

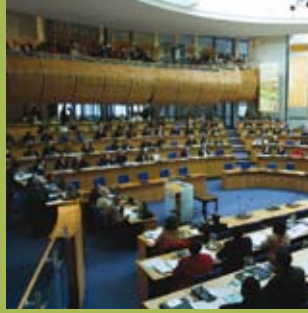
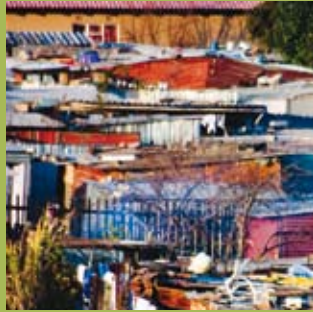
Module

# 4

# CORE MUNICIPAL PROCESSES & SERVICE DELIVERY

WORKBOOK & GUIDE

SKILLS PROGRAMME



## For Ward Committees

This Skills Programme is aligned with the National Qualification on [NQF](#)

SAQA ID 242890

SAQA ID 242895

## Acknowledgements

This module for Ward Committees is part of dplg's plan to provide certification for Ward Committee members together with the Local Government SETA. This module drew on materials developed by the following organisations with the generous support of their international partners. The National Task Team has contributed to the conceptualisation and structure of the module.

We are grateful to these organisations for their long-standing commitment to democratic local governance in South Africa:

Africa Institute for Community-Driven Development (AICDD) and Development Works:

*Community based planning and the IDP: A Guide for Decision-Makers*, 2005 Produced by AICDD and Development Works. Funded by **dplg** (through Netherlands Aid), DBSA, DFID and GTZ

*Community-Based Planning and the IDP*, AICDD and Development Works, 2006

dplg and GTZ:

*Having your say: A handbook for Ward Committees*, **dplg** and GTZ, 2005 **dplg**

*Making Ward Committees function: Resource Book best practices and lessons learnt*, **dplg** and GTZ, 2005

EISA:

*Lentswe La Batho: Enabling active citizen participation at local government level*, EISA, 2005, funded by Swedish International Development Agency and the Charles Mott Foundation. Second edition funded by GTZ

*Active Citizenship: Local government supplement*, EISA, 2005. Funded by Irish Aid

Planact:

*Communities count; empowering Ward Committees and local leaders in democratic governance*, Planact, 2006. Funded by the Charles Stewart Mott Foundation, Cordaid and KZE, with programmes supported by USAID

*Enhancement programme for Ward Committees, councillors & officials*, Modules 2, 3, 5 & 6, Planact, 2001

SALGA:

*Councillor Induction Programme: Handbook for Municipal Councillors*, SALGA and GTZ, March 2006. Funded by GTZ and developed by EISA and Planact

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This module has been compiled by EISA

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Design and layout by [www.intothelimeLight.co.za](http://www.intothelimeLight.co.za)

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This Skills Programme is a building block for the National  
Qualification in Ward Committee Governance NQF 2

SAQA ID 242890

SAQA ID 242895

# WORKBOOK & FACILITATOR'S GUIDE

for the Skills Programme

Core Municipal Processes  
& Service Delivery

## ACRONYMS AND ABBREVIATIONS

AICDD	African Institute for Community-driven Development
BoTs	Build, Operate and Transfer concessions
CBO	Community-based organisation
CBP	Community-based planning
CDW	Community Development Workers
dplg	Department of Provincial and Local Government
GTZ	German Agency for Technical Cooperation
HIV	Human Immunodeficiency Virus
IDP	Integrated Development Plan
KPA	Key Performance Areas
KPI	Key Performance Indicators
LED	Local Economic Development
M&E	Monitoring and evaluation – both of the plan and implementation of the plan
MEC	Members of the Executive Council
MFMA	Municipal Finance Management Act, 2003
MP&PMR	Municipal Planning and Performance Management, 2001
MSA	Municipal Systems Act, 2000
MSP	Municipal Service Partnerships
NGO	Non-governmental organisation
NQF	National Qualifications Framework
NSDP	The National Spatial Development Plan
PFMA	Public Finance Management Act, 1999
PGDS	Provincial Growth and Development Strategy
PMS	Performance Management System
QQTC	Quantity, Quality, Time, Cost
SALGA	South African Local Government Association
SAQA	South African Qualifications Association
SDF	Spatial Development Frameworks
SDIP	Service Delivery Improvement Plan
SETA	Sectoral Education and Training Authority
SMART	Specific, Measurable, Achievable, Responsive, Time Bound
SWOT	Strengths, weaknesses, opportunities, threats – a tool for analysing the internal and external environment

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# A

# Introduction

**CONTACT DETAILS**

**1. PARTICIPANT'S PERSONAL INFORMATION**

Full names	
Surname	
Home language	
Postal address	
Physical address	
Telephone number	
Cell phone number	
E-mail	

**2. EMPLOYER DETAILS**

Name of employer	
Contact person	
Telephone number	
Fax number	
E-mail	
Postal address	
Physical address	

**FACILITATORS' CONTACT DETAILS**

**FACILITATOR 1**

Name	
Contact Cell Phone No.	
E-mail	

**FACILITATOR 2**

Name	
Contact Cell Phone No.	
E-mail	



# INTRODUCTION

This Skills Programme is based on the National Certificate in  
**Ward Committee Governance NQF 2**  
 and in particular on the unit standards:

- **242890:** Display an understanding of core municipal processes and Ward Committee participation in these processes (10)
- **242895:** Support the facilitation of development project service delivery in a Ward Committee (8)

## Target group and purpose of the Skills Programme

### Unit standard 242890

The learners working towards the completion of this unit standard will be working within a Ward Committee or local government structure, where the acquisition of competence against this standard will add value to one's job. It will also add value to individuals who are seeking to develop a career pathway in local government and administration.

#### The qualifying learner is capable of demonstrating:

- knowledge of Integrated Development Planning and opportunities for Ward Committee and community participation
- knowledge and application of community-based planning and the opportunities for Ward Committee participation therein
- knowledge of the municipal budgeting process and ward committee participation
- knowledge of the municipal service delivery process and performance management and Ward Committee participation therein
- an understanding and describing the management of municipal performance and the role of Ward Committees in the process.

### Unit standard 242895

This unit standard is for learners working within a Ward Committee or local government structure, where the acquisition of competence against this standard will add value to their job. The standard will contribute to the aspirations of individuals seeking to develop a career pathway in local government and administration.

#### The qualifying learner is capable of:

- defining service excellence within a local government context
- utilising appropriate service tools in order to integrate local government service delivery for development project objectives into Ward Committee processes
- implementing a basic service delivery plan in line with overall service delivery objectives
- evaluating service delivery effectiveness.



# OVERVIEW OF WARD COMMITTEE SKILLS PROGRAMMES

The table provides an overview for all the Skills Programmes available for the NQF 2 qualification for Ward Committee governance.

NUMBER	TITLE SKILLS PROGRAMME	TOPICS	UNIT STDS (CREDITS)	EXPECTED OUTCOMES	CONTACT DAYS (THEORY)
SPWCz/001	Ward Committee Induction	<ol style="list-style-type: none"> <li>1. What is local government?</li> <li>2. Legal and policy framework for developmental local government</li> <li>3. Ward Committees</li> <li>4. Ward Committees and key municipal processes</li> <li>5. Skills for Ward Committee members</li> </ol>	<p><b>242892:</b> Display an understanding of the Constitution, structure of Ward Committees and the roles and responsibilities of committee members (6)</p> <p><b>242896:</b> Demonstrate an understanding and apply the broad principles of Ward Committee functioning to participate in municipal processes (10)</p>	<ul style="list-style-type: none"> <li>• Describe and explain legislative provisions and guidelines relating to the establishment and functioning of Ward Committees.</li> <li>• Describe Ward Committee membership, composition and roles.</li> <li>• Describe and explain the process to nominate and elect the members of a Ward Committee.</li> <li>• Demonstrate an understanding of the policy and legal framework guiding Ward Committee systems and its functioning.</li> <li>• Outline the structure of Ward Committees and identifying the roles and responsibilities of members.</li> <li>• Administrate Ward Committee processes.</li> <li>• Integrate basic communications, conflict management, facilitation and diversity management skills to enhance Ward Committee relations with key stakeholders.</li> </ul>	4 days
SPWCz/002	Community-Based Planning Programme for Ward Committees	<ol style="list-style-type: none"> <li>1. Why community-based planning?</li> <li>2. Community-based planning and the municipal integrated plan</li> <li>3. The methodology of community-based planning</li> <li>4. The role of Ward Committees and other stakeholders in the community-based planning process</li> </ol>	<p><b>Draft Unit Standard:</b> Display an understanding of community-based planning (CBP) at the ward level and its role to facilitate citizen participation in local governance (10)</p>	<ul style="list-style-type: none"> <li>• Describe and explain the objectives of CBP at the ward level.</li> <li>• Describe and explain the methodology of CBP.</li> <li>• Explain the link between CBP and the municipal Integrated Development Plan (IDP).</li> <li>• Describe and explain the role of Ward Committee members and other members of the community in CBP.</li> </ul>	3 days

NUMBER	TITLE/SKILLS PROGRAMME	TOPICS	UNIT STDS (CREDITS)	EXPECTED OUTCOMES	CONTACT DAYS (THEORY)
SPAWCz/003	Public Participation in Local Governance	<ol style="list-style-type: none"> <li>1. Democracy and participation</li> <li>2. Community involvement in democratic processes and structures</li> <li>3. Applying <i>Batho Pele</i> to public participation</li> <li>4. Participatory governance at local level</li> </ol>	<p><b>113955:</b> Apply the <i>Batho Pele</i> principles to own work role and context (4)</p> <p><b>123436:</b> Facilitate community participation in democratic processes and structures (7)</p> <p><b>242893:</b> Display an understanding of the policy and legal framework guiding the Ward Committee system and its functioning (6)</p>	<ul style="list-style-type: none"> <li>• Explain how the <i>Batho Pele</i> principles apply to own work roles.</li> <li>• Explain how the application of <i>Batho Pele</i> principles determines the way in which work is done.</li> <li>• Identify and describe successful examples of application of <i>Batho Pele</i> principles.</li> <li>• Explain why the <i>Batho Pele</i> principles are so important to government.</li> <li>• Establish the extent of participation in democratic processes and structures.</li> <li>• Promote awareness of democratic processes and structures.</li> <li>• Facilitate community participation in democratic processes and structures.</li> <li>• Evaluate the process of awareness raising and facilitation</li> <li>• Describe and explain notion of participatory governance at a local level.</li> <li>• Display an understanding of the constitutional provisions relating to local government and public participation in South Africa.</li> <li>• Display an understanding of the policy and legal framework that underpins local government in South Africa.</li> <li>• Display an understanding of the policy and legislative framework guiding Ward Committee systems.</li> </ul>	4 days

NUMBER	TITLE SKILLS PROGRAMME	TOPICS	UNIT STDS (CREDITS)	EXPECTED OUTCOMES	CONTACT DAYS (THEORY)
SPAWCz/004	Core Municipal Processes and Ward Committee's Role (IDP, Budgeting, PMS, LED, Service Delivery)	<ol style="list-style-type: none"> <li>1. Opportunities for Ward Committee and community participation in integrated development planning</li> <li>2. Opportunities for Ward Committee participation in community-based planning</li> <li>3. Municipal budgeting process and Ward Committee participation</li> <li>4. Municipal service delivery and performance management systems</li> <li>5. Service delivery: Implementation, challenges and evaluation</li> </ol>	<p><b>242895:</b> Support the facilitation of development project service delivery in a Ward Committee context (10)</p> <p><b>242890:</b> Display an understanding of core municipal processes and Ward Committee participation in these processes (8)</p>	<ul style="list-style-type: none"> <li>• Demonstrate knowledge of IDP and opportunities for Ward Committee and community participation.</li> <li>• Demonstrate knowledge and application of community-based planning and the opportunities for Ward Committee participation.</li> <li>• Demonstrate knowledge of the municipal budgeting process and Ward Committee participation.</li> <li>• Demonstrate knowledge of the municipal service delivery process and performance management and Ward Committee participation therein.</li> <li>• Demonstrate an understanding and describe the management of municipal performance and the role of Ward Committees in the process.</li> <li>• Define service excellence within a local government context.</li> <li>• Utilise appropriate service tools in order to integrate local government service delivery for development project objectives into Ward Committee processes.</li> <li>• Implement a basic service delivery plan in line with overall service delivery objectives.</li> <li>• Evaluate service delivery effectiveness.</li> </ul>	5 days
SPAWCz/005	Project Management	<ol style="list-style-type: none"> <li>1. An overview of project management</li> <li>2. Stage 1: Output or results planning</li> <li>3. Stage 2: Planning for implementation</li> <li>4. Stage 3: Implementation &amp; evaluation</li> </ol>	<p><b>123462:</b> Demonstrate knowledge and understanding of the project support services environment (4)</p> <p><b>123464:</b> Gather information and provide assistance for project planning and scheduling functions (10)</p>	<ul style="list-style-type: none"> <li>• Identify and explain the core activities of a project.</li> <li>• Identify and explain the support functions within a selected project team.</li> <li>• Explain the role of a selected support team or section in a project team and its contribution to the effectiveness of the project team.</li> <li>• Investigate the different types of work done in the project team.</li> <li>• Explain the basic procedures for project planning and scheduling.</li> <li>• Gather and collate planning and scheduling activity data.</li> <li>• Gather and collate activity resource requirements.</li> <li>• Gather and collate progress information for updating schedule.</li> <li>• Contribute to the development and maintenance of an historical planning and scheduling databank.</li> </ul>	3 days

NUMBER	TITLE/SKILLS PROGRAMME	TOPICS	UNIT STDS (CREDITS)	EXPECTED OUTCOMES	CONTACT DAYS (THEORY)
SPWC2/006	Communication, Facilitation, Dealing with Conflict	<ol style="list-style-type: none"> <li>1. Communication and the delegated function of Ward Committees</li> <li>2. Effective communication</li> <li>3. Ward Committees and performance management systems</li> <li>4. Managing decision-making and accountability</li> <li>5. Managing conflict</li> <li>6. Managing relations and stakeholders</li> </ol>	<p><b>242891:</b> Apply communication, interpersonal and conflict management principles in Ward Committee functions, processes (10)</p>	<ul style="list-style-type: none"> <li>• Demonstrate an understanding and explain the communication and delegated function of Ward Committees.</li> <li>• Describe and apply communication techniques in the functioning of Ward Committees.</li> <li>• Demonstrate an understanding and describe the management of municipal performance and the role of Ward Committees in the process.</li> <li>• Demonstrate an understanding and explain the role of Ward Committees in council decision-making and accountability.</li> <li>• Utilise basic conflict management techniques to ensure effective resolutions in conflict situations that may arise in Ward Committee functioning.</li> <li>• Apply the principles of facilitation in order to manage effective relations within the Ward Committee context.</li> </ul>	3 days
SPWC2/007	Community Diversity	<ol style="list-style-type: none"> <li>1. Diversity in the Ward Committee context</li> <li>2. Gender and equity</li> <li>3. Gender and equity in relation to development projects</li> <li>4. Mainstreaming gender and equity skills in development</li> <li>5. Encouraging responses to gender, equity and diversity</li> </ol>	<p><b>242894:</b> Demonstrate knowledge of gender, equity and diversity issues in development projects (6)</p>	<ul style="list-style-type: none"> <li>• Identify diversity in own Ward Committee context.</li> <li>• Explain the concepts of gender and equity and gender and equity approaches.</li> <li>• Explain the advantages of gender and equity to development projects.</li> <li>• Demonstrate gender and equity and equity mainstreaming skills in all the stages of a development project using gender and equity participatory tools.</li> <li>• Explain the resistance to change in relating to gender.</li> </ul>	1 day
SPWC2/008	Meeting Procedures and Reporting	<ol style="list-style-type: none"> <li>1. Purpose of meetings</li> <li>2. The agenda</li> <li>3. Minutes</li> </ol>	<p><b>13934:</b> Plan and prepare meeting communications (4)</p>	<ul style="list-style-type: none"> <li>• Demonstrate an understanding of the agenda of meetings.</li> <li>• Explain the purpose and objective of minutes of meetings.</li> <li>• Take minutes of meetings.</li> </ul>	1 day

The participants are encouraged to plan and prepare before coming for the contact programme. If needed and in co-ordination with the participating municipalities/participants the programme can be further broken up to give participants time to harmonise with the requirements of their workplaces.

The time after the contact learning sessions should be used by the participants to:

- read learning material
- further research on the subject matter
- reflect and think of the subject matter
- highlight questions and fresh insights for discussions with colleagues
- reflect and summarise knowledge acquired.

## ABOUT THE LEARNING MATERIAL AND TRAINING METHODS

The learning material has been designed to help the participants during the contact sessions for the programme and to assist them in fulfilling their role as members of a Ward Committee.

This Workbook and Guide has been written in English and facilitators may need to translate some of the content into the language of choice of the participants. The material needs to be facilitated in an interactive and participative way. Facilitators need to be familiar with the material and will have to spend considerable time preparing the modules to help participants gain the knowledge, skills and attitudes to participate meaningfully in their Ward Committees. The course notes contained in Section A can also be used as an easy to use handbook that may assist Ward Committees in their day-to-day work as Ward Committee members. For this reason some of the detail provided may go beyond the requirements of the unit standard.

The suggestions for facilitators in the activities contained at the end of each chapter are suggestions which facilitators can use. Facilitators may also have other experiences that they can use when facilitating a particular session.

## Facilitation methodology

The programme is very practical and aims to provide practical tools and skills for adult learners. The methodology should ensure that:

- the learning environment is physically and psychologically comfortable
- contact training periods are short and varied to avoid boredom
- learner expectations are articulated and clarified and managed by the learner and facilitator
- the experience of participants is acknowledged and drawn on in the learning programme
- facilitation, rather than teaching, is used to allow participants to participate fully
- the facilitator balances the presentation of new material, debate and discussion in such a way that the outcomes of the module are met, while ensuring that all participants are valued and are able to contribute to the learning process
- the learning will be problem-oriented, personalised and accepting of participants' needs for self-direction and personal responsibility
- the module presented in a way that allows a participant to participate fully in the language of their choice
- the facilitation process accommodates participants who may not be literate, or who are not literate in English.

The contact session uses a participatory methodology. This is appropriate for adult audiences who come with a wide range of experiences and skills. It also accommodates a broader range of learning styles. Some techniques that can be used include:

METHOD	DESCRIPTION
Structured learning experience	Participants engage with a complex game or activities that represent real-life situations that they may encounter in the course of their work as a Ward Committee member.
Case study	This is a realistic story or real-life situation that has taken place, in which participants need to apply their knowledge and skills to practise how they can deal with the issues presented.
Group work	Participants work on tasks in their groups and report their findings back to plenary.
Lecture	The facilitator presents a short talk (maximum of 10 minutes) to introduce a new subject, to provide details, or to wrap up a session.
Discussion	This is a free exchange of ideas or experiences on a particular topic. It may be between the facilitator and the participants or between the participants.
Brainstorming	Participants generate a number of ideas on a particular subject or question. It may be used to gather different opinions or to find out what participants know about a particular topic.
Role-play	Participants are asked to act out a scenario where each participant plays a particular role. A role-play may be used to illustrate how people respond in different situations.
Panel discussion	This is a planned presentation by one or more experts. It may be followed by a discussion session or a round of questions.

# ASSESSMENT

Assessment of participants will be workshop based and participants will not be required to complete a practical assignment. Assessment will be based on a general understanding of the overall content by participants. A general question per chapter has been provided for this purpose.

Facilitators should explain to participants at the opening of the workshop that each module will be assessed and the specific outcomes and criterion relevant to that module covered during the course of the workshop. Facilitators should reassure participants that the assessment will be conducted to ensure that participants have understood the contents and met the requirements of the unit standard. Assessment will be part of the workshop activities and participants will have an opportunity to complete the assessment assignment during the course of the workshop. The assessment may be completed as group work or individually depending on the assignment and group. It is envisaged that participants may also discuss these questions (either after the workshop or during workshops lasting longer than one day and at the end of the learning session in one day workshops) and then hand in their assessment answer sheets at the close of the workshop. Time has been provided after each session for participants to discuss the relevant assignment questions and for them to write up their answers (see Recommended Timetable on page 12).

The assignment topics are based on the unit standards and complement the theory training. By means of the assignment the participant needs to prove that he/she can apply in a real work situation what has been learned in theory. For this reason participants are encouraged to prepare for the course in advance by preparing a project based on their experience as members of a Ward Committee that they can use during the assessment as a practical example.



CHAPTER	PROPOSED ASSIGNMENT TOPICS
1	What are the phases of the IDP? Explain the involvement of Ward Committees in this process.
2	Describe the importance of community-based planning and how Ward Committees can facilitate the process.
3	Explain the main elements involved in municipal budgeting.
4	What is performance management? And what role would Ward Committees play in the performance management phases?
5	What is the role of Ward Committees in service delivery? How can service delivery be measured?



# COVER PAGE

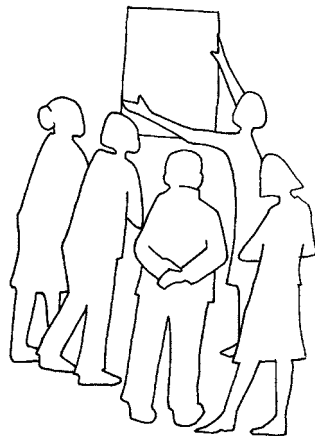
Assignment report prepared by the participant during the workshop

Name of training provider:.....

Title of Skills Programme:.....

Date of report established:.....

Name of participant:.....



