majority of South Africans are becoming increasingly impatient with the slow pace of service delivery, the growing inequalities and scarce employment opportunities in general (Lancaster, 2018).

Furthermore, the recent Covid-19 pandemic has highlighted the seriousness of the injustices informal settlement residents are subjected to (Turok and Visagie, 2021). The ability for government to ensure policy implementation achieves intended outcomes for the foreseeable future has proven to be monumental task. As a result, maladministration and mismanagement of both public funds and resources repetitive occurrence. Furthermore, consequence management is not adequately executed in the municipality as highlighted in the recent Auditor General's report on the state of local municipalities (Auditor General, 2018/19). One of the findings of the report is that there is weak oversight and accountability mechanisms on public spending in local government of which monitoring and evaluation is part. Allied to the above challenges the current approaches to informal settlement upgrading are failing to sustainably address the problem of basic service delivery in informal settlements. Chief criticism

to the approach is the rejection of informality which disrupt survival strategies amongst the urban poor, as it uses a rigid blueprint approach to basic service delivery (Tshazi, 2019).

Part of the problem that creates a perpetual view of informal settlements areas by government is the dynamic association between informal settlements and informality (Turok and Visagie, 2021). Watson (2009), argues that the spotlight on this, reasoning is a result of the effects of economic misfortune which is often the norm in urban centres. The informal is not just an image of unevenness but rather a set of urban practices that are imposed through political boundaries and hierarchic economic models. This view to settlement intervention further disrupts local ingenuity by putting a wedge between local government and urban citizens. The conventional approaches to informal settlement upgrading in South Africa have main shortfalls which could be summed up in the following listed points:

i. In the face of rising number of informal settlements and increasing demand for low-cost housing, the approach has failed to address the increase in housing backlog and poverty;

ii. The approach does not give due attention to adequate understanding and sustenance of survival strategies within informal settlements;

iii. The approach focuses on individual housing particularly in peripherally located areas to the detriment of other settlement imperatives like ensuring sustainable livelihoods; and this serves to perpetuate poverty and in a different guise entrenches the previous apartheid planning system in a democratic South Africa. (Huchzermeyer, 2003:2009).

These challenges characterise the efforts to upgrade informal settlements in an environment where there is existence of good laws and policies. Accordingly, legislations, such as the Housing White Paper of 1994, Constitution of 1996, Housing Act of 1997, and the Breaking New Ground (BNG) policy of 2004 were enacted largely to redress apartheid inequalities. However, these policies, laws and subsequent activities have not addressed the urban crisis in many South African cities and in particular BCMM. I would argue that the challenge to deliver adequate public services by and large calls for an exploration of new service delivery planning and monitoring

mechanisms. This is where models and concepts such as citizen-driven monitoring of basic service delivery need contextual analysis and interrogation to derive practical lessons and theory propositions for scaling up and for further inquiry. Having established the research issue, the following section presents my philosophical position as the lens through which I interpret this research.

1.3 The philosophical position

I as a young black professional, who has a lived experience of the conditions informal settlement dwellers are subjected to. I believe for municipalities to deliver the desired services for the urban poor, there is a need to firstly recognise that without the active participation of beneficiaries in monitoring and evaluation, basic services delivery interventions run the risk of being misaligned. Subsequently as the planning profession, there exist a strong need to realise and accept that the capacity of many South African local governments to provide goods and services is severely compromised, given the dwindling fiscus (Mitlin, 2008, Ngamlana, 2015). I argue that the provision of public goods and services towards informal settlements should be driven by a different kind of institutional arrangement that is citizen-centric, under a framework that is agreed upon between diverse stakeholders for the common welfare of the urban poor. Therefore, the delivery and management of public goods and services should no longer be a realm of planning professionals and civic managers, but should actively involve users and members of communities in shaping decisions and planning outcomes (Bovaird, 2007). These demands planning to broaden its scope and develop a more collaborative model that should consider the urban poor, non-governmental organisations and community-based organisations as resourceful and contributors to improved urban environments.

In this regard, the task of planning theorists must involve exploring ways in which the urban service user can become an integral member in both governing and implementation of civic goods and services. Accordingly, planning should start to emphasise the need for service users and communities on one hand, and planning professionals on the other, to work together in the production, implementation and monitoring processes of public goods and services. Moreover, it should be noted that basic service delivery is not a theoretical task that can be deliberated and thereafter implemented through top-down mechanisms. But rather it is a much more practical

task that needs active engagement with the urban poor as beneficiaries. Furthermore, I believe that with increasing service delivery protests in many cities of the global South; similarly, service delivery models that involve active insertion of grassroots voices could lead to the state gaining more legitimacy and could promote productive state-society relations that are beneficial to all.

In addition, I believe citizen-driven monitoring can make the delivery of public goods and services more efficient, effective and equitable as users would make modest but enduring contributions towards sustaining settlement improvements. Informal settlement residents as beneficiaries have a first-hand experience in utilizing basic services and understand better their needs. This would transform the way services are delivered in cities experiencing massive inequalities. The approach can make urban planning and public service delivery recognise user's experience as necessary in shaping urban policy reform regarding informal settlement improvement (Clarke & Newman, 1997). Additionally, citizen-driven monitoring through its recognition of end user and community agency and empowerment rather than dependency has the potential to transform user's attitudes in ways that can improve service quality. As such, I view citizen-driven monitoring as a unique move away from the traditional client model that regards users and communities as mere consumers of housing and service packages offered to them (Leadbeater, 2004; Needham, 2008 and Eglin, 2019).

As shown above, by emphasising user input into the citizen-driven monitoring process, I consider this process as necessary for winning the fight against corruption and mismanagement of public funds at the lowest level and can contribute in holding bureaucrats and politicians accountable. Citizen-driven monitoring further achieves efficiencies in data collection and position planning professionals more responsively to user preferences and needs (Needham, 2008, Sandercork and Attili 2010). In this way, the concept of citizen-driven monitoring should be used to transform the traditional role of planning professionals and civic managers from being sole producers to assume new responsibilities. Having stated my philosophical position, I now turn to the next section to describe the Asivikelane campaign that promotes citizen-driven monitoring of basic services in informal settlements.

1.4 Description of the case

In Buffalo City Metropolitan Municipality (BCMM), where the case study is executed, the housing backlog stands at 66,100 households with an annual increase of 0.30% (BEPP, 2019-2020). It is estimated that more than 33,400 families live in informal settlements and are without proper electricity, water and sanitation infrastructure. This number accounts for 40% out of the total number of households living in informal settlements in the entire Eastern Cape Province. In the BCMM, these families reside across 156 plus informal settlements (Eglin, 2019 and BEPP, 2019/2020). In attempts to respond to this challenge, the BCMM restructured its core municipal functions and created the Department of Informal Settlements to effectively manage informal settlements in 2019. The department is tasked with the core mandate of strategizing around the challenges of urbanisation, informal settlements, and service delivery.

Another initiative aimed at addressing challenges faced by informal settlement residents is the Asivikelane campaign. The initiative is unique and involves many civil society organisations as active participants such as the International Budget Partnership (IBP-SA), Raith Foundation, Afesis-corplan, Plan-Act, Community Organisation Resource Centre (CORC), SA Alliance, Development Action Group (DAG), Social Justice Initiative (SJI), Open Society Foundation (OSF), Luminate, Social Justice Coalition (SJC), Democracy Development Programme (DDP) and Abahlali basemjondolo as implementing institutions. It provides a platform for residents living in informal settlements to communicate severe water, sanitation and refuse removal shortages during the Covid-19 pandemic.

This partnership was formed as a result of (a) prevalent service delivery challenges in informal settlements and; (b) ability for informal settlement dwellers to effectively engage government on their service delivery concerns during the difficult period of Covid-19. Asivikelane meaning ‘let us protect each other’ in isiZulu, one of South Africa’s dominant vernacular language is a campaign for improved basic service provision in informal areas. This initiative promised to be a typical case of citizen-driven intervention towards ensuring a continuation of basic service provision in informal settlement.

Asivikelane is a growing network that already brings together 232 informal settlements in eight metropolitan municipalities including BCMM and five smaller towns in South Africa. Having described the nature of the case study, I now present the nature and potential use of the research product. https://asivikelane.org/



1.5 Research aims

In essence, the study aims to understand how citizen-driven monitoring of basic service provision in the context of informal settlements is perceived by government, civil society and informal settlement residents. The supporting sub-questions all have informed methods that will assist in answering the central research question.

- The research study aims to abstract lessons that can assist to improve service delivery and urban governance in South Africa.
- To gain insight in terms of the roles and responsibilities the various stakeholders play in monitoring of basic service delivery in the Buffalo City.
- To get in-depth understand of the procedures and steps undertaken to monitor basic service delivery in informal settlements.
- To determine whether citizen-driven monitoring provides an appropriate framework that can coordinate settlement planning initiatives by government in their efforts to improve the living conditions of the urban poor.

1.5.1 Research objectives

The objectives of this research are summarised as follows:

i. Research citizen-driven monitoring of basic service delivery in informal settlements approaches, in order to determine whether the processes could lead to improvements in the living conditions of the urban poor;

ii. To develop an enhanced understanding of the complex situation under which the citizen-driven monitoring of basic service delivery processes take place, in order to suggest modifications and improvements of the programme and draw lessons for future policies and programmes;

iii. To come up with recommendations to improve the partnerships between government, civil society and communities and for future service delivery monitoring interventions and programmes so that more substantive gains can be achieved for the urban poor living in the Buffalo City Metropolitan, in Eastern Cape and the entire Global South.

iv. To learn from the work that is already taking place in a few cities in the country around basic service delivery monitoring in informal settlements and to identify tools that could be replicated and scaled up in ways that strengthen the service delivery contract between government and its citizens more broadly.

1.6 Significance of the study

This research is important because it aims to question the narrative that the urban poor, majority black and living in informal settlements are dependent on the state as the sole provider of their basic needs. The significance of the study is that it contributes ideas towards the debate on how urban planners and other built environment professionals might position themselves in service delivery monitoring processes during settlement upgrades. Further, the study will contribute to the body of planning theory ideas by illuminating the call by Watson (2009); for planning theory to focus on "the relationship between on the one hand, techno-managerial, modernising and market systems of state planning and service provision, and on the other hand, marginalised and impoverished urban populations surviving largely under conditions of informality" (Watson, 2009:2259; 2012).

Finally, the report will contribute policy ideas that demonstrate the benefits and limitations of a citizen-driven approach to monitoring service delivery as a normative position for city planners and informal settlement dwellers. In addition, the study adds to ideas on the role of the state and non-state institutions in achieving efficiency and sustainability in informal settlement and inclusive urban development. Das and Takahashi (2009:229) argue that an "institutional framework determines the terms and

conditions of participation and this has the potential to influence the objectivity and the efficiency of urban development processes". By so doing, the study aims to critically examine the theory of citizen participation as a planning model in which different imperatives and rationalities come into clear cooperation, engagement and contestation with others, and where contentious issues are either rendered technical or perhaps where real gains can be secured by marginalised groups (Li, 2007).

1.7 Framing an inquiry

In order to solidify this enquiry, the research question that best responds to the problem highlighted above is therefore:

What lessons can be leveraged from the collaborative monitoring of basic service delivery in informal settlements? The case of Buffalo City Metropolitan Municipality

This question enforces the need to look at roles, procedures and strategies used by the different stakeholders in the process of monitoring basic service provision in five informal settlements in Scenery Park Phase 3, in the Buffalo City Metropolitan Municipality. The research question covers not only the aim of the study but also the established objectives of the study, allowing the research to respond holistically to the intended research interest. In order to ensure that each aspect of the research is answered appropriately, six well defined sub-questions have been selected.

1.7.1 Sub-questions

i. Who is involved in the monitoring of basic services delivery in informal settlements?

ii. What processes are followed when monitoring basic service delivery in informal settlements?

iii. What role does each stakeholder play in the entire service delivery monitoring process?

iv. What mechanisms and tools that are used to monitor basic service delivery in informal settlements?

v. How are the findings of the monitoring process communicated?

vi. What are governments views about citizen-driven approach to service delivery monitoring in informal settlements?

vii. In what ways has the existing regulatory and policy framework limit or enhance citizen monitoring of basic services?

viii. How does power and politics influence the relationships amongst the different stakeholders?

1.8 Research diagram: Who drives basic service delivery?

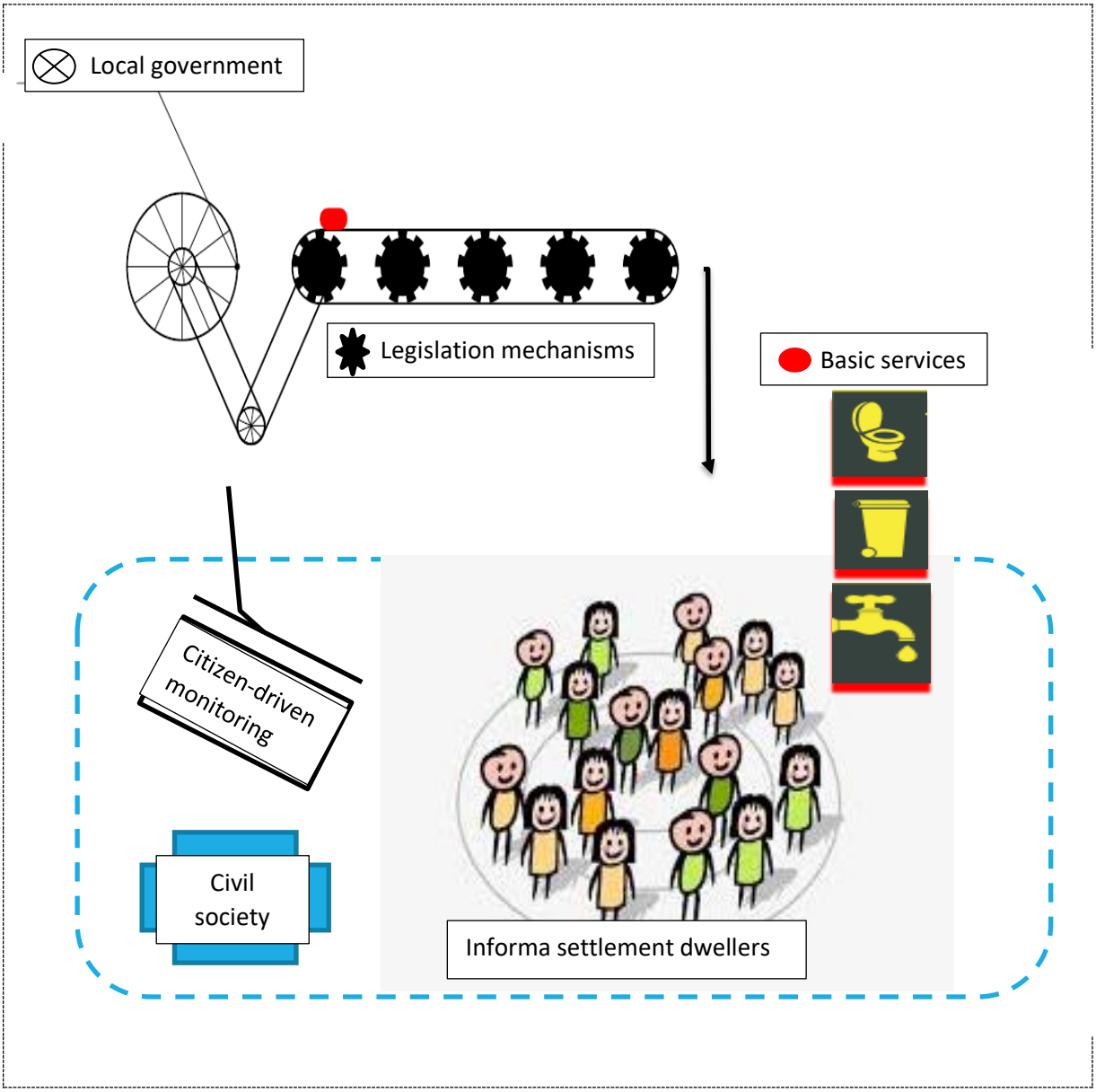


Figure 1.1: Research diagram (Kente, 2020) Adopted from stack exchange

1.8.1 Who drives basic service delivery and monitoring?

The research considers informal settlement dwellers as having limited access in terms of decision making for service delivery inputs in their area and the monitoring thereof. In the above diagram, this is shown through the one-way conveyor belt system. In addition to this the conveyor belt symbolises the legislated mechanism for citizen participation. The diagram shows local government as the authority that delivers basic services at its own discretion.

This diagram aims to depict the challenges experienced by informal settlement dwellers and their ability to influence or play a role in monitoring the delivery of basic services in their community. Their issue is that even when they have been part of the integrated development planning (IDP) processes, there is no guarantee that their concerns will be resolved. The lift signifies a possible way in which community can give feedback to government as per their service delivery needs. The lift offers hope for citizens to drive the agenda of monitoring basic service delivery. Given adequate tools there is an opportunity for citizens to guide government with regards to the quality and shortage of services in informal settlement. However, this is hindered by a set of challenges, with the lockdown being one of them. The blue box symbolises civil society and the role they ought to play in supporting informal settlement dwellers monitor basic service delivery during and after covid-19.

