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# **KZN COGTA'S MID-TERM REVIEW OF 2015-2020 STRATEGIC PLAN REPORT**

***WHERE ARE WE TOWARDS 2020?***



**MARCH 2018**

**PREPARED BY: THE EVALUATION TEAM**

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## LIST OF ACRONYMS

ACRONYM	DEFINITION
CoGTA	KwaZulu-Natal Cooperative Governance and Traditional Affairs
APP	Annual Performance Plan
B2B	Back to Basics
BP	Business Plans
CSCs	Community Service Centres
CWP	Community Works Programme
EPWP	Expanded Public Works Programme
GIS	Geographic Information Systems
HR	Human Resources
ICT	Information and Communication Technology
IDP	Integrated Development Plan
IGR	Inter-Governmental Relations
LED	Local Economic Development
M&E	Monitoring and Evaluation
MIG	Municipal Infrastructure Grant
MPRA	Municipal Property Rates Act
OSS	Operation Sukuma Sakhe
PDA	Planning and Development Act

SALGA	South African Local Government Association
SPLUMA	Spatial Planning and Land Use Management Act
TC	Traditional Councils

# 1. BACKGROUND

## 1.1. KZN COGTA AND ITS CLIENTS

The vision of the KwaZulu-Natal Cooperative Governance and Traditional Affairs (CoGTA) is “People centred sustainable local governance, which focuses on effective service delivery, responsive to the needs of the communities”.

Its mission is “To strengthen cooperative amongst all spheres of government, support and build capacity of local governance institutions, facilitate and coordinate stakeholder engagement, in pursuance of people-centred, accelerated service delivery”.

In order to implement this vision and mission, CoGTA is guided by its Five Year Strategic Plan which is implemented through the Annual Performance Plan (APP), and Business Plans (BP) for the business units. These plans deal with the implementation of four programmes, as detailed in the table below.

Programme	Sub-programme
<b>Programme:1</b> <b>Administration</b>	MEC
	Corporate Services
	Financial Management
	Internal Control
	Strategic Planning, Monitoring and Evaluation
	Policy and Research
<b>Programme 2.</b> <b>Local Governance</b>	Municipal Governance and Administration
	Municipal Finance
	Public Participation
	Capacity Building
	IDP Coordination
	Municipal Performance Monitoring, Reporting and Evaluation
<b>3. Development and Planning</b>	Spatial planning

Programme	Sub-programme
	Land Use Management
	Development Information Services
	Local Economic Development
	Municipal Infrastructure
	Disaster Management
<b>4. Traditional Institutional Management</b>	Traditional institutional and resource administration
	Traditional land administration
	Rural Development Facilitation
	Traditional Land Administration

These programmes (with the exception of Programme 1: Administration) are delivered to what can be referred to as primary clients of the department, i.e. 54 municipalities, 12 traditional leadership Intergovernmental structures and 303 traditional councils. These primary clients deliver services to citizens who can be regarded as the ultimate clients or beneficiaries who are benefiting from the programmes of support provided to the primary clients.

## **1.2. Evaluation within KZN CoGTA**

### **1.2.1. Policy**

KZN CoGTA's evaluation practices are guided by the Departmental Monitoring and Evaluation Framework. Its purpose is "... to provide the principles, processes and structures on how monitoring and evaluation of the Department's programmes will be implemented" (DLGTA, 2007:6). This framework, together with National Treasury's Framework for Strategic Plans and Annual Performance Plans (2010) states that "... an institution should produce an end-term review towards the end of the period covered by its strategic plan".

The review should broadly follow the format of the plan. The institution should report on the extent to which it has succeeded in achieving each of the strategic goals and objectives set at the beginning of the five-year period, as well as on any other evaluations conducted during the period. To give effect to this requirement, KZN COGTA proactively would like to get early warning signals which will test

whether the current programmes and projects will indeed assist the Department to achieve its strategic objectives and goals as set on the five year strategic plan.

### **1.2.2. Evaluation Practice**

In 2009 the Department evaluated the effectiveness and impact of its support over the period 2005 – 2009. The evaluation focused mainly on the primary clients, who are the municipalities and traditional institutions. The main objectives of this evaluation were to:

- Analyse the past and current support provided by the DLGTA to Districts, Local Municipalities and Traditional Institutions; and
- Provide an analysis and assessment of its strategy in response to the Five Year Local Government Strategic Agenda, the core mandate and the legislative frameworks that define the operational parameters of the provincial departments of local government.

The evaluation focused on process and the achievement of outputs and outcomes as set out in the Strategic Plan. The overall findings regarding the support provided by the Department to municipalities were that:

- Most municipalities received a level of support that was characterised as “light” support which did not yield the required levels of results. At best the “light” support generated outputs and low level outcomes.
- Lower capacity municipalities did not only receive support more frequently, but also received high/intense levels of support. Despite these efforts, such municipalities continue to function minimally. A plausible explanation for this was the low absorptive and technical capacity of the municipality to operationalise the support for improved service delivery, resulting in the desired levels of change not being achieved.

As a result of that evaluation a number of recommendations were proposed focusing on the type of support, frequency and programme approach:

- Medium to high/intense support over a longer period of time needs to be provided so that higher level results are yielded by municipalities.
- The focus should rather be on more intense support over a longer period of time so that municipalities are able to generate the desired level of results.
- Where required the “light support” should be followed-up with medium to high/intense support through more frequent on-site, hands-on support, on-site mentoring and coaching and deployments where possible.

- Lastly it was recommended that efficiency levels could increase with better communication and co-ordination across programmes.

In addition to the evaluation conducted, a comprehensive assessment of Local Government was undertaken which informed the development of the Local Government Turnaround Strategy, which was adopted in 2009. The turn-around strategy informed the development of the 2010-15 Strategic Plan.

Following the similar process, at the end of the implementation period of 2010-2015 Strategic Plan the Department again conducted an evaluation study called End-Term Review to assess what impact the Department is seeking to achieve and the extent to which it is succeeding, or at least the extent to which it has programmes in place to achieve impact over time. This evaluation provided “end of term” assessment of progress against agreed goals, objectives and targets, but at the same time provided an opportunity to “take stock” and consider whether the current approach is what is required. The aim was to check on progress, but in doing so, also to ask the question as to whether CoGTA units were doing the right things and doing them right, and if not what options are available to adjust direction and pave the way to success in the future.

In summary the study highlighted the following challenges and recommendations:

#### **Programme 1: Administration.**

There were two areas of concern that emerged from both the case studies and the review of programmes at head office. These are monitoring and reporting on municipal and traditional institutions, and ICT. It was found that that monitoring and reporting is not coordinated, there is duplication and a lack of shared information across the “system”. Lack of Information and Communication Technology (ICT) capacity both in municipalities and within CoGTA to enable full advantage to be taken of advances in ICT was picked up as one of the challenges. The study suggested:

- More focus on the coordination of data and information demands on municipalities and improved use of ICT and data systems that avoid the need for repetitive filling in of forms.
- Consideration be given to the Monitoring and Evaluation (M&E) unit in programme one coordinating M&E more broadly so as to assist all managers responsible for monitoring and reporting to address the challenges being raised.



## Programme 2: Local Governance

The findings in programme two include the problem of intensive support that is not always achieving sustained improvements, the inability of CoGTA to sort out the Human Resources (HR) challenge in many municipalities, particularly section 56 managers, inability of CoGTA to achieve cooperative governance. The study suggested that the following changes should be considered:

- **Intensive support.** There is a need to consolidate the work of supporting municipalities that are in a crisis or near crisis situation. The work includes: the process of Administration; the many occasions when support has to be provided at an intensive level to prevent a municipality getting to crisis point; Imaginative conflict resolution interventions; appointing a panel of competent service providers that can be deployed as needed; addressing underlying problems in municipalities that are in crisis.
- **Human Resources in Municipalities.** There is a need for a greater focus on: the appointment and retention of suitably qualified and skilled people in municipalities particularly section 56 posts; remuneration packages; retention plans; improved reward systems (to avoid managers that win awards for a municipality being poached by a larger one offering better pay); and the whole challenge of managing appointments to posts after an election brings political change. Much greater attention is needed to be given to this.
- **Cooperative governance.** The focus on Inter-Governmental Relations (IGR) and although there has been successes this is an area that needs greater attention. A key issue is the coordination and rationalisation of meetings that municipal managers and political office bearers are required to attend. Also ensuring that national and provincial departments and entities engage in municipal planning processes and honour commitments in the plans.

## Programme 3: Development Planning

The key challenges found to be facing this programmes include the issue which relates to the implementation of Integrated Development Plan (IDP), the challenge of economic development is that it is focused too much at micro level short term work opportunities and not enough on actual economic development. The study made the following recommendations:

- **IDP implementation:** Once the IDP is agreed there is a need to focus on implementation. This includes the issue of negotiating land access, project managing certain key developments and facilitating community development processes that focus on implementation rather than planning.

- Economic development. There is a need to examine the economic challenges facing municipalities and to look at the role of CoGTA (particularly its cooperative governance role) in driving or supporting municipalities to achieve economic development.
- Develop of impact indicators and measures. There needs to be a discussion on measuring impact, and the development of realistic indicators for success and impact in relation to development.

#### **Programme 4 – Traditional institutions**

In programme the study discovered that the big problem is with the lack of agreement on purpose. There was a lack of agreement between the Amakhosi and the Department and a lack of agreement within CoGTA on what needs to be done. The focus was found to be on strengthening traditional institutions, but there was no evidence that this focus was appreciated or valued by the Amakhosi. The key recommendation was therefore that there should be a strategic process to broker agreement on what this programme is seeking to achieve. The problems have been set out and the challenge is to ensure that the programmes and sub-programmes address these issues. There are a number of specific issues that need to be addressed, including:

- The engagement between the Department and Amakhosi on support needed to ensure that the Traditional Leadership functions effectively.
- Developing a financial strategy for the funding of the work of the Amakhosi and traditional institutions.
- Providing the premises and equipment for the work that they do.
- Establishing effective mechanism for consultation.

Both the Strategy Evaluations findings and recommendations are of significant importance as they set a base of the Mid-Term Review. Their recommendations hopefully informed the enhancement of the current 2015-2020 Strategic Plan. It is however also important to note that the last End Term Review was conducted in 2015 and concluded in 2016/17 financial year. This means the Department may not have implemented all the recommendations as it only had one year.

The table below provides a summary of other evaluations conducted by the Department

Year	Evaluations Conducted
2016/2017	Evaluation on the Sector Based Councillor Orientation Workshop
	Information and Communication Technology Client Satisfaction Evaluation
	Implementation Evaluation – KwaSani Ablution
	Implementation Evaluation of Small Town Rehabilitation Programme
	Diagnostic Evaluation on the functionality of Traditional Institutions and their support offices in the Province of KwaZulu-Natal
	Diagnostic Evaluation of the soft services support provided to Amakhosi in KwaZulu-Natal
	Implementation Evaluation of Munimec AND Technical Munimec IN KZN COGTA
2015/2016	Evaluation of Anthropological Services Provided by KwaZulu-Natal COGTA to the Institution of Traditional Leadership in KZN
	Evaluation of the Back to Basics Implementation Approach
	Evaluation of the UKZN Leadership and Good Governance Capacity Building Programme for Amakhosi
	KZN COGTA Capital Projects Evaluation 2012/13 – 2014/15
	Implementation Evaluation of KZN COGTA's Approach to Rollout Planning Schemes
	End of Team Review of the KZN CoGTA Strategic Plan 2010-2015
2014/2015	Evaluation on the Implementation of the Local Government Turn-around Strategy Programme
2013/2014	Periodic Evaluations
	Implementation of LGTAS Support
	Municipal Infrastructure – Water upgrade project Boshoeck and Muden
	Support in the development of an Infrastructure Implementation Plan
	Support in producing a legally compliant Spatial Development Framework
	Periodic Evaluations -- construction of public ablutions , Parking area and Library paving
	Disaster Management – Support on district disaster management advisory forum
	Support in implementing Municipal Admin policies plans and frameworks