# RECOMMENDED TIMETABLE

## DAY ONE

TIME	ACTIVITY
8.00 to 9.00	Registration and Introduction
9.00 to 10.00	Chapter 1: Opportunities for Ward Committee and community participation in Integrated Development Planning
10.00 to 10.15	Tea
10.15 to 11.00	Chapter 1: Opportunities for Ward Committee and community participation in Integrated Development Planning
11.00 to 12.45	Chapter 1 Activities
12.45 to 1.45	Lunch
1.45 to 3.15	Chapter 2: Opportunities for Ward Committee and community participation in community-based planning
3.00 to 3.15	Tea
3.00 to 4.30	Chapter 1 Assessment: Discussion

## DAY TWO

8.00 to 9.00	Chapter 1 Assessment: Write up
9.00 to 10.00	Chapter 2: Activities
10.00 to 10.15	Tea
10.15 to 12.00	Chapter 2: Activities
12.00 to 1.00	Lunch
1.00 to 3.15	Chapter 3: Municipal budgeting process and Ward Committee participation
3.00 to 3.15	Tea
3.00 to 4.30	Chapter 2 Assessment: Discussion

## DAY THREE

8.00 to 9.00	Chapter 2 Assessment: Write up
9.00 to 10.00	Chapter 3: Activities
10.00 to 10.15	Tea
10.15 to 12.30	Chapter 3: Activities
12.30 to 1.30	Lunch
1.30 to 3.15	Chapter 4: Municipal service delivery and performance management systems
3.00 to 3.15	Tea
3.00 to 4.30	Chapter 3 Assessment: Discussion

## DAY FOUR

8.00 to 9.00	Chapter 3 Assessment: Write up
9.00 to 10.00	Chapter 4: Activities
10.00 to 10.15	Tea
10.15 to 12.30	Chapter 4: Activities
12.30 to 1.30	Lunch
1.30 to 3.15	Chapter 5: Service delivery: Implementation, challenges and evaluation
3.00 to 3.15	Tea
3.00 to 4.30	Chapter 4 Assessment: Discussion

## DAY FIVE

8.00 to 9.00	Chapter 4 Assessment: Write up
9.00 to 10.00	Chapter 5: Activities
10.00 to 10.15	Tea
10.15 to 12.15	Chapter 5: Activities
12.15 to 1.45	Lunch
1.45 to 2.45	Chapter 5 Activities
2.45 to 5.00	Chapter 5 Assessment: Discussion and Write Up

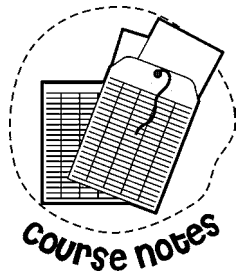
# B

## Training Material

module four

# CHAPTER 1:

## Opportunities for Ward Committee and community participation in Integrated Development Planning



### Introduction

THE DEVELOPMENT OF AN INTEGRATED DEVELOPMENT PLAN (IDP) by municipalities is a requirement of the Local Government: Municipal Systems Act, 2000. Chapter 5 of the MSA, 2000 calls for 'each municipality... to adopt a single, inclusive and strategic plan for the development of the municipality' (section 25(1)). The plan runs for five years and is the broad framework for development within the area. It is reviewed annually. The IDP guides the plan of action of the municipality and must (by law) be developed in consultation with the local community.

The IDP also fulfils the requirement set out in the Constitution and subsequent legislation (such as the White Paper on Local Government, 1998) for municipalities to structure and manage their administration and budgeting and planning processes to give priority to the basic needs of the community and participate in national and provincial development programmes.

This chapter provides an overview of the IDP process and the opportunities for Ward Committees and communities to participate.



**Reference!**  
Local Government: Municipal Systems Act, 2000; White Paper on Local Government, 1998  
The Constitution of the Republic of South Africa, 1996

An integrated development plan is the result of the process of integrated development planning.

## 1.1 The Municipal Systems Act, 2000

“WHEN WE INTRODUCED THE NEW SYSTEM OF LOCAL GOVERNMENT IN 2000, WE CORRECTLY POSITIONED THIS AS THE SPHERE OF GOVERNMENT THAT IS BEST PLACED TO GIVE PRACTICAL MEANING AND SUBSTANCE TO THE BASIC POLITICAL COMMITMENT, THAT THE PEOPLE SHALL GOVERN. WE SAID TO OUR PEOPLE, THROUGH LOCAL GOVERNMENT, TOGETHER WITH YOU, WE SHALL BRING DEMOCRACY TO WHERE YOU LIVE. IN OUR CONCEPTUALIZATION OF LOCAL GOVERNMENT, WE PLACED IT AT THE CUTTING EDGE OF ADDRESSING SUCH BASIC NATIONAL CHALLENGES AS UNDERDEVELOPMENT, UNEMPLOYMENT, STAGNATION AND POVERTY.”

**Source:**

Mr FS Mufamadi, Minister for Provincial and Local Government, *Making Ward Committees Function: Resource Book: Best Practices and Lessons Learnt*, **dplg** and GTZ, 2005

**Reference!**

Local Government: Municipal Systems Act, 2000

**Reference!**

Chapter 4 of the Act calls for community participation in planning: It states that municipalities should 'encourage and create conditions for the local community to participate in the affairs of the municipality, including in the preparation, implementation and review of its integrated development plan' (Chapter 4, section 16(a)(i)).

**Reference!**

Chapter 5 of the Act outlines Integrated Development Planning

### 1.1.1 Requirements of the Act in terms of IDP

Legislation has been designed to ensure that community participation be a reality and encouraged. To meet this vision legislation has been developed. This includes the Municipal Systems Act, 2000. The participation of citizens in decisions that affect them at a local level is guaranteed through the establishment of well-planned and institutionalised structures and legislation, such as the Municipal Systems Act, 2000.

The Municipal Systems Act, 2000 is intended to develop a culture of community participation and establishes mechanisms, processes and procedures to ensure this. It outlines how information should be communicated and legislates public notice of and admission to public meetings and how the local community should be informed.

In addition to providing municipal services, municipalities must (by law) now lead, manage and plan for development through the process known as Integrated Development Planning. Municipalities have to take responsibility for contributing to local economic development, creating jobs and eradicating poverty by taking part in the process.

## 1.2 Integrated Development Planning

### 1.2.1 Outline of process

The IDP process enables the municipal authority to:

- take stock of the current situation in the area
- assess community resources and needs
- ensure public participation in the processes of development
- prioritise the needs
- set goals to meet these needs
- implement programmes and measure the success of implementation.

The purpose of the IDP is to ensure that the resources available to the municipality are directed at delivery of projects and programmes to meet agreed development priorities. An IDP is an important tool that ensures that the projects identified and carried out by the municipality are related to the needs of the community.

There are six main reasons why a municipality has an IDP.

#### 1. Effective use of scarce resources

The IDP is meant to help the municipality focus on the most important needs of local communities. It must also take into account the resources available to the municipality.

#### 2. Help to speed up delivery

The IDP identifies the least serviced and most impoverished areas in the municipal area and points to where municipal funds should be spent.

#### 3. Help to attract additional funds

Government departments and private investors are more willing to invest in municipalities when they have clear development plans.

#### 4. Help to strengthen democracy

Decisions are made in a democratic and transparent manner when there is active participation of all the important stakeholders. This helps to strengthen local democracy.

#### 5. Help to overcome the legacy of apartheid

Municipal resources are used to integrate rural and urban areas and to extend services to people living in poverty.

#### 6. Promote co-ordination between local, provincial and national government

The different spheres of government are encouraged to work together in a co-ordinated manner to tackle the development needs in a local area.

Integrated Development Planning is an approach to planning that involves the entire municipality and its citizens in finding the best solutions to achieve good long-term development.

*Integrated Development Planning for Local Government, www.etu.org.za*

IDP templates and examples are available on the **dplg** nerve centre website [www.idp.org.za](http://www.idp.org.za)





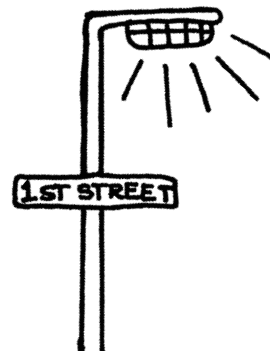
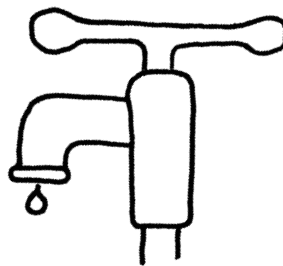
The process of Integrated Development Planning consists of 6 phases, these are:

Phase 0 Preparation	What do we need to prepare a plan? Municipal process plan and district framework
Phase 1 Analysis	Where are we? Well understood priority issues
Phase 2 Strategies	Where do we want to go? Vision, objectives, strategies, ID project
Phase 3 Projects	What detail do we need to define in order to realise the strategies? Indications & basic project implementation information
Phase 4 Integration	What do we need to rearrange to make it happen? Integrated management programmes and plans
Phase 5 Approval	Are we satisfied? Amended & adopted IDP

**Definition:**



**Integrated** – fitted together, with parts united into a whole  
**Development** – progress and long-term growth  
**Planning** – designing and preparing for the future.





### 1.2.2 Developing an IDP process plan

Before the formal phases of IDP can commence attention should be paid to preparing for the process by developing an IDP process plan. The purpose of this plan is to ensure the proper management of the planning process.

This plan should outline:

- the structures that will manage the IDP process
- how the public can participate and structures that will be created to ensure this participation
- a time schedule for the planning process
- who is responsible for what
- how the process will be monitored.

A framework must be developed in consultation with all local municipalities within the district. This framework will ensure co-ordination, consultation and alignment between the district council and local municipalities. The framework will guide the development of the IDP process plan for each local municipality.

### 1.2.3 Ward Committee involvement in IDP

It is a primary requirement of a Ward Committee that it is involved in the development of the strategy that will shape the focus of the municipal processes of their area over a period of five years. In essence it is the way in which a Ward Committee can prove its worth.

The key performance areas in a ward are those identified through the IDP and implementation processes. Ward Committees should ensure that the needs of their area are addressed through their involvement in the IDP process. In discussions with municipal councillors and officials the expectations of their area should be voiced and highlighted.

Ward Committees also form the vehicle or conduit for information from the municipal council to community members.

Ward Committee members should take the initiative to attend IDP portfolio committee hearings and ordinary sittings of relevant sub-committees.

# Municipal council



Create conditions for the local community to participate in the affairs of the municipality

Empower citizens to participate in planning for their community

Ensure the operational strategy reflects the needs & expectations of the community

Report problems experienced by the community

Make recommendations on income generation, keeping costs down, preventing corruption and protecting the assets of the municipality

Recommend the projects that can improve the lives of people in the ward

Ensure public input and review of the operational strategy so that it reflects the expectations of the local community

Convey the nature of the needs of a specific area to the municipality

# Ward Committee represents



Encourage citizens to participate in planning for their community

Facilitate public participation in development, review and implementation of IDP

Feed information on budgets and development plans back to the community, making sure they know how to access it

Act as a mobilising agent for community action

A community member can be a stakeholder group on the IDP Forum

Voice expectations and needs

Give feedback when consulted during information gathering processes

Contribute resources, e.g. labour

Insist that information on the IDP and budgeting be easily available and understandable

# Community elects



Provide accurate information and undertake to behave courteously and respectfully towards the service providers

Local government is responsible for infrastructure and basic services, social and welfare services, administration and public order, & municipal planning

### 1.2.4 IDP Forums

IDP Representative Forums have been created to facilitate general public participation in integrated development planning. These forums present the opportunity for Ward Committees to represent the interests of their constituencies, and provide the structures which allow and encourage discussion, negotiations and joint decision-making between the community and municipality. Forums also provide for communication and make available opportunities for the monitoring of the planning and implementation process of the Ward Committee on the IDP.

#### 1.2.4.1 The roles, purpose and functions of IDP forums

The IDP Representative Forum is the structure that facilitates and co-ordinates participation in the IDP process, during all phases. The Municipal Planning and Performance Management Regulations (MP&PMR) state that a municipality must establish a forum where other municipal-wide structures for community participation do not exist.

The MP&PMR calls for forums to be representative so that they enhance community participation in the IDP. The selection of Ward Committee members to represent the community on an IDP forum needs to be based on criteria that ensure geographical and social representation. Forums must enhance public participation in monitoring, measuring and reviewing municipal performance.

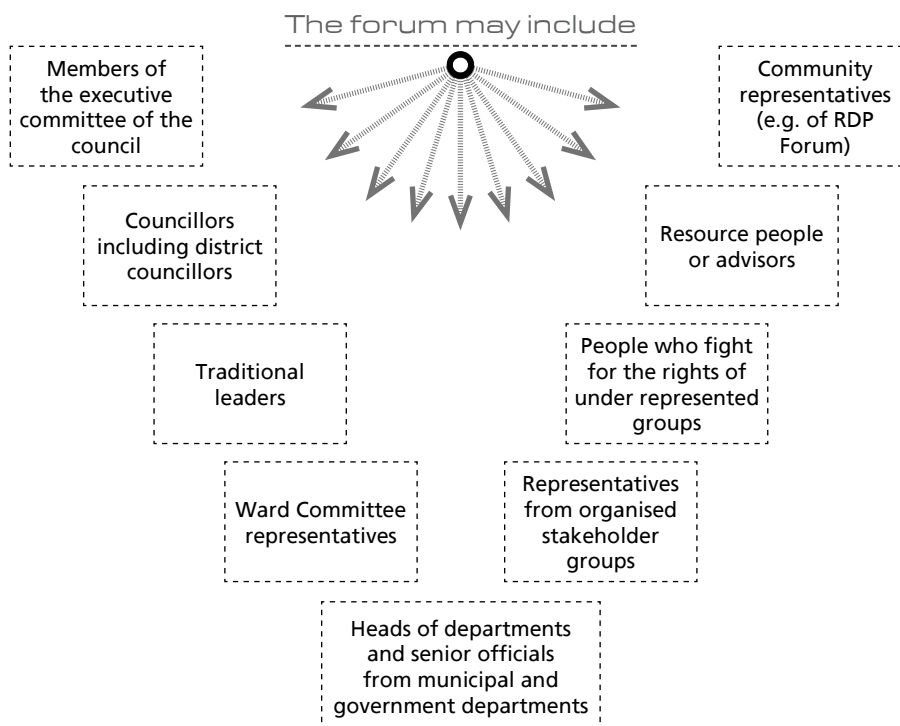
Consultation processes must be used from the beginning to ensure that the development plan addresses priority needs in a way that is appropriate to the people who are affected.

It is important that citizens are empowered to participate meaningfully in the process. They need to feel a large degree of ownership of the plans. The involvement of functional Ward Committees contributes to the success of such planning.

*Councillor Induction Programme: Handbook for Municipal Councillors, SALGA and GTZ, March 2006, page 64*

#### Reference!

Municipal Planning & Performance Management Regulations, 2001 (Chapter 4, section 15).



<p>The purpose of an IDP representative forum</p>	<ul style="list-style-type: none"> <li>• Provide an opportunity for stakeholders to represent the interests of their constituencies</li> <li>• Provide a structure for discussion, negotiations and joint decision-making</li> <li>• Ensure proper communication between all stakeholders and the municipality</li> <li>• Monitor the planning and implementation process</li> </ul>
<p>The role of an IDP representative forum</p>	<ul style="list-style-type: none"> <li>• Represent the interests of the constituents on the IDP process</li> <li>• Form a structured link between the municipality and representatives of the public</li> <li>• Ensure communication between all the stakeholder representatives including the municipality</li> <li>• Provide an organisational mechanism for discussion, negotiation and decision-making between the stakeholders including municipal government</li> <li>• Monitor the performance of the planning and implementation process</li> <li>• Ensure that the annual business plan and municipal budget are linked and based on the IDP</li> </ul>
<p>The functions of an IDP representative forum</p>	<ul style="list-style-type: none"> <li>• Consultation and monitoring of the IDP and its implementation and review</li> <li>• Discussion of the PMS and its implementation and review</li> <li>• Monitoring of municipal performance according to the KPIs and targets set by the municipality</li> </ul>

“ THE IDP REPRESENTATIVE FORUMS PROVIDE THE LINK BETWEEN THE MUNICIPALITIES AND THE WARD COMMITTEES. THIS LINK CAN BE STRENGTHENED IF THE CAPACITY OF WARD COUNCILLORS AND COMMITTEES IS IMPROVED AND IF WARD COMMITTEES ARE ABLE TO MAKE MORE ORGANISED CONTRIBUTIONS TO THE IDP PROCESS. THIS TYPE OF ORGANISED INPUT CAN BE FACILITATED BY WARD-BASED PLANS. ”

**Source:**  
 Mr FS Mufamadi, Minister for Provincial and Local Government at the National CBP Workshop, hosted by Mangaung local municipality, Bloemfontein, 2002

### 1.2.5 Contributing to the IDP phases

module four

PHASES	PROCESS AND OUTPUTS OF THIS PHASE	HOW WARD COMMITTEES CAN CONTRIBUTE TO THIS PHASE
Preparation	<p>Preparation for the process</p> <p>Part of the IDP process plan developed by the municipality must include the following:</p> <ul style="list-style-type: none"> <li>• institutional structures to be established for management of the process</li> <li>• approach to public participation</li> <li>• structures to be established for public participation</li> <li>• time schedule for the planning process</li> <li>• roles and responsibilities (who will do what) how the process will be monitored.</li> </ul>	<p>Insist on structured feedback from council to the Ward Committee.</p> <p>Facilitate comment on the approach to public participation in the municipality, and the structures established for public participation.</p> <p>For example, council minutes must be fed back to Ward Committees.</p>
Phase 1 Analysis	<p>Focused analysis of the type of problems faced by the people in the municipal area. The issues usually range from lack of basic services to crime and unemployment.</p> <p>The municipality must be aware of existing and accessible resources and of resource limitations so that realistic solutions are decided on.</p> <p>The outputs of this phase are:</p> <ul style="list-style-type: none"> <li>• assessment of existing level of development</li> <li>• priority issues or problems</li> <li>• information on causes of priority issues/problems</li> <li>• information on available resources.</li> </ul>	<p>Identify the needs of the community, and suggest projects that can improve the lives of people in the ward.</p> <p>Make sure that the nature of the needs of a specific area are communicated to the municipality.</p> <p>Surveys and opinion polls (getting views on how people feel about a particular issue) are a useful tool during this phase.</p>
Phase 2 Strategies	<p>Outputs of this phase are:</p> <ul style="list-style-type: none"> <li>• the vision</li> <li>• objectives</li> <li>• strategies</li> <li>• identified projects.</li> </ul>	<p>Respond to and provide feedback on the vision statement, the development objectives and strategies and project identification of the IDP to ensure that these reflect the situation the Ward Committee and community would like their area to be in.</p> <p>Encourage public participation in the form of public debates on the appropriate ways and means of solving problems.</p> <p>Hold meetings with affected communities and stakeholders.</p> <p>Ensure representation of relevant stakeholders on project sub-committees.</p>

Stakeholder and community participation is critical.

<p>Phase 3 Projects</p>	<p>Make sure that the projects identified have a direct link to the priority issues and the objectives that were identified in the previous phases.</p> <p>Identify the target group, the location of the project, when it will commence and end, who will be responsible for managing it, how much it will cost and where the money will come from. Furthermore, targets and indicators are formulated to measure performance and impact of the project.</p> <p>Outputs of this phase are:</p> <ul style="list-style-type: none"> <li>• performance indicators</li> <li>• project outputs, targets, location</li> <li>• project related activities and time schedule</li> <li>• cost and budget estimates.</li> <li>• strategies.</li> </ul>	<p>Participate in questions related to project design of the particular projects their communities will be affected by.</p>
<p>Phase 4 Integration</p>	<p>The municipality must make sure that projects are in line with the municipality's objectives and strategies, also with the resource framework, and comply with the legal requirements. This phase is an opportunity for the municipality to harmonise the projects in terms of contents, location and timing in order to arrive at consolidated and integrated programme, e.g. a local economic development programme.</p> <p>It is at this stage that the priorities of sectors within the municipality must be integrated into the IDP.</p> <p>The output of this phase is an operational strategy which includes:</p> <ul style="list-style-type: none"> <li>• 5-year financial plan</li> <li>• 5-year capital investment programme</li> <li>• Integrated Spatial Development Framework</li> <li>• integrated sectoral programmes (LED, HIV, poverty alleviation, gender equity etc)</li> <li>• consolidated monitoring/performance management system</li> <li>• disaster management plan</li> <li>• institutional plan</li> <li>• reference to sector plans.</li> </ul>	<p>Ensure public input and review of the operational strategy so that it reflects the expectations of the local community.</p> <p>Mobilise community action and response, ensuring feedback to the council.</p>
<p>Phase 5 Approval</p>	<p>Once the IDP has been completed, it has to be submitted to the municipal council for consideration and approval. The council must look at whether the IDP identifies the issues (problems) that affect the area and the extent to which the strategies and projects will contribute to addressing the problems. The council must also ensure that the IDP complies with the legal requirement before it is approved.</p> <p>The public must have an opportunity to give comment on the draft before the IDP is approved.</p> <p>The output of this phase is an approved IDP for the municipality.</p>	<p>Ensure that public comment and input is incorporated into amendments.</p>

**Source:**

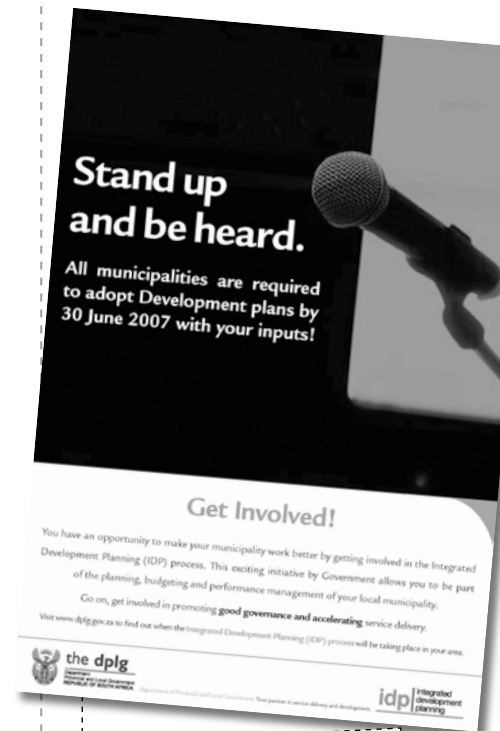
Adapted from *IDP Guide Pack: General Overview*, dplg, pages 14-17

### 1.2.6 Some principles of public participation

Since the IDP involves participation of a number of stakeholders, it is crucial for the municipality to adopt an appropriate approach and also to put in place appropriate structures to ensure effective participation. Here are some principles on participation:

#### Principles of public participation

- The elected council is the *ultimate decision-making forum* on IDPs. The role of participatory democracy is to inform, negotiate and comment on those decisions, in the course of the planning/decision-making process.
- Public participation has to be *institutionalised* in order to ensure that all residents of the country have an equal right to participate. Institutionalising participation means:
  - setting clear minimum requirements for participation procedures which apply for all municipalities by means of regulations; and
  - providing a legally recognised organisational framework.
- *Structured participation*: Most of the new municipalities are too big in terms of population size and area to allow for direct participation of the majority of the residents in complex planning processes. Participation in integrated development planning, therefore, needs clear rules and procedures specifying who is to participate or to be consulted, on behalf of whom, on which issue, through which organisational mechanism, with what effect.
- *Diversity*: The way public participation is institutionalised and structured has to provide sufficient room for diversity, i.e. for different participation styles and cultures. While there has to be a common regulatory frame for institutionalised participation in the country, this frame has to be wide enough for location-specific adjustments to be made by provinces and municipalities.
- Promotion of *public participation* by municipal government has to distinguish between:
  - creating conditions for public participation, which is a must for all municipalities (in line with the MSA);
  - encouraging public participation, which should be done in particular with regard to disadvantaged or marginalised groups and gender equity in accordance with the conditions and capacities in a municipality.