1.9 Research ethics and limitations

Given the fact that the research was conducted during a pandemic, meant that extra care needed to be exercised in order to limit further spread of the virus. The research study was restricted in a noticeable manner by the Corona virus. This meant that the researcher had to use innovative ways with regards to data collection. Due to lockdown restrictions, the researcher had limited opportunity to conduct field visits. As part of data collection, the researcher had to avoid any physical contact with the participants and resort to virtual forms of communication which are elaborated on later in chapter 3, in the methodology section. It is worth noting that a case study method was used to conduct research in one geographic area and therefore the findings will be specific to this area, as conditions in various cities differ.

The other limitation of the study relates to the method. The weakness of case study approach is that it is often difficult to summarise the data and develop a general preposition and theory on the basis of specific case studies (Flyvbjerg, 2011). In this study, akin to Flyvbjerg (2011), the method has generated data and information that is not generalizable in the conventional sense and this a limitation. Now that I have established the main product and objectives of this research, research diagram, ethical consideration and the research limitations the following section provides the conclusion of this chapter and presents the organization of the entire dissertation.

1.10 Layout of the dissertation

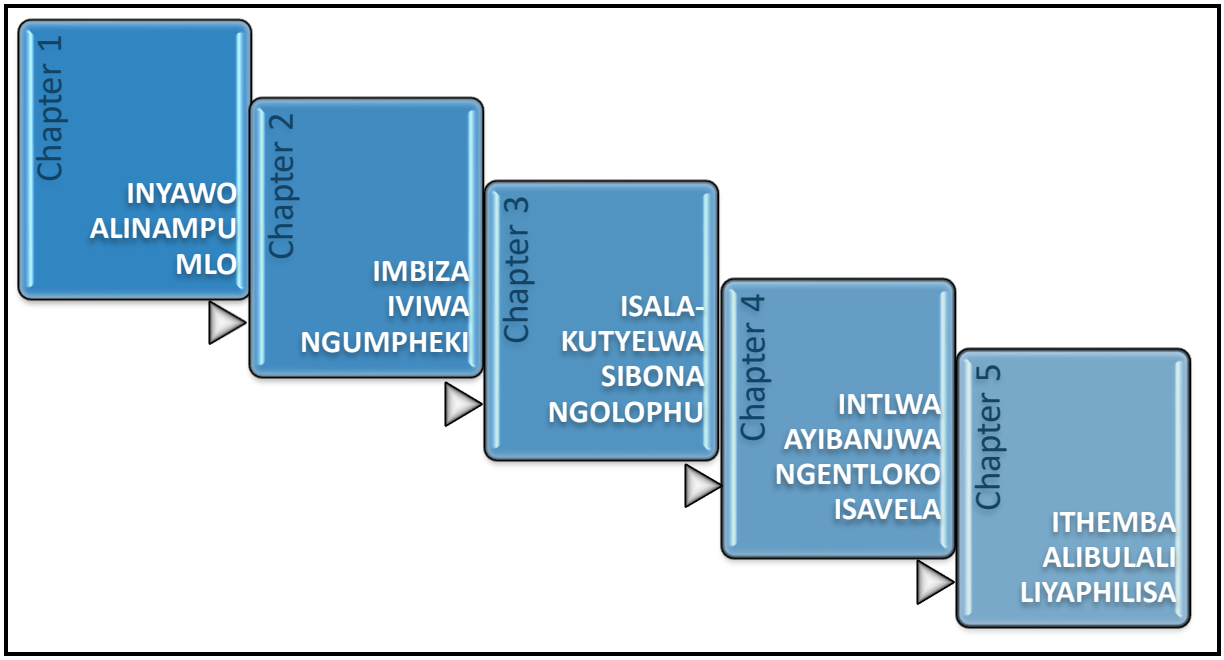


Figure 1.2: Schematic Diagram of Chapter Outline

This dissertation is structured in five interlinked chapters that aim to tell a story about citizen-driven monitoring of service delivery in informal settlements, as illustrated by the above diagram. Chapter one titled "***Unyawo alunampumlo***" has presented the background, research problem, philosophical position, objectives, the significance as well as the limitations of the research. In Chapter 2 "***Imbiza iviwa ngumpheki***" the study reviews existing literature on urban governance and citizen monitoring; with the aim of providing a theoretical framework that underpins the research. The chapter also covers the policy environment with a focus on selected relevant existing national, municipal policies and pieces of legislation on the issue of service delivery monitoring,

upgrading of informal settlements and citizen participation in South Africa. Chapter three "***Isala-kutyelwa sibona ngolophu***" details the research paradigm; research question; data collection and data analysis processes; methodological limitations and remedies. Chapter four "***Intlwa ayibanjwa ngentloko isavela***" presents the research findings from the collected data. The abridgement and analysis of the results will be based on the electronic interviews, observations and field visits that were conducted between Feb and April 2021. Chapter five "***Ithemba alibulali liyaphilisa***" presents in-depth findings and provides conclusions and recommendations to the study. The findings will be in relation to the theoretical framework discussed in chapter two. In the next chapter, a review of available literature on the concept of citizen participation in monitoring is discussed. The ultimate goal is to provide a theoretical framework for this research.



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CHAPTER TWO

IMBIZA IVIWA NGUMPHEKI

CHAPTER TWO: IMBIZA IVIWA NGUMPHEKI

Imbiza iviwa ngumpheki, is a Xhosa phrase, loosely translated to mean, the cook is the first one to taste the pot. As the researcher I felt it was proper for me to use this phrase as a heading for my chapter two. The relevance of this phrase to this chapter is that in order for me to understand the reasons behind challenges and concepts dealt with on this paper, I first need to deal with the ingredients that gave birth to them. And the fitting song choice is ***Ehlathini*** by **Anatii**, an R&B Afro pop singer. This song is about the difficulties experienced by people who come to the city to find employment "gold" and the challenges they are faced with in trying to secure shelter and put food on the table for their families. The song resonates with the challenges experienced by informal settlement dwellers in relation to access to basic services.



https://www.youtube.com/watch?v=3P_THImXs_A

2.0 Overview

This chapter is a build up from the preceding Chapter one which introduces the research topic, background to the study as well as the research questions and objectives. In this chapter, the focus will be on the literature review, following a chronological approach to the concepts as well as the legislation that underpins them. The first section will focus on unpacking the concept of urban governance followed by section two, which conceptualises citizen participation as form of urban governance. Followed by unpacking monitoring and evaluation from the front of civil society and government in the context of basic service delivery. The later section will then detail linkages of the upgrading of informal settlements programme (UISP) to service delivery challenges in informal settlements. Finally, the paper discusses borrows from both local and international instances where the concept of citizen-driven monitoring of basic services has been tested; similarly addressing the critique directed towards urban governance and citizen participation concepts.

2.1 Entanglement

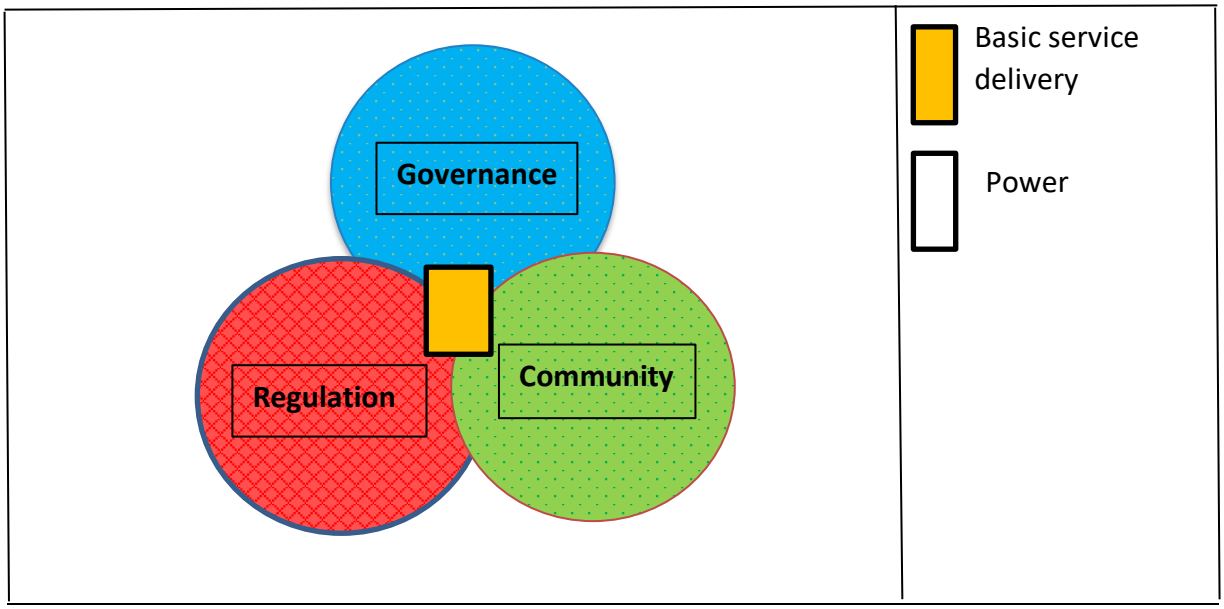


Figure 2.1 Conceptual bases for the study

The conceptual framework on figure 2.1 above, shows the close relationship between four main concepts that act as an analytical lens for the research. These include governance, monitoring, community and power. All four concepts have a different impact on the delivery of basic services in the context of informal settlements areas in the Eastern Cape. Trying to understand the interface between community, civil society, government and monitoring of basic service delivery in informal settlements, the power dynamic as well as the procedural physics of influence that emerge from the process of development.

Urban Governance and Power

2.2 The concept of urban governance

Urban governance is an appealing concept; this is because local governments which can be briefly described as public bureaucracies and their political masters do not exist in a vacuum. City administrations negotiate their way through the policy process while being subject to the influence of other levels of government, the need to steer or coordinate with other authorities, lobbying pressures, and democratic concerns (Mossberger & Stoker, 2001; Watson, 2009), just to name a few. Governance is useful as an analytical lens because it does not require a priori assumptions about the roles of the various actors regarding goal setting, steering, and implementation

(Pierre, 2014). Rather, it emphasizes the relationships and interactions between these actors as well as the conditions and rules that frame those relationships and interactions.

The (Commission on Global Governance, 1995, sited in Baud, Jameson, Peyroux, Scott, 2021, p. 4) defines urban governance as the sum of many ways individuals, institutions, private and public, manage their common affairs framed by a normative vision for the future. Over the years the narrative has shifted from a rather static perspective of government, which was viewed as a top-down decision making to a more de-centred conception of governance that allows for a bottom-up approach to decision making, at least in theory, as the implementation of it still remains a challenge (Colona and Jaffe, 2016, cited in Baud, et al, 2021).

Urban governance is often confronted with the issue of scale, the notion of establishing who gets to make decisions about development. Whether global, national or local, how cities, urban politics and everyday life are intertwined and shaped by diverse urbanisms that require consideration remains a critical dilemma in urban governance (Healey, 2000, Jones, 2009, McFarlane, 2016, Hansmann, 2019). Watson, (2009), gives an example of constructing a bridge in the city, and asks the question, who makes the decisions between local people that live in the city versus the users of the city.

The issue of access and use, having multiple networks within the city connecting the city rationally to outside networks across local and national boundaries situates the concept of citizen engagement within an overall urban governance framework, with citizen engagement as the logical end (Watson, 2009, Goodfellow, 2018, and Hansmann, 2019). The positive side of the concept of urban governance is that it has allowed relational comparisons between cities, across scale and overtime, and emphasises citizen participation as a key theme (Baud, et al, 2021).

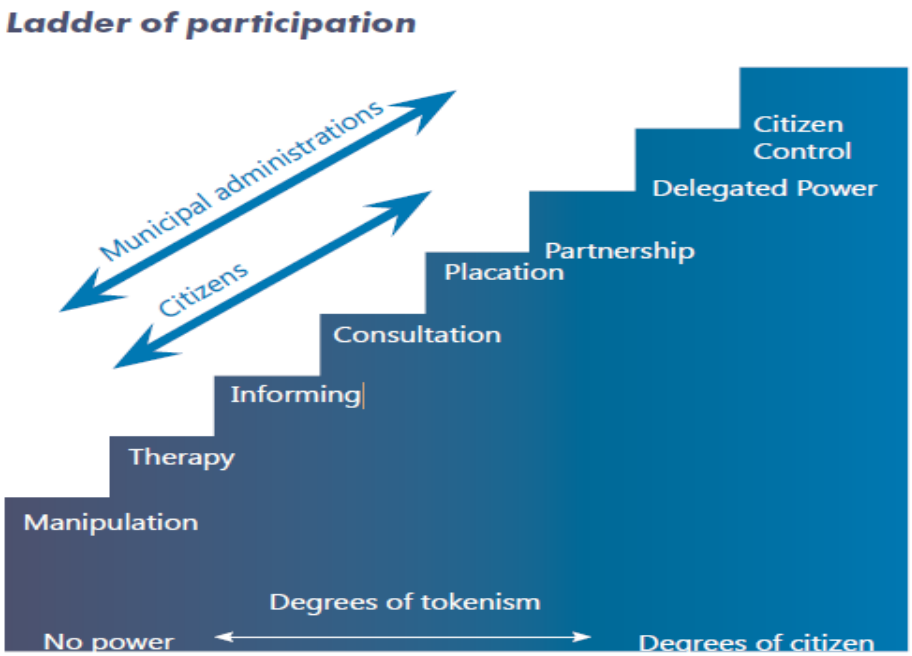


Figure 2.2: Ladder of participation

The ladder of participation highlights the model of citizen participation in relation to governance shown by figure 2.2 above. The ladder has two extremes on both sides, where on one end the government enjoys full control and on the other the citizens have control (Arnstein, 1969). Citizen-driven interventions can easily be identified as citizen dominance. Whereas, the centre of the ladder indicates that level that best suits collaborative approaches to monitoring basic services in informal settlements, where partnerships and consultations are embraced.

2.3 Citizen participation defined

In the field of sociology, the word community is a construct that explains a set of interactions, human behaviour with similar interests and expectations (Botes and Rensburg, 2000). In this research this construct is used to define people whore share similar characteristics, geographic area and experiences. Citizen participation is defined as the process where there is a direct involvement of people in a community project meant to address their needs and challenges. Botes and Rensburg (2000) argue that citizen participation is one of the most overused concepts yet least understood in developing countries.

In the South African context, citizen participation is a “democratic right, woven in the country’s Constitution of 1996” (Swilling, 2004:187). Meyer and Theron (2000), state that people use different concepts when referring to community participation, e.g. public or citizen participation. Although citizen participation remains an elusive concept (De Beer and Swanepoel, 1998:20), it is not a new one (Meyer et al., 2002:59). Due to the complexity of citizen participation (Klosterman, 1978:112), there are different views of what it entails (Swilling, 2004:187). This makes it impossible to establish a universal definition of citizen participation (Oakley and Marsden, 1984:8). Similarly, it is impossible to develop a single, unified methodology for citizen participation and it is highly influenced by the unique social context in which action is being taken (Meyer and Theron, 2000:1-6). One reason for this is that communities are unique and their circumstances differ.

In general, citizen participation enhances social cohesion because communities recognise the value of working in partnership with each other and with statutory agencies. Equally, it enhances effectiveness as communities bring understanding, knowledge and experience essential to the regeneration process. It is therefore important to realise that community definition of needs, problems and solutions are different from those put forward by service planners and providers, which purport citizen participation as an essential process in development.

2.3.1 Citizen participation as a form of urban governance

Citizen participation is an essential part of human growth; through it people establish dignity, self-esteem and own their development process (Klosterman, 1978:31). According to Chinemana (1992:4), urban governance and development entails seeing progress in the lifestyle of people by the local people. Development can therefore be interpreted as a long-run, sustained process; involving improvement or progress through a collective effort (Muller, 2004:7). Gran (1983:20) and Friedmann (1992:7) state that everybody is in possession of a world of his/her own and nobody can interpret this world better than he/she can. That is why development has to begin with the people who know most about their own livelihood systems. Oakley et al. (1991:2) state that people cannot be developed; they can only develop themselves.

Meyer and Theron (2000) argued that people will only participate if they have a direct stake in the project. Therefore, delivering development is not an easy process and it cannot become sustainable unless the community participates in the conceptualisation, planning, implementation and monitoring of development projects. It is for these reasons that citizen participation in urban governance should be seen as a collective effort (Friedman, 1992:142). As it has been noted, in order to get nearer to sustainability, a participatory approach has to be followed (Mikkelsen, 1995:61).

Moodley, (2007) defines citizen involvement in governance as a process of breaking down bureaucratic barriers that muzzle community voices. In brief, community involvement is a group sharing an interest (or set of interests) that is expressed (individually or collectively) in the public realm. Kusambiza, (2002) defines involvement as a process of making input in development. In the long run, citizen participation is about allowing communities to actively occupy decision making processes that impact upon the livelihood of the community, instead of treating them as passive recipients.

2.3.2 Legislative framework of citizen participation in South Africa

The attainment of democracy in 1994, brought freedom in South Africa. This meant that all citizens could now find expression and articulate their views through public participation processes as well as to participate in the legitimacy of government (Moodley, 2007). Consequently, in 1996, the country adopted the Constitution as the cornerstone for which democratic values would be realized. Khosa and Bond (1999) further add that the Constitution offered a model of governance which would ensures a balance between an aggregative and deliberative form of democracy in which the will of the people takes centre.