Year	Evaluations Conducted
	Transfer of EPWP incentive grants for infrastructure projects
2012/2013	Assessing the impact of the Development Planning Shared Services (DPSS) – Kwazulu-Natal
	LED PERIODICAL EVALUATIONS
	<ul style="list-style-type: none"> <li>- Upgrading of the roads and storm water drainage in the Park Rynie Industrial Park</li> <li>- Road infrastructure upgrade in Umtshezi (Weenen)</li> <li>- Establishment of Tugela Mouth Beach facilities</li> <li>- P68 Agricultural projects in Mvozane, Ntilini and Esikhaleni</li> <li>- Winterton town entrance and trading stalls</li> <li>- Madadeni Road 4 and Asiphephe bridge</li> <li>- Upgrading of the Madadeni township</li> <li>- Moringa Tree Plantation in Ilembe</li> <li>- Vineyards and Cooperative Winery in Ilembe</li> </ul>
	Periodic evaluation on Disaster management awareness campaigns conducted
	MUNICIPAL INFRASTRUCTURE PERIODICAL EVALUATIONS
	<ul style="list-style-type: none"> <li>- Critical Services for 497 Houses in uMvoti</li> <li>- Rain Water Harvesting in Ugu</li> <li>- Mgababa Water Supply in Zululand</li> <li>- Sovana Water Purification &amp; Distribution in Nongoma</li> <li>- Ekujulukeni Bulk Water Supply in Zululand</li> </ul>
	PERIODIC EVALUATIONS CONDUCTED ON THE FUNCTIONALITY OF TRADITIONAL CONCILS
	<ul style="list-style-type: none"> <li>- Mpumuza, Inadi, Mafunze, Esiphahleni, Vumukwenza, Nxamalala</li> <li>- Mabaso, Khumalo</li> <li>- Amazizi, Amangwane, Mhlungwini</li> <li>- Mpungose, Mbatha, Mandlakazi</li> <li>- Tembe, Nyawo, Ntsinde</li> <li>- Mkhwanazi, Nzuza, Zulu</li> <li>- Macambini, Cele</li> <li>- Chunu, Mthembu</li> <li>- Jongilizwe, Mbumbane, Memela, Bhidla</li> <li>- Mthimude, Vukuzithathe, Mvundla, Zembeni</li> </ul>

## **2. INTRODUCTION**

During 2015/16 financial year a new Strategic Plan for KZN Department of Cooperative Governance and Traditional Affairs was endorsed replacing the 2010-2015 Strategic Plan. The new Strategic Plan found its base on the National Development which for the Local Government sphere is implemented through the National Back to Basic Programme. The sole purpose of Back to Basics programme is to improve the functioning of the municipalities to better serve communities by getting the basics right. This programme envision that its purpose will be met through cooperative governance in implementing the five (5) key pillars, namely, putting people first; delivering basic services; good governance; sound financial management and building capacity. Successful implementation of the Back to Basics pillars will in turn:

- empower citizens to hold the government accountable,
- basic services will be delivered;
- Oversight structures, audit committees, s79 committees and District IGR Forums will be functional;
- Ward committees will be in existence and functional, financial performance data will be monitored;
- Appointment of competent and qualified personnel in the municipalities will be ensured

Guided by these National Strategies which calls for cooperative governance, the 2015-2020 COGTA's Strategic Plan committed to the new approach in accepting the key role to facilitate cooperative governance. In doing so, the 2015-2020 Strategic Plan provided clear paradigm shift and indicators towards implementing the new approach. Further, it gave detail of the Departmental Strategic Interventions and specific actions with five year targets for Strategic Objectives and Goals. Appreciating that the new approach required integration and collaboration of different role players to achieve the output, the Strategic Plan categorically listed the role players for different interventions for implementation.

## **3. PROBLEM STATEMENT**

Implementation of 2015-2020 Strategic Plan began in 2015/16 financial year, as 2015/16 Annual Performance Plan serving as the first Annual Plan to drive the implementation of the new Strategic Plan. The Annual Performance Plans are meant to give effect to the prescripts of the Strategic Plan and

are monitored on quarterly basis in the form of quarterly reports which are then consolidated into Annual Performance Reports.

The Annual Reports provided an overview of how the Department has performed in achieving its annual outputs. Owing to the fact that the Department is operating in a viable environment where different operational environment factors play a role, it is possible for the department to divert from the Strategic Plan commitments whilst focusing on achieving outputs. Sometimes the Department might be achieving its outputs but the outputs are far or nowhere to meet the intended outcomes as set out on the Strategic Plan. Even though the National Treasury Regulations only call for the end term review to be conducted by Departments, the Department proactively deemed it necessary to conduct a Mid-Term Review to provide an indication of how far it is in meeting the 2015-2020 Strategic Plan commitments. Given that this is the third year of implementation and the Department will be left with 2018 and 2019 years to meet the five year targets, the assumption that the Department should be around 50% towards meeting 2020 targets might not be totally incorrect. Therefore hypothetically salient progress in meeting the 2020 targets and outcomes by the Department exists.

## **4. EVALUATION**

### **4.1. PURPOSE OF EVALUATION**

This evaluation aimed to assess the implementation of 2015-2020 Strategic Plan by responding to the following evaluation questions which are also illustrated in the diagram on the following page:

- Design: how was the strategy developed? To assess the common agreement on the logic frame of the Strategic Plan;
- Implementation: the extent which the strategy was implemented. To assess if the strategy was implemented as planned.
- Outcome: To assess whether the expected change is happening.

### **4.2. EVALUATION METHODOLOGY**

Rossi et al (2004:16) says this regarding social research methods in evaluation, “social research methods have been developed and refined over the years explicitly for the purpose of constructing sound factual descriptions of social phenomena. In particular, contemporary social science techniques of systematic observation, measurement, sampling, research design and data analysis represent rather highly evolved procedures for producing valid, reliable and precise characterization of social

behaviour". Regardless of the type of social intervention under study, the evaluators will typically employ social research procedures for gathering, analysing and interpreting evidence about the performance of a programme. It is indeed based on such guidance that the social research methodology was utilised in collecting, analysing, and interpreting data for this evaluation study.

The type of information gathered was determined by what the client wanted to know about the programme as this ultimately informs the evaluation questions. The Department's management as the client of this study needed to know how far the department has progressed and whether the expected changes are really happening. A document review of relevant document was conducted as follows:

To assess if the Strategic Plan was implemented as planned, document analysis of the 2015-2020 Strategic Plan, Annual Performance Plan; Quarterly Performance Reports; and Annual Reports will be conducted. This was supported by clarification sessions where necessary with Strategic Planning and Monitoring Directorates. Quantitative data of how many outputs are close or far in meeting the 2020 targets will be provided. This quantitative data was backed up by the qualitative data providing an analysis of the progress made so far.

The third level as depicted on the diagram below focused on outcomes. In evaluating this level the evaluation conducted desktop analysis of the progress on implementation. The conclusion highlights summary of under the following themes:

**Relevance:** The extent to which the support is suited to the priorities of Municipalities and Traditional Institutions. In evaluating relevance the following questions will be used:

- To what extent are the objectives of the programme still valid?
- Are the activities and outputs of the programme consistent with the overall goal and the attainment of its objectives?
- Are the activities and outputs of the programme consistent with the intended impacts and effects?

**Effectiveness:** Is a measure of the extent to which an aid or activity attains its objectives. In evaluating the effectiveness of the Department's support the following questions will be useful:

- To what extent were the objectives achieved / are likely to be achieved?
- What were the major factors influencing the achievement or non-achievement of the objectives?

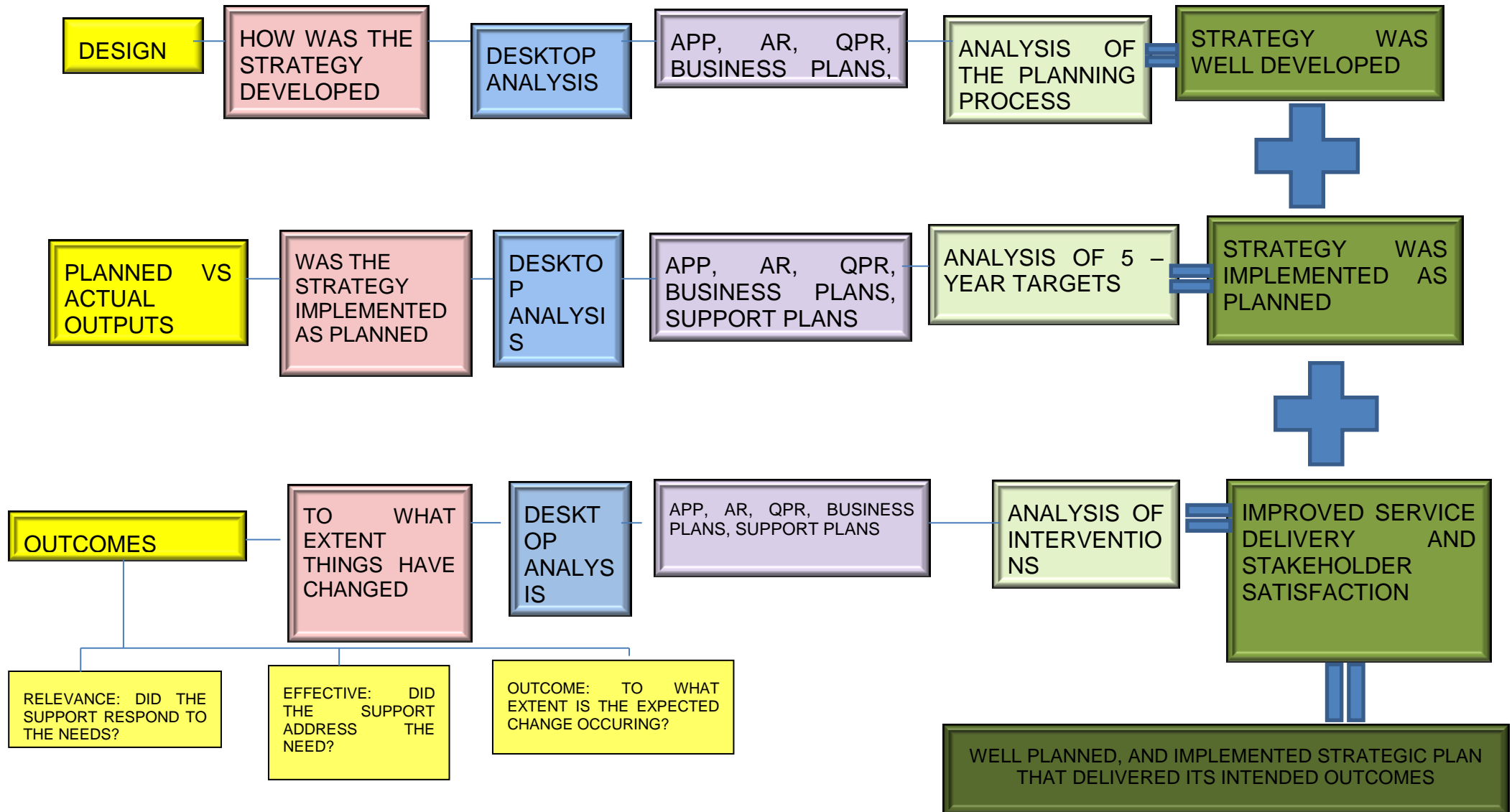
**Outcome:** To assess the level of progress towards the attainment of outcomes

- To what extent is the expected change occurring?

The theme of efficiency, sustainability and impact will not be discussed for this evaluation but will be included if the study is found to be and relevant and the scope is extended to include interviewing the relevant stakeholders. The diagram below illustrates in summary the evaluation methodology described above. This diagram will be followed by a table which provides further details on the methodology by indicating the tools and source documents for data collection.



## SUMMARY OF METHODOLOGY



## DETAILED SUMMARY OF METHODOLOGY

Objective	Elements	Evaluation question/s	Methods	Tools	What are we looking for?	Data Source
Design: how was the strategy developed	Documenting what is happening	To assess the common agreement on the logic frame of the Strategic Plan	Qualitative	Document review	Policies and guideline	Legislation Departmental guidelines
	Theory of change Logframe Determine the status quo				Performance reports, APP, BP and Strategic planning	Strategic Plan Annual Performance Plan Annual Reports Quarterly Performance reports
Implementation: the extent which the strategy was implemented.	Improving implementation	To assess if the strategy was implemented as planned.	Qualitative	Document review	Performance reports, APP, BP and Strategic planning	Strategic Plan Annual Performance Plan Annual Reports Quarterly Performance reports
Outcome: to what extent things is the expected change occurring	Review of implementation	To assess the level of progress towards the attainment of outcomes	Qualitative	Document review	Performance reports, APP, BP and Strategic planning	

## 5. FINDINGS

### 5.1 PROGRAMME ONE FINDINGS

Programme one evaluation findings will be discussed in this section in two subsections. The first section will focus mainly on the analysis of the strategic plan document to assess alignment of the inputs leading to the intended outcomes. This means technical elements of strategic plan will be analysed to see if the design of the strategic plan does not have any gaps that might hamper the realisation of the intentions of the strategic plan.

The second sub-section will serve as a reminder to the Department about programme one evaluation findings made by the End Term Review, particularly those findings which are still relevant. The intention is to highlight how programme one was viewed by its clients in 2015/16 financial year with the hope that the Department will cautiously attend to findings that might have not been attended to in order to avoid repetition of findings in 2019/2020 End Term Review.

#### 5.1.1. Strategic Plan Design Analysis

In this sub-section an analysis on the design of the Strategic Plan will be provided to get clear understanding of the intention of the Strategic Plan. The findings from this assessment emanates from the desktop review conducted using the Departmental strategic documents namely:

- Five Year Strategic Plan 2015-2020
- Annual Performance Plans
- Annual Report for the years 2015/2016 and 2016/20
- Results Framework used by the Monitoring Unit
- Previous Evaluations conducted

The Strategic Plan document clearly indicates the Strategic Goals which are supported by strategic objectives; the outlined strategic objectives are linked to strategic intervention (measured through five year targets). Findings reflect that:

- **There is no clear logic frame or Theory of Change in Strategic Plan** as a result the Evaluator had to develop simple logic frame below to understand critical elements of the Strategic Plan as depicted in the below diagram.



