



cogta

Department:
Co-operative Governance and Traditional Affairs
PROVINCE OF KWAZULU-NATAL

EVALUATION REPORT

Back to Basics Implementation Approach

BACK TO BASICS SERVING OUR COMMUNITIES BETTER



PUTTING PEOPLE FIRST
AND ENGAGING WITH
COMMUNITIES



DELIVERING
BASIC SERVICES



GOOD
GOVERNANCE



SOUND FINANCIAL
MANAGEMENT



**BUILDING
CAPABLE**
INSTITUTIONS



Cooperative Governance
Traditional Affairs



NOVEMBER 2015

PREPARED BY: EVALUATION BUSINESS UNIT

ACKNOWLEDGEMENTS

The first acknowledgement goes to the Senior General Manager (SGM) Local Government (LG) Branch, who supported and participated in the Departmental face-face interviewees conducted. A word of appreciation is also extended to the Nerve Centre Committee (NCC), District LG Champions and B2B Team Leaders who assisted with communication, modification, distribution of the questionnaires to the Municipalities and also assisted with other matters related to this evaluation. A sincere word of gratitude is also extended to the Municipal Performance, Monitoring, Reporting and Evaluation (MPMR&E) Business Unit for the enormous role played to assist with the distribution, filling in and collection of the questionnaires from some of the Municipalities.

The Evaluation Unit also thanks some Municipalities for their participation and who through their busy schedules managed to dedicate some of their time to complete the questionnaires. If it was not for their participation, this evaluation would have not been effective as it is.

Above all, thank you very much for the support provided by the General Manager (GM) Strategic Planning, Monitoring and Evaluation, Senior Manager (SM) Evaluation and Evaluation Business Unit Team members. Team work is the key to success. The nice thing about team work is that you always have others on your side - ***Margaret Carty***

A stylized illustration of a pen writing the words "Thank you" in a cursive script. The pen is positioned at the end of the word "you", and the ink trail shows the movement of the pen as it writes. The background is a light, textured surface.

CONTENTS

ACKNOWLEDGEMENTS.....	1
CONTENTS.....	2
LIST OF ACRONYMS.....	3
GLOSSARY OF TERMS.....	4
LIST OF TABLES.....	5
ANNEXURES.....	6
EXECUTIVE SUMMARY.....	7-8
1. INTRODUCTION.....	9
2. BACKGROUND OF THE EVALUATION.....	10-11
3. PROBLEM STATEMENT.....	13
4. PURPOSE.....	12
5. OBJECTIVE	12
6. EVALUATION QUESTION.....	12
7. KEY EVALUATION QUESTIONS.....	12
8. SCOPE.....	13
9. KEY STAKEHOLDERS.....	13
10. METHODOLOGY.....	13-15
11. DEPARTMENTAL DATA ANALYSIS, FINDINGS AND RECOMMENDATIONS.....	16-20
12. MUNICIPAL DATA ANALYSIS, FINDINGS AND RECOMMENDATIONS.....	21-31
CONCLUSION.....	32
REFERENCES.....	33

ANNEXURES

LIST OF ACRONYMS

Acronym(s)	Definition
B2B	Back to Basics
DCOG	Department of Co-operative Governance
COGTA	Co-operative Governance and Traditional Affairs
GM	General Manager
HOD	Head of Department
LG	Local Government
MPMR&E	Municipal Performance , Monitoring , Reporting and Evaluation
NCC	Nerve Centre Committee
RRT	Rapid Response Team
SGM	Senior General Manager
SM	Senior Manager

GLOSSARY OF TERMS

Term(s)	Description
Diagnostic Assessment	Preparatory Research to ascertain the current situation prior to an intervention and to inform intervention design.
Challenged	Refers to those Municipalities in a dysfunctional state with : <ul style="list-style-type: none"> • Endemic corruption; • Dysfunctional Councils; • No structured community engagement and participation systems; • Poor financial management leading to continuous audit outcomes; and Poor record of service delivery management functions such as fixing potholes, collecting refuse, etc.
Efficiency	How economically the various resource inputs have been converted into tangible goods and services (outputs) and results?
Effectiveness	To what extent have the outcomes been achieved and have the outputs of the policy, programme or project contributed to achieving its intended outcomes?
Evaluation Methodology	Approaches used in conducting the evaluation.
Implementation Evaluation	Aims to evaluate whether an interventions` operational mechanisms support achievement of the objectives or not.
Log Frame	Tool for improving planning, implementation, management, monitoring and evaluation of programmes/ projects. The Log Frame is a way of structuring the main elements in a programme/project and highlighting the logical linkages between them.
Quantitative Analysis	Basic descriptive statistics to explore the main characteristics of data gathered, using frequencies, percentages, etc.
Relevance	To what extent are the policies, programmes, project`s objectives appropriate in relation to the evolving needs and priorities of the government?
Requiring Intervention	Refers to those Municipalities : Although basics and delivery on traditional functions of local government are mostly in place, there are signs of collapse.
Sustainability	To what extent can the positive changes be expected to last after the programme/ project has been terminated?
Theory of Change	Addresses the problem or opportunity and explaining the casual mechanism of how activities and outputs will result in the anticipated outcomes, impacts and assumptions made.

LIST OF TABLES

Table 1 : List of NCC.....	10
Table 2 : Documents reviewed.....	14
Table 3 : Sampled number of Departmental interviewees	14
Table 4: Number of Municipal questionnaires distributed, collected and not returned.....	14

ANNEXURES

- Annexure A** : B2B Programme list of challenged and requiring intervention Municipalities
- Annexure B** : Departmental Questionnaire
- Annexure C** : Municipal Questionnaire
- Annexure D** : List of Local Government Branch Managers interviewed

EXECUTIVE SUMMARY

This executive summary provides a synopsis of why evaluation of Back to Basics(B2B) Programme Implementation Approach was conducted and also highlights the main findings and recommendations (made by the Department and the Municipalities) of the report.

B2B started in November 2014 and at the end of November 2015 the programme will be finishing a year in existence. KwaZulu Natal (KZN) Department of Co-operative Governance and Traditional Affairs (COGTA) uses Local Government Back to Basics Programme Strategy (B2B Strategy) to provide support for the implementation of B2B at the Municipalities. B2B Strategic Business Plan augments implementation of B2B Strategy. In 2015-2016 Financial Years the Department supported eighteen (18) challenged and eight (8) requiring intervention B2B Municipalities. **Annexure A** is the list of those Municipalities.

The purpose of this evaluation was to determine whether COGTA approach in implementing B2B will yield the expected results as stated in B2B Strategy. The objective and the key evaluation questions aimed at responding to the purpose of the evaluation.

The key issues of relevance, efficiency, effectiveness and sustainability were used to gather data on the following evaluation elements; Diagnostic Assessment of Municipalities' status quo prior B2B implementation, Theory of Change Log Frame, B2B implementation and improving B2B implementation.

In order to gather the required data a questionnaire was used as a tool to conduct face-to face interviews with the following Departmental Managers; LG SGM, District LG Champions, B2B Team Leaders and B2B Co-ordinator. A detailed table of face –to-face interviews conducted is included in the report. The questionnaire is attached as **Annexure B**.