Chapter 2 of the Constitution specifically outlines the Bill of Rights, the freedoms on which citizens are to enjoy in the new democratic dispensation with which community/citizen participation is a key tread. Many of the other chapters in the Constitution act as a guide for government institutions, on the roles they ought to play. Accordingly, the South African Constitution contemplates a democratic society that is participatory in nature. Ultimately, it is the responsibility of local government to encourage community involvement in matters of governance (Constitution, 1996).

Around the world, the concept of citizen participation gained popularity in the early 1900s. During this time, enormous pressure to decentralising power was put on government through a process of opening up spaces for communities to get involved in decision making (Cornwall, 2008). Cornwall (2008), asserted that the concept of community is often attributed to a physical boundary where a group of people share space, whereas the concept of governance transcends boundary.

2.3.3 The critique of citizen participation

It is important to note that citizen participation is not without any challenges or criticism. Those against citizen participation associate the process as a time-consuming exercise. For instance, the concept is often viewed as favourable to people that hold positions of power within a community whom, during deliberation speak louder than others; a form of intimidation. A major flaw of the model is the inability to address divisions within communities that can undermines participation (Swilling, 2004:7).

In addition, Friedman (1992:139) states that citizen participation can be costly in terms of time, money and skills. However, it should be noted that obstacles to citizen participation are directly related to one's perspective of citizen participation (Oakley and Marsden, 1984:29). Citizen participation can bring latent conflicts to the surface and it can delay project start-up, while increasing the demands on project personnel and managers (Botes and Rensburg, 2000). Illiteracy is also an inhibiting factor in community participation. This is because illiterate people may be marginalised by professional and technical communication during the community-participation process (Meyer and Theron, 2000:65).

According to Meyer and Theron (2000:113), few put citizen participation into practice. This is a challenge because people who should ensure that citizen participation happens neglect to do this. In many instances local elite groups dominate over other people, due to their social or economic status (Friedman, 1992:138). This results in people, especially the poor, becoming accustomed to leaving decisions and initiatives on their "leaders" (Oakley, 1991:13). This reflects the complexity of citizen participation and it reminds us that not only do different stakeholders have to work together, but that establishing and maintaining excellent people relationships is equally important.

In particular, stakeholders responsible for development should recognise that they are participating in support of the people's agenda and not vice versa. Currently citizen participation lacks clear goals and objectives and often approached in an ad hoc and unsystematic manner. As a result, evaluating participatory processes becomes difficult, while cynicism and lack of accountability among practitioners is taking place (Meyer and Theron, 2000:2:5). Therefore, citizen participation approach is not unproblematic and can frequently give as many problems as the solutions it brings (Cornwall, 2004:1). Ultimately citizen participation should not be views as a panacea to all problems caused by top-down approaches. A question we therefore have to address is how we can motivate people to put citizen participation at the core of development no matter the position one holds in society.

Monitoring and Power

2.4 Monitoring and evaluation in relation to service delivery

The Constitution of South Africa lays a firm foundation for participatory governance across the three spheres: national, provincial and local government. Flowing from this supreme legislation is a regulatory framework which gives greater detail to how the public is to participate in government planning, law-making, and monitoring and evaluation. Section 195(1) of the Constitution articulates the values and principles that must underpin public participation in governance and these values and principles permeate through various other pieces of legislation, regulations and frameworks including (but not limited to) the following:

- Public Finance Management Act
- Municipal Finance Management Act
- Public Service Act
- White Paper on Transforming Public Service Delivery (Batho Pele White Paper)
- Public Service Regulations
- Promotion of Access to Information Act
- Promotion of Administrative Justice Act
- Municipal Structures Act
- Municipal Systems Act

- Municipal Planning and Performance Management Regulations
- Municipal Budget and Reporting Regulations
- Medium Term Strategic Framework
- DPME Frameworks and Strategic Plans

Despite a well-established regulatory and policy framework for citizen participation, it is commonly acknowledged that effective citizen engagement at the local level is the exception, not the rule. Government has over the years battled with meaningfully involving the public in its processes beyond compliance and perfunctory fulfilment. Reflecting on the facilitation of meaningful citizen engagement in service delivery, Van Zyl (2014) argued then that government tended to only monitor citizen participation rather than creating meaningful moments for citizens to give feedback on their service experience. At that time, the Department of Public Monitoring and Evaluation (DPME) identified a lack of consistence and systematic data about citizen's service delivery experience as a gap.

The regulatory framework assigns specific responsibilities for monitoring and evaluation to different entities and departments within government. For example, the Presidency and Offices of Premiers (OTPs) in the nine provinces derive their mandate of monitoring from the executive powers vested upon them by the Constitution whilst various government departments derive their mandate from agreed upon priorities which are drawn from an overarching national vision like the National Development Plan (NDP). The Cabinet sets priorities for the short-term, medium-term and long-term periods and writes these into a broad strategic framework document such as the Medium Term Strategic Framework (MTSF) and entrusts an entity such as the DPME with a responsibility to monitor the performance of various government departments in the implementation of goals and targets set in the MTSF.

National Treasury in the past had a responsibility of regulating the development of departmental Strategic and Annual Performance Plans (SAPP), as well as quarterly plans but in the recent past, this function has been shared between SAPP and the DPME; together with the Department of Cooperative Governance and Traditional Affairs (CoGTA) while Treasury regulates local government planning and performance

monitoring. It is however undeniable that government driven monitoring protocols yield less benefits for the end users, in this case informal settlements residents at grass roots level while monitoring and evaluation by government only simulate traditional top-down approaches. The picture below summarizes the legal and institutional framework for monitoring and evaluation, as articulated in the Policy Framework on Performance Monitoring and Evaluation (PFPME); highlighting the role of various departments specifically, the DPME (Presidency, 2011).

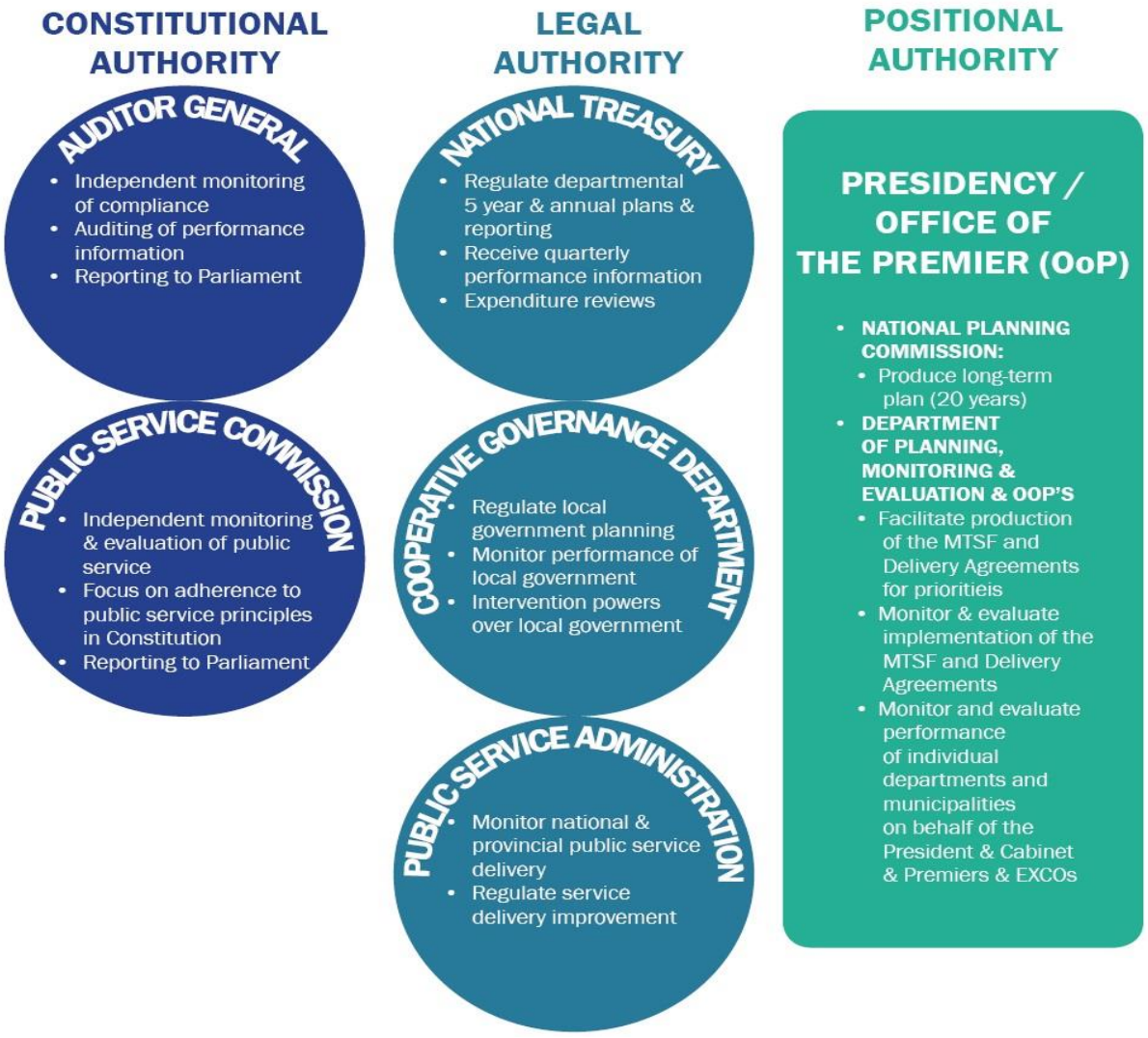


Figure 2.3: Legal and institutional framework for monitoring and evaluation (Presidency, 2011)

2.5 An overview of service delivery monitoring tools

Monitoring was first introduced in the business sector, as a model to gauge performance as well as impact of the business (Ndevu and Muller, 2017). Overtime monitoring featured as an assessment process to measure progress in implementing development interventions (European Commission, 2007). According to (Kanyamuna and Phiri, 2019), the concept is foregrounded in four theoretical foundations. 1) The theory of change (ToC), which is a methodology to promote social change. 2) Logical framework approach (LFA), which renders analytical processes and tools to support project planning and implementation. 3) Results-based management (RBM), and (4) Managing for development results.

According to (Ndevu and Muller, 2017) citizen driven monitoring forms part of emerging thinking around alternative service provision models, an approach to strengthen developmental local government, that is enforced through accountability and is less about log frames. Similarly, (Rogers, 2011 cited in Kanyamuna and Phiri, 2021) assert that monitoring should extend beyond measuring outcomes, results and effects to citizen engagement in development processes.

Internationally in countries such as India, Kenya and the Philippines, citizen driven monitoring is a frequent feature of service delivery, where social audits are used to monitor government expenditure (Kente, 2019). In addition, government in these countries recognizes and funds the public through civil society organizations to conduct social audits and demands local authorities to account directly to the general public. In South Africa, citizen driven-monitoring remains contested, even though it affords ordinary citizens an opportunity to scrutinize basic service provision (Ndevu and Muller, 2017).

2.5.1 The supply and demand factors of monitoring

There are numerous examples of service delivery monitoring tools being used by both government and civil society across the country. Conceptually, let us think of these tools from a supply and demand perspective. The supply side being those processes that government initiates ‘supplies’ for citizens to participate in monitoring service

delivery. These are provided for in legislation as part of governments operations in an annual cycle; i.e., the Integrated Development Planning meetings (IDPs), Mayoral Imbizos, Ward Committees, War Rooms, School Governing Bodies (SGBs), also facilitates moments of engaging citizens, often in response to identified service delivery and protests action. Conversely, these moments are not necessarily mandated in law but serve a collective service delivery strengthening effort.

The demand side is the one where citizens create mechanisms for monitoring the quality of services rendered by government. In these citizens-initiated spaces, the community members hold the agenda and invite government to participate. This often happens at the end of the monitoring process rather than in the beginning. Therefore, neither of these two spaces (supply-driven or the demand-driven spaces for monitoring) are co-created processes. In the supply-driven monitoring spaces; government hold the agenda, guides the process and invite the public only as invited guests in a government-led practices. Equally, the same happens in most of the demand-driven monitoring spaces. However, this does not suggest that there is anything wrong with government creating mechanisms for implementing services in accordance to the set standards. This can only happen when government engages citizens in ways that are most useful for its learning purposes. The same goes for citizens, active citizen agency demands that community members be active participants and not just passive consumers of services.

The creation of citizen-driven spaces for service delivery monitoring is indicative of active citizen agency and this should be welcomed. However, there is a third space of monitoring, the co-created space; where the monitoring model is agreed upon by both government and citizens. In this process, both government and citizens share the agenda for monitoring and power is distributed amongst them. The CBM methodology of the DPME was meant to facilitate this co-created space. Nevertheless, the degree to which civil society manages to facilitate this process still remains to be seen. The sections below discuss some of the monitoring tools widely used in South Africa by both government and civil society. Figure 2.4. below illustrates the summary of the supply and demand driven monitoring model.

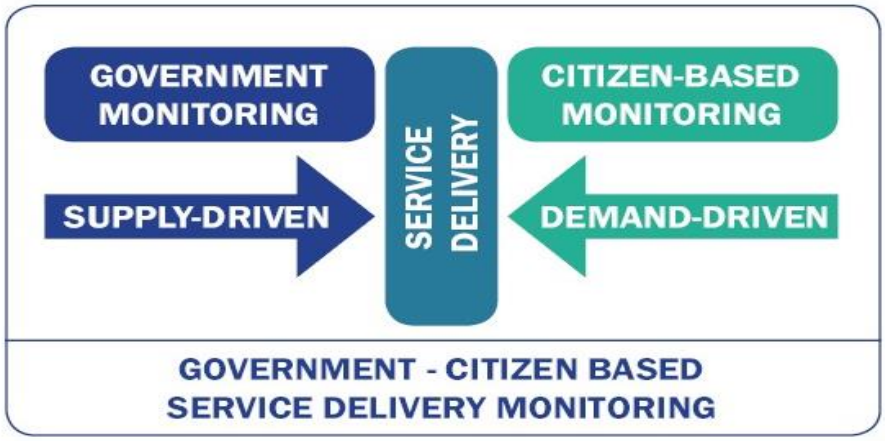


Figure 2.4: Summary of supply and demand monitoring model (authors own)

2.6 Collaborative Planning approach

As Goodspeed, (2016), notes collaborative planning is a form of planning theory that transcends from what was earlier known as communicative planning or communicative action. Earlier text around the concept from Healey, sited in (Calderon and Westin, 2021) only describe practice and neglects substantive issues that form a greater part of planning. Paradigm shifts in urban planning came as a result of communicative action theorists being viewed as neglecting adequate accounts of power relations, the state's influence and political economy (Habermans, sighted in Goodspeed, 2016).

The revised version of collaborative planning theory branches from several ingredients such as; focus on deliberations as the primary activity through which planning is achieved and an adaptation of haberman's concept of communicative rationality in the place of instrumental rationality (Caldon and Westin, 2021). The use of dialog as a means to reach a consensus as oppose to using technology. The concept is premised on the ideology that achieving collaborative rationality within a planning process requires a diversity of interest and authentic dialog. In which (Watson, 2009), counter argument is that in such situations there is complex and sometimes conflicting rationalities that present themselves as a challenge when it comes to decision making.

The idea that inter-subjective understanding can be easily reached in a rapidly moving planning and policy making process is contested. Another element in the application of collaborative planning approach is the context. Calderon and Westin, (2021), argue

that the concept is more suitable to countries that practice liberal democracy, where power is widely spread and freedoms of speech are protected by law and norms. Therefore, context play a role with regards to the success of the approach. It is important to note however, modern versions of collaborative planning provide guidance in managing relationships between independent variables and outcomes and provide useful concepts for achieving good collaborative planning practice (Mattila, 2016).

2.6.1 Service delivery challenges in informal settlements: Global perspective

There are three ways in which scholars have interpreted informal settlements, namely:

- As a transitional phenomenon associated with modernization.
- As 'disjointed modernization'.
- As something created by inequitable planning systems.

(Mshumpela, 2021)

The phenomenon of informal settlements started in the form of shacks mushrooming and expanding in private and in state-owned spaces, informal settlements were simply associated in the same way as other forms of slums, as another shelter for marginal activities such as crime, and drug abuse; and a likely source for different diseases that ravaged urban areas (Tshazi, 2019, and Eglin, 2019). An upshot transition caused by economic conditions during a particular time and space.

In the past the word 'slums', and/ or 'squatter camps' was used to describe informal settlements (Cirolia, Gorgens, van Donk, Smit, Drimie, 2016). These terms aim to elucidate the difficult conditions experienced by people living in these areas, who bear the brunt of inadequate service delivery, often poor with low levels of literacy (Turok, 2015 and Tshazi, 2019). Even though unavoidable, but impermanent, consequence of urbanization and in particular in South Africa a product of the Apartheid system.

According to the United Nation-Habitat's Global Report on Human Settlements titled: *The Challenge of Slums* (UN, 2003), the first global analysis of 'slums', a third of the global urban population in 2002/2003 (924 million) were slum dwellers. The patterning of this 'new urban order' is attributed to rapid urbanization and the urbanization of poverty. The UN Population Fund's *State of the World Population* report (2010) states

that since 2008, more than half of the world population (3.3 billion) lives in urban areas and over 213 million live in informal settlements. The rapid urbanization brought about by the 'second wave of urbanization' will reshape the nature of cities in Africa and Asia (where the urban population will double by 2030). Moreover, urbanization is characterized by the 'urbanization of poverty', a mutually reinforcing process, as the locus of poverty moves from rural to urban areas (UN Habitat, 2003:28).