Given the different terminologies used in the Strategic Plan, the logic frame used above translated those terms to logic model elements to create an understanding of the relationship between all stages of the model. This logic model had to be consulted with Strategic Planning Directorate within the Department to reach a consensus on the logic model elements.

- **Over packed Strategic Goal and Strategic Objectives:** The department has two different main clients which are Municipalities and Traditional Institutions. These clients operate from two distinct environments with different background, challenges and purpose. The Department combined these two Branches to share a strategic goal “strengthen governance” and strategic objectives:
  - Improved capacity of political and administrative governance; and
  - Strengthen accountability of governance institutions

To combine these two Branches under the same Strategic Goal and Objectives creates an impression that they exist for the same purpose. Hence the one of the findings on the End Term Review of the 2010-2015 Strategic Plan was emphasising on the need for the Department and Amakhosi to clarify expected outcomes of the Traditional Affairs Branch. This was exacerbated by the fact that whilst the Department has invested so much on municipalities , Amakhosi on the other were far from being satisfied with the support they received from the Department. One of the questions to be asked from this strategy is whether the Traditional Institutions exist only to strengthen governance as it is the only strategic goal that includes Traditional Affairs Branch. The table below illustrate how different strategic goals contribute to Departmental programmes.

Strategic Goals	Responsible Programmes
Improved Co-operative Governance	2
Strengthened Governance	1, 2,3 and 4
Increased Economic Opportunities	3
Strengthened Delivery of Basic Services	3
Well integrated Spatial Planning System	3
Adaptation to Climate Change	3

- **The Strategic Goals are not defined** to create an understanding of what is meant by each goal and setting its boundaries. The goal statements provided on the Strategic Plan are merely the repetition of the strategic goals. As a result, the absence of strategic goal statement makes it easier to measure how the intended change will be measured. Examples for this can be made in the following Strategic Goals:
  - Strengthen Governance: it is not clear how this will be measured, what are the impact indicators to measure the intended change
  - Strengthened delivery of basic services: this could be quantified to give an indication of the rate at which basic services would be strengthened.
  - Well integrated spatial planning system: a definition of this statement on how “this will be measured.

### 5.1.2. Evaluation Findings from End Terms Review on the Units of Programme One

The Evaluation of 2010-2015 Strategic Plan provided the Department with insight on how Programme one was viewed by the line function units within the Department as the clients. This study brought some of those findings to remind the Department particularly on areas that were highlighted as challenged to enable the Department to prioritise them. The following challenges in programme one were identified:

- Human Resources Management and Development:** The End Term Review (ETR) cited that 41% of managers interviewed indicated th at HR is not supportive, is inefficient and sometimes

slow in responding to service queries and generally in supporting the Department and its structures. Some of the reasons for dissatisfaction amongst these managers were:

- There is a lack of clarity around who is performing what function within the business unit. Line managers are often referred to others and then referred back to HR when requiring HR support.
  - The recruitment and selection process to fill vacant posts is complex, takes too long and is fraught with bureaucratic delays.
- b) **Finance:** Even though ETR highlighted that most managers went as far as to suggesting that the approach of assigning specific officials to Branches and Units within the Department to provide finance support should be replicated by other support functions such as HR, challenges of slow supply processes proved to have negative effect on the Departmental deliverables.
- c) **Internal Control:** Amongst the 22 managers interviewed, only 10% indicated unhappiness with the level of support provided by the business unit, mainly in relation to the lack of capacity to provide support when required. In addition, the AG identified some internal control deficiencies relating to financial and performance management reporting and leadership oversight particularly in HR and IT.
- d) **Communication:** Concerns were raised about poor communication and lack of sharing of information across the Department. A majority of respondents highlighted the silo mentality, and protection of “turf”, as one of the cultures inhibiting communication in the organisation. The lack of sharing of information amongst business units leads to inefficiencies. In terms of corporate communications, 37% of managers indicated that the unit requires improvements, especially around ensuring a standardised corporate identity. It needs to be noted that some of the concerns expressed over communications are not so much the responsibility of the communications unit itself, but rather a cultural challenge in the Department as a whole. However, when conceptualising the communications function and the communications strategy it will be important to address the perceived deficiencies that have been identified.
- e) **Information Communication Technology (ICT):** Provision of ICT services remained a challenge with 64% of managers interviewed indicating frustrations and concerns over inefficiencies with ICT. Although there is a view that ICT has been a problem over the period under review, half of the managers who expressed frustrations noted that the Department was constrained by SITA in terms of what can be done. The following were some of the problems identified in respect of ICT:

- The network capacity has been a challenge in terms of sending large documents and linking with other buildings of the Department
  - Constant email problems that resulted in the Department moving from a Novell solution to a Microsoft exchange server
  - Long response times when experiencing technical faults and lack of dedicated ICT personnel to deal with technical issues
  - Inadequate equipment and very long waiting periods when ordering new computer equipment
  - Deficiencies in the IT policies and procedures identified by the AG.
- f) **Policy and Research:** There is a general agreement amongst managers that Departmental policies including those that were reviewed are sufficient to enable them to do their work effectively. Although 77% of managers interviewed indicated that the policies are adequate, there are some that require a review. A lot of HR policies were reviewed. However, there are some, including a policy on delegations, that require a review in order to enable line managers to be efficient in their functions. Over the period under review there were some challenges with IT policies identified by the Auditor General but there were review processes that enabled these policies to pass the AG test.
- g) **Strategic Planning Monitoring and Evaluation:** although managers indicated general happiness with this sub-programme, there are issues that need addressing:
- 32% of managers interviewed were unhappy with the target setting process and the imposition of certain performance indicators.
  - There were some complaints by 27% of managers about the monitoring process in the Department. Complaints include the tendency for monitoring to become a tedious “bean counting” process that is not meaningful in terms of the actual work performed on the ground. Others have lamented the way in which people are able to get away with using cumulative targets when they are supposed to be achieving particular targets per quarter. There have also been concerns about the strict monitoring process not always being linked to the individual performance system and thus allowing non-performers to bring down business unit performance without consequences.
  - There was a concern raised by 18% of managers that there is no internal coordination of data collected from municipalities. As much as the M&E unit collects data from other business units in the Departments, there are business units that collect data regularly from municipalities and the M&E unit was not coordinating this data in a central repository to aid in its evaluations. Each business unit collects data for its own

purposes and this data is not centralised for analysis and to generate insights for the Department as a whole.

### **5.1.3. Summary of Programme One Findings**

In summary, this study found that even though the Strategic Plan is to an extent aligned to the National Framework of Strategic Plans and Annual Performance Plans, a need to have specific strategic goals and objectives for each programme will create better clarity on the role of each branch. Even if the different branches are contributing to the same strategic goal and or objective, for sure their role is not the same hence the strategic plan should clearly show that.

The End Term Review provided the Department with client perspective of its Programme one. It thus critical for Programme one to have attended to the issues raised by its clients as the ETR findings were shared with respective business for their consideration to avoid the repetition of findings. Given the time and capacity constraints this study could not assess whether the findings recorded on the ETR were implemented and this is the reason why these findings are brought back to caution the Department before the arrival of the end of term of the 2015-2020 Strategic Plan.



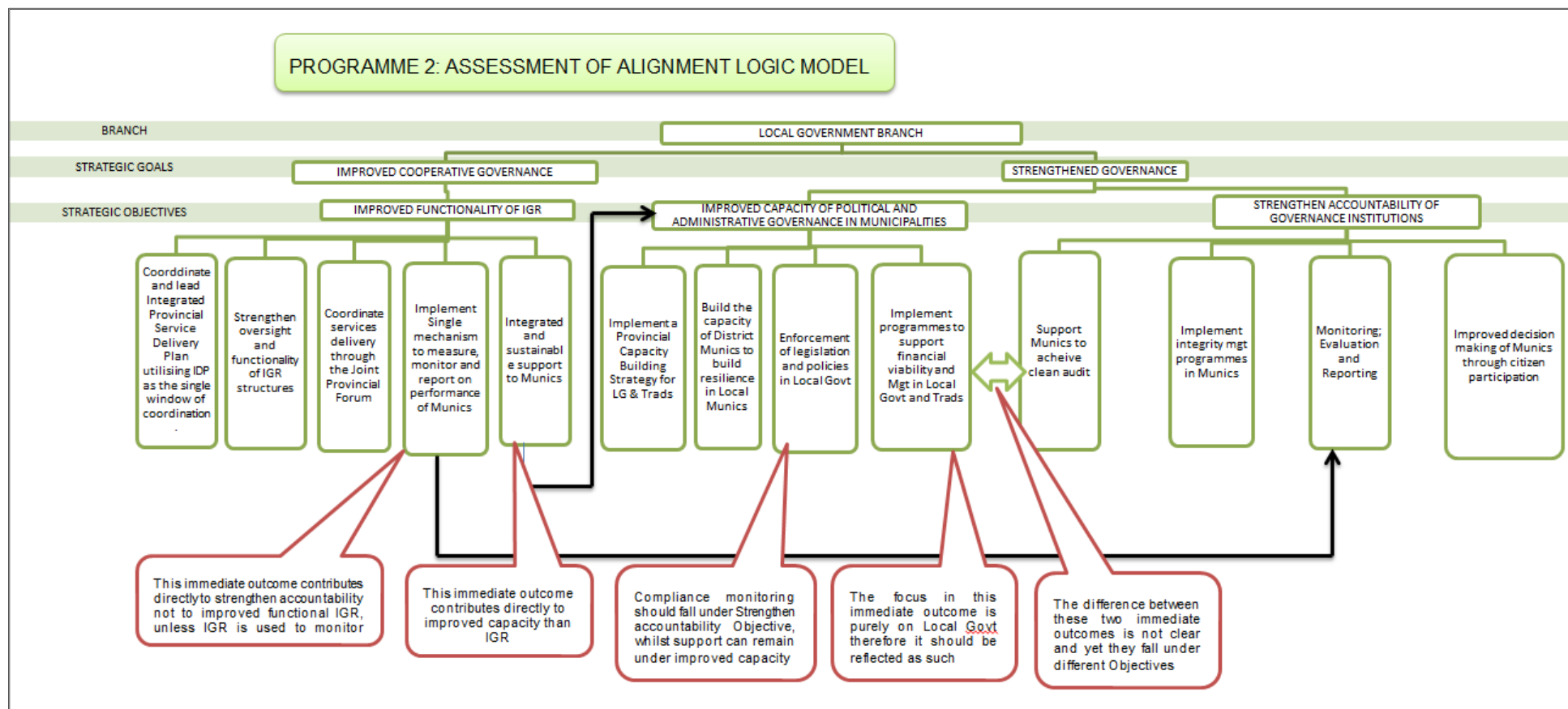
## **5.2. PROGRAMME TWO**

Programme two (Local Government) contributes directly to two departmental strategic goals, which are Improved Co-operative Governance and Strengthened Governance. The goals are set to be achieved through the following outcomes or strategic objectives:

- Improved Functionality of Inter-governmental Relations
- Improved capacity of political and administrative governance in municipalities;
- Strengthened accountability of governance institutions
- Improved decision making of municipalities through citizen participation

The diagram depicts the alignment of Strategic Goals, Strategic Objectives and Strategic Interventions for programme two. This will assist in creating a picture on how the Strategic Interventions are contributing to the Strategic Objectives and Goals of the Department.

## PROGRAMME 2: LOGIC MODEL ANALYSIS



This diagram shows that some of the immediate outcomes condensed both Local Government and Traditional Affairs Branch into one and this is a recipe of one of them to be not attended to as the focus tend to be more on one. The risk in this is when the Department is measured against such immediate outcomes might not be able to achieve as it would have only attended to one part of the immediate outcome. The comments provided on the diagram suggest realignment of some of the immediate outcomes. These include 'single mechanism to measure' which is a duplication of Monitoring, Evaluation and Report' immediate outcomes and yet are

found to be under different strategic objectives. Lastly, whilst the it is acknowledged that the intention of achieving ‘integrated support to Municipalities’ through IGR is valid, however the immediate outcome directly contributes to “improved capacity in municipalities”.

## PROGRAMME 2: LOGIC MODEL PROGRESS ANALYSIS

In addition to the diagram above, the table below provides an indication of the progress made thus far in achieving the 5 year targets set on the Strategic Plan.