Some of the findings made include that the Departmental Managers interviewed are of the view that B2B implementation is relevant and in line with LG B2B Strategy. Efficiency tested whether the implementation approach is in line with the Theory of Change Log Frame. The inputs, activities, outputs, outcomes impacts are in place but in a fragmented manner. A Log Frame must be developed and used as a systematic tool by the Department to provide support to the Municipalities to implement B2B. The most cause for concern is non- availability of the budget and human resources and as a result the human resources are shared between B2B and Business Units roles and responsibilities. This compromises both B2B and the Business Units. Also the manner in which some Business Units are relaxed in providing support / Municipalities are relaxed in implementing

B2B is a great cause for concern. Recommendations are mostly positive and provide more constructive efforts on planning, co-ordination and taking B2B Programme forward.

A different questionnaire was distributed to the 26 Municipalities to be filled by the Mayors, Speakers, Municipal Managers and B2B Champions. The questionnaire is attached as **Annexure C**. The response was not as desired and only sixteen (16) Municipalities returned the questionnaires. Summary of Municipal findings include that a Diagnostic Assessment of Municipalities' status quo was conducted prior B2B implementation. Municipalities did agree on the identified challenges and the Municipal Support Plans (MSPs) were drafted with actions, time frames, responsible person(s) and Sector Department(s) / stakeholder(s) to assist in providing support in addressing the challenges. The Municipalities view B2B as effective and the Departmental support provided as sustainable, depending on how each and every Municipality reciprocates.

The Municipalities acknowledge that B2B is assisting them to improve their performance in all the pillars. Prior the implementation of B2B , most Municipalities did admit that they were faced with many challenges e.g. from disclaimer audit opinions in some previous financial years, culture of non-compliance with service delivery, governance, public participation and building institutional and administrative capacity and many other challenges related to regulations. Through B2B implementation, improvement here and there is evident at some Municipalities that are taking the programme seriously e.g. governance, financial management, SCM, infrastructure maintenance, public participation, etc. Although the improvement is there and clearly visible here and there, some Municipalities are optimistic that through the support provided the remaining challenges will be addressed and all Municipalities will be positively functional centres of services, public engagement, good governance, financial management and technical capacity.

The data gathered was captured as a database on excel spreadsheet for analysis, formulating findings, recommendations and drafting the report. Both qualitative and quantitative data analysis was used to analyse the data.

B2B Interviews with the H.O.D. and visits to National DCOG, Western Cape and Eastern Provinces COGTA Departments were not conducted due to time constraints. Comparison on how other Provinces support the Municipalities to implement B2B was not made.

1. INTRODUCTION

1.1. Overview of Back to Basics Programme and its objectives

National Department of Co-operative Governance (DCOG) conducted a comprehensive desktop assessment of all the country's Municipalities in terms of those that are challenged, requiring intervention and those that are functional. The following functional factors were used and informed the development of MSPs:

- Political stability;
- Governance;
- Service delivery ;
- Institutional Management ; and
- Community satisfaction.

Assessment findings showed that there are widely divergent levels of performance at Municipalities in terms of public participation, provision of services, good governance, financial management and institutional capacity. The findings informed the conceptualization of B2B as a plan of action to revitalize local government. B2B was adopted in September 2014 at the Presidential Local Government Summit. According to B2B, all Municipalities are encouraged to become positively functional centers of good governance with acceptable levels of performance in these five pillars:

- Put people and their concerns first;
- Deliver municipal services to the right quality and standard;
- Good governance and sound administration;
- Sound financial management and accounting ; and
- Building institution and administrative capacity.

B2B is informed by the constitution intended at steering a new agenda aimed at changing government's approach and strategic orientation especially at a local level towards serving the people whilst ensuring service delivery. B2B is in line with the National Development Plan (NDP)¹ that makes it clear that meeting the transformation agenda for local government requires a much higher and more focused intergovernmental commitment towards the creation of more functional Municipalities and capable machinery at local level.

¹ The NDP aims to eliminate poverty and reduce inequality by 2030.

2. BACKGROUND OF THE EVALUATION

According to LG B2B Strategy, B2B Programme is a differentiated approach that aims to encourage all Municipalities to become positively functional centres of services, public engagement, good governance, financial management and technical capacity. B2B clearly defines National, Provincial and Local Government Spheres roles and responsibilities, programme of support and enforcement. In order to implement B2B Strategy, the Department adopted Operation Sukuma Sakhe² (OSS) approach to roll out B2B to challenged and requiring intervention Municipalities. According to B2B Business Strategic Business Plan, the implementation approach is as follows:

(a) Nerve Centre (NC) /Nerve Centre Committee (NCC)

The NCC was established to achieve the mandate of the B2B Strategy. The NCC operates within the Strategic Business Plan for the establishment of a Nerve Centre under-pinned by the B2B Programme. The following constitute the NCC:

Role	Responsibilities
SGM LG Branch/ SM MPMR&E	<ul style="list-style-type: none"> • Head / Chairperson of the NCC.
Co-ordinator	<ul style="list-style-type: none"> • Oversees the implementation of the B2B Programme.
Early Warning Systems Co-ordinator & (Team of Departmental representatives)	<ul style="list-style-type: none"> • Daily follow –ups on early indications of Municipal problems/ issues, Municipal District(s) Municipal Performance Team(s); • Convening meetings with Departmental representatives on crucial issues for intervention identified and actioned; • Track each issue raised from inception to conclusion and provide a daily report to the Office of the Head of Department (HOD) and SGM(s) on issues raised, progress being made, challenges and potential disasters.
LG Champions	<ul style="list-style-type: none"> • District operators that serve as a link between the districts and the NCC
Business Units	<ul style="list-style-type: none"> • Operational implementers of the support and ensure coverage of all the five pillars.

Table 1: List of NCC

² Operation Sukuma Sakhe aims to provide comprehensive, integrated and transversal services to communities through effective and efficient services.

(b) Municipal Support Plans (MSPs)

Each Municipality has a MSP that concentrates on all B2B five pillars and outlines challenges proposed, actions to address challenges, time frames for achieving the actions as well as the responsible person(s) from the Municipality, Provincial COGTA and Sector Department(s). The relevant Business Units are to ensure that the MSP(s) are implemented and that all role players provide support as indicated. It is the role of the MPMR&E Business Unit to ensure that the quarterly reports submitted by the Municipalities on progress as per the MSP(s) are analysed and identify any challenges.

(c) The Municipal Assessment Tool

The Municipal Assessment Tool, developed by the MPMR&E, is used to track MSP(s) implementation progress on quarterly basis. The tool consists of set of indicators per B2B pillar, weight, scoring, norm / standard, portfolio of evidence (POE), points awarded, challenges, proposed intervention and comments per indicator.

(d) MEC Back to Basics Activity Plan

The MEC has developed a Plan of Action for Municipalities to follow on daily basis. The plan outlines activities, time frames and responsibilities. Municipalities are expected to provide weekly reports on these activities.

