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A Stakeholder Accepted Tool to Monitor and Measure Service
Delivery in South Africa

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Master of Philosophy in Inclusive Innovation

by
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ABSTRACT

The aim of this study was to develop a stakeholder accepted tool to monitor and measure service delivery. The question underlying this research was what drives service delivery and its related protests and what makes it so problematic? The need for this study arose out of continued reports of these protests in South Africa. Evidence suggests that there may be a disconnect between the real experiences of communities on the ground and the causes cited by politicians and often reported in the media.

The study used a mixed method approach to examine where the disconnect lies and built on the data to develop an audit tool. The study used primary and secondary data to understand the nature of service delivery and its related protests. The primary and secondary data provided both qualitative and quantitative data that highlighted the nature of service delivery landscape in South Africa. The quantitative data was instrumental in shaping and informing data collection protocol and shaping the draft tool for monitoring and measuring service delivery protest. Qualitative methods (i.e. interviews) were used to collect data in a purposive manner and to gather information from knowledgeable respondents and who are directly involved in service delivery.

The findings showed that there is a disconnect in information sharing and knowledge between officials to the communities. The information was either not available at all or did not reach the intended recipients in order for them to make informed decisions. Furthermore, fake news from various sources clouded the communities from making sound judgments about their livelihoods. This disconnect may be regarded as a one of many fundamental reasons for the nature of service delivery protests in South Africa.

The study also generated helpful insights and guided the development of a ‘service-delivery tool’ for organisations and practitioners aiming to introduce and improve on their monitoring and evaluation framework for service delivery and its related protests.

Key words: service delivery, protests, social auditing, mixed methods

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CHAPTER 1

1. INTRODUCTION

1.1. RESEARCH BACKGROUND

A number of countries across the world are experiencing an unprecedented wave of social unrest expressed in one way or another. These service delivery protests are usually a result of the communities' unhappiness with the local government processes and they stem from politics, food prices, poor education and health systems and other factors. The continent of Africa with its elevated levels of inequality, with South Africa as a prime example, is no exception. With a Gini coefficient of 0.56, (one of the world's highest) making South Africa one of the most unequal countries in the world, the country has, since independence in 1994, struggled with inherited inequalities in education, health, and basic infrastructure, such as access to safe water, sanitation, and housing (Ozler & Hoogeveen , 2005). Service delivery protests in South Africa have become a widespread occurrence in recent years and they are growing especially in the country's three major provinces in the country, namely:- Western Cape, Kwa-Zulu Natal and Gauteng.

South Africa has a constitutional democracy with a three tiered system of government namely, national, provincial and local, that functions in an 'interdependent and interrelated' manner. Local municipalities are at the lowest tier and have the right to govern the affairs of local communities subject to provincial and national legislation. Providing sustainable and effective municipal services to local residents is the main reason for the existence of local governments, and local governments are directed to provide social services like water, sanitation, transportation facilities, electricity, primary health services, housing and security within a safe and healthy environment to all residents, provided that this provision is practical and sustainable. Although so much has been done since political independence in 1994 to improve service delivery to the citizens unfortunately service delivery in South Africa is plagued with many factors that threatens efficient and effective delivery. The lack or non-delivery of these services leads to service delivery protests in various parts of the country (Mpehle, 2012). This is also corroborated by the research findings by Mazele & Amoah, (2022) that failure to address these service delivery issues has resulted in increased service protests, destruction of public property, interruption of services and loss of confidence in municipal administrations.

In April 2018, the South African President, Cyril Ramaphosa had to cut short his visit to Britain by a day to return home to deal with protests in the country's North West province (Country Wire, 2018). Protesters claimed to be seeking jobs, better housing, roads and hospitals. Protesting communities frequently clash with police in South Africa, a country faced with weak economic growth and near-record unemployment - but these were the first big demonstrations since Cyril Ramaphosa became president in February 2018 (Country Wire, 2018). Other demands that have been reported include access to electricity, housing, water and sanitation, health, and social security. In July, 2021, the province of Kwa-Zulu Natal experienced social unrest whereby looting and burning of shops happened. The city of Durban was badly hit by these unrest which left many citizens without basic services like food as many shops were looted and demolished. While there were many reasons cited for this, one of them was lack unemployment in addition to politically charged violent unrest.

“Some commentators have noted that service delivery protests have inevitably been mixed up with the politics of the magic of the market, the survival of the fittest and the evils of the state” (Tsheola & Sebola, 2012:233). The overall aim of the research was to understand South African service delivery and related protests. Moreover to understand its occurrence and frequency and what makes them so disruptive and destructive. Lastly, to investigate what social inclusive innovation tools that can be developed to understand, anticipate and reduce the problem? Also, in understanding service delivery and related protests in South Africa, an additional aim was to assist role players in separating ‘legitimate’ service delivery protests from ‘politicised’ grand standing or mudslinging of political contestants.

Fiszbein & Matsuda, (2016) found that social services are weak especially in developing countries around the world. Africa is experiencing many challenges ranging from infrastructural inequalities to weak economies and an inability of governments to provide their citizens with much needed social services. There are many fundamental reasons why this is happening. For example, inequality, high levels of employment, political instability, corruption and low levels of accountability. South Africa further experiences a myriad of challenges from job scarcity, poor health and education systems. The government is seen as having a very important role to play in making available the essential public goods and services that ensure minimum level of well-being to everyone, particularly the poor (Ramachandran, 2013). As with many other countries, South Africa has a constitution and a Bill of Rights which

guarantees citizens basic services. When these constitutional rights are not met, communities demonstrate their dissatisfaction in various ways and one of them is to protest.

This research focussed on Social Audits as a form of reporting on social services provided by the government and sought to develop an evaluative intervention tool. Social Audits, which originate from India and have been adopted in many countries including Russia and South Africa, use a community-driven development approach to emphasise community control over planning decisions and investment resources (Wong & Guggeinheim, 2018). This approach puts the power and accountability in the hands of the community so that they are also part of the process and solution rather than solutions being forced on them. Social Audits have become a key operational strategy for governments as well as non-governmental organisation to support community-driven development projects (Ramseook-Munhurrin, Lukea-Bhiwajee, & Naidoo, 2010).

1.2. RESEARCH PROBLEM

The research problem identified was the continued frequency of service delivery protests and the confusion that surrounds them. The researcher acknowledges that there are many contributing factors that may induce these service delivery protests, including political, economic and social factors. The world is experiencing increasing challenging and complex social problems to a point that private companies, Non-Governmental Organizations (NGOs) have been called upon to address these problems (Hahn, Pinkse, Preuss, & Figge, 2016). Furthermore, in South Africa, there are high levels of inequality and a backlog of service delivery challenges, a legacy of neglect from the pre-1994 era.

1.3. RESEARCH STATEMENT

It is now a regular occurrence that when you watch or listen to the news in South Africa, there will be some report of service delivery protest somewhere in the country. Lately, media reports have even shown the looting of foreign national owned shops, with the protesting communities claiming that the immigrants are taking their jobs. The latest data from Municipal IQ's *Hotspots Monitor* (2019), which monitors the occurrence of major service delivery protests across South Africa, shows that the first half of 2019 had more major protests than the same time the previous year. This is relatively higher than previous years since service delivery protests first started in 2004.

Given the large number of protests that have occurred in recent years, it is no surprise that there is a growing concern amongst the public as to why these protests are happening and where they will happen next. The somewhat uncertain response by both government and analysts has done little to allay the public's fears (Allan & Heese, 2018). Service delivery protests are damaging to the progress that has already been made and in some instances in the building and providing infrastructure.

The reasons behind protests are generally poorly understood by the media, authorities and the public. This may have fuelled speculation on why protests occur and indeed whether these protests are even about genuine lack of service delivery. Municipality IQ and other NGO operating in this area, believe the term "service delivery protest" is not always accurate. It describes a protest which is galvanised by inadequate local services or tardy service delivery, the responsibility for which lies with a municipality. The term is also useful in that it makes clear that there are similar protests occurring across the country. According to Municipal IQ to define such protests in different ways confuses the issue and draws attention away from the fact that this is a national phenomenon with some pressing causes.

A further objective of this research was to expand and acquire an in-depth understanding of the root cause and underlying factors that influence service delivery protests and how these services can be measured and monitored in order to find solutions to avoid continued protests and reduce their frequency.

1.4. RESEARCH AIMS AND OBJECTIVES

The research aims and objectives of this study were to understand the problem of politicised service delivery protests in South Africa in detail and, applying social innovation principles and techniques, to solve the research problem identified. The research also aimed to understand social audits and how they could be used in the context of service delivery protests. In order to answer the research problem, one of the objectives is to understand the nature and characteristics of South African Service delivery protests and what makes them problematic. This way, the study will be seeking to find the root causes of the service delivery protests.

The study further aims to use research methods that will elicit the internal experiences of the respondents (community). Here the objective is to learn from service delivery and related protests from the internal experience of the respondents (community). The study also aims to

use and interrogate existing frameworks and methodologies like social auditing to learn more in order to come up with solutions that are inclusive and are in line with social innovation principles. Ultimately, using the findings and learnings from the research, the researcher will develop an audit tool that is aimed at understanding the service delivery protest problem in detail and possibly help in reducing it.

In this project, the researcher concentrated on the work that has been done by the social audit network organizations, identified and sought to understand the elements of traditional audits that are also present in social auditing and how these can assist in developing a stakeholder accepted tool or instrument for auditing service delivery.

In addition to the aforementioned aims and objectives, the study sought to find out whether some of the principles from traditional financial audits could be adapted to social auditing to make them acceptable by all stakeholders. Furthermore, the researcher delved deeper into the factors contributing to challenges to implement the post findings to remedy the service delivery and social protest problem. For example, the sanitation social audit in Social Justice Coalition Report on the Mshengu Toilet was performed in 2009 and yet it had still not been implemented in 2018. Hahn, et al (2016) highlight an imbalance between the stakeholder's concerns and other social issues like electricity, water and sanitation.

They further emphasise that there needs to be a better understanding of social performance between the stakeholders and that social issues are based on instrumental and moral rationales. The Social Performance Task Force defines social performance as the effective translation of an institution's mission into practice in line with accepted social values. For example, improving the quality and appropriateness of services already being offered to the community that needs them. Lastly, they argue that structural and behavioural factors need to be considered for achieving high levels of social performance. Based on these aims and objectives, this research posed the following questions.

1.5. RESEARCH QUESTIONS

The main research question for this paper is: Why are South African service delivery protests so frequent, destructive and what social innovation tools can be developed to understand and reduce the problem? In order to answer and clarify the main research question, four sub-research questions have been identified and articulated to assist and simplify the main research

question while delving deeper on other factors that are synonymous to service delivery, service delivery protests and related protests.

- What is the nature and characteristics of South African Service delivery protests and what makes them problematic?
- What can we learn from service delivery and protests from the internal experience?
- What can we learn from social inclusive innovations such as social auditing?
- Can we develop an acceptable inclusive tool to understand and reduce the problem?

1.6. CONCLUSION

This chapter provides an in depth background of the study. It further highlights the problem statement that this study aims to tackle and answer. The research aims and objectives of this study are also noted and also breaking down the research questions that have been broken down to answer the overarching problem statement. The following chapter will look in detail into the literature review about the study. Relevant reports, secondary data and other relevant data will be interrogated further to corroborate and support the study.

CHAPTER 2

2. LITERATURE REVIEW

2.1. INTRODUCTION

There has been an escalating number of violent service delivery protests in South African over the years. Since the early 2000's municipalities over the years have been reporting continued service delivery protests. The continued service delivery protests are red flags that some processes in the service industry have collapsed and no longer functional. Service delivery protests are very destructive and disruptive in one way or the other. Innovative turn-around strategies are required in the municipal service delivery environment to not only curb the spread but also to understand the root cause.

Service delivery in South Africa is extensive and has a wider meaning as the democratic South Africa inherited an a country with inequality. The definition certainly is more embodying and encompassing. It includes not only the ability to provide users and community at large with the services needed or demanded, but also a sense of redress the standards of living. Furthermore, it holds that the services should raise the standard of living of the majority and confirm their citizenship in the new democratic South Africa (Mc Lennan & Munslow, 2009).

It is therefore clear that South Africa needs to develop strategies and approaches that are able to address the imbalances of the past. The rebuilding need to be done whilst developing a service delivery model that is sustainable, effective and efficient for the majority of the citizens. "Service delivery protests and social unrest tend to occur in low and middle income working-class urban and peri-urban areas" (Tapela, Ntwana, & Sibanda, 2015). Tapela, et al (2015) further state that social protests are characterised by crime, poverty, unemployment, high levels of inequality. There is also traces of unhappiness about perceived relative deprivation and/or marginalisation of the citizens according to class and race which did not disappear with the end of apartheid in 1994. Dissatisfaction with service delivery of related social services such as sanitation, housing, electricity, refuse removal and roads is also a cause for these protests. Other causes include disjuncture, negative perceptions and municipal capacity constraints amongst many which lately included high levels of mismanagement and corruption.

This literature review will outline and provide the context of the extent of the problem of service delivery in South Africa as outlined in the main research question and sub-questions. Statistics South Africa recently released the General Household Survey Report for 2017, which covers all these and other issues that communities face.

Many scholars including Allan & Heese, (2018); Fiszbein & Matsuda, (2016) and Tebele, (2016) have investigated and monitored the problem of service delivery in South Africa in the past. Other topics that have been explored in the past include, mass participation by the community in policy development, reasons behind service delivery protests in South Africa and political influence in the local government structure. They attempted to understand the problems and challenges surrounding service delivery protests and public policy implementation within the South African democratic dispensation. It is therefore clear that similar research questions have been asked in prior research. However, they were asked in a manner to understand the collapse of the delivery of service in the communities and the unhappiness of the community. Any noteworthy findings from previous research will be highlighted in the following sections and explored further. This study will build on this prior research while complementing it with the current findings to develop a tool to monitor service delivery protests in South Africa.

Below is the definition of how other scholars define service delivery and other related issues and measurements. In order to understand this service delivery dilemma in detail, the following sections of this literature review will focus on service delivery and its related causes and triggers in detail.

2.2. WHAT IS SERVICE DELIVERY?

Service delivery as a global term is described differently according to the location and setting. It is then used to describe or allude to the distribution of basic communal needs and services, notably housing, water and sanitation, land, electricity and infrastructure to the citizens. Some of these needs and services are important that communities are highly dependent on them. In the South African environment and context, the delivery and ongoing upkeep of these basic services have been reported to be non-existent in some instances, unreliable and ineffective at times by greatly inconveniencing and endangering local communities that need them the most (Tebele, 2016).

The term service delivery has many meanings and different scholars describe it differently as well. Martins & Ledimo, (2015) describe service delivery as the distribution of basic resources that citizens depend on like water, electricity, sanitation infrastructure, land, and housing. “Service delivery can be defined according to setting where it occurs. However, in this setting it can be explained as any contact with the public administration during which users, citizens, residents or enterprises seek or provide data, handle their affairs or fulfil their duties”. These services should be delivered in an effective, predictable, reliable and customer-friendly manner (Paabusk, 2020).

Service delivery is therefore concerned with the where, when, and how a service product is delivered to the customer and whether this is fair or unfair in nature. The service delivery concept defines the “how” and the “what” of service design, and helps mediate between customer needs and an organisation’s strategic intent and in this particular context government (Nel & Masilela, 2020).

It is then apparent that services have an inherent direct, indirect and immediate effect on the quality of the lives of the people in the community. For example, if a basic service like water provision is of poor quality then the community will suffer. Similarly if waste and refuse is not collected regularly, it may contribute to the creation of unhealthy and unsafe living environments. This may end up contributing to health problems. Poor delivery of services and inefficiency has been documented as one of the major difficulties to attract business or industry to an area and will limit job opportunities for residents.

It is also worth noting that basic services needed are not the same in all communities. The ecosystem of communities is different all round and as such services provided may need to be tailor made for each community. Similarly, communities are not on the same level of development and it is for that reason that one-fit-all strategies may not work. In the next section we are going to discuss service delivery protests in detail and get a deeper understanding from various contexts from previous research and scholars.

2.3 WHAT IS SERVICE DELIVERY PROTEST?

According to the Cambridge English dictionary, “a protest is a strong complaint expressing disagreement, disapproval or opposition”. The term service delivery protest therefore means a

strong complaint, disagreement or disapproval about a service that is being delivered. When you add “protests” to this phrase you arrive at another common saying almost like a slogan in the current times. Service delivery has many definitions that fit certain settings and in the context of local government is the provision of municipal goods, products and services. Services need to benefit the majority of the community. These services and activities have to be satisfactory and are deemed public and to enhance the quality of life in local jurisdictions (Reddy, 2016). The discharging of municipal services can either be tangible or intangible. The former refers to the provision of municipal services that are construed as being visible to local communities. For example, public housing, roads, water and sanitation systems, and public transport. Whilst the latter refers to services that are regarded as being essential, but not necessarily visible, such as public drainage and sewage systems, public safety standards and most notably customer service in the local municipal services centres (Martins & Ledimo, 2015).

Service delivery protests are said to have originated during the apartheid era in South Africa. They were used as strategies to express dissatisfaction with the inequality, lack of services as well as ethnically based structures amongst other social factors. The service delivery protest or just ordinary protests were specifically orchestrated to either destabilise the then system or to create awareness of the injustices of the apartheid era. It must be noted that more than any other reasons, the overall goal was to develop community-based structures and social movements to oppose the apartheid system. Alexander, as quoted by Govender and Reddy (2012), points out that protests beyond the 1994 local government dispensation can be viewed as expression of needs and grassroots protests against the poor quality of service delivery and related issues.

“There are therefore many reasons for protests and the most commonly cited reason for the protests is a lack of service delivery on the part of municipalities” (Tsheola & Sebola, 1996:200, 2012). Inefficiency has been reported in the mainstream media and has highlighted communities’ concern about the slow or non-existent delivery of delivery of services and sub-standard quality of housing provided for various communities. There has also been claims that there are other forces that have a hand in protest and play an active role in the protests like criminality and political motives or agendas. They have been claimed to being at the forefront of some of these protests and sometimes disguised as service delivery protests. According to recent reports in the media, certain protesters have been seen at different locations, while

politics may certainly play a role, the fact that the protests have not been contained to a particular area or even a particular province is indicative of a broader problem facing local government. The next section is going to delve deeper in the challenges that are affecting service provision in South Africa.

2.4 CHALLENGES AFFECTING SERVICE DELIVERY IN SOUTH AFRICA

It has been over twenty five years since the advent of a new and democratic South Africa in 1994. The exuberance and liveliness that marked the dawn of a new South Africa has been replaced by growing signs of despair and hopelessness regarding the inability of government to provide the services that the majority of the people waited for in the new democratic South Africa. Government has generally performed well since the pre 1994 government considering inheriting a country with high levels of inequality, however poverty, poor health services, acute shortage of housing, falling education standards, etc still dog the post 1994 government (PSA, 2015). Without a functional public service, the relationship between the public and government will be plagued with difficulty. The local government will become severely strained, with the assertion of grievances marking the way in which the public communicates with government over the fulfilment of its needs. A functional public service and an efficient municipality at local government is central to improving the perception and quality of life of the people that lives in that municipality.

Like in many countries in the world and especially, third world countries, South Africa is burdened by service delivery challenges which can be traced back to a number of factors (Nzimakwe & Mpehle, 2012). Amongst many factors corruption, skills shortage have been blamed for the slow pace of service delivery and progress. Another notable contributing factors are inefficiency, poor quality of services being rendered, ineffectiveness of processes and frameworks within the local government sphere and recently notable corruption and mismanagement of municipal powers and finances. There is also financial mismanagement, legislation and governance issues that is highly reported in many municipalities around the country in various municipalities both big and small. Furthermore, the research findings by Mazele & Amoah, (2022) indicate numerous causes of protests, include lack of funding, lack of capacity, poor planning and oversight, lack of By-laws, grant dependency and corruption.

2.4.1 SHORTAGE OF SKILLED PERSONNEL IN SOUTH AFRICA

Skills shortage in South Africa has been widely reported in the recent years to a point that the government is encouraging the youth to enrol in Technical Vocational Education and Training (TVET) colleges to learn and acquire these skills. Whilst the shortage of skills does occupy a central position in the delivery of public service, skills shortage alone cannot however explain public service delivery dilemma. Ngwakwe, (2012) has documented and reported factors such as corruption, nepotism, interference in the day-to-day management and administration of departments by politicians and other interested parties for their gain. This is further corroborated by the research findings by (Mngomezulu, 2022) where he found that there is reported political interference in local government structures which leads to employment of political member of the ruling party who may not necessarily be qualified to do the jobs they are hired to do. These issues must also urgently be addressed if the public service is to improve its public service delivery record. The slavish focus on one factor alone will not necessarily lead to improved performance.

The lack of capacity or skills in local government affects the way local municipalities are run and therefore their ability to deliver on their mandate (Ndevu & Muller, 2017). However, the municipalities that are worst performers in the public service are not necessarily the people who are generally lacking in skills. The problem of skills also extends to the management of the skillset that the public service possesses. The problem is, however, not that the country suffers a shortage of skills, but also that it suffers from the shortage of quality skills. The Auditor-General 2014/15 Report stated that 49% of municipalities do not have a registered engineer and that almost 50% of technical services managers did not have under-graduate degrees or diplomas. The quality of matriculants and graduates from tertiary institutions has also been questioned by the private sector and other parties to the extent that some industries are not willing to employ graduates from some universities. The notion of skills further extends to the quality of education that is provided in the country.

There is then a need to improve and upskill the public at large and this can be seen by various initiatives by the government through the Sector and Education training. Therefore, by improving skill through education and training, the public service delivery will most likely increase. However, it must be noted that this will also depend on the quality of skills of those employed to provide public services. It is noteworthy to mention that some services will not be provided within the foreseeable future because of resource constraints and infrastructure, for

the public expectations always surpass national resources (Tebele, 2016). Improving public service delivery positively will therefore require a multifaceted approach, for improving skills alone will not necessarily lead to the improvement in the performance of the public service. Government, service providers, private companies and other stakeholders would need to team up to improve the skills shortage. There are other challenges that greatly affect service delivery, for an example financial mismanagement, legislative environment, corruption, cadre deployment, skills shortages, and poor administration have all been blamed for poor local government performance (PSA, 2015). These would also need to be addressed in order to foster positive results.

2.4.2 FINANCIAL MISMANAGEMENT IN SOUTH AFRICAN MUNICIPALITIES

According to *Statistics South Africa* (2018), there are 257 municipalities in South Africa. The municipalities spent a total of R88,6 billion in the quarter ended June 2018, 18% more than the R75,1 billion spent during the quarter ended March 2018. Municipal revenue was down, however, falling by 6% over the same period, from R87,6 billion (March quarter) to R82,6 billion (June quarter).

The *Statistic South Africa's* latest Quarterly financial statistics of municipalities report provides an updated breakdown of municipal expenditure and revenue. The largest expenditure item in the quarter ended June 2018 was employee-related costs, contributing R24,1 billion (or 27,2%) to total municipal spending. Many municipalities buy electricity from Eskom that they then resell to various customers. Municipal purchases of electricity was the second largest expenditure item, contributing R18,2 billion (or 20,6%) to total spending.

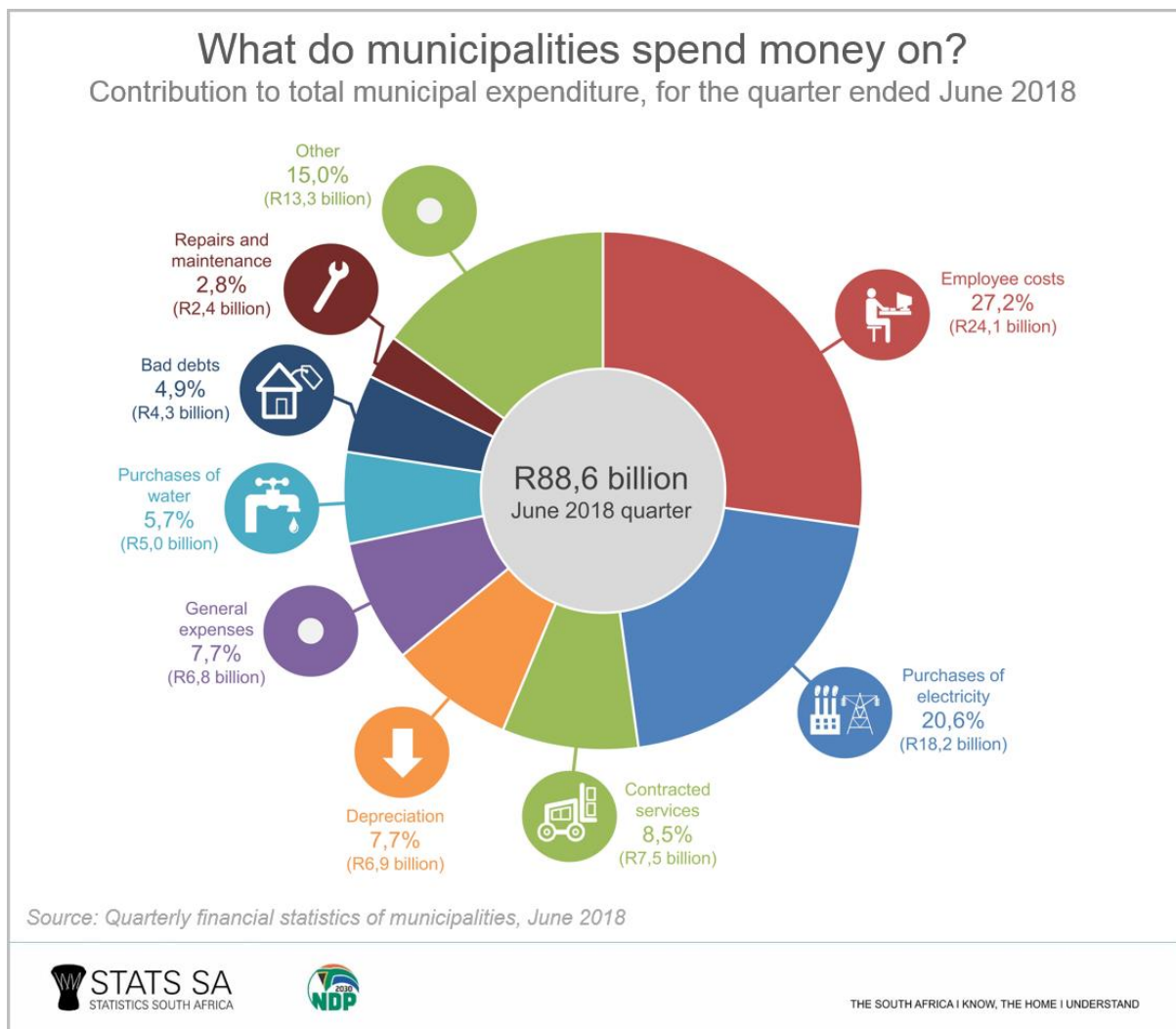


Figure 1 - Municipality Expenditure Chart

[source: Statistics South Africa 2018]

In terms of revenue, the largest source was sales of electricity, followed by government grants and subsidies. Property rates contributed 19,0%. Other revenue (which consists of fines, licences and permits, interest received and rental of facilities and equipment, public

contributions and donations) accounted for 9,3%.

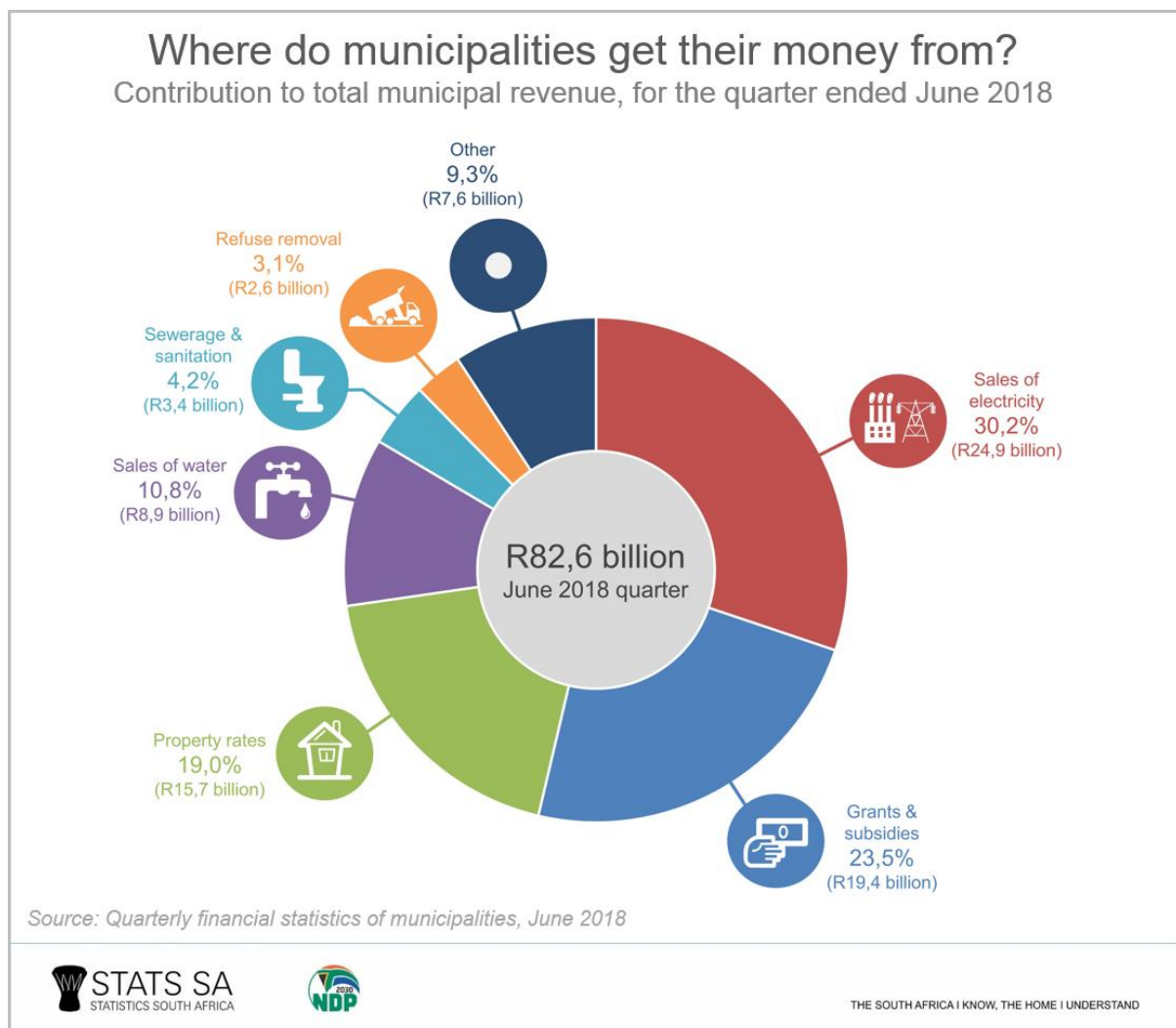


Figure 2 - Municipality Revenue chart

[source: Statistics South Africa 2018]

The revenue items above can be grouped into two main categories: internally generated revenue as well as grants and subsidies from government. Internally generated revenue is money that municipalities generate themselves. This includes service charges (sales of water, electricity and gas, refuse removal and sewerage and sanitation charges), property rates (residential, commercial or business, state and other properties) and other revenue.

Internally generated sources contributed 76,5% to total municipal revenue for the quarter ended June 2018, while transfers from government accounted for the remaining 23,5%. Larger cities are able to supplement larger proportions of their budgets with internally generated revenue, while rural municipalities depend more on transfers (grants and subsidies). The eight

metropolitan municipalities, for example, sourced 87,4% of their revenue from internally generated sources.

The total amount of internally generated revenue across all municipalities saw an increase in the quarter ended June 2018 compared with the quarter ended March 2018. Services charges increased from R38,6 billion to R39,9 billion over the same period.

With the picture painted by the report by Statistics South Africa, many municipalities have been reported by the media to have misused finances meant to serve the public. It is also found that the Greater Tzaneen Local Municipality, for example, has not followed proper supply chain management processes or procedures when procuring goods and services (Mamokhere, 2019). The Citizen (2014) reported that "the municipality has uncovered irregular tenders worth more than R40 million. Financial mismanagement and poor accountability within the municipalities has been noted as one factor which influences service delivery demonstration by community members within the jurisdiction of the municipality.

The irregularities in public financial management, corruption, unethical misconduct and accountability in the service delivery sphere are not normal. They greatly highlight an aberration that is caused by human factors such as errors and inefficiencies and may be corrected if these factors are identified with solutions (Ngwakwe, 2012). There are a myriad of reported and documented underlying reasons and factors inhibiting public financial management and accountability, corruption and service delivery. There is a reported high levels of lack of financial skills, lack of transparency in procurement and corruption are amongst the challenges that contribute to financial mismanagement with in turn leads to service delivery protests (Ngwakwe, 2012).

Adler, (2002); Daniels, (2007); as quoted in Ngwakwe, (2012) say that the fundamentals for financial management and accountability is the existence of skills capacity core areas of the public sector, such as the finance sector and business acumen. The importance of financial skills in the public and private sector of any economy cannot be over emphasised given that finance is a key to service delivery especially in developing countries like South Africa. However, financial skills are internationally. Mismanagement of any sort may lead to some form of corruption. Governments all around are striving to counter the economic problems bolstered by financial crises and climate change, however corruption remains the chief threat

to achieving economic and social development especially in Africa and other international developing countries. Although financial regulations abound, it seems that public officials flout most financial regulations for personal aggrandisement (Ngwakwe, 2012). Corruption will be discussed in the section below. There has been many reports and enquiries to awarding of tenders without following supply chain management protocols. Lack of transparency in public procurement is regarded as a major section of public financial management where government finance is mismanaged. Bahsheka, (2008) as quoted in (Ngwakwe, 2012) says about 34% of government expenditure in some African countries is done at the local level, and this calls for greater accountability on how the public funds are managed.

2.4.3 THE ROLE AND EFFECTS OF CORRUPTION IN SERVICE DELIVERY COLLAPSE

According to Mhango and Chirwa (2018) as quoted in (Mamokhere, 2019), corruption is a common symptom of poor governance in most developing countries and South Africa is no exception. South African municipalities have been reported by the media as undergoing corrupt practices and unethical behaviours including lack of accountability by public servants. Corruption threatens the livelihood of everyone by crippling service provision, which results in communities protesting for lack of services. Corruption greatly undermines economic development of the country and eroding the lawfulness and proper functioning of the state. Corruption and other forms of unethical conduct such as financial misconduct and nepotism by public servants and political office bearers have been the driving factors underlying service delivery protests and in most cases, this has led to community members going on strike or protesting for better and sufficient service delivery (Mamokhere, 2019).

The state of corruption in South Africa has been reported as a regular occurrence in all three spheres of government. There are tools available to detect corruption practices, the abuse of authority, and ensuring accountability, but those tools are not well implemented (Masuku & Jili, 2019). When corruption increases, so does the gap between the rich and poor in Africa (Ngwakwe, 2012). The recent study by Mazele & Amoah, (2022) conducted in the Eastern Cape Ngqushwa Local Municipality also found that corruption is one of the major challenges affecting service delivery. The study found that funds for infrastructure maintenance are often diverted or misused by officials (Mazele & Amoah, 2022). There needs to be an efficient, effective and transparent public spending that enhances proper redistribution of income to the

poor which narrows the margin between rich and poor as created by the capitalist market economy.

Perhaps corruption in public financial management may be linked to a lack of budgetary transparency around the world. In his review of the open budget survey, Masud (2011) as cited in (Ngwakwe, 2012) “discovered that overall global budget transparency is weak”. He thus recommended that it is necessary, among other things, “public access to information on budget processes; opportunities to participate meaningfully in budget processes, and domestic and international implementation mechanisms”. Mazele & Amoah, (2022) compliments this recommendation in his recent study by suggesting that private organization should be considered solely for auditing, policing or assessing the various activities, processes, or systems that the country’s municipal infrastructure management processes. It should operate on behalf of the government but should not be controlled and ensure the eradication of poor service delivery in the municipalities due to ineffective infrastructure management and corrupt practices.

2.4.4 GOVERNANCE IN SERVICE DELIVERY MANAGEMENT

According to *Governance Today*, governance can be defined as: “The system by which entities are directed and controlled. It is concerned with structure and processes for decision making, accountability, control and behaviour at the top of an entity. Governance will therefore influences how an organisation’s objectives are set and achieved. It will also shape how risk is monitored, mitigated and addressed and how performance is measured and optimised”. Governance must therefore be treated as a system and process, not a single activity and therefore successful implementation of a good governance strategy requires a systematic approach that incorporates strategic planning, risk management and performance management from all departments and stakeholders of the organization. Similar to norms and culture, it is a core component of the unique characteristics of a successful organisation. Governance cuts across all department and stakeholders of the organisation.

Good governance is characterised by responsiveness, accountability, transparency, rule of law, efficiency and effectiveness, participation, equity and inclusivity (Matshaphala, 2016). The abovementioned echoes the basic principles of ethics, as in the value of the community of life, promotion of good- ness over badness, justice and fairness, truth-telling, honesty and freedom.

Good governance is emphatic on the imperative of ethical behaviour in the delivery of services, as the basic principles of good governance are mainly normative.

Improvements and measures to the effectiveness and efficiency of the public service are governed by a number of national departments (the National Treasury, the Presidency, Departments of Public Service and Administration, Cooperative Governance, and others) and a diverse range of pieces of legislation. While there are promising structures in place at national level, the capacity of these to improve service delivery is dependent on the compliance of government structures with these central controls. A good indicator of how well the public service is conforming to the internal controls put in place are the reports of the Auditor-General. A report by the Auditor General showed a staggering 80% of provincial and national departments are non-compliant with service delivery improvement efforts, such as the drafting of service charters and delivery improvement plans, while 88% are non-compliant with human resources planning requirements. This is a clear example of non-compliance at grass root level which contributes to poor service delivery.

In closing, it is worth noting that there are many other documented and reported challenges that are affecting service delivery for an example, lack of access to information, political instability, unemployment, poverty, crime and lack of participatory democracy.

2.5 SERVICE DELIVERY AND ITS MEASUREMENTS

Service providers are supposed to be measured by some kind of performance evaluation system. For instance, certain agreed standards and service level agreements need to be set and met for the delivery of services for instance, quality of service, efficiency, effectiveness, usability and convenience amongst many. Whether these standards or such system exists is as an important question to consider before looking at its effectiveness. The subsection below will delve deeper to the statistics about the delivery of services and their state and touch on their connection to protests.

2.5.1 HOUSING (HUMAN SETTLEMENT)

According to Statistics South Africa Survey 2017, slightly over four-fifths (80,1%) of South African households lived in formal dwellings in 2017, followed by 13,6% in informal dwellings, and 5,5% in traditional dwellings. The highest percentage of households that lived

in formal dwellings was observed in Limpopo at 91,7%, while the lowest was the Eastern Cape at 70,4%. Approximately one-fifth of households lived in informal dwellings in North West (19,9%) and Gauteng (19,8%).