Goal 1/ Impact : Improved Co-operative Governance				
Strategic objective/ Outcome : Improved Functionality of Inter-governmental Relations				
Intervention/ Immediate Outcome	5 – Year Target	Observations	Alignment	Achievement
Co-ordinate and lead Integrated Provincial Service Delivery Plan utilising the IDP as the single window of coordination	Integrated Provincial Service Delivery Plan	<p>There is a delay in implementation of an input indicator of <b>cross-border alignment</b> since it has not been reported on for year 1 and year 2.</p> <p>There is also an expectation that there would be an input that speaks to ensuring alignment of sector plans (APP) with municipal plans (IDPs) so that working</p>	Mostly there is alignment at all levels except that , there needs to be a specific input which will attend to provincial budget aligned with IDPs.	Currently, there are other activities and inputs working towards the 5-year target but there is no evidence to indicate whether the Integrated Provincial Service Delivery Plan is being implemented or whether it exists.

Goal 1/ Impact : Improved Co-operative Governance				
Strategic objective/ Outcome : Improved Functionality of Inter-governmental Relations				
Intervention/ Immediate Outcome	5 – Year Target	Observations	Alignment	Achievement
		<p>together becomes a pro-active exercise than re-active.</p> <p>Municipalities raised that there is too much focus on the quality of IDPs and less on implementation of IDPs.</p>		
	70% public sector capital expenditure within KZN spent in accordance with the PGDS identified/aligned projects	Year 2 target was however not yet achieved, it was reported complete data on the expenditure for 2016/17 was not available yet. Available data covers 9 months	The planning was found to be aligned to its activities and immediate outcomes.	Overall, all three outputs were not achieved at the time of reporting due to various reasons, therefore current concluding that:  More evidence to reflect the current updated status to be sort or Conclude that more efforts and re-planning should be implemented in order to reach to the intended goals by 2020.
	75% public sector spent in accordance to the municipal IDP		The planning was found to be aligned to its activities and immediate outcomes.	

Goal 1/ Impact : Improved Co-operative Governance				
Strategic objective/ Outcome : Improved Functionality of Inter-governmental Relations				
Intervention/ Immediate Outcome	5 – Year Target	Observations	Alignment	Achievement
Strengthening oversight and functionality of IGR structures (such as Minimec, MuniMEC, PCF, Municipal IGR fora)	Number of IGR structures functional in accordance with IGR Framework	All planned targets were reported to have been achieved on the results framework.	All inputs and activities under this intervention were viewed to be aligned to the intervention.	Over and above the monitoring data reflecting mostly achievements on support provided by the department to the municipalities not all structures are functional. In this regard, an evaluation was also conducted specifically on MUNIMEC and technical MUNIMEC. The evaluation recommended that there be a revised IGR approach which focuses more on strategic cross cutting issues that affect municipalities, revival of district structures, agenda setting and
	Number of partnerships with SAGLA maintained	Even though during year 1, no progress was reported. Year 2, reflects target achieved.		
	Number of municipalities with functional oversight structures	During year 2, only fifty-five percent (30/54) was reported to have functional oversight structures. Remedial actions were taken on the 24 municipalities that had challenges.		

Goal 1/ Impact : Improved Co-operative Governance				
Strategic objective/ Outcome : Improved Functionality of Inter-governmental Relations				
Intervention/ Immediate Outcome	5 – Year Target	Observations	Alignment	Achievement
				improve co-ordination.
Co-ordinate service delivery through the Joint Provincial Forum	1 joint provincial service delivery forum supported		The intervention is aligned	Joint Service Delivery Forum is being monitored quarterly.
Implement single mechanism to measure, monitor and report on performance of municipalities	All municipalities complying with the single reporting system	The department has managed to get municipalities to comply using the performance management system.	The intervention refers to the functionality of the municipalities in terms of Back to Basics (B2B), Operation Sukuma Sakhe (OSS) and Sector issues	Whilst municipalities are complying, evaluations conducted raised critical concerns on the duplication of reporting experienced by the municipalities. This does not happen only between Departments but within CoGTA as well.
	Electronic system reflecting current status of	The APP refers to 10 electronic dashboards were developed however the	facilitated. The view is, not all inputs are	According to the monitoring reports, the department has

Goal 1/ Impact : Improved Co-operative Governance				
Strategic objective/ Outcome : Improved Functionality of Inter-governmental Relations				
Intervention/ Immediate Outcome	5 – Year Target	Observations	Alignment	Achievement
	functionality of municipalities	monitoring reports indicates no achievement on this target.	linked towards functionality of IGR , i.e. IGR structures may be required to assist but the main reason for conducting these functions will not assist improve functionality of IGR but more towards strengthening accountability and governance.	experienced difficulties to progress during the first 2 years of implementation in achieving for the dashboard to be developed.
Integrated and sustainable support to municipalities.	All municipalities are categorised as functional	The APP targets were not all achieved, critical to the purpose to make municipalities functional is % of sector	The intervention is not directly linked to IGR but more to	Over and above some targets not achieved. The evaluations conducted gave qualitative

Goal 1/ Impact : Improved Co-operative Governance				
Strategic objective/ Outcome : Improved Functionality of Inter-governmental Relations				
Intervention/ Immediate Outcome	5 – Year Target	Observations	Alignment	Achievement
		issues resolved not achieved, OSS indicator not reported on and facilitation of sector issues not achieved.	strengthened accountability and governance. The indicators refer to issues of B2B and OSS support plans	<p>feedback from the stakeholders highlighting that:</p> <ul style="list-style-type: none"> <li>- support is not co-ordinated,</li> <li>- besides financial support, municipalities are not aware of support services to expect from the department</li> <li>- B2B focus has shifted its focus to become more of monitoring and a compliance tool than getting issues resolved.</li> </ul>



Goal 2: Strengthened Governance				
Strategic Objective : Improved capacity of political and administrative governance in municipalities				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Implement a Provincial Capacity Building Strategy for Local Government and Traditional Institutions (include programmes within the Department as well as sector departments)	All municipalities capacitated in line with the provincial capacity building strategy	The intention of this intervention by understanding is to build the capacity of municipalities and traditional councils. However, the activities and inputs only refer to the capacity of municipalities including that of political leadership. Implementation on traditional institutions is not highlighted.	The intervention is aligned.	Most targets have been achieved however, the department needs to revisit and ponder on whether the objectives of the capacity building strategy are being fulfilled. Has the mind-set been shifted to view capacity building not only through the lens of training and development but progressed to other areas to include coordination, retention of skills, etc.
Build the capacity of district municipalities to build resilience in local municipalities	All Districts capacitated (people) with critical skills	The concept is based on implementation of shared services including areas of speciality such as engineering, planners, etc. The intervention	There is alignment of as per the log frame	Progress on the planned expansion of shared services to included local government legislation and policies was not implemented as there are no

Goal 2: Strengthened Governance				
Strategic Objective : Improved capacity of political and administrative governance in municipalities				
Intervention	5 – Year Target	Observations	Alignment	Achievement
		was later to be extended to include shared services for Local Government legislation and policies in the Province		reports for year 1 and year 2. There could be strategic changes on the need for the services of local government to be implemented, further clarity to be acquired from the department. Under the development and planning shared services (engineers, planners, geographic information systems (GIS), etc.), progress has been reported only in year 2. An evaluation conducted during the year 2012/2013 highlighted challenges for some districts within other fields except for GIS services which were functional comparatively.

Goal 2: Strengthened Governance				
Strategic Objective : Improved capacity of political and administrative governance in municipalities				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Enforcement of legislation and policies in Local Government	All municipalities comply with Local Government legislation and policies	The indicator mainly looks at municipalities complying with the prescripts	The function to enforce and monitor legislation is viewed to be more relevant under the strengthened governance and accountability strategic objective.	All targets were achieved as per the monitoring information, but it would be beneficial for the Department to not only look at compliance but to measure the benefits for compliance. An evaluation recently conducted indicated 183 audit issues findings were related to compliance.
Implement programmes to support financial viability and	<p>All municipalities operate with 30% expenditure on capital infrastructure</p> <p>All municipalities with 8% expenditure on Operations and Maintenance</p>	In the 2017/18 APP This indicator has changed. It now measures the number of municipalities with budget allocated to capital infrastructure. Has the focus now shifted from expenditure (and its monitoring) to budget	The intervention is viewed to be misaligned to the current strategic objective but more suitable to that of strengthened governance	As at year 2, the reporting based on assessment conducted indicated a planned target of 26% was met.

Goal 2: Strengthened Governance				
Strategic Objective : Improved capacity of political and administrative governance in municipalities				
Intervention	5 – Year Target	Observations	Alignment	Achievement
management in Local Government and Traditional Institutions. (Billing, overspending and underspending)		allocated?	and accountability.	
	All municipalities with revenue raised	The department has provided support by assisting the municipalities to implement the revenue strategy as well as monitoring municipal revenue management	The activities are however aligned the 5 year target.	All inputs are being achieved. An assessment to measure whether the implemented support has assisted the municipalities to raise their revenue needs to be conducted.
	All municipalities with debt reduced	The department aimed to support municipalities to reduce debt. However, according to the reports there was no indicator in put in place to ensure implementation.		No progress reported and no indicator on the preceding APPs.
	All municipalities supported with implementation of MPRA	The planned output was removed in the current APP		

Goal 2: Strengthened Governance				
Strategic Objective : Strengthened accountability of governance institutions				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Support municipalities to achieve clean audits	All municipalities with clean audits	The department planned to support municipalities to achieve clean audit, to have functional audit committees as well as ensuring all audit outcome issues are addressed.	The activities are aligned the 5 year target	All municipal audit committees were reported to be functional. However, a notable regression on clean audit outcomes for some municipalities has been observed. Some municipalities have even failed to either submit or respond to the queries raised by the Auditor General.
Implement integrity management programmes in municipalities	No incidence of fraud in municipalities	The APP indicators reflected municipalities were supported with compilation of fraud risk registers, Number of Local Government Anti-Fraud and Corruption Strategies were		As planned the department ought to have put systems in place to prevent & detect fraud should it occur, and to create awareness in the municipalities. Some of the targets were achieved in year 1

Goal 2: Strengthened Governance				
Strategic Objective : Strengthened accountability of governance institutions				
Intervention	5 – Year Target	Observations	Alignment	Achievement
		developed: strategies were developed in year 1.		and not followed through, e.g. Report on functional provincial Anti-corruption technical working groups, raising a question of whether this was meant to be done during year one only. Currently, only the number of reports on fraud, corruption and maladministration cases reported and investigated indicator is reported on. This is unlikely to assist the department achieve its target to have no incidence of fraud in the municipalities if there is no other support provided.

Goal 2: Strengthened Governance				
Strategic Objective : Strengthened accountability of governance institutions				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Monitoring, Evaluation and Reporting	All municipalities to have effective performance management systems	The intervention (wording) is not elaborated or detail to indicate its intentions. Rephrasing is proposed.	The activities are well aligned	All targets were being achieved, even though there was an increase in the number of queries raised by the AG and some municipalities were taking long to respond.
	All municipalities evaluated on administrative performance and recommendation implemented	Number of municipalities evaluated on administrative performance. This function was to assist Councillors to improve on its oversight role.		<p>The department managed to achieve all targets over the years.</p> <p>The 5 year target went beyond targets being achieved, making reference to the implementation of recommendations.</p> <p>Is the information used for decision making and assisting Councillors to improve on its oversight role?</p>

Goal 2: Strengthened Governance				
Strategic Objective : Improved decision making of municipalities through citizen participation				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Improve consultation, communication and feedback in municipalities and Traditional Councils	All municipalities report back to their communities (1 per quarter)	The reports indicate that Councillors were able to provide feedback to the respective communities.	The interventions and activities are viewed to be well aligned	The department is managing to progress in some areas but the functionality of ward committees as guided by the Act. This to a large extent indicates a lack of consultation and participation of stakeholders which could lead to protests. The department needs to strengthen its support to the municipalities and closely monitor achievements and failures in due course.
Strengthen functionality of Ward Committees	All municipalities with functional Ward Committees	The department has not managed to achieve its targets for the two consecutive years		
Strengthen Ward Based Planning	All municipalities with Ward Based Plans aligned to the IDP	Ward based plans were developed		
Early warning systems to reduce service delivery protests	All Municipalities are without service delivery protests	Prior local government elections there were service delivery protests amongst some municipalities		