You can get a copy of an IDP from a ward councillor, the municipal manager's office, or the office of the Speaker. IDP templates and examples are available on the **dplg** nerve centre website [www.idp.org.za](http://www.idp.org.za)

#### Source:

IDP Guide Pack: General Overview, **dplg**, pages 7&8

## 1.3 The relationship between IDP and government programmes at a national and provincial level

The Intergovernmental Relations Framework Act, 2005 recognises the importance of local government’s full participation in intergovernmental relations, as local government is the key site of service delivery and development. National and provincial government processes are influenced by Ward Committees and IDPs at the local level. The IDP is one of the most important instruments of co-ordination between provincial and local government. A range of instruments have been developed to provide an approach to intergovernmental planning and alignment that supports and enhances co-operative governance at national and provincial level.

“ A SHARED APPROACH TO PLANNING AND ALIGNMENT OF THE PGDSS, THE IDPS AND THE NSDP IS CENTRAL TO A CO-ORDINATED AND INTEGRATED APPROACH AND THE OVERALL DESIRE TO IMPROVE THE IMPACT OF GOVERNMENTAL PROGRAMMES. ”

**Source:**

*Key interventions for the harmonization and alignment of IDPs, PGDSs and the NSDP, issued by The Presidency, 2004, IDP nerve centre*

### 1.3.1 The National Spatial Development Plan (NSDP)

The objectives of government:

- economic growth
- employment creation
- sustainable service delivery
- poverty alleviation
- the eradication of historic inequities including spatial distortions.

A shared approach to planning and alignment of the PGDSs, the IDPs and the NSDP is central to a co-ordinated and integrated approach and the overall desire to improve the impact of governmental programmes.

Key interventions for the harmonization and alignment of IDPs, PGDSs and the NSDP, issued by The Presidency, October 2004, IDP nerve centre



The NSDP is a policy co-ordination and planning tool for all three spheres of government. It provides the framework for all government programmes in each sphere of government to make sure that the underdeveloped areas of the country are included in planning. It is not a national development plan but a guiding principle of national planning and intergovernmental co-ordination.

Ward Committees play a key role in the refining and revision of the NSDP as it is based on the input from local government.

The Policy Co-ordination and Advisory Services unit in the Presidency was tasked with identifying the key interventions necessary to link the IDPs, PGDSs and the NSDP and developing a workable and effective system of alignment and harmonisation among these instruments.

### 1.3.2 Provincial Growth and Development Strategy (PGDS)

Each province drafts its own PGDS. This is a long-term view of the province's planned development. It has to take into account national priorities and the IDPs of municipalities in the provinces. The PGDS consists of two parts, namely a long-term strategic view and an implementation, monitoring and evaluation plan.

### 1.3.3 Spatial Development Frameworks (SDF)

SDFs form an integral part of the municipal IDP. SDFs are increasingly being used by spheres of government as an important tool to direct, co-ordinate and guide decision-making actions over the medium to long term.

IDPs must be publicly available from municipalities. This is a legal requirement.

**City of Tshwane Metropolitan Municipality**

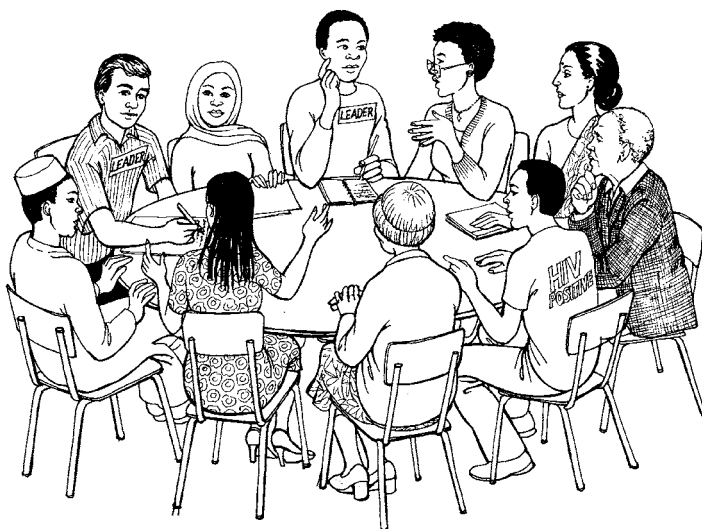
**Ward Committees 2006**

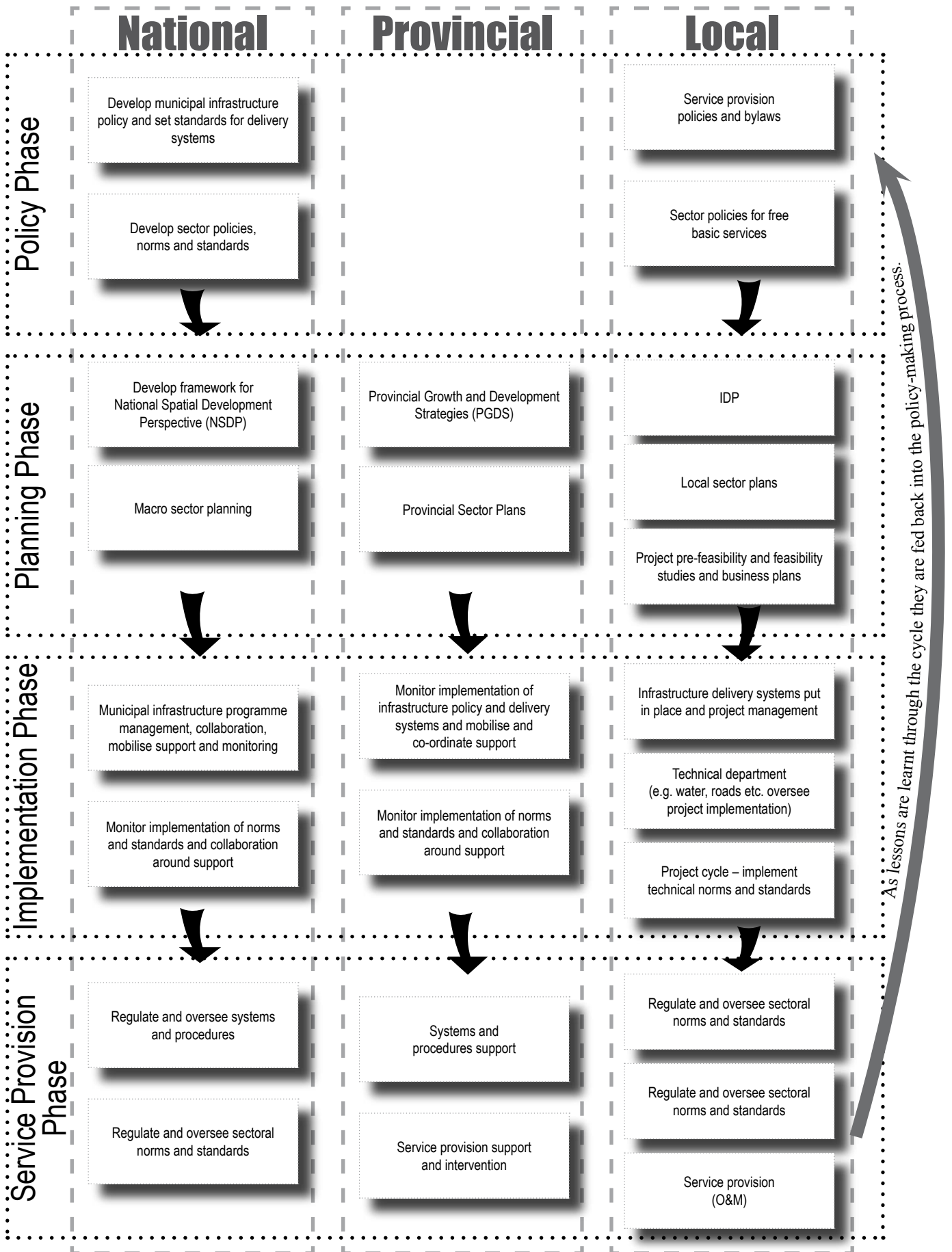
**EMPOWERMENT THROUGH COMMUNITY PARTICIPATION**

*Become an active participant, not a passive recipient!*

We are calling on all residents and on all organisations and stakeholders in the city to join us in building the foundations for a better life.

As a municipality, we are taking decisive steps to reduce poverty, build a compact and integrated city, and deal with HIV and Aids in Tshwane. Through our ward committees, we are ensuring that our communities themselves are at the centre of all developmental planning and municipal governance.



The *Service Delivery Cycle* is illustrated in the table on page 28. It shows the phases of the cycle and the responsibilities of each of the different spheres of government. The service provision phase is where operation and maintenance takes place, which is the actual provision of services.

The Service Delivery Cycle applies to all spheres of government and is an interactive process where policy is improved over time as lessons are learnt through the cycle and fed back into the policy-making process.

### 1.3.4 Integrating Sector Plans within the IDP

“THE SECTOR IS ALL THOSE GOVERNMENT DEPARTMENTS, STRUCTURES, SPHERES OF GOVERNMENT, MUNICIPALITIES AND THEIR REPRESENTATIVES THAT ARE DIRECTLY INVOLVED IN EITHER THE POLICY MAKING, CO-ORDINATION, PLANNING, DEVELOPMENT, IMPLEMENTATION, MONITORING, REPORTING OR AUDITING OF MUNICIPAL INFRASTRUCTURE. AMONGST THESE STAKEHOLDERS A NUMBER OF STRUCTURES HAVE ALSO BEEN FORMED FOR POLICY MAKING, PLANNING, CO-ORDINATION, MONITORING AND REPORTING PURPOSES.”

National departments (and their regional or provincial counterparts) that contribute to the municipal infrastructure programmes to ensure that municipal services are delivered effectively:



- Department of Provincial and Local Government (dplg) and its provincial counterparts
- National Treasury (NT) and its provincial counterparts
- Department of Water Affairs and Forestry (DWAF)
- Department of Public Works (PW) and its provincial counterparts
- Sports and Recreation South Africa (SRSA) and its provincial counterparts
- Department of Environmental Affairs and Tourism (DEAT) and its provincial counterparts
- Department of Minerals and Energy (DME)
- Department of Transport (DT) and its provincial counterparts
- Department of Housing (DH) and its provincial counterparts

**Source:**  
*Municipal Infrastructure: Roles and Responsibilities of National Sector Departments, Provincial Counterparts and Municipalities, dplg, page 11*

National departments contribute to service delivery by supporting the planning, design, implementation, operation and maintenance, monitoring and evaluation phases of infrastructure projects implemented by municipalities.

All of these departments are required to develop 'sector plans'; operational strategies ensuring the delivery of appropriate municipal infrastructure and sustainable municipal services within that sector. A holistic approach is necessary to take linkages between sectors into account and ensure that they are integrated into the planning process of the municipality as a whole.

## Conclusion

There is a strong need for both co-operative governance and cross sector collaboration. The principles are designed to ensure an enabling institutional environment for the delivery of municipal infrastructure, which institutionalises a collaborative approach.

**Source:**

*Municipal Infrastructure: Roles and Responsibilities of National Sector Departments, Provincial Counterparts and Municipalities, dplg, page 13*

“ THE NATIONAL SPATIAL DEVELOPMENT PERSPECTIVE, THE PROVINCIAL GROWTH AND DEVELOPMENT STRATEGIES, PROVINCIAL SECTOR PLANS AND IDPS ARE ALL KEY DEVELOPMENT PLANS THAT FORM PART OF THE PLANNING FRAMEWORK ACROSS THE DIFFERENT SPHERES AND SECTORS OF GOVERNMENT. ROLE PLAYERS MUST UNDERTAKE THEIR PLANNING RESPONSIBILITIES WITHIN THE PLANNING FRAMEWORK TO ENSURE THAT THEY PROVIDE THE NECESSARY INPUTS FOR MUNICIPAL INFRASTRUCTURE DEVELOPMENT.

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# CHAPTER 1 ACTIVITIES


Time: 1 hour 45 minutes

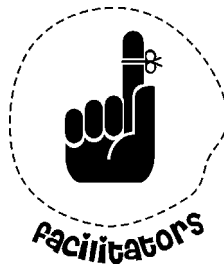
Resources: Powerpoint A if available, course notes, flipchart or newsprint, markers and presstik

## ACTIVITY 1.1

### The IDP and community involvement

**Facilitation method:** Small groups

- Use  POWERPOINT A to outline the phases of the IDP. Alternatively, refer participants to page 18 in the course notes and write up each phase on the flipchart.
- Write the questions on the flipchart.
- Divide participants into six groups assigning each group one of the phases of the IDP to discuss, including the preparation phase.
- Participants answer the questions below for the phase which they have been allocated.
- In plenary, ask each group to present feedback on their phase.



**Discussion point:**

- Ask participants in the large group to add any additional ideas, and discuss any issues that may have been left out. Use the information in the course notes to assist you.

Answer the following questions for the phase which your group has been allocated:

Task **1** What is the purpose of the phase your group is considering?

Task **2** Identify the key principles of public participation.

Task **3** What is the purpose of the phase your group is considering?

**Task 4** What are the outputs for this phase?

**Task 5** Give specific examples of how your community can be involved in this phase of the IDP, and the structures which exist to promote community involvement.

**Task 6** Prioritise the needs of your community and discuss ways of ensuring their inclusion in the IDP.

POWERPOINT A

The process of Integrated Development Planning consists of 6 phases, these are:

Phase 0 Preparation	What do we need to prepare a plan? Municipal process plan and district framework
Phase 1 Analysis	Where are we? Well understood priority issues
Phase 2 Strategies	Where do we want to go? Vision, objectives, strategies, ID project
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Phase 4 Integration	What do we need to rearrange to make it happen? Integrated management programmes and plans
Phase 5 Approval	Are we satisfied? Amended & adopted IDP



# ACTIVITY 1.2

## IDP and government programmes at a national and provincial level

**Facilitation method:** Small groups

- In plenary participants identify the key national and provincial processes which have been developed to ensure that national and provincial programmes link to municipal priorities.
- Write the responses up on newsprint and ask participants to describe the key objectives of each of these processes.
- Divide participants into small groups and assign each group a question listed below. As there are only three questions, some groups will be assigned the same question.
- Take responses in plenary. If groups have the same question let one group report and ask the other group if they have additional input. Use the course notes to assist you to top up the information.



Answer the following questions:

**TASK 1** How can Ward Committees influence the National Spatial Development Plan?

**TASK 2** Discuss ways in which the IDP of your municipality can be linked to Provincial Growth and Development Strategies (PGDS).

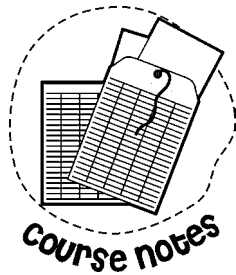
**TASK 3** Discuss ways in which sector plans can be integrated within the IDP of your municipality.





# CHAPTER 2

## Opportunities for Ward Committee participation in community-based planning



### INTRODUCTION

AS INDICATED PREVIOUSLY COMMUNITY PARTICIPATION is essential for effective local governance. Legislation and structured frameworks and models of implementation need to be developed to ensure that participation is successful and that citizens take ownership of programmes and planning.

The White Paper on Local Government, 1998 expands upon the *Batho Pele* vision. It states that developmental local government will be realised through:

- integrated development planning and budgeting
- performance management
- working together with local citizens and partners.

### 2.1 Defining community-based planning

Community-based planning (CBP) is a form of participatory planning which has been designed to promote community action. The methodology was originally developed through a four country project with South Africa, Uganda, Zimbabwe and Ghana and was refined in a second phase in South Africa where it is now being rolled out nationally. As of May 2006 CBP has been included as a mandatory part of the curricula/models that Ward Committees undergo throughout South Africa.

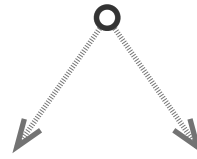
#### Reference!

- Municipal Structures Act, 1998*
- Municipal Systems Act, 2000;*
- The Batho Pele White Paper, 1997*

The *Batho Pele* White Paper, 1997 stipulates that departments at both national and provincial level have performance management systems that include the setting of service delivery indicators and the measurement of performance.

The Municipal Structures Act, 1998 and the Municipal Systems Act, 2000 are the two pieces of legislation that give effect to the White Paper on Local Government, 1998.

Community-based planning



Ward Committees are seen as the vehicle for deepening local democracy and the instrument through which a vibrant and involved citizenry can be established. It is at the local level within wards that all development issues converge. Ward Committees therefore have a crucial role to play as an interface between government and communities (not just local government). The ward planning process piloted in Mangaung is exemplary in this regard.

The Mangaung community-based planning process has had a marked impact on the development of new strategic priorities for the municipality. It has also generated suggestions for new ways of achieving the priorities. It has provided a clear role for ward councillors and Ward Committees.

Mr FS Mufamadi, Minister for Provincial and Local Government at the National CBP Workshop, hosted by Mangaung local municipality, Bloemfontein, 2002

1. CBP aims to:

- empower the community to plan for itself
- help local government and the municipality to understand and address service needs of the citizens
- help the municipality to be responsive to the community.

2. Objectives of CBP:

- improve the quality of plans
- improve the quality of services
- improve the community's control over development
- increase community action and reduce dependency.

Principles of the sustainable livelihoods approach

For effective pro-poor development interventions must be:

- people focused
- participatory and responsive
- based on partnerships
- sustainable economic, social environmental and institutional
- flexible and dynamic.



Source:

Community-Based Planning and the IDP, AICDD and Development Works, 2006, page 4

2.2 The role of Ward Committees in community-based planning

“ THE CBP METHODOLOGY PROVIDES WARD COMMITTEES WITH A SYSTEMATIC PLANNING AND IMPLEMENTATION PROCESS TO PERFORM THEIR ROLES AND RESPONSIBILITIES. THEY HAVE AN AGENDA – THE WARD PLAN – AND THE IMPLEMENTATION, MONITORING AND EVALUATION OF THE WARD PLAN GIVES THEM AN ONGOING ROLE THROUGH THE YEAR TO ADDRESS THE PERCEIVED PRIORITIES OF THE COMMUNITY THEY ARE ELECTED TO SERVE. ”

Community participation should not be viewed as an end in itself. Citizens need to be seen as 'active agents of change and development'. By participating in development planning and implementation people become more resourceful themselves, so improving service and infrastructure delivery.

Government and key stakeholders, both at a municipal level and at ward level need to address the following crucial issues in order to promote this vision of community participation

- The elected council is the ultimate decision-making forum on IDPs. The role of participatory democracy is to inform, negotiate and comment on those decisions, in the course of the planning/decision-making process.
- Capacity building of role-players participating on the IDP representative forums so that they can effectively engage with the planning and implementation process.
- Capacity building for councillors to become agents for change in their communities, better communicators, and more effective representatives,
- Capacity building of Ward Committee members so that they are able to serve as local development champions and are able to effectively interact with and promote the broader community.
- Strengthening Ward Committees so that they can more effectively interact with the IDP as a municipal wide plan.
- Involving the private sector more effectively in the IDPs to enhance regional and local economic development strategies and develop the revenue and resource base of municipalities.
- Moving beyond consultation and participation towards building sustainable partnership building, by establishing ongoing networks and innovative collaborations with various role-players.
- Establishing and promoting municipal-community partnerships around service delivery programmes.

**Source:**  
Mr FS Mufamadi, Minister for Provincial and Local Government at the National CBP Workshop, hosted by Mangaung local municipality, Bloemfontein, 2002

## 2.3 Ward plans

### 2.3.1 The development of ward plans

CBP encourages communities to come up with solutions themselves. It aims to promote more realistic plans of action by placing some responsibility for planning on the shoulders of citizens themselves.

