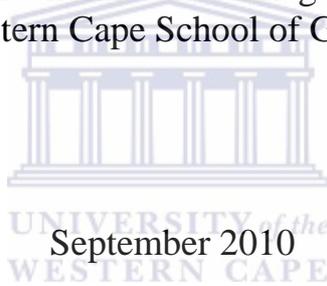


**An Examination of Policy Implementation of Water and Sanitation  
Services in the City of Cape Town: a Case Study of the Informal  
Settlements in the Khayelitsha Area**

Submitted by M.T Xabendlini

Student No: 9755307

A Mini thesis submitted in partial fulfilment of the requirements for the  
Degree of Masters in Public Administration (MPA) in the School of  
Government, Faculty of Economic and Management Sciences University  
of the Western Cape School of Government



Supervisor Dr. I. U. Ile

## **ABSTRACT**

The focus of the study is on the implementation of public policies through provision of basic services such as water and sanitation in the City of Cape Town. The case study of the research is the informal settlements of Khayelitsha area which falls under the jurisdiction of the City of Cape Town. The study identified and analysed the socio-economic conditions of the people living in the informal settlements of Khayelitsha and the impact of such conditions to their lives. The study emphasizes the role of all spheres of government in the implementation of public policies.

The study identified various challenges faced by government in the implementation of public policies, particularly at local government level. Among the challenges is the lack of communication, lack of public participation and lack of capacity. The study emphasizes the importance of intergovernmental relations and cooperate governance in order to achieve the objectives of good governance and effective and efficient service delivery. The study reveals that civil society plays an important role in the implementation of public policies and also holds the government accountable to the people. It is important to indicate that government cannot achieve the goals and objectives of providing clean water and adequate sanitation facilities if communities do not form part of the structures that implement projects and programmes of development in their respective areas.

Hence, the study emphasizes the importance of communication and consultation of communities on issues that directly affect them. The study emphasizes the fact that communities need to take control of the resources and infrastructure provided to them in order to avoid unnecessary expenditure of replacing and repairing resources damaged and destroyed by the very same community.

## **DECLARATION**

I hereby declare that this thesis submitted for the Masters of Public Administration degree at the School of Government, University of the Western Cape, is my work and has never been submitted for any other degree at any other university

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Mzimasi Terry Xabendlini

Student No. 9755307

Cape Town

September 2010



## ACKNOWLEDGEMENTS

To God, the All Mighty, I thank you for carrying me to this stage, you are above everything

The production of such a voluminous piece of writing would not have been possible without the support of friends and relatives.

I would therefore like to acknowledge and thank the following people:

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Mzimasi Terry Xabendlini

Cape Town, South Africa

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## **CLARIFICATION OF ACRONYMS**

USA	United States of America
SABC	South African Broadcasting Cooperation
IDDWS	International Decade of Drinking Water and Sanitation
WWC	World Water Contract
WSS	Water Supply and Sanitation
NGO	Non – Governmental Organisation
CBO	Community Based Organisation
HRC	Human Rights Commission
WC	Western Cape
DWAF	Department of water Affairs and Forestry
DPLG	Department of Provincial and Local Government
IDP	Integrated Development Plan
WSDP	Water Services Development Plan
DA	Democratic Alliance
ANC	African National Congress
CMA	Catchments Management Agencies
WSP	Water Sector Plan
MIG	Municipal Infrastructure Grant
HSRC	Human Science Research Council
UNICEF	United Nations Children Fund
WHO	World Health Organisation
SANCO	South African national Civic Organisation
WSA	Water Services Authorities

## **KEY WORDS**

Public Policy

Policy Implementation

Municipal Services

Sanitation

Water Services

Informal Settlement

Khayelitsha Area

Community Participation

Service Delivery

Policy Analysis



## Appendix A

My name is \_\_\_\_\_. I'm from the University of the Western Cape, located in Bellville. I'm a student doing research and not representing government or any political party. The purpose of this interview is to get the views from the residents of the informal settlements in Kahyelitsha and their experiences with regard to provision of water and sanitation services in their areas. There are number of people who participate in this study and you need not to be afraid of being victimize because of your views and experience. Your answer will be treated with high confidentiality. You must indicate your responses by making with X in the space provided.

1. How old are you?			

2. Which South African languages do you prefer to speak?			
Xhosa			
English			
Afrikaans			
Ndebele			
Zulu			
Sotho			

3. How long have you been residing here?			
1-3YRS			
4-7YRS			
8-12YRS			

4. How many of residing together In one household?			

5. What are the problems you experience in terms of service delivery?			
	Water	sanitation	Houses

6. How would you describe living conditions here?			
Worse			
Better			
Much Worse			
Much better			

7. How do you voice out your concerns of lack of service delivery?			
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Attending meetings			
Directly report to the ward councilor			
Do not voice them out at all			

8. How do you ensure that your ward councilor is accountable?			
Attending meetings			
Demand feedback on raised issued			
Do nothing			
I do not know			

9. How often do you attend community meetings?			
Every time there is a meetings			
I do not attend meetings at all			
When I have a chance			
I do not know			

10. Does your ward councilor attend to your problems of service delivery?			
Sometimes			
Only once			
Never			
I do not know			

11. How much time does your ward councilor spend in a meeting?			
Twenty minutes			
Never attended a meeting			
I do not know			

12. What are the most important basic service lacking in this area?			
Houses			
Water			
Sanitation			
Electricity			

13. How is municipality addressing the problem of lack of services?			
Not addressing at all			
Better than before			
I do not know			

14. Does government deliver on promises made during elections?			
Not at all			
Most of the promises have honored			
I do not know			

15. Do you belong to any civic organization?			
Not at all			
No such organization in this area			
I do not wish to join any of such organization			

## Appendix B

My name is \_\_\_\_\_. I'm from the University of the Western Cape, located in Bellville. I'm a student doing research and not representing government or any political party. The purpose of this interview is to get the views from the residents of the informal settlement in Kahyelitsha and their experiences with regard to provision of water and sanitation services in their areas. There are number of people who participate in this study and you need not to be afraid of being victimize because of your views and experience. Your answer will be treated with high confidentiality. It will impossible to single out people who participated in this study as I indicated earlier that there are about 50 partaking in this interview. This interview will only take 10 minutes of your time and please fill free to voice out your views. However, you are not compelled to answer any question if you fill not to.

I will record everything you be telling me.

1. How old are you? \_\_\_\_\_
2. Which South African language do you prefer to use? \_\_\_\_\_
3. How long have been residing here? \_\_\_\_\_
4. How many of you residing together in one household? \_\_\_\_\_
5. What are the problems or challenges you experience in terms of service delivery?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
6. How do you voice out your concerns of lack of service delivery problems?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
7. How do you make sure that your ward councillor is accounting to community of this area with regard to provision of basic services? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
8. How often does meetings convened by the leadership of this community?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

9. How often does meetings convened by your ward councillor?

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10. How often do you attend meetings convened by either a ward councillor or committee meetings?

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11. How much time does your ward councillor spend time meeting people and addressing issues in this area?

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12. What are the key issues addressed in the meetings that you have attended?

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13. How would you describe the living conditions in this informal settlement?

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14. What are the most important basic services that are lacking in this informal area?\_\_\_\_\_

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15. How is the local municipality addressing the problem of lack of basic services?\_\_\_\_\_

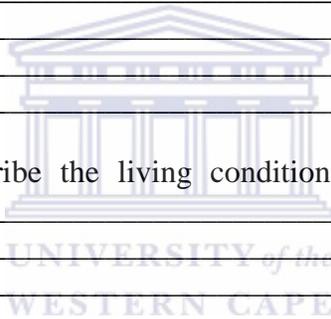
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16. What are your expectation from the government in terms of service delivery?\_\_\_\_\_

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17. Does the government delivery on the promises made during election campaigns? \_\_\_\_\_

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18. Do you approve or disapprove the way the government addressing the issues of service delivery?

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19. How easy or difficult for a person living in this area to access services from local municipality? \_\_\_\_\_

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20. How to you access or get information about the projects and programmes your local municipality intends to implement in this area?

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21. Do you know perhaps the reasons for the community of this area to demonstrate in the street and barricade the roads?

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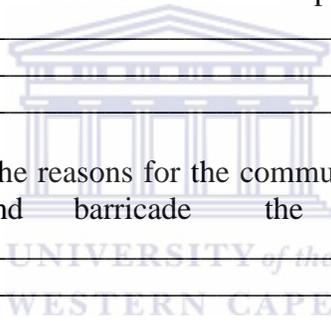
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22. What do you think is the best way and solution to address problems of service delivery in this area?

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# CHAPTER ONE: THE NATURE OF THE STUDY

## 1.1 Introduction: Background to the Study

Informal settlements are not a new phenomenon in that there are numerous such settlements in different parts of the world. In the USA, the slums are a popular feature where those who do not have decent accommodation find themselves in such areas where sanitary conditions are poor (World Bank, 2005). Similar informal structures are a common sight in Mexico, Brazil and Argentina. In Africa, industrialisation resulted in the development of urban areas. Unprecedented population growth in many urban areas in Africa resulted in urban authorities failing to provide adequate services such as safe and clean drinking water as well as proper sanitary conditions. In South Africa, the discovery of gold and diamonds led to rapid urbanisation where people flocked to urban areas in search of employment opportunities, but the large number of people overwhelmed local authorities who could not provide adequate housing, clean drinking water and good sanitary conditions. Urban areas provided prospects of employment but local authorities fail to provide enough houses, resulting in the emergence of squatter camps and other informal settlements. One such informal settlement is Khayelitsha which is the basis of this study.

Khayelitsha (a Xhosa word for 'new home') was established in 1983 to accommodate overcrowding in Crossroads, Nyanga, Langa and Gugulethu. While many of these inhabitants chose not to relocate, people from other areas moved to Khayelitsha and soon demand for housing and other amenities became so great that informal areas without basic services (including water and sanitation) mushroomed. Twenty years after being established, Khayelitsha became home to nearly 400 000 people (Joint Strategic Plan for city health Directorate, City of Cape Town, August, 2003). With time, Khayelitsha became inundated with multiple problems, regardless of the measures used; it has among the worst social and economic problems in Cape Town. Khayelitsha is one of the areas under City of Cape Town in the Cape Flats that is mostly consisted of informal settlement.

Although there are formal houses in the area but the larger section of the area comprises informal settlement. For this study informal settlement refers to a residential area in which the housing structures are built with material such as zinc, cupboards, timber, etc. There is no formal infrastructure such as demarcated streets and basic services such as water and sanitation. The communities residing in these areas make use of 'bucket system' and there are no adequate sanitation facilities. In addition, in some parts there is not even designated areas where people can use as toilets. This compels the local communities to make use of the bushes or dig up their own toilets next to their houses which poses a health risk.

In addition, if one drives along N2<sup>1</sup> towards Cape Town sees people including children relieving themselves on the open field due to lack of adequate sanitary facilities.. This is one of the indications that tell the reality about the challenges facing the communities living in the informal settlement. In addition, site C<sup>2</sup> is the first and the large established informal settlement in Khayelitsha. The City of Cape Town is facing a huge challenge of providing adequate water and sanitation services in the informal settlement. In fact it is not only Khayelitsha that has an informal settlement with inadequate facilities for water and sanitation, but the province and even the country as a whole is facing the growth of informal settlements due to urban migration of the people from rural areas. The majority of the people living in the informal settlement in Kahayelitsha have their origins in the Eastern Cape<sup>3</sup>.

## **1.2 Statement of the problem**

Policy management is central to the effective and efficient implementation of the public policy for the provision of water and sanitation services. The problem of lack of provision of water and sanitation services is mostly incurred in the informal settlement where there are no adequate sanitation facilities on the backdrop of high population density. The communities in the informal settlement utilize bucket system, communal taps and toilets that are located far away from their residential areas. The community members have to cross the roads to get water from taps that are located on the other side of the road. This is dangerous especially for the children who have to cross busy roads in order to get water. Providing adequate water and sanitation facilities for the poor is one of the South Africa's major challenges, and Khayelitsha is no exception.

An estimated eight million South Africans are without access to such facilities and may be using the bucket system, pit toilets, or the veld (Strategic framework for Water Services, 2003). An acute housing shortage coupled with service delivery to informal settlement is forcing squatters to dig their own toilets, as these are preferable to bucket system. Residents decided to dig their toilet after they had to share one bucket toilet between four shacks, with an average of five people living in each shack (Cape Argus, December 12, 2007). When the sanitation system fails it impact negatively on the health of the community, on the health of families and can be extremely serious on the environment. This is evidenced by sporadic outbreaks of diseases such as cholera and diarrhea in children under the age of five.

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<sup>1</sup> In South Africa, all major roads are referred to as National Roads and designated as N1,N2 etc

<sup>2</sup> Khayelitsha is also divided into sites

<sup>3</sup> South Africa is divided into nine provinces with Eastern Cape being one of them

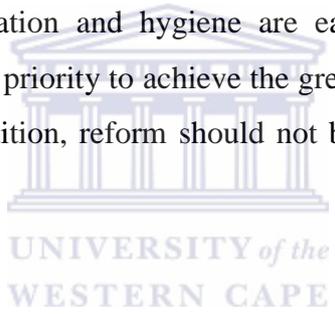
The lack of access to water supply and sanitation constraints opportunities to alleviate poverty and exacerbate the problem of vulnerable groups, especially those lives with HIV/AIDS and other diseases. The former President of South Africa, Mr Thabo Mbeki said in his State of the Nation address in February, 2006 that the bucket system would be eradicated by the end of 2007, but it is still prevalent in the informal settlement. It has been evidence in 2006, when the residents of the informal settlement voiced their concern and dissatisfaction about the lack of provision of basic services by picketing in the streets shouting that government is failing to honour the promises of service delivery, particularly for the poor residents of the informal settlement (SABC1 News, 2006). During local government election campaign, communities, including those of Khayelitsha, were promised effective and efficient provision of basic services to make better life for all.

Demonstrations in the streets are an indication of lack of proper communication between the communities and the government officials. This also indicates the fact that the communities have not benefited from the programmes and projects implemented by government for the development and upliftment of their living conditions. Furthermore, the lack of proper sanitation facilities pose challenges such as public health problems, environmental impacts and contamination, the economic impact of poor sanitation and social and psychological problems. The most prevalent health problems associated with poor sanitation have been diarrhea, cholera, worms, eye infection and skin diseases. The inhabitant's environments have negative impacts on poor households especially children who play in the dusty streets surrounded by dirty contaminated water and visible solid human waste. The large size and high density of the settlement within Khayelitsha has put pressure on the existing sanitation infrastructure.

The informal settlements are located in the land that is not serviced and in some instances it is impossible to upgrade and service the land for development purposes. In addition, protecting the water source from contamination is the challenge the local authorities are facing. The sanitation facilities provided to the communities are not sustainable and properly maintained. These inadequate facilities include communal taps and toilets that are located in a specific area within the informal settlement. The communities are divided into sections and the toilets are located in accordance with these sections. The existing toilet facilities are not adequate for the informal settlement population, for example, approximately five hundred households utilize five toilets of bucket system. This has created challenges for the community members who utilize these toilets, especially given that they cannot utilize these communal toilets at night due to poor lighting.

In addition, these facilities are not neat and in bad conditions and not consonant with human dignity, which is entrenched under No.108 of the Constitution of South Africa ( Constitution Act,1996 ). The community members prefer to make use of bushes and pit toilets and the majority of households build their toilets next to their houses. This is a health hazard situation because persons utilizing bushes and pit toilets do not wash their hands as the taps are far from their households with some having to travel as far as five hundred meters to get water for domestic use. The policies on basic services delivery are very clearly articulated within the Water Services Act but the implementation of the policies seems to be the problem. The Water Services Act No. 108 of 1997, states that everyone has a right of access to basic water supply and sanitation.

Despite the fact that policies are in place, households in the informal settlements are still battling to get effective and efficient basic services from the local government authorities. It is imperative to point out that people are more willing to pay for water than they are for sanitation and hygiene promotion, however, the health benefits of water supply can only be maximized where all these services are provided. While sanitation and hygiene are easily overlooked during the reform process, they must be given a higher priority to achieve the greatest possible improvement in health and well from sector reform. In addition, reform should not be confined to the narrow subject of water supply alone.



### **1.3 Purpose of the Study**

The purpose of this study is to investigate the implementation processes of water and sanitation services in the informal settlement of the Khayelitsha area. The study seeks to identify the challenges of policy implementation processes and factors that contribute to the lack of effective and efficient services delivery at local government level.

### **1.4 Research Questions**

**1.4.1** What are the challenges incurred by the local government in implementing water and sanitation services specifically in the Khayelitsha informal settlement area?

**1.4.2** What are the legislative framework and policy provision that deals with this sector?

**1.4.3** To what extent have the three spheres of government played their roles in provision of water and sanitation services?

**1.4.4** What is the current situation in the informal settlement with regard to the eradication of bucket toilet system?

## **1.5 Objectives of the Research Study**

### **Primary Objective**

The primary objectives of this research are to identify the problems and challenges confronting the implementation of policies relating to water and sanitation at local government level.

### **Secondary Objectives**

**1.5.1.** To review relevant and specific legislation and policies in the water and sanitation sector that apply to informal settlement.

**1.5.2** To provide an overview of the role played by government at national, provincial and local Governments and other stakeholders in policy implementation and evaluation in this sector.

**1.5.3** To assess the current status of implementation on the bucket eradication project in Khayelitsha area.

**1.5.4** To make recommendations to policy makers for improving the service delivery particularly in the Khayelitsha informal settlement.



### **1.6 Significance of the Study**

This study seeks to identify challenges confronted by government in the implementation of public policies particularly in the water and sanitation sector. The findings of the study may assist government on how to address the challenges facing government in the implementation phase of public policies, more especially at local government level. The study will look at the policy management focusing on the tools such as strategic planning, implementation, and monitoring and evaluation of the programs and projects that are in place to achieve the set objectives of effective service delivery on water services and sanitation in the informal settlement. The research will also explore the important role players such as civil society, private sector for effective and efficient implementation of policies and accelerate provision of water services and sanitation. The active participation of relevant stakeholders contributes to the attainment of set objectives in terms of inputs and concerns with regard to water and sanitation services. The study will also identify the challenges faced by municipalities in implementing the policies and recommend alternatives for better and quicker service delivery.

### **1.7 Scientific Value of the Study**

This study focuses on the effective and efficient implementation of public policy on water and sanitation services at local government level. The science of public administration constitutes among other things a field of studying the functioning of government in implementing public policies. One of the challenges facing underdeveloped and developing countries is to improve socio-economic conditions of poor people through provision of basic services such as water, sanitation, houses, eradicate poverty, etc. The local government authorities have an obligation to deliver services to the poor people. This suggests that government structures need to be capacitated at all levels in order to achieve the set goals of better life for all.

In 2000, the United Nations adopted eight Millennium Development Goals set to be achieved by 2015. This study focuses on the implementation of public policies in water and sanitation sector which are in line with the Millennium Development goals. In fact water and sanitation sector cannot be separated from promotion of health; combat of HIV/AIDS, malaria and other diseases; protection and sustainability of environment. In essence this study will play a critical role in identifying the challenges faced by government in implementing public policies which are in line with the objectives of achieving the Millennium Development Goals. It is important to mention that each government has a responsibility and obligation to ensure that its policies and programmes are in line with the Millennium Development Goals. This study will add value to the solution of lack of provision of basic services to the people through recommendations.