The UN Millennium Declaration echoes the concern for cities of the global South and its Millennium Development Goal (MDG) seven, target 11, aims to 'achieve a significant improvement in the lives of least 100 million informal settlement dwellers by 2020'. However, the achievement of this target, officially named *Cities without Slums* (referencing the Cities Alliance's action plan), will only address 6% of the slum population in 2020 (Gilbert, 2007). The Global Campaign for Urban Governance (GCUG) and 2) the Global Campaign for Security of Tenure (GCST) is said to give operational guidance to meeting this bourgeoning urban crisis through more inclusive cities. On the bright side, the official target relating to improvement of slum dwellers' conditions was met by more than 2.2 times in 2010; 10 years ahead of the agreed 2020 deadline (UN-Habitat, 2010). This is due to the massive poverty reduction in Asia (particularly in China and India). However, the proportion of 'slums' and informal settlements in the rest of the world is growing in absolute numbers (UN-Habitat, 2010).

However, the recurrence of such language as 'slums', with all its negative historical import (Gilbert 2007), and the superficial symptom-orientated approach to urban poverty often through the MDG approach (Huchzermeyer, 2005) have been highly criticized. Moreover, governments have perceived high rates of urbanization as problematic and have been reluctant to formulate comprehensive urban policies, deepening the legacy of colonial urban development in the process (Huchzermeyer, 2005).

2.7 Provision of basic services through the Upgrading of Informal Settlement Programme (UISP) in South Africa

The Upgrading of Informal Settlements Programme (UISP) is one of the government's main programs that contribute to subsidized housing development. The UISP was initially developed in 2004 as part of the Department of Human Settlement's "Breaking

New Ground" plan developing integrated sustainable human settlements. Other programs, such as the Integrated Residential Development Program (IRDP), have complete houses as their goal, while the UISP only deals with basic services and secure tenure as a precursor to the construction of houses (Gilbert, 2007). The revised National Housing Code, published in 2009, sets out in detail how the UISP should be implemented. This Code establishes the underlying policy principles, guidelines, norms, and standards which apply to the various housing programs.

The key objective of the UISP is to facilitate the structured in-situ upgrading of informal settlements, which means upgrading that takes place on the site where the community currently resides. The UISP only provides for relocation and resettlement as a "last resort" in "exceptional circumstances." It also emphasizes the need for extensive and active citizen participation in the upgrading process and makes it clear that funding should specifically be made available to support citizen participation in the process. According to the Housing Code (2009), the UISP has three "policy objectives":

- Tenure security: recognizing and formalizing the tenure rights of residents within informal settlements.
- Health and security: facilitating the provision of affordable and sustainable basic services and the municipal engineering infrastructure required to provide such services to those living in informal settlements.
- Empowerment: establishing participative processes and addressing the broader social needs of the community.

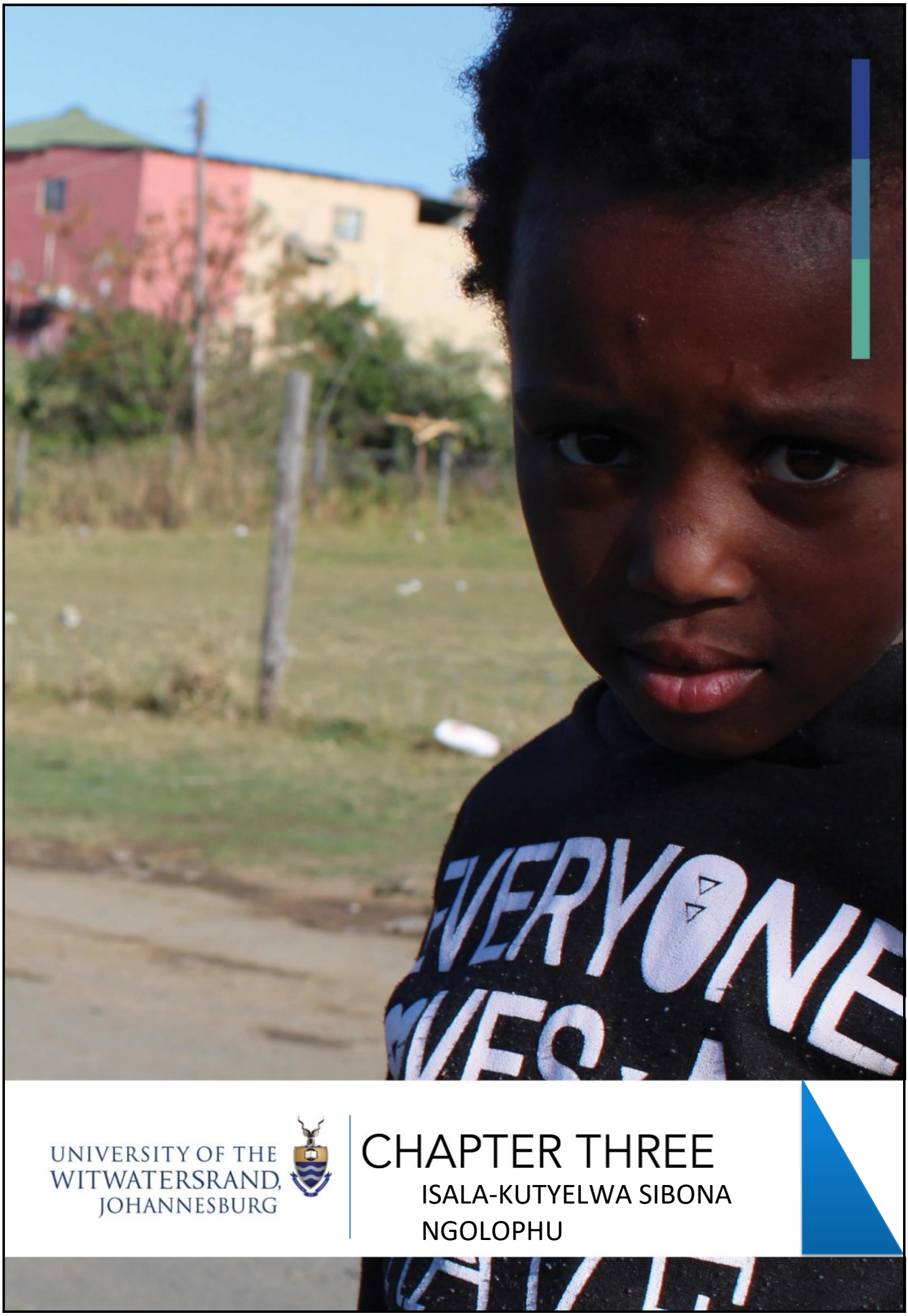
The Housing Code describes the UISP is a "phased development approach" with the goal of providing serviced stands not complete houses. The Code also describes what should happen in each of the phases, with serviced stands being in place by the end of the third phase. Housing consolidation (i.e., the provision of top structures) is a separate fourth phase and is facilitated through the Department of Human Settlement's other housing subsidy programs, such as the IRDP or the Peoples' Housing Process. The National Housing Code, however, emphasizes the connections between the four phases and that the UISP should provide serviced stands suitable for the eventual construction of houses. In the next few paragraphs, we describe in greater detail these four phases of housing delivery as envisaged by the Housing Code.

During Phase 1 of the UISP, a municipality applies to the relevant provincial department of human settlements for funding for the upgrading project and submits an interim business plan. Phase 2 includes land acquisition where necessary, as well as planning, geotechnical investigation, and the provision of interim engineering services to deal with any immediate or emergency need for access to basic services such as potable water, sanitation and electricity. Phase 3 focuses on the security of tenure for residents (specifically formalizing land occupational rights) and the provision of permanent basic services through the installation of permanent municipal engineering infrastructure. Phase 4, called the housing consolidation phase, is when the actual construction of houses or other top structures takes place.

However, reality on the ground has to some large extent proven contradictory to the process laid out in the policy. A lot of informal settlements upgrading projects have been stalled and unsuccessful due to the lack of proper citizen participation and monitoring in the process. Government and outsider experts are accused of assuming all the authority in decision making in participation is placed far from the hands of the community. This is what compels the study into investigating the role played by the community in monitoring the delivery of basic services in informal settlements as an assessment of best practice of good urban governance.

2.8 Conclusion

In this chapter we dealt with the conceptual framework that explores the three main concepts, urban governance, monitoring and citizen participation. This chapter has argued that collaborative planning and monitoring is a policy concept which involves active interaction of various institutions such as government agencies, non-governmental, community residents and community leaders. The concept of citizen participation is increasingly being used in the global South as an alternative approach to urban planning for equitable and sustainable urban informal settlement upgrading. This chapter has discussed various scholarly literature in relation to informal settlements and monitoring. The different interpretations of what the informal settlements are, have been discussed. Having reviewed the concept of citizen-participation in monitoring basic service delivery and its application in settlement upgrading, the following chapter presents the research methodology for this research.



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CHAPTER THREE

ISALA-KUTYELWA SIBONA NGOLOPHU

CHAPTER THREE: ISALA-KUTYELWA SIBONA NGOLOPHU

Isala kutyelwa sibona ngolophu, is a Xhosa expression that means a person who does not heed when warned sees by means of a hot wind. This expression gives life to the process that I needed to follow as part of the research process. Given the fact that the study was conducted during a pandemic, meant that, I as the researcher need not throw caution against the wind but rather adhere to the lock down regulations. Ultimately the goal was to comply in a manner that still achieves quality research. The song chosen for this chapter is a dance song by ***Nomcebo Zikode*** titled "***Xola moya wam***" it is a message of hope and forgiveness that assures us that better days are yet to come. I found this expression fitting as it encourages informal settlement dwellers not to lose hope. Instead to remain bold and content in themselves.



https://www.youtube.com/watch?v=SPDyF04DyOQ

3.0 Overview

This study uses the case study research method to examine the dynamics of citizen-driven monitoring of basic service provision in informal settlements using the Buffalo City Metropolitan Municipality as a case study. The study followed a descriptive and interpretive inquiry, analyzed through qualitative methods. The research is descriptive as it seeks to understand the process of monitoring the delivery of basic services. This chapter is divided into six sections. In the first section, I locate the study area, then explain in detail the case study research method. I use the second section to argue the suitability of case research for the topic. Further, I use the third section to explain data collection and data analysis instruments. In the final section, I explore the scope and limitations of the research methodology.

3.1 Location of the study

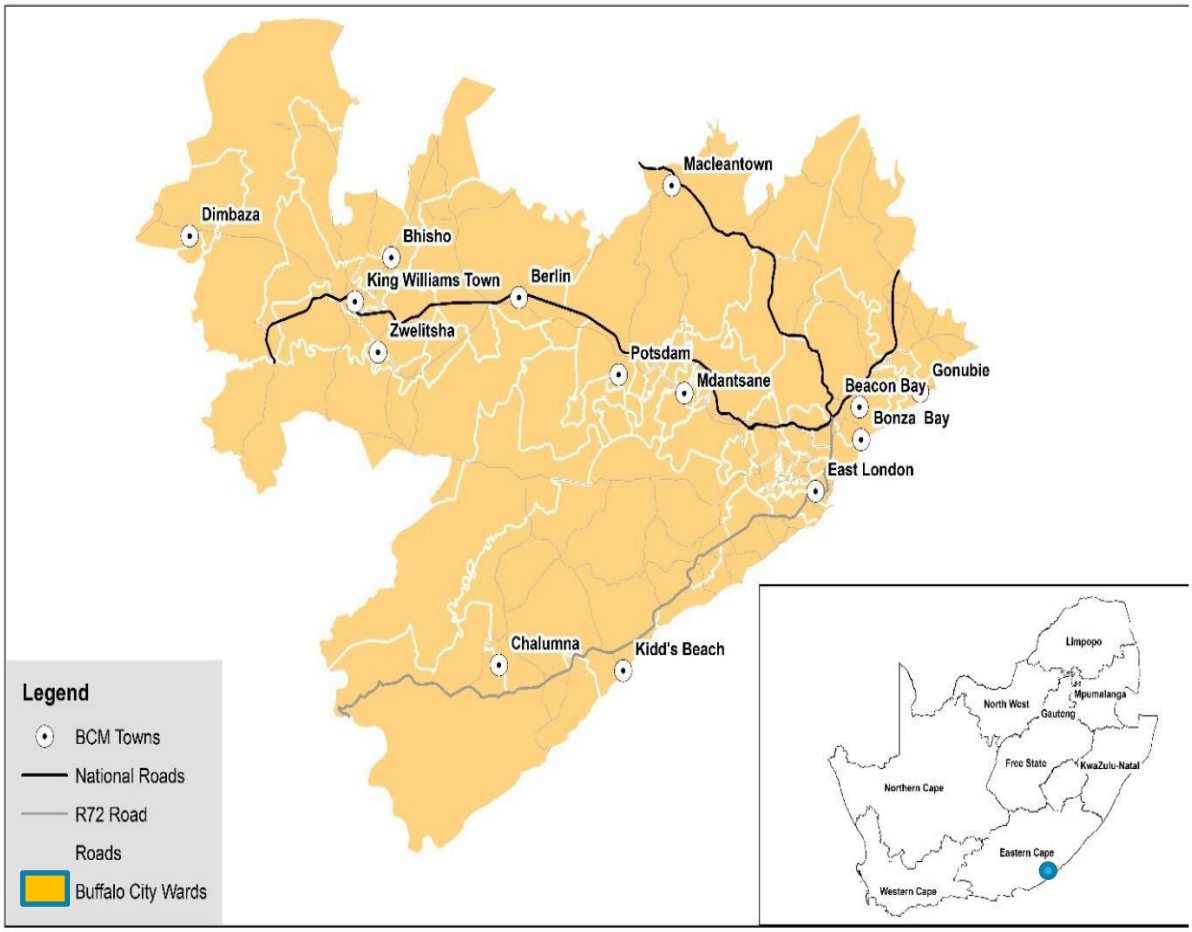


Figure 3.1: Buffalo City Metropolitan in South Africa (BEPP, 2019/20)

Figure 3.1 shows the Buffalo City Municipality in relation to the country, South Africa. The city is located in the Eastern Cape, the 3rd largest province in the country. The Buffalo City Municipality accounts for 12.2% of the 7.22 million population of the entire Eastern Cape (BEPP, 2020/21). The rate of unemployment in BCMM is estimated at 36.3% (Stats SA). Only some 36% of the households in the area earn more than R1, 500 per month. The BCMM IDP Review, 2020/21 cites the Formal Housing Backlog in the municipality as being around 65 800 units (BCMM IDP 2020/21). In addition, there are an estimated 62,000 dwellings that lack formal connection to services, such as backyard dwellings etc (BCMM IDP 2019/20). In BCM, approximately 56% of residents in informal settlements have lived there for more 20 years 73% of the household residents were unemployed only 22% were employed and 5% were self-employed (Mshumpela, 2020).

3.2 Equality measurement

Figure 3.2 below shows the cluster of informal settlements across the entire city. According to the informal settlement study conducted in 2010, the metro had a total 153 informal settlements areas, located along the main route towards the city centre. However, this number is estimated to climbed higher over the last decade. In terms of service delivery, the municipality's (BEPP, 2019/20), and annual report (2019/20) suggest that the municipality is performing well in terms of basic service provision in its informal settlement areas.