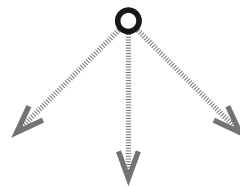
Annual plans are an essential element of Ward Committee life. They function as an overview of priorities established, and detail what the committee expects to achieve and how this will be done. They provide a means of evaluating whether planned goals have been achieved. Another important benefit of ward plans is that they are tools for reporting, each month's achievements can be measured against the plan of action.

The IDP is the basis for all financial and work plans of the council.

The following issues are important when developing a ward plan:

- dates of consultation by municipality where Ward Committee should participate; e.g. the IDP and annual budget
- priority issues for the community and where and when the Ward Committee can assist
- projects to be undertaken by the Ward Committee
- community forums the Ward Committee should be represented on
- the stakeholders to be invited to meetings
- awarding responsibility for tasks to Ward Committee members
- deadlines for project and task completion
- the most urgent or important tasks.

TO BE INCLUDED IN WARD PLANS



Specific targets for service delivery and infrastructure development which can be monitored through properly defined ward indicators.

Reporting systems to council and line departments should accommodate periodic feedback guided by these ward indicator reports.

Reporting systems to council and line departments should accommodate periodic feedback guided by these ward indicator reports.

While the planning process is initiated and co-ordinated by the municipality, CBP is a partnership between the ward and the municipality. The plan is owned by the ward (represented by the Ward Committee)... The municipality empowers its ward councillors and committees to facilitate a planning process that will enable each committee to generate a mandate for its term of office.

*Community-based planning and the IDP: A Guide for Decision-Makers, 2005, AICDD and Development Works, pages 4 & 5*

Make sure that ward plans are realistic and achievable.

### 2.3.2 The phases of ward planning

There are 6 phases in a ward plan, as follows:

- PHASE **0** Preparation
- PHASE **1** Gathering planning information
- PHASE **2** Consolidating planning information
- PHASE **3** Planning the future
- PHASE **4** Preparation for implementation
- PHASE **5** Monitoring and information

### 2.3.3 The link between community-based planning and IDP

Integrated planning must encompass the needs of community, government, the private sector and civil society and CBP provides the mechanism for this to be achieved.

There are two basic methods of linking the CBP and IDP processes:

- by using the outputs of either process (i.e. the ward plan and the IDP) to inform the planning activities occurring in the other process;
- by ensuring that participants in the CBP process are represented in the relevant IDP events through structures and processes currently provided for in the IDP methodology contained in the IDP Guide Pack (in particular the IDP representative forum and the Project Task Teams).

The IDP and CBP processes and outputs build on and inform each other, they are cyclical and repeated. The information contained in the existing IDP must be used to inform the CBP process, while the outputs of CBP will in turn inform the IDP review for the following year.

The CBP process throughout the municipal area should ideally occur prior to the initial steps in the IDP planning and review process.

## Conclusion

Delivery is a partnership between all stakeholders and Ward Committees play an essential role in providing the link between the community and the municipality through the ward councillors.





## CHAPTER 2 ACTIVITIES

Time: 2 hours 45 minutes

Resources: List of posters

### ACTIVITY 2.1

#### Objectives of community-based planning

**Facilitation method:** Small groups of five

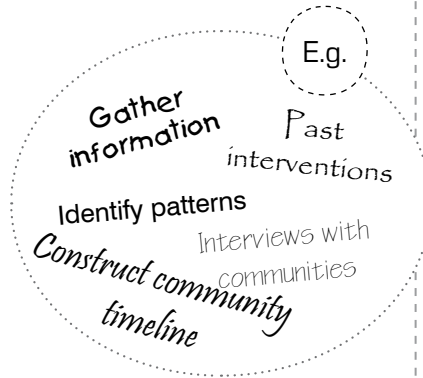
- Participants complete the tasks listed on page 43.
- Groups work through the tasks ensuring that they agree between themselves on the most important issues, and report back in plenary. Give each group sheets of flipchart paper and markers for use in performing the tasks.
- Participants put their diagrams and posters up around the room. Invite participants to view each others, diagrams and posters. Choose one of the diagrams and invite the group to explain it to the plenary.
- Top up the discussion by referring to the table on page 32. Try to draw out ideas which will be useful in the different stages of planning.



**Discussion point:**

- In plenary discuss with participants the objectives of community-based planning, using your course notes (see the table on page 38) as a guide.

**TASK 1** Brainstorm ideas for Ward Committee activities which can feed into Phase One of the planning process and ensure that communities are involved in the process. Write the ideas up on a flipchart.



**TASK 2** As a group discuss the key elements of a ward plan and identify the phases that must make up the plan. Construct a diagram which shows the different phases of the planning process. Next to each phase draw a big circle. Participants should then discuss the different activities which Ward Committees will need to conduct during this phase and write them into the circle.

**TASK 3** Discuss ways in which the Ward Committee can report information back to the community. Develop the content for a poster for **ONE** of the following purposes:

**POSTER 1** Communicate the planning process to citizens

or

**POSTER 2** Explain the roles and responsibilities of Ward Committees in the planning process as well as the need for local action and the responsibilities of community members

or

**POSTER 3** Educate community members in the ways they can become involved in the planning process

or

**POSTER 4** Feed back information on the planning process to citizens

## ACTIVITY 2.2

### Ward plans and community participation

**Facilitation method:** Small groups

- Divide participants into four groups. Assign one of the tasks to each group.

**Discussion point:**

- In plenary the four groups discuss the main issues which arose from their activities and highlight what they found the most interesting points of the discussions.



**TASK 1** Inclusivity of the planning process

In your group consider the following three items.

- Discuss a range of methods to be used to ensure inclusivity, list them on the flipchart.
- Develop a catch phrase for your community which could be used on posters, memos and other materials.
- On newsprint make a list of the different groups of the community to be considered, especially those who are often marginalised.

**TASK 2** Identification of key resource persons and service providers

- Develop a list of questions to be used in interviewing these people concerning the development of the ward. The questions should be used to facilitate open discussion and to assist the interviewer in covering all necessary issues.
- Discuss why interviewing is an important tool and where it can be useful in the planning cycle. Discussions should highlight that interviewing can help gain more accurate insights into situations, problems, customs, practices, systems and values. This can fit into any element of the analysis phase.

**TASK 3** Collection of background information

- Discuss what forms of information are important in the preparation phase of planning. List various forms of background information that should be gathered and indicate why it is important.

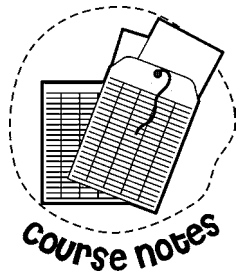
**TASK 4** Attention to the logistics of planning

- Discuss the main issues to be taken into account when choosing a venue for planning meetings and think about the best place in the context of your own community.



# CHAPTER 3

## Municipal budgeting process and Ward Committee participation



### Introduction

A BUDGET IS A FINANCIAL PLAN. It sets out the activities for the coming financial year by presenting the cost of these activities and where the income to pay for the expenses will come from.

Council must approve these budgets before the new financial year begins, after proper planning and consultation with Ward Committees and other stakeholder groups in the area. Ward Committees are essential for the circulation of the budget to the community and the facilitation of feedback from the community to the municipality. If Ward Committees are involved in deciding how much the municipality should spend and on what projects, this will mean that their ward may directly benefit.

A municipal budget reflects the needs of the community as they have been captured in the IDP. The public is required to participate in the budgeting process, as they do in the IDP process. A municipal budget must be developed to address the basic and social needs of the community. The preparation of the budget is overseen by municipal councillors and together with officials they must ensure that the money to enable development is available.

The Municipal Finance Management Act, 2003 (MFMA) stipulates that once the budget has been tabled in council, it and all documents associated with it, must be made available to the public immediately. This must be done to allow for public representations on the budget.

**Source:**

*Having your say: A handbook for Ward Committees, dplg, GTZ and SALGA, 2005, page 33*

The financial year of South African municipalities runs from 1 July of each year to 30 June the following year.

**References!**

Municipal Finance Management Act; Local Government Transition Act (Section 10G); Municipal Systems Act, 2005

## 3.1 The Municipal Budgeting Process

### Operating budget

The operating budget is made up of operating *expenses*, i.e. what the municipality has spent running the administration and on delivery and operating *revenue*, that is income received on a regular basis such as payment for services and rates and inter-governmental transfers.

#### Operating expenses

An operating budget covers ongoing expenses that are required by a municipality to deliver day-to-day services and to conduct its own administration. These include:

- 1 Salaries and allowances**  
Salaries and wages for municipal staff and allowances such as travel are covered by these expenses.
- 2 General expenses**  
These are telephone, post, rent and also the cost of bulk water and electricity for resale to residents. Councillors' allowances are also included here.
- 3 Repair and maintenance costs**  
Costs incurred for maintaining infrastructure including electricity and water plants and maintaining infrastructure such as buildings and municipal facilities.
- 4 Capital charges**  
Money that is used for repayment of loans to commercial banks and the Development Bank. Municipalities are discouraged from loaning money for operational expenditure. If they do they should repay it within the same financial year.
- 5 Contribution to fixed assets**  
Municipalities may contribute to purchase and funding of equipment and capital projects.
- 6 Contributions to special funds**  
Municipalities may contribute to funds dedicated for acquisition of special commodities such as land for developments, for example for low cost housing.
- 7 Provision for working capital**  
Money that may be used to write off bad debt of the arrears of poor people, insolvent companies, etc, who are unable to pay for basic services already provided to them.

#### Operating revenue

Typical sources of revenue to meet the above expenditure items include:

- 1 Property rates**  
Tax that is charged on properties. It is charged in terms of the Property Rates Act.
- 2 Service charges**  
Money collected for services offered by the municipality. Municipalities do monthly meter readings of water and electricity usage and charge for services accordingly. It also includes refuse removal and sanitation.
- 3 Grants**  
Money made available by national government to provide basic services. It is allocated to municipalities without conditions attached and supplements the municipalities' own income. It is allocated annually according to the Division of Revenue Act to all municipalities by a formula. The money is mainly to enable municipalities to provide basic services and to maintain basic administration.
- 4 Interest and investment income**  
Some municipalities may receive income on investments or from interest on overdue accounts.

# Capital budget

This part of the budget is what the municipality will invest in new physical development, infrastructure or other capital assets such as road constructin and housing. These projects may be referred to as *capital projects*. Local government must know what these investments will cost each year and where the money will come from.

Because physical developments are costly the yearly contributions from residents (property taxes, levies, tariffs and services charges) have to cover the entire cost of physical development projects, local government would only be able to afford a few small projects. Because physical development projects (which are usually called capital projects) are an investment that will benefit the community for many years to come, municipalities can borrow money to initiate a capital project.

## Capital expenses

A capital budget is used to cover the following expenditure items:

<p><b>1 Infrastructure</b> Items that constitute infrastructure may include:</p> <ul style="list-style-type: none"> <li>• land and buildings</li> <li>• roads, pavements, bridges and storm water</li> <li>• water reservoirs and reticulation</li> <li>• car parks, bus terminals and taxi ranks</li> <li>• electricity reticulation</li> <li>• sewerage purification and reticulation</li> <li>• housing</li> <li>• street lighting</li> <li>• refuse sites.</li> </ul>	<p><b>2 Community</b> These are projects that develop the community. They include:</p> <ul style="list-style-type: none"> <li>• parks and gardens</li> <li>• sports fields</li> <li>• community halls</li> <li>• libraries</li> <li>• clinics</li> <li>• recreation facilities</li> <li>• museums and art galleries.</li> </ul>	<p><b>3 Other Assets</b> Other capital expenditure may not apply to all municipalities. It could include:</p> <ul style="list-style-type: none"> <li>• other motor vehicles</li> <li>• plant and equipment</li> <li>• office equipment</li> <li>• abattoirs</li> <li>• markets</li> <li>• airports</li> <li>• security measures.</li> </ul>	<p><b>4 Specialised vehicles</b> Municipalities, especially metropolitan and district, may need to acquire specialised vehicles. Budget items could include:</p> <ul style="list-style-type: none"> <li>• refuse trucks</li> <li>• fire engines</li> <li>• conservancy vehicles</li> <li>• ambulances</li> <li>• graders etc.</li> </ul>
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Ward Committee councillors need to be sure that capital projects embarked upon are in the best interests of the community, and that they fit in with district and provincial plans.

## Capital revenue

Most capital projects are expensive and require large sums of money. Municipalities cannot afford to finance capital projects over a period of one year. They may have to borrow the money to finance some of the projects and then repay such loans over the useful life of the item and they may to some extent rely on grants from other spheres of government.

Municipalities may get money from both internal and external sources.

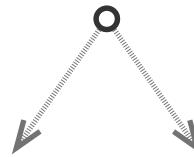
<p><b>1 Internal sources:</b> generated by the municipality itself, e.g. rates and taxes and services such as leasing of buildings and user charges or tariffs.</p>	<p><b>2 External sources:</b> These are generated from outside the municipality such as loans obtained from commercial institutions. For example: the Development Bank of Southern Africa (DBSA), provides a large number of loans to municipalities. This type of loan charges high interest rates and is not always suitable for small municipalities who will find it difficult to repay the loans. Other external loans are obtained from the capital market such as commercial banks. Many municipalities are not credit worthy, which makes it difficult for them to borrow money. The government still needs to find ways of overcoming these problems. Grants and subsidies can be from national or provincial government and also from district municipalities.</p>
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### 3.1.1 Why is a budget important?

The annual budget of a municipality indicates where and how the public money in that municipality will be used. This is the municipality's *expenditure*. It also specifies where local government will receive revenue from.

Because the budget will influence the distribution of resources throughout the municipality it should be regarded as one of the most important decision-making processes in local government. The executive mayor of the municipality (or councillor responsible for finance if there is no executive mayor) is ultimately responsible for preparing the budget for their municipality. It is the duty of the municipality administration to support the process of preparing a budget by supplying the financial and technical information that is required.

The budget must adhere to the principles of  
transparency and accountability.



**Source:**

Enhancement programme for Ward Committees, councillors & officials, Module 6, Planact, 2001, page 12

**Accountability**

Any activity which has financial implications must be described and approved in the budget. Any financial decision that has an impact on expenditure or income has to be justified. Accountability goes with responsibility for decisions made.

**Budgets should not be made in secret!**

**Transparency**

To be able to participate in the budget decision-making process, communities and business should have access to valid and understandable financial information.

**Budgets should be accessible to the community!**

### 3.1.2 What does an operating budget look like?

The table on the following page shows the operating estimates for 1999/2000 for the Greater Johannesburg Metropolitan and Local Councils.

1998/2000 OPERATING ESTIMATES  
GREATER JOHANNESBURG METROPOLITAN AND LOCAL COUNCILS

DESCRIPTION	TOTAL ESTIMATE 1999/2000 R000	MC R000	EMLC R000	WMILC R000	NMILC R000	SMILC R000
Salaries and allowances	1 958 898	884 375	236 584	242 377	422 584	172 978
General expenses	5 339 562	3 304 240	532 166	396 587	742 981	252 477
Repairs and maintenance	310 235	221 995	15 535	28 120	34 617	9 968
Capital charges	1 108 207	639 502	129 629	119 254	132 801	87 021
Contributions to capital outlay	6 777	4 039	772	596	1 089	281
Contributions	24 040	15 000	500	1 199	5 871	1 470
Extra-ordinary expenditure	1 006 556	212 000	528 737	150 819	88 000	27 000
Grants in aid	14 790	4 300	4 590	5 000	900	
Gross expenditure	9 557 954	5 181 151	1 448 223	943 542	1 432 943	552 095
Less: amounts charged out	1 259 717	860 648	82 005	99 435	176 843	40 786
Expenditure	8 298 237	4 320 503	1 366 218	844 107	1 256 100	511 309
Income	8 439 237	4 461 503	1 366 218	844 107	1 256 100	511 309
Surplus transferred to: rate account	(141 000)	(141 000)				
GRAND TOTAL						

JNOF eInpow

**Source:**

Enhancement programme for  
Ward Committees, councillors  
& officials, Module 6, Planact,  
2001, page 29

## 3.2 IDP and municipal budget

The MFMA, 2003 requires that the municipal budget matches the IDP. Linking the municipal budget to the IDP ensures that councillors are accountable to their communities and that the needs of those they represent are addressed and become a reality. The priorities identified in the IDP should be tied to *capital* expenditure in the municipal budget.

The IDP should be reviewed by the council once a year. The council should also review the budget at the same time. IDPs should fit in with the IDPs of other municipalities in the area, and the growth plans of both the provincial and national spheres of government. This can save time and money.

### 3.2.1 Municipal budget hearings and Ward Committees

Budget hearings are special briefing meetings which ward councillors should use to discuss developments in the budget and explain variations from original plans.

Budget hearings ensure that the requirements of the MFMA, 2003 are met in terms of community participation in the process of budgeting. Municipal budget hearings allow Ward Committees to participate in the development of the municipal budget.

The MFMA, 2003 requires that municipalities produce reports on the progress of service delivery in their areas. These reports provide communities with the means to monitor development.

The major role of councillors in local government is to interpret the needs of the communities. Ward Committees play a role by assisting councillors in getting this information from the community. They can do so by holding community meetings and special IDP consultation meetings. During the budget negotiations, councillors should advise the community what effect the key decisions will have on them. Again, Ward Committees play a role in supporting councillors in informing communities.

### 3.2.2 Planning Ward Committee participation

The ward councillor has to approve the budget. He or she must ensure that there is proper consultation with the Ward Committee and stakeholders before approving the budget. Ward Committees play an important role in the process and they should look carefully at all the parts of the budget that will affect the people in their area.

‘Ward Committees have the right and duty to ask questions and make recommendations to the council on the best ways to generate (make) income, keep costs down, prevent corruption and protect the assets of the municipality.’

<http://www.paralegaladvice.org.za/docs/chapo6/05.html#budget>

Municipal budget hearings allow Ward Committees to participate in the development of the municipal budget.

A Ward Committee may have identified specific priority projects during the community based planning process. In such instances Ward Committee members need to make sure that money is, in fact, being spent on these priorities.

Ways in which Ward Committees can participate:

All members of the community have the right to observe the special council meeting when the budget is debated and voted on. Ward Committees should ensure that public participation is encouraged by publicising this meeting.

Ward Committees should also be given regular feedback on the *cash flow* of the municipality. 'Cash flow' is the movement of money into and out of the municipality's bank account.

If too much money is spent and not enough money is raised then the municipality will eventually go bankrupt. Ward Committees have a right to ask questions about how well the 'cash flow' is being planned, monitored and followed up by the treasurer and executive or mayoral committee.

Ward Committee members can also play a positive role in the 'cash flow' of the municipality by:

- setting an example and paying all rates and taxes for services
- encouraging others to pay their rates and taxes
- challenging any waste of municipal money that you hear about and asking for an investigation
- making your councillor accountable for fighting corruption or wastage of municipal funds.

**Source:**  
<http://www.paralegaladvice.org.za/docs/chap06/05.html#budget>

### 3.2.3 Budget cycles

The stages of preparing a budget are reflected in a plan called the *budget cycle*. Community members and Ward Committees need to be aware of this cycle so that they can participate meaningfully. Three budgets operate at the same time in a municipal council: previous year's budget, current year's budget and the forthcoming medium-term budget. This is called multi-year budgeting.

The table on the following page shows different ways that Ward Committees can be involved in the different stages of the budgeting process.

The annual budget must reflect the goals of the IDP.

BUDGETING PHASE	WHAT CAN BE DONE BY WARD COMMITTEES
Planning	<p>Develop community consultation forums.</p> <p>Ensure municipal councillors know their communities, visit them regularly and listen to community problems and needs.</p> <p>Think ahead and identify the services they would like for their communities in a few years.</p> <p>Be aware of developments in other municipalities – learn from their ideas and experiences.</p> <p>Take note of deadlines that will affect their wards.</p>
Strategising	<p>Review the past performance of the municipality – understanding the result of consultative processes.</p>
Preparing	<p>Keep the community informed about the process.</p>
Tabling	<p>Make sure that community members understand the budget summary and specifics relating to the ward.</p> <p>Ensure that Ward Committee members are involved in consultation forums.</p> <p>Ensure appropriate consultation responses are reported back to council.</p>
Approval	<p>Ensure that community concerns have been heard.</p> <p>Feed documentation to the local community and make sure it is readily available.</p>
Finalising	<p>Make sure that community members understand the final budget, SDBIP and performance agreements.</p> <p>Note where these are published and ensure that community members understand them.</p>
Multi-year budgets	<p>Ward Committee involvement.</p>
Previous year's budget	<p>Ensure that the council is accountable for its past performance.</p> <p>Give feedback from the community to the council once they have reviewed how the funds were spent.</p> <p>Give feedback from the community to council on the Auditor-General's reports on the financial management of the municipality.</p>
Current year's budget	<p>Encourage those in their wards to pay their rates and taxes.</p> <p>Challenge any waste of municipal money that they hear about and ask for an investigation.</p> <p>Make their councillor accountable for fighting corruption or wastage of municipal funds.</p> <p>Keep up to date with reports on council revenue collection and service delivery.</p> <p>Mobilise their communities to ensure that problems are identified and reported to their councillors and expect that they will be remedied.</p>
Forthcoming budget	<p>As planning for this budget begins a year in advance Ward Committees must give feedback after consultation with the community.</p>





## CHAPTER 3 ACTIVITIES

Time: 3 hours 30 minutes

Resources: Income and expenditure table, case study, operating budget table, Ward Committee involvement table.

These activities introduce participants to the municipal budgeting process. They familiarise participants with the different types of budgets and consider the relationship between the IDP and the municipal budget.