WESTERN CAPE

### **1.8 Limitation of the Study**

The focus of the study is on the implementation of water and sanitation services in the City of Cape Town, with case study of the informal settlements of Khayelitsha. The large part of the residential area of Khayelitsha consists of informal settlements. However, the study focused on three major informal settlements of Khayelitsha such as Site B, Site C and Nkanini. The participants were selected from these three informal settlements and officials from the three spheres of government, namely national, provincial and local. It is important to ensure that a small sample size is selected in order to have valid and relevant findings. Much as the informal settlement dwellers of the Western Cape have raised similar challenges relating to service delivery the study reflects on the activities of the informal settlements of Khayelitsha. However, the findings of the study can be generalized as some of the informal settlement dwellers move from one area to another.

### **1.9 Definitions of key terms**

The following are key terms in this study:

**Policy-** Anderson (1994: 5) defines policy as a 'proposed course of action of a person, group or government within a given environment providing obstacles and opportunities which the policy was proposed to utilize and overcome in an effort to reach a goal or realize an objective or a purpose.' However, there is no single definition of the term 'policy' as many authors indicate the complexity of defining policy. Dye (1992:02) defines policy as whatever governments choose to do or not to do.

In other words policy is the statement of intent, whereby the government describes policy as whatever issues need to be attended to in order to change things for the better. This implies that policy gives guidance and direction on who has authority on what in terms of regulations. It is essential for this study to review water and sanitation policies in order to ensure that challenges incurred in the implementation processes are identified. Furthermore, policies are meant to be changed if there is a compelling situation to embark on such direction. In addition, it is impracticable or impossible for any government or institution to effectively and efficiently operate without policies. This suggests that policy comprises the key and fundamental framework that plays a significant role for any government or organization to achieve its goals and objectives.

According to Meyer, Ismail and Saheed (1997:149) policy outputs are tangible manifestation of public policies. For example, at local government level, policy outputs refer to how many houses the local authority has actually built as compared to what it promised the local inhabitants. The building of houses cannot be separated from provision of water and sanitation services. In addition, policy outcomes refer to implications of a policy on a community. Policies find their way into programmes and projects. At local government level it is about providing services to the communities, and local authorities provide services in a programme fashion. However, the question is whether local authorities have the capacity to effectively efficiently implement the policies. In fact the concept of policy implementation is defined and described in the following paragraph.

**Policy implementation** is a process that involves all the activities designed to carry out the policies enacted by the legislative branch. According to Van Meter and Van Horn (1974: 447 - 448) policy implementation encompasses those actions by public or private individuals or group that are directed at the achievement of objectives set forth in prior policy decision. In fact policy implementation is the joint venture between public and private sector and any other stakeholders with interest in a particular development. In the case of this study local government in conjunction with private sector and civil society are at the forefront of policy implementation for effective and efficient provision of services such as water and sanitation. According to Brynarda and dec Coning

(2006) a comprehensive strategy is put in place for the implementation of public policy in order to ensure public value. This includes the equally important elements of substantive value, legitimacy and political sustainability, as well as operational and administrative feasibility. In addition, policies are implemented in the form of programmes and projects, by authoritative action, the initial conditions are created.

This means that implementation is the ability to forge subsequent links in the casual chain s as to obtain the desired results. Public polices are supposed to bring about change in a current state of affairs (Brynard and de Coning et al 2006:193). This change can be political, economic, social or institutional. If such policies are not effectively implemented they remain merely a statement of intent. This suggests that programmes and projects are seen as mechanisms or instruments for implementing policies or demonstrations of the effects of policies at a practical level. National goals and strategies, which are implemented through various levels of governments and institutions, have an effect on society through series of sequential feedback linkages.

In essence the goal of national government to eradicate bucket system by December 2007 was a national government target which was supposed to be implemented by three spheres of government through intergovernmental relation. In which the local authorities should play a leading role as the closest government to the people. The process strategic and policy objectives are translated into business objectives at the strategy level and, in turn, the specific actions and projects are defined by the program level in order to give effect to implementation. Development programmes and projects are those that improve the capabilities and opportunities of people to be effectively involved in the production of goods and service which continually improve the quality of their life. In relation to this study, this suggests that people at communities where the programmes and projects are implemented must fully participate in the running and execution of those projects particularly people from the informal settlement whom the majority is unemployed.

This creates job opportunities for the unemployed and without community participation the implementation of the programmes and projects tend to fail. For example, community members tend to make it difficult to effectively implement projects if people working in those projects are not from the community where the development is taking place. In many instances the community accuses their leaders of employing their relatives and friends. This has been a case in many of the informal settlement where it leads to the disruption of the projects. Programmes and projects are the key and fundamental instruments to implement policies at all levels of government. The local authorities must ensure that they have the capacity in the leadership position in order to ensure that

policies are implemented with limited problem such as mismanagement of funds, time management, etc. capacity also includes the intangible requirements of motivation, commitment, willingness, courage, endurance and other intangible attributes needed to transform rhetoric into action (Brynard and de Conning 2006:193).

Implementation is the conversion of mainly physical and financial resources into concrete service delivery outputs in the form facilities and services, or other concrete outputs aimed at achieving policy objectives. According to Brynard and de Conning (2006:205) public managers in South Africa have increasingly used planning, program and project management approaches in implementation. Moya (2002:35) states that prominent approaches to policy implementation include policy implementation in the traditional public administration framework and the top-down rational system approach, but also emphasizes implementation as an evolutionary process.

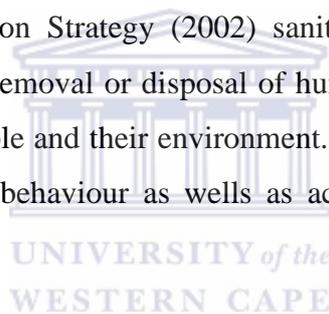
***Basic municipal service-*** This is a municipal service that is necessary to ensure an acceptable and reasonable quality of life and, if not provided, would endanger public health or safety or the environment (Van der Waldt, 2007:148). With regard to this study the basic services include water and sanitation services which are the key to the life of the people. As mentioned above without these basic services persons who lives under these conditions their lives is in danger especially the poor communities who live in the informal settlement. There are more fragile to diseases such as cholera, TB, diarrhea, etc. Van der Waldt (2007:149) further argues that municipal services must be.....“equitable and accessible; be provided in a manner that is conducive to the prudent, economic, efficient and effective use of available resources as well as improvement of the standard of quality over time; be financially and environmentally sustainable, and extension and improvement”.

**A municipality** is that part of the government that manifests grassroots level and that exists as a legal person as well as being a key part of set of governmental relationships and organizational system (Van der Waldt (2007:149). Furthermore, a municipality is required to give effect to the provision of the Constitutional at local level. This includes giving priority to the basic needs of the local community; promoting the development of the local community; and ensures that all members of the local community have access to at least the minimum level of basic municipal services. The nature of the basic services provided at the municipal level is influenced by various external and internal factors, such as the physical, political demographical, financial and social environments. The physical environment of South Africa consists of diverse geographical areas such as bushveld,

mountain areas with usually a shortage of portable water, vast stretches of scarcely populated rural areas, and overpopulated cities with enormous problems with informal squatting.

The provision of basic services such as water and sanitation in the informal settlement is the tedious task as it is difficult to bring services to the people due to the undeveloped and serviced land they occupied. For example, the majority of the informal residences are built in a land that was forcefully occupied and was utilized as a dumping place. The practical example is an informal settlement known as **Barcelona** which was built in a place that was a dumping place before. The service could be provided to this residence due to the fact that the land is not suitable for residential settlement.

***Sanitation***- is any system that promotes sanitary or healthy living condition. It includes system to manage water, storm water, solid waste, and household refuse. It also includes ensuring that people have safe drinking water and enough water for washing. Sanitation refers to all conditions that affect health, especially with regard to dirt and infection and specifically to the drainage and disposal of sewage and refuse from houses (Franceys, Pickford and Reed, 1992:03). In the Framework for a National Sanitation Strategy (2002) sanitation is defined as a principle and practices relating to the collection, removal or disposal of human excreta, households waste water and refuse as they impact upon people and their environment. Good sanitation includes appropriate health and hygiene awareness and behaviour as well as acceptable, affordable and sustainable sanitation services.



In addition, sanitation is vital to national health. To achieve good sanitation, the matter needs to be part of an overall development drive. Sanitation is thus only one of many development programmes being promoted by government. Furthermore, sanitation improvement must be responsive to community aspirations but with two way responsibility agreements, supported by an intensive health and hygiene awareness program, community participation, integrated planning development, sanitation is about environment and health, the development of improved sanitation services must link to the municipal policies dealing with poverty (Framework for a National Sanitation Strategy, 2002). Sanitation programs will improve the social and psychological problems associated with poor sanitation.

Lack of toilet facilities, toilets placed at a distance from home, inadequate communal facilities, inadequate disposal of waste and other poor sanitation practices result in loss of privacy and dignity, exposure and increased risks to personal safety (White Paper on Basic Household Sanitation). In essence economic benefits of improved sanitation include saving in health costs, higher work

productivity, better school attendance, improved tourism and reduced water treatment costs. The recent cholera epidemic, as well as the slow pace of sanitation delivery, has urged government to look more closely at its sanitation implementation strategies and policies.

Toilets are an important part of achieving good sanitation, but without proper public understanding about why sanitation matters, and what is necessary to achieve good sanitation, toilets are not enough to break the cycle of diseases.

**Informal settlement**-is the residential area that is not designated for residential purposes and where the houses are built with wood, plastic and zinc. The area itself is not developed in terms of streets, light, clean water and adequate sanitation facilities. The majority of the people who reside in the informal settlement are poor people who are in most cases unemployed and/or have not. It is stated in the National Strategy for Sanitation Services to Informal Settlement, 2002 that health and hygiene considerations are vitally important because most settlements are unplanned, with the primary aim of residents being to establish a dwelling unit. In addition, local government is mandated to provide basic services such as water and sanitation in all settlements within their area of jurisdiction in accordance with the rights described in the constitution as well as in the various Acts that guide service delivery at local government.

Providing services to the informal settlements is one of the most complex issues on the municipal agenda, and must be viewed in the context of broader spatial development and housing delivery objectives, as well as in terms of poverty alleviation and skilled development. It is important to mention the fact that unemployment, poverty, and illiteracy cannot be separated from the informal settlement dwellers. A key component of the formulation of strategy for the provision of services to informal settlement within the municipal boundaries is the issue of the permanency of the settlement (Framework for a National Sanitation Strategy, 2002).

**Policy analysis**- According to Hanekom and Thornhill (1995:57) policy analysis is an attempt to measure the cost and benefit of policy implementation. They further state that policy making, policy implementation and policy analysis are three different functions but closely interrelated. Furthermore, policy analysis plays a critical role in determining the progress made by government in the implementation of public policy. In essence policy analysis helps in identifying problems incurred in the implementation of public policy and enable policy makers to improve where necessary.

## 1.10 Summary of the chapters

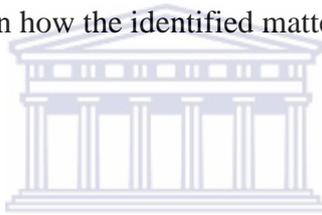
**Chapter one:** This chapter contains the research problem. It gives statement as to why it should be researched and define key terms of the study.

**Chapter two:** Literature review is the summary of theory and empirical research with a view to showing how particular research will fit with the existing ideas, theories and findings. The theory will be utilized to support the research findings of the study.

**Chapter three:** Research methodology contains of sampling procedures, sample size and instrument used. It also contains procedures followed to collect and obtain data.

**Chapter four:** This chapter contains the analysis of the collected and obtained data and interpret it to ensure that it answers the research question.

**Chapter five:** This chapter concludes and makes recommendations on the research findings. It also give alternative on how the identified matter of concerns can be addressed.



## 1.11. Summary

This chapter gives an insight into the nature of the study and defines and deliberates key terms. This study also defines and describes the statement of the problem and attempts to draw a picture of what motivated the researcher to conduct the research. This is spelled out by the purpose and objectives of the study which give a clear insight of what the researcher intends to achieve in terms of the study. The researcher intends to identify the challenges confronting the local government of the City of Cape Town in providing water and sanitation services in the informal settlement of Khayelitsha. The provision of water and sanitation services can only be achieved through effective and efficient implementation of the policies in this sector. In addition, there are a number of factors that play a pivotal role in the effective implementation of the water and sanitation services. These include the role of the various stakeholders who are directly and indirectly affected by the lack of provision of the water and sanitation services, role of all spheres of government, and most importantly the understanding and implementation of the legislative framework which give guidance on how the polices should be implemented.

## CHAPTER TWO - LITERATURE REVIEW

## **2.1 Introduction**

This section explores the various debates around different literature and theoretical perspective on water and sanitation services from a global, regional, national, provincial and local government levels. It is also looking at the effects of the problems that emanate from the lack of clean water and inadequate sanitary conditions. The impact of inadequate sanitation services on a variety of sectors needs to be fully understood. This includes the impact on water resources of the country, particularly water quality and the impact on health and wellbeing of the affected population. It is for these reasons that water supply and sanitation are inextricably linked as part of the broader development process and the department or local authorities should undertaking the responsibility of assuring that all South Africans have access to adequate sanitation and water services.

Furthermore, sanitation goes far beyond the issue of toilets, although safe disposal of human excreta and other domestic waste is a major and necessary requirement for safe sanitation. In addition, personal, family and cultural hygiene practices alone will not solve the problem. Therefore sanitation improvement encompasses an entire process, aimed at the home and the individual, which must include health and hygiene education as well as improving the physical infrastructure of toilet facilities, water supply and disposal of domestic waste water. The incidences of the diseases in squatter settlements are not fully documented because of inadequate health facilities. Water is a natural resource and should be made available in a sustainable manner to all South Africans.

WESTERN CAPE

## **2.2 Water and Sanitation challenges from the Global perspective.**

It is of critical importance to mention that water and sanitation challenges are incurred globally and all the countries of the world need to find ways means to address the lack of these basic services. This research is taking the approach of looking at these challenges from global, regional, national, provincial and local level perspectives, with the focus being on the implementation of water and sanitation services at local government level in South Africa. Sanitation refers to all conditions that affect health, especially with regard to dirt and infection and specifically to the drainage and disposal of sewage and refuse from houses (Franceys, Pickford and Reed, 1992:03). There has been considerable awareness of community water supply needs, but the problem of excreta and water disposal have received less attention.

According to Mara (2003:18) water and sanitation is a global burden. He points out that diseases due to deficient water supplies, deficient sanitation and deficient hygiene have been collectively responsible for seven percent of all deaths in the world. He further argues that the incident of

excreta –related diseases shows little sign of decline, not only in developing countries, but also in industrialized countries such as England. In order to focus attention on these problems, sanitation became used and understood by people worldwide to refer only to excreta and wastewater. In addition, hygienic disposal that does not endanger health should be the underlying objectives of all sanitation programs.

Safe disposal of excreta is of paramount importance for health and welfare and also for the social and environmental effects it may have in communities involved. The world's need for basic sanitation services (i.e. drinking water- water supply, excreta and wastewater disposal) has greatly increased as a result of rapid population growth and higher expectations. There is historical evidence from the industrialized world of the need for sanitation as a high priority for health protection. For example, in England in the nineteenth century, exposure to water-related infections was reduced when government-sponsored environmental measures were taken following enactment of public health legislation (Franceys, Pickford and Reed, 1992:04).

According to Mara (2003:19) there are marked disparities in environmental conditions and in standards health within developing countries and in particular in the major cities. The rates of growth of greater than 5% per year have produced concentration of poor people in city centers slums and in squatter areas on the periphery of towns and cities. The high density living promotes the spread of airborne respiratory infections and hygiene related diseases such as diarrhea. In addition, a major challenge for those concerned with environmental health is the design and introduction of excreta disposal system appropriate to these high densities, low income communities (Frederick, 1993:21). Furthermore, detailed demographic data, such as age and sex distribution may be significant, especially if it is customary for workers to move away from the area temporarily or permanently.

It is noteworthy to mention that aspects of housing that most affect sanitation is density, quality and level of occupancy. The service mostly closely related to sanitation is water supply, and careful should be made of all water sources in the community. There is a water problem in the world, despite the scientific and technological progress of the past years and the deployment of economic and financial efforts to solve it. It is a problem for the world; however, much it may differ according to a country's standard of living, to the character of a particular geographical zone to the composition of social groups (Fair, Geyer and Okun, 1966:5). The World Water Contract is one of a series of actions undertaken by numerous groups, movements and international bodies to ensure that

the trend to not persist (Petrella, 2001: 85). The three critical situations faces the world today includes:

- (1) No access to a sufficient quantity of drinking water for 1.4 billion people and to water sufficient quality for more than 2 billion. Of great importance for the World Water Contract is the acute accessibility crisis for people living in cities that will have a population of more than a million by the year 2020, especially the poor countries.
- (2) The destruction of water as a fundamental resource of the ecosystem Earth and of human life. The two crucial aspects that have not received the attention in recent years as industrial pollution and the management of urban waste should definitely be among the priorities to be addressed.
- (3) An absence of worldwide rules and of people t sustains a water politics based on solidarity, at a time glaring structural weaknesses and deficits in local water authorities.

Although water is increasingly recognized as a vital good, access to it for all has been formally declared an objective by the United Nations and other international governmental or private bodies active in relation to water. This has not given rise to a world corpus of basic laws beyond the framework of national states (Petrella, 2001:87). The successful efforts since the International Decade of Drinking Water and Sanitation (IDDWS) to get two major conventions drafted and signed should be positively welcomed, but there is a deplorable lack of world bodies with sufficient powers to provide a clear sense of direction and to monitor the implementation of existing conventions (Petrella, 2001:88).

### **2.3 Water and Sanitation challenges from an African perspective.**

It is noteworthy to point out that provision of clean water and adequate sanitation facility is the challenge that affects all countries in the world. From the African perspective, the challenges are huge that the developed countries such as America, United Kingdom, etc. the biggest challenge facing the African content is that the majority of the African countries are underdeveloped and poor in terms of economic and infrastructure development (Perret, Farolfi, and Hassan, 2006:6).Africa consists of developing and underdeveloped countries which have been confronted with the challenges of providing effective and efficient service delivery. Africa is facing a water and sanitation crisis particularly the undeveloped countries where there is political, social and economic instability. The development sector cannot keep up with population growth, limiting economic and social progress. Women, children and the poor are particularly vulnerably under these conditions.

In addition, Africa has the lowest water and sanitation supply coverage of any region in the world, more than 1 in 3 Africans do not have access to clean water supply and sanitation facilities. Almost half of the people of African continent suffer from water related diseases. The problem mostly incurred in sub-Saharan Africa, where only 60% of people have access to safe water supplies. Unless appropriate action is taken now, the total number of inadequately served Africans will double between now and the year 2020, with 400 million lacking safe water and 600million without hygienic sanitation. However, there is a growing resolve among African leaders to develop and implement plans which addresses this situation. Milestone in the development of this consensus have been the Water and Sanitation African Initiative (WASAI) of November 1998. Furthermore, the strong African participation in the second World Water Forum held in The Hague, and in the Bonn Fresh Water Conference (.Perret, Farolfi, and Hassan, 2006:6).