At the time of the Statistics South Africa general survey 2017, 13,6% of South African households were living in Reconstruction and Development Programme (RDP) or state-subsidised dwellings. Some residents raised concerns about the quality of subsidised houses, and 10,2% said that the walls were weak or very weak while 9,9% regarded the roofs of their dwellings as weak or very weak.

2.5.2 WATER AND SANITATION

Although 88,6% of South African households had access to piped water in 2017, only 74,2% of households in Eastern Cape, and 74,7% of households in Limpopo enjoyed such access. This situation does, however, represent a substantial improvement from that of 2002, when only 56,1% of households in Eastern Cape had access to piped water.

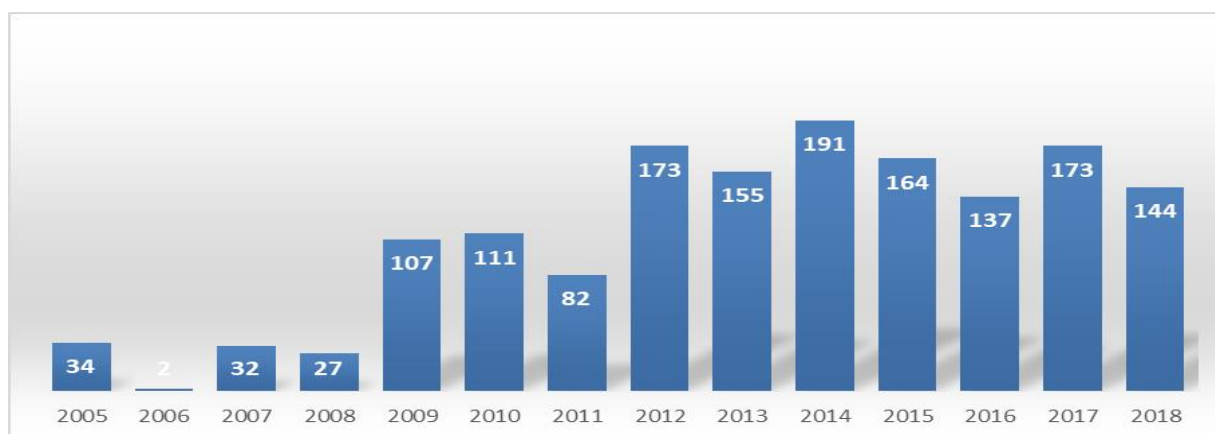
Nationally, 63,9% of households rated the quality of water-related services they received as good. Satisfaction has, however, been eroding steadily since 2005, when 76,4% of users rated the services as good. Although household access to water is improving generally, 3,7% of households still had to fetch water from rivers, streams, stagnant water pools and dams, wells and springs in 2017. Through the provision and the efforts of government, support agencies and existing stakeholders, an additional 20,5% of household in South Africa have access to improved sanitation since 2012.

Nationally, the percentage of households without sanitation, or who used the bucket toilet system decreased from 12,6% to 3,1% between 2002 and 2017. Provinces with the lowest access to improved sanitation were Mpumalanga at 67,6% and Limpopo at 58,9%. According to the report on social protest by Tapela, et al (2015), a number of water and sanitation service delivery protest were identified among the protest grievances. The grievances included problems with water supply, poor quality of water from existing supply infrastructure, high tariffs, intermittent water supplies amongst many.

2.5.3 HEALTH SYSTEM IN SOUTH AFRICA

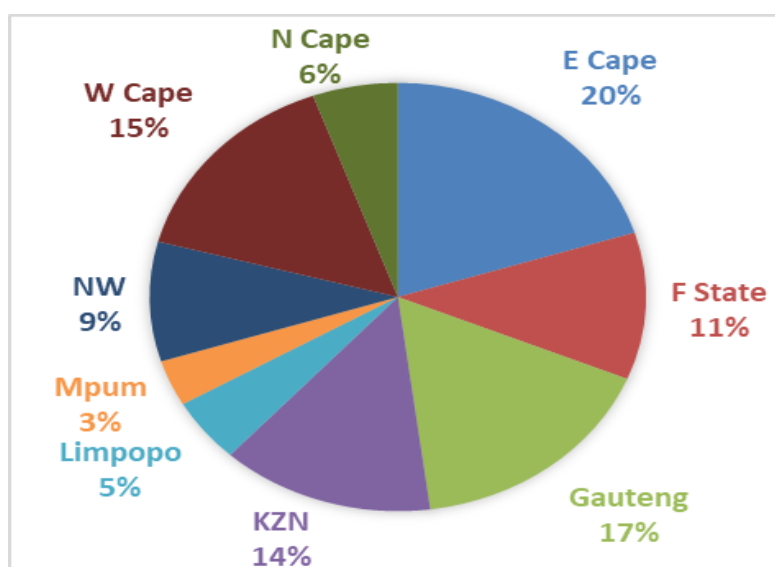
According to *Statistics South Africa* (2017) seven in every ten households reported that they made use of public clinics, hospitals or other public institutions as their first point of access when household members fell ill or got injured. By comparison, a little more than a quarter (27,4%) of households indicated that they would go to private doctors, private clinics or hospitals. Nearly a quarter (23,3%) of South African households had at least one member who belonged to a medical aid scheme. However, a relatively small percentage of individuals in South Africa (16,9%) belonged to a medical aid scheme in 2017.

The two-graphical representations below, (Graph 1 and 2) show the frequency of protests over the years and how they have escalated.



Graph 1 - Major Service Delivery Protests, by year (2004 - 30th June 2018)

[Source: Municipality IQ – Municipal Hotspot Monitor2018]



Graph 2 - Service Delivery Protests by Province (as of 30 June 2018))

[Source: Municipal IQ Municipal Hotspots Monitor 2018]

The report by Statistics South Africa, generally shows improvement in almost all the sectors which then begs the question, why are there several service delivery protests if government is providing services adequately. This would seem to suggest the gap between what is measured and reported by the service providers and what is experienced and reacted to by the consumers of the services. In the same report, it is noted that some residents raised concerns about the quality of subsidised houses, and 10,2% said that the walls were weak or very weak while 9,9% regarded the roofs of their dwellings as weak or very weak.

Another report from the *Water Research Commission* (2019) highlighted that the protest issues include the quality of services provided, poor operations and maintenance of infrastructure and lack of monitoring of service delivery by private contractors.

2.5.4 CRIME AND SAFETY IN SOUTH AFRICA AS REPORTED

Crime in South Africa is mostly reported by the South African Police Services (SAPS) and Statistics South Africa. Other agencies and research organisations occasionally report crime like domestic violence not predominantly covered by the major sources. The second annual *State of Urban Safety Report (2018)* by the Urban Safety Reference Group and the South Africa Cities Network has found Cape Town to have the highest rates of murder, robbery and property-related crimes in the country.

Table 1 - Comparison of Cities across the 21 Indicators (2017/1)

INDICATOR	JHB	CPT	ETH	EKU	TSH	NMB	MAN	BCM	MSU
· Murder rate ¹	30	62	42	31	18	54	41	48	38
· Assault rate ¹	353	319	271	279	268	338	493	516	277
· Robbery rate ¹	445	498	315	318	346	403	241	306	206
· Property-related crime rate ¹	1140	1805	1080	993	1267	1111	1305	1147	1078
· Sexual offences rate ¹	72	105	81	72	65	108	150	147	99
· Public/collective violence rate ²									
· Police activity ³	380	207	164	192	95	183	85	239	76

[Source: *The State of Urban Safety in South Africa Report 2018/19*]

The report also provided a brief overview of crime levels compared to the fear of crime in each respective city. Here, Cape Town has the highest recorded level of both fear and experience of crime.

Table 2 - Comparison of Cities across 21 Indicators (2017/1) - Fear of Crime

INDICATOR	JHB	CPT	ETH	EKU	TSH	NMB	MAN	BCM	MSU
Experience of crime/violence ⁴	10%	11%	6%	8%	9%	8%	6%	8%	8%
Feelings of safety/fear of crime ⁴	24%	28%	23%	22%	19%	26%	21%	27%	23%

[Source: The State of Urban Safety in South Africa Report 2018/19]

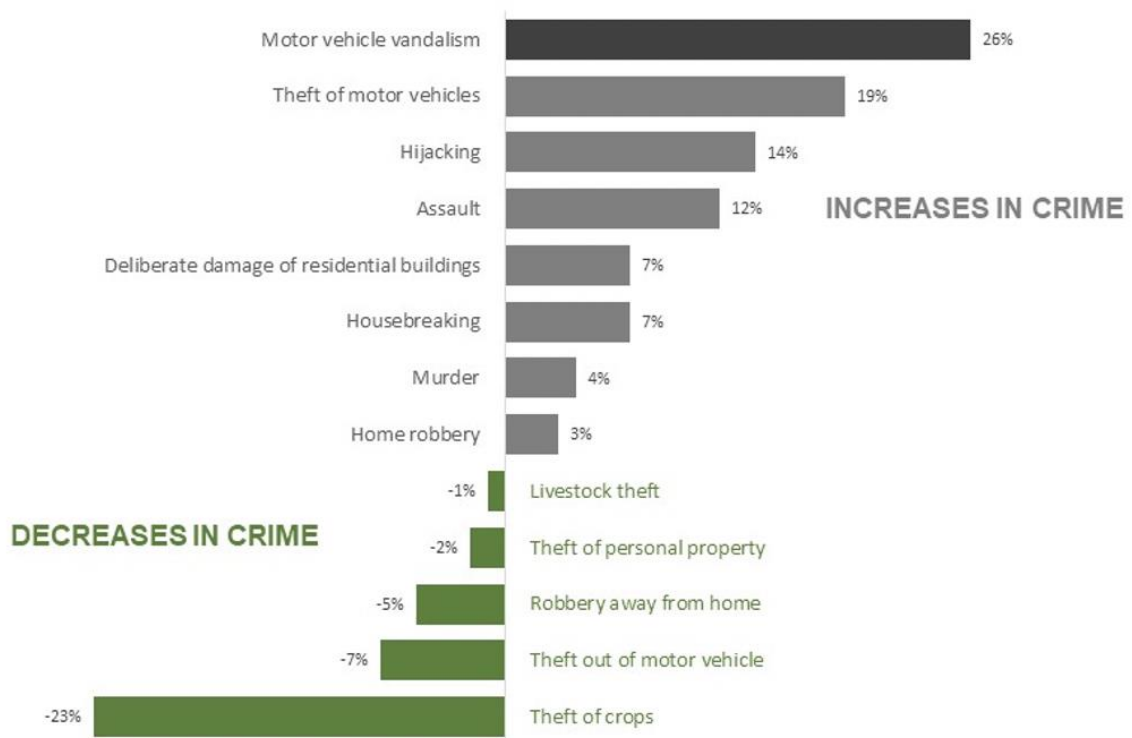
According to *Statistics South Africa* (2018), perceptions of South Africans on crime in 2017/18 reflected more scepticism compared to the previous year. About 42% thought property crime increased during the past three years. This is an increase of 6,9% from the previous year. 46% thought violent crime increased during the past three years, an increase of 4,5% over the previous year. Western Cape was the most sceptical about crime trends, as 84% of Western Cape residents thought that crime in South African increased or stayed the same. Mpumalanga was the least sceptical among the nine provinces, where 65% thought that crime increased or stayed the same during the past three years.

Crimes that are feared most are those that are most common. The ongoing violence in Cape Town, mostly gang related, recently prompted the South African government to deploy the military to hotspot areas.

In the recent events, during the period 9 to 17 July 2021, South Africa experienced violent protests and socio-political unrest characterised by widespread looting of shops and businesses, as well as burning and destruction of public facilities and private properties, mostly in the provinces of KwaZulu-Natal (KZN) and Gauteng. The socio-political unrest and violence were largely sparked by initial low-intensity and sporadic protests in parts of KZN against the arrest and imprisonment of former President Jacob Zuma (Vhumbunu, 2021). Furthermore, Health care in South Africa has been thrown into jeopardy by riots, looting, and ransacking of

warehouses. The unrest, concentrated in KwaZulu-Natal and Gauteng, grew out of protests triggered on July 8, 2021, by former president Jacob Zuma's 15-month imprisonment for contempt of court (Makoni, 2021).

PERCENTAGE CHANGES IN CRIME CATEGORIES BETWEEN 16/17 AND 17/18



Graph 3 - Percentage Changes in Crime Categories between 16/17 and 17/18

[Source: Statistics South Africa]

HOUSEBREAKING OR BURGLARY WAS THE DOMINANT HOUSEHOLD CRIME IN 2017/18 ACCOUNTING FOR ABOUT 54% OF ALL HOUSEHOLD CRIMES.

Household experience of crime, 2017/18

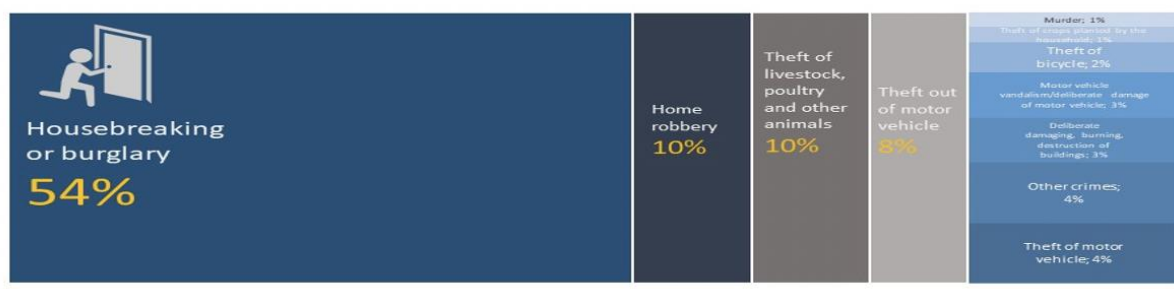


Figure 3 - Household Experience of Crimes 17/18

[Source: Statistics South Africa]

It is evident that South Africa is a time-ticking bomb, citizens are always ready to exploit any opportunity to take to the streets to voice their dissatisfaction regardless of the kind of presented situation or reason. Unfortunately, misusing or exploiting such occurrences spike up criminal activities as seen with the July 2021 unrest and also destruction of property and infrastructure.

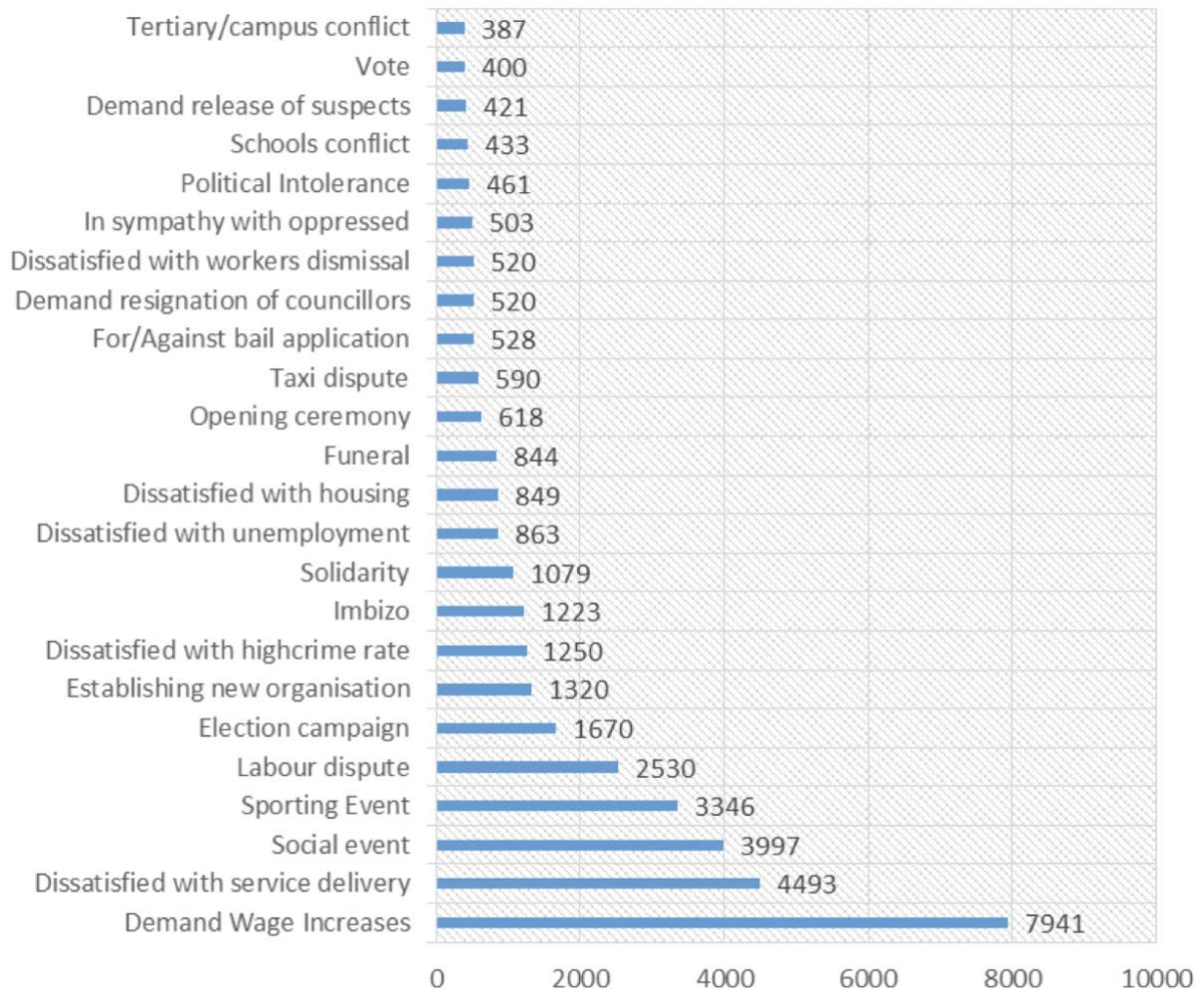
2.6 PROBLEMS OF IMPLEMENTING SOCIETAL AGREEMENTS AND SOLUTIONS

The frequency of public gatherings is often misunderstood and categorised as service delivery protests. Between 2009 and 2013, there has been many public gatherings and some of them were not about service delivery as shown on the Graph 3 below. This is one of the problems causing a slower implementation of societal agreements and solutions. Allan & Heese (2018) of Municipality IQ recorded the number of public gatherings and classified them according to their motivations. They found that labor unrest with demands for wage increases was the highest.

A study presented at the *Human Research Science Council (2018)* by Justin Steyn about how Local Government perceive community protest found that in many cases protests that are later called service delivery protests are not always about service delivery. Districts and metros were selected as the units of analysis. 122 surveys were completed, and 18 Interviews were conducted. Districts with high incidences of protest were sampled according to the Municipal IQ *Hotspots Monitor* (2018) or and the PLAAS GIS protest incident map were selected to participate in the interviews. One of the problems of implementing societal agreements in South Africa, according to Tebele, (2016) is that while the policies are good at describing the ‘what’ they do not always explain the ‘how’. It is crucial for policymakers to explain the ‘how’ because the primary focus of is putting policy into effect so that implementation can occur.

According to Graph 4 below, motivations of public gatherings, it can be seen that not all public gatherings are protests or service delivery protest. Between 2009 and 2013, demand to wage increases was one of the highest recorded gatherings followed by dissatisfaction with service delivery.

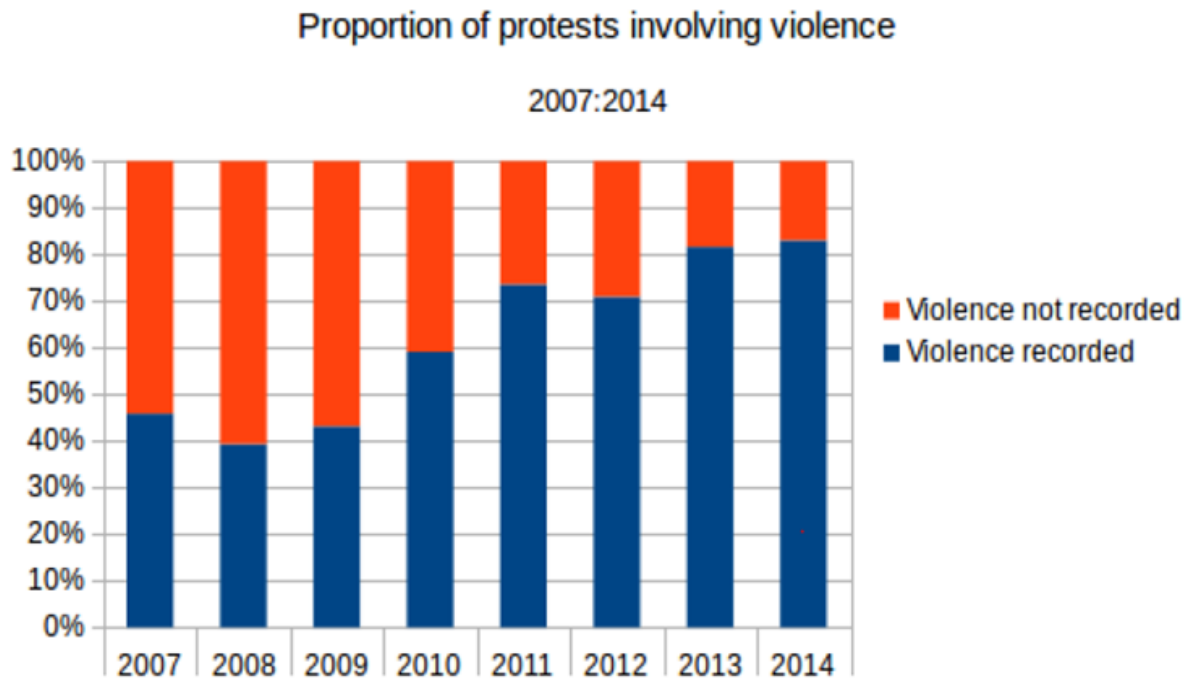
Frequency of Motivations for Public Gatherings (2009 to 2013)



Graph 4 - Motivations of Public Gatherings

[Source: Statistics South Africa 2018]

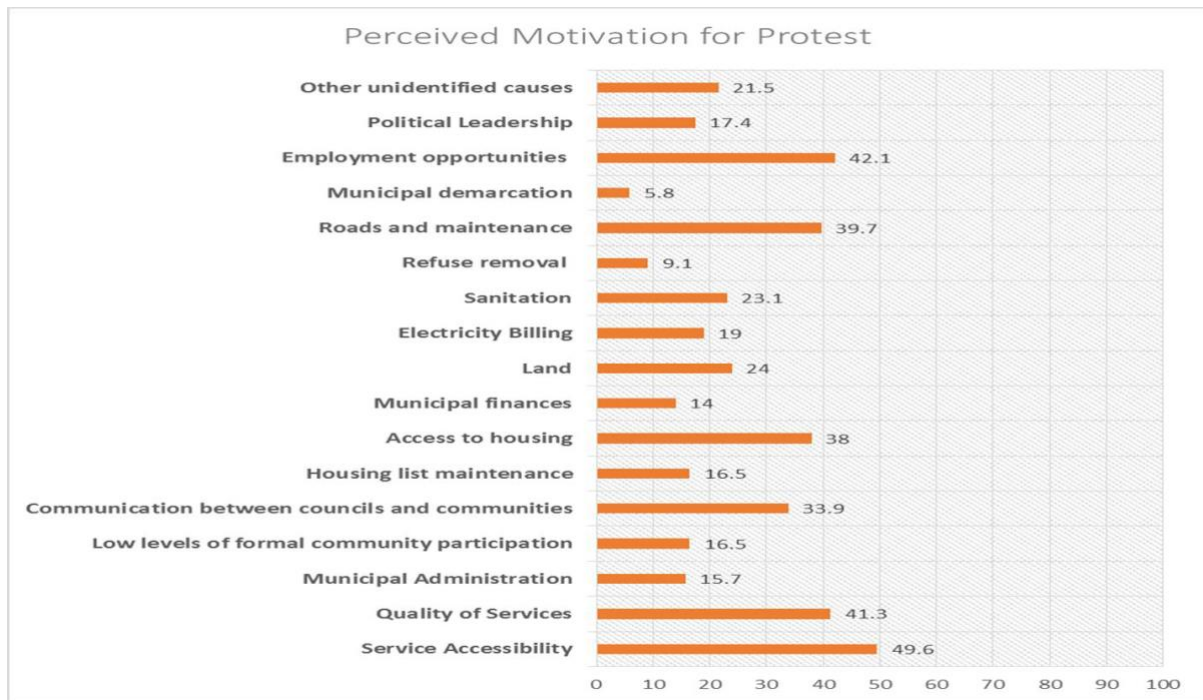
Graph 5 below shows a recorded number of protests from 2007 to 2014. In 2014 along, above 80% of the recorded protest included violence. In instances like these, violence then clouds the primary objective of the public gathering or a protest and the officials concentrate on the violence. They do not go deeper to understand the initial motivation of the social gathering or protest and apply violence prevention measures.



Graph 5 - Proportion of Protests Involving Violence

[Source: Statistics South Africa 2018]

On the other hand, public gatherings are confused with service delivery protests and vice versa as shown by Allan & Heese (2018) in their explanation about the confusion of service delivery protests and related public gatherings and unrest. Graph 6, shows the perceived motivation for protests, almost 50% of the protest are about services accessibility. Employment opportunities and quality of service are also amongst the highest. This corroborates with *Statistics South Africa* (2018) in housing where house dwellers were complaining about the quality of their houses. South Africa is also said to have one of the highest unemployment rate in the world which is sitting at 29% according to Statistics South Africa (2018).



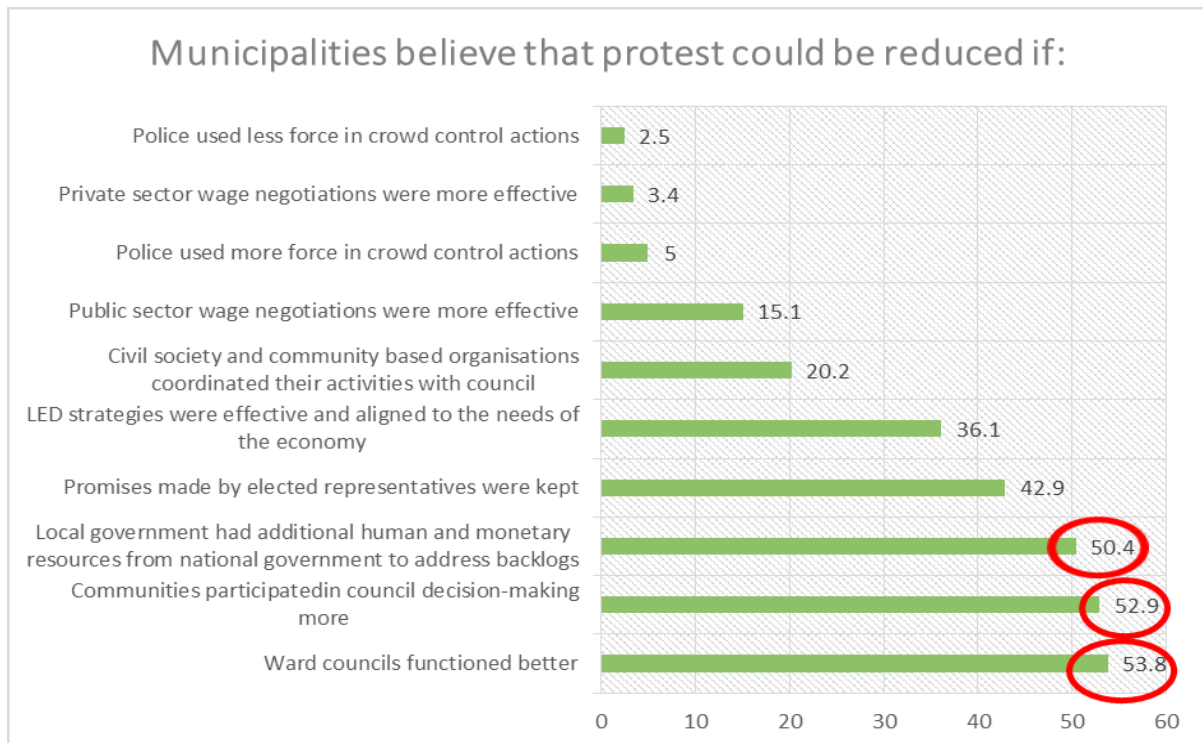
Graph 6 - Perceived Motivation for Protests

[Source: Statistics South Africa 2018]

From the statistics provided above, it is clear that there are many motivations that could spark or start a protest. It is worth noting that South Africa is at a stage where citizens are unsatisfied and unhappy with the quality of services in general to a point that they will protest or use any reason available to them to protest and voice out their dissatisfaction.

2.7 REDUCING PROTESTS IN COMMUNITIES

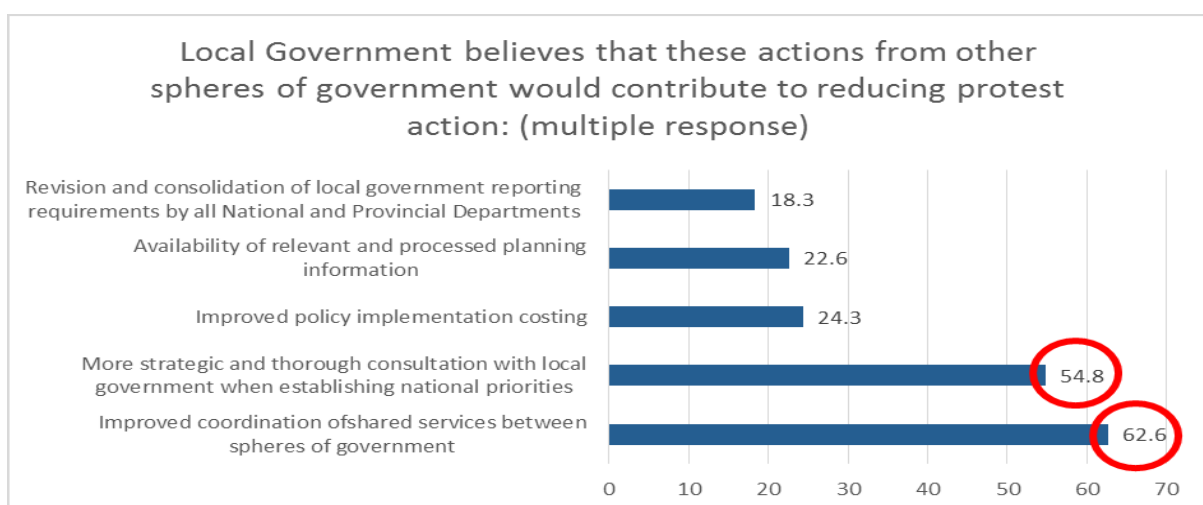
Protests have been monitored for years and they have been increasing as shown in the preceding sections. Various media, research entities and monitoring agencies have reported on protests to a point that Local Government and Municipalities have come up with ways and means of reducing community unrest and protests. Graph 7 below shows the recommendations by municipalities that they believe could reduce protests. One of the highly ranked recommendations are that if ward councillors functioned better, protests would be reduced.



Graph 7 - Protests Reductions per Municipalities

[Source: Statistics South Africa 2018]

Graph 8 below, further shows actions that the local municipalities believes would reduce protest action. They believe that more strategic and thorough consultations with local government when establishing national priorities. They also believe that improved coordination of shared services between spheres of government will help reduce protests.

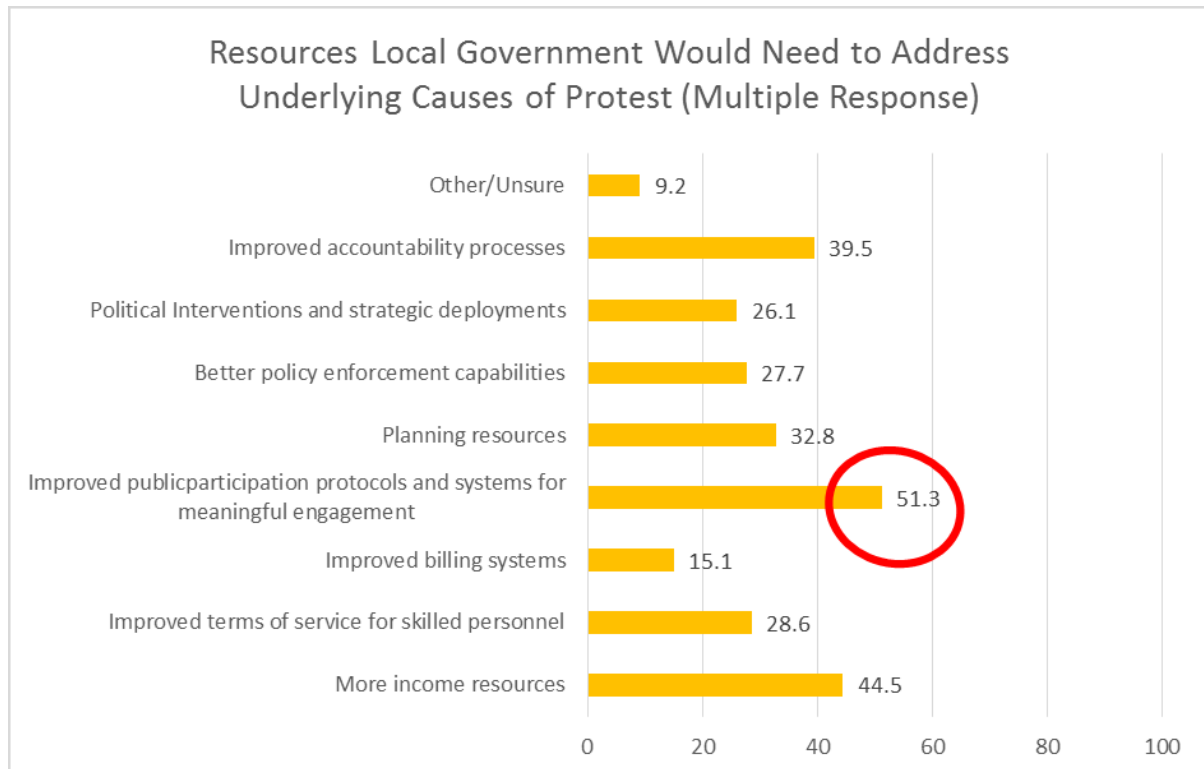


Graph 8 - Actions that might reduce protest action

[Source: Statistics South Africa 2018]

They believe that improved public participation protocols and systems for meaningful engagement will need to be addressed as one of the resources to address underlying causes of protest as shown on graph 9 below.

(Mirvis P. , Herrera, Googins, & Albareda, 2016)



Graph 9 - Resources Local Government need to address protest action

[Source: Statistics South Africa 2018]

The existence of local government has always been defended on the basis that it is a crucial aspect of the process of the democratisation and intensification of mass participation in the decision-making process (Masuku & Jili, 2019). Mass participation in this context refers to all stakeholders involved including officials and members of the public.

2.8 COMPLEXITY OF SERVICE DELIVERY

In the preceding sections we have defined and described service delivery in detail. We can say that service delivery is a complex phenomenon with difficult tasks and activities, and particularly so in South Africa. Historically, the infrastructure backbone of South Africa was not built to be equal nor inclusive. This makes the process of restructuring the entire system to meet the needs of the whole population a very daunting task. With the challenges affecting service delivery mentioned in the above section, and the fact that government may be under capacitated in some areas makes it even a more complex system to solve or navigate.

While good progress has been made in many areas, however huge problems remain, particularly in underserved areas. The unequal distribution of services is particularly dangerous: seeing others with resources that you are denied can possibly generate as much anger as the lack of services in the first place. While any government would struggle to meet the demands of South Africa's transformation, the deep problems in government remain a significant barrier to meeting this challenge. Continued weak service delivery is undermining trust in government, and breeding anger in underserved communities.

2.9 WHAT IS SOCIAL INNOVATION?

What is social innovation and what innovations are defined as social innovation? There are various definitions of innovation and social innovation. Mirvis, Herrera, Googins, & Albareda, (2016) defines social innovation ideas, methods, processes, and outcomes that offer new ways to address social needs. Social innovation are services that are motivated by the goal of meeting a social need and that are predominantly diffused through organizations whose primary purposes are social. "The field is characterised by conceptual ambiguity and a diversity of definitions and research settings" (van der Have & Rubalcaba, 2016). The same researchers argue for social innovation frameworks to be developed given the complexities of social innovation as an emerging subject. Other scholars also note lack of clarity on the efforts to define and clarify the meaning of social innovation. This lack undermines work that has been done on social innovation and comes across as unintegrated research field.

Social audits are a collaborative effort amongst service providers, community and social audit network organizations and are mostly community led. Both Hahn, Pinkse, Preuss, & Figge (2016) agrees that social issues cannot be addressed by a single organization but need to be thought as a systemic challenge in which business, government and civil society each play distinct roles. Social audits are performed by the community and the findings reported to the concerned governmental agency. The study focuses on the breakdown of the entire process that leads to a longer turnaround time to deliver the services even where the audit findings have been made public. The question that arises is whether social audits carry the same weight as traditional (financial) audits? Are they considered valid?

There is therefore a necessity for innovation in the public service delivery sphere. The public service officials are being encouraged to improve its relations and strategies for engaging stakeholders in order to improve provision of services (Zwane & Matsiliza, 2022). The Centre for Public Service Innovation (CPSI), which functions as an enabler, facilitator and champion of innovative ideas, was established by the then Minister of Public Service and Administration, Geraldine Fraser-Moleketi in September 2001. The CPSI's focus areas include improving capacity to deliver services in the social services cluster, enhancing joined-up government and integration of services, accelerating access to public services and creating institutional forms for improved public services.

It appears that the need for innovation principles and techniques have become in the forefront for delivery of public services. More so, in the age of technological advancement era, governmental departments are using technology to innovate how they deliver services to the community. In addition to using mobile services to bring closer the services to the people especially for the communities with limited infrastructure they are also using technology by developing various applications to better communicate with the community. Social innovation by definition is centred around meeting a social need while being inclusive in the approach. *Batho Pele and Ubuntu Principles* are the principles adopted by many government institutions on how to provide services to the citizens. By definition both these principles are people-centred (customers and consumers) approaches in their own right. These principles will be discussed in the next section amongst other social innovation techniques used by government department to better deliver services to the community.

2.9.1 SOCIAL AUDITING AS AN INNOVATIVE SOLUTION TO SERVICE DELIVERY PROBLEM

The aims and objectives of this research are to understand the problem of politicised service delivery protests in South Africa in detail and, applying social innovation principles and techniques, to solve the research problem identified. The research also aimed to understand social audits and how they could be used in the context of service delivery protests. Understanding social auditing will help us in developing the tool for measuring and monitoring service delivery at the end of this paper. Social auditing is a form of social innovation that is aimed to address social problems. A social audit is a community-led process of reviewing of crucial documents to determine whether the public expenditure and service delivery outcomes

reported by the government really reflect the public money spent and the services received by the community (Kidambi, 2015). Members of the community collectively participate in a process of verifying government (or private company) documents by comparing them with the realities on the ground and the experiences of the community (Social Audit Network, 2018).