(e) Campaign Plan

The Campaign Plan aims at maximizing awareness and to ensure constant focus on B2B. Phase one of the plan focused on elemental issues such as fixing potholes, cleaning the Municipal environment, ensuring working infrastructure such as robots and street light, Councillors reaching out to their constituencies, crackdown on corruption and ensuring good governance and water conservation. LG Champions and relevant Business Units' role is to visit Municipalities to discuss implementation of the plan.

3. PROBLEM STATEMENT

B2B is designed to encourage all Municipalities to become positively functional centers of good governance in order to better serve the communities by getting the basics right. In order to achieve this, the Department provides support in line with MSPs to 18 challenged and 8 requiring intervention Municipalities. By 2016, these Municipalities are to move from challenged and requiring intervention to functional priority. However, there are some possible indications of regression on functionality. This led to the need to conduct an implementation evaluation on KZN COGTA approach in providing support to the Municipalities in implementing B2B.

4. PURPOSE

The purpose of this evaluation was to determine whether the Departmental approach in providing support to Municipalities in implementing B2B will yield the expected results as stated in the LG B2B Strategy.

5. OBJECTIVE

The objective was to evaluate whether the implementation of B2B will yield the required results as planned in the LG B2B Strategy.

6. EVALUATION QUESTION

Will the approach used by KZN COGTA to provide support to the Municipalities to implement B2B yield the expected results?

7. KEY EVALUATION QUESTIONS

The following key evaluation questions informed the questionnaire guide(s) to gather data in order to achieve the purpose of the evaluation:

- (a) **Relevance:** To what extent is the implementation of B2B Programme relevant?
- (b) **Efficiency:** What does the Theory of Change Logic Model say about the B2B implementation approach?
- (c) **Effectiveness:** How is B2B implemented?
- (d) **Effectiveness:** Are B2B structures effective?
- (e) **Sustainability:** To what extent is B2B implementation sustainable?

8. SCOPE

The key issues of relevance, efficiency, effectiveness and sustainability were used to gather data on the elements of this evaluation. The elements of the evaluation were Diagnostic Assessment of Municipalities' status quo prior B2B implementation, Theory of Change Log Frame, Assessing B2B Implementation and Improving B2B Implementation. Departmentally, H.O.D. , SGM LG Branch, three (3) LG Branch Managers, eleven (11) LG Champions ,Two (2) Team Leaders and B2B Co-ordinator were sampled for face-to face interviews. A number of one hundred and four (104) questionnaires were distributed to Mayors, Speakers, Municipal Managers and B2B Champions of the 26 B2B Municipalities.

9. KEY STAKEHOLDERS

The key stakeholders are the ME.C. H.O.D. , LG Branch Managers, relevant Project Managers, LG Champions, OSS Champions, Team Leaders, and all the 26 Municipalities.

10. METHODOLOGY

The type of evaluation used was Implementation Evaluation that used both qualitative and quantitative approaches to gather data. The evaluation started in September and ended in November 2015. Both qualitative and quantitative approaches were used to gather and analyse data.

10.1. Data collection tools

The following data collection tools were used:

(a) Desktop review of documents

Desktop review was used to review the following B2B documents: in order to gather data on:

Document	Purpose
Local Government Back to Basics Strategy	
Strategic Business Plan for the establishment of a Nerve Centre under-pinned by the Back to Basics Programme.	Whether the Strategic direction in operationalizing/Implementing B2B is adhered to.
Municipal Support Plans	Whether implementation approach is in line with Challenges, proposed actions to address the challenges, time frames for achieving the actions and responsible persons from the Municipalities, COGTA, Sector Departments and other stakeholders.

Operation Sukuma Sakhe (OSS) KZN Model	Whether B2B implementation approach is in line with OSS Model.
Progress Report on B2B (13 March 2015)	Whether the Report is reflecting on B2B implementation approach progress made.

Table 2: Documents reviewed

(b) Departmental Face- to face interviews

The table below is a list of face to – face interviews conducted.

Sampled No.	No. interviewed	Interviewed	No. Not Interviewed
3 LG Branch Managers	1	SGM	2 GM(s) LG Finance & Municipal Administration and Governance
1 B2B Co-ordinator	1	B2B Co-ordinator	None
11 LG Champions	8	Ugu, Umgungundlovu, Umzinyathi, Amajuba, Zululand, Umkhanyakude, Uthukela, Uthungulu	LG Champions: Ilembe, Sisonke, EThekwini
2 Team Leaders	2	Zululand, Uthukela	None
17	12		5

Table 3: Sampled number of Departmental interviewees

(c) Questionnaires distributed to Municipalities

Another questionnaire with a set of questions was distributed to be filled by Municipal Mayors, Speakers, Municipal Managers and B2B Champions. The table below is a summary of number of Questionnaires distributed, returned and not returned:

No. of Municipalities	No. Distributed	No. Returned	No. Not Returned
23	104	64	40

Table 4: Number of Municipal questionnaires distributed, collected and those not returned

(d). Limitations

The evaluation had the following limitations:

i. Evaluation Time Frames

Time frames, which were agreed upon by the Evaluation Unit Team for data capturing, analysis and reporting were too short. Most of the time was spent on assisting on the Departmental End Term Review of 2010-2015 Five Year Strategic Plan.

ii. Departmental face- to face interviews not conducted

Some of the face-to face interviews were not conducted with Managers within the LG Branch and questionnaires that were left to be filled were not returned. This led into not gathering 100% data about how relevant, efficient, effective and sustainable is the approach used by the Department to provide support to Municipalities to implement B2B. Interviews with the H.O.D. and visits to National DCOG, Western Cape and Eastern Provinces COGTA Departments were not conducted due to time constraints. Comparison on how other Provinces support the Municipalities to implement B2B were not made.

iii. Questionnaires not returned by some Municipalities

Questionnaires were distributed through Emails more than three (3) times and hand delivered to some Municipalities but it was not at all easy for some Municipalities to return and some took too long to return the questionnaires. Irrespective of the assistance also offered by the MPMR&E Business Unit, to request the Municipalities to fill and return the questionnaires at the assessment sessions (November 2015) some of the Municipalities did not return the questionnaires. This affected the set time frames on data capturing, analysis, consultation with LG Managers and NCC on presenting findings, drafting the report and developing the Improvement Plan for the recommendations.

DEPARTMENTAL DATA ANALYSIS, FINDINGS AND RECOMMENDATIONS



11. Data analysis, Findings and Recommendation

11.1.Relevance of the approach for provision of the support to the Municipalities to implement B2B.

The LG Branch Managers, LG Champions, B2B Team Leaders and B2B Co-ordinator interviewed are of the view that implementation approach is relevant and in line with B2B Strategy and Strategic Business Plan. These assist to give strategic direction on how the Department must provide support to Municipalities in implementing B2B. Prior supporting the Municipalities to implement B2B, the Department conducted a Diagnostic Assessment on all the 26 Municipalities and the MSPs were developed based on the challenges identified. MSPs details challenges, activities to address challenges, responsible persons in the Municipalities, COGTA and other Sector Departments to assist in addressing such challenges. Some Business Units are committed and accountable in offering support to the Municipalities and as a result there is a change here and there e.g. Mpofana was under administration but as of now, the Municipality is better performing than before. All cannot be changed within a short space of time but as time goes on, through the Departmental support, the Municipalities will perform as desired by B2B Programme.