Moreover, the April/May 2002 African wide meetings held in Accra and Abuja, have further built consensus on key issues and raised the profile of Africa's water and sanitation challenges. The New Partnership for Africa's Development (NEPAD) pledge by African leaders to set an agenda for renewal of the continent, is consistent with the Millennium Development goals. In fact consensus is well established on the guiding principles for reform of the water supply and sanitation sector. There is need to restructure institutions to enable them to deliver better services in an efficient and sustainable manner, which frequently entails developing authority to local level and specifying public sector roles. It is imperative to adopt sound financial policies to create financially viable sector institutions and to generate the resources required to build, maintain and operate systems.

The challenge of the implementation of water and sanitation policies requires a comprehensive approach which include the participation of relevant stakeholders such as community based organization, and private sector organizations. It is important to recognize to consumer as a key stakeholder to whom government and service providers must account (Cairncross, 1992:32). This includes the poor and marginal groups in matters related to water supply and sanitation investment. It is the responsibility of the local authorities to ensure that service providers give consumers a choice of level and types of provision, including low cost option, to meet consumer demand and willingness to pay. The involvement of the private sector in the financing, management, and operation of services plays an important role to the efficient and effective provisioning of the services to the people.

The leadership of the African continent has recognized the challenge of water and sanitation in their respective countries. This indicated by the effort made to address these challenges in the platforms created to discuss development of Africa. For example, The Second Regional Conference on the reform of the Water Supply and Sanitation (WSS) sector in Africa was held in Kampala, Uganda from 26 to 28 February 2001 whose theme was *Enhancing Public- Private Partnership in the context of African Vision for Water* (2025). The meeting sought to share remerging lessons from the African experience and identify good practice for dissemination. It also seek a consensus on the new directions needed in sector reform and strengthen existing networks of African water supply and sanitation sector as well as water resource professionals.

In order to meet these needs, and to improve the quality of service to current water and sanitation users will require greater efficiency in the management of existing systems, financial availability, and increased capital expenditure. In many African cities, the long term future of water utilities and the sustainability of reform will depend on success in extending services to low income communities. Small scale private providers, non-governmental organizations and community based organizations (NGOs & CBOs) have played a leading role in service provision to the poor where public services have been inadequate (Cairncross, 1992:27).

Their insight and experience in servicing the poor, and their potential contribution as experienced partners for the utility should be explicitly recognized. A strong consensus emerged at the conference over the need to involve all sections of society in the reform of water and sanitation services. Meanwhile sector reform involves fundamental changes in the way structures all work together to meet water and sanitation needs. Reform is not just the concern of sector technocrats, but also requires the strong leaders, national, provincial and local government officials, workers in the water and sanitation, the private sector, NGOs and CBOs, community leaders, external support agencies and the public at large. Reform is best promoted by strong and sustained political commitment and effective public communication of the issues and decisions to be made. It also promotes involvement of all stakeholders, with special attention to the interests of the poor.

#### **2.4 An Overview of Water and Sanitation Challenge in South Africa**

The history of sanitation development in South Africa is bound up with the history of all other aspects of equity, land, development and the economy. There has been no political will in the past to address the problem prior 1994 when the country attained political independence. The apartheid

government provided basic services to the minority group and the majority of the population was marginalized. The areas with the challenges of lack of adequate sanitation are the residential areas of the black people who were separated and marginalized by the laws of the apartheid government (HRC Quarterly Review, October 2000). After 1994 a democratic elected government of national unity was formed under the leadership of President Mandela with promises that citizen entitlements like proper housing and improved service delivery would be given priority.

The new government of national unity brought changes in government institutions and policies. In addition, the Constitution was finally adopted in 1996 and this paved the way for the establishment of government institutions to ensure that good governance is established. The government policies were dramatically altered to focus more on the poor, indigenous and underdeveloped communities in the country (Wissink and Cloete, 2000:89). The old Water Act of 1956 had been drafted to ensure that water was mostly used by small dominant group that had privileged access to land and economic power. Water as basic human rights for the majority black population groups was not recognized. The new Water Act, called National Water Act, was enacted in 1998 and recognizes that water is a natural resource that belongs to all people in South Africa. The more details on Water Act are discussed under legislative frameworks which form part of this study.

It is imperative to mention the fact that South Africa is a dry country, with a low average rainfall. Many areas in the country are facing water shortage, where the requirements for water are greater than the available water. In these areas the environment is under stress and some people do not have access to drinking water or do not get their fair share of water as an entitlement. In fact, water is a critical part of social and economic development to alleviate poverty. This is one of the reasons why the current government has the backlog of providing basic services such as water and sanitation to the poor communities.

Furthermore, the economic conditions of the people living in the informal settlement perpetuate conditions of uncertainty as the majority of the people are unemployed. The inhabitant conditions which they live under pose the challenge to government to change such conditions through delivering basic services. This is the challenge particularly to the local governments which is closer to the people to attend to the needs of the communities. Sanitation and water services are the most important services for the poor communities if they are to survive. The problem has been further exacerbated by the challenge of urbanization which is a phenomenon whereby people from rural

areas move to more densely populated towns and cities in search of a better life (Van der Waldt, 2007:10).

The rate at which people move from a thinly populated rural areas to urban areas could cause service challenges for municipalities, since the ability to render services to these people is hampered, among other things by a lack of proactive planning, lack of availability of resources, and the limited financial and administrative capacity of the municipality. Van der Waldt (2002:02) highlights the challenges posed by urbanisation, such as rapid urban growth subsequent adverse conditions and call for better management and planning. For example, in 2003 Nkanini informal settlement in Khayelitsha was established and community members occupied the land by force and built shacks as their dwellings.

Today Nkanini is one of the largest informal settlements in Western Cape and brought challenges of provision of basic service delivery such as water and sanitation. It is critical to mention the fact that urban management cannot be understood in terms of top-down or command and control models of governance. It is also important to articulate the fact that local governments are not the sole actors at the local level dealing with community needs. There are also private arrangement through which churches, NGOs, CBOs, and private organisations. Cities suffered from among other things, overcrowding, air pollution, blighted areas and slum, expanding suburbs and lack of open space and community facilities (Van der Waldt, 2007:11).

For the past ten years the number of people migrating in the urban areas has increased. The majority of these people are unemployed and they migrate to urban areas in search of employment opportunities. The rates of urban growth of greater than 5% per year have produced concentration of poor people in city centre slums and in squatter areas on the periphery of towns and cities. Health risks are high in these areas. High density living promotes the spread of airborne respiratory infections and hygiene related diseases such as diarrhoea (Franceys, Pickford and Reed, 1992:03). Housing and health, safety and security, as well as job creation are the priority issues for Khayelitsha and are reflected in the lack of formal housing, overcrowding and general dysfunctional of the area.

According Thom (2006:07) there is widespread unemployment only 34.6% of residents are in employment and of those that are employed, only around 4% work in the Khayelitsha district. All

the others are very far from their places of work. The living conditions in Khayelitsha have serious impact on the rates of diseases in the area. Typically, overcrowding and poverty gives rise to the diseases such as parasitic diseases, tuberculosis etc. They also give rise to family disintegration with increased violence and abuse of women and children. Sanitation provision in Khayelitsha is mixed, according to the living conditions of the households. People living in the formal housing have running water in their homes and water borne toilets, whilst most of their counterparts living in the informal settlement use their communal facilities or none at all. The poor sanitation in Khayelitsha is further aggravated by the grounds which has loose soils.

The soil type is loose and water table is high, which limits the type of toilets that are suitable. In addition, the area is subjected to heavy winter rainfall and strong winds, which lead to further transmission of diseases (Mara, 2003:18). A high presence of faecal contamination, a result of overflowing sewer or lack of toilets facilities in the informal settlements, leads to surface pollution and contamination of storm water system. With these living conditions, it is hardly surprising that diarrhoea is the second highest cause of death in children under the age of five years, and the seventh highest cause of death among people of all ages in Khayelitsha (HRC Quarterly Review, October 2000). People living in the informal settlement are the poor people who move from rural area to urban areas to look for jobs as has been alluded to above.

These people then construct dwelling from all sorts of material which are often unsustainable for building purpose, for example, tins, cardboard, and pieces of plastic and low quality wood. No provision is made for proper division of the land into building stands and for streets and other essential services such as water and electricity as well as refuse removal (Cloete and Thornhill, 2005:10). The Constitution clearly separates the powers of the different spheres of government. For example, it states the powers national, provincial and local government has. All spheres of government should co-operate but they may not duplicate the functions of each other. The constitution allocates the management of water resources to National Government and the management of water and sanitation services for all citizens to municipalities (local government). This explains why there is an Act that deals with the resources and an act that deals with water services.

#### **2.4.1 The Role of National Government**

In terms of Strategic Framework for Water Services (2003) national government has the constitutional responsibility to support and strengthen the capacity of local government in the

fulfillment of its functions, and to regulate local government to ensure effective performance of its duties. In addition, national government may develop legislation governing the provision of water services and sanitation services. However, a municipality right to govern the local government affairs of its community is subject to national and provincial legislation, as provided in the Constitution Act 108 of 1996. Where water services fail to plan and implement strategies for the provision of basic services and why fail to provide efficient, effective and sustainable services, national government together with provincial government has the right to intervene.

National government through Department of Water Affairs and Forestry (DWAF) set national standards for water and sanitation delivery. Furthermore, DWAF has overall responsibility for the management of water resources and for water sector policy. The Department of Water Affairs specific functions in this regard include sector leadership, promotion of good practice, development and revision of national policies, oversight of all legislation impacting on the water sector.

In terms of regulation, it comprises two functions:

- (1) Monitoring sector performance including conformity to national norms and standards.
- (2) Making regulatory interventions to improve performance or to ensure compliance.

The Department of Provincial and Local Government (DPLG) has the following significant responsibilities related to water services:

- Department of Provincial and Local Government regulate municipal service partnership in terms of the White Paper on Municipal Partnership and Municipal Systems Act.
- Department of Provincial and Local Government require municipalities to undertake integrated development planning. Water services development plans need to be integrated with Municipal Systems act.
- Department of Provincial and Local Government allocate funds to local government including the local government equitable share, the municipal infrastructure grant and capacity building grant.

## **2.4.2 The Role of Provincial Government**

Provincial government, in collaboration with national government has the constitutional responsibility to support and strengthen the capacity of local government. Provincial public works department may undertake the construction of water and sanitation infrastructure on behalf of other departments in the province. This includes setting design standards for water and sanitation facilities in schools, hospitals and clinics. In addition, provincial government provides finance, human resource management and technical support to local government. Provincial government has to ensure compliance with national policy. It is also the responsibility of provincial government to develop an enabling legislation and coordinate regional planning and monitor progress (Water Services Act, 1997).

### **2.4.3 The Role of Local Government**

Local government should assist households to improve their own sanitation. They should work with communities and households to promote the importance of sanitation for health, benefits and convenience of a safe and attractive toilet. Together with the community, local government must launch health and hygiene promotion programs, identifying needs for toilet facilities, prioritize these needs and then through specific projects, help households to build their own toilet facilities. Local government planning is implemented through the Integrated Development Plans (IDPs) of which the Water Services Development Plans (WSDPs) are a component and in order to implement sanitation improvement programmes, local government must budget and source funding for these. The funding is drawn from various sources, including revenue collection and provincial and national government budgetary allocations. In the implementation of the sanitation programmes local government authorities must ensure that the environment is protected (Strategic Framework for Water Services, 2003). The protection of environment is one of the critical aspects in urban development, particularly for socio-economic development. Local government should assist by providing management skills to ensure the success of the projects. In addition, health and hygiene promotion messages should be reinforced and health monitored on an ongoing basis.

### **2.5 An Overview of Khayelitsha**

Khayelitsha is a Xhosa term for ‘new home’, and the informal settlements represents the largest and fastest growing township in the Western Cape. It was established in the early 1980s as a result of the spill-over from the apartheid townships where people were moved from their homes in urban areas, like the famous District Six (HRC Quarterly Review, October 2000). Kayelitsha is a large, predominantly informal settlement located about 30 kilometers west of Cape Town. It was established in an attempt to relocate people further from white settlements. The areas within the

large informal settlement include, Site C, site B, Harare, and Makhaza. Khayelitsha falls under the jurisdiction of the local municipality of the City of Cape Town. The provision of basic services in the informal settlement of Khayelitsha is a huge challenge facing the City of Cape Town. Almost all the informal settlements in the Kahyelitsha area are still utilizing bucket system and communal taps for drinking water. Collecting water and relieving oneself are both hazardous tasks due to the distance involved and the propensity of disease outbreak emanating from abundant human waste lying about.

In addition, these informal settlements are built on open spaces set aside for other infrastructural development. But people have illegally occupied the open spaces and built shacks for their houses. The dilemma facing the city council is that if they provide basic services, then they are in fact legalizing this illegal occupation of space designated for other projects. The informal settlements in Khayelitsha are growing due to the fact that people consider Cape Town as a place of employment opportunities, being a metropolitan as it is. The government has managed to provide electric services to the informal settlement and the outstanding issues are houses, water and sanitation. These basic services directly affect the lives of the people living in the informal settlement.

## **2.6 Theoretical Approaches**

### **2.6.1 The Top-down approach**

In decision making processes in the public sector, the top-down approach has remained the more dominant genre. This perspective starts from the authoritative policy decision at the central level of government (De Coning, 2006:188). In relation to this study, the current government seems to be adopted top adown approach when implementing public policies. The challenge is seen to be at the local government level which is the closest government to the people. This has been shown by the protest of informal settlement dwellers who complaint about the lack basic service delivery to their areas.

Government polices state clearly that communities should actively participate in the planning of programs and projects meant to develop their areas. In terms of Municipal Systems Act, municipalities must have Integrated Development Planning (IDP) which prioritize its services and budget accordingly. The bottom –up approach was largely a reaction to this model, based on identifying weaknesses in it and suggesting alternatives to address those weaknesses. The bottom - up approach is most adopted in the public policy development processes. This is shown by the commitment of government by consulting civil society and other stakeholders that have direct interest in the proposed public policy development.

However, the process of consultations is criticized in the sense that it is regarded as just formal procedure and not takes into consideration the views of the other participants. Various criticism of the top-down approach were expressed on the notion that policy makers exercise or ought to exercise some kind of direct and determines control over policy implementation (Brynard and de Coning, 2006:188). A few bottom –uppers suggested that discretion at lower level is not only inevitable, but also desirable because it is necessary for policies to be reinvented so that they better fit local needs (Palumbo and Colista, 1987:102 ). Brynard and de Coning, etal ( 2006) of the opinion that while stressing that the debate between top-down and bottom –up perspectives on implementation is by no means yet considered, it nevertheless seems that consensus is merging around the proposition. In fact, both perspectives provide insights into the implementation process and both demonstrate significant explanatory strength as well as weaknesses. In some instances both may be equally relevant, albeit at different stages of evolve new models of implementation which incorporate the strength of both perspectives (Gogin, etal, 1990:47). Moya (2002:35) states that prominent approaches to policy implementation include inter alia implementation in the traditional public administration framework and the top-down rational system approach already mentioned, but also emphasizes implementation as an evolutionary process. Rein and Rabinowitz (1997:62) implicitly challenge the hierarchical assumptions of the top down approach model by proposing the principle of circularity. Nakamura and Small (1980:16) build on this principle to suggest their conception of the implementation process as a system of functional environments, each of which contains a variety of factors and arenas and are connected to the others by various communications and compliance linkages.

### **2.6.2 Institutional approach**

Institutional approach is one of the models employed in this study in addressing the research question. This model is relevant to this study in the sense that the implementation of policies is the primary responsibility of government institutions at all levels of government. However the institutions at local government level are at the forefront in the implementation of government policies, especially within local communities. According to Wissink and Cloete (2000:26) institutional theory emphasizes that different concerns and interest of government should be given preference. They further argue that public policy is the product of public institutions that have mandate to implement the adopted public policies. It is important to mention the fact that public policy is legitimized by government, and only government policies apply to all members of society.

This suggests that the structure of governmental institutions can have an important bearing on policy results. For this study, the assessment of government institutions on how they execute their mandate in terms of implementing water and sanitation policies by providing basic services such as water and sanitation to the poor people living in the informal settlement of Khayelitsha area informs the basis and rationale for the study. According to Dye (1995: 19) government institutions have long been a central focus of public policy analysis. Public policy has been defined as the study of government institutions. In fact public policy activities centre on particular government institutions such as Parliament, Executive, legislature and municipalities.

Furthermore, these are authoritatively determined, implemented and enforced by the aforementioned institutions. It is important to mention that the relationship between public policy and government is very close.

In addition, a policy does not become a public policy until it is adopted, implemented and enforced by some government institutions. According to Wissink and Cloete (2000: 37) the institutional model could be usefully employed in policy analysis by analyzing the behaviour patterns of different institutions such as the executive and legislature.

They further argue that government institutions give public policy three distinctive characteristics, which include the following:

- Government lends legitimacy to policies. This means that policies are generally regarded as legal obligations that command the loyalty of citizens. Unlike policies of other groups and associations in the society such as corporations, civic organizations, and many others, government policies involve legal obligations.
- Government policies involve universality. This suggests that only government policies extend to all people in a society.
- Government monopolizes coercion in society. This emphasizes the point that government has legitimate authority to take action against anyone who violates its policies.

With regard to this study, the failure of municipal authorities to deliver services to the people warrants the intervention of national and provincial governments in order to arrest the situation. The intervention may take different forms to address the problem. This includes restructuring of institutions that were responsible for the implementation of public policies. However, the linkage between institutional arrangements and policy remains largely unexamined. It is noteworthy to mention that changing of government institutions will not bring about dramatic changes to policy (Wissink and Cloete, 2000: 38). Government institutions play a pivotal role in

the public policy process, which include planning, designing, implementation and evaluation. The three critical and fundamental government institutions that are most important in the policy analysis of public policies include, the legislature which enact laws supporting the implementation of crafted policies. The executive authorities are at the forefront in the implementation of public policies. The judiciary institutions have the mandate and responsibility of making decisions on law related conflicts or matters. The Constitutions unambiguously articulate that the aforementioned government institutions should carry out their mandate without interference of any form. For this study, the focus is on the implementation of water and sanitation by government institutions at a local government level in general and in Khayelitsha in particular.

### **2.6.3 Systems theory**

According to Hanekom (1987:46) systems model put emphases on the contributions of interrelated forces to policy making. The contribution of interrelated forces in the policy making is also valuable in the implementation processes of public policy. Wissink and Coete (2000:39) state that systems approach is regarded as one of the most valuable tools for the purpose of policy analysis. They further argue that this model is specifically assisting in portraying policy processes on a general and simplistic level and often identifies major subsystem and processes. In fact, policy implementation is one of the most critical stages of policy processes due to the fact that intended goals cannot be achieved without effective and efficient implementation of adopted public policies.

Wissink and Cloete (2000:40) are of the view that the systems approach is related to the well known input-output model of David Easton. This approach focuses on the response by political system to the demands and needs of interest groups. Looking at the research question of this study, the role and the responsibility of the political office bearers in responding to the demands of the people specifically those living in the informal settlement who are in die need of basic services, need to be examined. One needs to consider whether the political system is the problem for effective and efficient implementation of public policies or the challenge is on the political office bearers who should take a leading role to execute the mandate vested on them by the people.