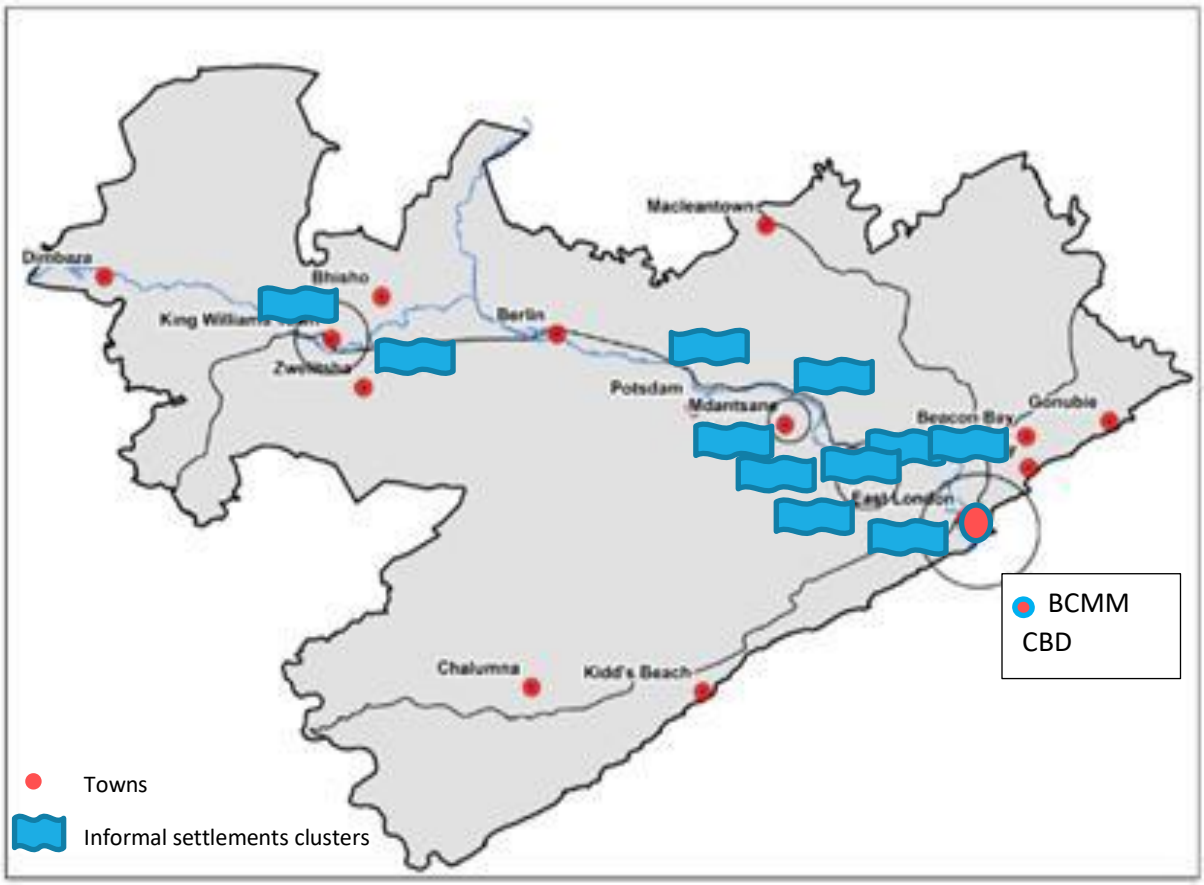


Figure 3.2: Cluster of Informal Settlements in Buffalo City Metropolitan (BEPP, 2019/20)

According to the (BEPP, 2019/20) of the municipality, the Gini Coefficient[1] for BCMM currently stands at 0.635 as compared to 0.623 for the Eastern Cape province in 2018. This is an indicate of high levels of inequality within the Metro while the Gini coefficient for the whole of South Africa was 0.629 in 2016. In terms of poverty level the municipality in 2018, there were 492 000 people living in poverty, using the upper poverty line definition, across BCMM. This is 5.40% lower than the 520 000 in 2008

[1] The Gini coefficient is a summary statistic of income inequality. It varies from 0 to 1 (Eglin, 2019).

(BEPP, 2019/20). According to (Stassa, 2018), the percentage of people living in poverty has decreased from 65.58% in 2008 to 55.66% in 2018, which indicates a decrease of 9.92 %. While the unemployment rate stood at 118 000 people out of the 755, 200 people that reside in BCMM.

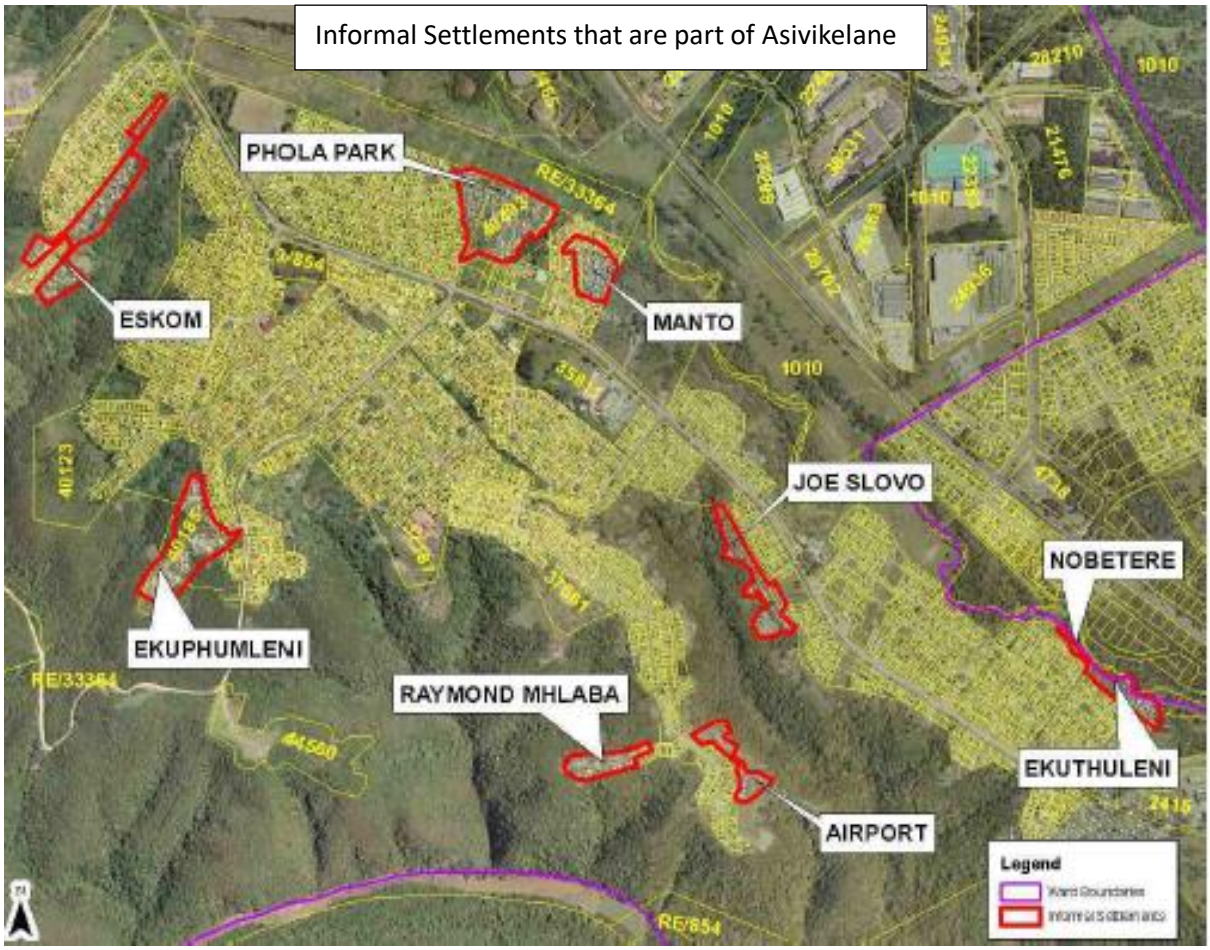


Figure 3.2.1: Informal settlements that are part of Asivikelane campaign in Scenery Park (Afesis, 2019)

Figure 3.2.1 above shows the arial view of buffalo city, with the Scenery Park cluster of informal settlemens where the research study is undertaken highlighted in red and the ward boundaries in purple. During covid-19 on top of pre-existing unemployment, over 40% of households lost paid employment. Making food insecurity particularly of those living in informal settlements a glaring socio economic challenge, with more than half of informal settlement residents having no money for food (HSRC, 2019). Academic research has shown that informal settlements have a higher rate of infectious diseases, such as respiratory diseases, diarrhea, waterborne diseases, TB, malnutrition, and stunting. Largely these are attributed to the lack of adequate access to basic services in informal settlement areas (HSRC, 2019).

3.3 Research Approach

The research is both descriptive and explanatory as it seeks to gain insight in terms of the roles and responsibilities the various stakeholders play in monitoring of basic service delivery in the Buffalo City, as a case in point for a citizen-driven approach to service delivery. By using a qualitative approach, the research aims to gain insight in terms of the process followed and understand the limitations that hinder citizen participation in monitoring of basic services. The application of citizen participation varies from one municipality to the next. Therefore, to counter this the research scales down to a case study approach, after general procedures under citizen participation in monitoring have been established, giving nuanced evidence to this phenomenon.

3.3.1 The Research methodology

The research methodology is structured around the main research questions and the four sub-questions to ensure that each one of them is appropriately answered. The diagram below graphically depicts how each question will be tackled.

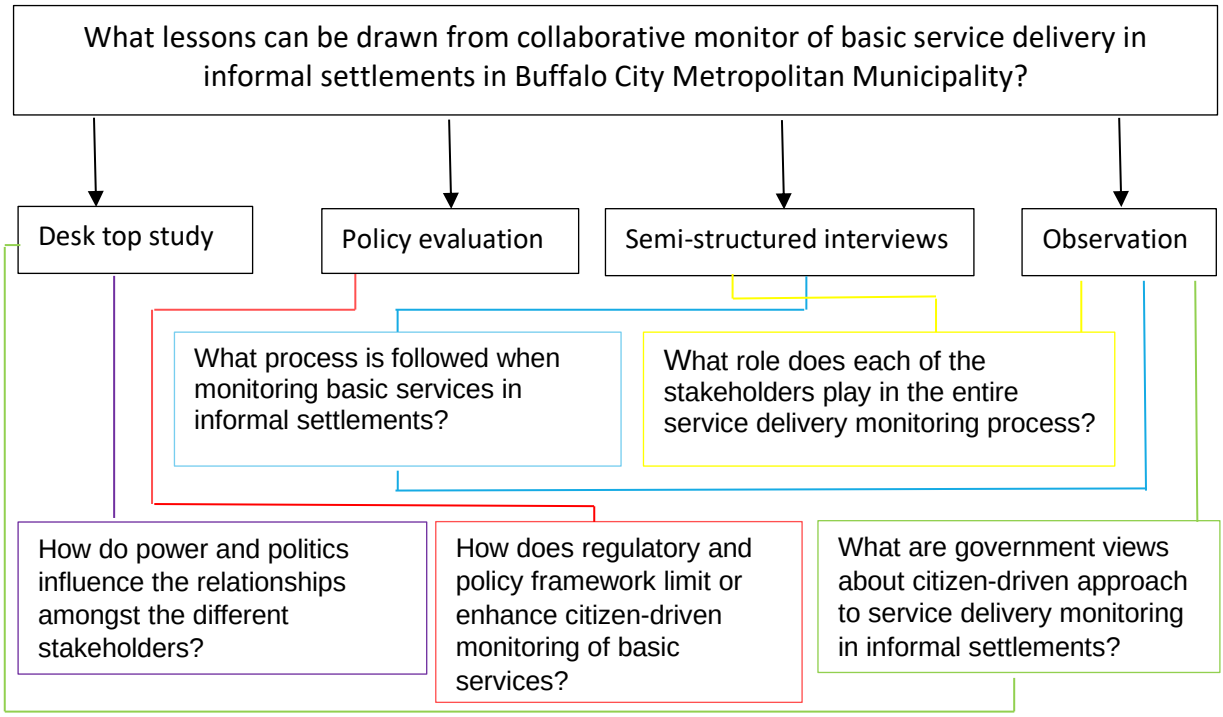


Figure 3.3.1: Research methods graphic outline (Kente, 2020)

Figure 3.3.1 above shows the four different types of research methods that used as bases to answering the main research question. These include a desk-top study, policy evaluation, semi-structured interviews and observation.

3.4 Research paradigm: Case study method

Case study method involves the analysis of a unit which defines the minimum level of study. Thus, the method was used to do intensive analysis of urban governance approaches to basic service delivery in informal settlements. This was to understand how the existing institutional framework for monitoring influences the provision of basic services (Stake, 2008). In this instance, this approach will assist in investigating whether the current institutional framework support citizen-driven monitoring as a game changer in performing service delivery in informal settlement areas. Furthermore, the case study method involves rigorous and exhaustive analysis of both the unit of analysis and specific study elements influencing the phenomenon under investigation (Zainal, 2007).

Accordingly, the research analysed actor participation in relation to the local context and institutional framework (Flyvbjerg, 2011; Flyvbjerg, 2001). Through detailed contextual analysis of the current institutional framework, the existing relationships and power dynamics among the stakeholders; case study research was useful for investigating the existing basic service delivery monitoring initiative as a contemporary real-life phenomenon. Thus, this case study functioned as “an empirical inquiry that investigated a contemporary phenomenon within its real-life context” (Yin, 1994 and Gerring, 2004).

3.4.1 Suitability of case study method

The choice for the case study method is based on the understanding that monitoring is a value-laden activity. Thus, enhanced understanding of monitoring activities and service delivery processes should be grounded in interpretivist and realist paradigms (Krauss, 2005). Further, the research report is a product of the interaction between the researcher and participants. So, this research is value cognizant and is conscious of the values of human systems (Lincoln and Guba, 1985; Krauss, 2005). On one side, the interpretive paradigm is premised on the belief that reality should consist of people’s subjective experiences. As a result, interpretive model adopts an inter-subjective epistemology; and the ontological belief that, reality is socially constructed (Krauss, 2005 and Dobson, 2002).

3.5 Data collection techniques

3.5.1 Desk top study

The desk top study method is more appropriate for answering qualitative research topics by seeking to answer 'what', 'how' and 'why' context bounded research questions (Yin, 2003). Therefore, this method was appropriate to answer the research question at hand because the research required a deep interrogation of the context and a more nuanced understanding of citizen-driven monitoring as an emerging model of service delivery in informal settlement and urban development. This method would assist the researcher to understand how power and politics influenced the partnership between the stakeholders including government. Similarly, the method will assist the research in highlighting civil society's views about government's approach to service delivery monitoring and vice-versa.

3.5.2 Policy evaluation

Policy evaluation will assist the researcher to understand government's approach to monitoring and evaluation and how has it evolved over time. Similarly, the method will unpack what has the government experience of approaching monitoring and evaluation in a participatory. Consequently, the method will be used to analyse the context and the institutional interface created by NGOs, local government and the informal settlement dwellers working towards improving the living conditions of people living in the Buffalo City's informal settlement.

3.5.3. Semi-structured interviews

Semi-structured interviews allow the researcher to get rich insight and meaning from the respondents (Babbie, 2005:87). Moreover, the method makes it possible to have prearranged questions in a conversational manner, which puts the interviewee at ease. Semi-structured interviews are a non-standardised tool for data collection in qualitative research (Hoyle, Harris and Judd, 2002:144). This approach will assist the research in terms of understanding the role and responsibilities each of the stakeholders have. Thus, understanding the relationships between these stakeholders. According to Kajornboon, (2006), interviews as a systematic way of talking and listening to people are a way to collect data from individuals through

conversation. Given the serious challenges posed by Covid-19 pandemic during this period.

3.5.4 Observation

Observations are used in the study as a way of collecting empirical data. This will allow the researcher an opportunity to witness the informal settlement dwellers in action when they conduct feedback sessions with the municipality and other stakeholders. This will be an opportunity for the researcher to witness some of the dynamics that present themselves in these spaces. According to Babbie, (2005: 87), observations assist in the collection of descriptive data that requires further elaboration and give depth.

3.6 Sampling process and sample size

The study had a total of 15 respondents drawn from active Asivikelane programme partners. The participants were selected using a purposive technique. This sampling method helped the researcher to get individuals who were actively involved in the Asivikelane campaign activities. Thus, the aim was to work with the community leaders from the selected informal settlements that act as key mobilisers in the Asivikelane programme. The researcher prepared a list of all informal settlements that are part of the campaign in the Buffalo City Metropolitan and identified 10 community leaders from the 45 informal settlements in this area. Additionally, IBP and Afesis-corplan assisted the researcher to identify active programme institutional partners. In-line with Covid 19 restrictions, for preceding virtual interviews, the researcher had telephonic conversations with the ward councillor and informal settlement residents. In essence, electronic email exchanges and zoom calls with key officials in the Department of Informal Settlements at the Municipality were used. In total 15 research participants were drawn from the Asivikelane participants and relevant institutions:

1. Informal settlement residents: 2
2. Community leaders: 6
3. Buffalo City Metropolitan Municipality: 2
4. Afesis-corplan: 2

5. International Budget Partnership (IBP-SA): 1

6. Asivikelane Network Coordinator: 1

7. Ward councillor: 1

3.7 Methodological scope and limitations

In general, case study method contains a bias toward verification; “the tendency to confirm the researcher’s preconceived notions and this renders the study to be of less scientific value” (Flyvbjerg, 2011). However, the researcher, needed to be mindful of this dilemma at all times. Dobson (2002) agrees that our knowledge of reality is a result of social conditioning and, thus, cannot be understood independently of the social actors involved in the knowledge derivation process. With regards to limitations, by definition, the research question can make no claim of being typical and applicable to all other citizen-monitoring initiatives in informal settlements in other South African cities. Other local authorities may have different municipal policies on how to collaboratively deal with informal settlements. Furthermore, the data sought by the research question cannot claim universality and generality as it is not representative of a large population and cases across a wider region in the Eastern Cape (Hodkinson & Hodkinson, 2001). Based on these weaknesses of the method used, the findings may be of little policy value outside Buffalo City Municipality. However, the method is useful for producing generalizable concepts and prepositions that can be tested and applied in other global South cities where citizen-monitoring is happening. Therefore, the value of the case research method is not in generalising context but in the principles that characterise a particular research phenomenon.

3.8 Conclusion

This chapter has explained the methodology of the research, a case research method and its application in this research. In addition, the chapter has outlined sources of data, data collection instruments and data analysis procedures applied in this research. The chapter has further explained the strengths and limitations of the case research method in interrogating the research question. The chapter has equally elucidated a number of strategies used to counter the methodological challenges to ensure research validity.