11.1.1. Findings and Recommendations

Finding (s)	Recommendation (s)
i. 90% of the Departmental officials interviewed view the B2B approach used to by the Department to provide support to the Municipalities to implement B2B as relevant but some Business Units do not take B2B seriously and do not provide support as stated in the MSPs.	More commitment and accountability on B2B must prevail in some of the relevant Business Units and provide support to Municipalities as required and in line with the MSPs. Non- accountability measures must be in place and implemented on those Business Units that do not support the Municipalities to implement B2B
ii. Almost 20% of some Managers that are willing, committed and accountable on B2B roles and responsibilities stated that time is shared between B2B and other roles and responsibilities they perform in their Business Units. This leads to B2B /Business Unit roles and responsibilities being compromised.	A B2B Theory of Change Log Frame must be developed in order to clearly identify inputs, outputs and outcomes. Financial and human resources must be dedicated specifically for B2B.

11.2. Effectiveness of the approach for provision of the support to the Municipalities to implement B2B.

The approach is viewed as effective (operational) for some Business Units do not only provide support through communication but also are highly visible at some Municipalities. Some Business Units have officials who visit the Municipalities to provide hands – on support in line with the required actions stated on the MSPs. There are monthly / quarterly meetings that convene between the Municipalities, COGTA and other relevant Sector Departments / Stakeholders were necessary. For purposes of monitoring and reporting progress on the support provided, the Municipalities are assisted to populate and update the MSPs and Municipal Assessment Template. The analysis of these assists some Business Units to measure what support has been provided and what support still needs to be provided. Although the implementation approach is effective there are some challenges that are still impacting badly on B2B, Departmentally and at the Municipalities:

11.2.1. Findings and Recommendations

Finding (s)	Recommendation (s)
i. 90% of the officials interviewed are of the view that Business Units are providing support in a fragmented rather than in a co-ordinated manner as a Department. This at times impacts badly on Municipalities for they are to set aside their roles and responsibilities and attend the meetings convened by the Business Units at different times.	Business Units must provide support to Municipalities in a co-ordinated manner, in order to allow the Municipalities time and space to perform other duties that they are to perform.
ii. 90% of the officials stated that Business Units work in silos and do not communicate with each other when visiting the Municipalities in order to provide, monitor and report on support provided. The Business Units visit Municipalities individually and at different times.	Business Units must provide, monitor and report on support to Municipalities in a co-ordinated manner and as a team rather than in silos in order to allow the Municipalities time and space to perform other duties that they are to perform, Business Units must visit Municipalities at the same time as a team , where necessary.

iii. 60% of the officials interviewed stated that most Business Units absent themselves from the NCC meetings without any apologies or any representatives sent. Due to this the mandate of the NCC is losing momentum and as a result the NCC Agenda is drifting away from what is required to be dealing with at the meetings.	The B2B Strategic Business Plan and NCC Terms of Reference must be fully implemented and measures must be put in place for none attendance without any apology / reason provided.
iv. 60% of the officials are of the view that almost plus minus 20% of the Municipalities do not take B2B implementation seriously and as a result there is no noticeable change as desired.	Some Municipalities must not take implementation of B2B for granted and on discretionary basis. The Department must conduct analysis of B2B implementation at Municipalities and ensure that B2B implementation is mandatory.
v. As much as 80% of the officials interviewed are of the view that 80% of the Municipalities are doing well in B2B implementation, there is a great cause for concern on the implementation of the M.E.C. Activity Plan and Campaign Plan.	The Department where necessary must provide support, on how the Municipalities must implement the MEC Activity and Campaign Plans as required.

11.3. Sustainability of the approach for provision of the support to the Municipalities to implement B2B.

Depending on how the Municipalities reciprocate, to some the approach to provide support is sustainable. There are some noticeable changes at some Municipalities such as Mpofana. The other process that the Department is to undertake is to evaluate the support provided by relevant Business Units to Municipalities in implementing B2B and POE must be in place and analysed. A data base of the progress on the support provided must be in place. Where necessary visits must be made (e.g. Sites / Municipalities) to justify the results of the support provided. As much as the Managers recognise implementation approach on B2B as relevant, efficient, effective and sustainable there are some matters of concern and recommendations made:

11.3.1. Findings and Recommendations

Finding (s)	Recommendation (s)
i. Although 80% of the interviewees accept that there are visible sustainable changes at the Municipalities, 20% stated that in some Municipalities there is no progress and instead regression.	After updating the MSPs and the Municipal Assessment Tool, the Department must analyse the data collected, POE and conduct evaluation on what leads to regression instead of progression.
ii. 20% of the Municipalities do not take B2B Programme seriously for there are no B2B Champions and as a result the MSPs and Municipal Assessment Template are updated only when the Departmental meetings convene.	Those Municipalities that do not have B2B Champions, must nominate / appoint the Champions in order for the B2B Programme matters to be taken care of. MSPs and Municipal Assessment Templates must be updated prior Departmental meetings convene. This will assist the Municipalities to discuss and agree on what has been achieved and what has not been achieved. POE must accompany any progress reported and must be analyzed.
iii. 70% of the officials interviewed stated that in 40% of the Municipalities, including B2B as a standing Agenda Item in the Council Meeting is discretionary.	The Department must ensure that at Municipalities B2B is a mandatory Council Agenda Item.

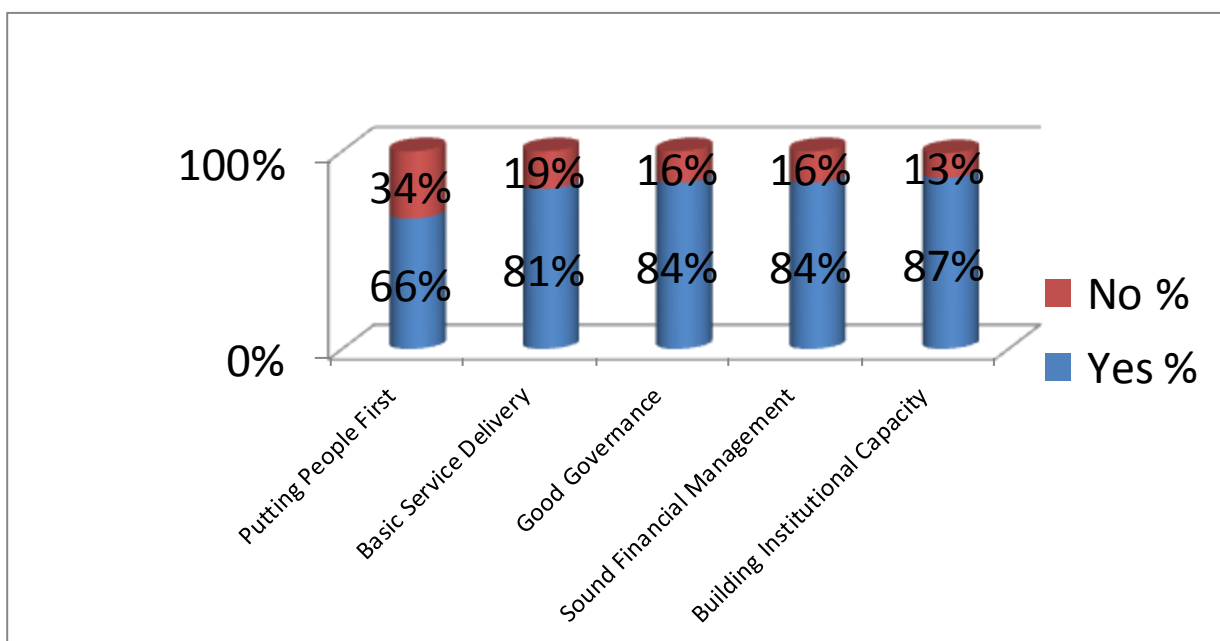
MUNICIPAL DATA ANALYSIS, FINDINGS AND RECOMMENDATIONS