Dye (1995:38) concurs with Wissink and Cloete (2000) by stating that system theory portrays public policy as an output of political system. He further states that the concept of systems implies that an identifiable set of institutions and activities in society that functions to transform demands

into authoritative decisions requires support of the whole society. The concept of system also implies that elements of the system are interrelated, that the system can respond to forces in its environment. Wssink and Coete (2000:39) are of the opinion that the value of system approach lies in the framework that it provides, which describes the relationship between the demands, the political system and the results or outputs in terms of stabilizing the environment. This suggests that political system transforms demands generated in the environment into public policy.

It is of critical importance to mention that competition and participation has important consequences for public policy reinforcement of the value placed on the variables in the prevailing pluralist ideology (Dye, 1995:287). He further argues that political variables such as party competition and voter participation affect public policy rested more on a priori reasoning than on systematic research. In relation to this study, the political environment in the Western Cape has changed at provincial and local government levels, which were previously led by African National Congress (ANC) and currently lead by Democratic Alliance (DA). These fundamental changes have brought new dimensions in terms of restructuring government structures, policy implementation and priorities in terms of service delivery.

## **2.7 Legislative and Policy Framework**

### **2.7.1 The Constitution**

It is of critical importance to articulate the legislative framework that enables the implementation of the public policies. The Constitution is the supreme law of the country which entrenches the rights of the citizens. The Constitution states that government has a responsibility to ensure that all South Africans have access to adequate sanitation. Furthermore, the signing of the new Constitution in 1996 heralded the adoption of local government as the epicenter of the government delivery system and at the heart of poverty eradication initiatives. The Constitution further signified the adoption of the relatively new and innovative concept of spheres as opposed to tiers of government, manifesting itself through political and administrative system and structures (Edigheji and Mhone, 2003:277). This marked the establishment of new relations between public institutions, government structures and civil society. Section 40 (1) of the Constitution stipulates that ‘In the Republic, government is constituted as national, provincial and local spheres of government which are interdependent and interrelated’. This indicates the fact that implementation of polices is the program that involves all spheres of government and other relevant stakeholders such as Community Based Organizations, Non- Governmental Organizations, etc. Section 15(4) of the Constitution provides for a system of intergovernmental relations in which the rights of municipalities are protected and the national or a

provincial government may not compromise or impede municipality's ability or right to exercise its powers or perform its functions.

Constitutional innovations introduced by these principles in the South African system oblige all spheres of government to help authorities in other spheres to build their legislative and executive capacities, including the capacity to empower civil society and to secure the well-being of the citizens. With regard to municipalities this approach is illustrated by section 154(1) of the Constitution: 'the national government and provincial governments, by legislative and other measures, must support and strengthen the capacity of municipalities to manage their own affairs, to exercise their power and to perform their functions. Most importantly, the Constitution regulates the transformation of the local government system, while providing it with a pivotal and distinctive role in underpinning and promoting social development and democracy at local level.

### **2.7.2 The National Water Act**

The National Water Act 36 of 1998 is yet another legislative provision that deals with water resources and it aims to protect, use, develop, conserve, manage and control water resources as a whole. It also recognizes that water is a natural resource that belongs to all people in South Africa. The Act ensures that water for basic human needs and the environment is reserved before water is allocated for other uses (National Water Act 36 of 1998).

In recognition of the citizens' right to basic needs like water, the government of South Africa enacted the National Water Act in 1998, through which modalities for providing water to people would be executed.

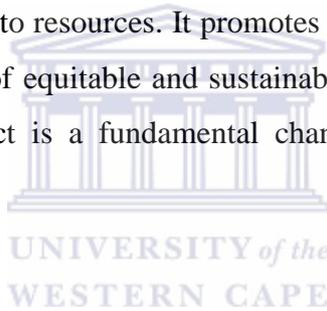
The National Water Act set its objectives primarily around the need to provide efficient water services to residents as follows:

- (i) meeting the basic human needs of present and future generation;
- (ii) promoting equitable access to water;
- (iii) redressing the results of past racial and gender discrimination;
- (iv) promoting the efficient, sustainable and beneficial use of water in the public interest;
- (v) facilitating social and economic development
- (vi) reducing and preventing pollution and degradation of water resources;
- (vii) meeting international obligations.

To achieve these objectives the National Government has to ensure that the nation's water resources are protected, used, developed, conserved, managed and controlled in ways that took into account the aforementioned objectives. In terms of 5(4) of the National Water Act of 1998 a national water

resource strategy must be established in a phase and progressive manner. The national water resource strategy must set out the strategies, objectives, plans, guidelines and procedures of the institutional arrangements relating to the primary of objectives of the Act to protect, use, conserve, and control of water resources within the framework of existing relevant government policy.

The National Water Act promotes the participation of the people in water resource management. It promotes the management of resources at the lowest possible level. It does this through the establishment of regional and local institutions, such as Catchment Management Agencies (CMA). These institutions are representative of and facilitate the involvement of communities and other stakeholders in decision making. The primary purpose of establishing Catchments Management Agencies (CMA) is to involve local communities in water resource management. Catchment management agencies must ensure that all interested and affected stake holders including poor communities that have been disadvantaged and marginalized are able to participate in the consultation process and decision of CMA. The National Water Act does away with the old apartheid ideals of privileged access to resources. It promotes water use that is in the public interest and beneficial for the achievement of equitable and sustainable economic and social development. In addition, the National Water Act is a fundamental change in how water resources will be managed and accessed.



### **2.7.3 The Water Services Act**

Water Services Act No. 108 of 1997 deals mainly with water services or portable drinkable water and sanitation services supplied by municipalities to households and other municipal water users. It contains rules about how municipalities should provide water supply and sanitation services. However, it is imperative to articulate the main objectives of the Act, which are to provide for:

- (i) the right of access to basic water supply and the right to basic sanitation necessary to secure sufficient water and environment not harmful to human health or well-being;
- (ii) the setting of national standards norms for tariffs in respect of water services;
- (iii) the preparation and adoption of water services development plan by water services authorities;
- (iv) the monitoring of water services and intervention by the Minister (national ) or by the relevant Province;
- (v) financial assistance to water services institutions.

Through these objectives, the National Government is obliged to provide for the water needs of residents and empowers municipalities to implement the Water Services Act within their constituencies and makes accessibility to clean drinking water a constitutional right. According to the Water Services Act, 1997 (No.108 of 1997), local municipalities, which do not have Water Services Authority Status, are required to prepare a Water Sector Plan (WSP). While the WSP is a legal requirement, the real value of preparing a WSP lies in the needs to plan for water services whereby key targets are set.

In terms of the Water Services Act, 1997 (Act No. 108 of 1997) every water services authority has a duty to all consumers or potential consumers in its area of jurisdiction to progressively ensure efficient, affordable, economical and sustainable access to water services. In addition to the formulation of the water provision policy, Chapter 3 of the Water Services Act empowers National Government to provide monitoring services to municipalities to ensure that water provision is done according to the provisions of the Act. Where a water services authority fails to provide satisfactory services to residents, the Act empowers the Minister to request the Province to intervene, in terms of section 139 of the Constitution and to offer financial assistance to water authorities. The legislative framework is very clear in terms of the structures that have authority to implement the policies. This seems to suggest that there are policies in place that give guidelines in the provision of services to the water and sanitation sector. In addition, this also supports the view that there are good policies in place and the problem might be in the implementation of the existing policies in this sector.

### **Provision of Free Water and Sanitation**

In terms of Water Services Act of (1997) the primary purpose of free basic water policy is to assist in promoting sustainable access to a basic water supply by subsidizing the ongoing operating and maintenance of costs of a basic water supply. In terms of the free basic water policy, the provision of the basic amount consumed by poor households per month is free of charge. The policy allows water services authorities to decide how they will apply the policy specifically and practically. The cost associated with providing free basic water to poor households is not large for a country of our economic size and strength. However, free basic water services can be financed from local government equitable share as well as through cross-subsidization between users within a system of supply or within a water services authority area where appropriate.

Where sustainable, water services authorities should give consideration to increasing the basic quality of water provided free of charge, aiming for the free provision of at least fifty (50) litres per person per day to poor households.

### **The Key Challenges of Free Basic Water Policy**

The development of subsidy mechanisms which benefit those who most need it, including households in remote areas, especially those served by small local system and vulnerable groups such as households lead by a women or children. The key challenges include the following:

- Collecting revenue for services rendered over and above an allocated free basic amount.
- The equitable treatment of large households and multiple households sharing is one collection.
- The provision of the infrastructure necessary to provide access to water to all households.

### **Institutional Reform of Water Services Provision**

It is the responsibility of water services authorities to make arrangements for water services provision within their areas of jurisdiction. The water services have been transferred from national government to water services authorities. Water boards are state owned regional water services providers that provide both bulk services and more than one service authority area regulated directly by Department of Water Affairs and Forestry, and retail services on behalf of water services authorities regulated by contract with the water services authority.

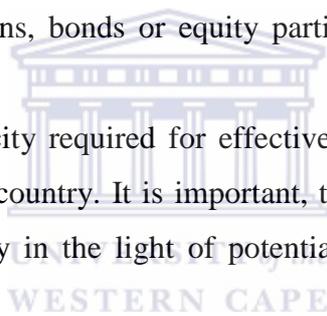
### **Factors that Motivated the Reform of Water Services Institutions**

The Strategic Framework for Water Services (2003) indicated a number of factors that motivated the reform of the water services institutions. Among the factors include the following:

- (1) **Financial viability** – some water services providers as presently constituted are not financially viable.
- (2) **Inefficiencies and economies**- the institutional framework for water services provision is highly fragmented, with a substantial number of water services institutions acting as water services providers. These include district and local municipalities, water boards, municipal entities, national government, water use associations, community –based organizations and private companies. This fragmentation may result in the loss of economies of scale,

duplication of administration and technical, inability to attract and retain good management and technical staff, and inability to invest in the development and training of specialist skills.

- (3) **Under investment**- poor revenue collection, rising inputs costs and downward pressure on retail water tariffs are placing many water services providers under financial pressure and resulting in inadequate spending on maintenance and under investment in rehabilitation. This will result in the deterioration of assets over time and a breakdown in service provision.
- (4) **Revenue management**- late payment and poor rates of payment are critical issues for many water services providers in South Africa. The physical functions of service provision are separated from revenue management in the case of most municipal water services providers. This often hinders effective consumer and revenue management.
- (5) **Financing**- considerable ongoing investment is required to expand and sustain water services infrastructure in South Africa. This investment is of both social nature and economic nature. It is important that the water services sector has the ability to attract financing in the form of loans, bonds or equity particularly for investments necessary to meet economic demand.
- (6) **Lack of capacity**- the capacity required for effective water services provision is in short supply in many parts of the country. It is important, therefore, to make the best use of the existing capacity, particularly in the light of potential losses in human resource capacity through HIV/Aids.



### **Objectives of Institutional Reform**

The Water Services Act (1997) states that the objectives of institutional reform of the water services include the following:

The first objective is to ensure that the provision of an appropriate level of water and sanitation services that are sustainable to all households in South Africa, and to implement the free basic water and sanitation policies effectively and efficiently. Secondly, is to improve the performance of water services providers, and to improve financial viability and sustainability of water services sector by significantly enhancing revenue collection and improving consumer management. Thirdly, is to improve the accountability of water services providers to water services authorities and to consumers. Fourthly, is to use existing capacity, skills and resources in the water services sector in an integrated and optimal way and to attract, develop and retain the necessary professional and technical skills, and improve employment and gender equity. Lastly, is to improve the efficiency of

water use as to ensure the wise use of South Africa's scarce water resources through appropriate demand management and conservation initiatives.

### **Water Services Providers**

Protecting consumer's interests must be the key consideration when water services authorities consider how water and sanitation should be provided. This means that, irrespective of whether services are provided by the water services authority itself or an external water services provider, a water service authority must ensure that water services are provided effectively, efficiently and sustainably and that at least basic water services are provided universally. Water services authorities have the constitutional responsibility to ensure that all poor people have access to at least a basic water supply and sanitation services which is affordable. Where a water services authority appoints a public or private external water supply services provider, the water services authority must comply with all relevant legislation including the Municipal Systems Act, the Water Services Act, and the Municipal Financial Management Act.

#### **2.7.4 The Municipal Systems Act**

The Municipal Systems Act provides for municipal operations and introduces management system intended to strengthen municipalities. According to Edigheji and Mhone (2003:230) the Act addresses financial and human resource management issues, governs integrated development planning, municipal service partnerships and performance management in a holistic manner. The Municipal Systems Act requires municipalities to review their Integrated Development Plans (IDP), at least once a year in accordance with an assessment of its performance measurement and to the extent that changing circumstances warrant. Edigheji and Mhone (2003:231) further note that the value of IDPs is that they provide information relating to municipal strategic objectives to other spheres of government in regard to capacity, and they identify possible areas of supportive intervention to comply with minimum standards. It is important to monitor evaluate and review the performance of the municipality against the indicator and target as set out in the IDP to able to improve the plan. For example, the eradication of the bucket system by December 2007 forms part of the IDP in terms of budget, infrastructure, etc. In essence IDP is the five year plan for municipalities to prioritise the services to the people, especially the poor people who have been denied the basic services for a long time. This includes the prioritization of service delivery to the informal settlement where living conditions are inhabitant in terms of water and sanitation services.

Furthermore, the Municipal Systems Act, 2000; states that each local municipality must prepare a Water Sector Plan (WSP) as part of its IDP process. The WSP therefore, links closely with IDP

process and its guidelines are aligned to the IDP. In terms of section 26(a) of the Municipal Systems Act, 2000, an integrated development plan must reflect the municipal council's vision for the long term development of the municipality with special emphasis on the municipality's most critical development and internal transformation needs. In addition, the demarcation process has created fundamental building blocks for sustainable and viable municipalities.

### **2.7.5 The Municipal Structures Act**

The Municipal Structures Act of 1998 provides for determination of types of municipality. These types of municipalities are classified into category A and B. Category A municipalities are metropolitan areas with exclusive legislative and executive authority within their areas of jurisdiction, and category B municipalities operate within the administrative boundaries of district. The Act provides for the establishment of two-tier local government outside the metro-politan areas to facilitate the flexible exchange of powers and functions between the local and district municipalities (Edigheji and Mhone (2003:230).

In terms of section 19(1) of Local Government Municipal Structures Act of 1998 a municipal council must strive within its capacity to achieve the objectives set out in section 152 of the Constitution. In terms of section 19(2) the municipal council must annually review the following:

- the needs of community;
- its priorities to meet those needs;
- its processes for involving the community;
- its organizational and delivery mechanisms for meeting the needs of the community; and its overall performance in achieving the objectives mentioned above.

### **2.7.6 White Paper on Local Government**

Edigheji and Mhone (2003:228) stipulate that the White Paper recognizes the local government sphere as primarily developmental in the sense of being committed to working with the citizens and groups within the community to find suitable ways to meet their social, economic and material needs, and to improve the quality of their lives. Reddy, Sing, and Moodley (2003:05) state that the White Paper on Local Government (1998) suggests that institutional reform must be initiated and implemented to meet the following challenges:

- Skewed settlement patterns that are functionally inefficient and costly.

- Huge backlog in service infrastructure in historically underdeveloped areas, requiring municipal expenditure in excess of the revenue available within the local government system
- Entrenched modes of decision – making, administration and delivery inherited from municipalities that were geared for the implementation of urban and rural apartheid.
- Substantial variations in capacity, with some municipalities having little or no pre – existing institutional foundations to build on.
- The need to build a relationship between municipalities and the local community they serve.

In fact, municipalities should be particularly sensitive to the needs of the marginalized groups within the communities, and should be responsive and accessible to people with disabilities (Reddy, Sing, and Moodley, 2003:05). In order to assist local governments to meet developmental requirements and speed up service delivery to the poor, exclusive resource acquisition in terms of funding, human resources, appropriate institutions and most importantly the adoption of key and enabling legislative measures becomes essential.

## **2.8 Potential Source of Funding**

The implementation of public policies requires the availability of funds in order to achieve the goal of providing services to the people. Without the availability of funds all the plans in place such as IDPs will come to nothing due to the fact that any project or programme depends on the feasibility of funds. The sources of funding for sanitation improvement that are available to local government include, Municipal Infrastructure Grant (MIG) and Equitable Share funding transfers from national to local government, and the revenue collected by local authority. Municipal Infrastructure Grants are conditional grants for capital investment provided by national government. It is intended to provide capital finance for basic municipal infrastructure for poor households and to a limited extent micro enterprises and deserving institutions (White Paper on Water Supply and Sanitation Policy, 1994).

Municipalities in the urban renewal and rural development programmes are given preference in terms of providing them with support. The Municipal Infrastructure Grant will have an overall target of removing the backlog with regard to access to basic municipal services such as water and sanitation. According to Framework for a National Sanitation Strategy (February, 2002) the backlog can be cleared within the next five years using a contractor driven approach and with an annual budget of R720 million. The success of the implementation of the projects and programmes at local government requires persons with financial and project management skills.

It is imperative for municipalities to ensure that they have capacity to implement plans and strategies in place in order to speed up the provision of the prioritised services such as sanitation and water services. The Equitable Share is provided by national government to local government for subsidising operating costs. It was introduced to assist the local government to overcome the burden of service delivery to the poor. Where the cost of service delivery exceed the amount that is billed to every poor household, the subsidy will be used to contribute towards the general operating account of the local authority. The Local Authorities own revenue which may be used to cross subsidise between rich and poor households. Any shortfall in the funding for other services is either carried by the service provider or financed with inter-governmental transfers (City of Cape Town Water and Sanitation Services, March, 2008).

The local authority has the discretion to decide on the composition of the service delivery packages, the levels of service and the manner in which these are funded. The Integrated Development Plan is the mechanism for deciding on priorities and for steering and co-ordinating service delivery to avoid duplication of subsidies and the construction of houses without services. However, even if the funds are available for running of the projects the challenge is how the projects managed and co-ordinated to ensure that the objectives of effective and efficient provision of services are attained.

After considerable policy development, municipal borrowing can now be regulated by the Municipal Finance Management Act, with the objective of re-establishing a vibrant market for Municipal Finance Management. The Municipal finance Management Act regulates the financial practices of municipalities nationwide, replacing a host of provincial and apartheid –era legislation (van Donk, Swilling, Pieterse, and Parnell, 2008:308). The Act also applies to municipal entities and has the ambitious objective of developing a comprehensive system that clarifies the responsibilities of mayors, councillors and officials. It is important t note that another source of funds is the annual Division of Revenue Act, which allocates funding to municipalities as part of the national budget process and regulates the manner in which transfers are made. In addition, these entire legislative frameworks are interrelated and linked to all levels of government.