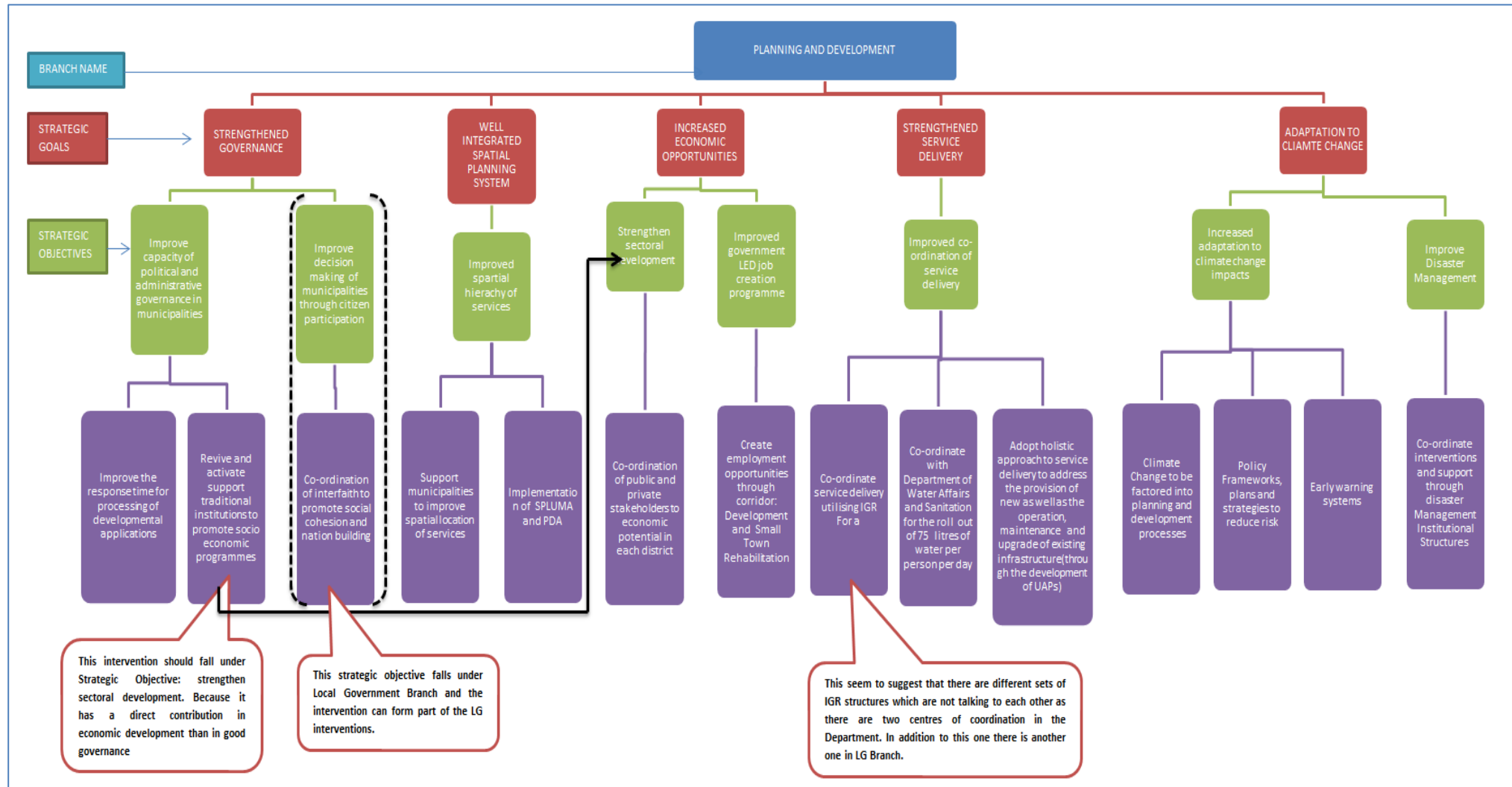
## 5.2 PROGRAMME THREE

Programme three (Development and planning) directly contributes to 5 of the 6 departmental goals. The programme at a strategic level strives to achieve its goals by achieving the following:

- Strengthened Governance
- Increased economic opportunities
- Strengthened delivery of Basic Services
- Well Integrated spatial planning system
- Adaptation to climate change

These Strategic Goals are and Objectives are analysed on the figure below to assess their alignment. The diagram below provides suggestions on which elements should be removed to achieve better alignment of the Strategic Goals and Objectives.

## PROGRAMME 3: LOGIC MODEL ANALYSIS



The following tables elaborates the implementation and achievements of the strategic plan

Goal 2: Strengthened Governance				
Strategic Objective : Improve capacity of political and administrative governance in municipalities				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Improve the response time for processing of developmental applications	80% of development applications within time norms		The strategic objective refers to improved capacity, the intervention seems to be more on ensuring adherence to the prescripts, therefore more aligned to strengthened accountability and governance.	During year 2, targets were being met, at year two, target reached was 74%.
Revive and activate support traditional institutions to promote socio economic programmes	All traditional councils have 100 hectors of land surveyed for Agricultural use	The outputs and the inputs are not measuring the same things, i.e. outputs refer to all traditional councils have 100 hectors of land surveyed for Agricultural use, inputs are referring to the number of Traditional Councils (TC)'s supported with Development	There seems to be a disjuncture between the intervention, 5 year target and the strategic objective.  No link is established between improving capacity and traditional councils have 100 hectors of land surveyed for agricultural use. This is	Progress provided does not give a report on how many TC's that have 100 hectors of land surveyed for agricultural use besides indicating the initiatives.  There needs to be an update making specific reference towards hectors of land

Goal 2: Strengthened Governance				
Strategic Objective : Improve capacity of political and administrative governance in municipalities				
Intervention	5 – Year Target	Observations	Alignment	Achievement
		Initiatives.	contributing directly on strengthening the sectoral development.	surveyed or for the 5 year targets to be revised.

Goal 2: Strengthen Governance				
Strategic Objective : Improved decision making of municipalities through citizen participation				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Co-ordination of interfaith to promote social cohesion and nation building	All district forums Functional	The Department planned to implement this strategic objective through co-ordinating interfaith to promote social cohesion and nation building interfaith. The intervention is viewed to be better placed under public participation	There is misalignment between the planned output which refers to all district forums being functional and the input indicator referring to number of dialogues. If holding dialogues indicates functional structures the indicators should be aligned as such.	In terms of the number of dialogues held, targets were achieved over the years but this does not contribute to the 5 year target

Goal 3 : Increased economic opportunities				
Strategic Objective: Strengthen sectoral development				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Co-ordination of public and private stakeholders to economic potential in each district	10 District Agencies established to drive LED	Different initiatives were reported to indicate achievements. Based on previous evaluation findings for some other projects there is a need for the department to ensure proper planning , feasibility, consultation, usability to maximise impacts and maintenance	The targets are viewed to be not directly linked to the strategic objective. The purposes of the establishment of agencies and LED investments are viewed to be elevated to form a related intervention. However, the strengthened sectoral development is viewed not to be suitable as it focuses on sectoral, rather than economic development.	The targets were achieved as per monitoring reports. There is a need to clarify the types of initiatives that will are provided, also to clarify the method of identification of the support to be provided. All districts can have agencies established, the interest is not only on the districts established also the types, the number and the viability of projects initiated
	10 District Agencies to Drive LED Investment	Number of District/metro supported with informal economy initiatives		The department has managed to achieve its targets under this initiative.

Goal 3 : Increased economic opportunities				
Strategic Objective: Strengthen sectoral development				
Intervention	5 – Year Target	Observations	Alignment	Achievement
		<p>The indicator restricts its measures to informal economy initiatives whereas the 5 year target is broad and focuses on Local Economic Development (LED) investments.</p> <p>Are LED investments only catering for informal economies in this context? There is a need to clarify the types of initiatives that are provided to cater for LED investments. er of District Agencies supported to drive LED.</p>		<p>However, the type of support provided by the Department is mostly to do with economic development and not sectoral development (which can be interpreted as an IGR issue) activities.</p>

Goal 3 : Increased economic opportunities				
Strategic Objective: Improved government LED job creation programme				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Create employment opportunities through corridor: development and Small Town Rehabilitation	4000 employment opportunities created through EPWP inclusive of all sectors	The targeted number of employment opportunities refers to the Provincial targets. There is a need to revise these targets to only measure the Department's contribution towards the Provincial targets.  The reported achievements seem to be highlighting opportunities that were created by the department only, whereas the indicators( 5year and APP) inclusive of all sectors	The projects implemented are aligned to achieve the strategic objective	All targets were achieved however, findings from the small town rehabilitation evaluation indicated that there is still hunger for more sustainable. Also highlighted in the report was that the programme objective needs
	30500 employment opportunities maintained through CWP inclusive of all sectors			
	Corridor development plans and new town development strategies implemented			



Goal 3 : Increased economic opportunities				
Strategic Objective: Improved government LED job creation programme				
Intervention	5 – Year Target	Observations	Alignment	Achievement
	Number of municipalities with Agri-hubs/fresh produce market facilities aligned to institutional markets		These indicators are viewed not to be suitable placed under the strategic objective of improved government LED job creation programme but suitable linking to strengthen sectoral development under the same goal of increased economic opportunities	to be revised to not include job creation.
	50 municipalities implementing LED plans			

Goal 4 : Strengthened delivery of Basic Services				
Strategic Objective: Improved coordination of service delivery				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Co-ordinate service delivery utilising IGR Fora	Coordinated planning for service delivery	This indicator is set to be achieved through coordinated planning for service delivery as the planned output. Specific measurements need to be outlined as it is currently vague.	The linkage between these IGR Fora with other IGR structures under IGR directorate needs to be mapped out. The utilisation of IGR term is misleading; rather use the term technical forum.	This 5 – year output is not measurable.
Co-ordinate with Department of Water Affairs and Sanitation for the roll out of 75 litres of water per person per day	<p>1000 Cubic metres per capita per year available</p> <p>60% Water systems in balance (supply and demand)</p> <p>R750 million value of development /rezoning applications not approved due to bulk water and effluent constraints</p>	There is no indicator to show how the coordination is planned to be done.	The planned outputs are viewed to be aligned to the immediate outcomes and planned outputs.	<p>The APP indicator does not report exactly on the planned 5 year target of 1000 Cubic metres per capita per year available but focuses on the number of reports on cubic metres per capita per year available.</p> <p>Even though an assumption can be made that these reports will highlight the cubic metres per</p>

Goal 4 : Strengthened delivery of Basic Services				
Strategic Objective: Improved coordination of service delivery				
Intervention	5 – Year Target	Observations	Alignment	Achievement
	<p>100 % of households with access to 75 litres of water per person per day</p> <p>35% of households with yard water connections</p>			capita per year, there is a risk that the actual content of the report be overlooked and focus on the number of reports rather than the cubic metres, as indicated focus for the 5 year output.
Adopt holistic approach to service delivery to address the provision of new as well as the operation, maintenance and upgrade of existing infrastructure(through the development of UAPs)	All municipalities have 8% of budgets allocated and spend on operations and maintenance	The APP indicator gives attention to the number of municipalities implementing operation and maintenance plans than 8% of budget allocated and spent by the municipalities on operations and maintenance.	This is viewed to be well aligned.	It is not clear whether all municipalities have been allocated with the required budgets for operations and maintenance.  Emanating from the previous evaluation, it is known that there are challenges related to issues of maintenance.
	All Municipalities with 100% expenditure capital budgets including Municipal	The following indicators were not included as a part of reporting specifically during	There is an alignment	75% of planned interventions were not reported on making it difficult to conclude

Goal 4 : Strengthened delivery of Basic Services				
Strategic Objective: Improved coordination of service delivery				
Intervention	5 – Year Target	Observations	Alignment	Achievement
	Infrastructure Grant (MIG)	<p>year 2. Support municipalities in implementing infrastructure plans – Not report for the 2 years</p> <p>Strengthen capacity of municipalities to efficiently deliver infrastructure services as per required standards – Not report for the 2 years</p> <p>Establish and maintain appropriate technical capacity at municipal level</p> <p>Improve Departmental technical capacity to respond to provincial and municipal service delivery matter - Not report for the 2 years</p>		achievements.

Goal 4 : Strengthened delivery of Basic Services				
Strategic Objective: Improved coordination of service delivery				
Intervention	5 – Year Target	Observations	Alignment	Achievement
	89% of households with electrical supply	The APP indicator focuses on 9 municipalities per each year, is the 89% targeted per each municipality or for all municipalities combined.	Interventions are aligned	Currently the progress reported is on the number of municipalities supported, however, it is advisable that we also have statistics on the progress towards the 89% target.

Goal 3 : Increased economic opportunities				
Strategic Objective: Improved spatial hierarchy of services				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Support municipalities to improve spatial location of services (government, social and basic) in line with Provincial Spatial Planning (guidelines/frameworks and regulatory framework)	All Municipal SDFs Aligned with provincial spatial planning	There were notable achievements	The interventions are mostly aligned since they include issues of spatial planning. The strategic objective needs to be further unpacked to indicate what is meant by spatial hierarchy of services	All targets were achieved.
	All established Community Service Centres (CSC's) Functional	It is not clear whether the establishment of CSC's a part of spatial hierarchy of services.		The evaluations conducted confirmed the existence of CSCs with challenges related to poor quality.
Implementation of SPLUMA and PDA	100% of total provincial geographical area with Land Use Management Systems - Evaluation findings highlighted	The department aimed to assist Municipalities in Implementing Land Use Management Schemes and systems		Monitoring reports confirmed the achievement of targets. The department has managed to progress over the years; however findings from the evaluation conducted highlighted some challenges towards achieving the successful implementation of SPLUMA especially in the rural areas.
Implementation of SPLUMA and PDA	All municipalities are implementing the suite of plans	The target refers to the suite of plans, this is not specific, needs to be unpacked further.		