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CHAPTER FOUR

INTLWA AYIBANJWA NGENTLOKO ISAVELA

CHAPTER FOUR: INTLWA AYIBANJWA NGENTLOKO ISAVELA

The song choice for this chapter is a house song titled "**Abekho ready**" by **De Mthuda**, translated they are not ready. The song speaks of hush realities lived by young predominantly black South Africans who live in unforgiving areas and spend their time-consuming alcohol and drugs. Its relevance to the chapter is that I as the research was not ready for some of the revelations made in the chapter, which resonates with government stance on citizen-driven monitoring.



https://www.youtube.com/watch?v=LBgAnnnO6bQ

4.0 Overview

This chapter presents the research findings on the monitoring of basic service delivery in informal settlements in Buffalo City Metropolitan Municipality. The chapter presents case facts in their raw form as collected during the interviews phase which the researcher undertook between February and March 2021. This chapter is divided into eight sections. I use the first section to present findings on the stakeholders that are part of Asivikelane programme. In the second section, I present the findings on the nature of the partnership amongst the different stakeholder. Section two also summarises the role of each of stakeholder. Using the third section, I present the mechanisms and tools that are used to monitor basic service delivery in informal settlements and how the findings are communicated. In the fourth section, I present findings on institutional and power relations amongst the stakeholders. I use the fifth section to present findings on achievements that have been realised this far. In the sixth section, I present findings on the factors that underpin regulation and policy framework for citizen-driven monitoring of basic service delivery in informal settlements. Further, I use section seven to present governments views on citizen-driven monitoring of service delivery interventions in informal settlements. Finally, I use section eight to draw my last reflections from the field and also to introduce the chapter about discussion of the findings.

Data presentation

4.1 Asivikelane initiative - stakeholders and its dynamics

Asivikelane meaning ‘let us protect each other’ in isiZulu, one of South Africa’s dominant vernacular language is a campaign for improved basic service provision in informal areas. The campaign seeks to amplify the voice of people living in informality, using evidence, to engage decision makers for improved basic service provision in their informal settlements. Ordinary citizens are mobilized to monitor and assess the state of their basic services and to collect evidence through photos and testimonials which are collated into a simple report to inform the decisions made by municipalities for basic services provision. Asivikelane initiative consist of 11 Non-profit Organisations spread across the entire country. The initiative has representatives from each of the 8 metros in South Africa, including 5 additional towns as shown by the figure 4.1 below. The red dots on the diagram represent informal settlements that are part of the initiative with the total number currently standing at 240 settlements and counting.

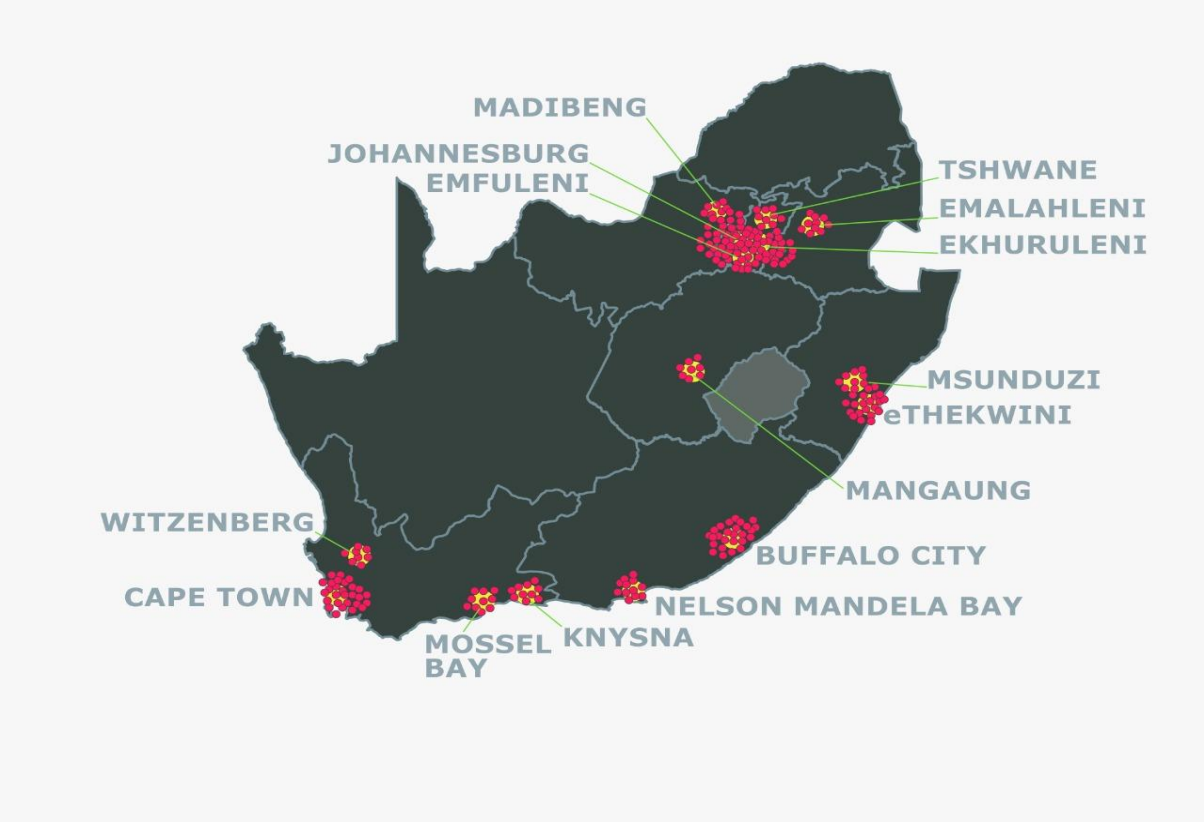


Figure 4.1: Map of Asivikelane Initiative footprint (Asivikelane, 2021)

Asivikelane is a growing initiative that gives voice to informal settlement residents through a formation of NGO's. The initiative was designed to address issues of service delivery during the Covid-19 pandemic in major cities, who face severe basic service shortages. Fundamentally the initiative focusses on monitoring the provision of basic services such as access to water, sanitation and refuse removal. It consists of NGO's and funders all working together to improve service delivery for the urban poor. The organisations on the network are: Afesis-corplan based in East London in the Eastern Cape, Plan-act in Gauteng, South African Alliance and Abahlali Basemjondolo in Kwa-Zulu Natal and Development Action Group, Social Justice Coalition and International Budget Partnership in Cape Town. Sponsored through funding from Illuminate, Open Society Foundation and the Swiss Agency for Development, The Raith Foundation and Cooperation and the International Budget Partnership.

4.2 Asivikelane initiative footprint in the Buffalo City Metropolitan Municipality (BCMM)

In BCMM where the research study is undertaken, Asivikelane is presently working in 45 out of 153 informal settlements in the city. The initiative has extended its reach from 38 informal settlements in December 2020 to 45 in March 2021. Out of the 45 informal settlements there are 265 respondents recorded on the data base of informal settlements that monitor basic service delivery, with an average of 70% responsive rate on a monthly basis. Out of the 265 respondents, 10 community facilitators are tasked with the role of representing the 45 informal settlements and support the work that Asivikelane is doing in the Buffalo City.

The role of community facilitators consists of fostering better feedback and engagement with communities and stimulate better coordination between the multi-stakeholders including the city. The community facilitators are responsible for relaying basic service delivery information to the city. The community facilitators play an integral role in helping to connect informal settlement residents with relevant authorities in the municipality as well as assist in building local agency.

4.3 Strategies used in monitoring basic service delivery in informal settlements

The mechanisms that are used to monitor basic service delivery in informal settlements include monthly questions about the state of water provision, sanitation facilities and waste removal (Appendix E). Through this process residents are able offer insight into their daily lived experiences of these basic necessities. Every month a detailed results report is published and shared with the relevant authorities in the municipality, including the National Human Settlements department to enable swift government responses.

WhatsApp and instant messaging services are used as the main method of communication to engage with respondents. The community facilitators support the informal settlements residents with data collection, recruiting of additional participants and facilitate report back activities. Residents use WhatsApp to give feedback in the form of pictures, videos and voice notes. The lockdown restrictions have not significantly affected how engagement between the stakeholders happen. The informal settlement residents have embraced using technology to communicate amongst themselves and with government around service delivery challenges as and when they are identified.

The community facilitators (and the Asivikelane respondents) act as data captures on the ground. They are responsible for implementing exercises such as researching the size of informal settlements and the number of toilets and taps (and other basic services) that are required in each informal settlement. Both residents and community facilitators actively undertake mapping exercises, that are meant to complement the data of the municipality which is currently outdated. The diagram below shows the data set of Scenery Park informal settlements cluster, where the study is undertaken.

SETTLEMENT	POPULATION	CURRENT SITUATION	IDEAL SITUATION	ADDITIONAL TOILETS NEEDED [24]
AIRPORT	302 people	**21**	15	-6
EKUPHUMLENI	386 people	**6**	19	13
ESKOM	598 people	**12**	30	18
MANTO	384 people	**8**	8	0
PHOLA PARK	541 people	**10**	27	17
TOTAL	2211	**57**	99	42

Table 4.1: Informal Settlements data collection form (Afesis, 2019)

4.4 The role of civil society organizations

In Buffalo City Metropolitan the Asivikelane implementing partner is Afesis-corplan an NGO, whose core work is ensuring good local governance as well as promoting for basic services provision in informal settlements. The organisation plays the role of supporting informal settlements through capacity building interventions and resource mobilisation. The organisation assists the informal settlement communities with mapping exercises and data capturing on electronic data bases such as Arch GIS and Kobo toolbox. The Kobo toolbox platform is used as an online data storage, that consists of contact details of Asivikelane community respondents. On this platform communities are able to capture and upload information pertaining to their basic service requirements and the data is used to engage the municipality by means of showing the gaps in basic services delivery in informal settlements.

Linked to the above interventions the NGO also facilitates training to boost the capacity of informal settlement residents. The organisation runs bi-weekly virtual training sessions on WhatsApp. Is uses material such as short videos, presentations and radio drama to cover a various topic including:

1. Introduction to the WhatsApp group
2. Understanding Asivikelane (this is just for the Asivikelane facilitators)
3. Understanding how the municipality works
4. Understanding your informal settlement

5. Understanding basic services and upgrading of informal settlements
6. Analysing the municipal budget
7. Organizing yourself to achieve something
8. Campaigning with others to get something done
9. Supporting others to do things
10. The Constitution and the rule of law.
11. Your role in the planning & oversight.
12. The municipal planning & oversight cycle.

4.5 Institutional power dynamics to citizen-driven monitoring interventions

Feedback meetings held with municipal officials are moderated by the NGO's since the beginning of the Asivikelane campaign. Other forms of engagement with the municipality include telephone calls, emails and WhatsApp messages for which response has been viewed by informal settlements to be feeble at best. The majority of these engagements with the city have been with the water department in BCMM with whom a strong working relationship has been formed. Both the informal settlements and Afesis-corplan reported that after a sluggish start a relationship with the sanitation department has developed. All departments that are under the human settlements department of the municipality are cooperative and willing to engage with the Asivikelane programme stakeholders.

Community respondents expressed the importance of demonstrating to the municipality, especially the engineering department their commitment to realising improved basic service delivery that is not influenced by party politics. The informal settlement residents that are part of the Asivikelane campaign were able to convince the department about the important work that Asivikelane is doing and the potential that this campaign has for building a better relationship between informal settlement residents and the city, whilst achieving improved basic service delivery.

> ***"****The facilitators play an integral role in bridging the information gap between the communities and the municipality. They are able to pass information in*

both directions from the municipality to community and the community to the municipality.

The manner in which the community facilitators are embracing the work has led to improved relations that are changing attitudes in key city officials like the supervisor of toilet cleaners who oversees the distribution of maintenance work across the metro informal settlements. For example, the community facilitator responsible for informal settlements in the Reeston area has arranged for the municipal toilet cleaning supervisor to visit the informal settlements in this area (including informal settlements the supervisor was not aware of) to assess the need for basic services in the different communities in this area.

What we want is for this type of field trip to be replicated in other informal settlements in the city through the community facilitators. This collaborative effort between the communities and the municipality, will bolster the use of up-to-date information on informal settlements and will assist the municipality plan for and budget for proper maintenance and increases in the provision of additional communal toilets and taps in our settlements."

Fossie Langa – Ekuphumleni informal settlement in Scenery Park

It is evident that some informal settlement communities are displaying their own agency and are undertaking activities on their own to find ways to improve service delivery in their communities. For example, the Muvhango informal settlement has been engaging with the municipality for a number of months to find solutions to their land, services and housing needs and after not receiving the response they expected from the city they organised a march to the city where they have delivered a petition of their demands for the municipality to respond to. The same community when they were not getting refuse removal services from the municipality, they organised their own black plastic bags and cleaned their own informal settlement.

4.6 Mechanisms and tools used for monitoring government response

The informal settlement residents use robots as indicators for gauging how a particular municipality is fairing when it comes to basic service provision in informal settlements in each of the cities that are part of Asivikelane. The robot system shows in relation to other municipalities how the provision of each service is improving or not improving. The colour **RED** is used when a particular service is not being provided and thus showing the municipality to be performing poor for that particular service. **Orange** or Ember shows that the is slight improvement and noticeable change in the provision of a particular service and **green** showing adequate provision.



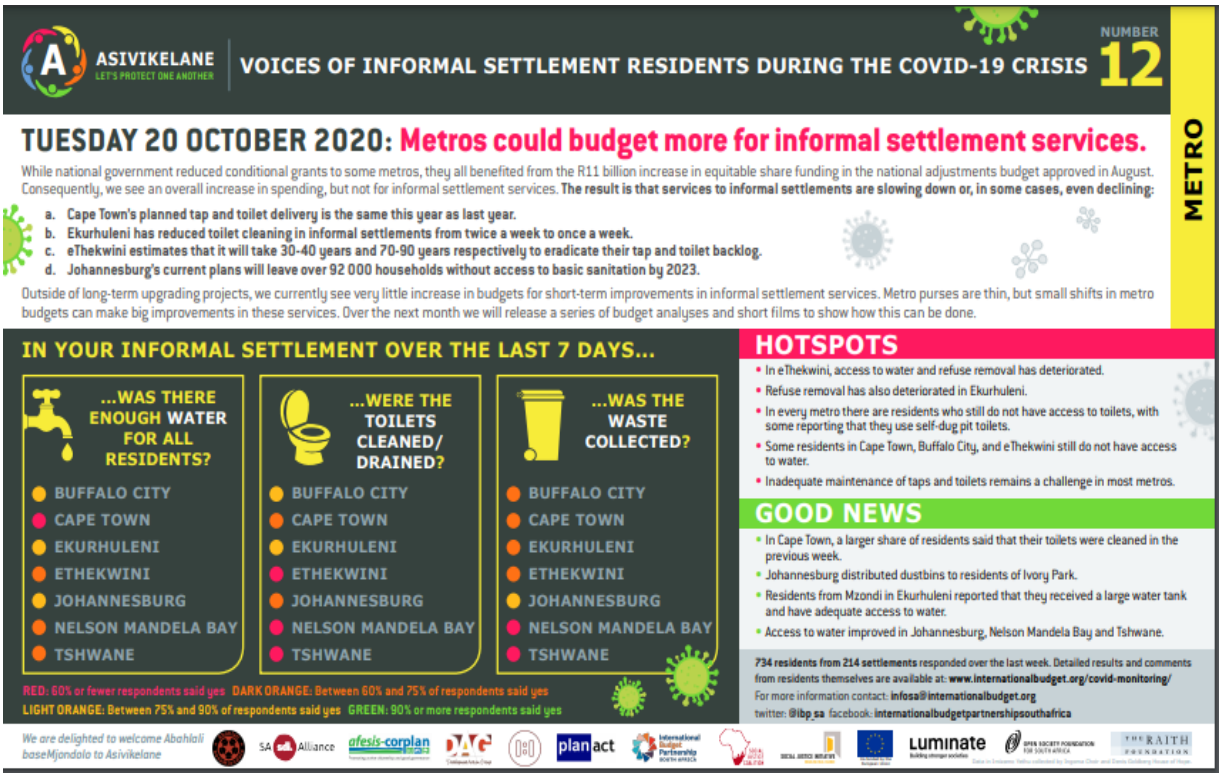


Figure 4.1: Asivikelane monthly report

The figure 4.2 above represents a record of how the municipality was responding to the challenges and issues that were raised by the Asivikelane respondents, where the communities and NGO's keep track of all the engagements with the municipality and the rate of responsiveness. This table also keep track of the performance of a municipality over a longer period, three months, to six months, to a year. This table allows participants to see what commitments have been made, as well the actions that have been made in the past in order to make a follow up if progress is slow.

Through the above monthly report communities have been able to share information and give feedback to informal settlement dwellers on what responses they are receiving from the municipality by updating report. Reports are shared with the participants on the municipal responses through WhatsApp messages and by using community facilitators to also report back to respondents and communities.

Community facilitators also use regular slots on community radio stations to update informal settlement residents on the work done and how the municipality is responding to the service delivery challenges raised each month. Based on this interaction and communication, communities are able to monitor municipal responses and give information of what the municipality is doing as a response. The community respondents are also able to report on what the city is doing in response to Covid-19 like disinfecting communal facilities in informal settlements.