## **2.9 Summary**

This chapter dealt with the theoretical underpinnings and literature review which advocate for the importance of policy implementation with regards to the provision of water and sanitation. It dealt with the challenges that government is confronted with at all spheres particularly at local government level where the implementation of water and sanitation policies take place. The

theoretical approaches employed in this study include institutional model, where it discusses the importance of institutions in the implementation of public policies. It also discusses legislative frameworks related to the implementation of basic services at the local government level. This chapter discusses the relevant legislative frameworks which play an important role in the implementation of water and sanitation policies. The identified Acts include the Water Services Act, National Water Act, Municipal Systems Act, Municipal Finance Management Act, White Paper on Local Government and the Constitution. This chapter discusses the relevant legislative frameworks which play an important role in the implementation of water and sanitation policies.



## **CHAPTER THREE- RESEARCH METHODOLOGY**

### **3.1 Introduction**

This chapter is going to identify the research methodology which will be relevant for collecting data for the study. It is important to note that many research studies choose to combine both qualitative and quantitative methods to enhance the research study. For this study, both qualitative and quantitative research method will be utilised to collect relevant and reliable data in order to address the research question. The tools that are going to be used are interviews, analysis of legal documents related to water and sanitation sector, and observe activities of the targeted informal settlement of Khayelitsha. Given that the Khayelitsha informal settlement that is going to be the focus of the study is large, the study is going to make use of sampling and sampling procedures to identify participants. The case study approach will also used to collect data in relation to the challenges confronted by the dwellers living in the informal settlement of Khatyelitsha.

### **3.2 Research Methodology**

Research methodology considers and explains the logic behind research methods and techniques (Welman, Kruger and Mitchell, 2005:02). In addition, proper research using the correct methodology is of crucial importance in addressing the research question. Research is usually constructed through rigorous, systematic inquiry, and research instruments are the tools you use to collect and structure data thus transforming it into useful information (Wilkinson, 2000: 27). There are number of possible approaches to carry out the research. These include the survey and case study. According to Leedy (1997:103) research methodology and data are inextricably interdependence which suggests that, the research methodology to be adopted for a particular problem must always recognise the nature of the data that will be massed in the resolution of the problem. Both qualitative and quantitative will utilised to conduct the research. Quantitative approach will be utilised on numerical statistics such as the number of different sanitation facilities available in the targeted informal settlements, such as Containerised toilets, flush toilets, and pit toilets. In addition, questionnaire will be utilised to collect data from the informal settlements dwellers. However, the documentary and content analyses as well as qualitative approach will be used to collect data from policy documents, legal instruments and document material.

### 3.2.1 Qualitative research methodology

According to Leedy (1997:104) qualitative research is “an inquiry process of understanding a social or human problem, based on building a complex, holistic picture, formed with, reporting detailed views of informants, and conducted in a natural setting.” Qualitative researchers regard their research as coming to understand and interpret how the various participants in a social setting construct the world around them (Leedy (1997:104). Qualitative research consists of non-numerical information such as words, pictures, observation and many others, which after they have been collected need to be interpreted to discover underlying meanings and patterns. It is also an interpretive, multi-method approach that investigates people in their natural environment.

With regard to this study it will investigate the living conditions of the dwellers of the informal settlement and the effects of lack of provision of the basic services such as water and sanitation. For this study quantitative data collected from selected departments and organisations will be transformed to qualitative material to determine the progress and challenges confronted in the process of implementing water and sanitation programmes. This relates to statistics of trace and track record of the areas where the bucket system has been eradicated through providing flushing toilets and clean drinking water especially in the informal settlements. Methodology is merely an operational framework within which the data are placed so that their meaning may be seen more clearly (Leedy (1997:104).

Welman, etal (2005:08) state that qualitative data are presented in language instead of numbers. In addition, qualitative research is based on flexible and explorative methods because it enables the researcher to change the data progressively so that a deeper understanding of what is being investigated can be achieved. In relation to this research study face-to-face and telephonic interviews are the tools that will be used to obtain information from the participants. This means that qualitative researchers talk to subjects or observe their behaviour in a subjective way with the aim to achieve insiders view. The authors further note that firsthand experience of the object under investigation produces the best data (Welman, etal (2005:08). In addition, the data dictate the research methodology. In this research a qualitative and quantitative research methods will be used for collecting and analysing data.

### 3.2.2 Quantitative Research methodology

It is of critical importance to mention the fact that quantitative research can be defined in a number of ways. Quantitative research is an iterative process whereby evidence is evaluated, theories and hypotheses are refined and technical advances made. According to Wilkinson (2000:06) surveys, tests, structured interviews, and non-participant observation are usually categorised as quantitative data collection methods. He further states that one of the important features of quantitative research is that it is highly structured and produces data which are amenable to statistical analysis. Terre Blanche and Durrheim (1999:98) state that a quantitative approach means that the researcher work with numeric values and use statistical analysis to answer the research question. They further state that the basic aim of quantitative data would be to describe and explain an object, phenomenon or situation and to generalise findings from a sample to the rest of the population (Terre Blanche and Durrheim (1999:98).

In comparison with qualitative research, quantitative research can be described as that approach to research that is more highly formalised as well as more explicitly controlled, with a range that is more exactly defined (Mouton and Marais, 1991:43). Christensen (2001: 63) concurs with Terre Blanche and Durrheim (1998) when he defines qualitative research as a study that collects some type of numerical data to answer a given research question. In addition, within quantitative research there are basically two types of research namely the experimental research approach and non-experimental research approach. Non-experimental research approach is a descriptive type of research where the goal is to provide an accurate description of a particular situation. It attempt to identify variables that exist in a given situation and tries to describe the relationship that exist between these variables (Terre Blanche, 1999:316). The aim of quantitative research method is the measurement and analysis of casual relationships between variables within a value-free context (Welman, Kruger and Mitchell, 2005:08). In addition, the purpose of quantitative data is to evaluate objective data consisting of numbers while qualitative data research deals with subjective data that are produced by the minds of respondents or interviewees.

Furthermore, qualitative researchers attempt to understand the facts of a research investigation from an outsider's perspective. Therefore it is important for quantitative research to keep to a detached, objective view of the facts as that will keep the research process free from bias. It is imperative for quantitative researchers to keep the research process as stable as possible. The focus should be on

the causal aspects of collection of facts that won't change easily. According to Welman, Kruger and Mitchell (2005:09) quantitative researchers control the investigation and structure of the research situation in order to identify and isolate variables.

In addition, specific measurement instruments are used to collect data. These instruments include questionnaires, observation, etc. They further state that both quantitative and qualitative researchers aim at reliable and valid results. However, quantitative researchers, focus more on reliability, that is, consistent and stable measurement of data as well as replicability. For this study, it noteworthy to emphasise that the researcher will ensure that reliable and valid data is collected in order to reflect the real activities taking place in the targeted areas.

### **3.3 Research Design**

According to Christensen (1997:311) research design refers to the outline, plan or strategy specifying the procedure to be used in seeking an answer to the research question. It specifies things such as how to collect and analyse data. In addition, good research design should be theory-grounded, flexible, feasible and efficient. He further states that good research designs comes out of the investigated theories which can be used as reference in order to strike balance between redundancy and tendency over design. According to Bless and Higson-Smith (1995:63) research design is a programme to guide the researcher in collecting, analysing and interpreting observed facts. Kruger and Welman (2000:46) are of the view that research design is the plan according to which research participants are identified and collect information from them.

Research design indicates how the practical research is going to be conducted in order to answer the research question. There are two types of research designs in which a researcher may choose to utilise to conduct a research. The two broad classes are: quasi-experimental and experimental. Experimental research enables a researcher to identify causal relationship because it allows a researcher to observe, under controlled conditions, the effects of systematically changing one or more variables (Christensen, 2001:61). Randomisation is the only technique for controlling unknown sources of variation and includes random selection and random assignment. Thus experimental studies are characterised by the ability to randomise subjects and control groups. This randomization goes a long way toward controlling for variables which are not included explicitly in the study. In a quasi-experimental design all the extraneous variables are not controlled for.

### **3.4.1 Case Study**

A case study is an intensive description and analysis of an individual or organisation or event, based on information obtained from a variety of sources such as interviews, documents, and archival records (Christensen, 1997:51). This study is going to use a case study research strategy of the informal settlement in Khayelitsha.

Case studies are important in describing rare events, such as auto castration. They are also useful in providing a counter instance of universally accepted principle (Christensen, 1997:51). For this study the researcher will be interact with the dwellers of the informal settlement with regard to the challenges they incurred in their respective area in relation to the level of provision of basic services, more specifically water and sanitation services. A case study is one of the research strategies whereby a researcher conduct investigation in real life situations interacting directly with the targeted participants who would give answers on how the lack of water and sanitation services have impacted on their lives. It is simple to have target population when using case study as a research method to address the research question. Christensen, (1997:51) further argues that the advantage of the case study is that it provides a fertile breeding ground for ideas and hypothesis.

### **3.4.2 Sample and Sampling**

#### **The researcher is going to use sampling to identify respondents to the study**

Bless and Higson-Smith (1995:85) define sample as the subset of the whole population which is actually investigated by a researcher and whose characteristics will be generalised to the entire population. Bless and Higson-Smith (1995:85) are of the view that sampling has its advantages compared to the collection of data on the whole population. The authors have identified the following advantages in using sampling: gathering data on a sample is less time consuming; gathering data on a sample is less costly since the costs of research are proportional to number of hours spent on data collection; sampling may be the only practicable method of data collection; sampling is a practical way to collect data when the population is infinite or extremely large, thus making a study of all its elements impossible. Greenfield (1996: 135) states that sampling is the formation on which much study is built.

The procedure to be used in drawing the sample and a brief description of the nature of the sample should be provided. A description of a sample should make it clear of who is going to be involved in the research, and how many people will be in the sample, how the sample will be drawn and how the sample will be of particular population that the researcher targeted (Terre Blanche and Durham, 199:55). In addition, in research a population is the entire group, whereas the sample is the selected

group that the researcher will be working with. For this Study twenty five (25) participants were randomly selected from Site C informal settlement and thirty (30) participants were selected from Nkanini and twenty participants were selected from Site B informal settlements in Khayelitsha. One (1) official from national and provincial government and three (3) officials from local government level who are directly dealing with the implementation of water and sanitation services and five (5) leaders of civic organisations who represented people living in the targeted informal settlements in the Khayelitsha area.

The sample was randomly selected according to the various sections that exist within the targeted informal settlements. For example, Site B has different section such as RR, TR etc; all these sections have their executive committee members who represent them on issues of service delivery. Each section was represented by one executive committee member and the total number of participants from the executive committee was five.

In this study, executive committee members of the informal settlements and the government officials from all three spheres of government and community members of the informal settlement as a whole have been selected as a sample due to the fact that they have relevant and necessary information for the researcher to use in the study for the purpose of determining the impact of the lack of implementation of water and sanitation polices to ensure that these services reaches poor people living in the informal settlement. In general a sample is a representative group chosen by the researcher from which generalisation will be made about the population. This process is important because results and conclusion made from the sample will be assumed to be similar to those of the population. The Researcher chose sampling as a data collection method because of its advantages.

For this study a total of seventy five participants has been identified from all the selected target organisations and groups. The sample will consist of participants selected from the dwellers of the informal settlements and the committee members in their respective areas, leadership of the civic organisation and officials from all spheres of government who are in the forefront in the implementation of water and sanitation policies. The participants will be randomly selected particularly the community members of the informal settlement, in order to ensure that the sample reflect the demographic of the targeted people living in the informal settlement in the Khayelitsha area. This will also help by ensuring that every sector of the informal settlement dwellers is given an opportunity to participate in the research project and to reflect on what they experienced with regard to the provision of water and sanitation in their area. The research will administer 30 questionnaires and conduct interviews with official available at all levels of government.

### **3.4.3 Target Population**

Bless and Higson Smith (1995:87) state that target population is the set of elements that the researcher focuses upon and to which the results obtained by testing the sample, should be generalised. They further state that it is essential to describe accurately the target population in order to collect and obtain relevant and valid information. For this study, people who are going to be targeted includes community members of the informal settlement, committee members, officials from all three levels of government, and civic organisations who are directly involved and have interests in the development of the informal settlements through providing basic services such as water and sanitation to the poor people of the informal settlement. The above mentioned target population will be relevant to respond to research questions the researcher seeks to obtain in order to achieve the objectives of the study.

### **3.5 Data Collection Instruments**

There are many possible ways of gathering information directly from participants if such information cannot be obtained from observation. These various methods have their advantages and disadvantages. For this study, data collection instruments such as interviews, questionnaires, observation are the instrument the researcher is going to be use to gather and collect information.

#### **3.5.1 Interviews**

According to May (2002:204) interviews present the opinion that in depth interviewing allows researchers to formulate their research problem in a variety of ways. He further states that individual interview provide opportunity to examine how large-scale social change, transformations are experienced, interpreted and ultimately shaped by responses of strategic social factors. In addition, effective interviews need to guide responses in an orderly fashion and within a period of time. A carefully constructed interview guide is needed to collect information in manageable form for later analysis. In depth interview should always leave room to discover the unexpected and uncover the unknown. According to May (2002:204) the fundamental principle of qualitative interviewing is to provide a framework within which respondents can express their own understanding.

Interview questions will be specifically directed at government official from all levels of government, committee members of the informal settlement dwellers, leaders of the civic organisations and ordinary members of the informal settlements in the Kahyelitsha area. Interviews

are the important instrument for research purposes in the sense that when there are unclear answers there is a room for probing for clarity or follow up questions. Individual interviews with key informants are going to be conducted to bring out personal experiences and perceptions of the informal settlement dwellers on how things can be turned around in terms of effective and efficient implementation of water and sanitation policies with the aims and objectives of creating a habitant living condition in the informal settlement. According to Bless and Higson- Smith (1995:106) interviews present a method of getting people to express their views broadly on a certain issues, which consists of asking respondents to comment on widely defined issues.

Coldwell and Herbst (2004:54) are of the view that interviews may be useful as a follow up to structured questions with certain respondents. This study is going to use both structured and unstructured interviews in order to facilitate comparison of the perceptions, attitudes and reactions of different participants. According to Bless and Higson- Smith (1995:106) the most structured way of getting information directly from respondents is by means of a scheduled structured interview. This method is based on a set of questions with fixed wording and sequence of presentation. Unstructured interviews an attempt is to understand how individuals experience their life and how they make sense of what is happening to them (Welman and Kruger, 2000:196).

Research has found out that structured interviews have a number of advantages over other forms of data collection. Interviews help overcome misunderstanding and misinterpretations of words or question. Interviewers can ensure that all items on the questionnaire have been considered and that respondents did not omit difficult questions; and the interviewer can reassure respondents and encourage them to persevere. However, structured interviews have disadvantages. Personal interviews can be costly in time and money. Interviewers have to spend a certain number of hours interviewing each participant separately and they may also have to travel extensively to each respondent. Additionally the presence of an interviewer can be perceived as a handicap as far as anonymity and respect for the private life of the interviewee are concerned as it can cause anxiety to the interviewees.

### **3.5.2 Site Observation**

According to Rosnow and Rosenthal, (1999:83) participant –observation begin by choosing a site that helps explore gaps in theory or choosing a site that offers the chance to observe groups or organizations of specific substantive interest. Observational technique involve a continuous process of observing, analyzing , developing categories or classes of phenomenon and their links, and

searching for new data to explore the new categories. For this study, site observation will be based in the informal settlement in which the researchers observe the social situation in relation on how the lack of implementation of water and sanitation services affect the people in the informal settlement. In addition, observations will include looking at the location of water taps, placement of sanitation facilities and status in terms of cleanliness and maintenance. Since any observation can ultimately become sociologically relevant, it is necessary to observe and record almost everything in the beginning.

In the process of observation the researcher should take notes of what has been observed in order to ensure that the collected data is adequately analyzed. Because of the non standardized nature, it is susceptible to criticism of the interpreter biases (Rosnow and Rosenthal, 1999:83). This suggests that the researcher's interpretation of the observational records may be unwittingly biased or slanted. In fact, social scientist who use this approach watch and record what people do and say and all the activities that take place in the targeted area. In this study, site observation is going to be used to collect data by recording all relevant and valid information related to research question. According to Wilkinson (2000:50) there are two forms of research observation namely participant and non-participant observation. With participant observation the researcher is part of the situation under observation.

Non- participant observation involves the researcher being more detached from the meeting under observation. For this study, non-participant observation will be employed in order to collect and record data as valid and relevant as possible. It is important when planning observation to consider carefully the kind of information the researcher want to collect. When recording observations the researcher should take note of the context of the situation or event. For this study, informal settlement sites will be visited in order to observe the way in which the people living in the informal settlement survive in the environment where there are no adequate sanitation facilities and clean water.

### **3.5.3 Documentary analysis**

For this study, documentary analysis is going to be used as a source of information in matters relating to implementation of water and sanitation policies and challenges it encountered in the process of implementation. In addition, information relating to water and sanitation polices and strategies of implementing policies in an effective and efficient manner can be sourced from

document analysis. It is critical to indicate that challenges encountered in the implementation of public policies are mostly identified through level of complaints about the lack of services.

The implementation of public policy is complex task which requires all stakeholders who are interested and directly affected by the lack of policy implementation to come up with strategies of addressing the challenges encountered in the implementation phase of the public policies. In addition, relevant and valid legal instruments will also be used to analyse documents pertaining to the research question. This includes legal instruments that guides the implementation of public policy at all levels of governments.

### **3.5.3.1 Legal Instruments**

Legal instruments form part of this study because the passing of laws in parliament enables public policies to be adopted and implemented within a legal framework. In fact, legislation plays a key role in public policy implementation. There are a number of legal instruments which are an integral part of this research study. The guiding principles and the rights of the individuals are entrenched in the legal instruments which must not be contravened.

The following policy documents are at the centre of legal document analysis:

- The Constitution of the Republic of South Africa Act,1996
- Municipal Systems Act, 2000
- National Services Act,1997
- Water Services Act,1998
- White Paper on Water and Sanitation Policy,1994
- White Paper on a National Water Policy for South Africa,1997

It is of critical importance to mention the fact that the above mentioned legal instruments form part of the legislative framework which guides the government authorities on the implementation of the public policies. This is critically important for local government authorities which are at the forefront of the implementation of Water Services Act of 1998. The Constitution Act no. 108 of 1996 states that it is the responsibility of government to ensure that people have access to clean drinkable water and adequate sanitation facilities. The Department of Water Affairs and Forestry has a primary responsibility to manage and conserve water resources to ensure that the water is always available at all times. The National Water Services Act of 1997 is legal instrument that gives guidance on how the water resources should be managed and whose responsibility is. The local government has a primary responsibility of ensuring that water and sanitation services reach the people at grassroots level. The Water Services Act of 1998 articulate clearly that local government municipality must provide basic eservices such as water and sanitation to the people especially the

poor people who solely depend on government. It is, however, important to mention that people needs to know their rights and responsibility particularly in matters of provision of basic services such as water and sanitation.

### **3.5.3.2 Documentary Material**

The information obtained from documentary analysis will assist the researcher to get different opinions and views about the research question. For this study, it is critical to analyse discussion papers or documents in which the academics and intellectuals assess the performance of government in terms of service delivery, especially basic service delivery such as water and sanitation.