12.1.Main reasons for the Municipalities to be placed under B2B challenged or requiring intervention priorities.

Main reasons for the Municipality to be placed under B2B challenged or requiring intervention priorities assisted to gather reasons to check if these challenges are also in line with what the Municipalities wrote in their MSPs. The responses serve as proof that prior B2B implementation a Diagnostic Assessment was conducted. The challenges, actions and responsible Sector Departments / Stakeholders involved in addressing the challenges were agreed upon by the Department and the Municipalities. Also the MSPs were agreed upon and drafted in agreement with the Municipalities.

The graph below is a quantitative analysis in numbers and percentage:



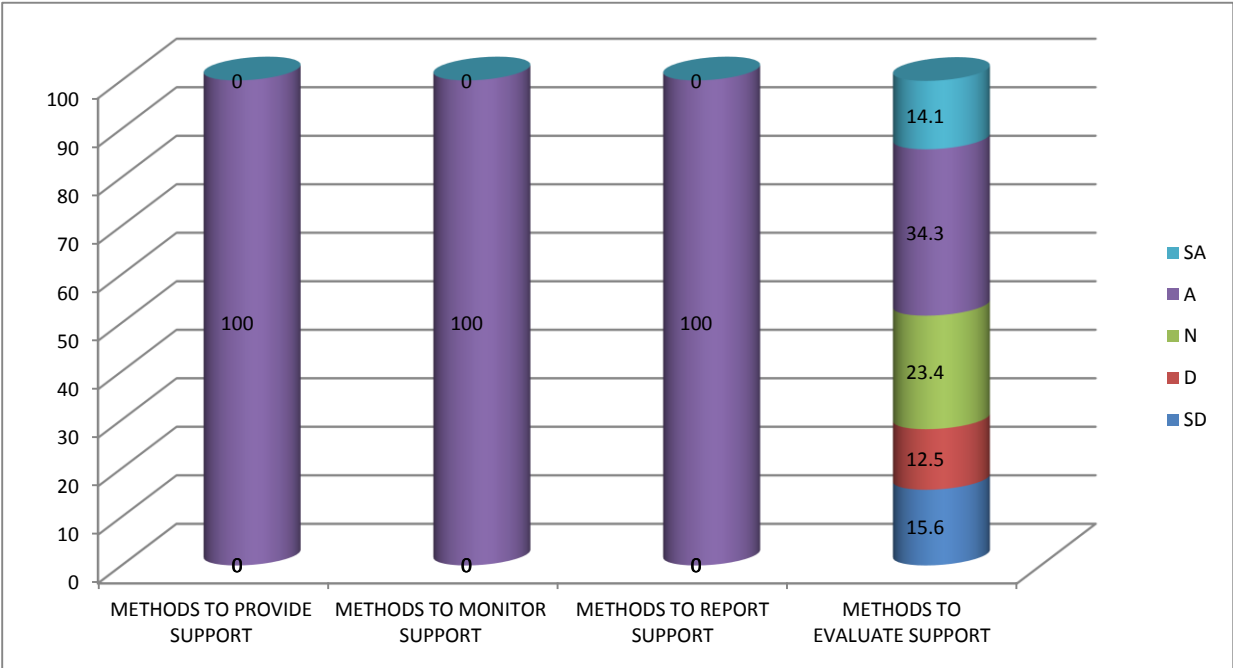
12.1.1. Findings and Recommendations

Finding (s)	Recommendation (s)
<p>i. The Municipalities were placed under challenged, requiring intervention and functional B2B priorities based on their performance challenges in :</p> <ul style="list-style-type: none"> • Putting People First (Public Participation • Delivering Basic Services • Good Governance • Sound Financial Management <p>The Municipal Support Plans (MSPs) were drafted</p>	<p>Any approach to provide support per B2B pillar must be in line with MSPs in order to know how many Municipalities need what type of support, by whom and when the support must be provided. The Department must take into cognizance MSPs recommended actions, outputs, timeframes and responsible Sector Departments / Agencies.</p>

in line with the challenges the Municipalities are facing. The support provided to the Municipalities at times is not in line with the MSPs.	
Some COGTA Business Units and other Sector Departments are not providing support to the Municipalities and as a result some challenges are not addressed / stagnant and far from being addressed e.g. Indigent Policy challenges, Citizen / Public Satisfaction Surveys, etc.	Relevant Business Units must provide support as required in the MSPs. The Department must co-ordinate the involvement of other Sector Departments / Agencies in playing their roles and responsibilities in providing support to the Municipalities as required. A database to record the support provided by other Sector Departments / Agencies must be in place.

12.2.Effectiveness of the methods used by COGTA to provide, monitor, report and evaluate support provided to the Municipalities to implement B2B.

The following is quantitative analysis of the methods used by COGTA to provide, monitor, report and evaluate support provided to the Municipalities to implement B2B.The findings and recommendations follow under each analysis.



12.3. Effectiveness of the methods used by COGTA to provide support to the Municipalities to implement B2B.

61.5% of the Municipalities are of the opinion that COGTA methods to provide support for the implementation of B2B at Municipalities are effective and are in line with the MSPs. There are meetings that convene as required in order to discuss and agree on way forward on how to address the challenges, by means of the actions as stated on the MSPs. Depending on the challenges the meetings convene as of when required, on monthly and quarterly basis. As compared to end 2014 and beginning 2015, some Municipalities are of the view that there is an improvement in planning and communicating the convening of meetings and some still maintain that there are some communication and co-ordination challenges. Through B2B interactions, Municipalities are confident that the more the support is provided the fully the Municipalities will be assisted to improve on their performance and be functional as desired by B2B. Where possible, the Municipalities, highly appreciate the officials that are sent by COGTA to assist in certain specialized fields e.g. Finance, IDP, Infrastructure and MPMR&E Business Units. According to the Municipalities, sending officials is seen as an indication that COGTA is becoming more responsive rather than being reactive only when the problems surface. There is the Rapid Response Team (RRT) that is alert, assisting to pick and provide advice on service delivery protests that are to take and taking place. Municipalities are very grateful about these methods and view the support as productive, depending on how each Municipality also reciprocates. 38.4% are neutral on the effectiveness of the methods used. As much as the Municipalities view the support as effective, there are some challenges as listed below and recommendations made to address such challenges.