The findings are then reported on a public hearing where all stakeholders are present for comment. Recommendations from findings are communicated to the government sector that provided the service that was audited for implementation. In some instances, implementation of these finding become a lengthy process where there is back and forth discussion about the validity of the findings and sometimes the audit itself. This then becomes one of the research questions, so that findings can be implemented in a timely manner and that finding are found to be binding.

According to Denisov, Khachatryan, & Umnova, (2018) social auditing originated in India and has been adopted and adapted in other countries including South Africa. The principles of social audits are that they need to be community led, help to realise constitutional rights and build community power, should be part of a broader advocacy campaign and gather evidence to legitimise community experience.

In general, auditing has an overarching mandate to straighten financial management, so it should be pivotal to service delivery by ensuring public sector financial accountability and transparency. Therefore auditing should then be a social tool for public sector accountability and transparency. This characteristic ties in well with what social audits are trying to achieve as they are trying to put the community in the middle of the process.

The fundamental principles of auditing engagement reports the results however focusses on the causes. This can be interpreted as audits needing to dwell on causative factors, not on effects. These are the very same causes that if the community are involved are going to help strengthen. This implies that the auditing process should be more in-depth and comprehensive to cover the complete cycle of decision management, planning, monitoring and implementation. By extending this financial auditing role to social auditing in this manner, social auditing would be better positioned to discover and correct the malfunctioning segments of the decision process which stifle transparency, accountability and service delivery.

2.9.2 BATHO PELE PRINCIPLE AND UBUNTU AS A SOCIAL INNOVATIVE TECHNIQUE

The *Batho Pele* principle places emphasis on a people-centred approach to the delivery of public service in general (Mpehle, 2012). This means that the recipient of services are at the centre of the process and solutions are designed with them in mind. This principle is similar to the commonly used design thinking methodology that is used to design services and products for the users while producing long-lasting solutions. We will discuss this methodology in the following sections as well.

The *Batho Pele* definition is in line with Mulgan, (2006) and Garud, et al, (2013)'s definition of innovation and social innovation above as it motivated by the goal of meeting a social need and that are predominantly diffused through organizations whose primary purposes are social. *Batho Pele* is a South African mandated public service delivery philosophy that is used to measure the effectiveness of government department. *Batho Pele* is an initiative requiring public servants to be service-orientated, to strive for excellence in service delivery and to commit to continuous service delivery improvement. It is a simple, transparent mechanism that allows customers to hold public servants accountable for the type of services they deliver. *Batho Pele* means 'putting people first in Sotho language.

While good progress has been made to promote the *Batho Pele* principles, it has not been properly implemented in some instances causing further frustration to the customers. It is therefore worth mentioning that the move from manual intervention to automation has somehow clouded this principle in some cases. Many organisations have created applications and interfaces to better service their customers. However, the implementation of these automations leaves many recipient of services out in the cold as there are sometimes no full proof end-to-end process. Citizens are either not able to access these applications due to high data costs or they still need to visit civic offices to fulfil their civic duties. This may be frustrating for some citizens and prolong the turnaround times. For instance, some of these interfaces may require you to upload documents for the fulfilment of your request, this may not always be an easy task for some of the citizens. Conversely, there has been good innovations like sending short messages (and in some instances e-mails) to notify the customer of their request and the progress thereof. This type of innovation has the customer in mind and may put the customer at ease knowing that their requests are being attended to.

Batho Pele principle was developed in 1995 on the path of service delivery transformation. This transformation agenda was specifically aimed at promoting integrated and seamless public service delivery. *Batho Pele* advocates eight service delivery principles that were seen as an appropriate approach to address service delivery challenges. The principles are: regular consultation with customers; setting of service standards; ensuring high levels of courtesy; providing accurate, up-to-date information about services; increasing openness and transparency about services; remedying failures and mistakes; increasing access to services; and giving the best possible value for money (Twinomurinzi & Visser, 2009). Another essential point worth noting is that these principles may have birthed other social innovation techniques and in some cases strengthened principles from other disciplines that were already in existence. Community engagement as social innovation by Ellen Hazelkorn which will be discussed in the next section is also a *Batho Pele* principle. *Batho Pele* principles strengthened the use of quality management techniques in government. Quality management techniques are from a different discipline and have predominantly been used in the manufacturing industries for an example, just-in-time, speed of service, cost of service and quality. The highlight on public spending within government in the recent times is a good example cost of service versus speed of service. Moreover, the effectiveness and efficiency of government departments are now measured on these attributes and they report on on-time delivery and turnaround times. This is highlighted by the rise of the customer satisfaction surveys after you have submitted your service request. Some other government department have developed channels for lodging complaints. These are just examples of how the customers are not only put at the centre of the process but also to improve the services being rendered to public.

The public service delivery literature for developing countries is littered with failure stories where the efficiency and effectiveness of government systems are collapsing or in a very bad shape resulting in poor service delivery. *Batho Pele* principle is a technique adopted by many government entities in South Africa to promote better service delivery by putting the needs of the citizens first. It is one of the early innovations geared to improve service delivery by behaviour modification approach. In summary, *Batho Pele* sought to transform the public service by promoting democratic values such as fairness, community participation and transparency in decision making, and treating citizens as customers, and therefore putting them first in service delivery (Mpehle, 2012). Although these principles are encapsulated in the South African legislation, there are challenges faced by government in the delivery of services discussed in the previous sections. These challenges lead to the collapse of delivery of services

resulting in service delivery protests in various parts of the country and for particular governmental service sector. It therefore remains imperative that when discussing the justifiability of protests, the root cause of the protests be explored in order to understand the problem holistically.

Lastly, this sections draws us to the concept of *Ubuntu*. The core principle underlying *I am because we are*. *Ubuntu* refers to the African worldview of seeing oneself through others. It refers to the pattern of interconnectedness between people in the form of a philosophy or worldview (Chigangaidze, Matanga, & Katsuro, 2022). *Ubuntu* is an African code of ethics that emphasizes the importance of hospitality, generosity, respect for all members of the community. *Ubuntu* philosophy is an important guiding philosophy in ethical decision making for practitioners working with Africans or people of African ancestry (Mabvurira, 2020). *Ubuntu* as a management concept is then needed as guiding principle in delivering of services in a manner that will bring dignity and respect to the recipients. Leadership and governance are all about “people” and the “common welfare”. Africans have an *Ubuntu* philosophy which culturally calls on individuals to promote the welfare of collective society. It is therefore paradoxical to note how African leaders and governance regimes perform poorly when it comes to the usage of public resources to create conditions for collective human welfare (Asamoah & Yeboah-Assiamah, 2019).

It is worth noting that while the *Batho Pele* and *Ubuntu* principle is encouraged by most companies and even government department that use the Western management approach. The core of these principles lies in the recognition that it is not possible to build a healthy community at peace with itself unless human dignity of all members of the community is safeguarded.

2.9.3 COMMUNITY ENGAGEMENT AND COMMUNITY COHESION AS A SOCIAL INNOVATION

In South Africa, government’s commitment to fostering community engagement and participation is expressed in the South African Constitution and other legal frameworks. Community engagement is linked to the *Batho Pele* principles and *Ubuntu* principle. One principle in particular asks for regular consultation with customers. Community consultation is a form of community engagement and may promote community cohesion by making sure

that the voices of the community are heard and are involved in decision making for services that affect them (Hazelkorn, 2009). This is in line with the social innovation definition by (Mirvis, et al, (2016) and (van der Have, et al, (2016) above.

Community engagement and community cohesion are both current public policy priorities. But there have been gaps in understanding about how to promote community representation in ways that take account of diversity and population change (Blake, et al., 2008). According to Hazelkorn, (2009) community engagement is impeded by the imbalance of whose views are heard and whose are not. She highlights that the barriers of the community being heard stifles community cohesion and how these barriers are overcome may promote successful community engagement and cohesion. She cautions that competition amongst community members and various stakeholders is a sure way to reverse all good efforts that are already in place. In-fighting and disagreements amongst various stakeholders especially political parties in oppositions has been widely documented and it has yielded negative results in other areas.

It is therefore evident that community engagement is an essential part of local governance and community-led development processes. Community engagement is an inclusive innovation that is geared towards providing community members with an opportunity to be part of decision-making and to exercise ownership over development processes (e.g. identification of needs, selection of priorities, project design, approval processes, implementation, monitoring and evaluation) taking place in their constituencies (Andani, 2017). The importance of community engagement and cohesion as a social innovation initiative is clearly highlighted by Blake, et al., (2008) and Andani, (2017) whereas Hazelkorn, (2009) draws attention to the barriers that may cause ineffectiveness to total collapse of these efforts.

There is limited evidence that though participation has been embraced widely as a developmental tool, it has also encountered growing criticism in the past decades from scholars such as Mbeki & Phago, (2014) and Tsheola, Ramonyai, & Segage, (2014) who argue that participation has failed to achieve inclusivity and social change, owing to it being ineffective in addressing issues of power and politics that often characterise the participatory sphere.

Drawing on Hazelkorn (2009)'s account on community engagement, social innovation and inclusivity may occur when people, particularly people with somewhat atypical backgrounds, build structured institutions to secure informal, naturally occurring relationships of value. It

must be underpinned by networks of community, local government and other supporting structures and may not require complete solutions but rather timely, more limited solutions that address key issues while laying an organizational foundation for more long term efforts. Lastly, it must involve the willingness to consider new ways of structuring long standing relationships while allowing redefinition of roles and role relationships to address the equity concerns of various parties.

2.10 TOOLS AND TECHNIQUES THAT AID INNOVATION

Innovation is essential for business survival in highly competitive markets where it is increasingly difficult to differentiate products and services and technology is forever changing. The importance of innovation therefore extends to the government departments especially those who provide immediate services to the public. It is essential for government to forever seek ways to deliver better and faster services to the community. Drawing from Mulgan, (2006) and Garud, et al, (2013) definition of innovation we can extrapolate that using tools that aid innovation and management, businesses can expand their customer base by refreshing the market with new and improved service and product offerings.

The *Batho Pele* White Paper aimed to ‘introduce a fresh approach to service delivery; an approach which puts pressure on systems, procedures, attitudes and behaviour within the Public Service and re-orientates them in the customer’s favour, an approach which puts people first’ (Nzimakwe, et al, 2012:281). They further say that on top of the official eight principles, some provinces have adopted additional principles which include encouraging innovation. The Centre for Public Service Innovation (CPSI) was therefore developed as an enabler, facilitator and champion of innovative ideas. This centre’s mandate was to improve capacity to deliver services in the social services cluster, enhance joined-up government and integration of services, accelerate public access to public services and creating institutional forms for improved public services.

In promoting and encouraging innovation, there has been many models and methodologies developed and improved upon for continuous improvement of services and products. These methodologies are there to manage and accelerate innovation in a way that yields incremental and positive results. Specifically, there are methodologies in the forefront of innovation e.g. design thinking methodology, systems thinking, lean methodologies and other methods

depending on the services and products being developed in a given domain or industry. Complementary to the *Batho Pele* and *Ubuntu* principles, design thinking methodology amongst others, is popular for product and service design for its user centricity in its approach and that the solution is developed with the user in mind after a very rigorous and reiterative process. On the other hand, continuous improvement methods like lean six sigma concentrate on improving the efficiency of processes and the overall effectiveness in the production of products and services.

Another essential point is that due to the nature of the broad spectrum that innovations exist in, there are number of types of innovations. Below we are going to discuss methodologies that are used to aid innovation efforts.

2.10.1 TEN TYPES OF INNOVATION

Doblin's Ten Types of Innovation shown in Figure 3 below is a model that can be used to revisit existing strategies to develop viable innovations across all levels of an organisation. This framework can be used as a diagnostic tool to assess how innovation should be approached internally and to evaluate which aspects to improve on that aren't solely focused on technology innovation. This framework focusses on assessing the internal environment that needs an intervention. Instead of applying a one size fits all as previously done by earlier methodologies, this methodology cannot be applied in its current form without assessing the internal and external environment.

This kind of holistic approach can help analyse the competitive environment and reveal gaps and potential opportunities for incremental improvement as well as doing something completely unique. This framework can be not only be used to emphasize the community needs but also, how other stakeholders are selected in the provision of services. Analysing the service providers thoroughly will limit onboarding less qualified contractors and vendors who in turn provide inferior products and services. Figure 3 below shows the ten types of innovation model illustration.

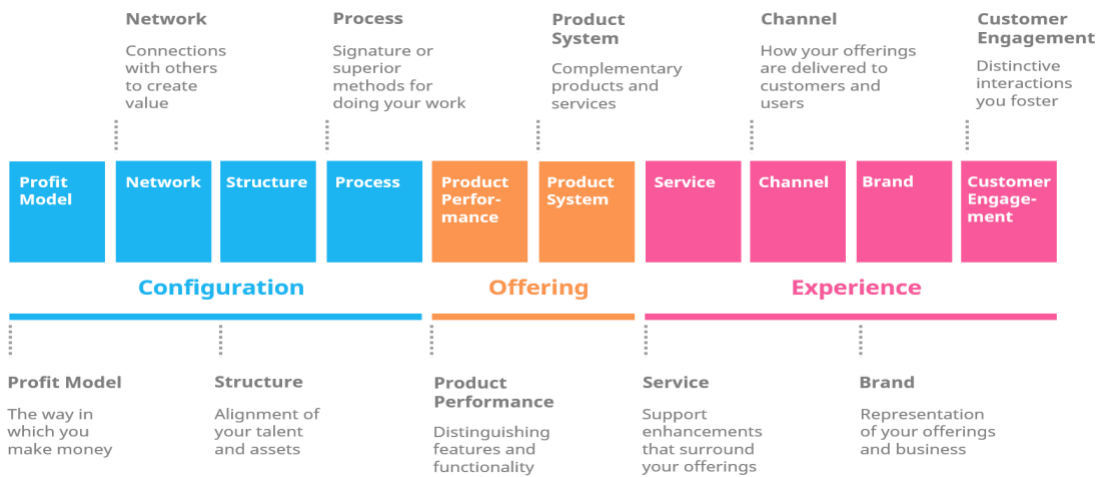


Figure 4 – Ten Types of Innovation

[source: A Hype Innovation Company, 2018]

In the Ten Types of Innovation framework, the different types of innovations are divided into three main categories: configuration, offering and experience. In layman's terms, development of a business model, product or service and customer engagement through marketing and user-experience. The emphasis here is on the configuration stage where connections are developed with various stakeholders, best practices are followed and new processes developed that will best serve the kind of community needs identified. Furthermore, an aligned structure to be developed that will foster accountability and continuous improvement.

It is worth noting that the left side of the framework is internally focused and distant from customers. In layman's terms, the configuration stage is inward looking and is concerned with the internal capabilities to deliver the much needed service. As you move toward the right side, it becomes increasingly apparent and obvious to end users. Therefore this framework can be used to analyse the current state and the existing competition to spot areas that need immediate attention, are missing completely, or could become competitive advantages for innovation.

2.10.2 LEAN SIX SIGMA

The Six Sigma methodology is a well-disciplined and structured approach used to enhance process performance and achieve high levels of quality and low levels of variability (Salah, Rahim, & Carretero, 2019). This is a continuous improvement methodology that focusses on process performance continuous improvement and quality control. The Define, Measure, Analyse, Improve, Control, (DIMAIC) methodology takes a problem that has been identified

by the organization and utilizes a set of tools and techniques in a logical fashion to arrive at a sustainable solution(s). The resultant solution(s) will minimise or eliminate the problem, placing the organization in a competitive position (Mitra, 2016). The Six Sigma approach is said to start with the identification of the need for an improvement initiative. In the provision of services, it is important to do a needs analysis before you provide services. Specifically in service delivery, it is important that much needed services are provided to the community and we must do away with one size fit all mentality. This will ensure that a particular community will receive a specific service according to their needs if research, feasibility and needs analysis is done prior providing a service.

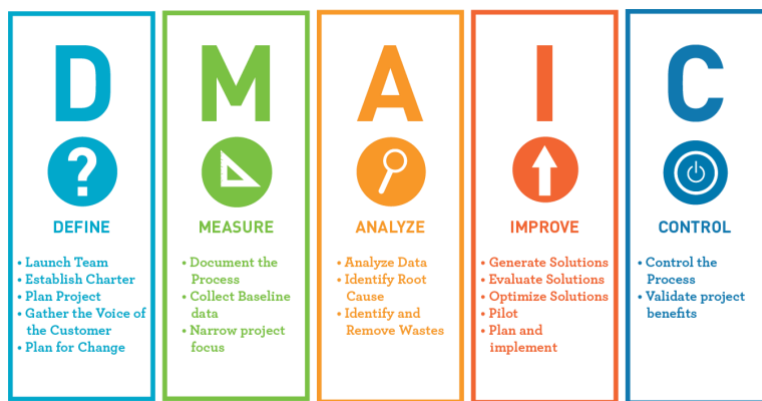


Figure 5 - Lean Six Sigma (DMAIC)

[source: Process Improvement Using Six Sigma - A DMAIC Guide, Shankar (2009)]

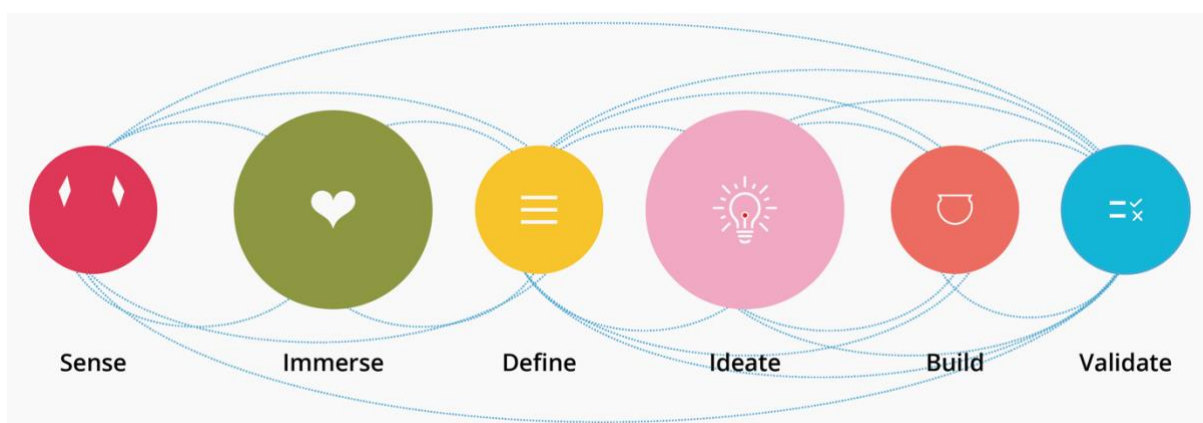
The lean methodology is proven to help organisations achieve on time delivery of the right quality and quantity to satisfy customers (Salah, Rahim, & Carretero, 2019). Lean methodology is unique as it focuses on enabling people to see the product or service and the whole value stream from the perspective of the customer. The enabling of the customers perspective is key as this will solidify the need for provision of services. It will also, give concrete evidence of the need, the extent and the urgency that that service is needed. Lean Six Sigma methodology will then eliminate waste, variation, cost and work imbalance. By waste, we mean concentrating of value adding activities like, reducing unnecessarily long cycle times, or waiting times between value-added activities. Waste can also include rework or scrap, which are often the result of excess variability and extra costs. This methodology will help build an efficient process guided by total quality management principles.

2.10.3 DESIGN THINKING

Design Thinking methodology is defined as a comprehensive customer-oriented innovation approach that aims to generate and develop creative business ideas or entire business models (Mueller-Roterberg, 2018). Essentially, design thinking is underpinned on user-centricity in its design and methodology. This method focusses on the problem and the users' needs and lets these two components drive the process until solution generation which makes it a very integrative approach. This is much needed especially since community participation and consultation was highlighted in the Batho Pele and Ubuntu principles.

Thoring & Müller (2011) describes design thinking as a specific method to solve complex (wicked) problems and to generate innovative solutions, based on a user-centered approach with multi-disciplinary teams. Service delivery is complex in its nature as it involves various stakeholders from start to finish. It then needs innovative ways to solve any problems that may arise while concentrating on solving the very problem identified by the users or customers.

The two scholars not only agree on user-centricity and integration but also on collaboration by using multi-disciplinary team. This is much needed to solve the problem of fragmentation of teams who are said to be working to provide a service. This method fosters vigorous stakeholder engagement and accountability till solution generation and after the service has been provided. Figure 4 below shows the design thinking illustration by Billy Loizou. The building components of this methodology will be defined in the next section where we will be discussing in detail which parts of the model were chosen for the praxis model that will inform the audit tool. This method emphasize iterations amongst stages before the final product is delivered to the end-user.



					
Sensing the Digital Opportunity	Empathizing with Consumers	Defining the Design Challenge	Generating a Spectrum of Solutions	Experimenting through Prototyping	Validating Solution Effectiveness
SENSE	IMMERSE	DEFINE	IDEATE	BUILD	VALIDATE
Focuses on achieving total awareness of the organizational context, the key influences on how it operates and competitive environment	Focuses on the foundation of a human-centred design process, led through observations, engagement and immersion	Focuses on systematically approaching customer data and conducting analysis to discover meaningful insights and opportunities from the research	Focuses on expanding the boundaries of thinking and collaboratively creating something that is greater than the sum of its parts	Focuses on getting the ideas and explorations out of the head into the physical world, trailblazing the results using visualization techniques	Focuses on capturing user feedback, refining the solution and reaching a point where by the solution satisfies the three tests of desirability, feasibility and visibility
TOOLKIT Trend-spotting in today's disruptive world	TOOLKIT Gaining insights using Digital Anthropology	TOOLKIT Dimensions and Re-framing through Synthesis	TOOLKIT Imagine, Ideate and Model Possibilities	TOOLKIT Prototyping for meaningful Interactions	TOOLKIT Desirable, Feasible and Viable Business Model

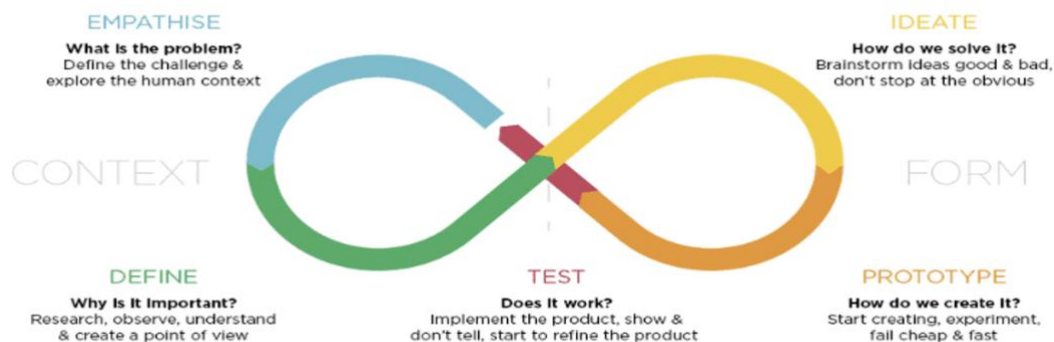


Figure 6 - Design Thinking Methodology

[source: Handbook of Design Thinking, Mueller-Roterberg, C. (2018)]

2.10.4 DEMING CYCLE

The world is changing and it forces everyone to change with it, similarly organisations need to change in order to stay competitive, productive and profitable. The organisations including government need to continuously improve their processes to stay relevant and cater for current needs using fresh methods. Continuous improvement is a quality management technique.

Quality and cost of services has been in the forefront in the service delivery space where government spending is highly scrutinised as a result of financial mismanagement and corruption in government departments. Therefore the cost and quality of goods produced and services rendered has to be monitored, either directly or indirectly by community at large, other political parties and other interested parties or organisations. If quality is monitored then we need to find the root cause of defects. (Gharajedaghi, 2011). This basically means there is detection, monitoring, control and improvement. This cycle is then important in giving a clear picture of bottlenecks and what is being done to reduce and mitigate any blockages in the system. Figure 5 below shows the Deming Cycle.

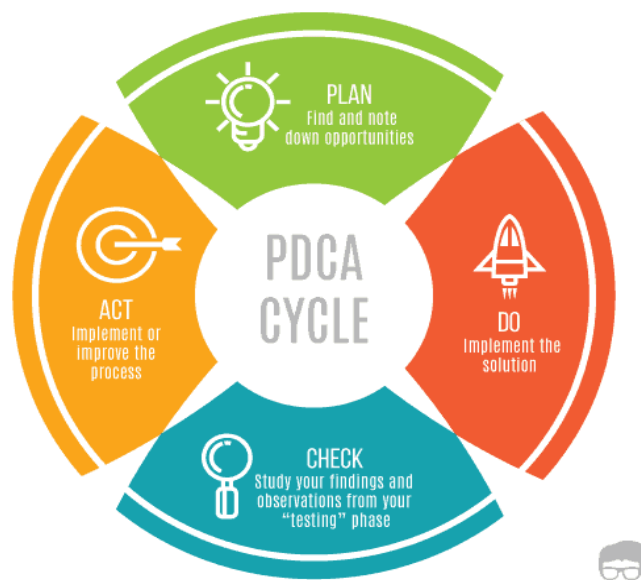


Figure 7 - Deming Cycle

[source: A Hype Innovation Company, 2018]

2.10.5 SYSTEMS THINKING

As the world change, it becomes increasingly more complex and chaotic because we use inadequate concepts to explain it. We need fresh methods to view the world as is and not as we know it to be. When we understand something better, it decreases confusion and ambiguity, we no longer see it as chaotic or complex. The service delivery sphere can also be complex and full of layers of ambiguity causing chaos for anyone outside the system or with less knowledge. For an example at local government level, the structures can be complex as sometimes it may not be clear the correct chain of command or span of control that exist. This is where systems

thinking methodology comes in to help us clarify the context of the world we find ourselves in. An effective systems thinking methodology would deal not only with the imperative of interdependency and the complexities of self-organising systems, but also with the question of purposeful behaviour of multi-minded systems (Gharajedaghi, 2011). Unless we understand the implications of self-organizing purposeful behaviour, the multi-minded beast will outmanoeuvre any attempt to tame it.

Systems Thinking methodology lies at the interaction of the following four foundations of systems thinking, holistic thinking, operational thinking, self-organization and interactive design.

Holistic thinking is concerned with the iteration of structure, function and process while operational thinking is concerned with the dynamics of multi-loop feedback systems; chaos and complexity. These two foundations are there for better understanding of the system at large. Self-organization is a geared movement towards a predefined order like socio-cultural model while interactive design is about redesigning the future and inventing ways to bring it about.

The systems thinking methodology legitimises structure while limiting chaos and complexity through multi-feedback loops systems. The holistical approach makes sure that all the stakeholders are involved and know their roles in providing services from start to end. This will bring the understanding that as much as the end product or service is important however all the parts that come together along the process till completion are also important however independent they may be in their design. System Thinking methodology assumes that the whole is nothing but the sum of the parts, and thus understanding the structure is both necessary and sufficient to understanding the whole (Gharajedaghi, 2011). By defining the whole value chain system by its outcome, we have to understand and analyse the system in the context of the larger system of which it is a part, and then study the effects it produces in its environment. Service delivery has many systems that feed into each other and are related in nature, it is therefore important to understand the stakeholder relationships in order to create solutions that add value.

2.11 HOW CAN STAKEHOLDER THEORY BE USED IN IMPROVING SERVICE DELIVERY?

The previous section outlined techniques and tools that aid innovation and the overall thread of these tools is collaboration, inclusivity via vigorous stakeholder management and engagement. Furthermore, the provision of services involves several stakeholders from start to finish and at different levels of the process. Therefore, it becomes a requirement that we understand our stakeholders and this will be done by exploring the stakeholder theory. According to Fontaine, Haarman, & Schmid, (2006) says especially in social issues and social movements the need to define and understand stakeholders involved is important. The traditional definition of a stakeholder is “any group or individual who can affect or is affected by the achievement of the organization’s objectives” Freeman, (1984) as cited in de Gooyert, Rouwette, van Kranenburg, & Freeman, (2017). Stakeholder theory is used to both define the “stakes” and the “holders” (Boutilier, 2009). This definition is consistent to this research as we need to understand in detail what are the stakes at play here and who are the holders of these stakes. Furthermore, to understand what would happen if no intervention is put in place and the status quo is left as is.

Stakeholder theory has been used in various settings including stakeholder collaboration in entrepreneurship in education, business, e-government context, corporate social responsibility and many others. Stakeholder theory present a number of tools that managers can use to implement stakeholder thinking, better understand stakeholders and create value with and for them (Freudenreich, Lüdeke-Freund, & Schaltegger, 2020).

This study will prepare and define a preliminary list of stakeholders that can affect or be affected by provision of services and related protests. Stakeholders have a vested interest on the success of the municipality in service provision and development. They include community members, municipalities, investors, suppliers, interest groups, non-governmental organisations, associations and traders (Zwane & Matsiliza, 2022).

Stakeholders can be dominant, definitive, discretionary, dependant, dangerous or demanding. They further have different kinds of power, i.e. utilitarian, coercive and normative. This categorization can be seen in many areas where protests are prevalent. For an example, some protests become dangerous in nature because of violence. In the event where various groups or political parties are a majority, a dominant behaviour can be seen as well. Stakeholder types will then hold different powers and in some instances will have more bargaining power which

can have undesirable results for the community at large. This is shown on Table 3 below and is going to be defined in detail in the next section.

Table 3 - Stakeholder Identification

Stakeholder	Stakeholder Type	Stakeholder Power
Local Government • Wards Councillors • Municipality Officials	Dominant Definitive Dependant	Utilitarian, Coercive Normative
Community • General Public • Leaders	Dominant Dependant Demanding Dangerous	Utilitarian, Coercive Normative
Service Providers • Vendors • Contractors	Discretionary Dominant Definitive	Utilitarian, Coercive Normative
Non-Profit Organizations Non-Governmental Organizations Other Interested Parties	Dependant Demanding	Normative
Political Parties	Dominant Dangerous Dependant Demanding	Normative

[source: The Stakeholder Theory of the MNC, 2006]

2.12 STAKEHOLDER DEFINITION

Officials consists of municipality and ward councillors. These officials are the main guardians of the community as they are not only influential but central to the community at large. Officials can be defined as dominant, definitive and dependant in nature. They are said to be all over with the law on their side and authority however dependant to those they serve. While their power can be defined as utilitarian as they are meant to be effective and functional in nature however in some instances they are seen as intimidating and powerful.

The community is the focal point of all service delivery. As such the community can be very demanding and dominant in nature when service delivery is poor or basic needs are not met. While they are dependant from other stakeholders in this service delivery system, they can be dangerous at times and that can be seen from various reports of service delivery protests where infrastructure and property was damaged. Therefore, the community can be very coercive in how shaping the governance. The community consists of ordinary community members and leaders that take charge or represent the community on various stakeholder engagements.

Service providers are all those vendors hired by the government and other stakeholders to provide products and/or services to the community. In some instances, a service provider can be an individual that provides services to another party. The provision of services between a service provider and the community is typically governed by a service agreement (Hollebeek, Kumar, & Srivastava, 2022). With this definition, service providers are then said to be functional however many reports are sighting unqualified service providers as one of the problems to the provision of services.

Non-profit Organisations are organisations that have been granted tax-exemption status as they provide social good for the public and are not for profit. These organisations are sometimes called community watchdogs as they fight for community needs and social justice. Communities have various of these organisation from crime prevention to providing educational and recreational activities. (Hollebeek, Kumar, & Srivastava, 2022)

Communities have political affiliations with various political parties. In the past, political affiliations have been a source of conflict in various communities and there are still reports in this day about politically induced violence. Political parties therefore are embedded in communities and can be dominant, demanding and dangerous. Their power has clouded the protest action as sometimes it is hard to ascertain the genuity of the protests.

Stakeholder can further be defined as compatible or incompatible, necessary and contingent as shown if Table 4 below.

Table 4 - Stakeholder Relationship

	Necessary	Contingent
Compatible	Defensive Council Officials Service Providers Community Leaders	Opportunism The general public Service Providers
Incompatible	Compromise Low-level employees Government Customers	Competition/elimination Criminal Politics Some NGOs

[source: *adapted from* The Stakeholder Theory of the MNC, 2006]

Understanding all the stakeholders in this system of service delivery and its related protest is key to solving service-related problems and it provides a stakeholder value creation framework derived from key characteristics of stakeholder theory (Freudenreich, Lüdeke-Freund, & Schaltegger, 2020). As mentioned in the previous sections, solving service-related problems needs all that are affected to be involved. This means understanding where each stakeholder fits and how they affect the whole system. This is clearly shown on the tables above representing the causes and remedies of service delivery. While all gatherings are not about service delivery, this is not clearly shown or reported by the media.

2.13 CONCLUSION TO THE LITERATURE REVIEW

The society has various forms of discrimination and deprivations, which should be reduced and, therefore, the resources should be so allocated that there is justice and equity in the delivery of all public services. It is even more important to ensure that services are delivered effectively and efficiently. So, it is necessary to understand various aspects of delivery of public services. Providing public services requires interaction between the service provider and the client and the service provider should be responsive to the need of the community.

Commitment to change the institutional arrangements for transforming the delivery system is the urgently needed for improving services to the poor. The literature highlights the need to properly define stakeholders and their relations and social innovation and its contribution. That way, stakeholders will know how to work towards achieving societal goals. The literature also

encourages the development of a framework on the social innovation studies, to create boundaries in which to work from. This will further create a link between the study of organizational efforts to alleviate social problems and the transformation of social systems. Lastly, the aim of this research is to provide the framework that would provide social auditing mechanisms with the legitimacy it needs to be as widely recognised and accepted as traditional (financial) audits.

CHAPTER 3

3. RESEARCH METHODOLOGY AND DESIGN

3.1 INTRODUCTION

The objective of this chapter is to explain and describe in detail the research methodology that was going to be applied in this study. The research design and its underpinning methodology will be discussed in order to justify the quality and significance of the procedures that were applied to this research. The preceding sections of this dissertation clearly outlines the research problem of the study. The research sub-questions have also been presented in a clear and measurable manner. It is now time to consider a suitable research design and methodology for the study. The discussion in this section of the chapter is structured around the research design, methods, population sampling, data collection and data analysis. Ethical considerations and measures to provide reliability, validity and trustworthiness are also discussed.

3.2 RESEARCH PROBLEM

The research problem identified is the continued frequency of service delivery protests and the confusion that surrounds them. The researcher acknowledges that there are many contributing factors that may induce these service delivery protests, including political, economic and social factors. The world is experiencing increasing challenging and complex social problems to a point that private companies, Non-Governmental Organizations (NGO's) have been called upon to address these problems (Hahn, et al, 2016).

The aims and objectives of this research are to understand the service delivery protests in South Africa in detail and what makes them problematic. After understanding the service delivery landscape, we will then apply social innovation principles and techniques to come up with a stakeholder accepted tool to measure and monitor service delivery protests. The study is a two-phased and it will follow the identification and verification approach. Phase one of the study will be used to identify service delivery problems and phase two will be to verify the findings which will feed into the development of the praxis model.

3.3 RESEARCH DESIGN

A research design focuses on the end-product and all the steps in the process to achieve that outcome. In this sense, a research design is viewed as the functional plan in which certain

research methods and procedures are linked together to acquire a reliable and valid body of data for empirically grounded analyses, conclusions and theory formulation (Bell, et al., 2014). The research design thus provides the researcher with a clear research framework; it guides the methods, decisions and sets the basis for interpretation.

The research design also reflects the purpose of the inquiry, which can be characterised as one or more of the following approaches, exploration, description, explanation, prediction, evaluation and history (Creswell, 2014). This study adopted an exploratory, descriptive and explanatory approach. The underpinning reason to choose these three approaches was to deeply understand the problem identified so as to describe the cause and effect and finally explain it in a structured manner by providing sound recommendations. The three approaches are measure below in detail.

3.3.1 EXPLORATORY RESEARCH DESIGN

This study used an exploratory research design, as it is intended to explore the research questions in-depth in order to understand them better. According to Creswell (2014), exploratory research design does not intend to offer final and conclusive solutions to existing problems but to offer a platform to understand the research question better. In the preceding sections, it mentioned that the service delivery phenomena and related protests are misunderstood and has been mudslided by the politics. The phenomena has high levels of uncertainty and ignorance and makes the problem not very well understood. Service delivery and related protests therefore fall under this definition as there is so much ambiguity surrounding it. It is therefore befitting to use this type of research design to study a problem that has not been clearly defined yet.

Furthermore, the main aim of exploratory research is to identify the boundaries of the environment in which the problems, opportunities or situations of interest are likely to reside, and to identify the salient factors or variables that might be found there and be of relevance to the research (Marczyk, DeMatteo, & Festinger, 2005). It can even help in determining the research design, sampling methodology and data collection method. Exploratory research “tends to tackle new problems on which little or no previous research has been done. This was the most useful and appropriate research design for this study. Lastly, exploratory research design was implemented into this study by using semi structured interviews of both by general

respondents and experts, reviewing of the relevant literature and drawing insights from the analysis of cases from various websites, newspapers and research organizations.

3.3.2 DESCRIPTIVE RESEARCH DESIGN

The main aim of descriptive research is to provide an accurate and valid representation of (encapsulate) the factors or variables that pertain / are relevant to the research question. Such research is more structured than exploratory research (Bell, et al., 2014). Descriptive research is used to answer descriptive research questions: What is happening? How is something happening? Why is something happening? This study had to answer these research questions: What is the nature and characteristics of South African service delivery protests and what makes them problematic? What can we learn from service delivery and protests from the internal experience? What can we learn from social inclusive innovations such as social auditing?

In simple descriptive research designs, data is collected by means of a survey to a random sample to describe characteristics of the subject of the study. In the original design of this study a survey was going to be used to provide a descriptive and valid representation of the relevant questions. Because of COVID-19 and related lockdown restrictions the second (validation of the tool through a wide survey) phase of the design was not done as planned. An online survey was used instead similar to phase one.

3.3.3 EXPLANATORY RESEARCH DESIGN

Explanatory research design is sometime referred to as analytical study. The main aim of explanatory research was to identify any causal links between the factors or variables that pertain to the research problem. Such research is also very structured in nature. This research design was specifically chosen to test very specific theories, for instance, barriers to public and community participation, service delivery inefficiencies in different settings and previous research findings. This design will be beneficial for the second phase of the study where we will be testing and verifying the initial findings in order to draft the audit tool.

Explanatory research design will play an instrumental role in terms of identifying the reasons behind a wide range of processes as well as assessing the impact of existing norms and processes identified in the problem identification phase of the study. Moreover, it may offer a platform of replication if a need arise, and this is important in any research. As a result, this

design may increase levels of internal validity due to systematic selection of subjects. Particularly in the second phase of the study, experts were specifically selected for their opinions. The experts selected used an online survey to record their expert opinions and the survey was not as widely spread as planned due to lockdown restrictions.