### ACTIVITY 3.1

#### Understanding budgeting

**Facilitation method:** Plenary

- Ask the questions on page 54
- Explain that a budget includes **EXPENSES** and **INCOME**.
- Ask participants to provide examples of what they would include in expenses and income for a household budget when drawing one up. Record these line items on the flipchart under two columns, namely **EXPENDITURE** and **INCOME**. Expenditure could include, telephone, electricity, school fees. Income could include salary, rent (if they rent a room in their home or if they own other property), additional work that they may do that brings in income.
- Explain what an **OPERATING BUDGET** is, outlining what items are included as operating expenses and operating revenue, and what a **CAPITAL BUDGET** is, outlining the items that would be included in capital expenses and those that would be included in capital revenue.



**Discussion point:**

- Indicate that in a successful budget the income either matches expenditure, or more importantly is more than expenditure. This latter scenario gives people extra money, either for savings, or emergencies.

Answer the following questions in plenary:

QUESTION 1 What is a budget?

QUESTION 2 Why is it important?

QUESTION 3 Do you have a monthly budget ?

Budget table

E.g.	EXPENDITURE	INCOME

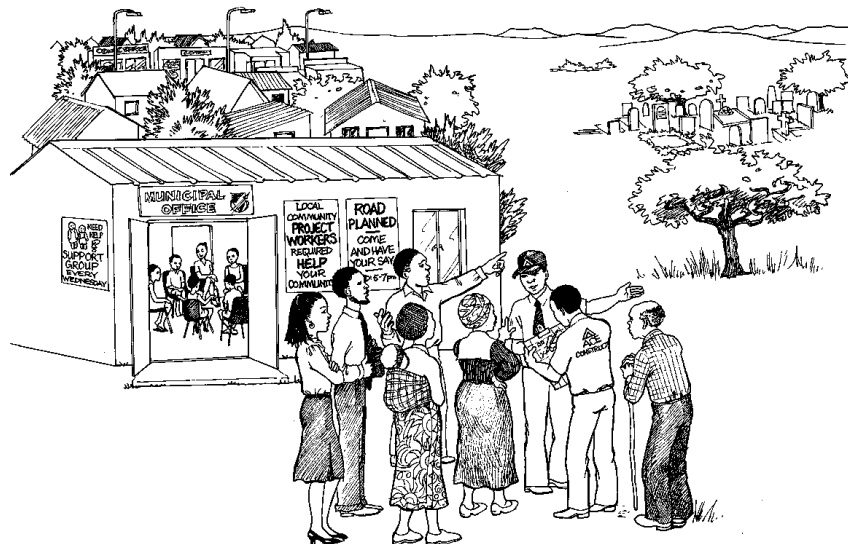
Expenses to be written in this column

Fill in income here

Answer the following questions in plenary:

QUESTION 1 What is your role as a member of a Ward Committee in the budgeting process? Take responses.

QUESTION 2 Is this different to that of a ward councillor and if so how?



# ACTIVITY 3.2

## Developing an operational budget

module four

**Facilitation method:** Small groups of 4

- Explain that groups should think of a municipality with which they are familiar and develop an operating budget for an imaginary municipality.
- Give groups 30 minutes to develop the operating budget for a municipality. They need to record possible line items for **OPERATING INCOME** as well as the line items for operating expenditure. They should draw up the following table on flipchart paper and fill it in.
- Invite groups to put up their operating budget on the wall and go round the room with participants to look at each operating budget. Go through the budgets and invite responses from participants and correct and amend where necessary.



ACCOUNTS	OPERATING EXPENDITURE	OPERATING INCOME
1.		
2.		
3.		
4.		
<b>BALANCE</b>		

# ACTIVITY 3.3

## Ward Committee involvement in budgeting

**Facilitation method:** Pairs and small groups of 4

- Put the questions up on the flipchart. Participants work in pairs (talking to the person next to them) and brainstorm responses (give them 10 to 15 minutes to consider the questions).
- Put the table below up on an overhead, or use a data projector. If you do not have either of these items, write the table up on the flipchart.
- In groups of 4 participants draw a two-column table on newsprint and then brainstorm ways in which Ward Committees can be involved in the different stages of budgeting, marking down ideas in the second column.
- Give participants 10 to 15 minutes to consider the questions.
- Invite one group to present their table to the plenary. Then invite other groups to add to or comment.



**QUESTION 1** What is the purpose of a budget hearing?

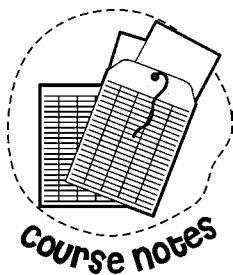
**QUESTION 2** What are the items that would be included in the agenda of a budget hearing?

BUDGETING PHASE	WHAT CAN BE DONE BY WARD COMMITTEES
Planning	
Strategising	
Preparing	
Tabling	
Approval	
Finalising	
Multi-year budgets	
Previous year's budget	
Current year's budget	
Forthcoming budget	

# CHAPTER 4

module  
four

## Municipal service delivery and performance management systems



### Introduction

IT IS A LEGAL REQUIREMENT THAT EACH MUNICIPALITY DEVELOPS a performance management system (PMS). The aim of the PMS is to account for the use of municipal resources, improve the efficiency and effectiveness of organisations and show the achievement of outcomes.

Performance management is closely aligned to service delivery, both of which are defined by the *Batho Pele* strategy which was introduced in 1997.

“ *BATHO PELE*, A SOTHO TRANSLATION FOR ‘PEOPLE FIRST’, IS AN INITIATIVE TO GET 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 AND TRANSPARENT MECHANISM, WHICH ALLOWS CITIZENS TO HOLD PUBLIC SERVANTS ACCOUNTABLE FOR THE LEVEL OF SERVICES THEY DELIVER. ”

#### References!

*White Paper on Transforming Public Service Delivery, DPSA, 1997; Batho Pele Handbook: A service delivery improvement guide, DPSA; Municipal Structures Act, 1998 and the Municipal Systems Act, 2000; Municipal Planning and Performance Regulations, 2001, Guidelines: Sustainable Municipal Infrastructure Provision and Service Delivery Applicable from 1 April 2007*

#### Source:

*Batho Pele Handbook: A Service Delivery Improvement Guide*

VISION

Municipal infrastructure provision is aimed at providing all South Africans with the necessary access to municipal services to its communities in a sustainable manner. An integral part of municipal infrastructure provision is government's drive to alleviate poverty and to assist in creating the base for economic growth.

*Guidelines: Sustainable Municipal Infrastructure Provision and Service Delivery, Applicable from 1 April 2007, dplg, page 2*

The *Batho Pele* principles have been developed to meet the following strategic objectives:

- to introduce a new approach to service delivery which puts people at the centre of planning and delivering services
- to improve the face of service delivery by fostering new attitudes such as increased commitment, personal sacrifice, dedication
- to improve the image of the Public Service
- by using the outputs of either process (i.e. the ward plan and the IDP) to inform the planning activities occurring in the other process
- by ensuring that participants in the CBP process are represented in the relevant IDP events through structures and processes currently provided for in the IDP methodology contained in the IDP Guide Pack (in particular the IDP Representative Forum and the Project Task Teams).

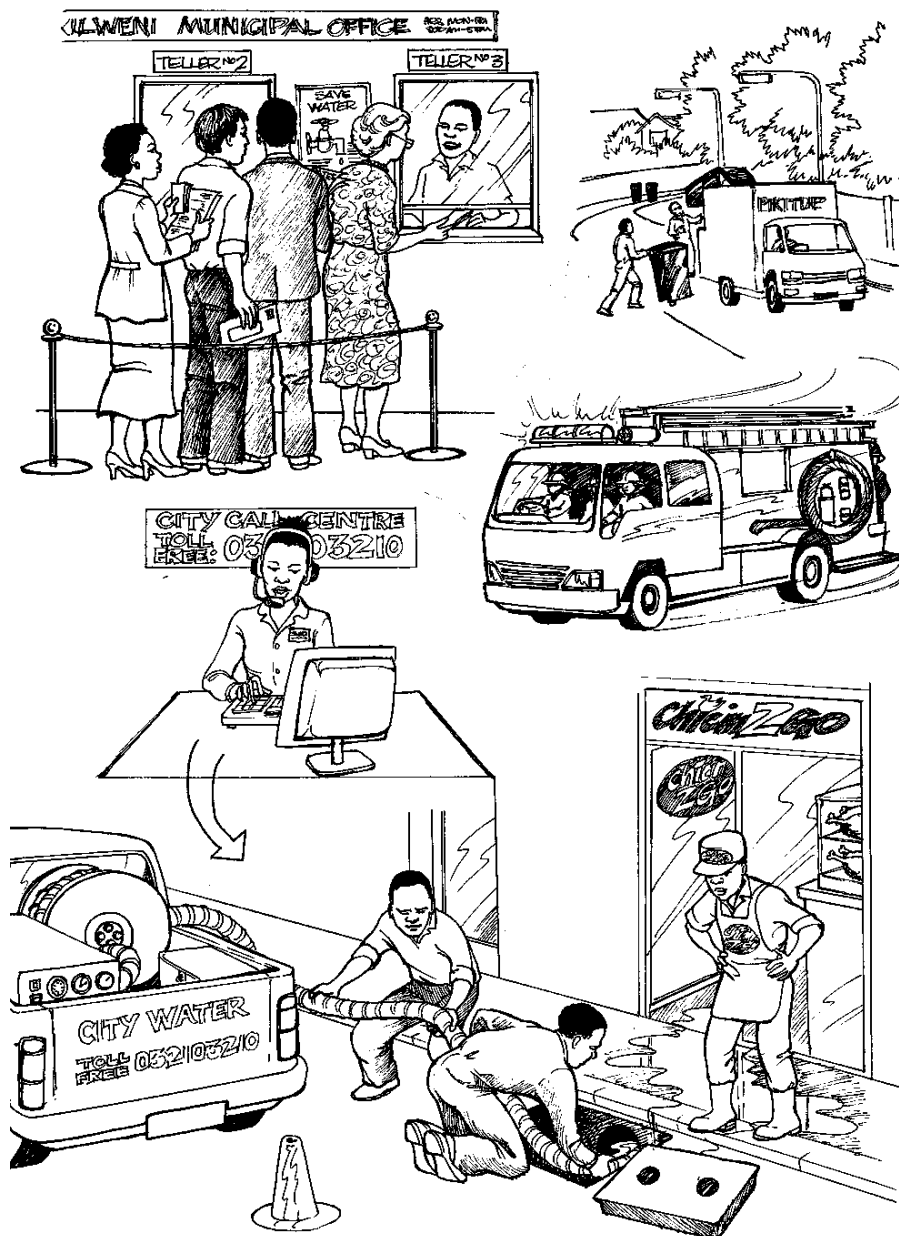
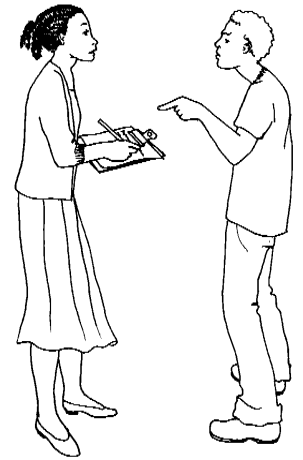
In this chapter we will look at the legal framework that forms the background to service delivery, the role to be played by Ward Committees and the systems that need to be set in place to ensure successful service delivery.



The eight principles of *Batho Pele* provide the framework for the way in which the municipality interacts with the community.

These principles have also formed the basis for PMS for local government.

module four



THE 8 PRINCIPLES OF BATHO PELE

- Consultation
- Service standards
- Access
- Courtesy
- Information
- Openness and transparency
- Redress
- Value for money

## 4.1 Legal framework and guidelines

“THE MISSION OF THE GOVERNMENT IS: THE CREATION OF A PEOPLE CENTRED AND PEOPLE DRIVEN PUBLIC SERVICE, WHICH IS CHARACTERISED BY EQUITY, QUALITY, TIMOROUSNESS AND A STRONG CODE OF ETHICS, ORGANISATIONAL EXCELLENCE AND QUALITY SERVICE DELIVERY.”

‘All public servants are exhorted to internalize these principles and make *Batho Pele* a way of life.’

*Batho Pele Handbook page 80*

Government has made a commitment to meet the basic needs of all citizens. The White Paper on Transforming Public Service Delivery, 1997 provides the policy framework for the transformation of public service delivery, as well as a strategy for practical implementation. It seeks to introduce a fresh approach to service delivery. It is also important to be familiar with the Municipal Structures Act, 1998, the Municipal Systems Act, 2000, and the Municipal Planning and Performance Regulations, 2001.

### 4.1.1 *Batho Pele White Paper, 1997*

The *Batho Pele White Paper, 1997* stipulates that departments at both national and provincial level must have performance management systems that include the setting of service delivery indicators and the measurement of performance.

Expanding upon the *Batho Pele* vision is the White Paper on Local Government, 1998 which lists as the criteria for the realisation of developmental local government:

- integrated development planning and budgeting
- performance management
- working together with local citizens and partners.

### 4.1.2 *The Municipal Structures Act, 1998 and the Municipal Systems Act, 2000*

The Municipal Structures Act, 1998 and the Municipal Systems Act, 2000 are the two pieces of legislation that give effect to the White Paper (see Chapter 1 page 16 for more information).

The Municipal Structures Act, 1998 requires municipalities to review annually:

- the needs of the community
- its priorities to meet the needs of the community, the processes for involving the community
- its organisational and delivery mechanisms for meeting the needs of the community
- the overall performance of the municipality.

‘A municipality... must involve the local community in the development, implementation and review of the municipality’s performance... and, in particular, allow the community to participate in the setting of appropriate key performance indicators and performance targets for the municipality.’

*Municipal Systems Act, 2000, chapter 6(42)*

**Reference!**

*Batho Pele White Paper, 1997*

**Reference!**

Municipal Structures Act, 1998 and the Municipal Systems Act, 2000



The vital role played by communities in the performance review and assessment process is stressed by these requirements. Communities are an essential component of the monitoring, measurement and review processes that are contained in the PMS, and must ensure that their councillors follow the recommendations of the regulations for consultation when the PMSs of their municipalities are implemented.

### 4.1.3 Municipal Planning and Performance Regulations, 2001

The nature of performance management systems is set out in the Municipal Planning and Performance Regulations, 2001 Chapter 3 Section 7. According to this legislation:

“ A MUNICIPALITY’S PERFORMANCE MANAGEMENT SYSTEM ENTAILS A FRAMEWORK THAT DESCRIBES AND REPRESENTS HOW THE MUNICIPALITY’S CYCLE AND PROCESSES OF PERFORMANCE PLANNING, MONITORING, MEASUREMENT, REVIEW, REPORTING AND IMPROVEMENT WILL BE CONDUCTED, ORGANISED AND MANAGED, INCLUDING DETERMINING THE ROLES OF THE DIFFERENT ROLE-PLAYERS. ”

The MP&PM Regulations, 2001 are closely connected to the Municipal Systems Act 2000 and were made after consultation with the MECs for local government and organised local government representing local government nationally. The regulations serve to give further detail to issues set out in the MSA, 2000.

These regulations state that

- (1)(a) 'A municipality must set key performance indicators, including input indicators, output indicators and outcome indicators, in respect of each of the development priorities and objectives referred to in section 26(c) of the Act.
  - (b) A key performance indicator must be measurable, relevant, objective and precise.
- (2) In setting key performance indicators, a municipality must ensure that-
  - (a) communities are involved; and
  - (b) the key performance indicators inform the indicators set for:
    - (i) all its administrative units and employees; and
    - (ii) every municipal entity and service provider with whom the municipality has entered into a service delivery agreement.

#### Reference!

*Municipal Planning and Performance Regulations, 2001 Chapter 3 Section 7*

Remember: Key performance areas in a ward are those identified through the IDP and implementation processes so it is important for Ward Committees to be involved in those processes. The PMS reports that are submitted to national government influence the fiscal decisions made and therefore what money is made available for development plans.

#### 4.1.4 Guidelines: Sustainable Municipal Infrastructure Provision and Service Delivery Applicable from 1 April, 2007

The **dplg** has developed guidelines for the Sustainable Municipal Infrastructure Provision and Service Delivery to enable government's fulfilment of its constitutional obligation to provide basic municipal services. The guidelines provide a single reference point for key policy principles on sustainable municipal infrastructure provision and service delivery.

The objectives of the guidelines are to:

- express the common understanding of the vision of sustainable municipal infrastructure provision and service delivery
- provide the common understanding and instil the objectives and principles of sustainable municipal infrastructure provision and service delivery with stakeholders to assist with compliance when infrastructure is delivered
- serve as a basis for the development of various strategies to meet the demand in sustainable municipal infrastructure provision and service delivery.

Basic municipal services are defined as those services that are necessary to ensure an acceptable and reasonable quality of life and which if not provided, would endanger public health, safety and the environment).

MSA, 32, 2000 Chapter 1

*'Batho Pele!* Let this be our rallying cry as we acknowledge that the tide has indeed turned from a period of rigid and untransformed public service to one that is putting all citizens first through service delivery excellence.'

Geraldine J. Fraser-Moleketi, Minister for Public Service and Administration



The most important basic services that municipalities must ensure their areas have:

- water supply
- sewage collection and disposal
- refuse removal
- electricity and gas supply
- municipal health services
- municipal roads and storm water drainage
- street lighting
- municipal parks and recreation.

## 4.2 The role of Ward Committees in service delivery

“ PUBLIC SERVICE DELIVERY IMPROVEMENT CONTINUES TO BE A CHALLENGE THAT REQUIRES THE COMMITMENT OF ALL PUBLIC SERVANTS TO WORK TOWARDS, NOT ONLY MEETING GOVERNMENT’S OBJECTIVES BUT ALSO SATISFYING THE ASPIRATIONS OF MEMBERS OF THE PUBLIC FOR ACCESS TO QUALITY SERVICES AND A BETTER LIFE FOR ALL. NOTHING SHOULD JUSTIFY OUR FAILURE TO RESPOND TO THESE EXPECTATIONS, AS THEY ARE LEGITIMATE AND NOBLE. ”

**Source:**  
Geraldine J. Fraser-Moleketi,  
Minister for Public Service and  
Administration, <http://www.dpsa.gov.za/batho-pele/index.asp>

Ward Committees and residents can play a key role in the planning and delivery of municipal services in the following ways

- **PLANNING:** Residents, NGOs, CBOs and political parties work together to develop proposals for council to consider, as well as encouraging the municipality to use existing capacity in infrastructure implementation, and to support partnerships with community-based organisations which might have skills to facilitate development initiatives.
- **FOLLOW-UP AND FEEDBACK:** Insisting on regular reports on municipal projects and services to the Ward Committee and at public meetings in their wards so that residents are kept informed of progress and/or problems. Constructive suggestions for improvement should be made, and, where possible, the community can be enrolled in solving the problem.
- **YEARLY PERFORMANCE REVIEWS:** Council should report regularly to the Ward Committees and communities on their budget and performance reviews, as part of community meetings. If your committee does not get a regular performance report from your council, let the mayor know that your Ward Committee expects better performance from a democratic local government.
- **MONITORING:** Communities can request the municipality to appoint a committee of community representatives to monitor processes as well as to advise the municipality on priorities for service extension and improvement. Ward Committee members can also serve as committee members.
- **EVALUATION:** Communities or their representatives can also play a role in the evaluation of potential service providers, the involvement of communities in service provision and monitoring of the service providers.

**Source:**  
Having your say: A handbook  
for Ward Committees, **dplg**, GTZ  
and SALGA, 2005

Ward Committees need to:

1. Hold the municipality accountable for providing services that are:
  - equitable and accessible;
  - provided in a manner that is conducive to –
    - the prudent, economic, efficient and effective use of available resources and
    - the improvement of standards of quality over time;
  - financially sustainable;
  - environmentally sustainable;
  - regularly reviewed with a view to upgrade, extension and improvement.
2. Evaluate service providers by tracking standards and progress of projects and their impact.

**Source:**

*Guidelines: Sustainable Municipal Infrastructure Provision and Service Delivery*  
 Applicable from 1 April 2007,  
**dplg**, page 4

Ensuring effective service delivery requires a system which allows for the accurate measurement of performance by those responsible for service delivery and the means to hold them accountable. The Municipal Systems Act, 2000 requires that elected councillors develop a PMS to assess service delivery and implementation of the IDP, and that municipalities involve the community in performance management. This process includes setting the performance management targets and reviewing them.

Performance management is a systematic process which enables a municipality's elected representatives, municipal officials, residents and communities and its employees to improve its organisational effectiveness.



### 4.3 Setting up performance management systems

“EACH MUNICIPALITY IS LEGALLY REQUIRED TO DEVELOP A PERFORMANCE MANAGEMENT SYSTEM (PMS) THAT WILL ENHANCE ORGANISATIONAL EFFICIENCY AND EFFECTIVENESS, ACCOUNT FOR THE USE OF MUNICIPAL RESOURCES AND INDICATE THE ACHIEVEMENT OF OUTCOMES. A PMS IS ALSO ABLE TO ACT AS AN EARLY WARNING MECHANISM AS IT REFLECTS NON-PERFORMANCE OR UNDERPERFORMANCE, THUS ALLOWING FOR RELEVANT INTERVENTION FOR IMPROVEMENT.”

A PMS sets indicators for performance and therefore enables local government and citizens to measure achievements against these indicators. Where it demonstrates non-performance, it facilitates the required intervention. It includes the phases of planning, follow-up and feedback and yearly performance reviews.

Key Performance Indicators (KPI) are tangible, measurable goals that the municipality has agreed to achieve by a particular time. These KPIs can be used to evaluate how well a council and municipality has delivered according to the plans reflected in the IDP, and to hold them accountable. They are specific to each municipality and need to reflect the priorities identified in the Integrated Development Plan.

The indicators promote:

- accountability
- certainty and predictability
- correction of poor performance
- recognition of excellent performance.

When developing the PMS the municipality must set its own KPIs, which include:

- input indicators
- output indicators and outcome indicators

in respect of their development priorities and objectives.