Goal 6: Adaptation to climate change				
Strategic Objective: Increased adaptation to climate change impacts				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Climate Change to be factored into planning and development processes (Disaster Sectors Plans budgeted programmes)	All Municipalities with disaster management featured in the IDP  100% share of development applications addressing disaster risk management (where applicable)		The intervention are aligned to its goals	Disaster management plans have been developed and communicated through IDP's
Policy Frameworks, plans and strategies to reduce risk	10 Districts and 1 metro monitored on the implementation of Disaster Management Strategy	It is not clear whether the disaster management strategy has been implemented or is being monitored	The 5 year target is aligned to the activities	Seasonal awareness campaigns have been conducted during year 2. The actions planned do not however address the 5 year target to monitor the implementation of disaster management strategy.
Early warning systems	100% Regular forecast of anticipated impacts of climate change and response plan	The intervention is not specific in terms of indicating what action needs to take or what is it that the department	There is an alignment	The department has managed to disseminate necessary weather alerts

Goal 3 : Increased economic opportunities				
Strategic Objective: Improved spatial hierarchy of services				
Intervention	5 – Year Target	Observations	Alignment	Achievement
		needs to happen with early warning systems (e.g. improved, implemented, etc.)		
	Share of events with early warning systems, where affected parties receive prior warning (100%)	The 5 year target is not specific, there is a need for modification.	The 5 year target is not aligned to an activity of Disaster monitoring (GIS) to records event disasters with early warning and effectiveness thereof response, impact, frequency of disasters	No progress reports have been noted over the 2 years. It is not clear whether the department is currently able to achieve the 5 year target through other means.

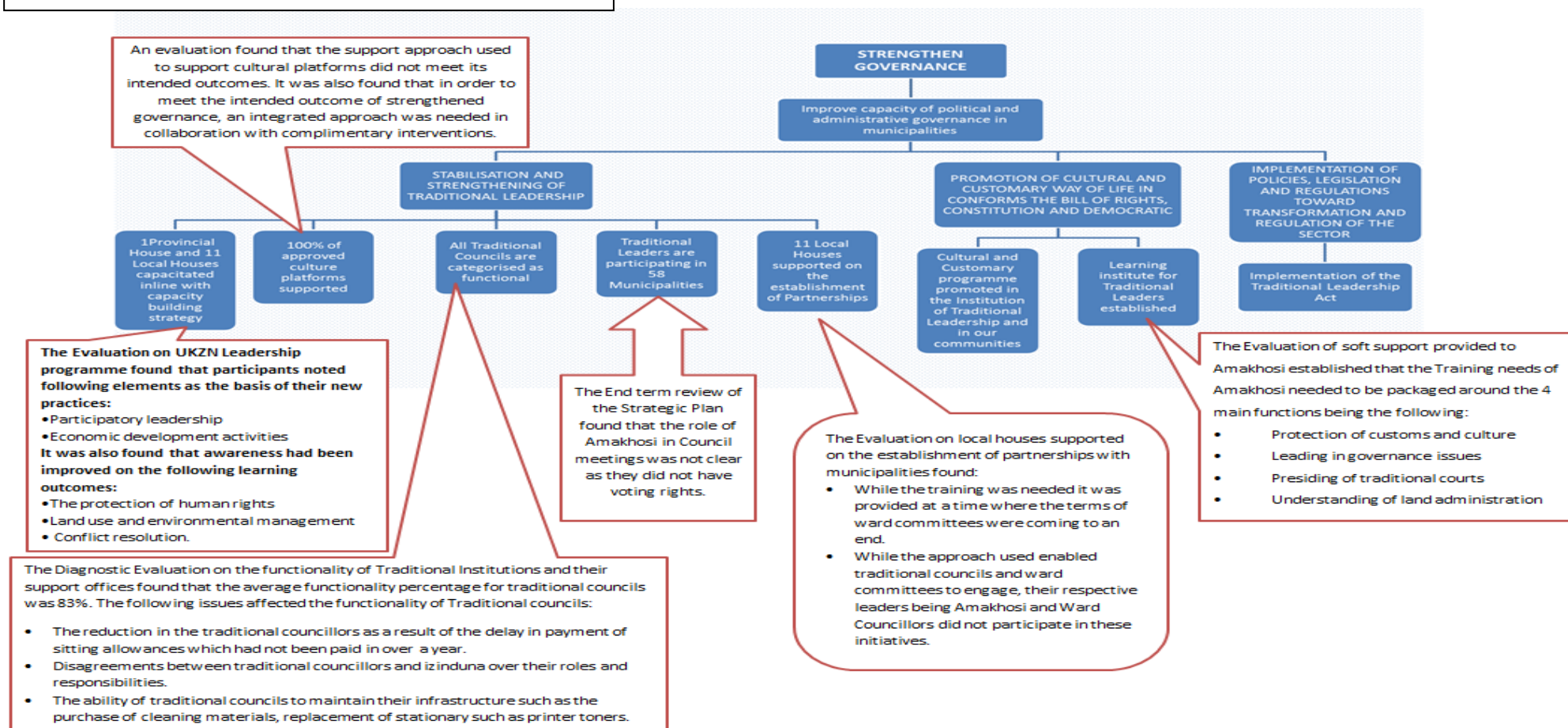


Goal 6: Adaptation to climate change				
Strategic Objective: Improve Disaster Management				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Co-ordinate interventions and support through disaster Management Institutional Structures	Average time taken to respond to disaster events (72 hours co-ordination from the Department)	The department has been able to meet its response time of 72 hours.	Interventions are aligned	The target is reported as achieved

### 5.3. PROGRAMME FOUR

Programme four is sharing a Strategic Goal “Strengthen Governance” and the focus of programme four is on Traditional Institutions. The diagram below provides a picture on how this programme is set to achieve this strategic goal and some evaluation findings that are found to be challenges for this programme to achieve the intended goal.

#### PROGRAMME 4: LOGIC MODEL ANALYSIS



## ROGRAMME 4: LOGIC MODEL PROGRESS ANALYSIS

Goal 6: Strengthened Governance				
Strategic Objective: Improved capacity of political and administrative governance in municipalities				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Stabilisation and strengthening of traditional leadership	1 Provincial House and 11 Local Houses capacitated in line with capacity building strategy	An indicator of number of Amakhosi attending the University of KwaZulu-Natal Advanced Leadership Programme has been discontinued	The target is aligned to the objectives	The department managed to do remarkable achievement such as conducting skills audit. However, most of the projects targets were not achieved/ not yet implemented, such as, Number of capacity building programmes aligned to the Provincial Capacity Building Strategy and headcount for Izinduna.
	100% of approved culture platforms supported	Even though the support is provided to cultural platforms, the Evaluation conducted found that for the intended of outcome of strengthened governance to be met, other complimentary interventions should accompany the support provided.	This 5 year target is better placed under Strategic Objective: Promotion of cultural and customary way	Support was provided on several cultural events. There was a need to conduct a customer satisfaction survey to obtain feedback from Amakhosi on the noted effects the supported cultural events have had on their communities.

Goal 6: Strengthened Governance				
Strategic Objective: Improved capacity of political and administrative governance in municipalities				
Intervention	5 – Year Target	Observations	Alignment	Achievement
			of life.	
	All Traditional Councils are categorised as functional	<p>Findings emerged from the evaluations in relation to the traditional councils categorised as functional noted that Traditional Councillors (TCs) were unable to maintain their equipment, as they do not have the budget for maintenance</p> <p>40% of TCs absconded their posts</p> <p>There were disagreements between TCs and Izinduna on their roles and responsibilities.</p> <p>Traditional courts experiencing challenges as traditional communities do not take decisions made by courts seriously.</p>		The challenges observed need to be address in order to deem traditional councils functional.

Goal 6: Strengthened Governance				
Strategic Objective: Improved capacity of political and administrative governance in municipalities				
Intervention	5 – Year Target	Observations	Alignment	Achievement
	<p>Traditional Leaders are participating in 58 Municipalities</p> <p>11 Local Houses supported on the establishment of Partnerships</p>	Reporting on the indicator, number of municipalities with participating traditional leaders has been discontinued during year two.	A linkage could be established under strategic objective of improved decision making through citizen participation	Amakhosi do not have the voting power in the Council, but it remains important that they attend so decision making is more inclusive.
	Cultural and Customary programme promoted in the Institution of Traditional Leadership		Mostly aligned to promotion of culture and customary way of life intervention	<p>The departmental intervention directly responds to issues related to anthropology, an evaluation was conducted. Even though most targets were achieved as highlighted in the monitoring report, an evaluation indicated some gaps in the following areas :</p> <p>- The lack of strategy towards meeting the demands of anthropology services.</p>

Goal 6: Strengthened Governance				
Strategic Objective: Improved capacity of political and administrative governance in municipalities				
Intervention	5 – Year Target	Observations	Alignment	Achievement
Promotion of cultural and customary way of life which conforms to the bill of rights, constitution and democratic principles.				<ul style="list-style-type: none"> <li>- Services were not provided within timeframes to the clients due to capacity issues</li> <li>- The Department has not organised itself effectively to meet the growing demand for anthropological services, due to the fact that the structure, the approach used and the institutional arrangements in place do not commensurate the growing demand for the service.</li> </ul>
	Learning institute for Traditional Leaders established	<p>A research conducted suggested that training needs of Amakhosi needs to be packaged around the 4 main functions being the following:</p> <ul style="list-style-type: none"> <li>- Protection of customs and culture</li> <li>- Leading in governance issues</li> <li>- Presiding of traditional courts</li> </ul>	There is an alignment	An indicator leading to the establishment of the learning institute has not been reported on from year two.

Goal 6: Strengthened Governance				
Strategic Objective: Improved capacity of political and administrative governance in municipalities				
Intervention	5 – Year Target	Observations	Alignment	Achievement
		-Understanding of land administration		
Implementation of policies, legislation and regulations toward transformation and regulation of the sector	Implementation of the Traditional Leadership Act			Progress on implementation of the Traditional Leadership Act during year 2 was not reported and has since been discontinued.

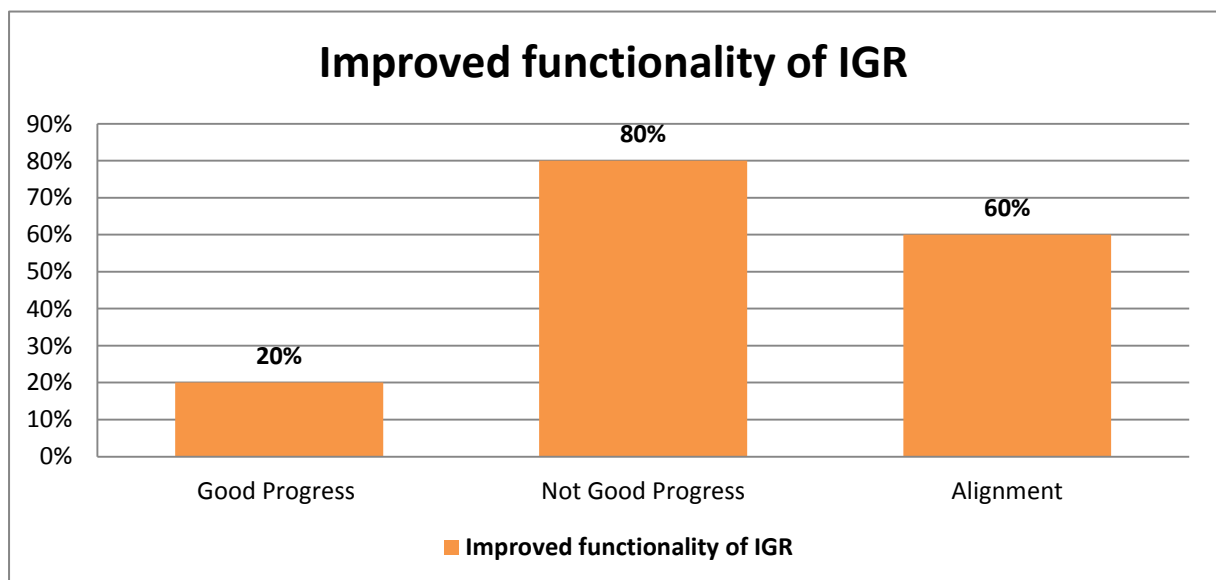
## 6. Summary of Achievements

### 6.1.1. Improved functionality of Inter-Governmental Relations

The attainment of this outcome or strategic objective is dependent on the achievement of the following key interventions:

- Utilisation of IDPs as a single window of coordination,
- Functionality of oversight structures,
- Coordinated service delivery,
- Integrated and sustainable support to municipalities as well as
- A single performance monitoring and evaluation tool.

Monitoring reports confirmed most targets were not achieved on IGR. Adding to that, evaluations conducted highlighted challenges around the non-functionality of some critical structures, such as MUNIMEC and MINIMEC. The evaluations also highlighted that municipalities are still inundated with multiple reporting requests. Little progress towards ensuring a co-ordinated single system to consolidate reporting for all stakeholders was also noted. Prevalent is the lack of involvement of critical stakeholders such as sector departments. This does not exclude OSS, which is not clear whether the departments still do participate, as there is no related progress reported.