12.3.1. Findings and Recommendations

Finding (s)	Recommendation (s)
i. Although 61.5% of the Municipalities agreed that there are methods used by COGTA to provide support in the implementation of B2B at Municipalities, 60% of the Municipalities fill that the methods e.g. convening of monthly and quarterly meetings are not properly co-ordinated, planned and well communicated in time with the Municipalities.	COGTA must provide more focus and attention at the districts where the B2B meetings are not properly co-ordinated, planned and well communicated in time with the Municipalities e.g. Uthukela District.
ii. 70% of the Municipalities are of the view that at times, some Business Units send far less junior	Proficient officials must be sent to support the Municipalities in the challenges they are

officials, who at times are not proficient enough, to assist the Municipalities with some of the challenges they are faced with.	experiencing. Officials with relevant expertise were necessary must be seconded at Municipalities for that assists a lot.
iii. Almost 40% of the Municipalities stated that some of the meetings that convene are not in line with the actions as desired on the MSPs.	The meetings must convene in line with the actions that are in the MSPs and Municipalities must be consulted in planning such meetings.
iv. 40% of the Municipalities stated that as of now the methods used to provide support are more on a light than medium and high scale and most of the serious service delivery challenges are not addressed as yet.	The Department must have a clear plan of how it plans to intensify its support methods from light to medium and high support, engage with Sector Departments and Municipalities on how to address the challenges faced by some Municipalities on service delivery backlogs e.g. water, sanitation, electricity and housing and other challenges.
<ul style="list-style-type: none"> 90% of the Municipalities strongly agreed that financial support is limited and that leads to some Municipalities not addressing some challenges e.g. service delivery backlogs e.g. water, sanitation, electricity and housing. 	The Department must assist the Municipalities with financial support in order for the Municipalities to address backlogs in service delivery for this will prevent the probability of service delivery protests prior 2016 Local Government elections.

12.4. Effectiveness of the methods used COGTA to monitor support provided to the Municipalities to implement B2B.

90.5. % of the Municipalities agree that there are methods used by COGTA to monitor the support provided to assist Municipalities to implement B2 and 5.5% remained neutral. The Department, through MPMR&E Business Unit does monitor the implementation of B2B on monthly and quarterly basis. Monthly Reports and Quartley Assessment Templates are the tools used to monitor the implementation as in line with the MSPs. However, there are some matters that are a cause for concern and lead to the monitoring process not that much satisfactory to the Municipalities:

12.4.1. Findings and Recommendations

Finding (s)	Recommendation (s)
i. 95% strongly agreed that feeling in and updating the MSPs and Monthly / Quartley Municipal Assessment Template is done for compliance purposes only and is not evident enough that support is properly monitored e.g. Ward Committee Meetings, Indigent Registers and other Regulations / Frameworks.	Relevant Business Units within COGTA must request (POE) for any support provided to Municipalities. The POE must be analyzed and in line with what is required as per the legislation e.g. Formulation of Ward Committees and many other related frameworks that are to be in place at the Municipalities. Progress on addressed challenges must be monitored and must practically equate to improved functionality on the area that was challenged.
ii. 95% of the Municipalities agreed that The Municipal Quartley Assessment Template is not user friendly and needs to be refined.	The tool must talk to the Municipalities and be linked to the MSPs. In the tool competencies such as water, electricity must be excluded from local Municipalities for that affect the scoring system. The template must be revised and the views of the Municipalities about the format of the template must be taken into cognizance.

12.5. Effectiveness of the methods used by COGTA to report support provided to the Municipalities to implement B2B.

87% of the Municipalities agreed that at present, MSPs and Municipal Assessment Template are methods used by COGTA to report support for the implementation of B2B at Municipalities. 13% stated that monitoring and reporting methods used by the Department are the same and are not enough as tools to prove that progress is reported. The following are the findings and recommendations made:

12.5.1. Findings and Recommendations

Finding (s)	Recommendation (s)
i. 95.5% of the Municipalities stated that Municipal Assessment Template is a challenge to the Municipalities e.g. the scoring part	The scoring part must be modified and based on POE rather than on yes or no answers that are provided during the assessment sessions, e.g.

	(yes/no such and such a framework is in place)
ii.40% of the Municipalities are of the view that B2B is not a standing Item in the Council Agenda.	The Department must ensure that B2B is made a standing item in the Council Agenda.

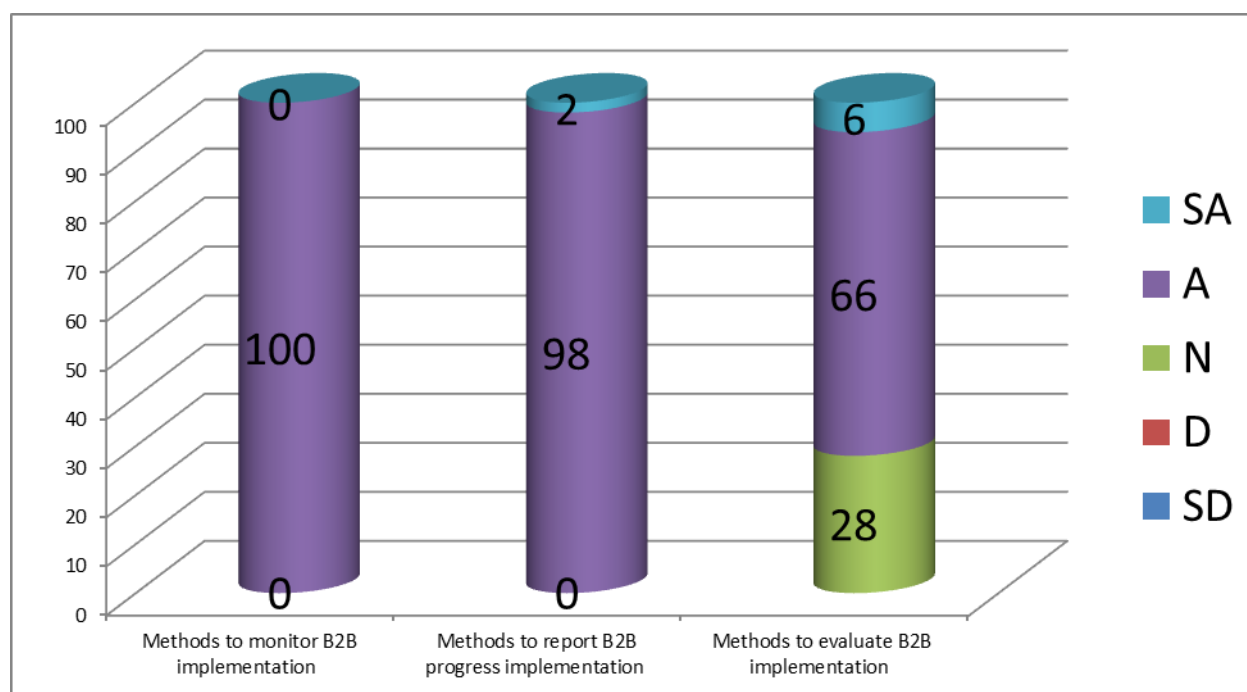
12.6. Effectiveness of the methods used by COGTA to evaluate support provided to the Municipalities to implement B2B.