3.3.4 DEVELOPING THE TOOL

The overall study was in Two Phases : presenting the findings from the data collected and then developing a tool. With this in mind the study focused on the above three research design approaches. However, for the purposes of designing, developing and fine tuning the tool the data collection tools had evaluating, predicting and historical questions. This helped to give a broader view and understanding of the relationship between contributing factors and their effect on each other. The designing of the tool used analysis from existing data from literature review and numerical data from Statistics South Africa and similar reports for example Auditor General South Africa Report. Primary findings were used to develop the tool in detail and this data was derived from online questionnaire. The study will therefore use both qualitative and quantitative data. Quantitative data were used as inferential and descriptive statistics. Mixed research methods will be discussed in the following sections in detail.

3.4 RESEARCH METHODOLOGY

Research methodology focuses on the research process and the kind of tools and procedures to be used (Marczyk, DeMatteo, & Festinger, 2005). It focusses on the individual steps in the research process and the most ‘objective’ procedures to be employed. It is then driven by the specific tasks at hand like data collection methods.

The research methodology was approached in two stages or phases. The first stage/phase was to understand and explain the problem of service delivery and inform the development of a draft tool. The data for this stage were taken from the literature review, secondary data sources and questionnaire responses from respondents. The second phase of the research project was to validate the draft tool developed in stage one. This original plan of this stage was to fine tune the tool to prepare it for validation with a wider sample of respondents. Therefore, the design and development of the tool used analysis of existing data from numerical data, literature review conducted, text data and historical data. The second part of this approach was to generate new data from conducting interviews and questionnaire. Thereafter, a draft tool

was developed using the data collected. Following this methodology, it is clear to see that the study took a mixed method approach, which will be discussed in the next section. The mixed methodology was chosen because a need existed to explain the existing or previously researched findings, to enhance the study while enhancing the research objective through a multiple research phase and finally to use all findings to develop a praxis model that can be used theoretically and practically to understand the study in detail for future use.

3.4.1 MIXED METHODS RESEARCH DESIGN

As mentioned in the previous section, the study will take a mixed method approach however in developing the tool a more qualitative method will be used. Mixed methods research is the type of research in which a researcher or team of researchers combines elements of qualitative and quantitative research approaches for example the use of qualitative and quantitative viewpoints, data collection, analysis, inference techniques, for the broad purposes of breadth and depth of understanding and corroboration (Schoonenboom & Johnson, 2017).

The overall goal of mixed methods research, of combining qualitative and quantitative research components, is to expand and strengthen a study's conclusions. In all studies, the use of mixed methods should contribute to answering one's research questions. It is for this reason that this method was chosen for this study, to give more validity, credibility and heightened knowledge to the research. Furthermore, these set of methods also have the benefit of being flexible and easily adaptable to changes in the research environment and can be conducted with minimal cost.

Figure 8 below shows the foundation of the framework for the methodology to be adopted for this study.

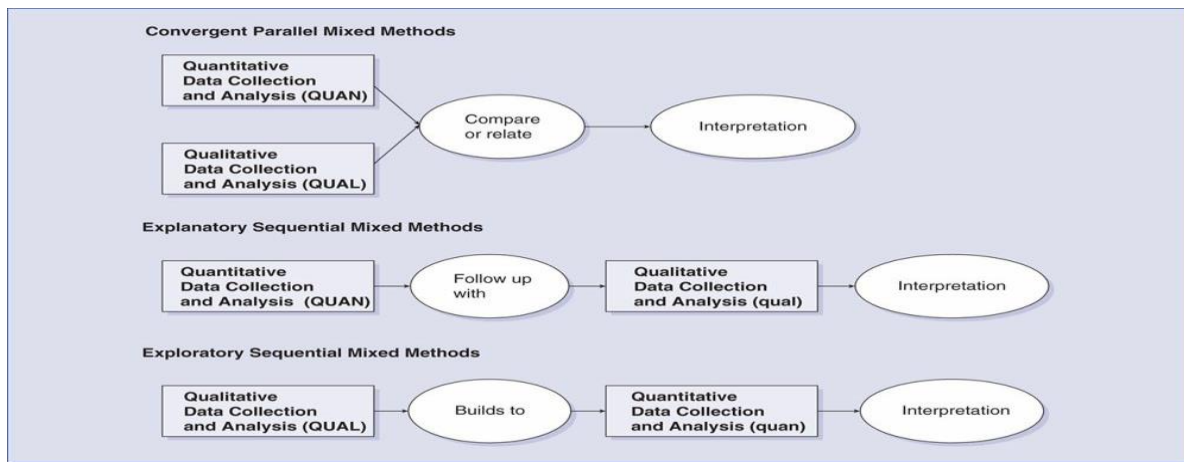


Figure 8 - Advanced Mixed Methods Designs

source: Creswell, 2014

The study was general in nature hence there was no specific site to collect the research data. Service delivery and its related protests is a national problem and affects the communities in different ways and different times. Therefore, it was deemed that the respondents will share a wide range of experiences of service delivery and its related protests resulting in valuable insights that will give the study rich data and rigour. This is in comparison to choose one site and get biased answers and similar issues affecting one place.

Being able to mix different approaches has the advantages of enabling triangulation. Triangulation is a common feature of mixed methods studies. It involves, for example:

- Data triangulation - the use of a variety of data sources. This method was used for this study. The study triangulated existing literature, various reports and research findings to formulate new knowledge and findings.
- Investigator triangulation - the use of several different researchers. This method was not used for this study as it would be costly and time consuming to find researchers who have done similar work or related topic as this study.
- Theory triangulation - the use of multiple perspectives to interpret the results. This method was used for this study, similarly to data triangulation, multiple perspectives and theories were interrogated.
- Methodological triangulation - the use of multiple methods to study a research problem. This method was used. The nature of the study takes a two phased approach and also a mixed method approach which used multiple methods to derive the findings.

To utilise this research design effectively, you must understand both quantitative and qualitative research. They will be discussed in detailed below together with triangulation section.

3.4.2.1. QUALITATIVE METHOD

The study took a qualitative research route which is concerned with the understanding human behaviour and why they behave the way they do and how their knowledge, attitude, beliefs and fears shape their behaviour in a given social setting (Martens & Hesse-Biber, 2012). Qualitative researchers are interested in people's beliefs, experience and meaning systems from the perspective of the people (Mohajan, 2018). Researchers who use qualitative research adapt a human-centred and holistic perspective to understand the human experience, without focusing on specific concepts. The original context of the experience is unique, and rich knowledge and insight can be generated in depth to present a lively picture of the participants' reality and social context. These events and circumstances are important to the researcher. This approach can be likened to the discovery phase of the design thinking methodology discussed in chapter two.

The qualitative research method was specifically used in this study to answer these sub-research questions: What is the nature and characteristics of South African service delivery and what makes them problematic?, What can we learn from service delivery and protests from internal experience? These two sub-research questions needed to extrapolate the experiences and meanings from the perspectives of the respondents as defined by Mohajan (2018) above. While the last two sub-research questions also used this method to understand human experiences, other research methods were used to gather further information for an example, triangulation and analysis of literature review.

Qualitative researchers are concerned with the 'emic' perspective to explore the ideas and perceptions of the participants. The researcher examined the experience from the participant's point of view in order to interpret his/her words. The researcher therefore becomes involved and immersed in the phenomenon to become familiar with it. The immersion of the researcher helps to provide dense descriptions from the narrative data gathered from the participants, to interpret and portray their experiences, and to generate empathetic and experiential understanding. However, immersion cannot be obtained without a researcher-participant

trusting relationship. The relationship is built through basic interviewing and interpersonal skills.

Qualitative data collection methods are flexible and unstructured, capturing verbatim reports or observable characteristics and yielding data that usually do not take numerical form. Words, films, postcards, art and all sensory data are considered qualitative data unless they are transformed into some numerical system (Creswell, 2014).

3.4.2.2. QUANTITATIVE METHOD

It is earlier mentioned that this study adopted a mixed methods approach. Specifically when gathering information about the nature and characteristics of service delivery in South African, numeric enquiry is also used to understand the likelihood and occurrence of these protests. It is here where questions are asked both to give absolute measurements and also give an option to detail your explanation. This has been done to test the findings from the literature review about the nature, likelihood, occurrence and characteristics of the service delivery protests.

Quantitative research is an inquiry into an identified problem, based on testing a theory, measured with numbers, and analysed using statistical techniques. The goal of quantitative methods is to determine whether the predictive generalizations of a theory hold true (Creswell, 2014). Quantitative research is generally associated with the positivist paradigm. It usually involves collecting and converting data into numerical form so that statistical calculations can be made, and conclusions drawn. For this study, the quantitative data is was to be used to help describe (i.e. descriptive statistics) and support the qualitative data collected by bringing out a clearer picture and thus shaping the tool.

3.4.2.3. TRIANGULATION

Triangulation is a process of verification that increases validity by incorporating several viewpoints and methods. In the social sciences, it refers to the combination of two or more theories, data sources, methods or investigators in one study of a single phenomenon to converge on a single construct, and can be employed in both quantitative (validation) and qualitative (inquiry) studies (Yeasmin & Rahman, 2012). As mentioned in the previous sections that this study was conducted in two stages, triangulation then best suited this study in terms of collecting and analysing data using various data sources. Specifically, in this study

literature review, archival reports, newspapers and case studies were used to collect data in addition to surveys and questionnaires administered for the respondents.

Data and methodological triangulation type were applied for this study. Data triangulation uses various data sources and methodological triangulation uses multiple methods to study the research problem as mentioned above (Creswell, 2014). Methodological triangulation provides richer data by exposing information that may have remained undiscovered. The quantitative and qualitative research findings will be combined to generate final findings and conclusions.

It is, however, important to note that both quantitative and qualitative paradigms seek to achieve reliable and valid results. Furthermore, although each method has its advantages and limitations, when these methods are combined, by triangulation, the advantages of each methodology complement those of the other, producing a stronger research design that will yield more valid and reliable findings. Mixed methods researchers should give priority to the use of qualitative methods in order to engage more deeply with research participants in setting the research agenda, developing questions, and constructing reports of the inquiries (Martens & Hesse-Biber, 2012).

3.5. MIXED-METHOD RESEARCH DESIGN

The preceding sections have clearly articulated the methodology and design for this study. Now, this section will introduce the actual methods that are going to be used to collect and analyse data.

The first stage of the study was both be quantitative and qualitative. The qualitative data was derived from an online questionnaire and also from secondary data or archival data. It must be noted that sources for this study contain a considerable amount of quantitative data. As much as quantitative data is not the main focus of the study, it was used to shape the findings in conjunction with the qualitative data collected (Vehovar, Toepel, & Steinmetz, 2018). Data were collected using various sampling methods that are going to be discussed in the following section.

The second stage consisted of in-depth interviews. The aim of these interviews was to clarify concepts and themes emerging from the initial data collection and analysis. This helped fine-tune the tool.

3.5.1 SAMPLING AND RESPONDENT SELECTION

In the beginning of chapter three, it was mentioned that the study is general in nature and not targeted at a specific type of population. With that in mind non-probability sampling was used for this study. It was specifically used as it fits the nature of this study and it is generally used in exploratory or trial research and does not represent the target population. Non-probability sampling uses subjective judgement and utilises convenient selection of units from the population (Ayhan, 2011). Non-probability sampling methods produce cost savings for personal interview surveys; the resulting samples often look rather similar to probability sample data. The data collection method was therefore used the non-probability sampling because of its association with case study research design and qualitative research. The study therefore used small samples that were intended to examine a real-life phenomenon and not to make statistical inferences. A sample of participants therefore does not need to be representative, or random, but a clear rationale is needed for the inclusion of some individuals rather than others. For this reason, snowball, convenience and purposive sampling methods were used to select respondents and collect data.

A more specialised type of purposive sample is a snowball sample, in which respondents are asked to suggest more respondents (Ayhan, 2011). Snowball sampling is a non-random sampling method that uses a few cases to help encourage other cases to take part in the study, thereby increasing sample size. This approach is most applicable in small populations that are difficult to access due to their closed nature, e.g. secret societies and inaccessible professions. Specifically, expert respondents were asked to suggest other respondents that can contribute with their knowledge to the study. The research adopted a snowball sampling method as this was the best way to use a word of mouth from respondents. From the initial list of respondents it was possible to get more respondents that were suggested to have knowledge about the subject and also the willingness to participate in the data collection. This was beneficial because there were respondents that were either working in the service delivery space or have worked there before and they were able to give valuable insights.

According to Ayhan, (2011), convenience sampling is composed of conveniently accessible persons who will contribute to the survey. Convenience sampling is selecting participants because they are often readily and easily available. Typically, convenience sampling tends to be a favoured sampling technique because it is inexpensive, and an easy option compared to other sampling techniques. Convenience sampling often helps to overcome many of the limitations associated with research (Vehovar, Toepel, & Steinmetz, 2018). The research adopted convenience sampling for the purposes of getting knowledgeable respondents in the field but also not limiting it to a general member of the community. This approach hastened the time it took to look for respondents and, coupled with snowball sampling, worked well.

Purposive or judgmental sampling is defined as a strategy in which respondents are selected deliberately in order to provide important information that cannot be obtained from other choices (Maxwell, 1996). It is where the researcher includes cases or participants in the sample because they believe that they warrant inclusion. The selection follows some judgement or arbitrary ideas of the researchers looking for a kind of ‘representative’ sample, or, researchers may even explicitly seek for diversity (deviant case samplings); sometimes unit are added sequentially until researchers satisfy some criteria (Vehovar, Toepel, & Steinmetz, 2018). For this study the respondents were purposefully selected for their knowledge and expertise. The researcher was specific at reaching out to a network that works in the government sphere and in the service environment. This minimised the struggle to find high calibre respondents by purposefully selecting respondents to provide specific information. The researcher reached out to municipal workers and non-governmental organizations to get specific respondents for their input. This sampling method helped bring rich data that was pertinent to the subject.

3.6. RESEARCH QUESTIONS AND RELEVANT DATA COLLECTION METHODS

Table 5 below shows the research sub-questions and their relevant data collection methods. This table has specifically been created to clearly show where data was derived from for a specific sub-research question.

Table 5 - Research Questions and Corresponding Data Collections Methods

Research Questions	Relevant Data Collection Methods			
	Literature Review	Documentary Reports Archival Records Annual Reports Industry and Corporate Reviews Newspapers and Case Studies	Semi-Structured Interviews of Key Respondents for Draft Generation	Survey of Wider Stakeholder Sample for Draft Validation
What is the nature and characteristics of South African Service delivery protests and what makes them problematic?	Yes	Yes	Yes	Yes
What can we learn from service delivery and protests from the internal experience?		Yes	Yes	
What can we learn from social inclusive innovations such as social auditing?	Yes	Yes	Yes	Yes
Can we develop an acceptable inclusive tool to understand and reduce the problem?	Yes		Yes	Yes
Testing the validity of the draft tool			Yes	Not Implemented as planned due to COVID-19

Note: A representation of how data is going to be collected for the research questions.

3.6.1. STAGE 1 – DEVELOPING THE DRAFT SERVICE DELIVERY AUDIT TOOL

The sample in stage 1 was consisted of about 51 members of the government/municipality, the social audit network, and community leaders while the plan was between 15 and 20 respondents. The research used convenience, purposive and judgemental sampling or respondent selection techniques. The research used semi-structured interviews and questionnaires. In the first stage, experts in the field were engaged with to give their expert opinion. These experts were community leaders, activists and high-ranking officials in the social audit network and local government. A draft instrument was developed that was planned to later be tested with a wider sample in stage two of the study. The method chosen above is very low cost and there was no need for a population list which might have been hard to obtain. Expert opinions was deemed to have credibility in the study.

3.6.2. STAGE 2 – VALIDATING THE DRAFT SERVICE DELIVERY AUDIT TOOL

In the second stage convenience sampling was used as the plan was around the availability of the stakeholders. The respondents were chosen for their knowledge and prior involvement in service delivery issues. Judgemental sampling was also be used where respondents were selected for their expert judgement. Including communities' experiences and officials gave a fair representation rather than concentrating on the community alone.

3.7. DATA ANALYSIS AND TREATMENT OF RESULTS

The data for this study was collected in both phases as indicated above that there were two phases. It is sometimes impossible to make an in-depth analysis of all the data available in a chosen field of study in which case the researcher has to filter massive amount of data available until only that which is critical to the study or research remains (Brynard & Hanekom, 2012). The nature of the study was broad therefore all data was filtered to produce the end goal which was to understand the nature and characteristics of service delivery protests in South Africa and what makes them problematic resulting in creating a tool that will help measure and monitor service delivery.

Data were analysed and presented in both phases of the study. Phase one of the study which contained the results of the survey was reduced and analysed using frequency tables, bar charts. According to Bell, et al., (2014) frequency tables provide the count and the percentage belonging to each of the categories for any type of variable. The survey had both quantitative and qualitative data. Moreover, diagrams like bar charts, pie charts and histograms were be used to display the quantitative data as they are relatively easy to interpret and understand. Phase one qualitative data was summarized and presented using themes. Qualitative researchers deal with large volumes of data and as such coding the data is a way of condensing data in many approaches to qualitative data analysis (Bell, et al., 2014). Furthermore, previously researched data, documentary reports, archival records, annual reports, newspapers and case studies had to be content analysed and summarised and clarified using network diagrams. It must be noted that some of the data from the secondary sources has already been presented using various analytical tools like bar charts, pie charts, etc.

In stage two of the process, a draft was presented to the respondents for them to verify and validate it by way of giving comments for improvement. Respondents were invited/selected for their expertise recommendations and comments (in phase one) to fine tune the tool. The data that originated from questionnaire/survey notes were reworked to represent major themes or categories that describe the phenomenon being studied.

The feedback from the second phase of the data collection was used to fine-tune the tool and was incorporated into the tool. The resultant data from the second stage data collection was used to draft the tool that was presented as the praxis model for the study. The data sources and data analysis methods are illustrated in Table 6 below.

Table 6 - Data Analysis Methods

Data Source	Data Analysis Methods
Literature Review	Content and Thematic Analysis and Network Diagram (Cmap)
Documentary Reports Archival Records Annual Reports Industry and Corporate Reviews Newspapers and Case Studies	Thematic Analysis and Network Diagram (Cmap)
Survey/Initial Semi structured interviews	Bar Charts, Histograms and Thematic Analysis
In-depth Interviews	Content Analysis and Thematic Analysis

Note: A representation of how data sources are going to be analysed.

The data analysis methods chosen for the data source were chosen in relation to their ease of interpretation of results.

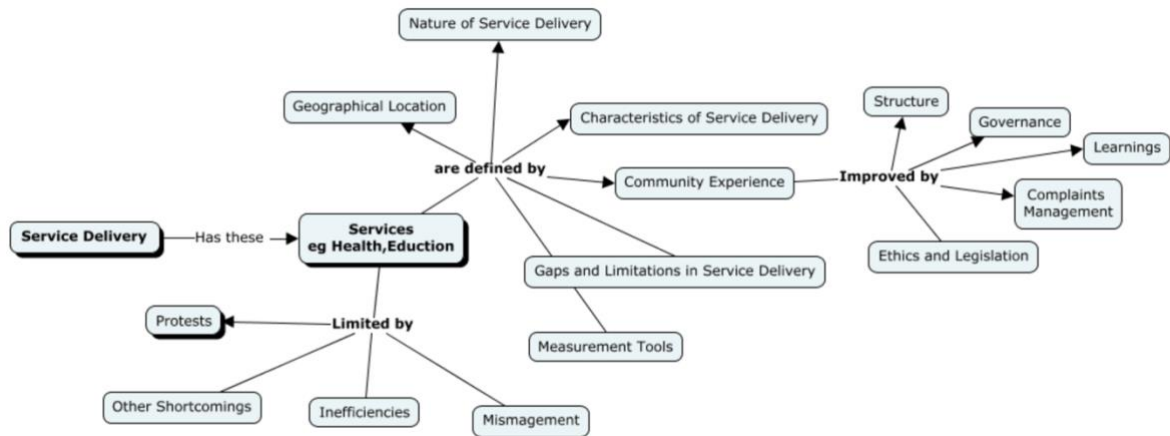


Figure 7a - CMap Diagram analysis secondary data

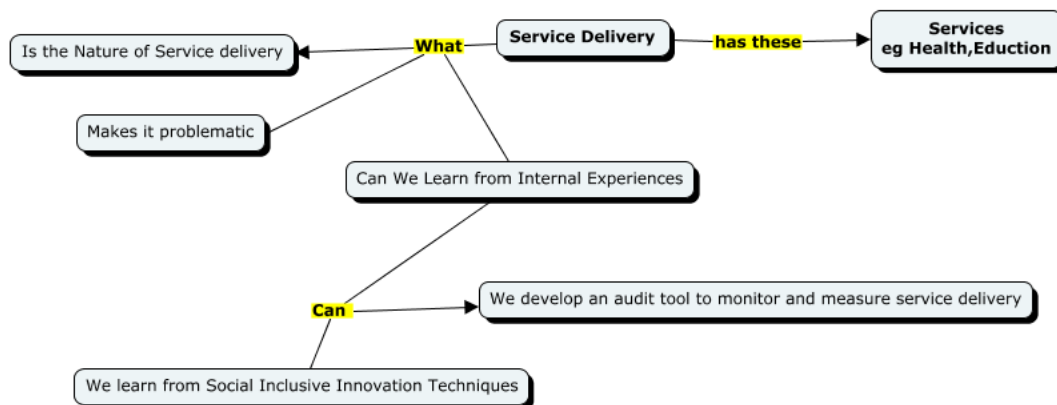


Figure 7b - CMap Diagram - Analytical Framework for Secondary Data

Table 6 shows a table of data collection methods against the relevant data analysis methods. Figure 7a and figure 7b shows the CMap Diagram framework was going to be used to further analyse and present the secondary data. While qualitative data will be collected using the techniques described above, there is also secondary data that will be used to give the study more rigour. The secondary data were sourced from various publications on the subject of this study for an example Documentary Annual Reports, Industry and Corporate Reviews, Newspaper and Case Studies like the PSA report, Statistics South Africa, Guardian mail to name a few. The researcher used key words of the topic, research questions and objectives to solicit secondary data. The next chapter will close the loop by presenting findings on the collected data against secondary data and the existing literature.

3.8. RESEARCH LIMITATIONS

Data collection methods are chosen for their strong points and the ability to produce results in a cost effective manner however they also come with limitations (Ayhan, 2011). Particularly,

for this study non-probability sampling was used where a combination of convenience and snowballing sampling were used in addition to judgement sampling. The aims and objectives of this study has forced the researcher to conveniently collect data from selected source of readily available respondents using these sampling techniques as basis to collect data.

The limitations for convenience sampling is that the findings may not be used to generalise for a wider population, they could however provide a roadmap for further research or allow links to be forged with existing finding in an area (Bell, et al., 2014). Similarly, with snowball sampling, the limitations are that it is very unlikely that the sample will be representative of the population. This study was general in nature and did not concentrate on a particular setting and therefore the findings cannot be generalized for a wider population.

Since 2019 is the election year in South Africa and service delivery is a key election issue, a bit of sensitivity is anticipated among respondents especially those affiliated with contesting political parties. The research acknowledges that this might be a limiting factor in the authenticity of the data collected as some respondents may not answer the surveys and interviews in an objective and partial manner.

The researcher experienced financial constraints and could not get ethical clearance early enough to conduct research in 2019. This resulted in data being collected in 2020. The year 2020 presented its challenges with the corona virus pandemic. This forced the researcher to conduct online questionnaires and online interviews opposed to face-to-face as outlined in the ethical clearance application. The online questionnaire was created using google forms and the link was sent to the respondents. This was mainly due to social distancing observed in trying to prevent the spread of the virus. The COVID-19 pandemic also prevented the planned wider testing and validation of the instrument with a wider sample. While collecting data using online platforms were economical in terms of time and money, access to internet and quality of the bandwidth, for some of the respondents this may become a problem especially in South Africa with high data costs.

(Creswell, (2014) and (Bell, et al., (2014) both agree that the main limitations of online surveys and interviews are that people with access to online facilities are likely to participate therefore decreasing the number of respondents. There is also less spontaneity of response since respondents have ample time to reflect on their responses to a much greater extent than is

possible face to face. Conversely, this can be considered as an advantage as this may increase the quality of responses given by respondents due to the fact that respondents give a more considered response. Lastly, probing can be difficult if not impossible even though ample comment section will be available for respondents to elaborate on their responses.

3.9. RESEARCH ETHICS

Ethical considerations are important in research. The researcher acknowledged that there might be some sensitive information that the respondents do not want to be displayed in bad light. Anonymity and confidentiality was assured for all and especially for those in a position of power and if they request that extra care to be taken. If there is any audio recording, participants were notified, and consent was requested. Expert respondents and other interviewees were specifically asked for consent and acknowledgement was in the survey form as appended in appendix A.

The researcher abided by the University of Cape Town's ethical code of conduct for research by getting ethical clearance from the faculty. As mentioned in the preceding section, online data collection methods were used. The institutions of higher learning requires that all researchers complete an ethical clearance form to show that the researcher has considered a number of potential ethical issues that might arise from the study (Bell, et al., 2014). Despite this, the online data collection methods adhered strictly to the ethics of informed consent, voluntary participation, respondent's anonymity and the freedom to withdraw from the study at any time should they feel uncomfortable with the study. Denscombe, (2010) not only agrees with Bell, et al., (2014) that especially for social researchers' participants must remain anonymous and data be treated confidential but further states that participants need to understand the nature of the research and their environment. The type of sampling used for this research enabled the researcher to choose participants who understood the nature of the research and are well within the environment.

The researcher relied on the availability of the respondents and by the use of purposive and snowball sampling techniques. Other ethical considerations like data management, reciprocity and trust, affiliation and conflict of interests from some respondents was addressed extensively. As such some respondents required approval from head of departments however some respondents were willing to participate in their personal capacity sharing their experience and

knowledge of the study. Others were let go or not coaxed into participating if they felt uncomfortable about the study.

3.10. CONCLUSION

The research methodology chapter presented the research design and data collection techniques employed in this study and how the data was analysed. The literature review, which provided an insight into previous research findings relating to the research topic was clarified. The data collection instrument, including a questionnaire and interviews were clarified. The chapter also provided an explanation of the respondent selection logic, methods and sampling procedures followed in this study. Reliability and trustworthiness of instruments were explicated. Validity and reliability of instruments were outlined. The unanticipated emergence of a pandemic and its impact on the research design was also explained. Ethical considerations and research limitations were explained in detailed as well.

CHAPTER 4

4. RESEARCH FINDINGS

4.1. INTRODUCTION

The key findings of this study are presented in this chapter. The data were collected through an online semi-structured questionnaire and in-depth interviews. The data collection questionnaire was pilot tested on a group of ten (10) people with some research background and familiarity with the topic. The respondents were selected through purposive sampling from academic researchers, community councillors, municipality officials, civil servants, consultants and the community members. This questionnaire was structured in order to answer the research questions posed in chapter one and three.

The main research question for this study was: Why are South African service delivery protests so frequent, destructive and what social innovation tools can be developed to understand and reduce the problem? In order to answer and clarify the main research question identified, four sub-research questions were formulated as stated below.

- What is the nature and characteristics of South African Service delivery protests and what makes them problematic?
- What can we learn from service delivery and protests from the internal experience?
- What can we learn from social inclusive innovations such as social auditing?
- Can we develop an acceptable inclusive tool to understand and reduce the problem?

The research findings will be presented in **two stages** in line with the data collection methodology explained in the previous chapter.

- **Stage 1-** This is the data from responses of key respondents to the online questionnaire, based on literature review and secondary data sources including newspapers and reports were that will be used to develop the draft service delivery audit tool.

- **Stage 2** – This is the data from in-depth follow-up interviews. These interviews are clarity seeking questions to fine tune the tool.

4.2. STAGE 1- RESEARCH FINDINGS – THE NATURE AND CHARACTERISTICS OF SERVICE DELIVERY AND RELATED PROTESTS IN SOUTH AFRICA

The online survey had 51 respondents even though 15-20 respondents were targeted. The analysis of the responses will be discussed below and presented using frequency tables and bar charts for clarity. The survey result also had both qualitative and quantitative data that was used to develop the tool to be presented as a praxis model. Data are analysed as mentioned in the data analysis method section above and discussed in detail in the next chapter.

Service delivery protests tend to occur in low and middle income working-class urban and peri-urban areas (Tapela, Ntwana, & Sibanda, 2015). Tapela, et al, (2015) further state that social protests are characterised by poverty, unemployment, inequality, and unhappiness about perceived relative deprivation and/or marginalisation. It is for this reason that quantitative data such as age, gender, employment status, etc were measured for this research. The analysis of the survey data is presented using the following criteria as it will best answer the sub-research question that asks What is the nature and characteristics of South African Service delivery protests and what makes them problematic? Furthermore, Statistics South Africa and various publications report their data using these attributes as well.

4.2.1. RESPONDENT: DEMOGRAPHICS AND BIOGRAPHICAL INFORMATION

Biographical data were collected in order to get the context of the responses from all the informants who took part in this survey. It was therefore very important to conduct a biographical data analysis to get a holistic view of the responses and be able to create meaningful conclusions. The respondents' biographical information in terms of their age group, mother tongue, gender, education status and employment status (source of income) will be analysed in the following sections. This will assist in understanding the profiles of the respondents participating, as well as in linking their responses to their socio-economic background. This will later be contrasted with previous research.

4.2.1.1. AGE GROUP

According Statistics South Africa (2019) report mid-year estimates of 2019, the youth (aged 18–34) constitute almost a third of the population (17,84 million) in South Africa, with 9,04 million males and 8,80 million females. The research survey collected the age distribution of

the respondents and Table 7 below shows the ages of the respondents. Even though the youth population did not reach a third as in the report by Statistics South Africa, they are adequately represented. The most respondents ages ranged 18 to 44 years where 25.5% were considered youth in South Africa with ages 18-34. The majority of the respondents were from 35 to 44 years of age at 60.8%. The age distribution has not been equally represented due to the sampling techniques used for this study which were purposive and judgemental sampling techniques.

Table 7 – Age Group

Age	Frequency	Percentage
18 - 34	13	25.5%
35 - 44	31	60.8%
45 - 55	5	9.8%
55 -65	1	2%
Over 65	1	2%
Total	51	100%

Note. The representation of age groups.

4.2.1.2. GENDER

The gender categories consist of only two genders, man and female. In terms of Table 8, the male percentage in the survey stood at 41.2% and females 58.8%. Due to convenience and purposive sampling, gender representation has been skewed as such that it is not equal. This has been justified in the methodology chapter. Furthermore these results do not follow the reports by Statistics South Africa (2019) and community survey, as stated that females are 51% and males 49%.

Table 8 - Gender

Gender	Frequency	Percentage
Male	21	41.2%
Female	30	58.8%
Total	51	100%

Note. The representation of gender categories.

4.2.1.3. ETHNIC GROUPS

The race categories are shown in Table 9. The ethnic or race group distribution is not representative as 80.4% of respondents were black, however, it does not reflect that the respondents reside in a community with one majority racial group. This is collaborated by Figure 14 below which shows the area of residence. The majority of the respondents were black at 80.4% and there were no non-South Africans. The researcher reached out to all main race groups on South Africa i.e. Black, Coloured, Indian and White. However, due to the nature of the sampling methods used specifically, purposive and convenience sampling, the researcher was not able to successfully reach all the intended racial groups as shown on the results. It was either they were not interested in taking part of the survey or they never followed up on the commitment to take part in the research. This would explain why the study do not have Indian groups on the research findings.

Table 9 - Race Groups/Ethnicity

Race Group	Frequency	Percentage
Black	41	80.4%
Coloured	7	13.7%
Indian	0	0%
White	3	5.9%
Other	0	0%
Total	51	100%

Note. The representation of race groups or ethnicity in the study.

4.2.1.4. MOTHER LANGUAGE

According to the General Household Survey (2018), nationally, just over one quarter (25.3%) of individuals spoke isiZulu at home, while 14.8% of individuals spoke isiXhosa, and 12.2% spoke Afrikaans. English was spoken by 8.1% of individuals at home, making it the sixth most common home language in South Africa. Table 10 shows an illustration of the mother tongue spoken by respondents. This category considered all eleven South African languages. As can be seen in the table below, IsiZulu and IsiXhosa are the dominant languages spoken by the respondents as stated in the General Household Survey for 2018.

Table 10 - Home Language

Home Language	Frequency	Percentage
Afrikaans	3	5.9%
English	7	13.7%
IsiNdebele	1	2%
IsiXhosa	9	17.6%
IsiZulu	23	45.1%
Sesotho	3	5.9%
SePedi	1	2%
SeTswana	3	5.9%
SiSwati	0	
TshiVenda	0	
Xitsonga	0	
Other	1	2%
Total	51	100%

Note. The representation of home language spoken by respondents.

4.2.1.5. HOME PROVINCE

South Africa has eleven provinces. However according to Statistics SA (2019) the provincial estimates show that Gauteng has the largest share of the population followed by KwaZulu-Natal, Western Cape. Although the sampling for this study was purposive, Table 11 follows the trend reported by Statistics SA showing the three major provinces having the highest number of respondents.

Table 11 - Home Province

Province	Frequency	Percentage
Eastern Cape	1	2%
Free State	0	
Gauteng	15	29.4%
Kwa Zulu Natal	17	33.3%
Limpopo	1	2%
Mpumalanga	0	
Northern Cape	0	
North West	0	
Western Cape	17	33.3%
Total	51	100%

Note. The representation home languages by the respondents.

4.2.1.6. AREA OF RESIDENCE

The respondent's area of residence is skewed as it is not representative. Owing to convenience sampling most of the respondents (75,5%) stay in the big city suburbs of Gauteng, Kwa Zulu Natal and Western Cape. This is however significant as most of the reported service delivery protests also occur in these provinces. Unfortunately a notable region of protests, the Eastern Cape was underrepresented. This may be attributed to the sampling methods used resulting in the respondents not being representative.

Table 12 - Area of Residence

Residential Area	Frequency	Percentage
CBD	3	5.95
Suburb	39	76.5%
Township	7	13.7%
Informal Settlement	0	
Rural	2	3.9%
Other	0	
Total	51	100%

Note. The representation of area of residence by respondents.

4.2.1.7. LEVEL OF EDUCATION

Table 13 below reflects the respondents' level of education. A majority of the respondents, 34 (66,7%) had post graduate qualifications. Eleven (11), 21.6% respondents possessing a diploma or a degree qualification. This means that the respondents had the capacity to comprehend and contribute meaningfully to the survey, given their level of education.

Table 13 - Level of Education

Schooling	Frequency	Percentage
No Schooling	0	0
Primary	0	0
High School	2	3.9%
Diploma	11	21.6%
Post Graduate	34	66.7%
Other	4	7.8%
Total	51	100%

4.2.1.8. SOURCE OF INCOME

Table 14 below illustrate the statistical analysis of the source of income for the respondents, which can be translated to employment status as well. As illustrated below the split between the formally employed (86.3%) and other forms of employment (13.7%) with 3.9% reporting that they are unemployed. According to Tapela, et al, (2015) service delivery protests tend to occur in low income areas. However, this is not clearly represented here due to the type of sampling techniques used for this research. This illustrations does not infer that service delivery only affects a certain population of citizens depending on their income levels.

Table 14 - Source of Income

Source of Income	Frequency	Percentage
Formal Employment	44	86.3%
Informal Employment	3	5.9%
Grant Recipient	0	0%
Self-Employment	5	9.8%
Pension	1	2%
Unemployed	2	3.9%
Volunteer	2	3.9%
Total	51	100%

Note. The representation of sources of income by the respondents.

4.2.1.9. OCCUPATIONAL PROFILES

The illustration on Table 15 below shows the profiles of the respondents. The split below shows that 56.9% were community members and 43.1% were either academics, consultant and government officials which included ward councillor and municipal officials. These profiles reflect occupational profiles or backgrounds and are a sample of knowledgeable respondents that is balanced between community experts and outside consultants. This gave a rare opportunity not to have one sided data from the respondents. This would give the study the much-needed objectivity and varying opinions from the various types of respondents. The purpose of in-depth interviews was to interview experts and community leaders, the low involvement of unemployed people is not to be seen as a significant drawback.

Table 15 - Respondents Occupational Profiles

Type of Respondents	Frequency	Percentage
Academic	5	9.8%
Consultant	8	15.75
Ward Councillor	1	2%
Municipality Official	4	7.8%
Community Member	29	56.9%
Community Leader	0	0%
Media People	0	0%
Other	4	7.8%
Total	51	100%

Note. The representation respondents occupational profiles

4.2.2. KNOWLEDGE OF LOCAL GOVERNMENT STRUCTURES

South Africa's legal framework emphasises the importance of involving community and community organisations in municipal issues such as planning and implementation of municipal development strategies, the establishment of formal participatory structures such as ward committees, the involvement of the community in key decision-making processes, and the encouragement of community involvement in financial matters of the municipality, including the development of municipal budgets (Madzivhandala & Asha, 2012). However, there is much to be done in order to realise these principles in practice at municipal level. The following sections are to present understanding from respondents about the local government structures and how they function. This will give an indication of the levels of knowledge that exist and the gaps so that we understand if knowledge levels can be the source of service delivery protests in a given setting.

4.2.2.1. KNOWLEDGE OF THE CITY MAYOR

It is important that the community knows who their leaders are in their areas and what office they hold. This will help streamline issues when they arise as they will be directed to the correct person such as lodging complaints. Therefore, knowledge of City Mayor or City Manager and Ward councillors is therefore important. Table 16 reflects respondents ability to identify the city mayor, 41 (80.4%) knew who their city mayor is.

Table 16 - Knowledge of City Mayor or City Manager

Mayor Knowledge	Frequency	Percentage
Yes	41	80.4%
No	10	19.6%
Total	51	100%

Note. The representation if respondents know their city manager.

4.2.2.2. KNOWLEDGE OF THE WARD COUNCILLOR

The knowledge of local government structures is encouraged by the legislation as emphasised by Madzivhandala & Asha (2012) above. Therefore knowing your ward councillor of your area is important as there are some issues and complaints that they can resolve before they escalate further. The respondents were then asked if they know their area ward councillor. Table 17 reflects respondents knowledge of their ward councillor. Only 20 (39,2%) knew who their ward councillor is.

Table 17 - Knowledge of Ward Councillor

Councillor Knowledge	Frequency	Percentage
Yes	20	39.2%
No	31	60.8%
Total	51	100%

Note. The representation of respondents' knowledge of their ward councillor.

4.2.2.3. KNOWLEDGE OF, AND PARTICIPATION IN MUNICIPAL PROCESSES

There are three pieces of legislation that sought to transform the public service by promoting democratic values such as fairness, community participation and transparency in decision making and treating citizens as customers and therefore putting them first in service delivery (Mpehle, 2012). The respondents were asked if they were informed and participate in matters of their municipality. This question is linked to the sub-research question about the nature and characteristics of service delivery in South Africa. The majority of respondents 24 (47,1%) were neither well informed nor uninformed about their municipal activities. This may translate to poor decision making from the community's side as they will make decision based on little or no information. This may then course friction within the community as they will be

interpreting the information at hand differently. Table 18 below presents respondents participation in municipal matters.