This study is going to utilise the following documents for information analysis:

- Water Sector Board Discussion Paper, 2007
- Discussion Paper on How Strategic Management can Enhance Overall Management in the Public Service, 2004
- Strategic Framework for Water Services, 2003
- Summary Proceedings, Final Workshop WUP, 2001
- Water and Sanitation African Initiative, 1998
- Regional Conference on the Reform of the Water Supply and Sanitation, 2001
- Integrated Development Programme

Wilkinson (2000: 66) states that information resources can be categorised in many different ways which include research reports, conference reports, and official publications. It is important to state that conferences play a critical role in the dissemination of information where new research and current issues are debated or made public. In addition, reports of a conference may be of value to researchers in providing reviews of trend. Furthermore, research reports contain the results of, or progress made in, research projects, investigations and surveys. A wide range of organisations publish research report (Wilkinson, 2000:67). Some of these include organisations such as Human Science Research Council (HSRC), government and local authorities, university departments and other agencies. Moreover, official publications refer to a wide range of publications produced by central government, government –funded departments, government – sponsored organisation or intergovernmental organisations such as the United Nations, and others.

### 3.5.4 Questionnaires

According to Wilkinson (2000:42) questionnaires are useful tools for collecting data from a large number of respondents. In this study, the questionnaire is one of the research instruments that are going to be used to collect data from the targeted population of the informal settlements of Khaeyelitsha area. The questionnaires will be distributed to the ordinary members of the informal settlement who are directly affected by the inhabitant conditions in the informal settlement. In addition, questionnaires have been structured in such a way that they are understandable and easy to fill in.

In this study open – ended questions will be crafted as close structured questions. Ronsow and Rosenthal (1999:106) state the following as the advantages of open-ended question:

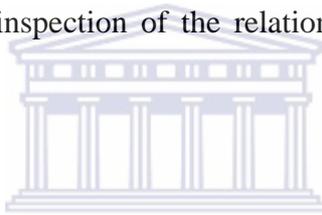
- They do not lead the research participants by suggesting specific answers.
- Their approach is exploratory, allowing the researcher to find out whether the respondent has anything at all to say.
- They invite the research participant to answer in his or her own language, a procedure that helps to increase rapport.

They further maintain that an open-ended measure has its disadvantages which include the fact that they may be hard to assess for reliability. According to Coldwell and Herbst (2004:50) it is important to utilise questionnaires when the researcher needs to easily get information from people in a non-threatening way. However, the major advantage of a structured format is that, when properly used, it forces respondent's replies into the dimensions of interest to the researcher rather than producing large proportions of irrelevant or uncodable answers (Ronsow and Rosenthal, 1999: 106).

In addition, questionnaires have limitations relating to the writing and reading skills of the respondents. It is important to note that the researcher should ensure that the way in which the items are worded and presented does not lead the respondent into giving an unrealistically narrow answer. Furthermore, the researcher should avoid asking leading questions, which can constrain responses and produce biased answers. The functions of quantitative and qualitative data on questionnaires take different forms but are complementary in the sense that a valuable and relevant data is collected to address research study questions (Coldwell and Herbst, 2004:51).

### **3.6 Data analysis**

The data collected for research purposes need to be analyzed and interpreted in order to clarify ambiguities on responses from interviews and questionnaires. It is imperative to interpret data to ensure that it is relevant and valid to the research purpose. It is also important to note that the analysis of content is consistent among the judges; that is, the different coders should produce close to the same results. It is also essential that specific categories and units be relevant to the questions or hypotheses of the study (Rosenthal and Rosnow, 1998:230). Patton (1987:18) describes data analysis as the process of bringing order to the data, organising what is there into patterns, categories, and basic descriptive units. According to Mouton (2001:108) all fieldwork culminates in the analysis and interpretation of set of data, be it quantitative data, experimental recordings, historical and literacy text, qualitative transcripts or discursive data. He further defines analysis a process that involves breaking up the data into manageable themes, patterns, trends and relationships (Mouton (2001). The aim of the analysis is to understand the various constructive elements of one's data through an inspection of the relationship between concept, constructs or variables.



### **3.7 Summary**

This Chapter explored the research methodology that will be appropriate and relevant for this study. Quantitative and qualitative research methodologies will be employed in this research and the definition, strengths and limitations of each method are dealt with in the form of explanation and how it will respond to the research study question. This research study is going to use different tools such as interviews, questionnaires and documentary analysis to collect data from selected target population. In addition, triangulation is one of the methods that is going to be used in order to provide validity and authenticity to the research results. The target population of the Study includes sample drawn from the selected community members of the informal settlement of Khayelitsha, leaders of the civic organisation, officials from all levels of government, and committee members of the informal settlement dwellers.

## **CHAPTER FOUR – DATA ANALYSIS**

### **4.1 Introduction**

The contents of this chapter revolve the presentation, analyse and interpretation of data collected in order to give meaning to the research question. In the process of collecting data different methods were used for the purpose of obtaining relevant and valid data. This includes data collected in the form of interviews, questionnaires, and site observations. The critical areas of analysis include current status of the implementation of water and sanitation in the Khayelitsha, challenges and opportunities identified in the process of implementation of policies in the water and sanitation sector. The role of relevant stakeholders such as civic Organisation, Private Sector, and Non – Governmental Organisations will also be analysed.

### **4.2 Current Status of Water and Sanitation in Khayelitsha**

The information and data was collected from different informal settlements of Khayelitsha such as Site C, Site B, and Nkanini. Nkanini informal settlement is situated in Makhaza and the biggest of the three major informal settlements in the Khayelitsha area. The targeted areas are informal settlements in Khayelitsha which are still utilising bucket system. It is important to mention that Site C is the oldest informal settlement of the three. The City of Cape Town has made its effort to change the life of the informal settlements dwellers by providing basic services such as water and sanitation. However, there is lot of work that still need to be done in terms of provision of appropriate and adequate water and sanitation facilities such as flush toilets and water taps. This derives from the fact the existing facilities are not appropriate to be utilised by human beings.

There are different water and sanitation facilities that exist in the informal settlements of Khayelitsha. This includes flush toilets, bucket system, pit toilets, and container type of facility. The City of Cape Town has put in place different sanitation facilities depending on the surface of the land in which the informal settlements dwellers temporally settled. It is important to explain what container type of facility is. This is a removable container development in the form of a bucket system. The only difference between a bucket and container type of facility is the size of the bucket and facility itself. In all of the three major informal settlements of Khayelitsha containerised bucket system is the most used type of sanitation facility. The containerised bucket system has the same effects as old bucket system. This relate to the management of the facility in terms of cleansings,

and the collection of the waste. In addition, one facility is shared by a number of five of six households which makes it difficult to maintain and manage its condition.

The official from City of Cape Town indicated that these containerised bucket systems are utilised in the areas where it is possible to put in place sanitation facilities such as flush toilet, because of the surface and landscape of the area. Furthermore, these containerised bucket systems are placed next to the contaminated canal which is not far from the shacks. This is health hazard to the people utilising these facilities especially children.

It is important to mention that woman and children find it difficult to utilising these facilities at night due to the fact that they are not safe. The communal taps are located far from the sanitation facilities and this contributes the possibility of users to contracting infectious diseases. It is noteworthy to mention that there are informal settlements in Khayelitsha that have flush toilets. The overwhelming majority of the informal settlement dwellers prefer this type of sanitation facility. However, the surface of the land makes it possible to replace all the buckets system with flush toilets. As a result, there are few flush toilets that containerised bucket system. In fact, the flush toilets have the same problem of five households sharing one toilet and lack in terms of maintenance.

However, the condition of flush toilets is much better that that of other sanitation facilities. In the process of research through site observation one could see the condition of the water and sanitation facilities existing in the informal settlements of Khayelitsha. Due to the fact that the conditions of the containerised and flush toilets are not favourable for human being to utilise them, some households prefer to dig their own pit toilets that will not be shared with other households. The pit toilets are not safe and pose threat to the health of the users especially children. The informal settlement dwellers regard pit toilets as better facilities compare to containerised and flush shared toilets. It is important to note that there are informal settlements areas in Khayelitsha that still utilising bucket system. This includes areas such as Site C, Site B, and SST Town Two. The City of Cape Town has made progress in implementing water and sanitation facilities through providing facilities suitable for a particular area.

According to top twenty outcomes of the Integrated Development Plan (IDP), the City of Cape Town has put measures in place to address the issues of service delivery. Water and sanitation, development and maintenance of infrastructure form part of the top twenty outcomes.

OUTCOMES	INDICATOR	BASELINE JUNE 2008
1. <i>Water and Sanitation</i> Increase universal access to basic services such as water and sanitation.	Ensure all households have access to clean drinkable water and adequate sanitation facilities. Ensure that the majority of informal settlement households have access to water and service rate of taps.	97% of households have access to water and sanitation. 80% of the new informal settlements have access adequate sanitation. 100% of households have access to water.
2. <i>Develop and maintain infrastructure.</i> Create new assets for public benefit.	Spend more of capital budget to improve infrastructure. Reduce the volume of unaccounted for losses as part the total water consumed.	78% of capital spends on infrastructure development and maintenance.
3. <i>Solid Waste</i>	Ensure informal settlements households receive area cleaning and refuse collection service.	99% of the informal settlements households have access to solid waste.

The above table demonstrates the commitment of the City of Cape Town to addressing the challenges related to the provision of water and sanitation services to the people particularly in the informal settlements. For the purpose of this study three targeted outcomes were selected out of top twenty outcomes outlined in the Integrated Development Plan (IDP). The City of Cape indicated that it is important to spend more on capital budget to improve infrastructure. This includes the maintenance of the existing infrastructure and replacing the old damaged infrastructure. However, it is important to mention that the City of Cape Town target is achievable provided that the active participation of the community is expanded.

In fact the majority of the communities of the informal settlements of Khayelitsha have access to clean water and sanitation. However, the challenge is the management and maintenance of the facilities in place. For example, the majority of the informal settlements of Khayelitsha utilises the containerised facilities which are not properly maintained and managed by the community members. It is important to mention that collection of solid waste play a critical role in the provision of basic services such as water and sanitation. This relate to the fact that the environment surrounding the water and sanitation should be clean in order to ensure that water is not contaminated. It is important to mention that water and sanitation to cannot be completely separated to form the management of solid waste. Water and Sanitation is also linked to the protection and conservation of the environment. The information collected indicates that the existing water and sanitation type in the informal settlements of Khayelitsha includes containerised, flush and pit

toilets. The bucket system does not exist in informal settlements of Khayelitsha. The major informal settlements of Khayelitsha such as Site B, Site C and Nkanini are utilising containerised toilets and few lush toilets.

The following table indicates the type of water and sanitation services in the informal settlements of Khayelitsha. The type of facilities existing in each informal settlement is indicated in the form of percentage.

Informal settlement	Site B	Site C	Nkanini
Flush toilets	15%	25%	12%
Containerised toilets	75%	65%	80%
Pit toilets	10%	20%	8%

It is important to mention that sanitation and water facilities are placed and located based on the surface of the area. The bucket system has been replaced by containerised system in all informal settlements of Khayelitsha. The containerised sanitation system is a container type of toilets which is similar to bucket system. The difference between containerised and bucket system is the size of the bucket and the facilities itself. It is noteworthy to mention that sanitation facilities such as toilets cannot function properly without water. For example, a person must wash hands after utilising the toilet. However, the challenge is that the communal taps in the informal settlements are located far from the sanitation facilities.



This makes difficult for communities to wash their hands after using the toilet. The challenge is also the maintenance and management of these facilities. In addition, are utilised by a number of people within the community. For instance five households are sharing one toilet and the challenge is maintenance of the condition of the facilities.

#### **4.3 Impact of Poor Implementation of sanitation**

The lack of provision of basic services such as water and sanitation has a negative impact to the livelihood of the communities. This relate to the health of the community and the protection of environment from contamination particularly in the informal settlements. This also link to the management and collection of solid waste in the informal settlements. In fact, environment, health, and socio-economic conditions are directly linked to the provision of water and sanitation.

**Health impact-** the effects on the quality of life, education and development potential of communities is difficult accurately to determine. The impact is incurred by the communities living

under inhabitant conditions where there are no adequate water and sanitation facilities. This is indicated by the sickness of the children at school and the large number of the community members who get sick of diseases such as TB, diarrhoea, etc. The majority of the people living in the informal settlement are not working and they depend to public health institutions for their treatment. Significant investments are being made in the provision of safe water supplies for all.

However, the health benefit of this investment is limited where inadequate attention is paid to sanitation and health and hygiene promotion (Pickford, 1995: 16). International experience shows that once people's basic needs are met especially the provision of clean water, sanitation improvements together with health and hygiene results in the most significant impact on the health (White paper on Basic Household Sanitation). Sanitation programmes can have dramatic health benefits because many of the infective organisms are spread from hand to mouth or mouth or from hand to food to mouth rather than through drinking contaminated water. Improving hygiene practices and providing sanitation facilities could have a direct influence on a number of important public health problems besting South Africa. Thus, understanding how infections are transmitted and how to break the cycles of infection are important public health messages.

***Economic impact-*** the effect on household economies is serious, keeping families in the cycle of poverty, illness, illiteracy and lost productivity, reduced educational potential and curative health cost in a major drain on the local and national economy. The economic effects of good sanitation increase life expectancy and saving in health care costs. It also reduce sick leave, increase higher worker productivity, better learning capacity among school children and reduce water treatment costs (White Paper on Basic Household Sanitation). Whilst the financial cost of providing a basic level of sanitation is easily quantifiable, the economic cost of inadequate sanitation on the health of the community and on the environment is not easily qualified. The United Nations Children Fund (UNICEF) and World Health Organisation has linked investing in sanitation to reduced morbidity and mortality and increased life expectancy; reduced time caring and sick leave etc. The potential economic benefit of improving sanitation can be gauged when it is considered that there are an estimated 1.5 million cases reported of diarrhoea in children under the age of 5 every year. This results in huge health expenditure, which could otherwise be avoided through the provision of adequate services.

***Environmental effects-*** inadequate sanitation leads to dispersed and diffuse population of water resources resulting in the water cycle for communities with untreated water supplies and increased downstream water treatment costs. The size and density of the settlement being served have a

negative impact to the environment around the area. For example, the shacks that are built close to each other without enough spaces in between create an environment where it is impossible to have facilities to keep the redundancy material. Furthermore, the high density living in the informal settlement leaves limited space for infrastructure such as roads storm water drainage.

Most human activity impacts on the environment. Sanitation systems involve the disposal and treatment of wastes. A lack of adequate sanitation or inadequately maintained or inappropriately designed system can therefore constitute a range of pollution risks to the environment, especially the contamination of surface and ground water resources. Although water systems are able to tolerate a certain degree of pollution there is a limit to the amount that can be assimilated without causing the water quality to deteriorate to such an extent that the water cannot be used (Pickford, 1995:18). In addition, settlement influence the natural environment, they also involve the exploitation of both biological and non-biological resources, generating pollution and waste that has to return to the environment.

This is a case especially in the informal settlement where shacks are built on the land that is not developed for residential purposes. The department of Environmental Affairs and Tourism is responsible for the protection of the environment. The department will take primary responsibility for developing policies, guidelines, procedures, norms and standards relating to the impact of sanitation system on the environment and for monitoring environmental impacts of sanitation system. A number of co-ordinating structures have been established at the three levels of government. Co-ordination and integration at the local government level is the responsibility of the District Municipality as Water Services Authority or the local municipality. The Integrated Development Plan is the mechanism for attaining the integration between role players at the local level, as well as between municipalities and their provincial and national government counterparts.

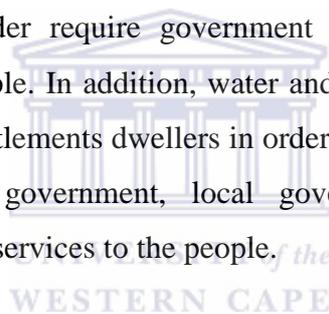
#### **4.4 Challenges identified in the Process of Policy Implementation**

The challenges identified as the contributing factors in the lack of provision of basic services such as water and sanitation services includes South African political history, Poverty, Communication breakdown, Inadequate infrastructure, and political differences. It is imperative to give details on how the identified challenges impact on policy implementation and provision of basic services to the people.

***South Africa's political history-*** It is of critical importance to give background on South Africa's political history and its impacts on the provision of basic services such as water and sanitation. The South Africa's political history played a big role in development of policies in the water and sanitation sector. The history of water and sanitation development in South Africa is bound up with the history of all other aspects of equity, land, development and the economy.

The apartheid government provided basic services to minority group and the majority of the population was marginalised. The areas facing the challenges of lack of adequate sanitation are the residential areas of the black people who were separated and marginalised by the laws of the apartheid government (HRC Quarterly Review, October: 2000). This is one of the reasons why the current government is confronted with the challenge of backlog of providing basic services such as water and sanitation.

Furthermore, the economic conditions of the people living in the informal settlement perpetuate conditions of uncertainty as the majority of the people are unemployed. The unfavourable conditions in which they live under require government to change such conditions through delivering basic services to the people. In addition, water and sanitation are the most fundamental services required by the informal settlements dwellers in order for them to survive. Much as it is the responsibility of all spheres of government, local government has the responsibility of implementing policies and provides services to the people.

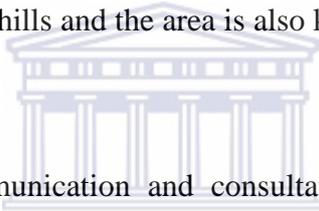


***Poverty, Illiteracy and Poor Education-*** It is of critical importance to indicate that poor sanitation does not exist in isolation from other poverty related issues. It forms part of the poverty syndrome and it is hence both a cause and a consequence of improvement. The majority of the people living in the informal settlement are unemployed, illiterate and poor level of education result in an ignorance of the consequences of personal and family hygiene custom and practice. Whilst the ill effects of certain customary sanitation practices may have been less evident in the past, it is clear that, with increasing population densities and traditional beliefs pose a serious threat to public health. It is important to ensure that health and hygiene education programmes are implemented in order to minimize the severe consequences such as illness, etc. The education programmes should be based on participative learning activities and not on listening to facilitators. The health of a community is not based solely on the quality of the drinking water they consumes.

Almost all of the diseases carried by water can be transmitted by other routes (Skinner, 2003:48). It is therefore important to have interventions to improve the health of a community and also to

address the need for improved sanitation and hygiene practices as well as water quality. In practice the pure water may become grossly contaminated by poor collection, transportation and handling practices before it is consumed. The incident of contaminated water is mostly incurred in the informal settlement whereby people have to fetch water with open container from the communal taps. In the process the water gets contaminated and the water is used for consuming.

Even if pure water is consumed, if people have poor sanitation or hygiene practices they may still ingest many pathogens via dirty hands or contaminated food. In essence, education and hygiene awareness campaign is lacking from the municipal authorities, especially for the informal settlement dwellers (Skinner, 2003:49). It is imperative to mention that unemployment underpins poverty in urban areas, alongside a substantial number of workers lacking education and specialised skills. At the same time it is the urban poor who are often exposed to degraded urban environments, which coincides with their inability to afford safer environments or have essential services. Informal settlements are often located on the banks of stream or against hills, which have the accompanying dangers of flooding and mudslides. For example, the informal settlement in Khayelitsha known as TR block is located against the steep hills and the area is also known as ‘**Enyunywini**’ which means dump place.