25.6% strongly disagree and 20. % disagree that there are any methods in place to evaluate the implementation of B2B at Municipalities. 54.4. % agreed but did not make mention of the methods in place. The following is the finding and recommendation made:

12.6.1. Findings and Recommendations

Finding (s)	Recommendation (s)
i. 25.6. % of the Municipalities strongly disagree, 20% disagree that there are evaluation methods to evaluate the implementation of B2B.	The Department must have a plan in place to evaluate methods used to provide support to the Municipalities. During the evaluation, POE must be analysed. The evaluation results must be provided to the Municipalities and implementation of recommendations must be monitored.
ii.80% of the Municipalities stated that Collection and submission of POE is not B2B evaluation.	The Department must have a plan for evaluating B2B provision of support (by COGTA) and Implementation of B2B by Municipalities.

12.7. Effectiveness of the methods used by the Municipalities to monitor report and evaluate support provided by COGTA.



42.4% strongly agree, 57.6% agree that there are methods used by the Municipalities to monitor the support provided by COGTA to implement B2B Programme. The methods are MSPs and Municipal Assessment Template that are monitored by the relevant Business Units Managers and in other Municipalities by the B2B Champions.

12.7.1. Findings and Recommendations

Finding (s)	Recommendation (s)
i. Municipalities use MSPs and Municipal Assessment Tool to report progress on B2B implementation but 90% stated that different Business Units request the same information time and again.	There must be one central point of reporting by the Municipalities and a data base repository must be developed in order to enable any Business Unit within the Department to source out any required information about the Municipalities.
ii. 70% of the Municipalities accepted that they do not have B2B Champions or any officials assigned to be responsible for B2B.	The Department must support the Municipalities and ensure that there are B2B Champions in place at each Municipality. An analysis of Municipalities with / without B2B Champions must be conducted.

12.8. Effectiveness of the methods used by the Municipalities to report support provided by COGTA.

57.6% agree, 42.4% strongly agree that there are methods used by the Municipalities to report to DCOG and COGTA progress on B2B Programme. The methods are MSPs and Municipal Assessment Template that are monitored by the relevant Business Units Managers and in other Municipalities by the B2B Champions. Prior the monthly and quarterly reporting required by the Department, some Municipalities agreed that they do meet and some agreed that they only meet when the Department is visiting the Municipalities to do the assessments. Some Municipalities stated that reporting is done in some Council Meetings and some rarely do reporting at such Meetings. As much as reporting is in place, there are some findings and recommendations made by the Municipalities.

12.8.1. Findings and Recommendations

Finding (s)	Recommendation (s)
i. 60% of the Municipalities stated that it is still a challenge to make B2B a standing Council Agenda Item and as a result there is nothing to report on B2B.	The Department must make analysis of inclusion of B2B as a standing Council Meeting Agenda Item and POE must be provided. The Department must assist those Municipalities who are challenged in making B2B a Council Meeting Agenda Item and what needs to be reported.
ii. The Municipalities use MSPs and Municipal Assessment Tool to report progress on B2B implementation, 90 % stated that different Business Units request the same information time and again.	There must be one central point of reporting by the Municipalities and a data base repository must be developed in order to enable any Business Unit within the Department to source out any required information about the Municipalities.

12.9. Effectiveness of the methods used by the Municipalities to evaluate support provided by COGTA.

55% remained neutral, 38.4 % agree and 6.7 % strongly agree that there are methods used by the Municipalities to evaluate progress on B2B Programme.

12.9.1. Findings and Recommendations

Finding (s)	Recommendation (s)
60% of the Municipalities do not differentiate between reporting and evaluation methods for they refer to updating MSPs and Municipal Assessment Template as both reporting and evaluation.	The Department must support the Municipalities on how to evaluate progress reported on implementation of B2B Programme.

12.10. Challenges of the methods used to provide, monitor report and evaluate support provided by COGTA to Municipalities to implement B2B Programme.

30% strongly disagree, 40% disagree and 10% remain neutral that there are any challenges that the Municipalities have in implementing and 20% strongly agree that there are challenges faced by Municipalities in implementing B2B. The following findings serve as challenges and Municipalities made some recommendations on how these challenges can be addressed:

12.10.1. Findings and Recommendations

Finding (s)	Recommendation (s)
i. 50% of Departmental Business Units do not provide support in line with the MSPs, more specifically on the actions / activities required. This derails some Municipalities in focusing on the challenges to be addressed.	<p>Relevant Business Units must consult with the Municipalities and any support per B2B pillar must be in line with MSP made in order to know:</p> <ul style="list-style-type: none">• How many Municipalities need what type of support;• By whom (Business Unit / Sector Department/ Stakeholder) is the support to be provided; and• When (time frame) is the support to be provided. <p>The Department must take into cognizance MSPs recommended actions, outputs,</p>

	timeframes and responsible Sector Departments / Agencies secondment of officials with certain required expertise.
ii. 60% of the Municipalities stated that when updating the MSPs and Municipal Assessment Template on quarterly basis, one meeting convenes for all affected Municipalities .	The Department must consult with the Municipalities individually rather than discussing Municipalities problems in one session.
iii. 40% of the Municipalities stated that they do not have officials that deal with B2B and as a result B2B is done on temporal basis.	COGTA must assist in intensifying capacity at Municipalities in order for B2B to be a full responsibility of some officials.
iv. 60% of the Municipalities stated that Departmental Business Units work in silos and convene meetings at the Municipalities at different times. When they do come as a team, they disagree with each other in front of the Municipal officials.	The Departmental Business Units must talk to each other and visit the Municipalities as a team rather than individual Business Units. Prior visiting the Municipalities, they must have discussions amongst themselves and clarify any differences that occur.

12.11 Sustainability of the support provided

60 % of the Municipalities agreed that the implementation approach used to provide support is sustainable and consistent. 40% disagreed and stated that the support is not consistent and times not desirable support is provided and not in line with what is stated in the MSPs.

12.11.1. Findings and Recommendations

Finding (s)	Recommendation (s)
li.80% of the Municipalities highly appreciates meetings that convene / officials seconded but at times far less junior officials who cannot take any decisions are sent to represent Senior Managers of certain Business Units.	The Department must take Municipalities seriously and observe protocol where necessary e.g. Communication with political / Administrative heads. Competent officials must be sent for secondment purposes.

CONCLUSION

Will the approach used by KZNCOGTA to implement B2B yield the expected results? The approach will yield the expected results if the following are addressed:

IMPROVE COORDINATION

- Improve co-ordination of support to ensure that support provided is relevant to MSPs; and
- Improve co-ordination of reporting or data collection.