Table 18 - Municipal Participation

Municipal Matters Participation	Frequency	Percentage
Strongly Disagree	5	9.8%
Disagree	13	25.5%
Neutral	24	47.1%
Agree	8	15.7%
Strongly Agree	1	2%
Total	51	100%

Note. The representation of the respondents of participation in their municipality matters.

4.2.2.4. KNOWLEDGE OF, AND PARTICIPATION IN WARD PROCESS

Democracy is about citizens voting for who they want to be in power, and in turn having those in power guaranteeing all citizens basic human rights and conditions (Mpehle, 2012). Democracy is also about freedom of speech and participation in local government processes especially those that are going to affect the citizens. The respondents were asked if they were informed and participate in the matters of their wards. The majority of respondents 21 (41%) were neither well informed nor uninformed in their ward activities. Again, if the community are uninformed about how the wards are run and what processes need to be followed, this may cause communities to base their decisions on incorrect or incomplete information. There is widespread circulation of unconfirmed and unverified pieces of information circulating in the community via various platforms. Some community members act on these. In some cases this result in chaos within the communities. Table 19 presents the respondents participation in ward matters in their areas of residence.

Table 19 - Ward Participation

Ward Participation	Frequency	Percentage
Strongly Disagree	7	13.7%
Disagree	18	35.3%
Neutral	21	41.%
Agree	3	5.9%
Strongly Agree	2	3.9%
Total	51	100%

Note. The representation of respondents' participation in their wards.

The lack of significant levels of 'being informed/uninformed and participation/non-participation should ordinarily be seen as significant in relation to the service delivery research. However, this must be viewed in the context of the suburban profile of the respondents. Most suburban respondents are not involved in their municipal affairs.

4.2.2.5. DISTANCE TO MUNICIPALITY OFFICES

The respondents were asked about the distance from home to the municipality offices. More than half of the respondents, 29 (56.8%) had municipal offices 10km or closer and below as illustrated in the graph on Table 16. This cannot be translated to all types of municipal offices that the community can need to fulfil their civic duties. The researcher acknowledges that some municipality offices are blended and may also share resources with other local government offices. Table 20 below shows the distance of municipal offices from the respondents' residences.

Table 20 - Distance to Municipal Offices

Distance to Municipality Offices	Frequency	Percentage
0 - 1km	4	7.8%
1 - 5km	12	23.5%
5 - 10km	13	25.5%
10 - 15km	8	15.7%
more than 15km	7	13.7%
not sure	7	13.7%
Total	51	100%

Note. The representation how far are the municipal offices to the respondents' residences.

4.2.2.6. MUNICIPALITY EFFECTIVENESS

The provision of services as the basic right of citizens remains the core business of government, and it requires efficiency and effectiveness in order to satisfy the citizens (Mpehle, 2012). Respondents were therefore asked if the municipality is an effective vehicle for public participation and involvement in matters of their community. Almost half of the respondents 25 (49%) feel that the municipality is an effective vehicle while 16 respondents (31.4%) are neutral and ten respondents (19.6%) disagreeing. This is illustrated in Table 21 below.

Table 21 - Municipal Effectiveness

Municipal Effectiveness	Frequency	Percentage
Strongly Disagree	4	7.8%
Disagree	6	11.8%
Neutral	16	31.4%
Agree	23	45.1%
Strongly Agree	2	3.9%
Total	51	100%

Note. The representation of the municipality effectiveness in the respondents areas.

The neutral response could be significant in the high service delivery protest areas. However, in this context it must be viewed in the general lack of personal involvement and knowledge that was reported in earlier questions.

4.2.2.7. WARD EFFECTIVENESS

Respondents were also asked if they feel their wards are an effective vehicle for public participation and involvement in matters of their community. Just above half of the respondents (54.9%) agree that their wards are an effective vehicle for public participation while 21.6% are neutral and 13.5% disagree. Table 22 below shows the ward effectiveness according to the respondents.

Table 22 - Ward Effectiveness

Ward Effectiveness	Frequency	Percentage
Strongly Disagree	3	5.9%
Disagree	9	17.6%
Neutral	11	21.6%
Agree	26	51%
Strongly Agree	2	3.9%
Total	51	100%

Note. The representation of the ward effectiveness in the respondents areas.

4.2.2.8. GENUINENESS OF SERVICE DELIVERY PROTESTS

The respondents were asked about the genuineness of the service delivery protests. Were they the result of poor, slow and unsatisfactory service by the government? Majority of the respondents, 46 (90.2%) agreed that the service delivery protests are genuine and result from dissatisfaction by the community. The results reflect the fact that while the respondents

themselves are not informed nor participate in their ward affairs, they believe that such involvement and participation is important. Table 23 below illustrates the respondent's responses.

Table 23 - Genuineness of Service Delivery Protests

Genuineness of Service Delivery Protests	Frequency	Percentage
Strongly Disagree	0	0%
Disagree	3	5.9%
Neutral	2	3.9%
Agree	31	60.8%
Strongly Agree	15	29.4%
Total	51	100%

Note. The representation of how the respondents view the genuineness of protests.

The result is a significant confirmation by this group of respondents about the genuineness of service delivery protests in the regions where they live.

4.2.3. SERVICE DELIVERY PROTEST TRIGGERS

This part of the findings aimed to find common service delivery protest triggers. This section explored various reasons that may trigger service delivery protests like unattended complaints, quality of service, communication and education. All possible service delivery protest triggers will be discussed and explained in detail in the below sections.

4.2.3.1. COMPLAINTS

Consumers of services are encouraged to lay complaints of dissatisfaction they encounter as complaints should be viewed as a threat but rather an opportunity to redress that which is not right and improve services and ensure that citizens receive the promised level of service (Nzimakwe & Mpehle, 2012). The respondents were asked if they have lodged a complaint before. As in any service environment, complaints are a regular occurrence, Table 24 below shows the responses where respondents were asked if they ever complained about any services. 68.8% of the respondents do not complain.

Table 24 - Complaints Management

Have you logged Complaints	Frequently	Percentage
Yes	16	31.4%
No	35	68.6%
Total	51	100%

Note. The representation of respondents if they have logged complaints for their services.

This result is a reflection of the general lack of involvement of suburban respondents in their own local municipal affairs. It is in line with the other responses reported above.

4.2.3.2. PROTEST PARTICIPATION

Respondents were asked if they ever participated in a protest and 82.4% said they have never participated in a protest. Table 25 shows this illustration below.

Table 25 - Protests Involvement

Protests	frequency	Percentage
Yes	9	17.6%
No	42	82.4%
Total	51	100%

Note. The representation of respondents if they have participated in a protest.

As before, these results reflects suburban residents lack of personal involvement and participation in local/ward level processes. This does not translate to the fact that there are no protests in suburban areas nor are they affected by service delivery protests.

4.2.3.3. PROTESTS CAUSES

The respondents were asked about the possible causes of protests in communities. Service delivery, corruption and unemployment were the top 3 causes with 96.1%, 72,5% and 68.6% respectively. Politics and crime were also not far off as noticeable causes for the community to protest. Table 26 shows this illustration below.

Table 26 - Protest Causes

Protests Causes	frequency	Percentage
Service Delivery	49	96.1%
Politics	23	45.1%
Unemployment	35	68.6%
Corruption	37	72.5%
Crime	34	66.7%
Other	2	3.9%
Total	51	100%

Note. The representation of what the respondents deem as service delivery protest causes.

Respondents were not asked to rank possible causes and the results reflect the frequency with which a cause was selected or ticked. Significantly, politics or political grandstanding was not mentioned as one of the top 3 (out of 6) causes of service delivery protests.

4.2.3.4. FREQUENCY OF SERVICE DELIVERY PROTESTS IN A GIVEN SERVICE DOMAIN

The response to the question around the frequency of service delivery protests in a service domain is illustrated in Table 27 below. Housing was the highest service that the community are likely to protest for at 80.4%. Water and sanitation and crime are also very prevalent as the reasons for the protests by the community at 66.7% and 45.1% respectively.

Table 27 - Frequency of Service Delivery Protests in a given Service Domain

Service Delivery Protest Frequency	Frequency	Percentage
Housing	41	80.4%
Health	14	27.5%
Education	15	29.4%
Water and Sanitation	34	66.7%
Unemployment	21	41.2%
Crime	23	45.1%
Other Gov Services	19	37.3%
Other	3	5.9%

Note. The representation of the frequency of service delivery protest in a given domain.

Respondents were not asked to rank possible causes and the results reflect the frequency with which a cause was selected or ticked.

4.2.3.5. PROBLEMATIC PROTESTS

The protests are said to be problematic because they cause disruption, damage infrastructure that is meant for the public and instigate violence (Allan & Heese, 2018). Most respondents (88.2%) said that the protests are problematic as they cause damage to property as shown on Table 28 below.

Table 28 - What makes Service Delivery Protests Problematic?

Problems	Frequency	Percentage
Damage to Property	45	88.2%
Community Disruption	27	52.9%
Violence	40	78.4%
Politics	12	23.5%
Not Problematic	5	9.8%
Other	3	5.9%

Note. The representation of what makes service delivery protests problematic.

Significantly, politics (that is ‘political grandstanding’) was only mentioned by 12 (23.5%) respondents as a problem in service delivery protests.

4.2.3.6. FREQUENCY OF SERVICE DELIVERY PROTESTS

The frequency of service delivery protests has been documented over the past few years (Allan & Heese, 2018). They are said to be increasing and very prevalent in many areas in the country as mentioned in chapter 2. The respondents were asked about the frequency of service delivery protests in their regions as illustrated in Table 29 below. Thirty-six, 36 (70.6%) respondents said service delivery protests were noticeable and more frequent and 9 (17,6%) said they were unchanged. The rest 6 (11,7%) said they were less frequent or never occurred.

Table 29 - Frequency of Service Delivery Protests

Serv. Del Prot Frequency	Frequency	Percentage
Never	2	3.9%
Less Frequent	4	7.8%
Neutral	9	17.6%
Noticeable	26	51%
More Frequent	10	19.6%
Total	51	100%

Note. The representation of the frequency of the service delivery protests.

The findings corroborates the previous research by Allan & Heese, (2018) and Mamokhere, (2019) that the service delivery protests are more frequent in the recent years. In this context, noticeable frequency of service delivery protests may be interpreted as highly prevalent in many areas as seen on the news, print media and other news reports.

4.2.3.7. SERVICE DELIVERY PROTESTS TRIGGERS

Table 30, below shows the service delivery protests triggers. The respondents were asked what they think triggers service delivery protests and this time the emphasis was on the services itself. Although non-provision of services was highly ranked it seems that even when the services have been provided it becomes a problem. The quality of, access to and unfinished services seems to be notable triggers of service delivery protest. Corruption and crime levels are also huge triggers.

Table 30 - Service Delivery Protest Triggers

Serv. Del Protest Triggers	Frequency	Percentage
Non-Provision of Services	43	84.3%
Quality of Services	27	52.9%
Access to Services	28	54.9%
Unfinished Services	34	66.7%
Corruption	39	76.5%
Crime Levels	28	54.9%
Other	0	0%

Note. The representation of what are the main triggers of service delivery protests.

These findings are in line with the explorative study by Martins & Ledimo, (2015) about the perception of service delivery. The findings also highlights the quality management and continuous improvement initiatives that Mitra, (2016) warns about in his research.

4.2.3.8. POLITICAL PARTY INVOLVEMENT IN SERVICE DELIVERY PROTESTS

In the previous questions' respondents ranked politics as one of the causes of service delivery protests (non-service delivery related political finger pointing and interference). In this section, respondents were asked about the involvement of political parties in provision of services. More than half of the respondents agree that there is political party involvement in provision of services. This section can be read with the illustration on Table 31 below about the extent of political interference in service delivery which is very prevalent.

Table 31 - Political Involvement in Service Delivery Protests

Politics Involvement	Frequency	Percentage
Strongly Disagree	2	3.9%
Disagree	2	3.9%
Neutral	15	29.4%
Agree	18	35.3%
Strongly Agree	14	27.5%
Total	51	100%

Note. The representation of how the respondents view political involvement in protests.

4.2.3.9. CRIMINALITY INVOLVEMENT IN SERVICE DELIVERY PROTESTS

In the preceding sections, the respondents ranked crime (hijacking of genuine service delivery protests by criminal elements) highly as one of the service delivery protest triggers. More than half of the respondents feel that criminals hijack genuine service delivery protests for their own gain. This is illustrated in Table 32 below.

Table 32 - Criminality Involvement in Service Delivery Protests

Criminal Involvement	Frequency	Percentage
Strongly Disagree	3	5.9%
Disagree	4	7.8%
Neutral	14	27.5%
Agree	21	41.2%
Strongly Agree	9	17.6%
Total	51	100%

Note. The representation of how the respondents view criminality involvement in protests.

4.2.3.10. LOCAL GOVERNMENT AND MUNICIPALITY COLLABORATION

The respondents were asked about the collaborative relationship between local government and municipality. Does the relationship foster effective and efficient delivery of services to the community? Table 33, below shows the respondents responses where 56.9% agree that they are not working efficiently and 19.6% strongly agree of this disconnect.

Table 33 - Local Government and Municipality Collaboration

Municipality/Government	Frequency	Percentage
Strongly Disagree	0	0%
Disagree	3	5.9%
Neutral	9	17.6%
Agree	29	56.9%
Strongly Agree	10	19.6%
Total	51	100%

Note. The representation of the respondents view of collaboration between the local government and the municipality.

4.2.3.11.MUNICIPALITY AND WARDS COLLABORATIONS

Table 34, below shows perceptions of the relationship between municipality and wards. The respondents were asked about the collaborative relationship between the municipality and the wards in their community and the impact on provision of services. 56.9% of the respondents feel that wards are not working well and that negatively affects the delivery of services.

Table 34 - Municipality and Wards Collaboration

Municipality/Wards	Frequency	Percentage
Strongly Disagree	1	2%
Disagree	7	13.7%
Neutral	14	27.5%
Agree	19	37.3%
Strongly Agree	10	19.6%
Total	51	100%

Note. The representation of the respondents view of collaboration between the municipality and the wards.

4.2.3.12.EFFICIENCY OF SERVICE PROVIDERS

In provision of services, there are also service providers specifically hired to fulfil that need. The respondents were asked if the service providers are held accountable or penalised for the work that they do for the community. A total of 84.2% of the respondents feel that the service providers are not penalised nor held accountable for the provision of services. This is illustrated in Table 35 below.

Table 35 - Efficiency of Service Providers

Efficiency of Service Providers	Frequency	Percentage
Strongly Disagree	0	0%
Disagree	2	3.9%
Neutral	6	11.8%
Agree	23	45.1%
Strongly Agree	20	39.2%
Total	51	100%

Note. The representation of the respondents view of how efficient are the service providers providing civic services to the community.

4.2.3.13.LEGISLATIVE ENVIRONMENT GOVERNING LOCAL GOVERNMENT

There is a possibility that the legislative environment governing South African Municipalities is so complex and burdensome that it stifles service delivery to the communities (Ndevu & Muller, 2017). Above half (54.9%) of the respondents agree that the laws governing municipalities are complex and 31.4% of the respondents were neutral. This is illustrated on Table 36 below.

Table 36 - Legislative Environment Governing Local Government

Legislation Environment	Frequency	Percentage
Strongly Disagree	2	3.9%
Disagree	5	9.8%
Neutral	16	31.4%
Agree	19	37.3%
Strongly Agree	9	17.6%
Total	51	100%

Note. The representation of legislative environment governing local government in South Africa.

4.2.3.14.MUNICIPALITY AND WARD PUBLIC PARTICIPATION AND CONSULTATION

The respondents felt that public participation and consultation is lacking in wards. This is illustrated in Table 37 below. A total of 72.6% of respondents agree that of lack in public participation and consultation is an issue.

Table 37 - Municipality and Ward Public Participating and Consultation

Participation	Frequency	Percentage
Strongly Disagree	1	2%
Disagree	2	3.9%
Neutral	11	21.6%
Agree	24	47.1%
Strongly Agree	13	25.5%
Total	51	100%

Note. The representation of public participation and consultation within wards.

It is therefore clear that the lack of public participation and consultation may lead to lack of information and misinformation which in turn may be the cause of service delivery protests.

4.2.3.15.COMMUNITY KNOWLEDGE

Respondents were asked about how knowledgeable they think the community is about how the municipality functions. Just above half (50.9%) of respondents felt that the community is not knowledgeable about how the municipality functions as far as service delivery is concerned. This shows that even the community members can gauge themselves that they have limited knowledge about how the local government works. Table 38 below shows this illustration.

Table 38 - Community Knowledge

Community Knowledge	Frequency	Percentage
Strongly Disagree	9	17.6%
Disagree	17	33.3%
Neutral	13	25.5%
Agree	9	17.6%
Strongly Agree	3	5.9%
Total	51	100%

Note. The representation of how knowledgeable are the respondents in respect to service delivery matters in their areas.

This is a clear indication that information is lacking at the community level and this may be caused by how the information is disseminated from the officials to the public. It may also be a question of whether the information is being disseminated or not. Furthermore, how big is

the appetite from the community to consume any information pertaining to service delivery in their wards.

4.2.4. MEASURING AND MONITORING

In the quest to understand service delivery and its related protest, this study aims to understand in detail the relationships amongst quality management, continuous improvement, monitoring and evaluation within the service delivery environment. Understanding these interventions, frameworks and methodologies will further assist in solidifying and giving rigour to the findings for this study. The service delivery monitoring and evaluation and related interventions will be discussed in the following sections below.

4.2.4.1. WARD PUBLIC CONSULTATION AND PARTICIPATION

The respondents were asked about the extent of the community to participate in public consultation. While 15.7% of respondents feel that the community members participate, 33.3% of the respondents were neutral and 49% felt that it is either bad or no participation at all. Table 39 illustrates that 49% of the respondents felt that the ward public consultation and participation is either bad or no participation at all may be indicative to knowledge deficiency amongst the community.

Table 39 - Ward - Public Consultation and Participation

Ward Public Consultation and Participation	Frequency	Percentage
No Participation	9	17.6%
Bad	16	31.4%
Neutral	17	33.3%
Okay	8	15.7%
Full Participation	1	2%
Total	51	100%

Note. The representation of respondents' public consultation and participation within their wards.

Consultation may be a form of information dissemination and if the community do not attend these meetings they may be losing on important matters. Similarly with participation in ward

matters, they may be putting themselves at a disadvantage at making their voice heard about the decisions that will ultimately affect them.

4.2.4.2.KNOWLEDGE OF NON-PROFIT ORGANIZATIONS (NPO'S) /NON-GOVERNMENTAL ORGANIZATIONS (NGO'S)

In communities, there are many organizations working to improve service delivery. The respondents were asked if they were aware of any non-profit organisations (NPO's) and other community-based organizations (CBO's) working to improve service delivery in their communities. Two thirds (66,7%) are not aware of NGO's operating in their communities as illustrated in Table 40 below.

Table 40 - NGO Knowledge

NGO Knowledge	Frequency	Percentage
Yes	17	33.3%
No	34	66.7%
Total	51	100%

Note. The representation of respondents' knowledge of non-governmental organisation and other community based organisations in their wards.

Non-profit organization and/or non-governmental organisations like Social Justice are there to make sure that the basic needs and services of the community are met. There are many other organizations in various provinces and working with these organizations may strengthen the community's position as far as service delivery is concerned in their communities.

4.2.4.3.WORKING WITH NGOS TO IMPROVE SERVICE DELIVERY

In addition to the knowledge of NGO's the respondents were asked if they will be willing to work with NGO's or other community-based organizations (CBO's) to improve service delivery in their communities. The majority (88.2%) of the respondents are willing to work with the NGO's to improve service delivery in their communities. This is shown in the illustration on Table 40 below.

Table 40 - Working with NGO to Improve Service Delivery

Collaboration	Frequency	Percentage
Yes	45	88.2%
No	6	11.8%
Total	51	100%

Note. The representation of respondents that can collaborate or work with the non-governmental organisations or other community based organisation within their communities.

These NGO's are said to be forever looking for help and volunteers. If the community is willing to work with these organizations will not only help the organization with manpower but also the community may benefit in gaining more knowledge about what happens in their wards and municipalities. This may in turn increase the level of knowledge that the community members have about how local government works and what process are in place. Ultimately, this may be a win-win situation for both the non-governmental organizations and the community. Working with non-governmental organizations should be encouraged as it poses positive advantages.

4.2.4.4.SERVICE PROVIDERS MONITORING AND EVALUATION

In conjunction with Table 35 (Section 4.2.3.12) above about the efficiency of service providers, the respondents were asked if they think the service providers are properly measured, monitored and evaluated for the services delivered to the public and communities. Table 41 below illustrates that the majority (70.6%) of respondents do not feel that the service providers are properly measured, monitored and evaluated while 23.5% are unsure. The lack of quality management and assurance may be viewed as a loophole from the provider's side to do shoddy work as they know that they will not be measured, monitored or evaluated.

Table 41 - Service Provider Monitoring and Measurements

Serv. Prov M&M	Frequency	Percentage
Yes	3	5.9%
No	36	70.6%
Not Sure	12	23.5%
Total	51	100%

Note. The representation of service provider monitoring and evaluation interventions.

This may result in the community receiving defective products and/or services that are not fit for purpose. In the human settlement section above in chapter 2, it was cited that one of the main complaints is that the houses were not built up to standard as they get cracks in a short space of time after occupation. This is a clear indication that there may be a lack of monitoring and evaluation (M&E) for the service providers in the service delivery sphere.

4.2.4.5.STAKEHOLDER ACCOUNTABILITY

In M&E, there is accountability that needs to be apportioned. The respondents were asked who should be held accountable for non-delivery of services. The respondents felt that ward councillors, municipality, service providers and the political party in charge should be held accountable. Interestingly, the respondents also believed that the community should also be held accountable too. This is illustrated in Table 42 below.

Table 42 - Stakeholder Accountability

Accountability	Frequency	Percentage
Ward Councillor	39	76.5%
Municipality	42	82.4%
NGO	7	13.7%
Community	11	21.6%
Political Party in Charge	32	62.7%
Service Providers	38	74.5%
Other	1	2%
Total	51	100%

Note. The representation of the respondents' views on stakeholder accountability.

The stakeholder theory clearly outlines the roles that each stakeholder plays in any project as discussed in Section 2.11 and 2.12 in Chapter 2. Similarly, with service delivery, stakeholders hold different roles and responsibilities and therefore there needs to be accountability from all of them at different levels of the lifecycle of service provision. Therefore, the respondents are highlighting the very nature of the levels of responsibilities that need to be shared amongst involved stakeholders as cautioned by Harrison & Wicks, (2013) in the value and firm performance in stakeholder theory.

4.2.4.6.SERVICES PROVIDED AND COMMUNITY NEEDS

The respondents were asked if the services provided to the community were actually needed by the community. There were mixed reactions to the responses of this question as illustrated

in Table 43. The most significant finding to this question was that 37.3% of respondents were neutral while 25.5% believed that the services provided are not needed and 27.5% are often needed. The majority of the respondents were from suburban areas and therefore we can assume that in most suburban areas community needs are often met.

Table 43 - Community Needs

Community Needs	Frequency	Percentage
Never	3	5.9%
Seldom	13	25.5%
Neutral	19	37.3%
Often	14	27.5%
Always	2	3.9%
Total	51	100%

Note. The representation of community needs by the respondents.

It is worth mentioning that some respondents may have answered this question from their place of origin in mind which might not be a suburban area, it may be a township or rural area. Therefore, the proximity of the results is noted and may not indicate that services provided do or do not always meet the community needs. Further research on this may need to be done to clarify per residential area.

4.2.4.7. TIMELY PROVISION OF SERVICES

The provision of services needs to be delivered or provided where there is a need and in a workable condition (quality) and timely. The respondents were asked if the services are provided or delivered on time. Almost half (49%) of respondents felt that the services are seldom provided on time while 13.7% say they are never provided on time. This is illustrated on Table 44. Again the neutrality of respondents here may be directly related to the suburban areas where most respondent resides. Therefore, the findings are not representative as intended. However, the 49% that felt that services are seldom delivered in a timely manner may denote the reason for the continued protests as described on the objective of this study.

Table 44 - On-Time Delivery of Services

On Time Delivery	Frequency	Percentage
Never	7	13.7%
Seldom	25	49%
Neutral	13	25.5%
Often	4	7.8%
Always	2	3.9%
Total	51	100%

Note. The representation of on-time delivery of services to the community.

Even though seldom is not bad but the 13,7% of respondents felt that the services are not delivered in a timely manner and that might just what is needed to cause chaos and instigate service delivery protest in the communities. This reason may also be coupled with other unspoken reasons or not researched reason on this paper and result in a service delivery protest. We have seen that there are other service delivery protest triggers.

4.2.4.8.SERVICES NEEDING URGENT ATTENTION

The respondents were asked which services need urgent attention. Housing, water and sanitation, unemployment and crime prevention were the amongst of the highly ranked as needing urgent attention from the authorities. However, there seems to be a need for most services to be attended to and this is illustrated in the responses below on Table 45. As mentioned in the above section that there are many triggers of service delivery protests, this is clearly indicated below.

Table 45 - Services Needing Urgent Attention

Urgent Services	Frequency	Percentage
Housing	10	19.6%
Health	3	5.9%
Education	6	11.8%
Water and Sanitation	9	17.6%
Unemployment	11	21.6%
Crime Prevention	9	17.6%
Other	3	5.9%
Total	51	100%

Note. The representation of urgent services needed by the communities in their wards.

While some residents may be protesting for unemployment, some may be protesting for housing, water and sanitation depending on what is needed or is a shortage in that particular community. Alternatively, the communities may protest for more than one service at any given time. It is also worth noting that in addition to main triggers highlighted on this research paper, there are other elements or forces that come into play or take advantage of genuine protest. Criminals have been flagged as taking advantage of genuine protest to fulfil their agendas.

4.2.4.9.THE STATE OF SERVICES PROVISION

The respondents were asked to rate the overall provision of appropriate services in their communities. While there were not outright best or worst ratings, the respondents felt that the provision of services is neither good nor bad as 35.3% of the respondents were neutral. Table 46 illustrates this. In the earlier definition of service delivery protest, it was said that they normally occur in rural and peri-urban areas and are characterised by higher levels of unemployment. Particularly on this section, it can be seen that the majority were again neutral about the state of service provision in their area. Even if that is the case, 27.5% of respondents felt that the state of service provision is bad and that is high enough to instigate unrest in the community resulting in a service delivery protest.

Table 46 - The state of Service Provision

Provision of Services	Frequency	Percentage
Worst	2	3.9%
Bad	14	27.5%
OK	18	35.3%
Better	16	31.4%
Best	1	2%
Total	51	100%

Note. The representation of the state of service provisions withing the communities.

Furthermore, if there were measures of allowable or acceptable quality levels for service provision or known service level agreements, it would be interesting to see how big of a variance there is. In that case, it would be much easier to do a proper analysis of how well the local government is doing and ultimately put in place remedies to improve the situation.

4.2.4.10. QUALITY OF SERVICES PROVISION

The quality of services is one of the service delivery protests triggers. The respondents were asked about the quality of services provided in their communities. The majority (41.2%) deem the quality to be okay while 29.4% of the respondents say the quality is either bad or worse. This is illustrated below in Table 47. When it comes to quality assurance, there are standards that need to be followed per given industry. For instance, in a complaints call centre, a service level agreement may be answering 95% of calls within 5 seconds. Furthermore, the quality of service (the information given to the customer) may also be measured in a form of first time resolution or repeat calls. These measurements will then be used to improve the service given to customer while eliminating waste in continuous improvement terms and in turn improving quality of service given to customers.

Table 47 - Quality of Services

Quality of Services	Frequency	Percentage
Worst	3	5.9%
Bad	12	23.5%
OK	21	41.2%
Better	13	25.5%
Best	2	3.9%
Total	51	100%

Note. The representation of the quality of services within the communities.

Similarly with the quality of services provided to the community, such measures will be helpful in understanding the extent of usability and fit for purpose from the community. Even though almost half of the respondents said the quality services provided are okay, 23.5% is really bad by many standards. Arguably, 5.9% can be regarded as catastrophic in other industries. Therefore, the quality of service provision needs major improvement.

4.2.4.11. EXTENT OF POLITICAL INTERFERENCE IN SERVICE DELIVERY

Politics and political interference have been ranked high on the previous questions where respondents felt that they can trigger protests. Table 48 below shows the illustration on how the respondents view political interference. While the majority (41.25%) feel that political interference is okay, 27.5% of respondents feel that there is more interference and 9.85 feel it is excessive. In this section, it can be argued how much political interference is needed,

however if political interference (ruling party in a region) is viewed as management and that management need to empower people to be able to execute on matters that affect them. Then we can also extrapolate from *Batho Pele and Ubuntu* principle as an innovation that can political interference use in terms of making sure that their interference is not one sided and that it is for the community's gain and putting people first. The 27.5% of respondents felt that there is more interference than needed and this may denote other political agendas that are not geared towards the betterment of the community.

Table 48 - The Extent of Political Interference

Political Interference	Frequency	Percentage
No Interference	1	2%
Less Interference	10	19.6%
OK	21	41.2%
More Interference	14	27.5%
Excessive Interference	5	9.8%
Total	51	100%

Note. The representation of political interference in service delivery environment.

It will be interesting to delve deeper on this section to understand from the community how much political interference is deemed good or acceptable. This is obviously bearing in mind that the ruling party in a given municipality or ward may have dominant power or major decision making power.

4.2.4.12. STRUCTURED COMMUNITY CONSULTATION AND PUBLIC PARTICIPATION

In earlier questions of the survey, respondents were asked about community consultation and public participation and the responses were mixed. Table 49 shows responses to the question whether structured community engagements would assist in the communities. 84.3% of the respondents feel that the communities will benefit if the engagements can be structured and this will increase public participation positively. Interestingly, the respondents felt that the community do not attend community consultations and do not participate in local government matters however in this section, they feel that they can be beneficial to the community at large.

Table 49 - Structured Community Consultation and Public Participation

Participation	Frequency	Percentage
Yes	43	84.3%
No	2	3.9%
Maybe	6	11.8%
Total	51	100%

Note. The representation of the respondents' views for structured community consultation and public participation.

This finding can be seen as positive, as the community acknowledges that “structured” community consultation and public participation may benefit them and from the previous section we also know that they are willing to attend these and also work with non-governmental organizations and non-profit organisations (NPO's).

4.2.4.13. AUDITING SYSTEMS

The respondents were asked if they were aware of, and/or involved in any system of auditing for example social auditing. The majority of respondents (92.2%) were not aware nor involved in any auditing system. In Table 50 this is illustrated clearly. Some respondents mentioned the traditional financial audits while some were not aware of any auditing systems. While there are structured financial audit systems, it is worth noting that there are also social audits that deal with service delivery.

Table 50 - Knowledge of Auditing Systems

Knowledge of Auditing Systems	Frequency	Percentage
Yes	4	7.8%
No	47	92.2%
Total	51	100%

Note. The representation of age groups.

The findings are astonishing that the majority of the respondents are not at all aware of any auditing systems. In a broader sense this finding may also be translated to the knowledge of quality management framework and agreements that underpins the provision of services. Ultimately, the respondents (community) is eluding to the fact that they want services to be provided to them as illustrated above in Table 47 and 48. The respondents felt that the state of services are okay and also the quality is okay which might be the reason they are not aware of

any auditing systems in place as far as service provision is concerned. It is noted that further research may be needed concentrating on quality, monitoring and evaluation an auditing systems to better understand the landscape of the services provided and the acceptance of services provided by the communities concerned.

4.2.4. RESULTANT THEMES FROM SURVEY DATA AND ANALYSIS

The survey questionnaire had a comment section for respondents to expand on their responses and also to give further insights and comments about their experiences on the research subject. This was specifically done to get qualitative data and gather as much insights as possible. The table below shows the resulting themes from the survey and their descriptions.

Table 51 - Analysis of Resultant Themes from the Survey Data

Resultant Theme	Description
Public Consultation and Public Participation	This refers to whether the community is consulted and the likelihood of participation on the matters that affect their municipality or ward.
Information and Knowledge Gaps	This refers to communication processes that are in place and how information is disseminated to the public and communication barriers that exists.
Nature of Service Delivery	This is refers to how the community or citizens describe and experience service delivery in their context or environment.
Auditing Systems	This refers to the general knowledge of how audits work and any other auditing system knowledge used in the local government space.
Complaints	This refers to how likely are the citizens to complain if they are dissatisfied with services and how complaints are resolved.
Service Delivery Protests	This refers to how the community views service delivery protests and how likely are they to participate or engage in them.
Municipality/Ward Structures Knowledge	This refers to the community's' knowledge about how the local government functions.
Service Delivery Protest Triggers	This refers to what the community members deem as the service delivery protest triggers.
Monitoring and Evaluation	This refers to how the community views monitoring and evaluation (quality management) systems and what is their knowledge and experience thereof in their environments. Are they in existent or even useful?

Service Delivery Measurements	This refers to how the community differentiate between a normal protest and service deliver induced protest and how their measure it.
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Note. The resultant themes derived from the survey and their description or definition.

The above themes will be summarised and discussed in detail below in relation to how the respondents answered them. At this stage, it is worth noting that this data analysis is for phase one of the study. Using the results or finding of stage one, an audit tool is going to be developed and then in-depth interviews were to be conducted to fine tune the tool in stage two. The resultant of the interviews are further summarised and analysed and presented on the sections below. Finally, a model is presented which will incorporate all the findings.

4.2.4.1. PUBLIC CONSULTATION AND PUBLIC PARTICIPATION

Public consultation and public participation refer to community engagements held by the community leaders and/or ward councillors. It refers to whether the community is consulted and the likelihood of participation in matters that will affect their municipality or ward.

The respondents had difference of opinions and responses in relation to public consultation and public participation. They sighted that in some communities the participation is limited as everyone tends to look at their own interests. Only when there are issues in the community then the community reacts. Some members even say they are not personally aware of any public consultations however that does not mean that they do not happen.

There are communities that have active participation and consultations. They use Whatsapp group to communicate to members and community newspapers. Policing forums have been created by active participation to combat crime in addition to the police patrol which has decreased crime in the area. Other community members feel that participation could be better in ensuring better service delivery, they feel that it is polarised and reactive.

In mixed race communities, not all races participate equally. Other community members feel that public participation and consultation is neither here nor there and describe it as moderate. They also sight that party meetings seem to be more prominent in some areas and are used to get participation, but these meetings can be biased and might not yield common good for the community. Participation and consultation happen a lot when it is election time. In more affluent areas, community newspapers and online news are used to post community news.

They also feel that public could be better than being reactive and, in some areas, it is limited because everything seems to function well.

In other areas community members have public consultations however participation is poor due to empty promises, corruption and fraud that is going around. This leaves the community discouraged and non-participatory. The community members then choose not to get involved as these do not yield any positive results. They stay behind closed doors for things which do not affect them directly, only those that are affected directly end up attending. They view the consultation as a waste of time.

There were members who have lived for seven, eight and fifteen years in one community and they have never heard of any public consultations. The community deem these as non-existent. As a result, the members of the community keep to their households and well-being. People are either uninformed or the municipality/ward does not engage the community in an effective manner. Overall, public consultation and public participation seems to be sporadic in communities. It becomes a matter of interest from the stakeholders, who is going to gain, what and when, then these become the basis of holding these gatherings.

4.2.4.2. INFORMATION AND KNOWLEDGE GAPS

The easy access to information has brought many opportunities to a wider group of people and communities around the world than ever before. The information age and digital platforms has advanced so much that a large proportion of the world's population have access to information sources and technologies that can enable them to engage online in a plethora of activities, be they economic, social, political or educational. The question is with all this access to information and digital advancement, does it translate to knowledgeable communities and easy access to information?

The respondents have access to information via various digital platforms however deem that corruption causes information and knowledge gap amongst citizens as the information gets diluted by propaganda and politics. Illiteracy levels are high, and some community members do not know how to select the truth from the propaganda that is being spread via fake news and social media. The amount of information available is deemed unreliable and used to mislead the public.

There is a lack of desire to know amongst citizens which may be due to illiteracy levels. There is also a lot of fake news, misinformation from social media and other large companies that flood the community, this deters the community from comprehending important information. There are many sources of information which is coupled with poor education and high levels of illiteracy that causes misinformation on people and the inability to translate information that can help them affect change and make positive decision for themselves and the community at large.

There is illiteracy, poverty and skills gap in the communities and the government is not making effort to disseminate correct knowledge that the citizens can use. In some communities there is no communication, no engagement, no processes in place, citizens are left to fend for themselves. Ineffective methods of communication are being used which end up being futile as the community cannot decipher the message being sent to them. There is also lack of openness and transparency in communities where little to none is shared. Also, because there is corruption therefore people choose not to get involved at all.

One respondent was quoted saying: "In my opinion communities are well informed of policies that have to do with them. Most communities are cluster zoned and therefore information is shared in the same manner, within those clustered groups. In terms of service providers, one can argue that there might be a skills gap that need to be addressed, as some of these service providers at times leave our communities worse off due to an unfinished or dangerous project." There is definitely a mix of opinions as far as information and knowledge gaps are concerned. The prevalent barriers to information and knowledge gaps are illiteracy levels, willingness, fake news and language.

4.2.4.3. NATURE OF SERVICE DELIVERY

The respondents described how they view and experience service delivery in their communities. There seems to be a lack of accountability with how government functions and provide services. Effective key performance indicators (KPI's) and other monitoring and evaluation systems should be put in place so that service providers are held accountable. The absence of good service delivery yields unhappy communities who are willing to protest and destabilise the municipality. Unqualified companies are hired to provide services and in some cases they either do not finish the work or provide sub-standard work which later causes unhappiness amongst citizens.

Service providers should be fined for non-provision of services, sub-standard quality and should pay back funds if they do not meet their contractual obligations. Poor service delivery tends to occur more in townships than in suburbs which makes it area based. Some service providers are linked to government officials and they get work to push the political agenda or to get votes. Politics agendas and corruption do not go hand in hand with provision of services in communities.

The public needs to be educated about local government processes and should be consulted to ensure that they voice their opinions in how their municipalities/wards are run. Communities are likely to participate and be hands on if they are involved and understand the operations. Furthermore, use of technological platforms may aid in service delivery and public participation.

4.2.4.4. AUDITING SYSTEMS

The respondents were asked about auditing systems and in particular social auditing. A total of 92% of the respondents did not know about social auditing. However, they knew about auditing and its functions. One respondent sighted that in their municipality, KPMG was supposed to audit at least the financial side, but it failed in many areas. Use technology to audit performance at individual service provider level, and let the community know who are at mistake (social shaming) and use incentives to incentivise them to deliver better service.