**Communication breakdown-** Communication and consultation plays an important role in the implementation of public policies that affect their living conditions. The active participation of Citizens in the formulation of the policies should continue to the implementation processes. However, in most instances communities have no knowledge of the public policies particularly that articulate the provision of services to the people. This is indicated by the resistance by the communities to participate in the implementation of the programmes and project meant to provide effective and efficient service delivery. This is not the case only on the provision of water and sanitation services only, it is has been a case in the provision of houses.

Furthermore, communication between communities and their government representatives seems to be the great for the provision of services to the communities. For instance, Ntombizakhe said “***I do not know my ward councillor.***” This indicates the challenges of communication between government and communities. The executive members of the local communities indicated that members of the community have the tendency of not attending meetings convened in order for them to be informed of plans and programmes in place to address the challenges of service delivery. However, it is important to indicate that some of the community members acknowledge and appreciate the efforts made by government in address issues of basic service delivery such as

communal taps, and flush toilets. The lack of communication and consultation create a situation where the government has to fight the battles with the communities involve in the court of law instead of providing service delivery. This also delays the process of speeding up services delivery especially in the local government level. The Municipal Systems Act is quite specific on the need for community participation.

In terms of section 152(i) (e) of the Constitution municipalities need to encourage the involvement of communities and community organisations in the matters of local government. The provision on community participation in the Municipal Systems Act, therefore have a Constitutional base (Caraythorne, 2006:313). A municipality is required to develop a culture of municipal governance that complements formal representative government with a system of participatory governance.

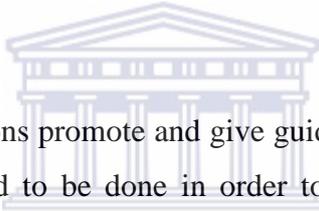
It should encourage and create conditions for the local community to participate in the affairs of the municipality. This includes the preparation, implementation and review of its Integrated Development Plan (IDP); the establishment, implementation and review of its performance management system; the monitoring and review of its performance including the outcomes and impact of such performance and strategic decisions relating to the provision of municipal services. Furthermore, community participation should take place through political structures for participation in terms of the Municipal Systems Act, such as sub councils and ward committees. According to Hanekom and Thornhill (1995: 183) municipality has the duty of communicating information concerning the matter of service delivery. CAPE

There are various ways to communicate with the communities and other relevant stakeholders. This includes communication through meetings, media and local news papers or radio broadcasting. True communication is the exchange of information, such as a council telling the public of policy it proposes and implementation process, and the public telling the council of what it thinks of that proposal. The local community is also known as civil society and civil society represents the whole spectrum of the different classes, cultures, race, groups etc. (Craythorne, 2006:319).

***Effects of political differences-*** It is of critical importance to made mention of the fact that Western Cape is one of the provinces which is political contested by two major political parties in terms of leadership. The African National Congress (ANC) took over the power from the opposition party Democratic Alliance (DA) at provincial and local level. The DA then took over the power at local level during local government elections in 2005. Each time the political party takes over the power it has its own priorities in terms of service delivery. In essence this have a negative impact to

service delivery and the poor people are not receiving basic services promised to them during election campaigns. The provincial and local government should work together to provide effective and efficient service delivery to the people especially those living in the informal settlement.

In September, 19 2008 newly elected premier Lynne Brown has proposed an indaba of her provincial executive, Mayor Helen Zille and the City's mayoral committee for the two spheres of government to sort out their differences affecting service delivery (Cape Times, September 19, 2008). The call was a far cry from the icy relationship between former premier Ebrahim Rasool and Helen Zille. They clashed on a number of issues including the province's allocation to the city's housing budget and Rasool's commission of inquiry to investigate allegations that the city spied on councillors. The infighting between the two spheres of government has directly affected the provision of services to the people. It is of great importance to point out that if there is lack of cooperation and interaction between the two levels of government definitely the service delivery will be affected.



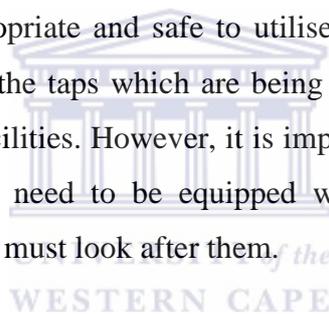
In addition, intergovernmental relations promote and give guidelines on the functioning of the three levels of government and what need to be done in order to achieve the aims and objectives of effective and efficient service delivery. The Constitution of the republic of South Africa lays down the principles of co-operative government and intergovernmental relations. All three spheres of government must apply these principles.

***Inadequate Infrastructure development-*** Infrastructure development is the key to the effective and efficient provision of basic services such as water and sanitation. One reason the debate over utility subsidies can become so heated is that the provision of adequate and reliable infrastructure truly matters-to economics, to households, and to poor households in particular. Improved water supply and sanitation services are associated with raising productivity and living standard. The importance of infrastructure has been encapsulated in the millennium Development Goals, which singled out increasing access to water supply and sanitation services as explicit targets to be achieved by 2015. Water supply and sanitation contribute to poverty reduction and to improvement in the standard of living in several ways (Romives, et al, 2005:03).

The provision of those services has strong direct link to improved health outcomes. Water-related illness account for a very substantial burden of disease in the developing world, exacting high costs

in terms of death malnutrition, stunting and reduced productivity. Improving water and sanitation facilities has been shown to reduce those costs (Kelly, 2003:573). Lack of improved water facilities can work against educational outcomes, especially for girls. For example, sickness and other diseases can be contracted out of inadequate water and sanitation facilities.

The current sanitation infrastructure utilised by the communities in the informal settlement is not sustainable and not at good conditions at all. The sanitation facilities are leaking or blocked, even the sewerage drains are blocked almost every week. The challenges faces the municipality is the maintenance of the existing facilities and expenses incurred in repairing the damages. This includes leaking taps, burst pipes etc. Furthermore, a large number of the communal toilets are dysfunctional due to the fact that no one is taking a full responsibility of maintaining and ensuring that the facility is always clean and locked. However, there are toilets that are locked with padlocks and residents must ask for keys at nearby houses. In essence, municipality is facing a huge challenge of providing adequate sanitation facilities in the informal settlement in order to ensure that resident have access to sanitation facilities that are appropriate and safe to utilise. With regard to water facilities, the challenge is on the maintenance of the taps which are being damaged by the very same residents whom suppose to look after such facilities. However, it is important to note that the majority of the resident in the informal settlement need to be equipped with knowledge of why the existing facilities are important and why they must look after them.



This emphasises the importance of conducting workshops with the resident and other stakeholders in order to ensure that the existing facilities are not destroyed instead they are protected for the benefit of the residents of the respective area. It is of critical importance to articulate the fact that the residents illegally occupy land earmarked for other developments such as building schools and sports field. Government is facing the challenge of relocating informal residence in order to develop areas that were illegally occupied and not appropriate for development. In some instances, the residents refuse to relocate citing lack of communication from government and being relocated to areas that are far from transport. In essence it is impossible to develop areas that are occupied illegally and no infrastructure development can be installed.

#### **4.5 Opportunities Identified for Service Delivery**

It is important to mention that implementation of public policies is the cooperative responsibility for all levels of government. In the South African context this refers to the national, Provincial, and Local Government. The objective of any government or administration in power is to ensure that

adopted policies are translated to day to day activities which in one way or another change the lives of the people for the better. Hanekon and Thornhill (1995:56) state that “public policies are made to keep policy makers busy, or to create impression that policy makers are doing something to alleviate societal problems or demands.” They further state that public policy implementation usually takes place through the enforcement of laws to ensure compliance; through provision of service; etc.

Furthermore, Non-Governmental Organizations, Community Based Organizations, and Civic Organization such as South African Civic Organisation (SANCO) play a pivotal role in the implementation of public policies. However, they should be strong enough to publicly critique government without fear of favour particularly where they promote and defend the interests of the society they represent. It is without a doubt that weak civic organizations cannot stand for the interests of the society especially to situations where socio-economic issues are not adequately addressed. With regard to this study, the majority of the informal settlement dwellers do not belong to any civic of community based organization.

They have elected executive committees which attend to issues of concerns of a particular area. In terms of section 19(1) of the Municipal Structures Act of 1998 a municipal council must strive within its capacity to achieve the objectives set out in section 152 of the Constitution. Section 152(1) of the Constitution state that objects of local government is to provide democratic and accountable government for local communities. In terms of Paragraph (b) of subsection (1) state that local government has to ensure the provision of services to communities in a sustainable manner. It is noteworthy to indicate that accountability is of the critical principle of good governance. However, the recent incidents of communities picketing on the street suggest that there is lack of accountability on the side of ward councilors.

This is also where the community based organizations make their existence felt through holding ward councilors and any other public officials accountable for lack of provision of services to the communities. In the process of gathering data in the form of interviews, some of the community members of informal settlement indicated that they do not even know their ward councilors. In addition, the community should participate in the executing of programs and projects meant to develop their living conditions. Even the Non –Governmental Organization should participate in programs and hygiene campaigns in conjunction with the Department of Health to educate communities about the dangers and consequences of living under inhabitant conditions.

Furthermore, the role of other stakeholders in the implementation of public policies is of critical importance in the sense that communities are linked to different sector organization which has a great influence in different ways. This includes Church Organizations, Civic Organizations such as South African National Civic Organization (SANCO). However, it seems as if there is no communication between these relevant stakeholders and the local government officials.

The other challenge identified is the political influence in the implementation of programs and projects in their respective area. Some of the interviews indicated that if one is not affiliated to a political party in power, you do not any employment opportunities. The most appropriate and practical way of implementing public policies is through programmes and projects. Programmes consist of any two or more projects that are managed in conjunction with one another.

#### **4.5.1 Adoption of a Common Approach to Implementation**

According to van Baalen and De Coning, (2006:217) programme management in a public and development management context refers to the purposeful management and coordination of a portfolio of projects on the basis of sectoral mix. Development programmes and projects are those that improve the capabilities and opportunities of people to be effectively involved in the production of goods and service which continually improve the quality of their life. This suggests that the community members should be directly involve in the implementation of projects meant to develop their respective areas.

For instance, the contractors who get contract to install infrastructure for water and sanitation services should employ people from the targeted community areas. Furthermore, geographical targeting means the purposeful planning and design of project management activities in specific geographical areas in order to achieve anticipated outcomes. In terms of water and sanitation service, the local municipality may target informal settlements of specific area as geographical area that need development with regard to provision of clean water and sanitation facilities. According to Turner (1993) project is a temporary endeavour in which human, material and financial resources are organised in a novel way, to undertake a unique scope of work. This suggests that implementation of projects requires people with skills to manage financial and material resources in order to achieve the desired outcomes. It is noteworthy to mention that one of the factors contributing to the failure of projects is the lack of skills and knowledge of implementing projects.

Turner (1993) further states that some of the tools and techniques used to manage projects include the following:

- Project integration that integrates the three main project management processes of planning, execution, and control.
- Project scope management involves the process that ensures the project includes all work required, and only work required, for completing the project successfully. It consists of authorisation, scope planning, scope change management and scope verification.
- Project cost management is the process that ensures that the projects are completed within the approved budget. It consists of resource planning, cost budgeting, cash flow and cost control.
- Project communication is the important process that ensures proper collection and dissemination of project information.

The above mentioned tools and techniques play an important role to the success of projects of programmes. Moreover, project can be well planned but if there are no enough resources to implement the project, it is likely that the objectives will not be achieved and will fail. This means that management skills and availability of resources play a key role to the attainment of the objectives of the project. In addition, projects contribute to the empowerment of the communities in terms of training and acquiring skills through the implementation of projects by contractors that employed by the local government. For example, community members may get temporal employment opportunities through the installation of infrastructure by private companies who contracted by the City of Cape Town. Capacity and commitment are the critical elements for effective and efficient implementation of programmes and projects. It is therefore important to ensure that the programme and project facilitators are committed and have capacity to deliver up to the expectation. However, it is important to have a common approach to the implementation of public policies. The adoption of a common approach to implementation involves alignment of policies, adherence to norms and standard, integrated development planning agreement on implementation models and technical options.

The alignment of policies is to ensure compliance with regulations regarding sanitation under the Water and Services Act and regulations regarding Wastewater Standards under the National Water Act, a view of municipal bylaws. Municipalities are required to submit as part of their Integrated Development Plan (IDP), evidence that prescribed minimum national norms and standards have

been and will continue to be met. According to Strategic Framework for Water Services (2003) the prescribed norms and standards include:

- Norms and standard for a minimum basic level of sanitation for households and other community facilities.
- A requirement for the proportionate provision of sanitation services relative to other services- Requirement relating to sustainability of financial, technical and environmental issue

The implementation of the projects of water and sanitation services requires a critical consideration of the environment around the target areas of development. Water and sanitation projects involve the installation of infrastructure such as pipes and drainage system which may have negative impact to the environment. It is the responsibility of the municipal authorities to ensure that environment is protected in the process of installing infrastructure such as pipes and drainage system. There are regulations and guidelines in place which states that environment must be protected in the implementation of water and sanitations projects.

#### **4.6 The Five Critical C's Protocols in Policy Implementation**

According to Brynard and De Coning (2006:196) there are five C's protocols emerge which shape the directions that implementation might take. They further state that each of the five c- protocols is linked to, and influenced by the others, depending to a varying extent on the implementation situation. The five c –protocols include content, context, commitment, capacity, and client and coalition. Content policy is characterised as either distributive regulatory or redistributive. In other words, distributive policies create public goods for the general welfare, and regulatory policies specify rules of conduct with sanctions for failure to comply.

##### **4.6.1 Content**

Content policy is a function of the level and type of coercion by government. There is also a wide spread implicit realisation that content of policy is important not only in the means it employs to achieve its end, but also in its determination. In addition, the public officials and councillors in particular should know the content of water and sanitation policies and legislative framework which gives guidelines on what need to be done fro effective and efficient provision of services to the people. Without clear understanding of the content of the legislative framework and policies, it is likely that service delivery will suffer.

#### **4.6.2 Context**

The second c-protocol is context that focuses on the institutional context which, like other four variables will necessary be shaped by larger context of social, economic, political and legal realities of the system. This highlights the importance of how this impact on the implementation process, primarily via the institutional corridor through which implementation must pass the support of clients and coalition (Brynard and De Coning, 2006:198). It is important to mention that implementation of public policies is the cooperative responsibility for all levels of government. In the South African context this refers to the national, Provincial, and Local Government.

The objective of any government or administration in power is to ensure that adopted policies are translated to day to day activities which in one way or another change the lives of the people for the better. Hanekon and Thornhill (1995:56) state that “public policies are made to keep policy makers busy, or to create impression that policy makers are doing something to alleviate societal problems or demands.” They further state that public policy implementation usually takes place through the enforcement of laws to ensure compliance; through provision of service; etc. The cooperative governance play a very critical role in the implementation of public policies at all levels of government. For this study, the national government is responsible for the management of water resources in order to ensure that water is always available for any use.

This suggests that people at the grassroots level should be aware of the importance of water conservation and protection of environment. In terms of the legislation the local government municipalities are responsible for the provision of basic services t the people. However, it is a collective responsibility for all levels of government including the communities. In addition, the communities are the most important part stakeholders who must participate in the public policy implementation programs. Community participation is critical in the sense they form part of the society which is at the receiving end of the outcomes of the policy implementation.

#### **4.6.3 Commitment**

The third c-protocol is commitment that emphasises the importance of commitment to those responsible for carrying out the implementation of the policies. It is noteworthy to mention that if there is an element of unwilling or unable to do so, there is little will happen. In addition, commitment is important not a the street level but at all levels through which policy passes this includes the state level, street level, but all levels in between. This suggests that community members, office bearers and government officials must commit themselves in addressing the issues of service delivery.

The community members should show their commitment by ensuring that sanitation facilities such as taps and containerised toilets are managed in terms of maintenance. For example, communal taps should not be damaged and toilets should be kept clean at all times to eliminate chances of contracting diseases from dirty toilets and unhygienic environment. On the other hand, municipal officials should ensure that communities are informed about adverse consequences of not looking after the facilities provided to make their life better.

This includes awareness campaigns which educate communities about the consequences of breaking and damaging the existing facilities such as water taps. For example, leaking and broken taps may lead to the surrounding environment being contaminated. It is important to mention that private sector, non-governmental organisations, and civic organisations play a critical role in the implementation of public policies. The non-governmental organisations may assist in facilitating hygiene awareness programmes, encourage community participation, develop community based construction teams and implement and monitor projects.

#### **4.6.4 Capacity**

The fourth c-protocol is capacity that is seen in the public sector as the structural functional and cultural ability to implement the policy objectives of government. It also includes the tangible requirements of leadership, motivation, commitment, willingness, courage, endurance and other intangible attributes needed to transform rhetoric into action. The analytic literature identifies capacity as a key variable even more overwhelming. Therefore, to achieve the policy implementation objectives for sustainable public service delivery seems to be both the commitment and the ability to implement in pragmatic ways those elements of accepted strategic management which are appropriate in a given context (Brynard and De Coning, 2006: 203).

The levels of the performance of municipalities indicate that capacity is one of the contributing factors to the lack of service delivery. However, City of Cape Town is one of the few municipalities in South Africa that have capacity in terms of skills. It is also one of the performing municipalities in terms of resource management particularly financial management.

In addition, the implementation of policies in the water and sanitation sector requires people with technical and technological skills in order to provide services effectively and efficiently. For example, the installation of infrastructure such as water pipes and other infrastructure requires people with skills and knowledge in the field of work.

#### 4.6.5 Client and Coalitions

The fifth and the last c-protocol is client and coalitions. It is important of government to join coalition of interests groups, opinion leaders and other outside actors who actively support a particular implementation process. Furthermore, it is imperative to determine and catalogue the potentially influential clients and coalitions from the larger cast of characters in the implementation theatre. Public managers in South Africa have increasingly used planning, programme and project management approaches in the implementation of public policy.

In essence, implementation of water and sanitation policy should immensely look at these variables that play an important role to achieving the stated objectives of providing clean drinking water and appropriate and adequate sanitation facilities to the people. It is important to mention that implementation of public policies is the cooperative responsibility for all levels of government. In the South African context this refers to the National, Provincial, and Local Government. The objective of any government or administration in power is to ensure that adopted policies are translated to day to day activities which in one way or another change the lives of the people for the better. Hanekon and Thornhill (1995:56) state that “public policies are made to keep policy makers busy, or to create impression that policy makers are doing something to alleviate societal problems or demands.” They further state that public policy implementation usually takes place through the enforcement of laws to ensure compliance; through provision of service; etc.

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It is noteworthy to indicate that public policy implementation is the collective and joint responsibility for government and Non-Governmental Organizations, Community Based Organizations, and Civic Organization. However, they should be strong enough to publicly critique government without fear of favour particularly where they promote and defend the interests of the society they represent. Ile (2007:227) states that ‘the effectiveness of government does lie on the system, but the manner in which is inevitable in all systems in managed and the context to which civil society holds government accountable for service delivery or lack of service delivery’. It is without a doubt that weak civic organizations cannot stand for the interests of the society especially to situations where socio-economic issues are not adequately addressed. Upon conducting interviews, the majority of the informal settlement dwellers indicated that they do not belong to any civic or community based organization. They have elected executive committees which attend to issues of concerns of a particular area.