Other platforms used by the informal residents include social media, commercial media and community media platforms (like the Daily Dispatch, Isolezwe newspapers and community radio station) to raise awareness within the general public as to the service delivery challenges and successes in informal settlements. This puts more pressure on the municipality to respond to these issues. According to the participants the media has been showing a lot of interest in reporting on what is happening in informal settlements. More community radio stations are wanting to broadcast the Asivikelane results and service delivery challenges. This has assisted these informal settlements to forge mutually beneficial relationships with civil-society and media that has the potential to have a longer lasting impact on the state of basic service delivery in informal settlements. The metro is appreciative of the fact that the Asivikelane campaign is providing them with a real-time evidence-based picture of what is happening in these informal settlements. This is leading the city to have much greater

awareness of the basic service delivery issues that exist in each informal settlement community and across all the communities in the metro.

4.7 Interpretation of the Asivikelane results in case of BCMM

The surveys done this year show a steady but consistent decline in the maintenance of communal taps and toilets and the removal of waste. Between 85% to 95% of respondents say that there are no noticeable improvements in their informal settlements this year. At the time when the research was conducted there were 8 new additional toilet seats has been provided in Scenery Park informal settlements so far this year.

As much as the provision of additional basic services is very important, it is believed that the increased confidence and capacity of residents of informal settlements to understand how they can engage with the municipality is equally (and possibly even more) important then these physical improvements. Development is not just about having more toilets and taps but it is also about changes in community and municipal mindsets and attitudes and about changes in the behaviour of community and municipal officials.

An example of a change in attitude and behaviour is the Muvhango informal settlement who have been notorious in the metro for violent public protest (where they have blockaded the access road from Mdantsane to the city). This community is now, since they have joined the Asivikelane campaign, more determined to engage in a non-destructive manner with the city. This is evident in the recent march they organised where they were advocating for improved basic services.

Citizen-driven monitoring of basic services has been able to lessen the frustration of informal settlement residents in the city at the inability of the city to adequately respond to their needs by standing in solidarity with them to monitor and report on the provision of basic services. The city has continued to use the Covid-19 regulations that limit mass gatherings to limit the amount of public participation in its Integrated Development Planning and budgeting process and this has resulted in a budget that is not inclusive and pro-poor.

4.8 Factors underpinning regulation and policy framework for citizen-driven monitoring

Piper and Deacon (2008), Ngamlana and Coopoo, (2015), in research conducted in Msunduzi and Buffalo City Municipality, found that ward committees are very often politicised in one of three ways. Firstly, there is 'interparty competition', in which political parties vie for control of the committees and where the composition of committees is skewed towards supporters of one or other party. Then there is 'intra-party competition' in which ward committees have become embroiled in factionalism within political parties, where one or other faction within the party (typically the ANC) uses ward committees to secure greater political power. Finally, there is what they term 'policy competition' where the role of ward committees, rather than their composition, is defined by the political party. In Msunduzi, the latter has apparently been manifested by ward committees in predominantly DA areas refusing to participate in the municipality's ward committee processes, such as the training that was provided for ward committees.

These limitations are legislatively imposed in the first instance - i.e. the Structures Act confines the powers of ward committees to merely providing advice to ward councillors and receiving inputs from communities. Although the Structures Act makes provision for municipalities to delegate certain powers and duties to ward committees, it would appear that few municipalities have done this in any meaningful sense. Ward committees are another emerging political arena. Ward committees represent a fertile opportunity for communities' interests to be represented. But the practical problems facing ward committees should not be underestimated. Most ward councillors are part-time (while many PR councillors are full-time) and do not have constituency offices or administrative staff. Some wards, particularly in the rural areas, spread over distances. Many municipalities do not have the funding to give administrative support to ward committees. The members of the committees will not be paid for their participation does not help, and so it is important to sustain their enthusiasm in other ways.

4.9 Governments views on citizen-driven monitoring of service delivery

In a mix bag of different stakeholders, the issue of power relations presented itself. With regards to hosting of meetings and feedback sessions particularly with the

municipality. The NGO often takes the lead in initiating meetings with the municipality on behalf of the community. It was identified that community residents do not enjoy the same level of recognition as NGO's in the eyes of the municipality. Community residents complained that when they attempt to hold meetings or request information from the municipality they were often ignored. Initially the intervention of the more established NGO was required in order to get a response from the municipality.

The change in mindset by Buffalo City Metro officials about the forming of partnerships and working with communities and civil society rather than working against them has been an important outcome between the Asivikelane initiative with the city. The city has agreed to work more consciously with informal settlements in the municipality. The other commitment by some of the champions within the city is that of converting others to seeing the importance of having informal settlements residents and civil society involved in local governance issues and service delivery. The government respondents confirm that over the past six months a strong relationship has been formed and promises to yielding some positive results. Community respondents also confirmed that now they are being invited into spaces and meetings where they previously were not invited.

> *"We are seeing the municipality taking some initiative in terms responding to some of the concerns of service delivery raised by informal settlements in the metro, like improving the cleaning and maintenance of communal toilets and taps. Even though these service delivery improvements are happening slowly, there is an improvement in the delivery of services in informal settlements in the form of new toilets and water taps, however we do want to see the municipality doing more."*
>
> *Buffalo City Metropolitan- Official*

4.10 Civil society and government partnerships during covid-19

There is a lot that can be said about the manner in which government could have partnered with civil society and business in the fight against Covid-19. It is clear that government does not have mechanisms to rally business and civil society and society towards co-created solutions even in the face of a national disaster. It goes without saying that a disaster such as Covid-19 needed a leader and the President rose to

that occasion, but the creation of a response mechanism needed cocreation and buy-in. In relying only on NEDLAC as the consultative forum meant that government missed opportunities of walking with a broad range of key partners in the disaster management process. This is something worth reflecting upon and thinking through post Covid-19.

As mentioned above, the establishment of the NGO partnership created a conducive environment for government and civil society to partner and co-create meaningful solutions. To date, these partnerships have been small-scale, localized and issue-based. Government has largely viewed civil society as an extension of its social services, an important and necessary role in a country with a history such as South Africa, but a limited role nonetheless. Government fails to see civil society as an integral partner in the attainment of the country's transformation ideals and thus does not have mechanisms outside of National Economic Development and Labour Council (NEDLAC), of engaging civil society and co-creating solutions to societal problems with it.

It took sustained protests and a concerted media attention on the increasing violence against women and girls for government to facilitate a conversation with civil society to explore possible solutions to a societal problem that was impacting on the image of South Africa. The majority of interviewed respondents argue that even from that process, government is yet to fund the implementation of the co-created plan to fight gender-based violence. Social cohesion and collective violence including xenophobic violence, gang violence, vigilantism, etc. are all forms of violence that plagued society. While government willingly participate in conversations with civil society to deal with such challenges, it fails to resource the implementation of plans designed. So, there were very little examples local where government and civil society had partnered meaningfully to address societal problems, by the time that Covid-19 hit - there were very few models to draw from, no platforms for collective engagement and no funding mechanism in place. It is interesting to note that partnerships between civil society and government are influenced by the nature of organizations. The more adversarial the further away government stands from you, vice versa.

The Solidarity Fund is one key example of a partnership between government business and civil society. Business (and other high net worth philanthropist)

contributed towards the establishment of the fund, government provided the infrastructure for administering the funds and civil society participated in the provision of the services necessary to support resilience of many communities in the face of Covid-19. There are numerous lessons to be learnt in the manner in which the fund was structured.

There are also numerous lessons to be learnt from the checks and balances that were put in place by the fund administrators one of which was a call for a total public disclosure of all procurement that flowed from the funds provided by the solidarity fund. This was very important in that most of the Covid-19 emergency procurement happened in the absence of oversight mechanisms. It was the first time in the history of democratic South Africa that government was forced to disclose detailed information on procurement such as value of contracts awarded, to whom, for what, etc. This kind of information continues to inform social accountability and government reform conversations post Covid-19.

4.10.1 Civil society skills during covid-19

Covid-19 took the world by surprise and, the global panic and haste to 'respond and contain the virus necessitated government, civil society and business to deploy resources and energy to adapt and respond. As mentioned above, in announcing the lockdown in March 2020, President Ramaphosa also grounded to a halt the physical coming together of many institutions whose work was physically based. In fact, it can be safely said that government's mode of working was largely physical. South Africa's economy was propelled by this structure of work; i.e. people flying from one city to the next for meetings and business engagements, parliamentarians meeting, physical verifications, etc.

The work of civil society was also based on physical meetings and shared physical spaces. Many organizations reported to not have had policies to regulate remote working before Covid-19 nor were they provided their staff with the necessary technological infrastructure to support virtual working, even intermittently. This is interesting considering that world was already entering a technological era with the internet of things and social media. Cities like Johannesburg and Cape Town already had people spending hours in transit between work and home and had ample

opportunity to explore modalities of work that were virtual and saved people time and energy, yet civil society was slow in moving towards this direction.

Covid-19 forced civil society to explore alternative ways of working. Many organizations began to connect with communities via WhatsApp and other social media platforms. There is greater effort now from CSOs to explore alternative ways of supporting communities that is virtual, cost-effective and technologically based. This has implications for the kinds of skills that CSOs have and the kinds of skills that they must acquire if they wanted to leap forward to a technologically advanced future. It is however, important to keep in mind that government is yet to advance in its use of technology in the ways that CSOs were able to during Covid-19. It is also important to keep in mind that internet connectivity remains a challenge in South Africa.

Covid-19 hit the world quite unexpectedly and forced governments, business and civil society to respond in innovative and industrious ways. This happened at a time when many of the developed nations were grappling with intense domestic challenges. These geopolitical tensions impact on the market performance of these nations thereby affecting their investment into humanitarian aid. In turn this affects funding available for municipalities and social justice work across the world, and in South Africa in particular. There are only a few funding sources for human rights defence and social justice work in South Africa, forcing CSOs to compete for funding from that which is provided by international funders. CSOs therefore have to work hard to position their work to respond to domestic challenges while still appeal to that which international donor are looking to fund. An ability to read the post Covid-19 environment and to program in ways that respond in creative ways is going to set CSOs apart.

4.11 Discussion of the findings

The year 2020/21 has been a difficult period for achieving any meaningful citizen participation for local government. Due to lockdown conditions and the fear of contracting the virus, activism in communities was limited. New ways and means of engaging and working during these times of uncertainty (such as organizing meetings, and training sessions) posed a challenge for good governance.

The building of collective agency in informal settlement communities is a very important task if we are to improve basic service delivery challenges experienced by informal settlement residents. Building collective agency requires one to have both compassion and empathy towards the informal settlement resident's that one works with. Through this collaborative approach to basic services monitoring in informal settlements the spirit of communities is being revived and the presence of community facilitators (as part of the Asivikelane campaign) has proved to the right recipe in igniting agency in informal settlements. This includes agency for informal settlement residents to do something about their own living conditions and to be part of a solution finding exercise that includes a multi-stakeholder.

In global comparisons, South Africa meets the average amount of government expenditure allocated to services like education, health, and housing by similar middle-income countries. Yet there is growing frustration with the type, quantity, and quality of services received by the country's urban poor. This citizen-driven approach to monitoring basic service delivery in informal settlements does show signs of improving basic service delivery in poor communities through increased budget allocations and more services being put in informal settlements. The model proves promising with regards to supporting and amplifying community voices at the grassroots level. The monitoring interventions that are used can strengthen and integrate the oversight and accountability systems of basic service provision in informal settlements.

It is therefore vitally important to open up spaces for citizen engagement and for the community the be afforded an opportunity to discuss topics that interest them. The use of virtual platforms for capacity building intervention here is shown as a working solution, during covid-19 pandemic. And in future, when the social distancing constraints are no longer a significant issue, there is a need to make use of both virtual and physical interactions about service delivery. Both approaches have some positives, as virtual platforms make it possible to reach a much larger grouping of people, whereas physical training allows one to go into much more detail and provide more targeted support to community members.

4.12 Conclusion

This chapter has covered a range of topics that the research was interrogating. On the chapter the data from responses is laid out and later discussed. This paper sought to summarize the responses that were led by civil society during Covid-19, reflecting on its industriousness, on the nature of its engaging with government, building the capacity of informal settlement communities, what informed that engaging and the kinds of partnerships that were created. The chapter then looked at the skills intervention civil society had to transfer and how they adopted them to covid-19.



UNIVERSITY OF THE WITWATERSRAND, JOHANNESBURG

CHAPTER FIVE

ITHEMBA ALIBULALI LIYAPHILISA



CHAPTER FIVE: ITHEMBA ALIBULALI LIYAPHILISA

For this chapter I have chosen a song by **j-something** titled a song for **hope**. The song features various local artists and talks about having hope in tomorrow and learning from the lessons of today. I found it relevant for this chapter as it concludes the research study.



https://www.youtube.com/watch?v=tvJ-z_9eHes

5.0 Overview

This chapter builds on the previous chapters. This chapter provides answers to the main research question and the subsidiary questions according to what the data has revealed. The chapter also provides recommendations to some of the problems as discussed in previous chapters and concludes the paper.

5.1 Summary of the research

This section provides answers to the main and subsidiary research questions that are probed in the study.

5.1.1 Regarding the main research question: What lessons can be leveraged from collaborative monitoring of basic service in informal settlements?

5.1.1.1 Collaboration with relevant stakeholders

In the Buffalo City Metro, the municipality currently is working independent of the other stakeholders, such as civil society organisations and community groupings who could complement basic service delivery in informal settlements. Despite the municipality having an active Memorandum of Understanding (MOU) with Afesis-corplan, limited collaboration has materialised out of it. The coordination of basic services delivery as well as monitoring of basic services rests solely with the municipality, even though the Asivikelane initiative has built a reserve of data that could be useful to the municipality.

Civil society organisations as well as Asivikelane community representatives should have a close working relationship with the various government departments in the municipality such as Human Settlements, Engineering, Planning and other departments to support them in their efforts to prioritise basic services within informal settlements. The agency building work that is happening within informal settlements will go a long way in improving basic service delivery in the area. As residents are better positioned with regards to giving the municipality accurate information from the users of the services. Re-prioritising provision of basic services in informal settlements requires different stakeholders to come together and find suitable solutions.

5.1.1.2 Gaps in the municipality

The causes of poor basic service delivery in the metro are multi-faceted and include the limited capacity within different municipal departments that are directed towards basic service delivery in informal settlements. The fact that each department operates independently with very little planning and coordination between departments is a cause of concern. The human settlements department is supposed to coordinate all municipal interventions within informal settlements in the metro. However, given the fact that the metro has allocated this responsibility to 1 staff member is indicative of manner in which the municipality views informal settlements. This has resulted in skewed service delivery in informal settlements in the Buffalo City Metro. The metro needs to prioritize the importance of addressing the issue of its internal organogram for the departments whose responsibility is to providing basic service delivery in informal settlements. This requires both increased political and administrative will to realise the direct bearing this has for basic service provision and monitoring in informal settlements.

5.1.1.3 Civic education and skills transfer

The research does show that in the absents of capacity building citizen-driven monitoring interventions would not be possible. The investment in building a data base of informal settlements in the Buffalo City Metro as well as the state of basic service provision was only possible because of the skills transfer processes. Asivikelane respondents act as foot soldiers on the ground, ready to collecting information in their informal settlements. This does not only assist government and communities to better

understand the state of service delivery in informal settlements around them, it also assists the stakeholders that exist within these communities.

The capacity building process also assist informal settlements to make convincing arguments (using up-to-date statistics and information) for increases in the municipal budget allocated for more basic services and maintenance budgets. One of the challenges experienced by the city that leads to poor service delivery and skewed budgeting is a result of the city not being fully aware of the demand. A lack of understanding of the full extent in which basic service delivery is at in informal settlements around the metro.

5.2 Regarding the subsidiary questions:

5.2.1 What role is played by various stakeholders in monitoring basic service delivery?

The information contained in this report indicates clearly that there is a great deal of service delivery monitoring happening within and across local government, in some instances in collaboration with civil society but in others not. At the national level the Department of Public Monitoring and Evaluation as an institution tasked with the responsibility to coordinate planning, monitoring and evaluation admits that government is yet to fully inculcate a culture of learning in its processes but also it is yet to include citizens in meaningful ways in learning. Similarly in local government, very limited monitoring and evaluation of basic services happens. In this particular case this is attributed to issues of capacity and lack of inter-government relations in project planning and implementation.

This report also points clearly that government-initiated monitoring tools fall within the ‘supply-driven’ part of the model presented herein. This means that government develops the tools and facilitates the monitoring process with little engagement and involvement of citizens. This is not necessarily bad or wrong and should happen; it is expected that government should create ways to learn from its practice and to improve as it goes along. This report presented tools that fall within what it refers to as the ‘demand-driven’ monitoring and evaluation. These are largely civil society developed tools and methods for service delivery monitoring, usually developed at a point of crisis where the stance between the communities in which the service delivery monitoring

happens adopts an adversarial stance towards government as opposed to a collaborative one. These creative and out of the box ways in which civil society and citizens hold government to account are also necessary for the strengthening of accountability and good governance.

5.2.2 What mechanisms are used in citizen-driven monitoring of basic service delivery and how results are communicated?

The Asivikelane campaign borrows from a number of social accountability tools such as the Social Audit, Score cards and CBM models that have been implemented by various civil society organizations, communities and government departments around the country South Africa. The use of report cards that indicate the level of satisfaction or rate of delivery using the robot color theme, allows for the municipality to gauge its performance over a longer period. The three colors of the robot, **red**, **orange** and **green** make the monthly report easy to follow, and easy to identify the areas that need serious and urgent intervention. The questionnaires that are developed and used by informal settlement residents makes it easy for these residents to identify their service delivery gaps and demand response from the relative authorities instead of having to wait for the Integrated Development Plan (IDP) sessions to happen, which only takes place once a year.