While some communities have ward committee system which in some way hold councillors' accountable others do not have anything in place. In some municipalities audits are conducted periodically and sometimes no remedy action is put in place

The respondents felt that communities will benefit from community audits geared to monitor and report on service delivery. Auditing will keep stakeholders accountable.

4.2.4.5. COMPLAINTS MANAGEMENT

A complaint is defined as an expression of dissatisfaction made about the company or organization about its products or services where a response or a resolution is expected. Complaints are therefore an important way for the management of an organisation to be accountable to the public, as well as providing valuable prompts to review organisational performance and the conduct of people that work within and for it.

There seems to be a stoic culture amongst citizens. They have become tolerant and making things work on their own without complaining. A few of the respondents have complained about services. They have complained about incorrect billing, refuse removal, sewage and water supply. What became prevalent was that the respondents were not aware of the proper channels to follow as far as complaints are concerned. They did not display high levels of understanding between wards and municipality. In fact, 60.8% of the respondents did not know their ward councillor and 80.4% knew the mayor of their municipality. This piece of analysis may in some place translate to misdirecting of complaints meant for either the municipality or ward councillor.

Many factors are affecting complaints resolution, respondents have lost faith in the system as a result they seldom complain. Corruption, non-communication and low-resolution rate were the factors highlighted for not complaining as a result only 31.4% of respondents have lodged a complaint either with the ward councillor or the municipality. They regard the system as totally collapsed.

There is an unaccountability for non-delivery in government which has discouraged people. Government has not done enough to educate the communities on how local government work and what part the citizens can play to effect change. Some communities lack organised community leaders and representatives. In some instances, there is no proper channel to lay a service complaint. Lack of education from the government to the citizens has played a role in keeping the community in the dark.

4.2.4.6. SERVICE DELIVERY PROTESTS

The respondents were asked on how they view the service delivery protests. Surprisingly, 17.6% of respondents said that they have participated in service delivery protests. However, they feel that they service delivery protests are genuine outcry by the community. They noted that there are political parties and criminals who hijack these protests for their gain. Furthermore, they highlighted accountability issue as one of the main triggers of service delivery protests and that at most they can be damaging to property and infrastructure that is meant to be used by the public.

4.2.4.7. MUNICIPALITY/WARD KNOWLEDGE

The respondents felt that there are complex laws that end up excluding them, no empowerment and access to information. The legislation governing the local government is not always understood by the community. There may be service demands by the community but how that demand is going to be met and the funds come from is seldom discussed to close the loop. Decisions are taken that are going to affect their lives however they are not included in decision making. They are not empowered by being employed in the community projects. They view the legislative environment as complex and closed to the general public.

Lastly, some respondents did not know which ward they reside in and who their councillor is. Although they might know the city mayor, this may cause one sphere of government to be overloaded because of little to less knowledge about how local government works.

4.2.4.8. SERVICE DELIVERY PROTESTS TRIGGERS

The respondents were asked about the causes of service delivery protests. The two prevalent triggers were corruption and non-provision of services. The respondents felt that due to high corruption levels, citizens are not provided with much needed services which becomes very problematic. Quality of services and access to services already provided was also highlighted. The respondents highlighted that the service providers appointed to provide these services are sometimes not qualified hence the quality becomes poor and needs repairing all the time. Specifically, in housing, some RDP houses have cracks and not built according to acceptable building standards.

The levels of crime and violence has been on the rise in many communities. Respondents highlighted these as well as the triggers to protests. According to some respondents there is a total collapse on the services delivery in South Africa which makes even safety become a problem as police are not equipped to combat crime that has infested the communities. All that is sometimes left for the community is to take to the streets for their voices to be heard.

4.2.4.9. MONITORING AND EVALUATION (QUALITY MANAGEMENT)

This refers to how the community view M&E systems and what is their knowledge thereof. There is a general feel that there is an accountability issue amongst all government spheres. The respondents blame corruption for the accountability issue that has permeated the provision of services. They felt that there is no M&E for the service providers and this is due to non-

completion of provision of services and sub-standard quality of services that the community sometimes end up with.

Service providers, ward councillors and ruling party should be fined for non-provision of services, sub-standard quality and should pay back funds if they do not meet their contractual obligations. Poor service delivery tends to occur more in townships than in suburbs which makes it area based.

4.2.4.10. SERVICE DELIVERY MEASUREMENTS

This refers to how the community differentiate between a normal protest and a service delivery induced protest and how they measure it. Respondents displayed very levels of protest engagements and lodging complaints in general. However, they viewed service delivery protests as a genuine outcry by the community members. They highlighted that politics, corruption and criminals sometimes hijack genuine service delivery protest for gains other than that of the community. It then becomes very hard to measure and engage in protests unless you have considerable amount of information at your disposal.

4.2.5. SECONDARY DATA ANALYSIS

The tables and figures below present an analysis of the of the secondary data (Documentary Reports Archival Records, Annual Reports, Industry and Corporate Reviews, Newspapers and Case Studies). The content on secondary data has been analysed and has been used as input into the tool development. A CMap was also used to clarify the content and emerging themes were explained in text.

4.2.5.1. LITERATURE REVIEW AND SECONDARY DATA ANALYSIS

Table 52 below represents literature review and other data sources pertaining the nature and characteristics of service delivery protests in South Africa. The literature is then summarised to make more sense so that it can be used to substantiate the findings for this study

Table 52 - Nature and Characteristics of Service Delivery Protests in SA - Analysis

Reference	Summary
Service delivery in the context of local government is the provision of municipal goods, benefits, activities and satisfactions that are deemed public, to enhance the quality of life in local jurisdictions (Reddy, 2016). Service Delivery Protests have been increasing since the early 2000's (Mc Lennan & Munslow, 2009). The continued Service Delivery Protests are destructive and disruptive (Mc Lennan & Munslow, 2009). Service delivery protests tend to occur in low and middle income working-class urban and peri-urban areas (Tapela, Ntwana, & Sibanda, 2015). Government has generally performed well since the pre 1994 government considering inheriting a country with high levels of inequality, however poverty, poor health services, acute shortage of housing, falling education standards, etc still dog the post 1994 government (PSA, 2015). Skills shortage in South Africa has been widely reported in the recent years to a point that the government is encouraging the youth to enrol in Technical Vocational Education and Training (TVET) colleges to learn and acquire these skills (Ngwakwe (2012). Irregularities in public financial management and accountability and service delivery are not normal; these are an aberration that is caused by human factors, and may be corrected if these factors are identified with solutions (Ngwakwe, 2012). According to Mhango and Chirwa (2018) as quoted in (Mamokhere, 2019), corruption is a common appearance of poor governance in most developing countries. Municipalities have been reported by the media as undergoing corrupt practices and unethical behaviours including lack of accountability by public servants. Corruption threatens the livelihood of everyone by crippling service provision, which results in communities protesting for lack of services.	It is then apparent that services have a direct, indirect and immediate effect on the quality of the lives of the people in the community. Financial mismanagement and poor accountability within the municipalities has been noted as one factor which influences service delivery demonstration by community members within the jurisdiction of the municipality. On the other hand, public gatherings are confused with service delivery protests and vice versa as shown by Allan & Heese (2018) in their explanation about the confusion of service delivery protests and related public gatherings and unrest.

Note. The analysis of the nature and characteristics of service deliver in South Africa from literature review and secondary sources.

The Table 52 and Figure 9 are the analysis of the nature and characteristics of Service Delivery in South Africa. There are a number of emerging themes in this section however the ones that are worth noting are the confusion or the lack of a proper definition of service delivery as it is clouded by ambiguity.

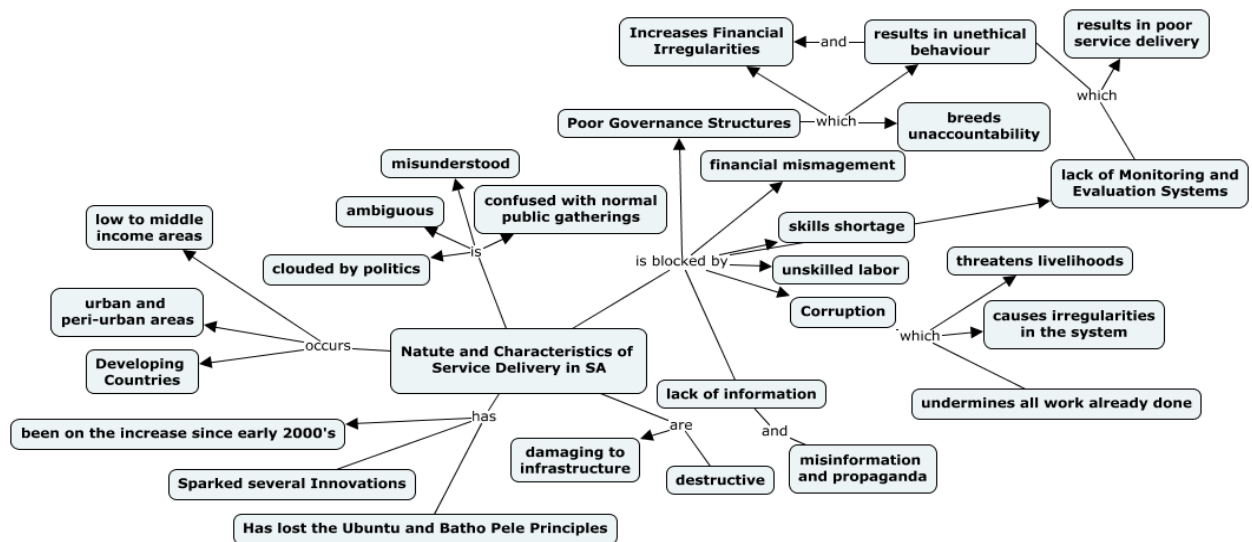


Figure 9 - CMap Analysis of the Nature and Characteristics of Service Delivery in South Africa

Information gaps seems to play a huge role too in terms of the whole understanding of this problem. There seems to be a lack of monitoring and evaluation systems which could aid in highlighting areas that need to be improved. Overall, the nature and the characteristics of service delivery in South Africa have a number of underlying causes that if not attended to breeds more problems. Ultimately, poor service delivery threatens livelihoods and robs those who desperately need the services.

4.2.5.2. LEARNINGS FROM SERVICE DELIVERY AND PROTESTS FROM THE INTERNAL EXPERIENCE

The internal learnings are that services are not provided in an efficient and effective manner. There seems to be a lack of accountability from the officials which undermines innovation techniques used to bring the services closer to the community. Table 53 and Figure 10 are the analysis of the learnings from the internal experience of the respondents and service delivery and related protests.

Table 53 - Analysis of Learnings from Internal Experience

Reference	Summary
These services should be delivered in an effective, predictable, reliable and customer-friendly manner (Paabusk, 2020). The service concept defines the “how” and the “what” of service design, and helps mediate between customer needs and an organisation’s strategic intent and in this particular context government. (Nel & Masilela, 2020) Allan & Heese (2018) of Municipality IQ recorded the number of public gatherings and classified them according to their motivations. They found that labour unrest with demands for wage increases was the highest. The Batho Pele principle places emphasis on a people-centred approach to the delivery of public service in general (Mpehle, 2012). This means that the recipient of services are at the centre of the process and solutions are designed with them in mind. Ubuntu as a management concept intends to be more than just a popular version of a community participation programme defined by the interests of management (Theletsane, 2012). Community engagement and community cohesion are both current public policy priorities. But there have been gaps in understanding about how to promote community representation in ways that take account of diversity and population change (Blake, et al., 2008)	Service providers are supposed to be measured by some kind of performance evaluation system. While good progress has been made to promote the Batho Pele principles, it has not been properly implemented in some instances causing further frustration to the customers. It is therefore worth mentioning that the move from manual intervention to automation has somehow clouded this principle in some cases.

Note. The analysis of the learnings about the respondents internal experience about service delivery and its related protests.

Figure 10 is a Cmap analysing the learnings tabulated on Table 53. It shows the relationships amongst various factors affecting service delivery, for instance M&E, public consultation and participation, crime and other factors as illustrated below. The Cmap not only shows the relationship amongst these factors but also the perceived motivating factors, identified gaps and inefficiencies.

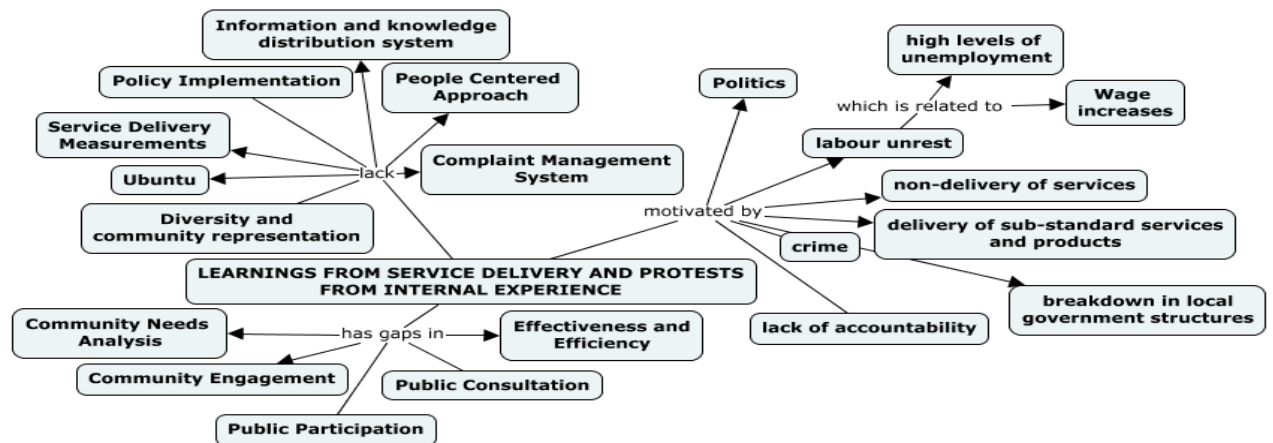


Figure 10 - CMap Analysis of Learnings from Internal Experience

The *Ubuntu* and *Batho Pele* principles are poorly implemented as well. While there are many services provided by the government, crime and labour unrest were amongst the high ranking ones as the reason for protesting. Service delivery protest triggers, information and knowledge gaps, public participation and consultation are the main themes emerging from this section. The disconnect in these themes result as the triggers of service delivery protests. Furthermore, politics and crime are also high on the ambiguity on reason for protests. Communities are protesting because there is too much crime and also, that politics are in the middle of service delivery and yet there are no positive outcomes. Lack of accountability and breakdown in local government structures are also highlighted as a contributing factor to service delivery triggers.

4.2.5.3. LEARNINGS FROM SOCIAL INNOVATION METHODS AND TECHNIQUES

There are various definitions of innovation and social innovation. Garud, Tuertscher, & Ven (2013) defines innovation as the invention, development, and implementation of new ideas. The learnings from innovation techniques is that it vast and not understood by many. However, as far as social innovation is concerned, involving the community and making them part of the solution is a thread that comes out as one of the learnings. Table 54 is an analysis of the innovation and social innovation learnings from the literature. The table then summarises the innovation and social innovation definitions in relation to the study and incorporate the learnings from the respondents.

Table 54 - Analysis of Social Inclusive Innovation Learnings

Reference	Summary
Mulgan (2006) brings us to the concept of social innovation and defines it as innovative activities and services that are motivated by the goal of meeting a social need and that are predominantly diffused through organizations whose primary purposes are social. Skills shortage in South Africa has been widely reported in the recent years to a point that the government is encouraging the youth to enrol in Technical Vocational Education and Training (TVET) colleges to learn and acquire these skills (Ngwakwe (2012). Good governance is characterised by responsiveness, accountability, transparency, rule of law, efficiency and effectiveness, participation, equity and inclusivity (Matshaphala, 2016). One of the problems of implementing societal agreements in South Africa, according to Tebele, (2016) is that while the policies are good at describing the ‘what’ they do not always explain the ‘how’ Both Hahn, Pinkse, Preuss, & Figge (2016) and Bakel, Loorbach, Whiteman, & Rotmans, (2007) seem to agree that social issues cannot be addressed by a single organization but need to be thought as a systemic challenge in which business, government and civil society each play distinct roles. Social audits are performed by the community and the findings reported to the concerned governmental agency. A social audit is a community-led process of reviewing of crucial documents to determine whether the public expenditure and service delivery outcomes reported by the government really reflect the public money spent and the services received by the community (Kidambi, 2015). Community engagement is an inclusive innovation that is geared towards providing community members with an opportunity to be part of decision-making and to exercise ownership over development processes (e.g. identification of needs, selection of priorities, project design, approval processes, implementation, monitoring and evaluation) taking place in their constituencies (Andani, 2017).	Service providers are supposed to be measured by some kind of performance evaluation system. There is therefore a necessity for innovation in the public service delivery sphere. The public service officials are being encouraged to engage in innovative ways of working in order to improve service delivery in the public sector (Nzimakwe & Mpehle, 2012). auditing has an overarching mandate to straighten financial management, so it should be pivotal to service delivery by ensuring public sector financial accountability and transparency.

Note. The analysis of innovation and social innovation definitions in accordance to the study and the learnings in relation to the study.

Figure 11, is a Cmap analysing in detail the learnings about innovation and social innovation. It shows the relationship between definitions and also some methodologies that can be used when innovation is adopted and developed.

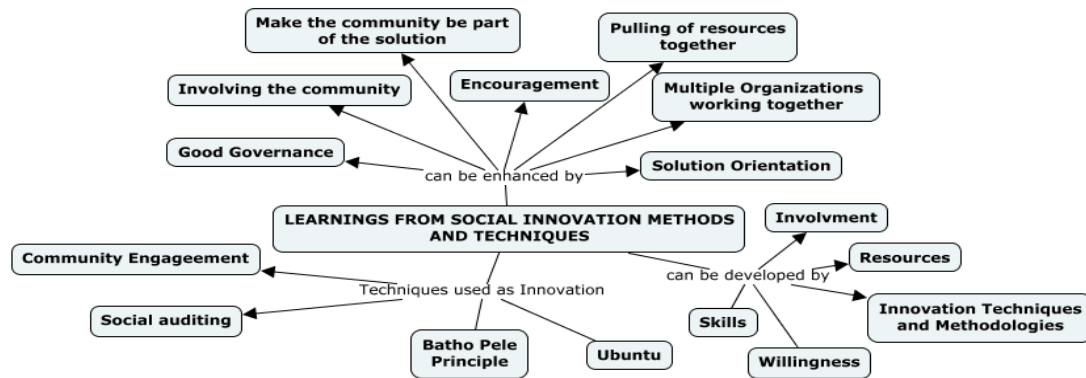


Figure 11 - CMap Analysis of Learnings from Social Innovation Methods and Techniques

There are innovation methodologies that are used in business namely, design thinking that is user centric in its approach and is perfect for social innovation interventions. *Ubuntu* and *Batho Pele* are always at the core of social innovation whereby people are put first and the services and products being designed, people are at the centre of it all. Emerging themes from this section are monitoring and evaluation, complaints management, auditing systems and quality management methodologies. These techniques and methodologies together with skills and willingness will enhance social innovation techniques to be implemented to fruition.

4.2.5.4. DEVELOPMENT OF AN ACCEPTABLE TOOL TO UNDERSTAND AND REDUCE SERVICE DELIVERY PROTESTS

The ambiguity surrounding service delivery and related protests makes it necessary for an innovative solution to be developed to not only understand them better but also to reduce them. When service delivery protest can be understood in a way that pin points the root causes, then that will then assist in coming up with relevant solutions. It will foster creation of fit for purpose solutions and not blanket solutions. Table 55 is a summary representation of the guiding literature that will underpin the development of the tool for this study.

Table 55 - Development of an Acceptable Tool to Understand and Reduce Service Delivery Protest

Reference	Summary
Drawing from Mulgan, (2006) and Garud, et al, (2013) definition of innovation we can extrapolate that using tools that aid innovation and management, businesses can expand their customer base by refreshing the market with new and improved service and product offerings. The Centre for Public Service Innovation was therefore developed as an enabler, facilitator and champion of innovative ideas.	In promoting and encouraging innovation, there has been many models and methodologies developed and improved upon for continuous improvement of services and products. These methodologies are there to manage and accelerate innovation in a way that yields incremental and positive results. Specifically, there are methodologies in the forefront of innovation e.g. design thinking methodology, systems thinking, lean methodologies and other methods depending on the services and products being developed in a given domain or industry. Complementary to the Batho Pele and Ubuntu principles, design thinking methodology amongst others, is popular for product and service design for its user centricity in its approach and that the solution is developed with the user in mind after a very rigorous and reiterative process. On the other hand, continuous improvement methods like lean six sigma concentrate on improving the efficiency of processes and the overall effectiveness in the production of products and services.

Note. Summary of the guiding literature and methodologies that will underpin the development of the audit tool for this study.

Figure 12, is a Cmap analysis and relationship identifier of the methodologies, stakeholders and needs that will underpin the development of the audit tool for this study.

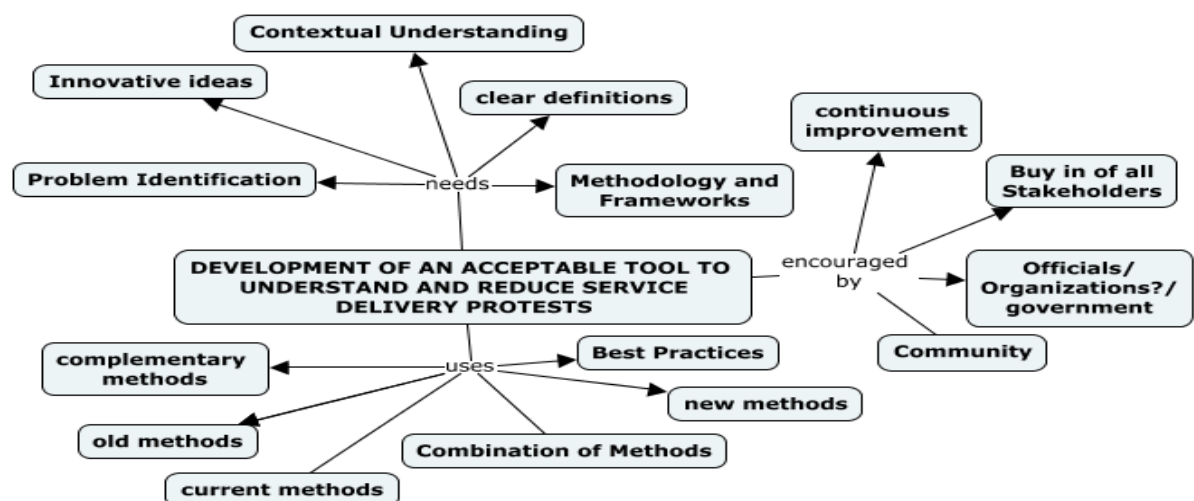


Figure 12 – Cmap Analysis of a Development of an acceptable tool to understand and reduce service delivery protests

Understanding the nature of service delivery and its characteristics within a service domain is what is needed to develop an acceptable tool to measure and monitor service delivery protests. The use of a combination of methodologies will help combat the confusion surrounding the service delivery and related protests. Information and knowledge gaps is also highlighted in a form of skills and more importantly stakeholder engagement and management. Stakeholder buy in is central to encourage and enhance the social innovation interventions.

4.3 RESEARCH FINDINGS OF STAGE 2 - VALIDATING THE DRAFT SERVICE DELIVERY MONITORING TOOL

The findings from stage one of the study were used to develop the tool. The resulting themes above were used as the sections of the tool together with the literature review and secondary data analysis. The draft service delivery monitoring tool is appended in appendix B. The tool was developed using literature review and data collection analysis. Five methodologies, namely Ten types of innovation, Lean Six Sigma, Design Thinking, Deming Cycle and Systems Thinking, were studied and used to develop the tool. Specific sections of these methodologies were selected according to their usefulness and to enhance and enrich the development of the tool to its full measure. The online data collection tools was used with an option to e-mail back your reviewer comments. Secondary supervisor and a couple of my colleagues helped fine tune data collection tool before it was sent out to the respondents. The respondents of the second stage of the data collection were purposefully selected from the previous respondents by their subject knowledge. Below are the sections of the tool developed as appended in appendix B.

4.3.1 STATISTICAL INFORMATION

The respondents felt that the entry fields are enough as it is always good to keep it at the entry fields to a minimum. One respondent said this section is specific enough in identifying the sphere of the organisation, department, nature of the audit and the primary stakeholders involved in the audit. This specificity assists in understanding the survey context and specific structures in question and from which diagnosis and solutions must be sought. An addition to this section that was highlighted was the chronological order of province, municipality, ward and ward number that needs to be visible.

4.3.2 LEVEL OF CONTROL

All necessary levels of control are listed especially since provinces work differently and also municipality work differently. This specificity assists in understanding the survey context and specific structures in question and from which diagnosis and solutions must be sought. A suggestion was made to create a sub category call Local in contrast to National. Therefore, municipality and ward can be under local government. While the respondents felt that the list covers all spheres they noted that it would not hurt to put a category for the people who are in rural areas and have chiefs as their head of community. Even though people in the rural areas hardly protest but it doesn't mean there is not service delivery issues there.

4.3.3 SERVICE DOMAIN

This section is specific enough in identifying the sphere of the organisation, department, nature of the audit and the primary stakeholders involved in the audit. This specificity assists in understanding the survey context and specific structures in question and from which diagnosis and solutions must be sought. Respondents highlighted the inclusion of education, welfare, public works an infrastructure as service domains. There have been protests about education in the past so it is worth including it and especially the state of education in South Africa. In other instances protests may be about road not maintained, breaking cars and/or causing accidents. That protest is not about transport but about public works and infrastructure.

4.3.4 REASON FOR AUDIT

In the service environment, they may be many reasons an audit is conducted. As such, valid reasons for conducting an audit must be stated upfront. The inclusion of this section in the tool will serve that purpose so that it can be seen that there are different types of audits. The respondents felt that the list was sufficient however inclusion of financial impact and return on investment can be explored as one of the main reason an audit can be conducted. Also, with the corruption in South Africa this could assist in limiting fruitless expenditure.

4.3.5 PARTICIPANTS IN THE AUDIT

Following the definition of an audit and social auditing, we can extrapolate that an audit can be conducted by various stakeholders in the value chain. As such, the researcher deems important to include this section for participants to be clearly stated so that the results can be

validated in some way or the other. The respondents generally felt that the list has covered the main categories of people who can be involved or initiate an audit. Community representatives have first-hand experience of what is needed in the community. An addition to be explored will be religious representatives and ordinary citizens.

4.3.6 REVIEWER CAPACITY

In conjunction with the section above, it is also important to include designation of the reviewers in the tool so that it is clear who did the review or the audit. Reviewers were asked to specify their capacity. The capacities or designation included in the audit tool were academic researcher, ward councillor, municipality office, community member, community leader and other. The list is meant to be exhaustive enough so as to limit ambiguity and grey areas however the option of other will be exercised and free text will be provided.

4.3.7 MUNICIPALITY / WARD KNOWLEDGE

The respondents highlighted some spelling errors and other grammatical errors on the actual questions to be answered. This section establishes if public is aware of the communication platforms on which service delivery issues can be discussed or complaints be directed to. This is important as some service delivery protests may be a result of the public's frustration of not knowing where to direct their complaints or not knowing where to seek explanations regarding service delivery issues. City managers are used for bigger municipalities compared to smaller municipalities which may other designation. The tool can then be custom made for different types of municipalities. A question that can also be included in this section – “Do the public know the role/functions of their Municipal/Ward representatives?”

4.3.8 PUBLIC CONSULTATION AND PUBLIC PARTICIPATION

The respondents felt that it is well drafted. General comments were made about the section. This section establishes if there was a consensus between the members of the public and the government officials. And whether there was public participation regarding the nature of the expected service delivery. Some form of public participation and performance agreement between the public and government is key in verifying the legitimacy of service delivery protests.

4.3.9 COMMUNICATION AND INFORMATION DISSEMINATION

The respondents did not have any additions or recommendations on this section. However, they made general comments about this section. “This section is important in establishing if

there is an actual service delivery deficiency or it is a matter of misunderstanding or communication breakdown between the public and government regarding the expected service deliverables. This general covers the angles as channels may be determined in other forms of document like the ward policy documents and others.”

4.3.10 COMPLAINTS MANAGEMENT

The respondents did not have any additions or recommendations on this section. However, they made general comments about this section. “This section addresses the question of whether there is sufficient platform for engagement between government and public, it specifically refers to platforms for addressing service delivery complaints. This is important because without such platforms, service delivery protests are almost inevitable.”

4.3.11 SERVICE DELIVERY MEASUREMENTS

The respondents did not have any additions or recommendations on this section. However, they made general comments about this section. “This section refers to specific measurable benchmarks which can be objectively used to establish if there is a legitimate reason for service delivery protest, and the degree of service delivery shortfall if there is any. This is also important in formulating turnaround strategies for improving the service delivery.”

4.3.12 MONITORING AND EVALUATION

The respondents unanimously happy with this section. This section attempts to establish the extent of the impact service delivery shortfall has on a greater public development objectives and visions. One respondent highlighted in their review that F1 and F2 address the service delivery measurements, so they may probably fit better in section E.

4.3.13 AUDITING SYSTEMS

The respondents found this section a bit ambiguous. They felt that it could be amalgamated with monitoring and evaluation section. This section generally establishes if there are sufficient tools to measure service delivery, and enough platforms to communicate service delivery issues.

4.3.14 ACCOUNTABILITY AND CONSEQUENCE MANAGEMENT

The respondents felt that this section is well structured and addresses one of the main issues affecting service delivery in South Africa. Accountability is an important feature in service delivery. Identifying an individual/ group/ structure responsible for service delivery is important in establishing causes of delivery shortfalls, corrective actions and directing legal

consequences which stem from service delivery deficiencies. So this section rightfully addresses the accountability question.

4.3.15 OTHER POSSIBLE SERVICE DELIVERY UNHAPPINESS / AGITATION OR PROTEST TRIGGERS

The respondents felt that this section is well structured and much needed. They made several comments on this section specifically. One respondent noted that most lack of service delivery is perpetuated by corruption of political parties." Service delivery protests can be sparked or influenced or driven by ulterior motives which are not genuinely related to poor service delivery, or they can be genuinely be service delivery related but influenced or hijacked by other forces". So it is important to investigate such possibility to rule out any illegitimate causes of service delivery protest. This section assists in that regard.

4.3.16 CORRECTIVE RECOMMENDATIONS AND SPEEDY IMPLEMENTATION

The respondents were generally happy with this section and made general comments instead. Most of the public services are run by people who are not qualified nor have the public service background. Management also becomes complaisant in their jobs as long as they get paid. This section inquires if there are specific resolutions and leadership to resolve the service delivery protest and most importantly prevent it from happening in the future. A recommendation was made for section J 3, accountable manager/service provider responsible for implementing these corrective recommendations, to attach date of resolution so that these actions can be tracked.

4.3.17 REASONS FOR NOT IMPLEMENTING RECOMMENDED CHANGES

Lack of professionalism and lack of understanding that everyone is employed by the same tax payers that they are horrible towards. check your indentation for middle column "Questions in this section can only be answered in the future after recommendations were not implemented. Answers to these questions are likely to be subjective and prejudicial. Reasons for not implementing service delivery recommendations can be complex and wide, so the answers in this section are probably not sufficient to give a satisfactory feedback. So maybe more questions which seek specific and elaborate answers should be added in order to get quality feedback as to the reasons recommendations were not implemented. "Can't Poor budgeting and planning be an issue, that can lead to take money somewhere to cover on the other side and leave one side suffering?

4.3.18 ANY ADDITIONAL COMMENTS AND RECOMMENDATIONS

The respondents appreciated the comment section as they felt that it gives everyone involved to add additional comments that have not been covered in the previous sections. A suggestion to give more space for comments was also put forward and will be considered for the final praxis model. Respondents added additional comments about the tool which will be incorporated in the final praxis model to be presented in this paper. The additional comments by respondents are quoted below verbatim.

Respondent 1

“This tool may have not covered some issues related to service delivery protest, so this section assists in making sure that this tool does not limit the views/ feedback of the participants, but offers a space to accommodate issues which may have been omitted. I have perused/reviewed your research questionnaire and it's pretty in depth and inclusive”.

Respondent 2

“My initial concern was it being pretty broad and I felt that it needs to "hone in" on the specific areas that the proposed "solution" will serve purpose, but after reading further I understand why you did that because there's indeed a domino effect that causes the ultimate lack of service delivery. Having said that, I do feel it best isolates/highlights the areas where the possible solution (innovation) could possibly assist. no additional comment.”

Respondent 3

Education is the primary mould of how our community is. The entry fields are enough. It's always good to keep it at the minimum. This section is specific enough in identifying the sphere of the organisation, department, nature of the audit and the primary stakeholders involved in the audit. This specificity assists in understanding the survey context and specific structures in question and from which diagnosis and solutions must be sought. In the form above I would added Province followed by Municipality and as well as the ward no.

Respondent 4

Provincial as each province seems to be different depending on how the municipality. All necessary Levels of Contact Listed. Municipal and Ward can be under group - Local perhaps. In my view the above covers all as I believe the areas that are under Chiefs could fall

on other category unless you think it is necessary to be specific. Even though people in those areas hardly protest but it doesn't mean there is service delivery there.

Respondent 5

Education as it is the sole foundation to improve the economy. All the important service domain are listed. Service Domain: Welfare can be an additional item. Public Works and Infrastructure, unless if you have it as sub category of the above. e.g.: it may be under transport but you cannot have one without the other. A protest may be about road not maintained, breaking cars and/or causing accidents

Political Party request, as they should always be ensured that they are public serving and not for political agendas. Financial Impact should be added as well as the reason for audit. Community representatives as they will have the first-hand experience of what is needed in the community Religious Representative should be added.

Respondent 6

"All Good, check spelling of municipality. This section establishes if public is aware of the communication platforms on which service delivery issues can be discussed or complaints be directed to. This is important as some service delivery protests may be a result of the public's frustration of not knowing where to direct their complaints or not knowing where to seek explanations regarding service delivery issues. All in order. Please correct heading (Municipality), A3 - For municipality, maybe "Are there any public engagement by the office of the Municipal Manager". Note: the correct term for bigger municipality is "City Manager" @Metros. Do the public know the role/functions of their Municipal/Ward representatives?

Respondent 7

"All good, all good. This section establishes if there was a consensus between the members of the public and the government officials. And whether there was public participation regarding the nature of the expected service delivery. Some form of public participation and performance agreement between the public and government is key in verifying the legitimacy of service delivery protests. This is well drafted. This section is important in establishing if there is an actual service delivery deficiency or it is a matter of misunderstanding or communication breakdown between the public and government regarding the expected service deliverables. This general covers the angles as channels may be determined in other forms of document like the ward policy documents and others".

Respondent 8

“This section addresses the question of whether there is sufficient platform for engagement between government and public, it specifically refers to platforms for addressing service delivery complaints. This is important because without such platforms, service delivery protests are almost inevitable. This section refers to specific measurable benchmarks which can be objectively used to establish if there is a legitimate reason for service delivery protest, and the degree of service delivery shortfall if there is any. This is also important in formulating turnaround strategies for improving the service delivery. I think this too is more than enough as it will be dealing with a specific type of service delivery at the time of audit.

This section attempts to establish the extent of the impact service delivery shortfall has on a greater public development objectives and visions. However F1 and F2 address the service delivery measurements, so they may probably fit better in section E. All in order. All in order. Can't find anything to add, this covers all angles for me”.

Respondent 9

“This section generally establishes if there are sufficient tools to measure service delivery, and enough platforms to communicate service delivery issues. I'm not sure if they couldn't be grouped with questions which seek similar answers, in the previous sections. All in order All in order. I can't think of any additional questions regarding the auditing systems. Accountability is an important feature in service delivery. Identifying an individual/ group/ structure responsible for service delivery is important in establishing causes of delivery shortfalls, corrective actions and directing legal consequences which stem from service delivery deficiencies. So this section rightfully addresses the accountability question. All in order. All in order. No additions I can think of”.

Respondent 10

Because most lack of service delivery is perpetuated by corruption of political parties. “Service delivery protests can be sparked or influenced or driven by ulterior motives which are not genuinely related to poor service delivery, or they can be genuinely be service delivery related but influenced or hijacked by other forces. So it is important to investigate such possibility to rule out any illegitimate causes of service delivery protest. This section assists in that regard. The above covers all categories Most of the public services are ran by people who are not

qualified nor have the public service background and management also becomes complaisant in their jobs as long as they get paid" This section inquires if there are specific resolutions and leadership to resolve the service delivery protest and most importantly prevent it from happening in the future. On J3, accountable manager/service provider responsible for implementing these corrective recommendations. wouldn't you consider it necessary to attach target date there, so that the public know that yes by when. Lack of professionalism and lack of understanding that everyone is employed by the same tax payers that they are horrible towards "All is good, check your indentation for middle column "Questions in this section can only be answered in the future after recommendations were not implemented.

Answers to these questions are likely to be subjective and prejudicial. Reasons for not implementing service delivery recommendations can be complex and wide, so the answers in this section are probably not sufficient to give a satisfactory feedback. So maybe more questions which seek specific and elaborate answers should be added in order to get quality feedback as to the reasons recommendations were not implemented. "Can't Poor budgeting and planning be an issue, that can lead to take money somewhere to cover on the other side and leave one side suffering?

"L1. I think hiring process of government post must change and the selection committees must be mainly outsourced so there is no room for biases

L2 There need to ensure that qualified people are hired in senior and junior positions to ensure there is proper service delivery

L3 Editors are good to ensure corruption is less, but also frequent training "

Respondent 11

All is good, maybe provide more space for comments in this section. This tool may have not covered some issues related to service delivery protest, so this section assists in making sure that this tool does not limit the views/ feedback of the participants, but offers a space to accommodate issues which may have been omitted. All in order, I have perused/reviewed your research questionnaire and it's pretty in depth and inclusive. My initial concern was it being pretty broad and I felt that it needs to "hone in" on the specific areas that the proposed "solution" will serve purpose, but after reading further I understand why you did that because there's indeed a domino effect that causes the ultimate lack of service delivery. Having said

that, I do feel it best isolates/highlights the areas where the possible solution (innovation) could possibly assist. no additional comment

This chapter presented the research findings of the study. From the research findings, together with literature review, themes emerged that help develop the audit tool as set out in the aims and objective of this study. The research findings were presented in a tabular format for ease of analysis. Both quantitative and qualitative data was taken into consideration when developing the audit tool.

The audit tool was developed and fine-tuned using an online survey and with help of the secondary supervisor. The respondents gave valuable insights that will be incorporated in the final audit tool presented in Appendix B. Overall, the objectives set out at the beginning of the study were met and achieved. The next chapter will discuss the findings in detail.