The KPIs apply to the municipality’s administrative units and employees, as well as every municipal entity and service provider that the municipality has a service delivery agreement with.

The KPIs must be reviewed annually by the municipality as part of its performance review process and if the municipality amends its IDP it must also review its KPIs. Feedback from Ward Committees must be considered in the review of KPIs. This process ensures accountability and promotes consensus between the community and the council. It also works towards ensuring that the PMS is viewed as credible by the community.

**Source:**  
Having your say: A handbook for Ward Committees, **dplg**, GTZ and SALGA, 2005, page 99

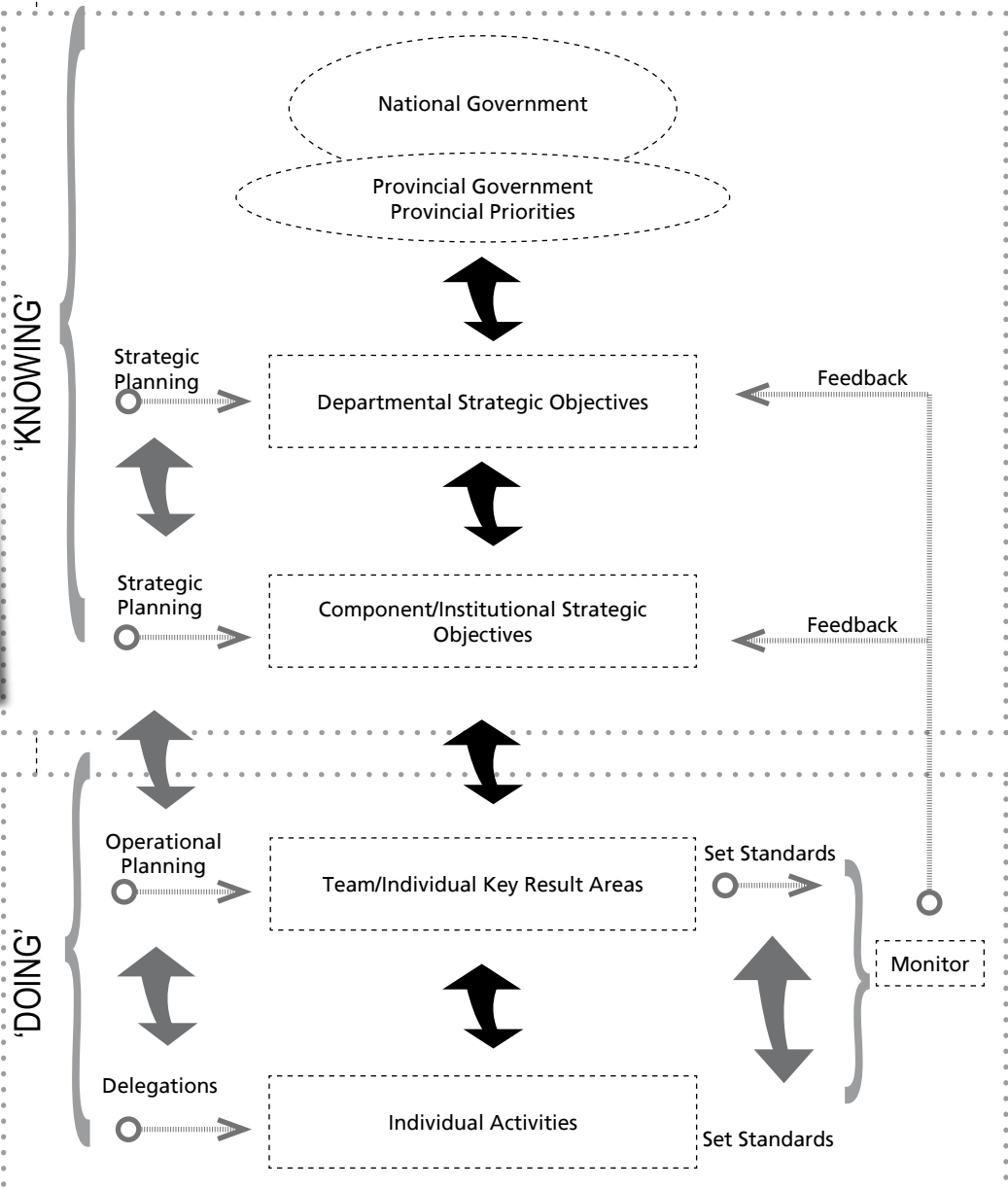
The *Batho Pele Handbook* (available on [www.dpsa.gov](http://www.dpsa.gov)) was developed to enable the public service to move from ‘knowing’ to ‘doing’.

It is important that all stakeholders understand their role, and that it is valued and enhanced so to enable their meaningful involvement in development planning.

The successful delivery of sustainable infrastructure services is dependent on a clear understanding of the roles and responsibilities of stakeholders in infrastructure provision. Responsibility for performance management rests with the municipal manager.

Municipal IDPs identify projects with clear deadlines and progress indicators. An important role of councillors is to monitor municipal performance in terms of these key deliverables. Ward Committee members should make sure they are familiar with the key performance indicators and performance targets which are set in the IDP of their municipality so that they are able to assess progress.

The diagram below shows how objectives set during the planning stage are transformed into Key Result Areas (KRAs) and activities that will give effect to the strategic plan.



**Reference!**

*Batho Pele Handbook: A Service Delivery Improvement Guide, page 57*

Remember: performance management is a tool for measuring the performance of individual employees as well as the performance and delivery of services of a municipality.

### 4.3.1 Roles and responsibilities of stakeholders

The successful delivery of sustainable infrastructure services requires building a partnership with stakeholders which includes members of the community, municipal officials, councillors, community development workers, traditional leaders and service providers.

The **dplg**/GTZ *Making Ward Committees* Function resource book outlines some of the potential partners such as:

SERVICE OR MUNICIPAL GROUPS	These may be civil society organisations formed specifically to ensure performance by the municipality in key performance areas. For example a ratepayers association that monitors delivery of cleanliness and maintenance of a local park. Their task is to monitor and check that the project (e.g. maintenance of parks) is carried out by regularly visiting the particular area and bringing to the notice of the Ward Committee when this service is not being implemented.
SPECIALIST GROUPS	For example, if a project is in place to build permanent housing in an area an environmental group could be consulted to conduct a survey as to the suitability of the suggested area. Their task is to fulfil the instruction or brief that has been given to them and provide regular progress reports.
TRADITIONAL LEADERS	This is an important constituency, especially in rural areas, whose support will be helpful in identifying a particular challenge: for example cutting down trees for firewood in an area that may be causing bad soil erosion. Traditional leaders can assist in mobilising the community into seeking an alternative source of fuel and finding ways to rehabilitate the soil.
COMMUNITY DEVELOPMENT WORKERS	CDWs are a link between communities and all government spheres and departments. As they work closely with communities they can assist in identifying specific areas of need.
SERVICE PROVIDERS	Service providers are secured for specific projects, e.g. road construction, and need to be consulted and kept up to date with the requirements of the community. Their task is to provide the service that they are contracted to.

All these stakeholders contribute to upgrading services and effective delivery. However, each and every role-player must have a full understanding of how they contribute to the overall project. It is important that their responsibilities are recorded in development planning.

**Reference!**  
 Batho Pele Handbook: A  
 Service Delivery Improvement  
 Guide, page 58

Performance/ Action Plan

KEY RESULT AREAS (IN ORDER OF PRIORITY)	ACTIVITIES	STANDARDS	KEY PERFORMANCE INDICATORS	RESPONSIBLE PERSON	COMMENTS (RISKS & CONTINGENCIES)
1	a)	Quantity Quality Time Cost			
	b)	Quantity Quality Time Cost			
2	a)	Quantity Quality Time Cost			
	b)	Quantity Quality Time Cost			
	c)	Quantity Quality Time Cost			

KPAs to be filled in this column

Projects & activities go here

Fill in QOTC standards here

KPIs should be filled in here



The table on the previous page is a template that can be used to indicate the key performance areas of a performance plan. KRAs are broken down into activities which have the service standards of QUANTITY, QUALITY, TIME and COST attached to them. KPIs and those responsible for different activities must also be indicated so that there is a mechanism for monitoring progress.

Municipality's have different interests and they may find that they compete with each other. The performance management system should incorporate as many of these interests as are viable and sustainable. There will also be different needs in rural communities to those of urban municipalities.

The PMS of a municipality must include the issues which have been identified by the council as relating directly to key performance areas of their municipality.

The following key performance indicators must be part of each municipality PMS to the extent that they are applicable to that municipality. These are national indicators that are issued by the Minister after consultation with the provincial MECs for local government and SALGA.

National KPIs

1. The percentage of households with access to basic level of water, sanitation, electricity and solid waste removal.
2. The percentage of households earning less than R1 100 per month with access to free basic services.
3. The percentage of a municipality's capital budget actually spent on capital projects identified for a particular financial year in terms of the municipality's IDP.
4. The number of jobs created through a municipality's local economic development initiatives including capital projects.
5. The number of people from employment equity target groups employed in the three highest levels of management in compliance with a municipality's approved employment equity plan.
6. The percentage of a municipality's budget actually spent on implementing its workplace skills plan.
7. Financial viability of the municipality.

These criteria highlight the importance of both the available budget and the IDP in the determination of the PMS. The PMS cannot exist in a vacuum and must be in line with the IDP. Similarly, it will not be an effective tool if it has unrealistic budgetary implications. This means that the councillors that are part of the development of the PMS must fully appraise themselves of the municipal budget and the IDP.

Local community participation in the working of the municipality is ensured through the functioning of Ward Committees and there is a legal requirement for the municipality to include local communities, through the Ward Committees, in setting KPIs and performance targets and to ensure community involvement in monitoring and reviewing these.



The municipality must develop KPIs for all its units, employees as well as its service providers.



Each KPI must contain performance targets. The regulations provide a number of criteria for performance targets:

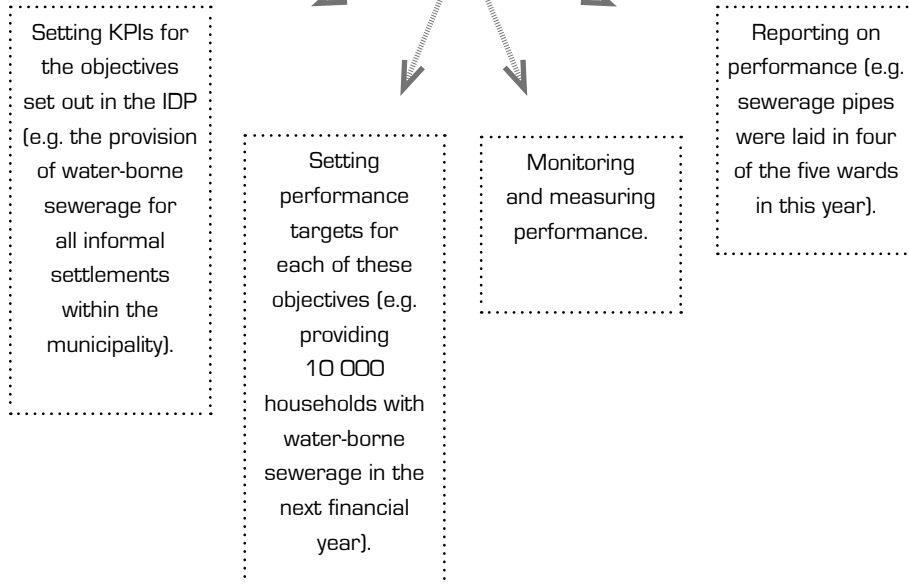
- be practical and realistic
- measure the efficiency, effectiveness, quality and impact of the performance on the municipality as a whole, the administrative component such as the various units within the municipality, e.g. finance unit, structure, body (this could be a service provider to the municipality) or person (such as the municipal manager or the chief financial officer) for whom the target has been set
- be commensurate with available resources
- be commensurate with the municipality's capacity
- be consistent with the municipality's development priorities and objectives set out in its IDP.

**Source:**

MP&PMR, 2001 Section 12(2)

Performance reports must be submitted to the Auditor-General and provincial MECs every year. These reports must also be made available to the public.

Core components of a PMS



## 4.4 Budgeting for better service delivery

Better budgeting improves service delivery. Integrated planning, budgeting and monitoring of service delivery performance strengthens the link between the services that departments provide and the benefits and costs of these services. Performance measures make improved transparency and accountability for the management and use of public resources a reality.

Monitoring and measuring service delivery performance is a process of assessing progress towards achieving predetermined goals and is required for each main division of a budget vote in line with section 27(4) of the PFMA. Performance targets are set so as to improve the cost-effectiveness, efficiency and overall effectiveness of service delivery measures. The process of assessing progress may be used as a tool for self-assessment, goal-setting, monitoring progress and to facilitate communication with external customers.

Budgets for each financial year need to be prepared by municipalities. They must be approved by council before the new financial year begins. A draft budget must be prepared well in advance to allow for appropriate consultation with Ward Committees and other stakeholder groups in the area, involving communities in the planning process.

### The potential benefits of monitoring progress:

- improved quality of service and outputs
- greater accountability and control
- improved management practice
- clearer planning and budgeting
- better communication.

#### Source:

*Review and improvement of Public Service Standards in Provincial Departments, Manual 1, Office of the Premier, Eastern Cape & DPISA, 2005, page 32*

#### Reference!

Public Finance Management Act, 1999 27(4)



The financial year runs from 1 July of each year to 30 June of the next year, so a draft budget needs to be prepared a few months early to allow for ample consultation.

#### Source:

<http://www.paralegaladvice.org.za/docs/chap06/05.html>

“ ALL MEMBERS OF THE COMMUNITY HAVE THE RIGHT TO OBSERVE THE SPECIAL COUNCIL MEETING WHEN THE BUDGET IS DEBATED AND VOTED ON. ”

Ward Committees should also be given regular feedback on the 'movement of money into and out of the municipality's bank account (this is known as 'cash flow'), (See Chapter 3 3.2.2 for more information on 'cash flow'.)

Ward Committee members can also play a positive role in the 'cash flow' of the municipality by:

- setting an example and paying all rates and taxes for services
- encouraging others to pay their rates and taxes
- challenging any waste of municipal money that you hear about and asking for an investigation
- making their councillor accountable for fighting corruption or wastage of municipal funds.

Careless or inattentive budgeting with money being spent recklessly and not enough money being raised, will result in the eventual bankruptcy of a municipality.

“ WARD COMMITTEES HAVE A RIGHT TO ASK QUESTIONS ABOUT HOW WELL THE 'CASH FLOW' IS BEING PLANNED, MONITORED AND FOLLOWED UP BY THE TREASURER AND EXECUTIVE OR MAYORAL COMMITTEE. ”

## Conclusion

### Community ownership of the budget

Ward Committees play an essential role in the process of budgeting for service delivery. Proper consultation with the Ward Committee ensures community ownership of the budget, ensuring that citizens have been told about and understand all sections of the budget, and are fully aware of the implications of service delivery in their area.

**Source:**

<http://www.paralegaladvice.org.za/docs/chap06/05.html>



'Access to decent public services is no longer a privilege to be enjoyed by a few; it is now the rightful expectation of all citizens, especially those previously disadvantaged. This is why the guiding principle of public service transformation and reform is "service to the people".'

White Paper on Transforming Public Service Delivery, 1997

**Source:**

*Guidelines: Sustainable Municipal Infrastructure Provision and Service Delivery*  
Applicable from 1 April 2007, dplg, page 4



## CHAPTER 4 ACTIVITIES

Time: 3 hours 30 minutes

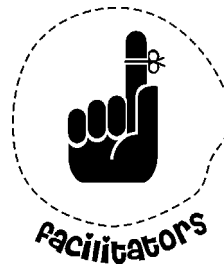
Resources: Seymour case study, participation questions, POWERPOINT B; clauses 40 to 44 of chapter 6 of the Municipal Systems Act, 2000

### ACTIVITY 4.1

#### The role of Ward Committees in service delivery

**Facilitation method:** Pairs

- Participants refer to the case study of Seymour.
- Participants rate the municipality by answering the questions in the table and indicating how they could participate more actively if they were community members.
- Go through the responses in plenary.



**Discussion points:**

- Discuss the ways in which Ward Committees and residents can play a key role in the planning and delivery of municipal services.
- Ask participants in the large group to add any additional ideas, and discuss any issues.

**CASE STUDY: SEYMOUR**

Seymour is a small rural service centre in the northern part of the former Ciskei homeland. It has a population of approximately 3 000 people. Around 80% of people in the area are unemployed and the illiteracy rate is approximately 60%.

There is a serious shortage of roads, water and electricity connections, and almost no water-borne sewerage.

Until the late 1970s Seymour was a relatively prosperous agricultural district. The economy was based on a major sawmill and a tobacco processing plant in the centre of the town. Tobacco, potatoes and citrus fruits were farmed commercially in the area.

The economic success of Seymour ended in the late 1970s. The entire district was zoned for inclusion in the Ciskei homeland. Property and buildings in the district were transferred to state control, and this led to the collapse of the economy of the area. Most of the farmers moved away from the area. The majority of the population (predominantly black) lost their jobs, and they had no access to land. Poor administration and management under the Ciskei state led to a decline in the service and employment offered by the town.

## LED interventions

In 1992, the civic structures in the town established the community-based Seymour development forum. It was comprised of SANCO (the South African National Civics Organisation), the ANC (including the Youth League, and the Women's League) and teachers' groups. The vision of the forum was to develop a broad-based development strategy that was intended to benefit all the residents of the town and strengthen the local economy.

The forum recognised their own capacity constraints and drew on external advice, support and funds. In 1992, they requested Corplan, a community-orientated NGO based in East London, to assist them with the drafting and implementation of an appropriate LED strategy. They were able to address many of the technical and administrative capacity gaps in the town and to access international funds.

The Masingedane Development Corporation was established as a Section 21 company. It aimed to raise and manage funding and implement LED strategies. Following a series of workshops, the community identified concrete strategies which Masingedane could pursue.

The Seymour community has been involved in a wide range of development projects since 1992 – all with varying degrees of success. The major projects undertaken since 1992 are outlined below. While not all the projects appear to have had a direct economic benefit they should be seen as providing employment and assistance to people hoping to be employed or hoping to start a development project.

**Development office:** This was probably one of the most important consequences of setting up the Masingedane Development Corporation. Masingedane provides development and support services to the community, including a small business desk, a community gardens support centre and an advice centre offering para-legal and social support. Its status as a Section 21 company has enabled it to successfully motivate for funding, to manage resources and to try and improve local conditions. In addition its physical existence in the centre of the town has made it a logical point of contact for both external development agencies and the local community. Unfortunately, funding constraints in recent years are impacting on its operations.

**Small business support:** In 1994 a British aid agency made funding available for the establishment of an LED desk. The aim of the LED desk is to provide training, small business support and loans. Despite this intervention, small businesses in the area have experienced a high failure rate as a result of the limited market for products in the town, the low incomes of most residents, lack of transport for the producers to sell their goods elsewhere and a general lack of training.

**Housing construction:** An application for funds from the National Housing Board to address the chronic housing problems in the area has been approved. However, delays in releasing the funds, land claims on the development site and the slow release of government land to the local community has seriously impeded the implementation of the project.

**Periodic market:** The initiation of a periodic market, linked with the bi-monthly state pension payout in the town, met with initial success. Unfortunately, the state's decision to pay pensions by cheque has impacted severely on the market. The lack of a nearby bank means that pensioners have to travel to Fort Beaufort to cash their cheques. The consequent loss of income to the settlement has been dramatic.

Other projects include the establishment of community gardens where crops are grown for subsistence, and the renovation of a neglected factory building near the centre of the town which was used for sales.

### Source:

Enhancement programme for Ward Committees, councillors & officials, Module 3, Planact, 2001, page 50

Answer the following questions

QUESTIONS	HOW COULD COMMUNITY MEMBERS PARTICIPATE?
1. Has there been thorough planning and budgeting for the project?	
2. Is the project sustainable?	
3. Has there been full community participation at all stages of the project?	
4. Does the project form part of an overall municipal, district or provincial development programme?	
5. Does the project offer training to community members, which will improve their ability to make money in the future?	
6. Does the project make the best use of local skills and resources?	
7. Will money spent on the project remain in the community?	
8. Will the project build the community's capacity to plan and manage future projects?	
9. Will the most needy and vulnerable people in the community benefit from the project?	
10. How can we make sure that they do?	
11. Have women in particular been enabled to play a full and active role in the project? Will the project produce an asset, which will be of long-term benefit to the community (e.g. road, dam, sewerage)?	
12. Does the project meet the broad objectives of national programmes such as the RDP?	
13. Can the community rightly say that they own and control the project?	
14. Have the maximum number of useful jobs been created by the project?	

## ACTIVITY 4.2

### Performance management systems

**Facilitation method:** Plenary

**Discussion points:**

- Discuss the phases of performance management. Follow this with a discussion of monitoring and evaluation processes.
- The following questions will help shape the session. Ask each question one at a time and take discussion on each before moving onto the next questions. Write up the main points on the flipchart.



#### Questions for discussion

**QUESTION 1** What is the purpose of a performance management system?

**QUESTION 2** What are the key components which a PMS must contain?

**QUESTION 3** What are the key monitoring and evaluation processes necessary to ensure service delivery, and what are the potential benefits of measuring progress?