The observation is that civil society still holds the agenda for monitoring and guiding the implementation of the monitoring tools such as score cards, social auditing and co-created spaces for monitoring government services. What sets the Asivikelane initiative as well as its partners apart is the relationship, they have been able to build with the media. A lot of what is discovered in these informal settlement areas is being broadcast on media as it happens on the ground. What sets the model and approach apart from others is the manner in which the programme has been able to achieve a footprint in various municipalities across the entire country, putting on the spot a whole lot of basic service delivery issues that are being experienced by people living in informality.

5.2.3 What are government views about citizen-driven monitoring of basic service delivery in informal settlements?

Even though Asivikelane addresses basic delivery challenges and potential of incorporating informal settlement residents in the monitoring of basic services delivery. Not everyone who is in government or part of government appreciates what is happening through the programme. Some government departments view citizen-driven monitoring as a duplication of what municipalities and other government structures are supposedly responsible for. In the interviews many of the informal settlement residents lamented around the issue of government not recognising their inputs and dismissing some of the findings in the Asivikelane monthly report as inaccurate. This continues to be a challenge in many other municipalities. However, in government officials need to be more open to the idea of sitting around the table and comparing notes with informal settlements residents. In order to solidify such partnerships social compact can be used as form of building legitimacy as communities will demand to be serviced despite any impending lack of political and administrative will.

Going forward informal settlements should establish a city-wide informal settlements committee, that would coordinate and drive the agenda of addressing informal settlement issues in the city. The committee should be in a position to represent all informal settlements and act as the centre that represents informal settlement residents. Also, this could simplify engagements with the city, as opposed to having different people engaging the city on different things and various issues.

5.2.4 What change in the regulatory and policy space around citizen-driven monitoring of basic service delivery?

The research report advocates however for new spaces for collaborative service delivery to be created. In these spaces, both government and citizens partner towards a common goal and there is no ‘big brother’ who holds the agenda and determines how the monitoring must happen and what role the other must play. Instead, the agenda is equally shared, power is shared in meaningful ways and both government and citizens appreciate each other’s role in strengthening basic service delivery in informal settlements. The tools presented in this report are not exhaustive of all tools

used to monitor service delivery implementation across South Africa, the report only gives a snapshot view of the extent to which government and citizens are (or are not) co-creating in efforts aimed towards monitoring and evaluation. That citizen and/or government engage in some ways in the implementation of whatever tool each initiate does not mean they are co-creating or partnering in effective and meaningful ways. Co-creation speaks to the transfer of power; it speaks to shared accountability and shared commitment, it's about empowerment and the building of agency and ownership of service delivery.

The legislative framework requires of government to facilitate spaces for engagement with citizens, to spent a great deal of time thinking through how integrated and coordinated service delivery monitoring can happen. This report shows that while the DPME has made inroads in encouraging a culture of monitoring for learning within government, it is, however, limited to achieve the kinds of results and shifts that civil society with its tools are able to at the local level.

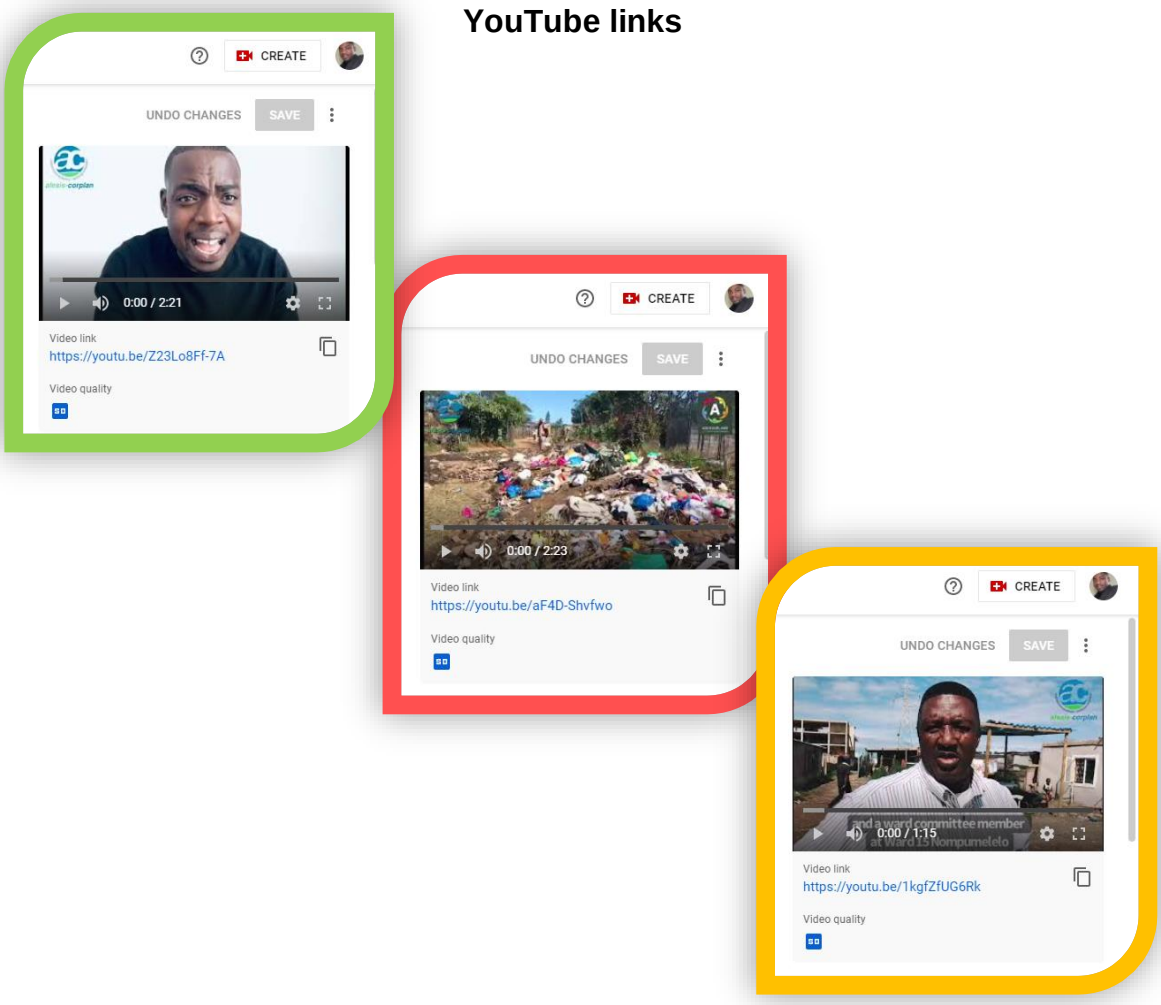
5.3 Implications for the urban planning profession

The fact that government and civil society are meeting to talk and to compare notes through initiative such as Asivikelane stakeholder's forums is commendable; however, given that civil society has had to go to court to force government to address gaps identified through monitoring is indicative of the limitation of this stakeholder platform as a space for government-citizen dialogue on monitoring and evaluation in the country. Citizen-driven monitoring of service delivery is necessary in order to ensure that government meets its intended objectives, that it delivers services in ways that are inclusive and responsive of citizen needs, and it works to improve service delivery over time. This report further indicates that while monitoring is happening in many sectors, whether initiated by government or civil society, there is very little co-created and co-facilitated monitoring happening. The facilitation of these co-created spaces is crucial to build trust between government and citizens and to harness the capabilities and energy that rests with citizens.

Monitoring spaces that are created by government for purposes of monitoring the quality of services it delivers for learning and improvement have yielded limited improvement in basic service delivery in informal settlements. Often times government

has been guilty of inviting the public to participate in the spaces and holds the agenda. Monitoring spaces that are created by citizens for the purposes of monitoring the quality of a service(s) rendered by government are proving to be much more effective. As part of putting pressure on the municipality to address the needs of informal settlements, community facilitators need to continue to share the Asivikelane results with government and also share the results with other communities who are experiencing similar challenges. Citizen-driven monitoring remains the missing ingredient in achieving good governance at the local level.

5.4 Implications for improving basic service delivery in informal settlements



5.5 Summary of the research project

Objectives	Research questions	Primary data source	Secondary data source	Findings
To understand citizen-driven monitoring of basic service delivery and identify proposals	**Key research question**: What lessons can we draw from citizen-driven monitoring of basic services?	- Structured questionnaire - Interviews - Un-official encounters -Literature review	Document analysis - National framework on monitoring	Great degree of citizen-driven monitoring interventions internationally and limited locally -independence -Capacity gaps
To understand the **approach** used to monitor basic service delivery	**Subsidiary questions:** Who is involved? What is their role?	- Structured questionnaire - Interviews - Desk top study	Document analysis -Literature review	-NGO's and Informal Settlement residents -Training, Develop and publish service delivery results
To understand **processes** that take place during citizen-driven monitoring	What are the communication processes?	-Interviews -Observation	Document analysis -Literature review	-Facilitate meeting and training on WhatsApp -Use media, social, radio
To understand what **tools** are used to conduct monitoring	What mechanisms and tools?	-Structured questionnaire -Interviews -Desk top study	Document analysis -Literature review	-Questionnaire (Appendix E) -Mobile phones to take pictures -Robot evaluation
To establish the kind of **partnerships** that are formed	What are government views on citizen driven monitoring?	-Interviews -Observation		-Duplicate process -Basic services is sufficient

Table 5:1 Summary of the research report

5.6 Conclusion

This chapter presented the results obtained during the study. The chapter also presented duscussions based on the results, thus providing a wholistic overview and conclusion the the study. The first section dealt with the main research question looking at collaborative approches to service delivery monitoring. The following sections dealt with capacity gaps both in government and informal settlements. The chapter also provided a summary of the lessons as well as the implications for each the identified issues. The chapter expanded around the need to further testing and modifying citizen-driven interventions in order to streghten urban governance, as well making a call on urban planners to re-imagine citizen participstion in monitoring basic service delivery.

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UNIVERSITY OF THE
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JOHANNESBURG



APPENDIX A

[redacted]

SCHOOL OF ARCHITECTURE AND PLANNING
HUMAN RESEARCH ETHICS COMMITTEE

SCHOOL OF ARCHITECTURE & PLANNING

CLEARANCE CERTIFICATE
PROTOCOL NUMBER: SOAP058/06/2020

PROJECT TITLE:	Citizen Participation in the Upgrading of Informal Settlements in Phola Park
INVESTIGATOR/S:	Masixole Kente (Student No: 2400405)
SCHOOL:	Architecture and Planning
DEGREE PROGRAMME:	Master of Urban Studies (MUS UPG)
DATE CONSIDERED:	19 September 2020
EXPIRY DATE:	19 September 2021
DECISION OF THE COMMITTEE:	Approved

CHAIRPERSON _____
(Dr Brian Boshoff)

DATE: Signed under lockdown: 21.9.20

cc: Supervisor/s: Nqobile Malaza

DECLARATION OF INVESTIGATORS
I/We fully understand the conditions under which I am/we are authorized to carry out the abovementioned research and I/we guarantee to endure compliance with these conditions. Should any departure to be contemplated from the research procedure as approved I/we undertake to resubmit the protocol to the Committee.

Signature	**Date**
_____	**30 JUNE 2021**

APPENDIX B

[redacted]

UNIVERSITY OF THE WITWATERSRAND, JOHANNESBURG

SCHOOL OF ARCHITECTURE & PLANNING

Participant Information Sheet

Good day

My name is Masixole Kente (2400405) and I am currently registered for the degree in Masters of Urban Studies with the University of Witwatersrand, Johannesburg. As part of my studies, I have to undertake a research project, and I am investigating citizen-driven service delivery monitoring in informal settlements, using the Buffalo City Metropolitan Municipality as a case study under the supervision of Ms. Nqobile Malaza. The aim of this research project is to understand how citizen-driven monitoring of basic service provision in the context of informal settlements is perceived and the lessons that need to be leveraged in order to improve urban governance.

As part of this project, I would like to invite you to take part in an interview / answering a questionnaire / taking part in a focus group discussion. This activity will involve answering a set of questions and will not take longer than 60 minutes of your time. With your permission I would like to also record the audio interview using a digital device.

There will be no personal costs to you if you participate in this project. You will not receive any direct benefits from participation and there are no disadvantages or penalties if you do not choose to participate or if you withdraw from the study. You may withdraw from the study anytime or not answer any question if you do not want to. The interview and questionnaire will be completely confidential and anonymous as I will not be asking for your name or any identity information, and the information you give to me will be held securely and not disclosed to anyone else. Pseudonym (false name) will be used to represent your participation in my final research report. If you experience any distress or discomfort at any point in this process, we will stop the interview or resume another time.

If you have any questions during or afterwards about this research, feel free to contact me on the details listed below. This study will be written up as a research report and a summary of this report, will be made available should you request. With your permission the data collected from this research project may be used by other researchers. If you have any concerns or complaints regarding the ethical procedures of this study, you are welcome to contact the University Human Research Ethics Committee (Non-Medical), telephone (27)11 717 1408, email: hrecmedical.researchoffice@wits.ac.za

APPENDIX C

UNIVERSITY OF THE WITWATERSRAND, JOHANNESBURG | SCHOOL OF ARCHITECTURE PLANNING

Consent Form

Title of project: **Urban governance through the lens of service delivery monitoring in informal settlements: A case study of Buffalo City**

Name of researcher: Mr. Masixole Kente

I……, agree to participate in this research project. The research has been explained to me and I understand what my participation will involve. I agree to the following:

(Please circle the relevant options below).

I agree that my participation will remain anonymous.	YES	NO
I agree that the researcher may use anonymous quotes in his / her research report.	YES	NO
I agree that the interview may be audio recorded.	YES	NO
I agree to have photos/a video taken.	YES	NO
I agree that the information I provide may be used anonymously after this project has ended, for academic purposes by other researchers, subject to their own ethics clearance being obtained.	YES	NO

Participant …

…… (signature)

……(name of participant) ……(date)

APPENDIX D

Online (Form B)

Community Resident Questionnaire

BASIC SERVICE DELIVERY MONITORING THROUGH THE LENS OF INFORMAL SETTLEMENTS

1. List the names of the stakeholders/organisations that are part of the Asivikelane initiative.
2. Please elaborate on the role played by each of the stakeholders/organisations you have listed above.
3. Please elaborate on the role you play as informal settlements residents in monitoring basic service delivery?
4. What efforts are put in place to the capacity building of residents in order for them to undertake basic service monitoring activities?
5. What processes are followed when monitoring basic service delivery, considering that it is a lockdown?
6. Please list the tools that you use to monitor basic services?
7. With regards to the media campaigns (electronic and print media) who manages it?
8. How does the process of engaging the municipality happen? And how would you explain the response?
9. To what extent is the ward councillor and ward committee in involved in Asivikelanes processes.
10. Are there programmes aimed at assisting woman participate in monitoring service delivery activities in your area? And is the youth?
11. Are there programmes aimed at ensuring participation of people living with disabilities in your area?
12. Are there any local organised community sectors or groups involved in the monitoring exercises?
13. When the results are shared with the municipality how long does it take for then to respond or offer a response?
14. Since the start of the monitoring activities in 2020 in your community have you seen any significant changes in basic service delivery?
15. In terms of maintenance and cleaning of water and sanitation infrastructure how often does this happen?

APPENDIX E

Asivikelane #18 Questions

Q1: In the last 7 days, when you wanted to use a communal toilet was it blocked, damaged or not working at all? Please tick all that apply:

- Blocked
- Damaged
- Not working at all
- It is working fine
- Do not use a communal toilet

Comments:

Q2: In the last 7 days, when you wanted to use a communal tap, was it damaged, leaking, with low pressure or not working at all when you wanted to use it? Please tick all that apply:

- Damaged
- Leaking
- Low water pressure
- Not working at all
- It is working fine
- Do not use a communal tap

Comments:

Q3: When a communal tap or toilet breaks in your settlement, how quickly does the municipality fix it?

- In a week or less
- In a month or less
- Between 1 to 3 months
- Never (they don't fix it)
- I don't know

Comments:

Q4: Please tell us about any improvements in the last four weeks in the delivery of services to your area.

APPENDIX F

Faculty of Engineering and the Built Environment

Private Bag 3, Wits 2050, South Africa * Telephone (011) 717 – 7007 * Fax: (011) 717 7009 * Email: febe.pg@wits.ac.za

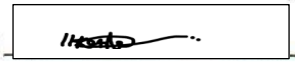
PLAGIARISM DECLARATION TO BE SIGNED BY ALL HIGHER DEGREE STUDENTS

SENATE PLAGIARISM POLICY: APPENDIX ONE

I Masixole Kente (Student number: 2400405) am a student registered for the degree of Master Urban Studies (UPG) in the academic year 2021

I hereby declare the following:

- I am aware that plagiarism (the use of someone else's work without their permission and/or without acknowledging the original source) is wrong.
- I confirm that the work submitted for assessment for the above degree is my own unaided work except where I have explicitly indicated otherwise.
- I have followed the required conventions in referencing the thoughts and ideas of others.
- I understand that the University of the Witwatersrand may take disciplinary action against me if there is a belief that this in not my own unaided work or that I have failed to acknowledge the source of the ideas or words in my writing.

Signature:  Date: 30 June 2021