CHAPTER 5

5.1. DISCUSSION OF FINDINGS

5.1.1. INTRODUCTION AND OUTLINE OF THE CHAPTER

The key findings of this study are summarised and discussed in this chapter. The Data were collected through online questionnaire. The data was collected using purposive, convenience and snowball sampling methods from academic researchers, community councillors, municipality officials, civil servants, consultants and the community members. This data were collected in order to answer the research questions posed in chapter one. The research problem identified was the continued frequency of service delivery protests and the confusion that surrounds them. The resulting findings together with the secondary data analysis were then used to develop a stakeholder accepted tool for monitoring and measuring service delivery.

The overall findings for this study are that there are information and knowledge gaps which contribute to factors like inability to know and understand how the local government structures work, In this context in particular, this refers to the wards and municipalities that the community resides in. There is also lack of trust in the ability of local government structures and political parties in charge to deliver the services in an efficient manner. This lack of trust extends to low morale and public participation in interventions and public consultation as the community feels that nothing is going to really change. Furthermore, they felt that they are not consulted in the matters that affect them as a community.

While the majority of respondents were not knowledgeable about the auditing systems and M&E methods, they were also not convinced that service providers are quality assured, measured and monitored for the services they provide for the communities. There seems to be lack of accountability within the service provision structures and proper service delivery measurements. Another major finding was that there is an absence of a well-known or documented complaints management system that the community can use. This causes a lot of frustration, despondency and lack of interest in the whole service structure. This lack of a proper complaints management system may be one of the contributing factors when the community takes to the streets to protest.

These survey questions were answered adequately by respondents. They helped in developing and fine tuning the draft and the final draft of the service delivery audit tool that is shown in appendix B and C respectively. The findings are explained in detail in the following sections.

5.2. KEY FINDINGS

The resultant sections of the audit tool have been derived from the literature review themes, emerging themes after Phase 1 data collection and resultant themes after Phase 2 data collection. These themes have been used to develop the tool and have closely been aligned with the research questions. The findings are discussed in relation to the research questions and corresponding themes identified when the data was analysed. In the discussion of findings section below a critical approach of the findings will be adopted. It shall be shown how they connect to the broader research and how does this answers the identified research questions.

Another finding of this study is the ambiguity surrounding service delivery and related protests. There seems to be a disconnect on the understanding of service delivery, service delivery protests and a normal protest. Other related findings are lack of needs analysis for services to be provided in the communities, lack of communication and information dissemination and various triggers that have clouded the service delivery sphere like corruption, political interference and, most of all, lack or inadequate provision of services.

5.2.1. THE NATURE AND CHARACTERISTICS OF SOUTH AFRICAN SERVICE DELIVERY PROTESTS AND WHAT MAKES THEM PROBLEMATIC

The reported escalating number of violent service delivery protests in South African municipalities in the recent years was highlighted in the study. The service delivery protests are said to be damaging to property and disrupting the already stretched infrastructure. The aims of the research were to understand the nature of service delivery protest and what makes them problematic. This is especially important as there is a confusion about the definition of service delivery in South Africa.

According to Tapela, Ntwana, & Sibanda, (2015), service delivery issues tends to occur in low and middle income working-class urban and peri-urban areas. The findings of the study support the previous research about where the service delivery protest occur. The data for the study was collected from fifty one respondents and the majority of them came from urban areas.

The majority of the respondents were the working class and lived in urban areas. However, over two thirds of the respondents were in formal employment and held a post-graduate diploma as their minimum education. While over half of these respondents said they have never participated in a protest they did agree that service delivery protests are more frequent and noticeable. They further confirmed positively that most protest are “genuine protest” because of unhappiness of citizens with services not provided.

The respondents further agreed that the service delivery protests are problematic as reported in the media. They felt that service delivery protests are sometimes triggered by external forces like politics and criminals for their own gain and not necessarily for the benefit of the community. Similar findings were highlighted in the PSA (2015) report about other forces using service delivery protest as a vehicle to push other agendas other than those of the community benefit.

The study is significant in that it follows a common understanding about service delivery. Even though more than three quarters of the respondents said they never participated in a service delivery protest, they seem to understand the nature of the service deliver protest problem in South Africa. They understood its frequent occurrence in the recent years and that this is one of the main reasons it is problematic. Furthermore, the findings of the study are in line with other reported findings from other experts on the triggers of service delivery protests, corruption, accountability and politics.

5.2.2. KEY SERVICE DELIVERY PROTEST IN A SERVICE DOMAIN (HOUSING, EDUCATION, WATER AND SANITATION)

In understanding South African service delivery protests, we have to delve deeper and understand the service delivery problems or issues that trigger and result in service delivery protests. Some commentators have noted that service delivery protests have inevitably been mixed up with the politics of the magic of the market, the survival of the fittest and the evils of the state (Tsheola & Sebola, 2012). By finding the triggers, the objective was to differentiate legitimate service delivery protests from hijacking of these protests by other forces.

The majority of the respondents with previous experience of participation said that service delivery protests are genuine outcry by the members of the communities. The top three triggers as ranked by the respondents were genuine service delivery unhappiness, unemployment and

corruption. It is also worth noting that crime and politics were highly ranked in fourth and fifth place. The findings are strongly aligned with Tapela, et al, (2015), Country Wire, (2018) and the General Household report for 2017 about service delivery being caused mainly by unemployment and unhappiness with delivery of services. While the majority of respondents were themselves in formal employment they understood that one of the major contributors was unemployment.

In terms of the service domains, housing, water and sanitation and crime were the highest ranked areas for protesting by the respondents. This is inline with various reports about service delivery triggers. Statistics SA (2017) reported that some residents raised concerns about the quality of their subsidized houses. Respondents felt that the quality of their dwellings were very weak where walls would crack and roofs were weak or very weak. The findings are also inline with the Statistics SA (2017) report. Just above half of respondents sighted that communities also protests because of the quality of services being provided and also for unfinished delivery of services.

Crime has been reported to be on the rise in the recent years to a point that the State of Urban Safety in South Africa 2018/19 reported that South Africa has one of the highest levels of crime in the world and that Cape Town to have the highest rate of murder, robbery and property related crimes in the country. While crime is a result of other factors and not necessarily a service domain, it was ranked highly by the respondents as one of the triggers for service delivery protests. This can be labelled as safety and security domain. The findings support the previous research done on the triggers of service delivery protests. Nationally, water and sanitation has improved although a number of water and sanitation service delivery protests were identified amongst protest grievances Tapela, et al, (2015). This study found that water and sanitation is still a big problem amongst citizens and is one of the main triggers of service delivery protest.

The findings of this study corroborates the previous research done on the triggers of service delivery protest. It is relevant and significant as it identifies the main service domains that may need urgent intervention.

5.2.3. THE ROLE OF STAKEHOLDER RELATIONSHIP DYNAMICS IN UNDERSTANDING SERVICE DELIVERY AND RELATED PROTESTS

Paabusk, (2020) asserts that services should be delivered in an effective, predictable, reliable and customer friendly manner. Service provision and delivery occurs within an ecosystem that has several stakeholders. The effectiveness, predictability and reliability of this ecosystem will depend on the synergy of the stakeholders concerned. According to Fontaine, Haarman, & Schmid, (2006) it is important to define and understand the role players and their responsibility especially in service environment and social movements. One of the research questions for this study was to understand the undercurrents and underlying forces in the role of stakeholders that may results in service delivery protests.

Principally, there is government and the citizens in the service delivery environment. Government then contracts service providers to deliver services to the community. Other communities also have forums and other social movements that monitor delivery of services and this is highlighted in the findings of this study. This then grows the stakeholders base involved in the service delivery ecosystem.

The respondents were asked about the legislative enviroment in South Africa as far as service delivery is concerned and just over half of the respondents felt that it was complex and burdensome that it stifles service delivery to the communities. This is also related to the knowledge of and easy access to the city mayor and ward councillor. Just over half of the respondents knew who the city mayor was but only about a quarter knew who their ward councillor was. This lack of knowledge may cause misdirection of some of the complaints within the community as local government structures in place are not always clearly understood or known. Not knowing these stakeholders may trigger some tension, misinformation and misdirection and to the community's frustration. The study also found that just over a quarter of respondents have never lodged a complaint. This may be interpreted that citizens are not seeing the value of complaining or do not know the right people to complaint to and channels to use.

Other researchers have found that the dissatisfaction of citizens comes from unfulfilled promises and unresolved complaints. For this particular reason the citizens may take to the streets to voice out their unhappiness. Furthermore, the respondents felt that the service

providers were not held accountable for the services they are contracted to provide. With Stats SA (2017) reporting low quality dwellings built and other services not provided adequately, citizens may be left with no option but to protest because they do not know where and how to complain and most importantly may not understand the identities and access details of stakeholders involved in service delivery.

While a majority of the respondents were non-committal about being informed and participating on municipal and ward matters, above a quarter clearly stated that they are not informed and do not participate in municipal and ward matters. This may cause misinformation amongst the citizens which was one of the main findings for the study that there are information and knowledge gaps amongst the citizens. Ultimately, this imbalance in stakeholder dynamics may result in frustration leading not only into protests but also into fake news.

Beyond the municipality mayor or the city manager and ward councillor, respondents felt that service providers and the political party in charge should be held accountable. This study is significant in that it unearths the knowledge and understanding of stakeholder dynamics that may contribute to service delivery protests. The stakeholder dynamics in the service delivery ecosystem is important as it may foster good working relationships if everyone knows who does what and when in the process of service delivery. Furthermore, understanding stakeholder dynamics may smoothen the process and issues may be channelled effectively and efficiently. Dispute resolution may be impacted positively as this may allow all stakeholders to do their part and also take a very active approach in resolving the issues before they get out of hand.

5.2.4. PROBLEMS AND CHALLENGES ANTICIPATED IN GETTING STAKEHOLDER AGREEMENT AND HOW CAN THESE WILL BE SOLVED?

In Chapter 2, in the literature review introduced different types stakeholders using stakeholder theory. It was learnt that stakeholders can be dominant, definitive, discretionary, dependant, dangerous or demanding. Understanding and defining the types of stakeholders involved in service delivery becomes important so that we understand the dynamics and relationships amongst stakeholders. This research sub-question was aimed at finding out what challenges

hinder continuity in the service delivery ecosystem. With the number of service delivery protests reported we can assume that there are challenges that stakeholders face.

Furthermore, the literature review revealed that stakeholders hold with power of different types and levels, namely, utilitarian, coercive and normative. This categorisation can be seen in many areas where protests are prevalent. For an example, some protests become dangerous in nature because of violence. In the event where various groups or political parties are a majority, a dominant behaviour can be seen as well. Stakeholder types will then hold different powers and in some instances will have more bargaining power which may have undesirable results for the community at large.

The main findings of this study was lack of information and knowledge amongst citizens. The citizens generally did not know the structures of their local government and they found the legislative environment complex and cumbersome. Not understanding the structures and legislation of your local government may be a hinderance to stakeholder relationship management. For example, the majority of the respondents did not know their ward councillors. Ward councillors are also important in the stakeholder management and engagement process as they also fulfil certain roles in the local government structure.

The majority of the respondents indicated that they have never lodged a complaint about services however they have had issues with service delivery and they understand that the protests are damaging to property, disrupt the community at large and instigate violence. This particular result insinuate that they may have developed a stoic approach to poor service delivery. They do not complain because they either do not know the complaints process or lost faith in the system and that things are going to change for the better. This kind of approach paints a picture of disconnect in the system between the community and the local government.

The ruling party in a particular community (municipality/ward) is also a stakeholder in the ecosystem. The respondents agreed that there is too much political interference in the service delivery sphere and that stifles service delivery. It is also important to note that the respondents felt that there are other external forces that stifles service delivery. In particular, they agreed strongly that there are criminal forces that engages in protest disguised as service delivery protest for their own gain. This brings another unwanted stakeholder that does not foster or encourage improvement of the service delivery system.

Above three quarters of the respondents felt that the service providers are not measured for the services they provide nor held accountable for the poor service delivery. This finding represents lack of trust by the community about the service providers. Statistics SA (2017) reported that some of the community members were complaining about the weak dwellings provided by their government. This may present the lack of monitoring and evaluation systems in the service delivery environment. Furthermore, 62% of respondents said that services are hardly ever or never delivered on time to the community. This reinforces the point made by Paabusk, (2020) who said that services need to be delivered to the community in a timely, predictable and effective manner. This is another challenge that may hinder stakeholder aggrement in the service delivery sphere.

Just close to half (49%) of the respondents said that there is “bad to no participation” in ward meetings. The absence of citizens in these ward meetings may be the very reason for the lack of knowledge described in the PSA, (2015) report and other scholars and also identified in this research.

5.2.5. LEARNINGS FROM INCLUSIVE SOCIAL INNOVATION

Financial audits are generally accepted across all formal and legal organisations. They follow a certain framework that covers all requirements and considerations. Performing and reporting on financial audits conducted are accordance with Generally Accepted Accounting Principles (GAAP). GAAP incorporates all sections of the South African Public Audit Act, including the introduction, objectives, definitions, requirements, and application and other explanatory material. The Audit Act establishes requirements for performing financial audits in addition to the requirements contained in the South African Institute of Chartered Accountants (SAICA).

Auditors should comply with these additional requirements, along with the incorporated governance acts, when citing GAAP or International Financial Reporting Standards (IFRS) in their audit reports. The audit Act Laws, regulations, or policies may require auditors to report indications of certain types of fraud, non-compliance with provisions of laws, regulations, contracts and grant agreements, and abuse to law enforcement or investigatory authorities before performing additional audit procedures.

In South Africa, the Auditor General (AGSA) annually produces audit reports on all government departments, public entities, municipalities and public institutions. Over and above these entity-specific reports, the audit outcomes are analysed in general reports that cover both the Public Finance Management Act (PFMA) and Municipal Finance Management Act (MFMA) cycles. In addition, reports on discretionary audits, performance audit, and other special audits are also produced. The South African financial audit system is therefore a solid one.

In the study, social auditing was introduced, a system that is widely used in countries like India and Russia. The concept of social auditing emerged in the early 1990s from the right to information movement, led by civil society organisations in the central part of Rajasthan and later spread across India. The idea of social auditing is to promote public participation, transparency and accountability in public policy and delivery of services to the community. The movement on transparency and accountability was one of the improved efforts that argue for the people's participation in planning, implementation, monitoring, and evaluation with adequate transparency and accountability in the public management system. This study sought to understand both the traditional financial and social audit. The researcher wanted to extract any useful principles of traditional audits that can be used or incorporated into social auditing. This way social audit can get the legitimacy through a solid framework based on traditional financial audits.

The respondents were asked if they knew of social auditing or any social auditing system, 92% of the respondents were not aware of social auditing. This is very high knowledge deficit about social auditing even though they are happening around South Africa and specifically prevalent in three major provinces (Gauteng, Kwa-Zulu Natal and Western Cape). These particular results are in line with the question about knowledge of any non-profit organizations or non-governmental organizations in the area. Over two thirds of the respondents had no knowledge of any non-governmental organization nor non-profit organization involved in service delivery issues in these areas. With these results we can infer that social auditing is not as well-known as financial audits.

In terms of public participation in municipality and ward matters, the respondents were mostly neutral in this matter. However, they felt that more public consultation and participation is needed as it will make the needs of the people known. With these findings we can infer that

social auditing needs to be made popular. More so, because the majority of the respondents agreed that they would work with non-governmental organizations or non-profit organizations for the good of the communities they live in. Social auditing is about giving power to the community. How information is shared is very important as this will give the community access to information and power to act. Almost half of the respondents which consisted the largest response cluster or group felt that they were not informed about matters of their ward and municipalities. This goes against giving power to the community as the respondents were not informed about what is happening in their municipalities and wards.

In terms of public participation in municipality and ward matters, the respondents were mostly neutral in this matter. However, they felt that more public consultation and participation is needed as it will make the needs of the people known. Below are noteworthy quotes from the respondents that confirms that the community are invested in well run communities.

“In short, let the community members decide on the kind of service they need and want for their respective community”. This comment talks to needs analysis that was highlighted in the survey findings. Respondents felt that the needs that are provided to the community are not always the services that the community needs. The services provided are one size fit all. What worked in one community is done for another community without doing a proper research if it is really needed there. One respondent said *“The public should have ownership in the process while participation should be encouraged at very all times with transparency”.* The respondents felt that the community needs to be consulted in what happens in their communities and that participation needs to be encouraged. Some respondents indicated that they are ready to be involved in these community forums for the better good of the community.

Another respondent said *“Conduct Imbizo on community and an online forum for those who have access to technology. However, this has to be taken serious and must not be an exercise that has no measures that checks balance and performance to ensure that all cries of the community are attended to. It's the community that knows its needs and it should be consulted”.* It is evident that the community can and are willing to participate in social auditing. It needs to be formalized and structures put in place. The respondents felt that there is too much gap between community and the local government structures.

Introducing social auditing would help fine tune services needed by the communities. It will further enable communities to hold the suppliers and service providers accountable for the services they provide. However key performance indicators and monitoring systems have to be introduced to measure service delivery and hold those responsible accountable. The respondents highlighted the use of new digital means to facilitate public consultation but at the same time cautioned against excluding households that do not have money for devices and data or who are in rural areas with poor connectivity must also be considered as a form of inclusivity.

These findings are noteworthy as they highlight the willingness of the community to participate in a structured social auditing system through proper public consultation and involvement. Inclusivity as a principle and implementation must be a key feature of the audit tool. Traditional auditing principles can then be applied to enhance the existence of social auditing. Moreover, the respondents highlighted that a structured audit process may satisfy the community about the working of the business operations, stakeholder management and the functioning of its various departments within the service delivery ecosystem.

With 76% of the respondents marking corruption as one of the main deviations and fraud for service delivery protests, social audit can help in the detection and prevention of deviations and fraud as this is one of the main aims of financial audits. Adopting this auditing framework may give power to the people as the community may be in the know about the maintenance of the records and verification of books of the books of accounts of projects happening in and around their communities.

The independent opinion of the auditor is extracted through auditing which is extremely essential for the management of companies. Similarly, opinions from social auditing may become valuable as this will be the exact lived experiences of the people who are needing and will be using the services. At some stage these two kinds of audits may also overlap and provide the local government with a clearer picture of what is happening within the service delivery structures. Traditional financial audits establish procedural rules to check on the staff of the business so that they became aware of not committing any irregularities. This makes the staff more active and responsible. This principle is identified as lacking currently in the service delivery sphere where the respondents feel that there is too much corruption, nepotism, financial mismanagement and other irregularities that hinder service delivery to the

communities. With respondents saying that they will be willing to work with non-governmental organizations and non-profit organizations, this tells us that the community want to be responsible and be more active in areas that affect them.

Financial audits are meant to protect the interests of the shareholders in the case of a public company or organization by assuring stakeholders and other investors that their accounts are being managed properly and their interests will not suffer under any circumstances. This principle is essential and may be adopted in social auditing as it will protect the communities as one of the stakeholders. Communities are the one who take to the streets voicing out their dissatisfaction about non-delivery of services, non-completion of services, quality of services and other shortcomings in the service delivery sphere. The dissatisfaction stands out in the findings and putting this particular principle for auditing may help protect the communities more.

Lastly, financial audits are said to create confidence among stakeholders such as creditors, debenture holders, and banks, etc. Confidence amongst stakeholders is important and it is highlighted in the findings where a disconnect can be seen in the local government structures. Respondents felt that service providers are not held liable and accountable for the services they provide. Auditing reinforces and strengthens Internal control and provides suggestions necessary in the internal control system. The findings are therefore very significant as they show that there are principles and roles that can be extrapolated from financial audits and be adapted for the social auditing system.

5.2.6. UNDERSTANDING STAKEHOLDER RELATIONSHIP DYNAMICS (THROUGH STAKEHOLDER THEORY) TO IMPROVE SOCIAL AUDIT ACCEPTABILITY

The traditional definition of a stakeholder is “any group or individual who can affect or is affected by the achievement of the organization’s objectives” (Freeman, 1984). Stakeholder theory is used to both define the “stakes” and the “holders” (Boutilier, 2009). This definition is aligned to this research as we needed to understand in detail what are the stakes are at play here and who are the holders of these stakes. Furthermore, to understand what would happen if no intervention is put in place and the status quo is left as is.

In the literature review section, the definition of stakeholders through stakeholder theory was discussed. In this study stakeholders were identifies as local government, community, service

providers, political parties, non-profit/governmental organizations and other interested parties like researchers. The behaviour of stakeholders is highly dependent on the dynamic forces like stakeholder type and the power they possess. Some stakeholders are deemed to have more power and influence than others and that can make them dominant in one way or the other. Their behaviour will therefore show these characteristics in their approach.

The findings of this research enable detailed understanding of the type of stakeholders and the power they possess. Local government which in this case comprises of municipality structures and ward structures. We defined them as dominant, definitive and dependant. They are influenced by environment they are located in which consists of the community. However there are other forces in this space like political forces and service providers. The local government is there mainly to service the needs of the community hence it is defined as definitive (decisive) and dominant (central) to all activities happening in its jurisdiction. The findings showed that there is a lack of knowledge by some stakeholders within this particular structure. The respondents were not able to distinguish between matters of the ward or the municipality and vice versa which may cause confusion. We can then conclude that this lack of knowledge and information gaps may hinder the improvement of social audits. More so as the respondents displayed lack of knowledge about the social auditing itself.

The community is defined as being dominant, dependant, definitive, demanding and also dangerous. The community is central to everything in the service delivery space. However, they may be dependant of government and demanding, they can also be dangerous. This is strongly corroborated by the findings that say that protests can lead to damage to property and infrastructure and also very disruptive in nature. So this makes the community dangerous and very coercive in nature. However this behaviour is fuelled by poor service delivery according to the findings. Various reports have been circulated by the media about the damage caused by protesting communities like burning of schools, libraries and other structures.

It is worth mentioning that findings showed the willingness of the community to participate in all structures of government should these be accessible, clear structures be formed. Furthermore, they are even willing to work with non-profit/governmental organizations for the better good of the community. This makes this stakeholder (community) very adaptive and agreeable to conditions that they find themselves in. This kind of behaviour will be beneficial

in implementing social auditing in the communities because of the willingness to change and work together for the better good.

Service providers are defined as discretionary, definitive and can be dominant too. In this context, discretionary can be defined as flexible, open and unrestricted. This was confirmed in the findings where the respondents felt that service providers are part of the bigger problem as they sometimes get tenders that are illegitimate. Furthermore, it was found that the service providers are not monitored and measured for the services they provide. Over 60% of the respondents said that the services are seldom delivered on time. They also felt that they should be held more accountable, together with the ruling party in the local municipality and the ward councilors. This tells us that service providers really do hold a dominant and coercive stance in the service delivery space.

We understand that service providers are mandated by the local government to provide services to the community and in many instances supported by communities as means of providing job opportunities and giving back to the community. The community is complaining about the state of the services provided or sometimes not provided. We can as a result say that provision of services is central to this experience. It is suggested that the community must be involved in social auditing and allow the community to audit the provision of services in their communities. The community are the ones on the receiving end of the delivery of services.

5.3. DEVELOPING THE PRAXIS MODEL (AUDIT TOOL)

The requirement for the Masters of Philosophy in Inclusive Innovation degree is not only for students to produce an academic paper but also to synthesise theory and practice. Therefore, the research is designed to inspire and inform innovative practical models that enhance inclusion in social-ecological systems.

The praxis model developed in this study was based on the logic of five methodologies. Models and frameworks play an important role in simplifying and explaining key phenomena. A model is a simplified representation of a system over some time period or spatial extent intended to promote understanding of the real system (Bell, et al., 2014). Models help us understand the problems and its surrounding systems that the solutions are sought for. The researcher studied ten types of innovation and borrowed from various sections of Quality Management Systems,

Design Thinking and Systems Thinking approaches. These methodologies are complete and functional on their own however for the purpose of the requirement of this degree, I have taken different parts of these methodologies that I feel will inspire and inform inclusive innovation design. Figure 54 below shows this illustration. These methods have been discussed in detail in the literature review section in addition to the *Batho Pele* and *Ubuntu* principles.

METHODOLOGIES ADAPTED TO CREATE THE TOOL



Figure 13 - Methodologies adapted to create the audit tool

Source. Adaptation of various models into one model or methodology

5.3.1. THE PRAXIS MODEL – DEVELOPING THE STAKEHOLDER ACCEPTED TOOL TO MONITOR AND MEASURE SERVICE DELIVERY

The praxis model has been developed using the study of five methodologies namely Ten types of innovation, Lean Six Sigma, Design Thinking, Deming Cycle and Systems Thinking that work well independently. However, the requirements of the qualification is to come up with an inclusive design to solve the social problem. Coupled with this the nature of the study requires a very innovative solution. So, selected sections from these five methodologies that were deemed valuable, fit for purpose and appropriate for the audit tool and the solution that is being solved for the problem identified.

I have taken due attention of this model whether it can be enacted in the world. I believe it can, as these methodologies are commonly used by various organizations around the world. I

have also taken note in choosing these methodologies that the stakeholders concerned in the problem will be able to use with ease because of their knowledge in the problem.

The resources that will be used for this model are those that are already being used. While there is no special equipment needed however facilitation and workshops will be needed for the model to work. It is recommended that the tool may work best if all data is captured electronically, this will then solve the analysis part. Google forms or sites can be used for this tool as it is easy to use and it is not very costly. Other electronic system may be used that will fulfil similar objective and yield the desired results without compromising on quality and lessen the administrative burden.

The following guidelines identify key aspects of an effective praxis model and have been considered in detail namely, challenge, inclusion, innovation, practicability and sustainability.

The model aims to clearly identify a social-ecological challenge through a rigorous process of engagement, research, reflection and situational analysis. Design thinking methodology takes care of this rigorous approach. Design thinking is user-centred and solutions are produced with the user in mind. It has emphasis on needs analysis where in-depth research can be done to find needs of the community so that services and product are fit for the researched community and we do away with one size fit all approach. At the end the challenge that the community has been experiencing will be solved with appropriate tools and will receive the urgency it needs.

The model also aims to be inclusionary where key stakeholder groups are identified within a particular setting. The model aims to strongly demonstrate principles of inclusion across multiple dimensions within the environment being researched or studied. This is to make sure that everyone gets involved as highlighted in the findings that community members are willing to participate in such interventions. Community members also want to be part of the solution and in fact these services and products are created for them.

There are many types of innovations that exist, Ten were discussed in the literature section in Chapter Two. There are innovation models that already exist however this study in its nature is people centred so *Batho Pele* and *Ubuntu* approaches need to be emphasized and exercised as they talk to the core of being human and are basic design of inclusivity. The use of technology will creatively disrupts in a positive manner the current social-ecological system and with the rise in use of technology, this should not pose much threat to success. *Batho Pele*

and *Ubuntu* principles will surely reimagine the key elements of the current social- ecological system in which it is based as the findings seem to point to the fact that people are no longer put first or sometimes treated humane.

The second phase of the data collection and analysis not only proved the practicability of the model but also positive adoption and how much a monitoring and measurement tool is needed in the service delivery sphere. The audit tool was developed using literature review, secondary data and results from phase one of the data collection and was tested with the respondents. The respondents gave their improvement suggestions for the model and was fine-tuned to its current form for presentation of this paper. The model is therefore practical and relevant, as demonstrated by evidence-based design, testing, and iteration however there is room for improvement and more iterations as the model gets used. The model was presented in its manual form. However it can be in an electronic format that can do statistical analysis releasing burden of admin to the users.

The model is based on an simple engagement model at first which asks for engagement of all stakeholders. Stakeholder engagement is something that is relatively done and easy to execute and it is a realistic expectation. Recently, with the surge in online engagements this should be a positive for stakeholder engagements as they do not have to move around a lot. While the model presents a realistic framework for its own sustainability, it still needs to be maintained, enhanced where necessary, tweaked to suit the setting for positive and relevant results. At this stage some aspects including adequate, evidence-based attention to financial and other resources, markets, modes of communication, socio-political contexts, cultural contexts, and ecological contexts have not been exhaustively explored and tested. However, the model is agile in a way that it may be improved upon over time taking into consideration of these factors. In the second phase of the study, the tool was presented in manual format for comments. The model was presented in prototype format so they can understand the look and feel of the tool. It was communicated clearly and intuitively to appropriate stakeholders so that they can understand how it is meant to work, the objective and give comments for further improvements. The improvements were incorporated into the final draft as shown in appendix C.

Figure 15 below shows the whole lifecycle of the proposed service delivery management framework culminating to the use of the audit tool developed for this study. This framework

is proposed as it is deemed that the audit tool will work best under a documented framework as in the financial audits.

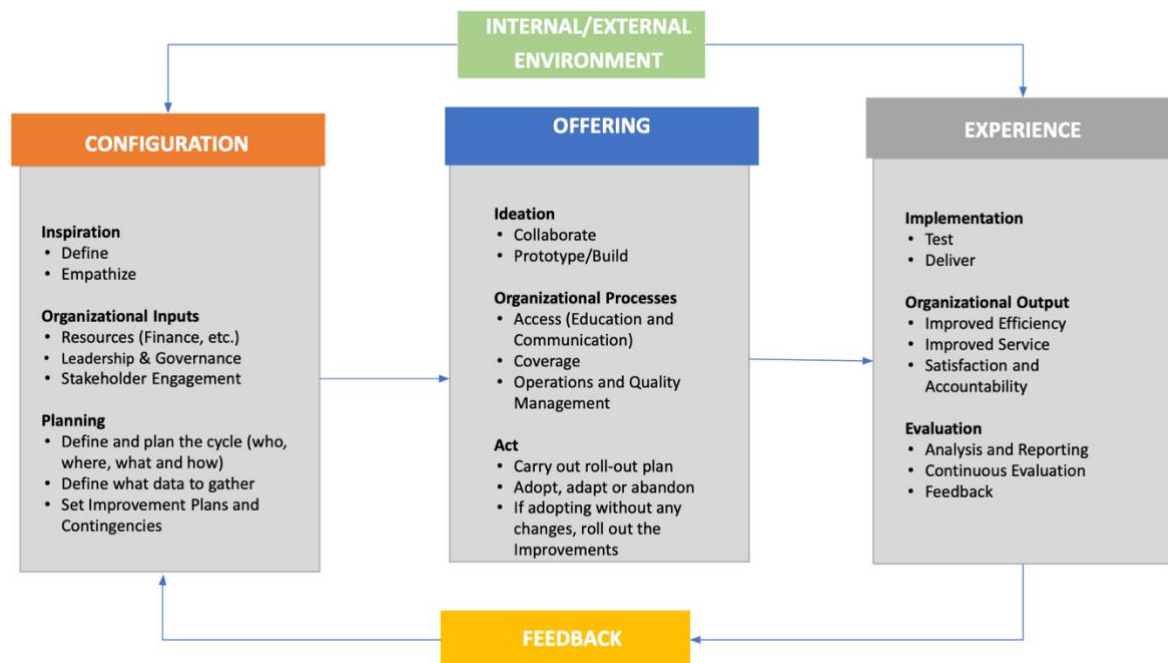


Figure 14 – Lifecycle of the Praxis Framework

[Source. Adaptation from Thoring & Müller (2011). Understanding Design Thinking]

The framework shows three pillars namely, configuration, offering and experience adapted from Thoring & Müller, (2011). Each pillar has three section built from different models discussed above. The emphasis is the inclusion of all stakeholders using design thinking methodology and understanding the environment using systems thinking and lastly incorporating quality management techniques. It is worth noting that this model encourages quality at source, the use of the planning stage and defining who, where and how is geared towards this and also foster accountability from the beginning of the process and not just at the end as it sometimes happen. The feedback loop is there for continuous improvement. Furthermore, it is also there for societal agreements to be implemented and the overall user-experience.

5.3.2. TESTING THE VALIDITY OF THE DRAFT TOOL

The draft tool was developed using the data collected from online surveys. It was presented and tested to knowledgeable respondents. The respondents were selected purposefully for their knowledge in service delivery.

In addition to the evidence presented in the findings section, below are what the other respondents had to say about the tool.

The framework can be enacted in the real world and the stakeholders can participate in various ways whether physically or virtually. An audit in its nature is carried out physically so this can still be done however if there are constraints online can be done as well. There is no special technology identified for the tool or the framework. It can be incorporated to the existing technology. As it stands, the tool can be on google forms or similar platforms which are inexpensive. The local government already has structures in place where there are circulars and workshops in place, this can be added in those structures. The organisational and community engagements that already exist in the local government can be used to carry out this with minimal disruption or cost additions. Therefore this model can work in the real world.

5.3.3. CONCLUSION

In this section, the research findings were discussed in detail, a framework that will assist the praxis model was also presented. The researcher attempted to show the link between the main research questions, the literature review and the findings of the study. Furthermore a framework was presented that will best suit the use of the audit tool .

CHAPTER 6

6. CONCLUSION AND FUTURE RECOMMENDATIONS

6.1 INTRODUCTION

In Chapter 1, the main objective for the study was presented to understand the nature and characteristics of service delivery in South Africa and what makes them problematic. In reviewing the literature, it became clear that service delivery affects both urban and rural areas, more so in urban areas that have adequate or inadequate infrastructure. There seems to be a disconnect with what the citizens need and what is offered to them by the local government that results in service delivery protests. This is obviously with exception of confirmed poor service delivery in some areas.

The findings largely corroborated that there is a major disconnect between the citizens and local government and these findings were discussed in-depth in the previous section. This section is therefore to conclude the research study and give noteworthy recommendations for this study.

6.2 RECOMMENDATIONS

The planning process needs to improve dramatically, because the communities' interests are involved in the affairs of the local municipalities, and that remains a thorny issue. Community interests and their satisfaction depend on local municipalities and this necessitates a significant improvement in the planning process. In the light of this, municipalities have developed the Public Participation Policy (PPP), which was derived from the National Policy Framework on Public Participation (NPFPP) with the main objective of community participation and consultation. The formation of structured community forums to allow organised formations to initiate policies and/or influence policy formulation. According to the respondents of this study, the community is willing to participate in matters that will help uplift them. Therefore, creation of these forums will uplift the community and they will feel as part of the solution.

These forums will also be an important vehicle and a tool for evaluation and monitoring of policies. The findings of the study showed that the community lacks proper communication channels and the right information to help them make informed decisions. This way they will be in the centre of the process. Furthermore, structured stakeholder involvement is key for this

initiative to thrive as studies show that there is low involvement of stakeholders and that in some instances they have limited life span. With the majority of stakeholders buying in, initiatives like participatory budgeting, project selection, needs analysis, research activities can take a better shape because of the buy in from the stakeholders. This will generate much needed information to circulate within the community and also will foster the establishment or salvaging some of the processes and policies that have fallen by the way and not being used.

Respondents showed a very low likelihood to lodge a complaint about services. However this does not mean that complaints management system is not needed. There needs to be proper channels for citizens to lodge their complaints. They must be documented, documented and archived electronically for easy retrieval when the need arises. This may ease or lessen the need to go to the streets and protest provided that the complaints management system work efficiently or at agreed service levels. Proper complaints management system will ensure that citizens know where to go when they are not satisfied with a particular service. Complementary to that the complaints record management that will be created. This will help in understanding the types of complains being logged and in future will be useful to understand what types of problems need what kind of remedies.

The respondents alluded to the fact that they are not knowledgeable of the local government structures in their environment. Coupled with enhanced communication mechanism and dissemination, visually local government functions need to be well documented, visually displayed and be available to the public to consume. The community need to understand the hierarchy structures of their ward without having to go at extreme lengths. Similarly how the identities of municipal candidates are communicated before elections, it would be beneficial for the elected candidates and some infographics to be displayed within the community so that the citizens have some understanding of who is in charge for their wards and municipality. This will be beneficial to see across and not only during election time.

The emergence of the Covid 19 pandemic and related lockdowns during the study period prevented a full testing and validation of the instrument / tool that was developed in a larger representative sample. It is recommended that this is done when conditions allow.

In closing the recommendation section, it is worth noting that the respondents lacked the understanding of monitoring and evaluation systems within the local government sphere. This is also in line with the lack of information and how the structures function. There seems to be a lack of information that reaches the masses. It is with utmost necessity to mention that complimentary to all the information available from various sources/media, the community feels that local government falls short to utilizing these medium to disseminate pertinent information about their communities. This is ultimately something that local government needs to look at going forward, utilizing as many mediums of communication using understandable language of the community at all times.

6.3 FUTURE RESEARCH

The respondents from different areas expressed how communication is disseminated. Prominent places like suburbs are using latest technology to communicate ward and municipality matters. The recommendation here is for future research to study various areas to ascertain which method works well. However with the technological challenges, it is recommended that a blended method of communication be used all round. This is to say that both manual and automated methods be used regardless. Members of the community will choose for themselves. An example of this methodology would be to put important communication into postal mail or flyers that is delivered to households but also send short messages (SMSs) or whatsapp messages to community members with important messages that are easily understandable in their native language.

6.4 CONCLUSION

Service delivery and related protests are a problem in South Africa. After exploring the literature, secondary sources and the findings of the research we can say that the nature of service delivery protests in South Africa is problematic and damaging to property. The literature review is strongly corroborated by the findings of the study. There is lack of employment opportunities, good education and health, housing and in some cases there is too much political interference that stifles the good progress already done. Therefore the main research question was adequately answered and a tool was developed to monitor and measure service delivery protests. It is noteworthy to mention that the tool can be enhanced further for future use.

In conclusion the theoretical insights generated include the mechanisms with which connected literature, secondary sources and the findings that painted a clear picture about the nature and the characteristics of service delivery in South Africa and what makes them problematic. This research generated further questions that need to be explored further in future studies. Further research needs to concentrate on each service domain in detail so that it can enhance the service delivery tool to monitor and measure service delivery. This will help delve deeper and provide meaningful insights per domain so as remedy actions can be applied accordingly.

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8. APPENDIX A – RESEARCH DOCUMENTS

8.1. CONSENT FORM

Good Day Citizen

My name is S'ngaye Mkhize (MKHCHR006), an MPhil Student at the University of Cape Town - Graduate Business School. I am conducting research on the nature of service delivery and its related protests which has been cleared by the Faculty of Commerce with reference number REC 2019/000/058.

Background

Service delivery protests in South Africa have become a widespread occurrence in recent years. These social protests stem from politics, food prices, poor educational systems, health systems and other factors. Delivery of services is supposed to be measured by the service providers and those receiving services by means of performance management for the service providers and customer feedback from the receivers of services.

The aims and objectives of this research are to understand the problem of politicised service delivery protests in South Africa in detail and, applying social innovation principles and techniques, to solve the research problems identified.

The survey will take 5-10 minutes to complete.

Confidentiality

Participation in this study is voluntary. All information will remain confidential. The findings will be used for this study only and at no time will your name or any other identification be used in any form. You are at liberty to withdraw your participation to the study and discontinue participation at any time without prejudice.



8.2. ETHICS APPROVAL

8.2.1. ETHICS APPROVAL – INITIAL



Faculty of Commerce

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UCT Commerce Faculty Office

21st June 2019

Mr Christopher Phumlani
Mkhize
Graduate School of Business
University of Cape Town

Dear Mr Mkhize

REF: REC 2019/000/058

A STAKEHOLDER ACCEPTED TOOL FOR MONITORING AND MEASURING SERVICE DELIVERY

We are pleased to inform you that your ethics application has been approved. Unless otherwise specified this ethical clearance is valid for 1 year and may be renewed upon application.