**QUESTION 4** What are key result areas (KRAs)?

**QUESTION 5** What are key performance indicators (KPIs)?

**QUESTION 6** How are they used? Who uses them?

**QUESTION 7** How often is performance reviewed?



# ACTIVITY 4.3

## Key performance indicators

module  
four

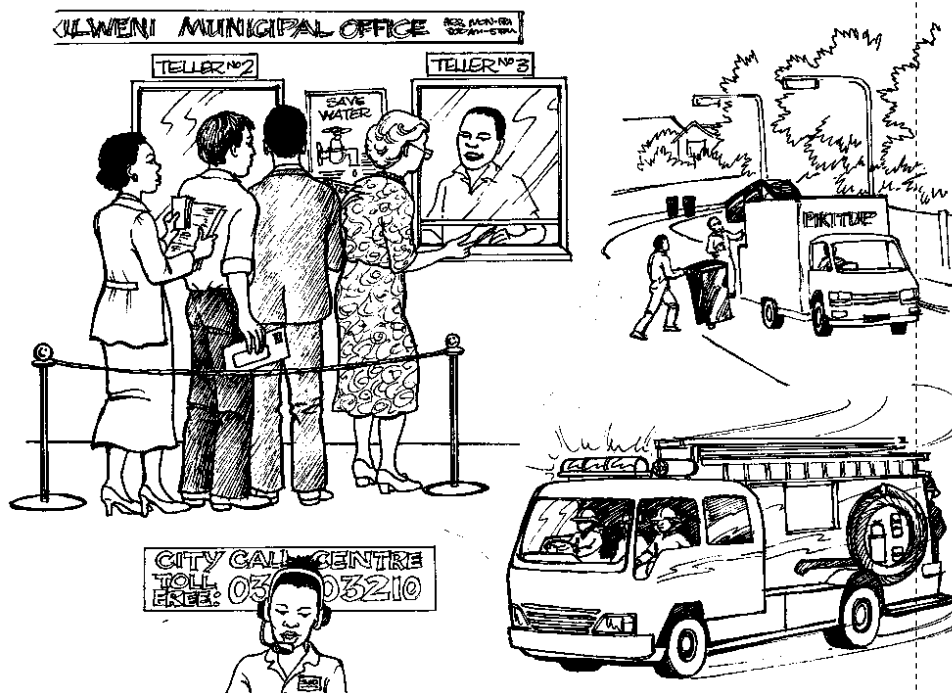
**Facilitation method:** Plenary

- Participants complete the tasks. Use the course notes on page 69 and the excerpt from the Municipal Systems Act, 2000 as a reference for the tasks



**TASK 1** List the KPIs which have been set by the Minister of Provincial and Local Government. Debate the implications of these for Ward Committee planning and service delivery.

**TASK 2** Discuss and agree on guidelines for identifying, screening and measuring KPIs in a PMS.



### Monitoring and review of performance management system

40. A municipality must establish mechanisms to monitor and review its performance management system.

### Core components

41. (1) A municipality must in terms of its performance management system and in accordance with any regulations and guidelines that may be prescribed –
- (a) set appropriate key performance indicators as a yardstick for measuring performance, including outcomes and impact with regard to the municipality's development priorities and objectives set out in its integrated development plan;
  - (b) set measurable performance targets with regard to each of those development priorities and objectives;
  - (c) with regard to each of those development priorities and objectives and against the key performance indicators and targets set in terms of paragraphs (a) and (b)
    - (i) monitor performance, and
    - (ii) measure and review performance at least once per year;
  - (d) take steps to improve performance with regard to those development priorities and objectives where performance targets are not met: and
  - (e) establish a process of regular reporting to
    - (i) the council, other political structures, political office bearers and staff of the municipality, and
    - (ii) the public and appropriate organs of state.
- (2) The system applied by a municipality in compliance with subsection (1)(c) must be devised in such a way that it may serve as an early warning indicator of under-performance.

### COMMUNITY INVOLVEMENT

42. A municipality, through appropriate mechanisms, processes and procedures established in terms of Chapter 4, must involve the local community in the development, implementation and review of the municipality's performance management system, and, in particular, allow the community to participate in the setting of appropriate key performance indicators and performance targets for the municipality.

### GENERAL KEY PERFORMANCE INDICATORS

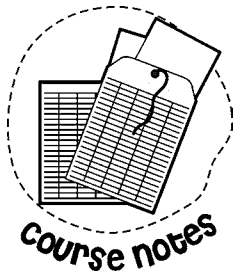
43. (1) The Minister, after consultation with the MECs for local government and organised local government representing local government nationally, may –
- (a) by regulation prescribe general key performance indicators that are appropriate and that can be applied to local government generally; and
  - (b) when necessary, review and adjust those general key performance indicators.
- (2) Key performance indicators set by a municipality must include any general key performance indicators prescribed in terms of subsection (1), to the extent that these indicators are applicable to the municipality concerned.

### NOTIFICATION OF KEY PERFORMANCE INDICATORS AND PERFORMANCE TARGETS

44. A municipality, in a manner determined by its council, must make known both internally and to the general public the key performance indicators and performance targets set by it for purposes of its performance management system.

# CHAPTER 5

## Service delivery: Implementation, challenges and evaluation



### Introduction

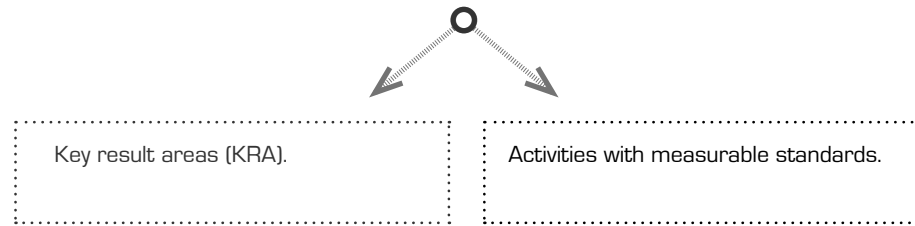
THE STRATEGIC OBJECTIVES OF A MUNICIPALITY need to be aligned with the departmental strategic objectives which are included in a strategic plan. The municipality's strategic objectives need to be developed and confirmed in consultation with communities. Once objectives have been identified by the strategic plan they need to be translated into key result areas (KRAs) and activities with measurable standards. This module focuses on the next stages in the development process, that is the implementation of the plan and evaluation of service delivery.

### 5.1 Implementation of a service delivery plan

#### 5.1.1 Translating planning into doing

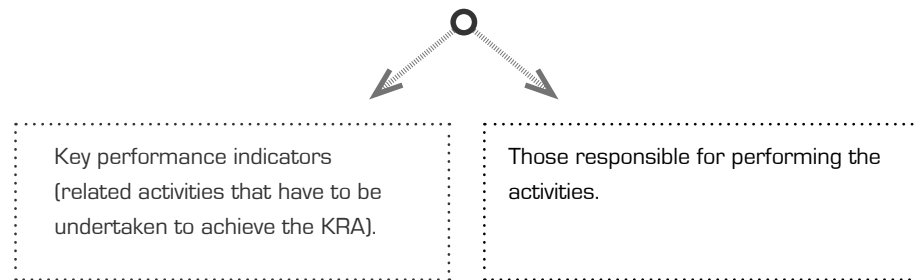
Once a strategic plan has been developed by a Ward Committee, municipality or an organisation, it is vital that it is translated into an operational plan.

Objectives have to be translated into



Operational plans must be monitored constantly to ensure that they remain aligned to the strategic plan's objectives.

An operational plan identifies:



Both the strategic and operational planning process should be integrated with all other organisational processes.



The following evidence will indicate that strategic plans have been translated into effective operational plans:

- performance agreements are in place
- job descriptions are in place
- an effective performance management system is implemented
- SMART standards are implemented
- customer complaints decrease
- customer satisfaction levels increase.

The effective implementation of operational plans will have the following outcomes:

- the achievement of organisational, provincial and national strategic objectives
- strategy will be turned into action
- improved service delivery
- incremental improvement in service delivery standards
- service awards achieved for excellent service delivery
- greater commitment by all staff at all levels in the organisation
- high levels of customer satisfaction are recorded
- improved job satisfaction and staff morale
- better and more effective staff.

## 5.1.2 Translating strategic goals into operational plans

The main objective of translating strategic to operational plans is to improve service delivery by achieving the organisational strategic objectives. Other objectives are to:

- deliver on organisational mandates – to move from ‘knowing’ to ‘doing’
- identify areas that will have the greatest impact on improving service delivery
- align daily activities with strategic objectives
- institutionalise an accountability framework so that managers and staff are held accountable for service delivery
- facilitate performance management by ensuring that all staff have agreed tasks with measurable standards
- promote staff development to ensure that they have the capacity to achieve their delegated tasks
- evaluate performance against strategic objectives and to publish these in annual reports
- ensure value for money and the optimal utilisation of resources.



### Example from *Batho Pele*

For example, a hospital manager may have as a KRA ‘identify and develop a system that will guarantee the safety and security of staff and patients’. This could be broken down into the following activities:

- gate and perimeter security
- parking attendants
- night guards
- fire drills and extinguishers
- crisis communications
- building maintenance.

Standards have to be allocated for each of these activities. For example, if we take the activity related to appointing parking attendants, the standards might be:

- **Quantity:** Appoint two shifts of five parking attendants/car guards.
- **Quality:** They must comply with national norms in terms of qualifications and experience.
- **Time:** They must be appointed by the end of January 2003.
- **Cost:** The cost must be within the budgetary provision for this item.

### Reference!

*Batho Pele Handbook: A Service Delivery Improvement Guide, page 59*

Key performance indicators must be measurable, relevant, objective and precise. The municipality must develop KPIs for all its units, employees as well as its service providers.

## 5.2 Engaging external role-players to assist in contributing towards service delivery

Local government is the sphere of government responsible for ensuring that communities receive quality services.

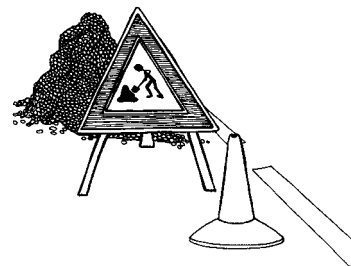
### Planning for service delivery and improvement

One of a municipality's most important tasks is to find out the needs of its citizens and how best to provide for these needs.

- Firstly, a municipality must determine what services it is providing, who is receiving them and what is the quality thereof. For example: How often is the refuse collected?
- Secondly, the municipality must determine what services should be expanded or improved. Are some areas in the community very dirty and poorly maintained?
- Thirdly, the priorities for expanding or improving services must be decided.

Once it has been established which services are to be expanded or improved clear timeframes and targets must be developed that the municipality can decide the best ways to reach its goals. It must also decide what resources – financial, equipment, and skills – it will require to meet its goals.

A municipality may provide services itself by using its own resources, or outsource provision to another provider. If a municipality does not have the capacity or finances to be able to do this, another method must be used to make certain that services are improved.



The three options available to make sure that services are improved



<p><b>Capacity building</b></p> <p>It is possible for a municipality to improve and expand the delivery of services by improving their own ability to do so. By improving a number of skills municipalities may be better able to deliver services effectively and efficiently from inside. Better communication between the municipality and citizens will help council determine the needs of the community and whether they are being met. Improved financial planning will help find the best possible ways to use available funds. Better technical skills will improve delivery of a particular municipal service.</p>	<p><b>Corporatisation</b></p> <p>In some cases a municipality can improve the delivery of a service by corporatising it – that is by creating a municipal company that will provide the service. The company belongs to council and is accountable for its performance. Council usually appoints a board to oversee the work of the company management. The company is able to function more independently than a municipal department whilst acting under the overall control and supervision of council. Municipalities have to deliver so many different services that it is not possible to focus on the best way to deliver certain specialised services. By allowing the company some independence they are free to experiment with new techniques and technology and provide better services at lower costs.</p>	<p><b>Municipal service partnerships [MSPs]</b></p> <p>There are instances where a municipality might feel that instead of providing the service directly they would rather hire someone else (service provider) to do it. Reasons why a municipality would choose this route are that other municipalities, organisations (NGOs or CBOs) or private companies may have better resources and management skills to provide the service.</p>
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Whatever method a municipality chooses it must always be in line with the overall goals of improving the quality of services, extending services to residents who do not have them and providing services at an affordable cost. We will look at the MSPs in more detail later on as there are a number of factors that municipalities need to consider before deciding on one of these options. It is important to provide services that are affordable but municipalities must do so without compromising on its ability to operate and maintain existing services.

## 5.2.1 Factors to be considered before deciding on service delivery options

### Service levels

The most important factor to consider is the level [or standard] at which the service is provided. The choice of the level of a particular service is influenced by affordability as well as community needs. When municipalities make decisions about the level of services they should seriously consider the long-term viability of providing a service at that level. If a municipality provides a service at a higher level the costs to provide the service increases and so does the price that the municipality will have to charge its customers. Since municipalities rely heavily on income received from users, if the costs are too high and people are unable to pay, the municipality will lose money and it will not be able to continue to provide the service.

**Source:**

<http://www.etu.org.za/toolbox/docs/localgov/webidp.html>

## 5.2.2 Municipal service partnerships

What is a municipal service partnership?

A municipal service partnership (MSP) is an agreement between a municipality and a service provider. A service provider may be another public authority (such as a water board or a district municipality), a private company, a non-governmental organisation (NGO) or a community-based organisation (CBO).

In terms of the agreement, a service provider undertakes to provide a particular municipal service on behalf of a municipality within specific timeframes, budget and targets. The service provider will either be responsible for delivering a service to the entire community or only a section of the community. It may also be responsible to provide an entire or only a particular aspect of the service. For example, a community-based organisation can make an agreement to collect rubbish from households and streets, and stack it in places where council trucks will collect it.

Once it has been established which services are to be expanded or improved clear timeframes and targets must be developed so that the municipality can decide the best ways to reach its goals. It must also decide what resources – financial, equipment, and skills – it will require to meet its goals.

## 5.2.3 Types of MSPs

Usually the best way to find the right service provider is to get a number of them to compete against each other in a bidding process. This helps the municipality to decide on the provider, which will give it with the best quality of service at the best possible price. It also protects the interests of citizens as it reduces the opportunity for corruption.

### Service contracts

A service contract is an agreement between a municipality and a service provider to provide a particular aspect of a municipal service on a short-term basis (only one or two years). The municipality provides the budget and monitors the performance of the service provider to ensure that the service provided is of a good quality and within the allocated budget.

An example of a service contract is 'Repairs and Maintenance of Municipal Equipment'.

As part of its overall strategy to alleviate poverty in South Africa the government has put in place a policy for the provision of a free basic level of municipal services. 'The provision of free basic amounts of electricity and water to our people will alleviate the plight of the poorest among us while plans for the stimulation of the local economy should lead to the creation of new jobs and the reduction of poverty.'

President Mbeki, inauguration of the Executive Mayor of Tshwane 2001



## Management contracts

A management contract is an agreement between a municipality and a service provider in terms of which the service provider is responsible for all aspects of a particular service. This type of agreement typically lasts between three and five years. An example of a management contract is 'Refuse Removal', where the service provider is responsible for managing the collection of refuse, while using the municipality's staff and equipment.

## Leases

A lease is an agreement between the municipality and the service provider where the service provider is responsible for the overall management and delivery of a municipal service. The operating assets of the council are hired by the contractor to enable it to perform the service. The contractor is also responsible for operating, repairs and maintenance costs for the service it provides. The contractor may also take responsibility for collecting tariffs.

## Concessions

A concession is an agreement between a municipality and service provider where the service provider is responsible for the management, operation, repair and maintenance of a particular service. The service provider is required to invest large sums of money to expand and improve the service. For example, the service provider may be required to build a new water supply system for the area. The contract period is often between 20 and 30 years to allow the service provider enough opportunity to recover the costs on its investment. At the end of the contract the ownership of the new plant and equipment belongs to the municipality. Concessions are often called BOTs – Build, Operate and Transfer.

Sometimes the appropriate service provider is a NGO, CBO, or a private company. It could even be another public body such as another municipality or a water board, etc.

### 5.2.4 Role of citizens in MSP's

Citizens and their organisations also have very important roles to play in the planning and implementation of MSPs. Some of these are:

- assisting the municipality to accurately decide on which services are to be expanded and improved, particularly during the planning stages and insisting that council consults citizens during decision-making
- residents should also work with NGOs, CBOs and political parties to develop proposals for council to consider
- communities can also request the municipality to appoint a committee of community representatives to monitor processes as well as to advise the municipality on priorities for service extension and improvement
- communities or their representatives could also play some role in the evaluation of potential service providers, the involvement of communities in service provision and monitoring of the performance of service providers.

This kind of involvement from citizens will ensure that municipal planning and decision-making processes will reflect their needs and priorities and will lead to the types of decisions that will make for an open, fair and democratic local government.

**Source:**

<http://www.etu.org.za/toolbox/docs/localgov/webidp.html>

## 5.3 Challenges in the delivery of services and ensuring that standards are met

“THE FIRST ASSESSMENT OF EXISTING POLICIES CONFIRMED THAT SOUTH AFRICA HAS POLICIES TO ENSURE THE SUSTAINABLE DELIVERY OF INFRASTRUCTURE AND SERVICES. THE PROVISION OF UNSUSTAINABLE MUNICIPAL INFRASTRUCTURE SERVICES THEREFORE COULD NOT BE ATTRIBUTED TO LACK OF LEGISLATION.

FURTHER ASSESSMENTS REVEALED THAT MUNICIPALITIES DO NOT COMPLY WITH BASIC PRINCIPLES FOR SUSTAINABLE SERVICE DELIVERY WHICH WERE CONFIRMED DURING SEVERAL CONSULTATIONS WITH MUNICIPALITIES.”

**Source:**

Guidelines: Sustainable Municipal Infrastructure Provision and Service Delivery Applicable from 1 April 2007, **dplg**, page 1

### 5.3.1 Service Delivery Improvement Plan (SDIP)

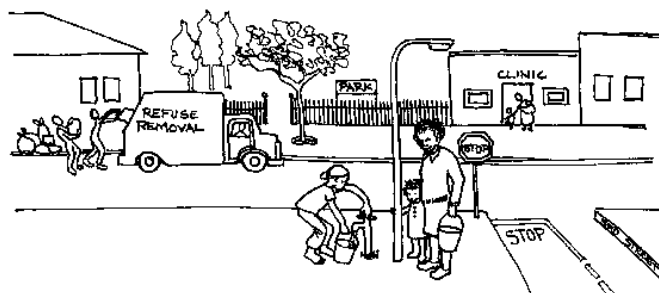
Each government department has to develop a Service Delivery Improvement Plan (SDIP). SDIPs are vital to the process of IDP as they focus on making ‘successful, efficient and effective service delivery a reality and bringing the *Batho Pele* principles to life’. A part of the SDIP is the Service Delivery Charter. Ward Committees should therefore understand the process of SDIP development and service delivery, and ensure that their communities are made aware of them, as well as of the relevant service delivery charters. Ward Committees should remain informed about and involved in the developments, objectives and delivery of the municipality. Involvement in the planning of service delivery is key.

Service standards inform citizens what kind of service they can expect, they define how the service provider should deliver to those they are servicing. As such, service standards are an integral part of an SDIP. Ward Committees should ensure that service standards set in their areas reflect the needs and expectations of their communities so that they can hold those responsible accountable for its success. As the following section shows, service standards are only useful if they are able to provide the appropriate information regarding the services that are being delivered.

Ward Committee members are elected to have a say in decisions, planning and projects that the council or municipality undertakes which have an impact on the ward.

**Reference!**

Chapter 4 of the *Batho Pele Handbook* deals with service delivery charters. Chapter 5 deals with service standards.



### 5.3.2 Common problems with service standards

It is essential that the service standards that are selected will be a meaningful measure of what is being delivered.

To be effective the service standard must be SMART

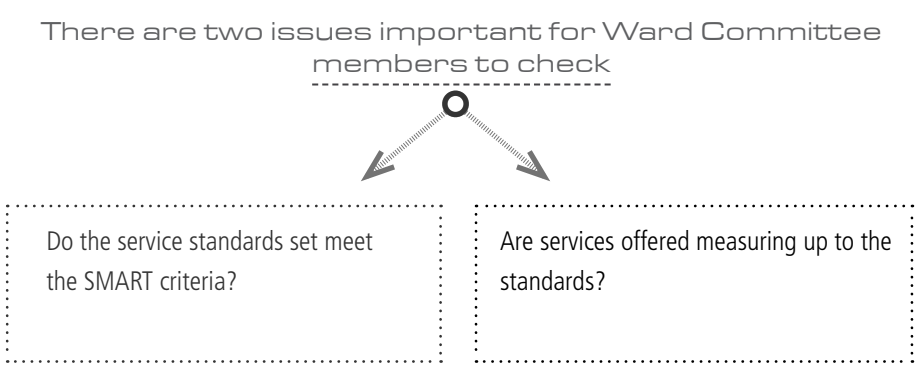
**SPECIFIC** – does the service standard specifically mention what is being measured?

**MEASURABLE** – is the service standard measurable, and can it be done at a reasonable cost and effort?

**ACHIEVABLE** – is the standard achievable with the current staff within the department and realistic in terms of current or past performance?

**RESPONSIVE** – is the standard responsive to the needs of citizens who benefit from the service?

**TIME BOUND** – does the service standard specify by when the service will be delivered?



For example: if the current service standard says that when a resident, who is the customer, comes to query their electricity account because it is too high, it is important that the standard of measuring service is measurable. If the standard says: 'they must not be made to wait "too long", ' this is not measurable, as different people will interpret 'too long' differently. A better standard would be: 'they must be attended to within 10 minutes'. If there is a query someone will get back to them within 3 days (not 'within a reasonable amount of time' as again, people's perceptions of 'a reasonable amount of time' will vary).