In terms of section 19(1) of the Municipal Structures Act of 1998 a municipal council must strive within its capacity to achieve the objectives set out in section 152 of the Constitution. Section 152(1) of the Constitution state that objects of local government is to provide democratic and accountable government for local communities. In terms of Paragraph (b) of subsection (1) state that local government has to ensure the provision of services to communities in a sustainable manner. It is noteworthy to indicate that accountability is of the critical principle of good governance. However, the recent incidents of communities picketing on the street suggest that there is lack of accountability on the side of ward councillors.

This is also where the community based organizations make their existence felt through holding ward councillors and any other public officials accountable for lack of provision of services to the communities. In the process of gathering data in the form of interviews, some of the community members of informal settlement indicated that they do not even know their ward councillors. In addition, the community should participate in the executing of programs and projects meant to develop their living conditions. Even the Non –Governmental Organization should participate in programs and hygiene campaigns in conjunction with the Department of Health to educate communities about the dangers and consequences of living under inhabitant conditions. Furthermore, the role of other stakeholders in the implementation of public policies is of critical importance in the sense that communities are linked to different sector organization which has a great influence in different ways.

This includes Church Organizations, Civic Organizations such as South African National Civic Organization (SANCO). However, it seems as if there is no communication between these relevant stakeholders and the local government officials. The other challenge identified is the political influence in the implementation of programs and projects in their respective area. Some of the interviews indicated that if one is not affiliated to a political party in power, you do not any employment opportunities. It is critical to ensure that the policies and legislative framework is implemented and interpreted within the context which is in line with the objectives of providing sufficient and water and sanitation services to the people. Without the understanding of the context of any public policy, it is more likely that the objectives of improving service delivery will not be achieved. This relates to the way and manner in which the institution is structured in dealing with the implementation of policies in the water and sanitation sector. For example, the local government municipalities have the responsibility to ensure that service providers are hold accountable for the service they provide in the name of the City of Cape Town.

#### **4.7 Monitoring and Evaluation Mechanisms**

It is important to certain concepts at the outset to facilitate discussion of these issues. Monitoring is the routine checking of information on progress, so as to confirm that progress is occurring against the defined direction. It commonly involves monthly to quarterly reporting outputs and activities. Monitoring and evaluation is one of the fundamental tools used to assess the performance of government in the implementation of public policies. Project level monitoring and evaluation must be carried out on continuous basis to ensure that quality services and minimum standard is met or complied with. This should take form of monthly report that must be submitted to the Water Services Authorities (WSA).

Monitoring must include all aspects of programme including the delivery of infrastructure, skills development training and health hygiene education (National Sanitation Strategy, 2001). In addition, programme level monitoring and evaluation should be one by the involved Water Services Authorities in each sanitation programme and the information must be filtered through to the provincial level. It is critical for municipal authorities to ensure that issues such as performance of service providers, quality of infrastructure, delivery rates per programme and health and hygiene education are monitored. This would assist in improving the standard of services in terms of quality and quantity. Water Services Authorities will only be able to carry out this function if they have resources and capacity hence it is important to built the capacity as envisaged in the National Building strategy. The big question is whether the municipalities monitor and evaluate the sanitation and water services programs implemented for the past five years.

The residents of the informal settlement still utilizing pit toilets and buckets system and these facilities are in bad condition. This indicates the fact that there is no evaluation and monitoring mechanism in place to identify the success and failures of the programs and projects meant to improve water and sanitation services. This is a concern especially when it comes to the health and the hygiene awareness programs. According to Schafritz (1998:820) implementation evaluation and assessment is undertaken to measure progress towards the achievement of policy objectives and to learn lessons from the project or program for future policy review, design or implementation. Evaluation and monitoring processes encourage and provide political and financial accountability on the implementation of policies. The progress of water services implementation are monitored and evaluated against key performance indicators and focuses on outcomes rather than inputs. Broad categories of monitoring and evaluation include progress related to:

- Programs to clear the backlog
- The promotion of health and hygiene education
- Impact of sanitation improvement programs on the health of communities
- The allocation, application and management of funds
- The involvement of communities
- Development of common norms and standards, guidelines and other tools.

Shafritz (1998:821) is of the opinion that after completion of the policy project or program, evaluations are done to assess either the progress made towards achieving policy objectives if those objectives can be determined, or to assess general results of the policy. The results include any positive or negative changes to the status quo before the policy was implemented.

Evaluation techniques to achieve the results include a wide variety of approaches to data gathering and analysis. Monitoring and evaluating is the critical tool to ensure that the implementation of policies in the form of programs and projects is taking the right direction in terms of providing services to the people. Furthermore, effective and monitoring of programmes is considered to be essential particularly in the context of substantial step up in the allocation of funds for development programmes. It is important to mention that regular monitoring of the programmes is done to assess the physical and financial progress in the implementation of the plans and disseminate the information regarding progress. Monitoring and evaluation of the programmes helps in identifying the impact of the programme in terms of progress and identify strengths and weaknesses so that necessary steps are taken to streamline and improve the process of implementation.

#### **4.8 Summary**

The critical issues analysed in this chapter include the current situation in the informal settlement of Khayelitsha. The priorities of the City of Cape Town in terms of top twenty outcomes of the Integrated Development Plan (IDP) are also analysed. The three identified issues include infrastructure development, solid waste and access of water and sanitation to the informal settlements dwellers. This study also analysed the issues relating to the causes of the challenges confronted government on the implementation of water and services policies. It has alluded to the South Africa's political history, effects of political differences, and lack of communication and consultation with communities. One of the critical aspects highlighted in this chapter in the role of projects and programmes in the implementation of public policies. The provision of basic services such water and sanitation cannot be completely separated from the economic and environmental issues. This includes the protection of environment in the process of implementing projects and

programmes meant to bring services to the people. It is also important to mention that contaminated environment has negative impact to the lives of the community. In essence the provision of water and sanitation is linked to the socio-economic conditions, environment and health.



## **CHAPTER FIVE - CONCLUSION AND RECOMMENDATION**

### **5.1 Introduction**

Implementation of public policies is one of the challenges facing government at all levels. It is a great concern particularly at local government level where service delivery is needed most. It is recognised globally that the effective and efficient way of implementing government policies is through programmes and projects. This paper intended to identify the challenges incurred by local government authorities in implementation of water and sanitation services with specific case study of the City of Cape Town. The findings of the study include lack of public participation, conditions of sanitation facilities and role of cooperative governance.

### **5.2 Lack of Public Participation**

Public participation is based on the belief that those who are affected by the decision have a right to be involved in the decision making process. It is imperative to note that government has an obligation to provide services to the people. The effective and efficient government relies on the participation of the public not only in the implementation phases but in the planning phase. It is the responsibility of government to lobby and bring public into the fore on policy matter. The majority of the informal settlement dwellers of Khayelitsha indicated that they do not like the sanitation facility (containerised) which has been installed in their residential areas. They further indicated that they were not consulted and participated in the process of deciding which sanitation facility they prefer. In other words they were option given to them to choose a suitable facility for their respective areas.

The argument is that they do not have expertise and knowledge about different type of facilities. However, the point is that they are the ones who have to utilise the facilities which they did not selected as suitable for them as the community. This gives the community members an opportunity to blame government for the dysfunction of the facility. For instance, some of the community members of the informal settlements of Khayelitsha are blaming government for lack of monitoring of the collection of waste from the containerised toilet facilities. This relates to incidences where human waste is collected once instead of three times a week. This was mention (by community members) as one of the reasons why the containerised toilets are regarded as same as bucket system. In addition, public participation play a critical role in ensuring that community members take control of the resources and facilities provided to them.

The Integrated Development Plan (IDP) and Water Services Development Plan (WSDP) make provisions for communities to participate in the design and formation of plan for effective and efficient implementation of water and sanitation policies. In addition, communities should play a role in the implementation of projects and programmes meant to improve service delivery. The Municipal Structures Act also states that communities should participate in the municipal activities which affect the communities at large. However, there challenges faced by local government municipalities to achieve the goal of integrated and active participation of communities in the implementation of programmes and projects at local government level.

### **5.3. The Conditions of Facilities.**

The conditions and status of the sanitation facilities in the informal settlements of Khayelitsha are unacceptable especially the containerised type of sanitation facilities. These facilities are not properly managed in terms of ensuring that they are clean and maintained. The overwhelming majority of the community members prefer to make use of the use of alternative toilet facilities is because of the unhygienic conditions and lack of maintenance of these public sanitation facilities. In addition, even the taps are located far from the sanitation facilities and most of these facilities are located along the canal which is highly contaminated.

This suggests that the community members utilising these facilities have high chances of contracting infectious diseases from the unfavourable living conditions. The unhygienic conditions have negative effects to socio-economic conditions of the informal settlements dwellers. This relates to challenges whereby people are infected and contract diseases such as TB and diarrhoea. The majority of the people living in the informal settlements is not working and depends on public health institution for medical treatment. Even public health institutions have their own challenge. Thus it is important to initiate preventative measures to eradicate the level of people affected due to use unhygienic facilities.

### **5.3 The Role of cooperate Governance and Private Partnership**

The provision of implementation of public policies is the collective responsibility of all spheres of government and relevant stakeholders such as civic organisations, etc. In relation to water and sanitation services, the national government is responsible for the strategic planning and formulation of policies. The national government is responsible for the management of water and sanitation resources such as dams, rivers etc. It is important to indicate that water resources may not be completely separated to natural and environmental resources. The role of provincial government

is to support local government in the provision of services to the people. This support includes human resources, technical support, etc. In the case of the Western Cape, there was no cooperation between provincial and local government due to political differences on policy imperatives. It is important to note that provincial and local government has for the past few years governed by two political organisation. That is one being an opposition at provincial and leading party at local level, vice versa.

The cooperative governance is very critical exercise for effective and efficient implementation of policies and provision of service delivery. The focus of the study is the role of government in providing water and sanitation services in the informal settlements of Khayelitsha. Local government is the closest government to the people at a grassroots level. Local government is expected address challenges of basic service delivery such as water, sanitation, etc. This study identified a number of challenges faced by local government in the implementation of water and sanitation policies. Among the challenges is the lack of communication and consultation between government and communities, political differences, poverty and illiteracy, etc. The lack of communication and consultation is linked to the protests shown by informal settlements dwellers.

Furthermore, civil society plays a pivotal role in the implementation of public policies particularly at local government level. In addition, Civic Organisation and Non-Governmental Organisations should play a critical role to hold government accountable in the provision of service delivery. The private sector should also play an important role in the implementation of programmes and projects at local government level. For example, the outsourcing of installation of water pipes and collection of waste and other functions which are critical for the provision of basic services and contribute to the creation of job opportunities for the people of the very community that need the services. In essence, all stakeholders that have interests and directly affected by lack of service delivery play an important role to turn things around in terms of improving service delivery particularly at local government level.

## **5.5 Recommendations**

The implementation of water and sanitation legislation and policies requires participation of various stakeholders such as Community Based Organisations, Church Organisation, Non – Governmental Organisations and Private sector. It is imperative to note that communication and consultation play an important role in the implementation of public policies. However, this subject will be discussed in the following paragraph.

### **5.5.1 Communication and Consultation**

It is noteworthy to indicate that government play a leading role in the planning and implementation of public policies. The involvement of community and relevant stakeholder should begin in the planning phase up until implementation stage. It is recommended that City of Cape Town should communicate and consult with the communities to implementing water and sanitation policies. The communities should be aware and have clear understanding of the programmes and projects the government has put in place for the development of the targeted areas. In addition, communities should actively participate in the formation and discussion of Integrated Development Plan which outline priorities of service delivery. If communities are not informed of the government priorities it is more likely that they will work against government. For example, in many instances community members refuse to relocate to new developed areas because they lack knowledge and were not part of the planning.

The levels of communication should start at grassroots level whereby street communities raise and forward challenges of service delivery to the ward councillors. The wards councillors should take the challenges to the City Council in order to be addressed. The recent acts of demonstration by the communities indicate that there is a lack of communication and consultation particularly with the informal settlements dwellers. In addition some of the community members they do not even know their ward councillors and this demonstrate the existence of communication and consultation. It is important to strengthen the channels of communication from grassroots level to the management levels of governance. Furthermore, the active participation of communities and other stakeholders in the implementation of public policies helps in eliminating the elements of corruption. Communication and consultation are the fundamental tools for the proper and appropriate function of any organisation. The community members and other stakeholders need to know and understand the importance of participating in the planning and development of Integrated Development Plan and its implementation.

### **5.5.2 Accountability and Transparency**

Accountability and transparency is one the key principles of good governance particularly for service delivery. It is recommended that communities and non-governmental organisation should hold government accountable for the any activities that take place within it powers and authority. The mangers and government officials must he hold accountable for their respective functions and responsibilities in order to ensure that services delivery reaches the people. In addition, the

councillors who are at the forefront of providing services to the people need to explain to the communities and other stakeholders involved on how the process unfolded in terms of implementing projects and programmes. For example, in some instances community members disrupt the implementation of projects accusing the managers of the project for being biased and open employment opportunities for their relatives and families.

It is important to mention that accountability and transparency is interlinked to commitment. This derives from the fact that informal settlement dwellers demonstrate to the streets raising challenges of lack of basic service delivery and lack of leadership from their councillors. The executive councillors should hold ward councillors and other community leaders accountable for the activities relating to the implementation of water and sanitation services in their respective areas. It is imperative for ward councillors to ensure that the needs and concerns of the informal settlements dwellers in particular are addressed. They should also be informed of the processes and the delays that may be incurred in the process of implementing projects and programmes in place.

Furthermore, councillors should show their commitment to their responsibility by addressing the challenges facing the informal settlements dwellers. In essence the community members and other stakeholders such as non-governmental organisations, and church organisations do not do enough to exercise their rights of holding government accountable in matters relating to provision of services to the people.

It is recommended that civic organisations need to strengthen their role in ensuring that public officials and representatives execute their mandate and responsibilities more effectively and efficiently. The public officials who are not performing and executing their mandate need to be recalled and discharged from their duties.

### **5.5.3 Promotion of Sanitation, Health and Hygiene Campaigns.**

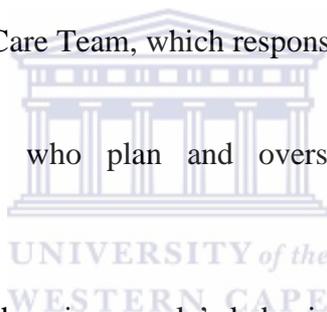
Promotion of sanitation describes a number of different activities that make up an effective approach to improve sanitation. The most critical activities include:

- Creating demand for better sanitation in communities through programmes which raise awareness about why sanitation is important.
- Providing consumers with information about a range of sanitation options.
- Building and upgrading existing toilets.
- Promoting health awareness and safe hygiene practice

- Providing community members with information about their toilets to ensure that they are well maintained.
- Monitoring and evaluation to assess the impact of programmes and suggest changes where necessary.

It is noteworthy to mention that effective sanitation promotion involves teamwork and co-operation within a municipality. The key role players include:

- The environmental health officer an outreach worker in communities who is responsible for education about, and protection of, public health.
- Community development officer, who is responsible for community liaison and community development.
- In addition, development facilitators play a critical role in strengthening and clarifying relationship between individual household members, local government and all other role players involved in achieving better sanitation.
- The District Primary Health Care Team, which responsible for disease prevention and health promotion.
- Technicians and engineers, who plan and oversee the development of sanitation infrastructure.



Hygiene promotion is mostly about changing people's behaviour, a difficult and often slow process. It begins with working with local residents to understand their beliefs, practices, and problem, and raising awareness of the impacts of poor sanitation. The key issues that need to be addressed to improve sanitation include challenges such as open defecation; contamination of water sources; malnutrition caused by worms; lack of safe and hygienic toilet facilities; lack of facilities for hand washing and inadequate refuse removal. It is crucial to promote understanding of linkages between water, sanitation, hygiene and health. Sanitation means more than building toilets.

Sanitation awareness and improved health and hygiene practices will mean that there is less disease. This should result in the improved health and quality of life of the whole population. The communal taps should be located closer to the sanitation facilities. This will enable the users of the toilets to wash their hands after use. At the present moment communal taps are located far from the communal toilets particularly the containerised toilets. In addition, communities need to be encouraged to establish committees or task teams that will be responsible for identifying damaged

water and sanitation facilities. In fact is the responsibility of every community member to protect and look after the facilities made available to better their life.

The education and programmes of health and sanitation promotion need to taken to the local schools in order to ensure that the message of good sanitation is spread to all levels of society. The dominating sanitation infrastructure in the informal settlements requires people with understanding of the importance of keeping the facilities clean. Hygiene promotion is mostly about changing people's hygiene behaviour, a difficult and often slow process. Most importantly hygiene promotion has a positive impact on health even without improvements in water and sanitation services.

#### **5.5.4 The Interaction of Key departments**

The implementation of water and sanitation services is not only about building toilets and install communal taps. It involves maintenance and management of these facilities. In addition, there should be solution to address the challenge of increasing informal settlements which creates the problems of ac of water and sanitation services. The following departments should play a key role in the implementation of water and sanitation services.

***Department of Water and Affairs Forestry***- This department is the custodian of the nation's water and the lead department in the sanitation sector. It also supports local government in developing Water Services Development Plans (WSDP).

***Department of Housing***- This department plays an important role in the provision of adequate and appropriate sanitation facilities. The development of standard houses assist in reducing the informal settlements which confronting with the challenge of lack of proper and adequate sanitation facilities.

***Department of Environmental Affairs***- This department is responsible for protecting the environment and develops standards relating to the impact of sanitation systems on the environment, and monitoring impacts and compliance with environmental management procedures. The above mentioned departments need to have common approach on how to address challenges interlinked to each other. There should be strategic approach involving all relevant stakeholders in addressing the issues of protecting and conserving environment. This includes identifying problem areas, setting common goals, collective implementation of the strategy and assesses the impact and progress on protection of environment in the process of providing services to the people. In essence the departments need to have a holistic approach in addressing the issues of service delivery. This includes co-ordination of programmes and projects in order to improve standard of living in the

informal settlements. The relevant departments need to work together with the communities in order to achieve the set goals and objectives.

### **5.6 Areas for Further Research**

This study explored on issues of the implementation of water and sanitation policies in the informal settlements of Khayelitsha. These issues relate to the challenges confronted by municipalities in providing services to the people. The critical area that was not part of the study which needs further investigation is the mechanisms to eliminate unlawful occupation of the land by people claiming to be homeless. This relate to the fact that the challenge of water and sanitation is mostly incurred in the informal settlements. For example, one of the biggest informal settlements in the Western Cape is known as ‘**Nkanini**’ situated in Makhaza, Khayelitsha. Nkanini means force. This means that people who established Nkanini had illegally occupied the land without taking into consideration the existing laws that prohibit such action.

It is important to indicate that without finding solution to the unlawful occupation of the land, the issues of providing service such as water and sanitation will always crop up as challenge to any administration. The linkage between economic conditions and growth of informal settlements in the urban areas need to be further investigated. The area of further investigation is the examination of the impact and role of the political leadership and public officials in the implementation of public policies particularly the issue of capacity. This relate to the fact that capacity is one of the critical aspects of effective and efficient governance. For any administration at all levels of governments, capacity is the most important aspect of good governance.

Further area of study that is linked to the implementation of public policies is the influence and impact of political deployment of cadres who might not have necessary skills to execute the mandate of providing services to the people.

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