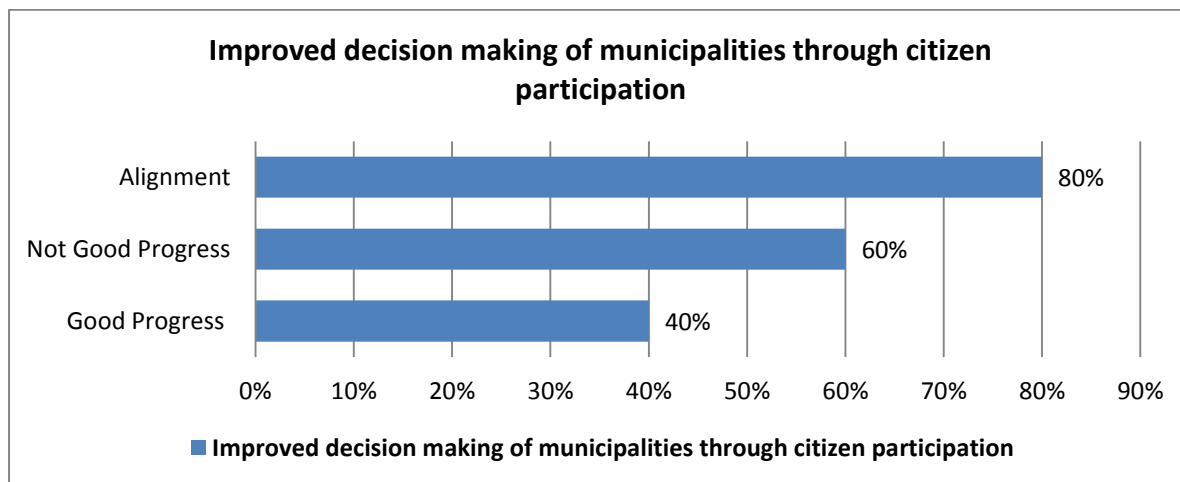
### **6.1.2. Strengthened accountability of governance institutions**

Part of the departmental mandate includes areas of oversight and ensuring accountability of the municipalities. This involves ensuring there are systems in place to assist municipalities achieve clean audit, prevent fraud and corruption, efficient reporting systems and ensured participation of citizens through various institutions. Information systems are in place and municipalities have functional audit structures. However, not all municipalities are achieving clean audit status. Previously municipalities have not been consistent in its achievement in particular on clean audit outcomes. This says whilst the municipalities are accounting to the relevant structures there are challenges with the systems in place to either detect any form of maladministration or to effectively conduct oversight. The back to basics evaluation also made reference to some municipalities collapsing and highlights the need to revitalise the support provided by the department. Fraud and corruption and maladministration have not been eradicated and some municipalities are being put under administration.



### **6.1.3. Improved decision making through citizen participation**

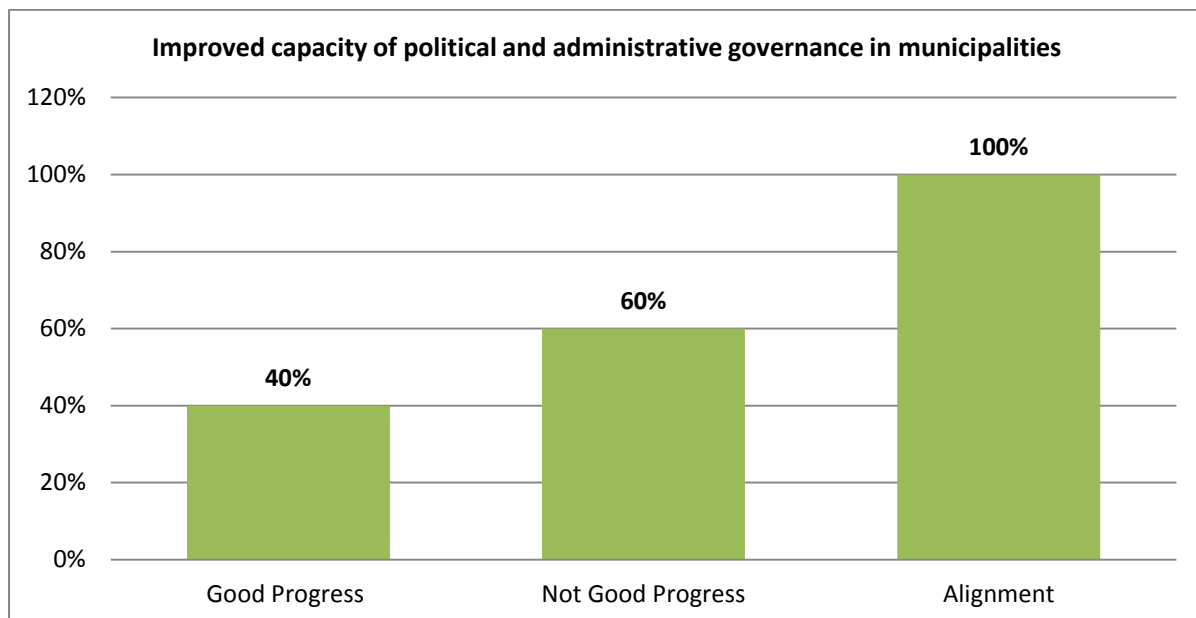
To adhere to the principle of putting people first, the department is committed to improve decision making by ensuring citizen participation. Even though the department through the municipalities have managed to achieve ward based planning, regression has been noted on the functionality of ward committees and imminent service delivery protests prior the elections. Successful conversations and dialogues are being held and the reports are produced with lessons learnt, what is not clear is whether any of the lessons learnt are used to improve decision making.



#### ***6.1.4. Improved capacity of political and administrative governance in municipalities***

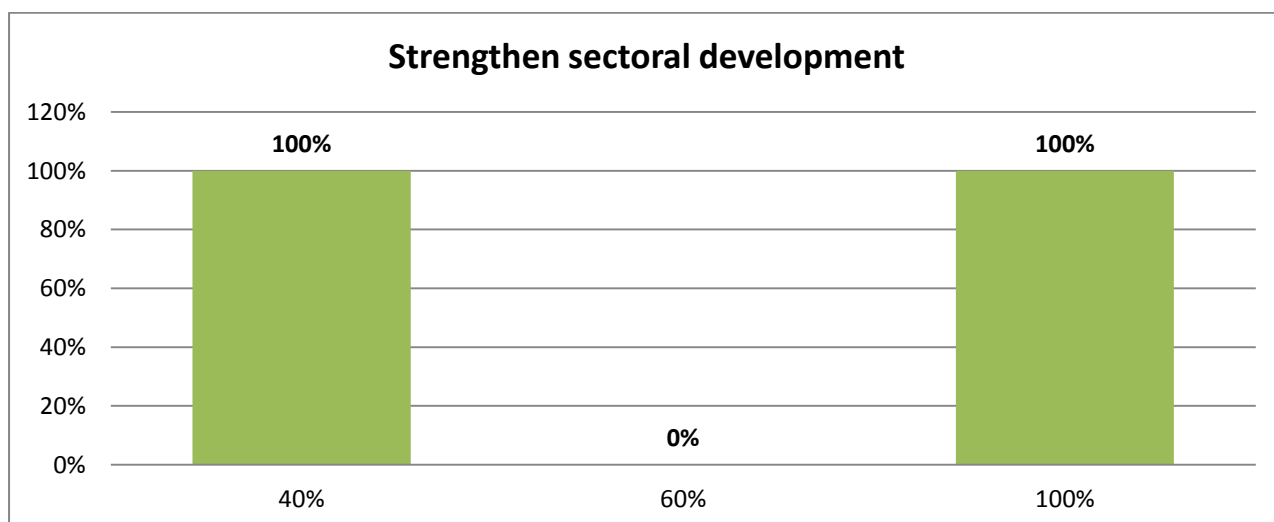
Capacity building is key to any organisation success and growth. Likewise, the department initiated this intervention in order to assist the municipalities, its political leaders as well as the traditional leaders. The execution of this strategy is clear and there are notable achievements within the relevant spheres (i.e. administrative, political and traditional). Some outputs were achieved; however there is no indication or evidence pointing at the reformed capacity building strategy, which also looks at issues of retention of skills and a more coordinated approach towards capacity building initiatives. Evidently, only the shared services for programme three seemed to be 'functional', the planned for local government programme was never implemented.

Under programme four, the skills audit was conducted but more still needs to be done in order to limit the gaps identified. Moreover, the programme aimed to capacitate Amakhosi through the UKZN leadership programme and several other indicators were discontinued. This is viewed to be negatively affecting the achievement of this outcome.



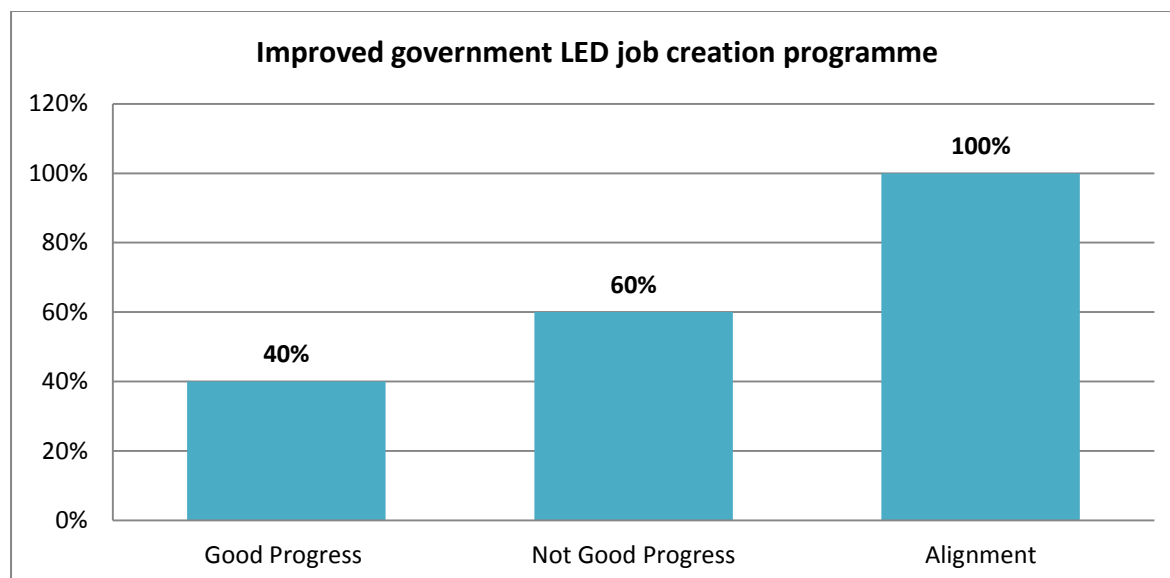
#### **6.1.5. Strengthen sectoral development**

Most targets have been achieved; however the outcome to strengthen sectoral development is not measurable. This is due to the departmental targets referring only to initiatives related to district agencies and its LED investments. The view is that this objective should relate to improving economic development and for the sectoral development to be an intervention with its targets.



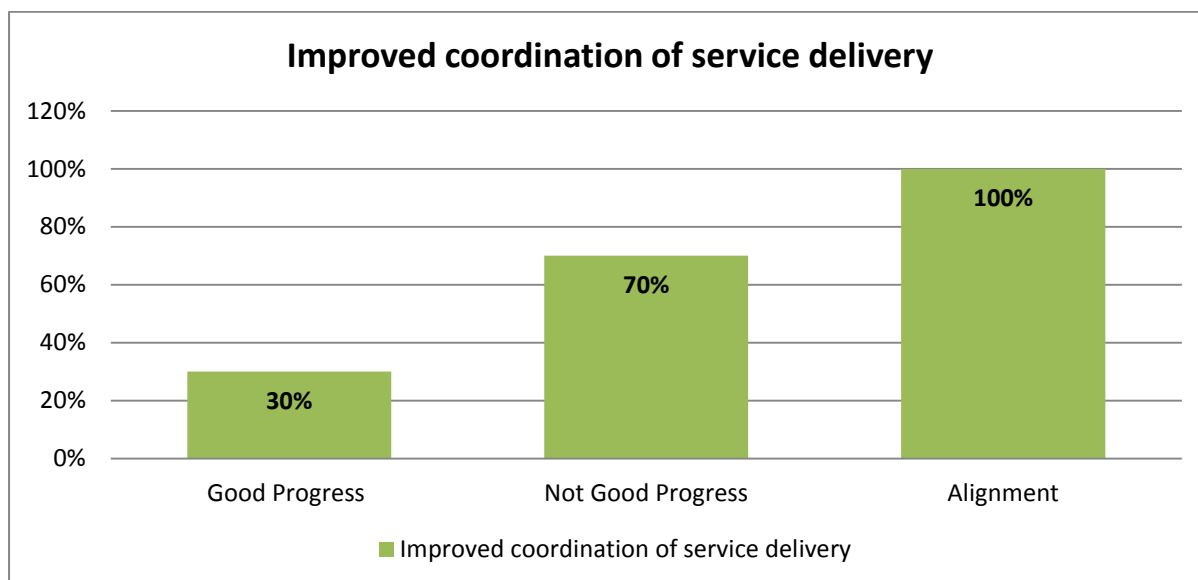
### **6.1.6. Improved government LED job creation programme**

Key to this objective is job creation. An evaluation conducted for the Small Town Programme indicated that whilst beautification of towns attracts investments there are no jobs that can be directly attributed to the development of town except during construction phase where only temporal jobs were created. Further highlighting that, real and sustainable jobs can be achieved through rebuilding of industrial and manufacturing factories into the small towns. A recommendation was for the programme objective related to job creation to be revised.