QQTTT criteria

SMART service standards

Issues of cost, redress, how when and what

**Source:**

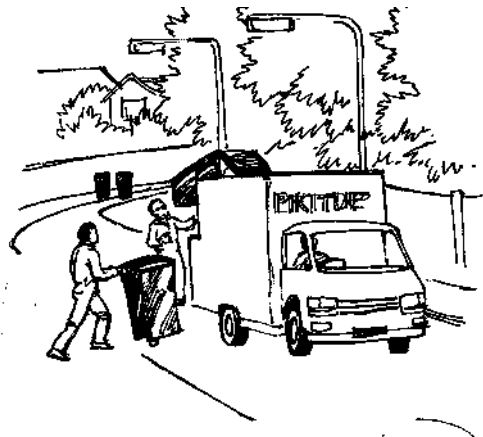
*Review and improvement of Public Service Standards in Provincial Departments, Manual 1, Office of the Premier, Eastern Cape & DPSA, 2005, page 14*

**Reference!**

*The Batho Pele Handbook explains 7 steps to developing service standards.*

A useful checklist of service standards follows

1. Make sure each service standard meets the QQTTT criteria:
  - define the **QUALITY** (a description of the service, and typically a service pledge or commitment – i.e. to what quality will the service be delivered?) \_\_\_\_\_
  - set the **QUANTITY** \_\_\_\_\_
  - set the **TARGET GROUP** \_\_\_\_\_
  - define the **TARGET AREA** or place \_\_\_\_\_
  - set the **TIME** period. \_\_\_\_\_
2. Then, make sure that your list of service standards are **SMART**:
  - **SPECIFIC** to the objectives of the services being delivered \_\_\_\_\_
  - **MEASURABLE** (either quantitatively or qualitatively) \_\_\_\_\_
  - **ACHIEVABLE** – there is no point setting standards that cannot be met \_\_\_\_\_
  - **REALISTIC/RESPONSIVE** \_\_\_\_\_
  - **TIME-BOUND** – so both citizens and personnel know when it is expected that the service will be delivered. \_\_\_\_\_
3. In addition, your list of service standards should also cover:
  - the **COST** of the service; and \_\_\_\_\_
  - reference to the complaint and **REDRESS MECHANISMS**. \_\_\_\_\_
4. Finally, your list of service standards should address these three topics:
  - **HOW** the service is to be delivered \_\_\_\_\_
  - **WHEN** the service is to be delivered \_\_\_\_\_
  - **WHAT** service is to be delivered. \_\_\_\_\_



### 5.3.3 The right to service excellence

module four



#### Defining service excellence

The characteristics of excellence, which form the criteria for evaluating the quality of a specific service, are associated with the following dimensions:

**APPROPRIATENESS** – refers to the service the individual/community needs and expects

**EQUITY** – citizens expect a fair share

**ACCESSIBILITY** – means services are not compromised by undue limits of time or distance

**EFFECTIVENESS** – the intended benefit is felt by the community/individual

**ACCEPTABILITY** – when they are provided to satisfy the reasonable expectations of the client, community, taxpayer

**EFFICIENCY** – means that resources are not wasted on one service or client to the detriment of another.

Ward Committee members need to work towards ensuring that their communities receive service delivery. The table on page 90 demonstrates the suggested standards or criterion that service providers and departments should use in the delivery of excellence. It also provides a list of the sorts of questions that Ward Committees should be asking as they engage in the process of service delivery. The table provides Ward Committees with a checklist of issues on which they can focus and around which they can rally the community.

THE BATHO PELE PRINCIPLES
1. CONSULTATION
2. SETTING SERVICE STANDARDS
3. INCREASING ACCESS
4. ENSURING COURTESY

'Only in this way will we overcome the legacies of the past and shed the intolerable burdens of poverty and underdevelopment and rise to the challenge of being globally competitive.'

*Batho Pele Handbook: A Service Delivery Improvement Guide, page 98*



## 5.4 Measuring service delivery

### 5.4.1 Performance review

The Medium Term Expenditure Framework for the 2005 (MTEF) has a chapter on performance measures which is intended to:

- assist departments in specifying appropriate measurable objectives and outputs, developing robust performance measures or service delivery indicators and setting realistic targets
- provide departments with examples to assist in developing performance measures; these measures are discussed in the wider context of an improved style of management of public resources.

The following diagram demonstrates the elements necessary to close the gap between the expectations of communities and the quality of services delivered.

**Reference!**

The Medium Term Expenditure Framework for the 2005 (MTEF)

**THE PROCESS OF MONITORING PROGRESS CONSISTS OF**

Planning for monitoring (establishing a PMS)

Collecting the data

Analysing the data

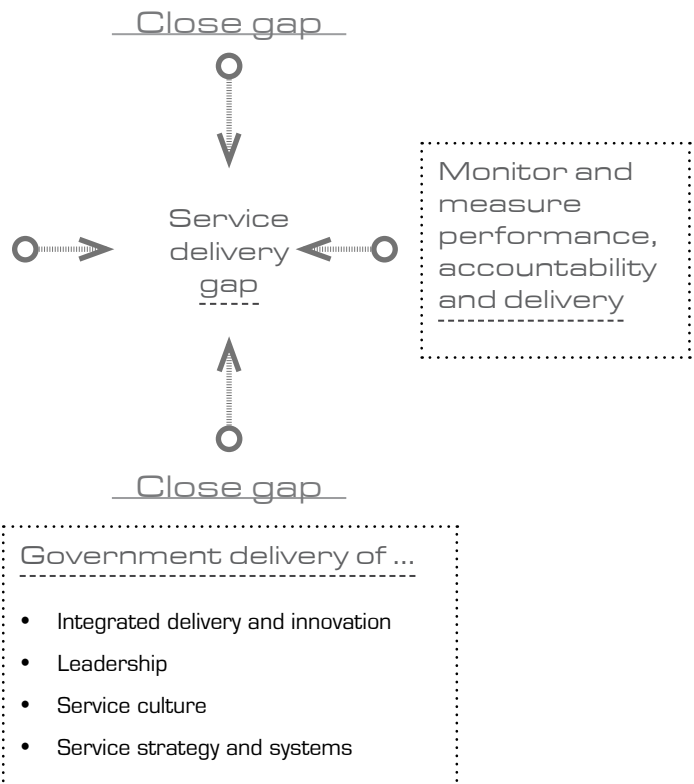
Communicating the findings

**Community expectation of government**

- Citizen engagement
- Citizen evaluation of government service
- Citizen involvement in service design
- Citizen priorities for improvement

**Government service improvement toolbox**

- Service standards
- SDIPS
- Partnerships
- Transformation
- Communication
- Re-engineering
- Benchmarking
- Service charters
- Innovative practices
- Technology
- Cost recovery



**Source:**

Review and improvement of Public Service Standards in Provincial Departments, Manual 2, Office of the Premier, Eastern Cape & DPSA, 2005, page 5

### 5.4.2 Establishing a performance management plan

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As discussed in Chapter 4 the first step in measuring delivery is the establishment of a Performance Monitoring Plan (PMP). It should include the following:

- the service standard
- the source, method, frequency and schedule of data collection
- the office/unit/individual responsible for ensuring data are available on schedule.

A PMP ensures that comparable data will be collected on a regular and timely basis, and as such is a vital tool.

There are three steps associated with developing a PMP:

**Step 1** – Agree on a timeline, planning cycle, reporting deadlines.

**Step 2** – Formulate the performance monitoring plan (include: the service standard, data source, method, person responsible, budget for data collection, frequency of data collection and schedule).

**Step 3** – Report against performance measurements.



### 5.4.3 Monitoring the performance management system

---

Once key service standards have been identified it is necessary to identify verification mechanisms to enable the monitoring of progress being made towards achieving the standards. The following steps should be followed to incorporate monitoring into the performance management system:

- identify who is responsible for driving the process
- agree on a 'benchmark' for each service standard
- link this benchmark with possible sources of information, as well as a clear indication of how often and by whom the data and analysis will be conducted.

#### 5.4.4 Analysing the data

For information to be useful it needs to be analysed effectively. Data must be interpreted for the purpose of drawing conclusions.

In quantitative analysis statistics are used in summarising the data and in seeing relationships, it employs a deductive form of reasoning. In qualitative data analysis inductive reasoning is used. Inductive reasoning proceeds from the specific to the general – that is, from a set of observations to a general conclusion.

In any form of research the stages in data analysis must be accounted for and the final conclusions must be based on generated data.

#### 5.4.5 Reporting on performance

The improvement of the quality of service delivery and community satisfaction with it remain the key measure of performance. It is important to note that service standards are important in the overall strategy of service improvement. Actual performance should be measured against established standards.

#### 5.4.6 Communicating findings

The publication and distribution of research findings must be planned thoroughly from the planning phase of a project.

Information on service delivery performance must be fed back to service providers and to those who benefit from the delivery of services. If quality service delivery is to thrive communities need to be educated about what they can expect and what is available to them.

### Conclusion

Ward Committees and the people they represent have a right to expect service delivery. It must be remembered though that communities also have responsibilities in ensuring the quality and quantity of services described in the service standards. For example, they must provide information accurately, explain their situations honestly and undertake to behave courteously and respectfully towards the service providers, etc. Ward Committees play a role in making sure that the needs of their communities are communicated effectively and accurately. They must also ensure that community members are made aware of information, where it is available and how to access it.

The process of developing service standards is evolutionary. It requires feedback from communities and strategies of continuous improvement and revision as service becomes more efficient.

Ward Committees have the right and duty to ask questions and make recommendations to the council on the best ways to generate (make) income, keep costs down, prevent corruption and protect the assets of the municipality.  
<http://www.paralegaladvice.org.za/docs/chapo6/05.html>





# CHAPTER 5 ACTIVITIES

Time: 4 hours

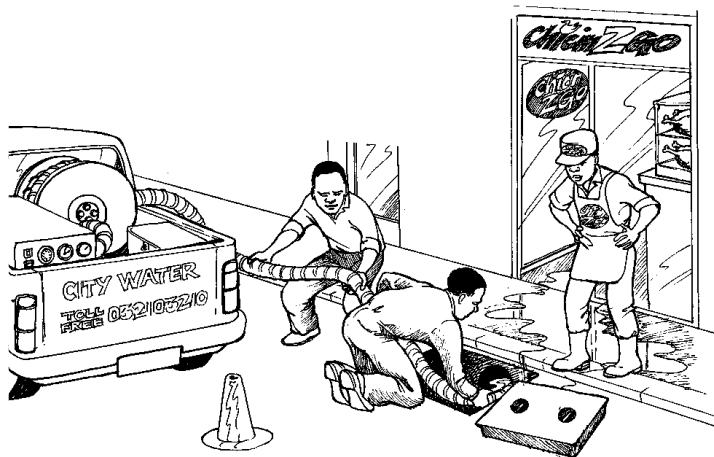
Resources: Blank operational plan and course notes, newsprint, markers, presstik, Powerpoint B if available, Powerpoint C if available

## ACTIVITY 5.1

Implementation of a service delivery plan

**Facilitation method:** Small groups

- Participants work in groups of 4 to 6 and develop an operational plan for a municipality.
- Groups get a blank operational plan and complete task 2.
- Once groups have completed the tasks take one group's input, go through it in detail and invite other groups to add to it.





 A circular icon containing a silhouette of a hand with the index finger pointing upwards. Below the circle, the word "facilitators" is written in a stylized, lowercase font.


Performance/Action Plan

KEY RESULT AREAS (IN ORDER OF PRIORITY)	ACTIVITIES	STANDARDS	KEY PERFORMANCE INDICATORS	RESPONSIBLE PERSON	COMMENTS (RISKS & CONTINGENCIES)
1	a)	Quantity			[ ]
		Quality			
		Time			
		Cost			
	b)	Quantity			
		Quality			
		Time			
	c)	Cost			
		Quantity			
2	a)	Quantity			
		Quality			
		Time			
		Cost			
	b)	Quantity			
		Quality			
		Time			
	c)	Cost			
		Quantity			
		Quantity			
		Quality			
		Time			
		Cost			
		Quantity			
		Quality			
		Time			
		Cost			

**TASK 1** Discuss the main challenges facing your communities, and prioritise the needs you see as most urgent.

**TASK 2** Once you have settled on the KPAs fill in the rest of the form.  
Remember that for the targets to be measurable they need to be:

-  stated clearly
-  realistic
-  relate to a measure
-  indicate accountability.

## ACTIVITY 5.2

### Evaluating and revising service delivery plans

**Facilitation method:** Plenary


- Complete the tasks below.
- Wrap up by asking participants if they would like to amend anything in the tables they developed in the previous activity.



**TASK 1** Consider whether the operation plan you have developed achieves all of the following criteria?

The following tangible evidence will indicate that strategic plans have been translated into effective operational plans:


- performance agreements are in place
- job descriptions are in place
- an affective performance management system is implemented
- SMART standards are implemented
- customer complaints decrease
- customer satisfaction levels increase.

**TASK 2** Referring to  **POWERPOINT B** (in activity 4.3) for the legislated requirements, formulate a checklist which will ensure that the service delivery plan is evaluated, objectives are revised and a basic improvement plan is included.

## ACTIVITY 5.3

### Implementing service delivery plans

**Facilitation method:** Small groups of 3

- Assign each group one of the following tasks.
- For task 3 it may be useful to refer participants to  **POWERPOINT C**.
- In plenary discuss groups' responses



**TASK 1** Identify the different role-players and their responsibilities in relation to the service plan.

**TASK 2** What are the methods for engaging external role-players.

**TASK 3** List the potential challenges and problems associated with service delivery and indicate solutions to overcome them.

 **POWERPOINT C**

The dplg has identified the following gaps which have resulted in unsustainable service delivery

1. The **lack of clarification of the roles and responsibilities of stakeholders** in infrastructure provision. As a corrective measure, the **dplg**, as a co-ordinating department, shall develop the roles and responsibilities for infrastructure provisioning across all spheres of government.
2. The **lack of guidelines on municipal infrastructure and services support**. To address this gap, the **dplg** in collaboration with sector departments developed guidelines on the multi-dimensional targeted approach to support municipalities to respond to the challenges. Sector departments should develop their sector specific support strategies to address the challenges.
3. The **lack of organisational capacity of municipalities** especially in specialised fields such as engineering and accounting. It is clear that municipalities with different types of requirements need to be supported differently to correct inefficiencies in the administration of municipalities. To address this challenge, national government shall deploy engineers and other experts through existing programmes.
4. The **lack of clear common principles on sustainable infrastructure services delivery**. The **dplg** had developed a guiding document which articulates these principles in one reference document to assist both politicians and officials in understanding the requirements for sustainable municipal infrastructure and service delivery.

# ACTIVITY 5.4

## Effective service standards

module four

**Facilitation method:** Small groups of 3

- Participants share an experience that they have had in regard to service delivery, either negative or positive. Let one or two participants share their experience and ask them what should be done to improve it, if the experience was negative.
- Participants complete the rating form below.



**Discussion point:**

- Brainstorm and share ideas on the ways in which these principles can be better achieved. Refer to the questions suggested in the table on page 90 which can supplement the ideas given by participants.
- Remind participants that service standards inform citizens what kind of service they can expect. Refer them to chapter 5 of the *Batho Pele Handbook* for further information.

POOR .....EXCELLENT	RATE YOUR MUNICIPALITY'S PERFORMANCE IN TERMS OF THE <i>BATHO PELE</i> PRINCIPLES BELOW	
① ② ③ ④ ⑤	<p>CONSULTATION</p> <p>Citizens should be consulted about the quality of the services they receive and, where possible, they should be given a choice about the services that are offered.</p>	
① ② ③ ④ ⑤	<p>SERVICE STANDARDS</p> <p>Citizens should be told what level and quality of service they will get so that they know what to expect.</p>	
① ② ③ ④ ⑤	<p>ACCESS</p> <p>All citizens should have equal access to the services that they are entitled to.</p>	<p>SDIPs are vital to the process of IDP as they focuses on making 'successful, efficient and effective service delivery a reality and bringing the <i>Batho Pele</i> principles to life'.</p>
① ② ③ ④ ⑤	<p>COURTESY</p> <p>All citizens should be treated with courtesy and consideration.</p>	
① ② ③ ④ ⑤	<p>INFORMATION</p> <p>Citizens should be given full, accurate information about the public services they are entitled to receive.</p>	
① ② ③ ④ ⑤	<p>OPENNESS AND TRANSPARENCY</p> <p>Citizens should be told how local governments are run, how much they cost and who is in charge.</p>	
① ② ③ ④ ⑤	<p>REDRESS AND HANDLING COMPLAINTS</p> <p>If citizens do not receive the quality of services they have been promised, they should be given a full apology and a full explanation, and also a speedy remedy. Their complaints should be received with sympathy.</p>	
① ② ③ ④ ⑤	<p>VALUE FOR MONEY</p> <p>Services should be provided economically and efficiently in order to give citizens the best value for money.</p>	

## ACTIVITY 5.5

### Effective service standards

**Facilitation method:** Small groups of 3

- Groups go through the questions, marking the key issues raised in the course of their discussions on a piece of newsprint.
- In plenary ask one member from each group to answer one of the questions, if you have more than three groups the remaining groups should only add issues which have not been covered previously.
- Wrap up with a mini lecture based on the table on page 90. The table provides Ward Committees with a checklist of issues on which they can focus and which they can rally the community.
- Emphasise the necessity for public participation in the process of service delivery, and reiterate ways in which Ward Committees can ensure this.



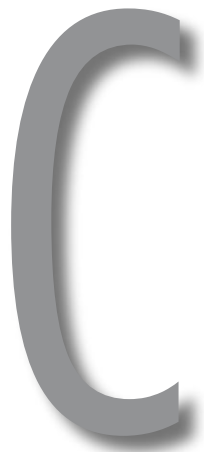
#### Answer the following questions

**QUESTION 1** List the evaluation tools you would include in a service delivery plan to evaluate the effectiveness of service delivery in your municipality.

**QUESTION 2** How would you go about resolving service delivery problems?

**QUESTION 3** Identify ways in which problems and successes can be reported to the appropriate role-players.





# Administrative Annexures

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# REGISTRATION OF A LEARNER FOR THE SKILLS PROGRAMME

module **four**

## 1. Module details

1.1 Name of Skills Programme	
1.2 Linkage to qualification	
1.3 Commencement date of Skills Programme	
1.4 Termination date of Skills Programme	
1.5 Unit standards covered	

## 2. Learner details

2.1 Full names												
2.2 Identity number												(Please attach certified copy of ID)
2.3 Gender	Male					Female						
2.4 Home language												
2.5 Race	African		Coloured		Indian		White		Other			
2.6 Do you have a disability, as contemplated by the Employment Equity Act (No. 55 of 1998)?												
	No			Yes			If yes, specify					
2.7 Home address											Code	
2.8 Postal address (if different from 2.7)											Code	
2.9 E-mail address												
2.10 Tel number & codes	Home			Work			Cell					
2.11 Are you a South African citizen?	Yes			No			If no, specify					

### 3. Employer details

3.1 Registered name of employer				
3.2 Trading name (if different from 3.1)				
3.3 Are you the lead employer?	Yes		No	
3.4 Physical address				Code
3.5 Postal address				Code
3.6 Full names of contact person				
3.7 Tel number & code			Fax number & code	
3.8 E-mail				
3.9 Registration number & codes	SIC		SARS	
	SETA			

### 4. Training provider details

4.1 Registered name of training provider				
4.2 Trading name (if different from 4.1)				
4.3 Are you the lead training provider?	Yes		No	
4.4 Physical address				Code
4.5 Postal address				Code
4.6 Full names of contact person				
4.7 Tel number & code			Fax number & code	
4.8 E-mail				
4.9 Registration number & codes	SIC		SARS	
	SETA		SAQA	

### Signatories

Date.....

Training provider's signature

.....

# REPORT ON THE DECLARATION OF COMPETENCY FOR THE SKILLS PROGRAMME

module **four**  
.....

Title of the Skills Programme	
Commencement date of the Skills Programme	
Date of completion	
Name of registered assessor training provider	
Registration number	

# COMPLETENESS OF THE PORTFOLIO OF EVIDENCE AND DECLARATION OF COMPETENCY

Name of Learner: .....

Declaration by the training provider:

.....

The 'Portfolio of Evidence' has been checked and is complete with respect to

- Knowledge test (carried out after theory training)
- Report about workplace experience

The Skills Programme is covering the following unit standards:

.....

with a total of ..... credits

## Assessment decision

The learner is declared (Indicate the decision with a tick)

Competent

Not yet competent

Date of assessment:.....

Remarks: .....

Signature: .....

# EVALUATION OF INDIVIDUAL ASSIGNMENT BY THE TRAINING PROVIDER

module **four**

Name of Participant: .....

Municipality: .....

Type of evidence submitted:

Date of Submission:

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Validation of assignment by the training provider:

Note: Please evaluate the evidence by indicating whether the evidence meets the criteria as listed below.

Authentic  
Evidence that it is the participant's own work

Current  
Evidence from the workplace not older than 12 months

Sufficient  
Enough evidence to make a competency judgment

Valid  
Evidence that it is related to the assignment

The submitted document meets the requirements:

Yes

No

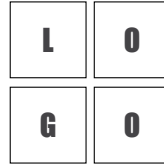
Comments or additional action required: .....

.....

Date: .....

Signature of training provider/assessor: .....

# RECOMMENDED FORMAT OF CERTIFICATE



[Insert logo of training provider]

## CERTIFICATE FOR A SKILLS PROGRAMME FOR

[Title of the Skills Programme]

THIS IS TO CERTIFY THAT

I.D.:.....

HAS BEEN ASSESSED COMPETENT IN THE SKILLS PROGRAMME COVERING THE FOLLOWING UNIT STANDARDS

US:.....

US:.....

US:.....

[Please indicate the number and the title of the unit standards]

With a total of.....credits

\_\_\_\_\_  
Signature Training Provider

\_\_\_\_\_  
Endorsed by LGSETA\_ETQA

\_\_\_\_\_  
DATE OF ISSUE

module four

Module

4

# CORE MUNICIPAL PROCESSES & SERVICE DELIVERY

WORKBOOK & GUIDE



**the dplg**

Department:  
Provincial and Local Government  
REPUBLIC OF SOUTH AFRICA



**gtz**

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