REVISE THE MUNICIPAL ASSESMENT TEMPLATE & PROCESSES

- The template should be user friendly for Municipalities to populate; and
- Send relevant officials to engage with individual Municipalities to conduct assessments

REFOCUS NCC

- Make use of the NCC for the Department to engage on B2B Strategic issues i.e Analysis of support provided and gaps; and
- Clarify NCC roles, responsibilities, and membership

REFERENCES

1. KZN Back to Basics Programme , Progress on B2B , (13 March 2015)
2. Local Government Back to Basics Strategy (2014)
3. National Evaluation Policy Framework (November 2011)
4. Operation Sukuma Sakhe , KZN Service Delivery Model
5. Policy Framework for the Government – Wide Monitoring and Evaluation System
6. Strategic Business Plan for the Establishment of a Nerve Centre under-pinned by the Back to Basics Programme (2014 – 2019)
7. Twenty six (26) Municipal Support Plans for challenged and requiring intervention Municipalities

Annexure A

List of B2B Programme: challenged and requiring intervention municipalities

Municipality	Priority
1. Greater Kokstad	Challenged
2. Maphumulo	Challenged
3. Edumbe	Challenged
4. UPhongolo	Challenged
5. Nongoma	Challenged
6. Ulundi	Challenged
7. Jozini	Challenged
8. Hlabisa	Challenged
9. Uthukela	Challenged
10. Ndwedwe	Challenged
11. Umkhanyakude	Challenged
12. Vulamehlo	Challenged
13. Zululand	Challenged
14. Umfolozi	Challenged
15. Umngeni	Challenged
16. Umshwati	Challenged
17. Indaka	Challenged
18. Umtshezi	Challenged
19. Umvoti	Requiring intervention
20. Mtubatuba	Requiring intervention
21. Mpofana	Requiring intervention
22. Abaqulusi	Requiring intervention
23. Ugu	Requiring intervention
24. Endumeni	Requiring intervention
25. Umzinyathi	Requiring intervention
26. Amajuba	Requiring intervention

ANNEXURE B

INTERVIEW GUIDE (COGTA)

BACK TO BASIC PROGRAMME IMPLEMENTATION APPROACH

ORGANISATION	
NAME & SURNAME (OPTIONAL)	
DESIGNATION (OPTIONAL)	
CONTACT INFORMATION (OPTIONAL)	
DATE	

This questionnaire guide is used as a tool to evaluate Back to Basics Programme implementation approach. Participants have a right to remain anonymous. Your assistance in populating this questionnaire will be appreciated as it will contribute to the Back to Basics Programme overall evaluation report.

Element	Key Issue	Question(s)
Diagnostic Assessment of Municipal status quo prior B2B implementation	Relevance	<p>1.To what extent is the provision of support to municipalities to implement B2B relevant?</p> <p>.....</p> <p>.....</p> <p>2. Was there a Diagnostic Assessment conducted on the municipal status quo prior B2B implementation?</p> <p>.....</p> <p>.....</p> <p>3. What were the main reasons for conducting a Diagnostic Assessment?</p> <p>.....</p> <p>.....</p> <p>4. Is the problem addressed by B2B clearly defined? If yes how?</p> <p>.....</p> <p>.....</p>
Theory of Change Log Frame	Relevance	<p>5. What does the Log Frame say about B2B (provision of) support approach?</p> <p>.....</p> <p>.....</p> <p>6. What inputs are defined in the Log Frame?</p> <p>.....</p> <p>.....</p> <p>7. What activities are defined in the Log Frame?</p> <p>.....</p> <p>.....</p> <p>8. What outputs are defined in the Log Frame?</p> <p>.....</p> <p>.....</p> <p>9. What outcomes are defined in the Log Frame?</p> <p>.....</p> <p>.....</p>

Element	Key Issue	Question (s)
B2B Implementation	Effectiveness	<p>10. How is the support provided for B2B implementation at the municipalities?</p> <p>.....</p> <p>.....</p> <p>11. What methods are in place to provide the support on B2B implementation at the municipalities?</p> <p>.....</p> <p>.....</p> <p>12. What methods are used to monitor the support on B2B implementation at the municipalities?</p> <p>.....</p> <p>.....</p> <p>13. What methods are used to report progress on the support provided on B2B implementations at the municipalities?</p> <p>.....</p> <p>.....</p> <p>14. What method(s) are used to evaluate the support provided on B2B implementation at the municipalities?</p> <p>.....</p> <p>.....</p>
Improving B2B Implementation	Sustainability	<p>15. To what extent is provision of the support to B2B implementation effective?</p> <p>.....</p> <p>.....</p> <p>16. What challenges are there in the provision of the support on B2B implementation?</p> <p>.....</p> <p>.....</p> <p>17. What needs to be improved in the provision of the support on B2B implementation?</p> <p>.....</p> <p>.....</p> <p>18. What lessons are worth replicating in the provision of the support to B2B implementation at municipalities?</p>

ANNEXURE C: (N.B. Municipal questionnaire is attached separately due to its format).

ANNEXURE D: List of Local Government Branch Business Units Managers interviewed

Local Government Branch Managers	No.	Interview conducted		Reasons why if not conducted	Date Conducted / Questionnaire delivered	Venue
		Yes √	No x			
Umgungundlovu District LG	1	√		Interview conducted	06 August 2015	Office of the LG Champ
Amajuba District LG Champ	1	√		Interview conducted	07 August 2015	Office of the LG Champ
Uthukela District LG Champ	1	√		Interview conducted	07 August 2015	Office of the LG Champ
SGM: LG Branch	1	√		Interview conducted	07 August 2015	Office of the SGM
Team Leader	1	√		Interview conducted	07 August 2015	Office of the SGM
GM: Finance	1	x		Questionnaire left to be filled	19 August 2015	Office of the GM
Team Leader (Zululand,)	1	√		Interview conducted	19 August 2015	Office of the Team Leader
Ugu District LG Champ	1	√		Interview conducted	19 August 2015	Office of the LG Champion
GM: LG	1	x		Questionnaire left to be filled	20 August 2015	Office of the GM : LG
B2B Coordinator	1	√		Questionnaire left to be filled	20 August 2015	Office of the B2B Coordinator
Local Government Branch Managers	No	Interview conducted		Reasons why if not conducted	Date Conducted / Questionnaire delivered	Venue

Zululand LG Champ	1	×	Questionnaire left to be filled	21 August 2015	Office of the LG Champion
Umzinyathi LG Champ	1	✓	Interview conducted	24 August 2015	Office of the LG Champion
Local Government Branch Managers	No	Interview conducted	Reasons why if not conducted	Date Conducted / Questionnaire delivered	Venue
Ilembe District LG Champ	1	×	Questionnaire left to be filled	03 November 2015	Office of the LG Champion
Sisonke District LG Champ	1		Questionnaire left to be filled	03 November 2015	Emailed
Umkhanyakude District LG	1	✓	Interview conducted	10 November 2015	Office of the LG Champ