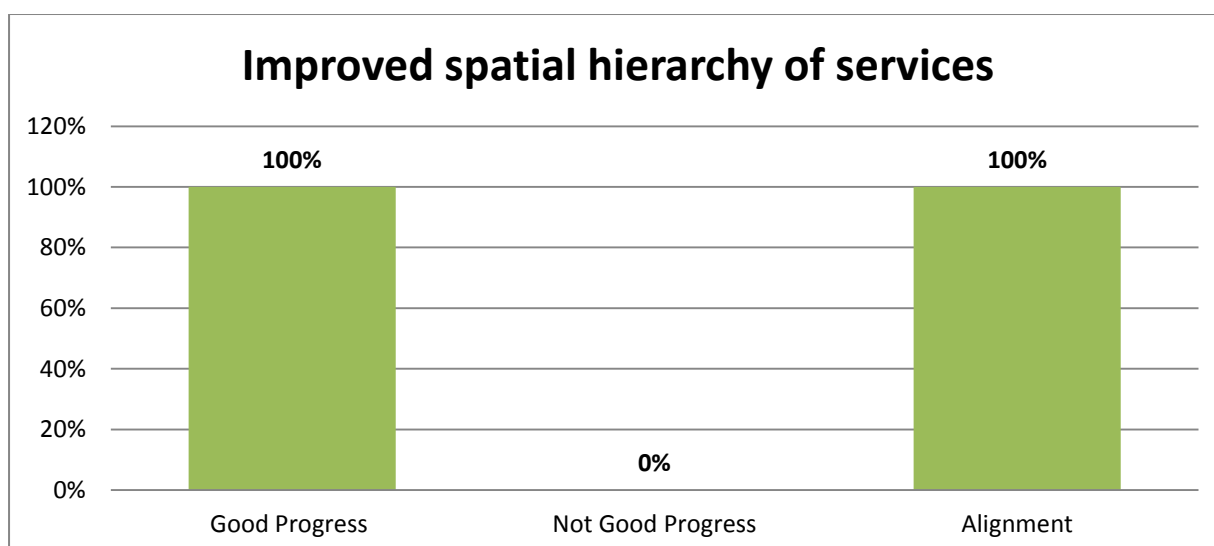
### **6.1.7. Improved coordination of service delivery**

Coordination of service delivery is one aspect that according to the previous evaluation reports is a challenge. The department has been able to coordinate some meetings with relevant stakeholders in order to produce reports, what remains pertinent but not implemented is the coordinated service delivery approach. This according to the previous evaluation reports is that, municipalities are inundated with departmental and other stakeholders' requests and operations. This then concludes that services are coordinated on paper but not on ground.



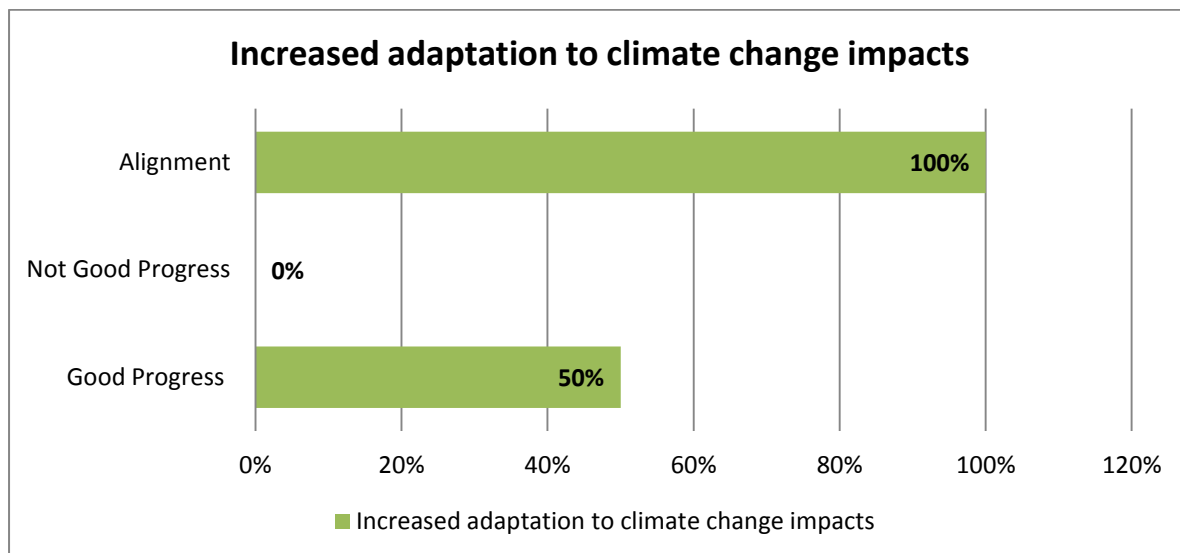
#### **6.1.8. Improved spatial hierarchy of services**

The objective is not specific to indicate exactly the change it aims to bring. It is not clear what is meant by hierarchy of services. Some interventions were to some extent evaluated and findings indicated some areas of improvement, such as, for CSC, issues of quality defects were detected and for SPLUMA and PDA, challenges on implementation especially in rural areas were found. Currently it is expected there is a change since at the time an evaluation the programme was recently implemented.



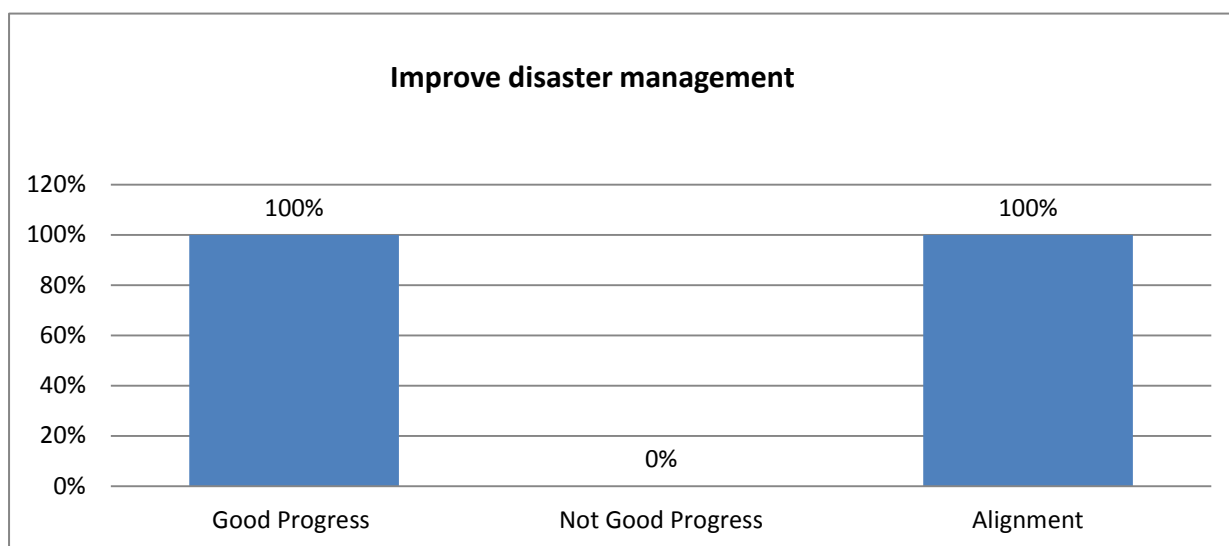
#### **6.1.9. Increased adaptation to climate change impacts**

The strategic objective intentions were mainly to raise awareness through campaigns for the general citizens and to improve average response times were achieved. The department managed to achieve all its planned targets.



#### **6.1.10. *Improve disaster management***

The department aimed at Coordinating interventions and support through disaster Management Institutional Structures by providing its response to 72 hours also to have functional disaster management centres. All was achieved.



## 7. Conclusion

The table below is reproduced for the purpose of showing the linkage between the strategic objectives to its strategic goals and responsible programmes

Strategic Goals	Responsible Programmes	Strategic Objective per goal	Achievements	Alignment
Improved Co-operative Governance	2	Improved functionality of Inter-Governmental Relations	20%	60%
Strengthened Governance	1, 2,3 and 4	Strengthened accountability of governance institutions	50%	100%
		Improved capacity of political and administrative governance in municipalities	40%	70%
		Improved decision making of municipalities through citizen participation	40%	80%
Increased Economic Opportunities	3	Strengthened sectoral development	100%	100%
		Improved government LED job creation programme	40%	100%
Strengthened Delivery of Basic Services	3	Improved coordination of service delivery	30%	100%
Well integrated Spatial Planning System	3	Improved special hierarchy of services	100%	100%
Adaptation to Climate Change	3	Increased adaptation to climate change impacts	50%	100%
		Improved disaster management	100%	100%

The table above indicates how the department has planned to achieve its implementation thus far. The relevant of the department and its ability to achieve the set targets

### Relevance

A conclusion is reached on the relevance of the strategic plan that it is largely aimed to enhance the overall functionality of its internal and external clients. Discussions are grouped under the following themes:

- **Theory of Change** - The interventions were found to be mostly aligned to the actions of the department however, it is understood if the theory of change was in existence most of the relevant links could have been established and aligned accordingly. Furthermore, the misalignment do not necessary lead to non-achievements at output level but the outcomes which lead to the impact are affected.
- **Indicators** - A few indicators were found to be inclusive of other sectors and not only reporting on the achievements of the department, e.g. 30500 employment opportunities maintained through CWP inclusive of all sectors.

## **Effectiveness**

On analysing this theme, a combination of monitoring information as well as evaluation reports were taken into consideration. The set five-year targets as per the strategic plan also provided a foundation for the analysis. It is important to note that not many evaluations were conducted for programme three; hence only monitoring information was used. The results indicate programme three is on track and progressing well towards meeting its 5-year targets. Least progress has been noted under IGR and the strategic objective of improved coordination of service delivery, with only 20% and 30% achieved respectively. Fair progress has been noted under the following strategic objectives with achievements of 40%:

The challenges which lead to the delayed progress were observed as follows:

- **Non-achievements**
  - o For some indicators, monitoring reports gave an overall progress of “not achieved” status for some indicators, for an example, under the improved functionality of Inter-Governmental Relations strategic objective. Integrated Provincial Service Delivery Plan – most targets were not achieved.
  - o Some indicators were reported as achieved on the performance information reports but when evaluation reports and other reports were consulted, achievements could not be confirmed, e.g. all municipalities with clean audits. Progress reported indicated all audit committees to be functional, however, the reality is, not all municipalities are achieving the status of clean audit.
- **Non-implementation**
  - o Some indicators were planned for on the strategic plan but never implemented, e.g. All municipalities with debt reduced, All municipalities supported with implementation of MPRA, indicator on cross boarder alignment, etc.



## **Outcome**

Achievement of outcomes is dependent on the progress made through the implementation. Outcomes related to coordination, i.e. IGR and service delivery coordination are struggling and less progress has been made. Observations attributed amongst other things, mainly to the unsuccessful attempts for the department to get other stakeholders (sector departments) to assist the municipalities.

## **Evaluators Observations**

The findings of the evaluation make reference to the issues of alignment and whether the intended outcomes are being achieved through measuring the achievement of outputs and intervention. The achievements under each strategic objective are at different levels, this was due to variations during implementation of programmes and mostly none implementation of some of the necessary targets. The department needs to focus on addressing the highlighted challenges in order to meet the desired change since the current progress is not as expected.

## **RECOMMENDATIONS**

Emanating from the report findings, it is suggested that the following be done:

- The theory of change be finalised to ensure alignment of the strategy
- Revisit the indicators that were planned for in the strategic plan but were not implemented.

## 8. SIGNATURES

<b>Submitted by:</b>  ..... <b>Mr M. Sogwagwa</b> <b>Director: Evaluation</b>	<b>Date</b>     .....
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<b>Supported by :</b>  ..... <b>Ms S. Hassim</b> <b>Director: Strategic Planning and</b>	<b>Date</b>     .....
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<b>Supported by :</b>  ..... <b>Ms A. Sekhesa</b> <b>Chief Director: Strategic Planning,</b> <b>Monitoring and Evaluation</b>	<b>Date</b>     .....
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<b>Approved by :</b>  ..... <b>Mr T. Tubane</b> <b>Head of Department: Department of</b> <b>Cooperative Governance and Traditional</b> <b>Affairs</b>	<b>Date</b>     .....
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