Please be aware that you need to notify the Ethics Committee immediately should any aspect of your study regarding the engagement with participants as approved in this application, change. This may include aspects such as changes to the research design, questionnaires, or choice of participants.

The ongoing ethical conduct throughout the duration of the study remains the responsibility of the principal investigator.

We wish you well for your research.

Shandre Swain
Administrative Assistant
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8.2.2. ETHICS APPROVAL - EXTENSION



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UCT Commerce Faculty Office

26th June 2020

Mr Christopher Phumlani
Mkhize
Graduate School of Business
University of Cape Town

Dear Mr Mkhize

REF: REC 2020/006/001

A STAKEHOLDER ACCEPTED TOOL FOR MONITORING AND MEASURING SERVICE DELIVERY

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8.3. ONLINE QUESTIONNAIRE

8.3.1. DEMOGRAPHICS

What is your age?	18 - 34	35 - 44	45 - 55	55 - 65	Over 56			
What is your gender?	Male	Female						
What is your ethnicity?	Black	Coloured	Indian	White	Other			
What is your home language?	9 SA Languages							
Which province do you reside in?	9 SA Provinces							
What kind of area do you currently reside in?	CBD	Suburb	Township	Informal Settlement	Rural	Other		
What is your highest level of education?	No Schooling	Primary School	High School	Diploma	Post-Graduate	Other		
What is your main source of income? (you may select more than one)	Formal Employment	Informal	Grant Recipient	Self-Employed	Pension	Unemployed	Volunteer	Other
In what capacity are you a stakeholder in service delivery?	Academic	Consultant	Councillor	Municipal Official	Community Member	Community Leader	Media	Other

8.3.2. MUNICIPALITY/WARD KNOWLEDGE

Do you know the mayor of your municipality (City or Town)?	Yes	No				
Do you know the councillor of your ward?	Yes	No				
I am well informed and participate fully in matters of my municipality.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	
I am well informed and participate fully in matters of my ward.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	
How far is your community from the municipality offices?	0 - 1km	1 - 5km	5 - 10km	10 - 15km	more than 15km	Not sure
Local Government/Municipality is an effective vehicle for public participation and involvement in matters of their local government.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	
Wards are an effective vehicle for public participation and involvement in matters of their local government.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	
Service delivery protests are genuine community protests resulting from poor, slow and unsatisfactory service delivery by government.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	

8.3.3. SERVICE DELIVERY PROTEST TRIGGERS

Have you ever logged a complaint with your municipality or ward?	Yes	No						
If yes, please describe the complaint.								
Have you ever participated in a protest?	Yes	No						
If you selected yes on the previous section, please describe what the protest was about.								
In your opinion, what is/are the cause(s) of a protests by the communities? (tick all that apply)	Service Delivery	Politics	Unemployment	Corruption	Crime	Other		
If you selected OTHER on the previous section, please briefly describe.								
In your opinion, in which service domain do service delivery protests occur frequently? (tick all that apply)	Housing	Health	Education	Water & Sanitation	Unemployment	Crime	Other Government Services	Other
What do you think make(s) service delivery protests problematic? (tick all that apply)	Damage to Property	Community Disruption	Violence	Politics	Not Problematic	Other		
If selected other in the previous question, please elaborate.								
In the last few years, how would you rate the frequency or the extent of the South African Service Delivery protest?	Less Frequent		Neutral		More Frequent			
What would you say are the triggers of Service Delivery Protests? (tick all that apply)	Non-Provision of Services	Quality of Services	Access to Services Provided	Unfinished/Incomplete Provision of Services	Corruption	Unemployment	Crime Levels	Other
Certain political parties are involved in instigating protests in order to fulfil their own hidden agenda.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree			
Certain criminals are involved in instigating protests in order to fulfil their own hidden agenda.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree			
Municipalities are not working well, that's why government cannot deliver services to the communities in an effective and efficient manner.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree			
Wards are not working well, that's why municipalities cannot deliver services to the communities in an effective and efficient manner.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree			
Service Providers (Contractors, Private Companies, Individuals, etc.) providing services to the community are not penalised nor held accountable for non-completion of delivering of services.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree			
The legislative environment governing South African Municipalities is so complex and burdensome that it stifles service delivery to the communities.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree			
Public participation and consultation are lacking in Municipalities/Ward.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree			
Communities are knowledgeable about how the municipality/local government function as far as service delivery is concerned.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree			
What do you think is the cause of the information and knowledge gap amongst citizens?								

8.3.4. MEASURING AND MONITORING

In your opinion, to what extent do people in your area (Municipality/Ward) participate in public consultations.	No Participation		Neutral		Full Participation		
Please elaborate on the answer above, about public participation in your community.							
Are you aware of NGO's and/or NPO's and other community-based organisations working to improve delivery of services in your area?	Yes	No					
Would you work with an NGO/NPO or other community-based organisations to improve delivery of services?	Yes	No					
Do you think Service Providers are properly measured, monitored and evaluated for the services delivered to the public and communities?	Yes	No	Not Sure				
Who should be held accountable for non-delivery or non-provision of services? (tick all that apply)	Ward Councillor	Municipality	NGO	Community	Political Party	Service Providers	Other
Services provided to the community are appropriate for community needs.	Never	Seldom	Neutral	Often	Always		
Services needed by the public/community are provided on time.	Never	Seldom	Neutral	Often	Always		
In your opinion, which service sector needs MOST urgent attention from the authorities e.g. government/municipality? (Please select one)	Housing	Health	Education	Water & Sanitation	Unemployment	Crime	Other
How would you rate the overall provision of appropriate services in your community (extent)?	Worst	Bad	Neutral	Better	Best		
How would you rate the overall quality of services delivered in your community (quality)?	Worst	Bad	Neutral	Better	Best		
How would you rate political interference in service provision and delivery in your community (Politics)?	No Interference	Less Interference	Neutral	More Interference	Excessive Interference		
Do you think structured community consultation and public participation will add value in delivery of services needed by the community?	Yes	No	Maybe				
Please elaborate on community consultation and public participation.							
Are you aware of, and/or involved, of any system of auditing services, e.g. social auditing?	Yes	No					
Please, elaborate on your answer above.							
Do you have any other comments concerning service delivery?							

8.4. DATA SORTING ANALYSIS AND CODING

8.4.1. COMPLAINTS

	Reason
Corruption	Corruption
a defective streetlight in my area.	Electricity
Services	General Services
Inaccurate meter readings	Incorrect Billing
Incorrect billing	Incorrect Billing
Electricity was consistently overcharged	Incorrect Billing
About the high rate of water and electricity and bins not collected	Incorrect Billing
Ward 38 has not received garbage disposal bags from November 2019 to date, resulting in those that cannot afford to buy them like myself throwing garbage with retail small plastic bags that dogs can drag down the streets.	Refuse Removal
Not cutting of grass which was increasing criminal activity	Refuse Removal
No removal of refuse from our premises	Refuse Removal
There are traffic lights that have not been working for 3months. Making it difficult to enter the main road and also causing a few accidents	Roads
Road intersection that was misleading and caused accidents.	Roads
Potholes in my area	Roads
Leaking water meter	Water
Lack of water and sewerage in certain areas of city	Water and Sewerage
This was about my house boundary and the my little deads. Also lodged a complain about water which we still dont have water that runs into our home. We have to fetch it from the street standpipe	Water Services
Poor water supply and dusty broken roads	Water Supply

8.4.2. AUDITING SYSTEMS

	Analysis 1	Analysis 2
KPMG were supposed to audit at least the financial side, but it failed in many areas. Use technology to audit performance at individual service provider level, and let the community know who are at mistake (social shaming) and use incentives to incentivise them to deliver better service.	Audit Firms	
All I can say is there must be auditing done as that will keep people accountable.	Audit Firms	
I have idea how that works	Aware	
we have a ward committee system which in some way hold councillors accountable.	Committee System	Involved
There are municipal audits conducted periodically	Municipality Audits	
The municipality does its own thing	Municipality Audits	
Not made privy to such information	Not Aware	
There appears to be no social auditing in my city	Not Aware	
besides the STATS SA, i have never heard of such	Not Aware	
I am not aware of any	Not Aware	
I don't know anything in my community regarding that	Not Aware	
I'm new in the province	Not Aware	
I know nothing	Not Aware	
I'm generally neutral and uninvolved.	Not Aware	Not Involved
I have no idea that there is such think in our area	Not Aware	
Never heard of it	Not Aware	
I am not aware of any.	Not Aware	
I have never heard of social auditing in my community.	Not Aware	
I am not aware	Not Aware	
I have never had of this process	Not Aware	
Not aware of such.	Not Aware	
I am not aware nor involved	Not Aware	Not Involved
I am not aware nor involved	Not Aware	Not Involved
Not aware	Not Aware	
Never heard of any audits taking place in the area	Not Aware	
Not involved no knowledge about the option	Not Aware	Not Involved
Not informed	Not Aware	
Have never thought of it before.	Not Aware	
I am working a 7 to 4 job so I am not participating	Not Aware	Not Involved
I don't know	Not Aware	
Never heard of it here	Not Aware	
I'm only aware of SCOPA.	SCOPA	
I'm not involved		Not Involved
Not involved		Not Involved

8.4.3. SERVICE DELIVERY

Theme	Theme2
Efficient and effective services yields happy communities who are always willing to assist the municipality. The absence of good service delivery yields unhappy communities who are willing to protest and de-stabilize the municipality.	Accountability
People who deliver services need to be held accountable for it appropriately.	Accountability
Service delivery has unfortunately been obscured and diluted by the process and the system that government has adopted in providing the required services, tendering process. This process cuts out accountability, service providers are more worried about what they can earn ("quick buck"), but they are not worried about the service that they need to deliver in the community.	Accountability
People must be held accountable for non delivery. Salaried should be paid based on quality service and performance	Accountability
A debriefing process should be held periodically for public service holders to enable them are that there's accountability and files kept for record purposes	Accountability
If NP did the best for white people in their 48 years of service when will ANC start for African people. Why is there no accountability within our government system?	Accountability
Very poor services needs to be fined and charged for not delivering the best of quality they charged so high amount of money for	Accountability
If we are paying taxes can we get services please	Accountability
It's perfect in suburban areas compared to townships.	Area Based
It is area-based.	Area Based
Those in charge must stop using people to fulfil their selfish desires once they got to the office of government. They must continually appear in the community like they do when they looking for votes.	Consistency
Corruption sucks off at least a third of the operational budget. This added to over-employment within the municipality severley limits service delivery among all departments to the poor. It is heartbreaking.	Corruption
Municipalities should employ people who are knowledgeable in community development and municipality procedures	Hire Skilled Professionals
There's need for improvement in the service delivery in our communities	Improvement Needed
More service delivery needs to be prioritised in the worst affected areas.	Improvement Needed
Government must really try harder when it comes to delivering services to certain areas. There are people still without the basics (water and sanitation) and its really unfair for those communities.	Improvement Needed Improvement of Services
Proper education of the community on who to hold accountable and who to lay complaints to.	Public Education
People needs to be informed and consulted. Ward counsellors need to ensure that the needs of the community are met. Even a fraction of them will go a long way.	Public Education Consultation
Yes. If the councilor and the Municipality can work and involve the community in everything that needs to be done, at least the service delivery will be to the best of the community	Public Education Consultation
Much more use of technology is needed to aid in service delivery and public participation.	Public Education Technology
It is in a total collapse	Total Collapse
I would love to see community newspapers committed to reporting unbiasedly about protests in and around their community.	Unbias Reporting

8.4.4. PROS – CONS OF PUBLIC PARTICIPATION

	Analysis 1	Analysis 2	Analysis 3
Better action	Good	Better Action	
It will bring awareness more	Good	Community Awareness	
Engagements should take place (not only when its voting time) with the community to find out where the concerns are and get the community to own some of the solutions they are looking for. Unemployment rates are high, I do believe people will be willing to help working with government if it becomes a partnership.	Good	Community Awareness	Community Involvement
Neighborhood and community meetings	Good	Community Awareness	Community Involvement
The more community knows about projects the more empowered they will be to participate	Good	Community Awareness	Community Involvement
Get the community part of the process of delivering public services	Good	Community Involvement	
Ensures that everyone in the community is engaged.	Good	Community Involvement	
Community members know better than anyone the needs of their areas. It is therefore imperative that they are consulted and they also need to ensure that they participate so that they can be able to hold people accountable	Good	Community Involvement	Promotes Accountability
The should just be communication with the community which there isn't at the moment, that will make a huge difference	Good	Community Involvement	
If the community is well informed about whatever have to be done for them, atleast it will be given an opportunity to raise what's more important and the best for them	Good	Community Involvement	More Information
In short, let the community decide on the kind of service they need and want for their respective community.	Good	Community Involvement	
It's important to keep service delivery in order for your community not to protest.	Good	Community Involvement	
People need to get involved because they will be affected by the decisions taken	Good	Community Involvement	
Public consultation on issues affecting them and how the community suggest the issues be resolved	Good	Community Involvement	
There should be communication lines between community and authorities, that could make authorities accountable knowing they answer to specific people, other than us nobodies but a number.	Good	Community Involvement	Governance
The public should have ownership in the process while participation should be encouraged at very all times with transparency.	Good	Community Involvement	Governance
They should always consult with the members of the community because they are the ones who exactly know what do they require - what, when, why and how...	Good	Community Involvement	Governance
Involvement of all community stakeholders	Good	Community Involvement	
If they involve the public it will work	Good	Community Involvement	Governance
Find Effective channels for communicating with our ward councillor	Good	Effective Communication Channels	
Would help fine tune services to need of community	Good	Fine Tune	
The budget needs to be split up so that each ward gets an allocation which it can spend on the needs of each particular ward through the public participation process	Good	Fine Tune	
Introduce KPIs and monitoring systems to measure service delivery and hold those responsible accountable. Use new digital means to facilitate public consultation but at the same time do not exclude households that does not have money for devices and data or who are in rural areas with poor connectivity.	Good	Fine Tune	Governance
Of course, a pre-consultation, introducing of selected service providers and why (in terms of their skills), stating expected time frames and possible outcomes, quality checks within the duration of a project by both community and municipality. There is always more that can be done.	Good	Fine Tune	Governance
Not really. Government seems to be functional in suburban areas.	Good	Functional	
Impactful meetings which address burning issues within the community (not frivolous talk that could be communicated through email)	Good	Impact	
More ward meetings, information sessions etc	Good	More Information	
Yes engagement will assist the Municipality to identify the needs of the community.	Good	Needs Identification	
The needs of the people will be known.	Good	Needs Identification	
People will raise concerns and municipalities will be accountable to resolve them	Good	Needs Identification	
The needs of the people will be known.	Good	Needs Identification	
The more involved the community is in, positive changes may apply	Good	Needs Identification	Community Involvement
It's the community that knows its needs and it should be consulted	Good	Needs Identification	
They can get the jinks of what is needed and what community is struggling with	Good	Needs Identification	
Appropriate service delivery will be due to the right people	Good	Needs Met	
Appropriate service delivery will be due to the right people	Good	Needs Met	
The community will be able to hold the suppliers accountable	Good	Promotes Accountability	
It should be structured and the institution must have the appetite and passion to empower the communities.	Good	Structured	
Structured consultation lead to knowledge and that knowledge will help the community to know what they are entitled to and how that is going to be attained.	Good	Structured	
I'm saying maybe because at the end of the day whether the consultations occur or not if there are no funds for the service to be delivered there will always be an issue with service delivery. the main cause of poor service delivery is misuse of funding (corruption) so until that is dealt with accordingly in South Africa service delivery will continue to be poor to medium.	Good	Structured	Governance
it will make the community aware of the municipal plans as well as get a buy in from the community. the community will have a sense of ownership to the development of their area of residence	Good	Structured	Community Involvement
There is too much of a gap between the community and the people who have the power to make a change	Good	Structured	Decrease Gap
If the community needs are met and proper channels of service delivery are adhere to without any interference so much could be achieved.	Good	Structured	Governance
Not frequently done if done at all.	Poor		
The issue is with service providers and gvt employees	Good		Governance

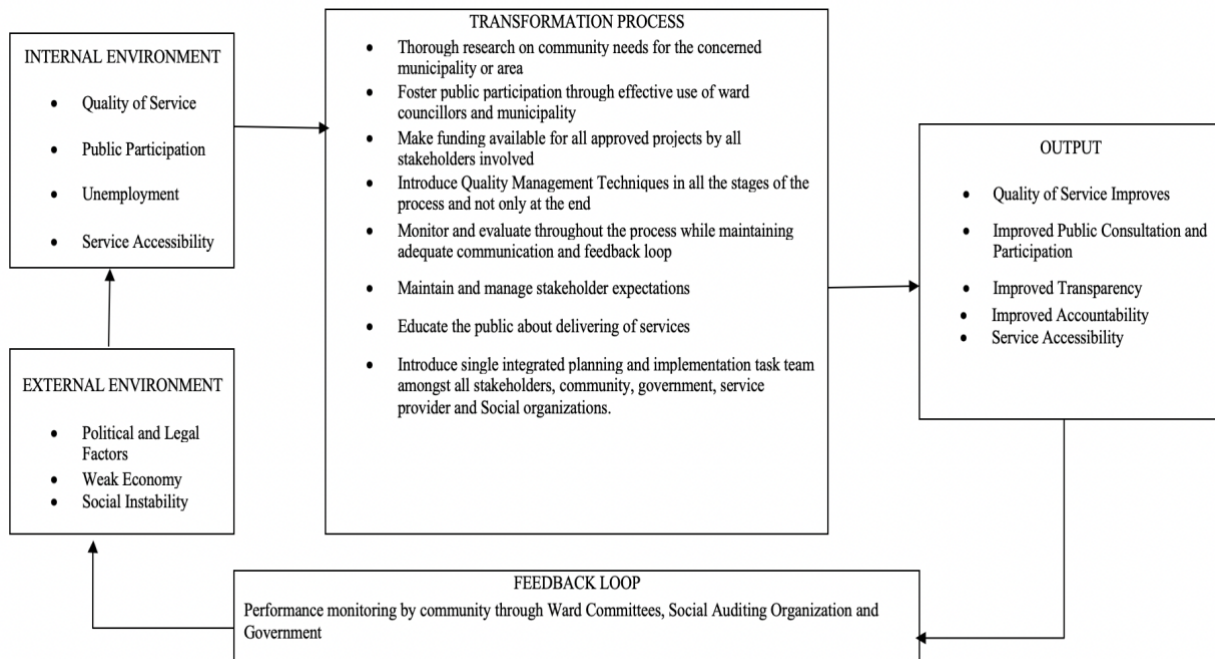
8.4.5. PUBLIC CONSULTATION AND PARTICIPATION

	Analysis	Method of communication	Analysis 2
Active on WhatsApp groups, attend some meetings of specific interest but not all	Active	Whatsapp Group	
In my ward people are discouraged thus less enthusiastic to participate in community meetings called by the councillor. This is due to the fact that little has been done to improve the lives of the people in the ward	Active	Community Meetings	Discouraged
Community is involved and united in ensuring service delivery.	Active		Active
The community came together and formed a Policing Forum that has a roster for neighborhood watch party and crime has since dropped. Local SAPS does frequent drives through the neighborhood and people report when they see suspicious car or people.	Active	Policing Forum	
We have community and neighborhood meetings	Active		
I think they are certain people that are active	Active		Not Affected
I think they are certain people that are active	Active		Not Affected
They do participate a lot	Active		
Meetings are called to the community hall, mostly its white people who go. Black people in suburbs don't participate as they don't believe anything will change.	Active		Polarized
They don't get involved enough in my opinion	Active		Less Involvement
I think public participation is very limited. Everyone is looking at their own interests, no one really cares up until the issue affects them directly	Limited		Reactive
I personally am unaware of public participation by my community members with our Ward, but that does not mean that communication does not exist.	Limited		Not Aware
Participation can be better	Moderate		Could be better
Public consultation forums are not communicated timeously.	Moderate		
I think its balanced. In the suburbs some resident are keen on getting involved then there are some who are not bothered.	Moderate		Mixed
There is limited consultation	Moderate		Limited Consultation
There are a few active community members	Moderate		
Party meetings seem to be the most prevalent method of informing and getting participation, but these are obviously biased and seldom productive	Moderate	Party Meetings	Prominent
Most people in my area are labour tenants so they are only here for work and service in our area are running accordingly	Moderate		All Functional
Participate in elections, engage in community organisations which helps the poor.	Moderate		
I'm not sure of the participation involvement.	Moderate		Neither/Nor
People where I live only get concerned when there security issues	Moderate		Reactive
These are usually posted only in community newspapers. Some people access news online.	Moderate	Community Newspapers	
There is no public hearing conducted in my ward, it is mostly occupied by the working class. The community of my ward care more about their house hold and well-being, not about what is happening at next door.	Non-existent		Not Affected
there are no public consultations in my area	Non-existent		Not Affected
I have never heard or seen any public participation	Non-existent		
Especially in housing sector most people are looking for shelter so they will do whatever it takes to participate in the community	Non-existent		Interested
The community is too divided to be affective	Non-existent		Divisions
its non-existent	Non-existent		
I have not seen any consultations between the government and the community here. Perhaps because everything seems functional here and the response is generally quick.	Non-existent		All Functional
The Municipality does not consult us with the issues that involve us to the extent that we don't even have progress	Non-existent		No Progress
There are no meetings being called nothing.	Non-existent		
15 years in the same ward we never had a community meeting	Non-existent		
I've been under this municipality for over 8 years yet I have never heard of community meetings nor have I received and written communication. I don't know who the ward councillor is.	Non-existent		
Lack of communication from municipalities regarding this platform.	Non-existent		
Living in a suburb, every one keeps to themselves. No one really engages in matters of community.	Non-existent		Not Affected
I think people in general are not informed	Not Informed		
People are passive because of empty promises	Poor		Discouraged
Out of a population of about 100 000 people, less than 2000 people attend the annual IDP meetings. This is very poor.	Poor		
People stay behind closed doors for things which do not affect them directly.	Poor		Not Affected
I have not seen nor heard of a call out to a public consultation meeting in the past 7 years.	Poor		Non-existent
I don't think they're aware that they have a say	Poor		Not Aware
People have given up on our ears councillor and non delivery so chose not to be involved in meeting even though they seldom take place	Poor		Discouraged
Very less or not at all these participations are waste of time ...	Poor		
Only in protests. No procrime work prior	Poor	Protest	

8.4.6. COMMUNICATION AND INFORMATION GAPS

	Theme	Theme2	Theme3
The complexity of local government is not always understood. Thus there are demands but how to pay for the provision of those demands is seldom discussed.	Complex Laws		
Corruption	Corruption		
Illiteracy, ignorance and corruption	Corruption	Ignorance	Illiteracy
Looting and corruption	Corruption		
I would say it is because of corruption	Corruption		
Not being included in decision making. They need to be involved in decisions about their communities. They also need to be involved in a manner that will empower them. This could be done through, employing people from the same community where they (government) render services.	Exclusion	No Empowerment	
Lack of access	Information inaccessibility		
Lack of desire to know. No widespread information	Lack of Knowledge	No Interest	
Lack of education citizens about services	Lack of Knowledge		
Misinformation from social media and large media companies; Poor educational system; Incomplete understanding of the roles of the different machinery and participants of government and economic development.	Misinformation	Fake News	
People are less informed.	Misinformation		
Usually people don't know how the information they have can translate to effecting change.	Misinformation	Lack of Knowledge	Power
Non-transparency and lack of knowledge	No Transparency	Lack of Knowledge	
Unaccountable ward councillors, inaccurate media coverage, fake news	No Accountability	Fake News	Inaccurate News Coverage
South Africa has excellent legislation as far as public participation is concerned. However, municipalities, as the sphere closest to the people are not geared to roll out proper policies and undertake proper public participation to their communities. Many municipalities are dysfunctional and others simply do things to tick a box and comply. They lack the passion and drive to really get the people informed and involved in municipal business.	No Accountability		
Those in charge are more about warming their office seats than going to the citizens and make them aware of their services and availability.	No Accountability		
Selfishness, high corruption, negligence, non-compliant and no accountability.	No Accountability	Negligence	Corruption
By keeping the masses uninformed, there is a greater opportunity to mislead the public and dismiss any form of accountability.	No Accountability	Mislead	
Ignorance, no communication, corruption	No Communication		
There's simply no communication between the local government and the citizens	No Communication		
There's no communication between government and community members. We're worlds apart	No Communication		
Breakdown in communication	No Communication	Communication Breakdown	
Lack of communication	No Communication		
Lack of communication and commitment from the municipalities	No Communication		
Communication	No Communication		
Communities are not well informed.	No Communication		
No communication about processes. No transparency. Corruption	No Communication	No Transparency	Corruption
No communication about processes. No transparency. Corruption	No Communication	No Transparency	Corruption
No communication	No Communication		
In totality the interest of the people is not considered	No Consideration		
Education	No Education		
Lack of education on proper channels to lay a service complaint	No Education		
Government not doing enough to educate communities on how local government work and what part the citizens need to play.	No Education	Lack of Knowledge	
Stem from not being informed of their right, budget for services in the wards	No Education		
No one spends time to educate the community	No Education		
Insufficient education on the role each plays which could be contributed to non accountability for non delivery	No Education	No Accountability	
Lack of education	No Education		
Education, lack of organized community representatives	No Education	Non-organization	
The government is not making efforts to disseminate that knowledge to the citizens	No Efforts		
The citizens have no interest on the decisions taken, the government makes very little effort to consult and educate the citizens on their function, structures and development plans.	No Efforts	No Interest	
Local Gov doesn't engage regularly with communities. If they do, the platforms used are not effective. They need to look at other communication channels.	No Engagement	Ineffective	
Not enough information or consultation	No information		
Lack of a way to properly understand the information	No Processes		
Lack of openness and transparency from the role players and decision makers	No Transparency		
minimal communication and lack of transparency	No Transparency		
Information is not transparent as part to further the corruption that already exist in the public sector	No Transparency	Fake News	Misinformation
Some people choose not to get involved	Not Involved		
Poor communication from the government.	Poor Communication		
Poverty	Poverty		
In my opinion communities are well informed of policies that have to do with them. Most communities are cluster zoned and therefore information is shared in the same manner, within those clustered groups. In terms of service providers, one can argue that there might be a skills gap that need to be addressed, as some of these service providers at times leave our communities worse off due to an unfinished or dangerous projects.	Skills Gap	No Accountability	

9.1 DEVELOPING A DRAFT SERVICE DELIVERY MONITORING TOOL FRAMEWORK



Adapted from Dye 1987

9.2 CONSENT FORM

Dear Reviewer / Dear Stakeholder

My name is S'ngaye Mkhize (MKHCHR006), an MPhil Student at the University of Cape Town - Graduate Business School. I am conducting research on the nature of service delivery and its related protests which has been cleared by the Faculty of Commerce with reference number REC 2019/000/058 (**attached**).

May I please ask that you **REVIEW** this [DRAFT SERVICE DELIVERY AUDIT TOOL](#) or the **attached manual form** at least by Friday the 22nd of January 2021. Please send the manual forms back to smkhize5@gmail.com. Below is the background of the study.

1. Background to the Tool

While unhappiness with poor and/or unsatisfactory service delivery is an international phenomenon, in post-independence South Africa unhappiness leading to violent protests by communities and sometimes damage to community / public property has become frequent and endemic.

My research, as part of my postgraduate studies in Inclusive Innovation at the University of Cape Town has led me to look at:

- the possible causes, extent, nature, frequency and potential implications of unmanaged poor service delivery in South Africa (including the high costs of violent protests)
- the “hijacking” or re-purposing of potential but directionless / not clearly articulated sources of community service delivery dissatisfaction by political parties and other players e.g., criminal gangs for their own purposes
- how international researchers view service delivery, community responses and how lack of satisfaction is perceived and addressed
- how (drawing lessons from traditional financial auditing) **stakeholder inclusive, innovation models, participative processes and tools can be employed to**
 - confirm the legitimacy of community needs and sources of dissatisfaction
 - monitor and evaluate service delivery on an ongoing basis
 - hold service providers and local government accountable
 - increase a sense of involvement and “being heard” and reduce alienation and frustration in the community

2. The DRAFT TOOL

The attached tool is based on the research referred to in **1 above**. It is designed to ideally be used by **inclusive groups of stakeholders in a particular service** but may also be used by external consultants, service delivery failure investigators, service providers and municipalities to self-monitor, community leaders to involve and educate communities, media, journalists and protest monitors

The tool, in its current form, is **GENERIC**, in other words it does not specifically refer to any domain (e.g., Housing, Water and Sanitation, Electricity etc.). Each of these service domains are specific and have their own criteria. An addendum referring to the specific domain under consideration will be added each time the tool is used. **You are being asked to review the generic tool and not specifically answer the questions.**

3. MY REQUEST IN THIS REVIEW

I am requesting you to spend 15-20 minutes of your time to review the tool, commenting at the end of each section and adding what you believe I may have left out.

4. INFORMED CONSENT

Your data will be treated as confidential and will only be used for this study only.

Please kindly forward this review request to any knowledgeable stakeholder whom you feel might make give useful feedback.

Kind Regards

S'ngaye Mkhize

9.3 DEVELOPING A DRAFT SERVICE DELIVERY MONITORING TOOL

This is a draft service delivery monitoring tool developed from the initial data collection. The Final tool is presented on the next section. The draft tool was fine-tuned by using comments from the reviewers on the second stage of the research process.

DRAFT SERVICE DELIVERY AUDIT TOOL			
(Generic: Any Domain)			
Name of Auditor/Assessor		Date of Audit	
Capacity/Designation of Auditor/Assessor		Place of Audit	
Name of the Municipality		Ward No.	

Instructions to the Auditors/Reviewers

1. Please provide an honest assessment of the specific service delivery problem.
2. Where more than one option is given choose the most appropriate one.
3. In certain questions, you may choose more than one option. (This will be made clear)

Level of Control (Select 1 Option)	Service Domain (Select 1 Option)	Reason for Audit (Select All that apply)	Participants in this Audit (Select All that Apply)
National ☐	Education ☐	Periodic Audit ☐	External Consultants ☐
Provincial ☐	Electricity ☐	Political Party Request/Complain ☐	Political Party Representative ☐
Municipal ☐	Health ☐	Citizen Complaint ☐	Municipality Representative ☐
Ward ☐	Housing ☐	Threat of Protests ☐	Community Representative ☐
Private Supplier ☐	Local Services including more than one domain ☐	At least one protest ☐	Other (please specify) ☐
Other (please specify) ☐	Safety and Security ☐	Other (please specify) ☐	
	Transport ☐		
	Water and Sanitation ☐		
	Other (please specify) ☐		

Reviewer Comment:

A - Municipality/Ward Knowledge		
A 1	Do the public know who their Municipal/Ward representatives are?	
A 2	Do the public know their Municipal Manager or his/her representative?	
A 3	Is there a regular process for consulting or communicating with the municipal manager and/or his representative?	
A 4	Do ward representatives have regular or scheduled ward meetings?	
A 5	Additional Comments by the audit participant/panel	

Reviewer Comment:

B - Public Consultation and Public Participation		
B 1	Was the need for this service determined in consultation with the users/public or their representatives?	☐ YES ☐ NO ☐ Not Applicable
B 2	Did the public or their representatives participate in determining acceptable minimum service delivery standards?	☐ YES ☐ NO ☐ Not Applicable
B 4	Did the public or their representatives have any input in developing a process and criteria for selecting the service provider?	☐ YES ☐ NO ☐ Not Applicable
B 5	Additional Comments by the audit participant/panel	

Reviewer Comment:

C - Information and Knowledge Gaps [Communication and Information Dissemination]		
C 1	Was communication and information disseminated by using locally understandable languages?	☐ YES ☐ NO ☐ Not Applicable
C 2	Was communication and information disseminated using accessible community channels?	☐ YES ☐ NO ☐ Not Applicable
C 3	Has any feedback about public satisfaction with the service been collected using understandable methods?	☐ YES ☐ NO ☐ Not Applicable
C 4	Additional Comments by the audit participant/panel	

Reviewer Comment:

D - Complaints		
D 1	Are there accessible channels for the public to lodge complaints about this service?	☐ YES ☐ NO ☐ Not Applicable
D 2	Is there a dedicated manager from the service provider who contacts the public and easily be contacted	☐ YES ☐ NO ☐ Not Applicable
D 3	Is there a publicly known turnaround time for response to complaints?	☐ YES ☐ NO ☐ Not Applicable
D 4	Is there a publicly available record of complaints about the service and how they were concluded?	☐ YES ☐ NO ☐ Not Applicable
D 5	Additional Comments by the audit participant/panel	

Reviewer Comment:

E - Service Delivery Measurements		
E 1	Is there a set of publicly communicated set of standards to measure the delivery of this service?	☐ YES ☐ NO ☐ Not Applicable
E 2	Was the service delivered on time?	☐ YES ☐ NO ☐ Not Applicable
E 3	Was the service delivered in the agreed quantity?	☐ YES ☐ NO ☐ Not Applicable
E 4	Was the service delivered in the agreed quality standard?	☐ YES ☐ NO ☐ Not Applicable
E 5	Additional Comments by the audit participant/panel	

Reviewer Comment:

F - Monitoring and Evaluation		
F 1	Was the service implemented according to expectations and the agreed plan?	☐ YES ☐ NO ☐ Not Applicable
F 2	Did the service meet the required standards of quantity and quality?	☐ YES ☐ NO ☐ Not Applicable
F 3	Can the reasons for the success or failure of the intervention be assessed?	☐ YES ☐ NO ☐ Not Applicable
F 4	Does the service or project have any Medium to long term impact for the community?	☐ YES ☐ NO ☐ Not Applicable
F 5	Does the service or project have any negative long term impact for the community?	☐ YES ☐ NO ☐ Not Applicable
F 6	Additional Comments by the audit participant/panel	

Reviewer Comment:

G - Auditing Systems		
G 1	Do participative structures and processes exist for the public or their representatives to audit the delivery and quality of services?	☐ YES ☐ NO ☐ Not Applicable
G 2	Are there generally accepted standards by which the services can be audited, monitored and evaluated with the public	☐ YES ☐ NO ☐ Not Applicable
G 3	Additional Comments by the audit participant/panel	

Reviewer Comment:

H - Accountability and Consequence Management		
H 1	Is there a responsible representative (Accounting Officer, Municipal Official, Service Provider Executive) who has legal	☐ YES ☐ NO ☐ Not Applicable
H 2	Is there any legal entity that can be held accountable for the provision of this service?	☐ YES ☐ NO ☐ Not Applicable
H 3	Has anyone/any entity ever been held legally accountable and liable for the substandard provision of services in this municipality/ward?	☐ YES ☐ NO ☐ Not Applicable
H 4	Additional Comments by the audit participant/panel	

Reviewer Comment:

I - Other Possible Service Delivery Unhappiness/ Agitation or Protest Triggers		
Bearing in mind the issues raised above:		
I 1	Is this a genuine poor service delivery issue?	☐ YES ☐ NO ☐ Not Applicable
I 2	Is the unhappiness/ Agitation/ Protest triggered because of contestation among political parties?	☐ YES ☐ NO ☐ Not Applicable
I 3	Is the unhappiness/ Agitation/ Protest triggered or worsened by re-purposing/ hijacking by criminally-motivating elements?	☐ YES ☐ NO ☐ Not Applicable
I 4	Additional Comments by the audit participant/panel	

Reviewer Comment:

J - Corrective Recommendation and their Speedy Implementation		
J 1	Have clear recommendations been made to correct the lack of/inadequate service delivery for this service in the past?	☐ YES ☐ NO ☐ Not Applicable
J 2	Were the recommended corrections implemented?	☐ YES ☐ NO ☐ Not Applicable
J 3	Is there an accountable manager/service provider responsible for implementing these corrective recommendations?	☐ YES ☐ NO ☐ Not Applicable
J 4	Additional Comments by the audit participant/panel	

Reviewer Comment:

K - Reasons for not implementing Recommended Changes		
K 1	Has an evaluation/audit (similar to this) been conducted and corrective recommendations implemented?	☐ YES ☐ NO ☐ Not Applicable
K 2	In your opinion, what are the main reasons for not implementing recommendations? Answer questions below.	
K 2.1	of authority by project/service managers	☐ YES ☐ NO ☐ Not Applicable
K 2.2	Corruption	☐ YES ☐ NO ☐ Not Applicable
K 2.3	olitical will by the political party in charge	☐ YES ☐ NO ☐ Not Applicable
K 2.4	Ignorance	☐ YES ☐ NO ☐ Not Applicable
K 2.5	Lack of Accountability	☐ YES ☐ NO ☐ Not Applicable
K 2.6	Other	☐ YES ☐ NO ☐ Not Applicable
K 3	Additional Comments by the audit participant/panel	

Reviewer Comment:

L - Any Additional Comments by the Audit Participant/Panel	
L 1	
L 2	
L 3	

Reviewer Comment:

In what capacity are you a stakeholder in service delivery? *

- ☐ Academic Researcher
- ☐ Ward Councillor
- ☐ Municipal Official
- ☐ Community Member
- ☐ Community Leader
- ☐ Media Person
- ☐ Other...

10 APPENDIX C

10.1 FINAL DRAFT

DRAFT SERVICE DELIVERY AUDIT TOOL			
(Generic: Any Domain)			
Name of Auditor/Assessor		Date of Audit	
Capacity/Designation of Auditor/Assessor		Place of Audit	
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Ward ☐	Housing ☐	Threat of Protests ☐	Community Representative ☐
Private Supplier ☐	Local Services including more than one domain ☐	At least one protest ☐	Other (please specify) ☐
Other (please specify) ☐	Safety and Security ☐	Other (please specify) ☐	
	Transport ☐		
	Water and Sanitation ☐		
	Other (please specify) ☐		

Reviewer Comment:

A - Municipality/Ward Knowledge		
A 1	Do the public know who their Municipal/Ward representatives are?	
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A 5	Additional Comments by the audit participant/panel	

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B 5	Additional Comments by the audit participant/panel	

Reviewer Comment:

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C 4	Additional Comments by the audit participant/panel	

Reviewer Comment:

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D 5	Additional Comments by the audit participant/panel	

Reviewer Comment:

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F 6	Additional Comments by the audit participant/panel	

Reviewer Comment:

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H 4	Additional Comments by the audit participant/panel	

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J 4	Additional Comments by the audit participant/panel	

Reviewer Comment:

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K 2.1	of authority by project/service managers	☐ YES ☐ NO ☐ Not Applicable
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K 2.4	Ignorance	☐ YES ☐ NO ☐ Not Applicable
K 2.5	Lack of Accountability	☐ YES ☐ NO ☐ Not Applicable
K 2.6	Other	☐ YES ☐ NO ☐ Not Applicable
K 3	Additional Comments by the audit participant/panel	

Reviewer Comment:

L - Any Additional Comments by the Audit Participant/Panel	
L 1	
L 2	
L 3	

Reviewer Comment:



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