

AN INTRODUCTORY
GUIDE TO CONDUCTING
**GOOD
GOVERNANCE
SURVEYS**

Afesis-corplan


Promoting local democracy and community-driven development


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good governance learning network

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Worldwide.

Lessons learnt and experiences from South Africa



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About Afesis-corplan

Afesis-corplan is a member of the Good Governance Learning Network (GGLN). Afesis-corplan is a non-government organisation based in the Eastern Cape Province of South Africa. Afesis-corplan was formed in 1992 and aims to achieve good governance and sustainable settlements through participatory methods that empower poor communities. Afesis-corplan strives to ensure that civil society participates effectively in local government structures and holds local government accountable for service delivery and decision making. The Good Governance Survey is one of the projects that Afesis-corplan is rolling out in an effort to achieve its objectives.

About GGLN

The Good Governance Learning Network (GGLN) is a network of South African non-governmental organisations (NGOs) that aims to promote participatory, effective, accountable and pro-poor local governance. The network was established in 2003 in order to provide an interface for civil society organisations working on issues of local governance and citizen participation to network and share information towards strengthening local democracy in South Africa. Other objectives include the documentation and dissemination of good practices, building the capacity of practitioners, advocacy, as well as creating awareness about the value of participatory local governance.

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ABOUT THIS GUIDE

This guide provides an introductory explanation to the Good Governance Survey (GGS) concept and methodology. The GGS, developed by Afesis-corporan with the support of the German Agency for Technical Cooperation (GTZ), is an action research process designed to investigate the state of local governance within municipalities.

The core components of the GGS are a survey of perceptions of local government elected representatives, officials, citizens as well as civil society formations. The survey deals with the following areas:

- Public participation and consultation
- Transparency
- Decision-making
- Disclosure
- Service delivery
- Corruption
- Systems and structures

The data collected during the initial phase of the survey is analysed and provisional findings are prepared and these form the basis for the next phase. Phase two of the GGS involves a systematic verification process to ensure the integrity of the ultimate reports and the policy recommendations thereof.

The verification and clarification of the information collected in the first phase is therefore subjected to focus group discussions which involve representatives from all the stakeholder groups mentioned above. Moreover, a basic audit of the Governance systems and structures is also undertaken at the municipal offices in order to compare respondents' perceptions against the reality on the ground.

1. BACKGROUND TO THE GOOD GOVERNANCE SURVEY

1.1 Introduction to the GGS

For the better part of the past decade Afesis-corporan, in collaboration with various members of the Good Governance Learning Network (GGLN), has been undertaking surveys of good governance in various municipalities across South Africa. This is in line with the organisation's commitment to the promotion of good governance practice within local government. The surveys have been a culmination of a process of designing and refining assessment and monitoring tools over time to ensure that they remain robust and relevant to a dynamic local government environment.

As a result, the GGS methodology employed constitutes a significant contribution to citizens' understanding of local governance practices and also provides a useful self-assessment tool for participating municipalities. It has emerged as one of the few alternative instruments for appraising local governance practices. Its uniqueness lies in its ability to offer a non-technical and civil-society inclusive approach to municipal performance that is able to compare both quantified and perceptions based data.

1.2 Good Governance: A conceptual framework

The official concept of local good governance is presented in the **Local Government White Paper**, 1998 and various pieces of legislation, ranging from Chapter 7 of the Constitution to the Municipal Structures Act, 1998 and the Municipal Systems Act, 2000.

The second perspective on good governance is that generally referred to in business circles as **corporate governance**. Good corporate governance places a lot of emphasis on transparency, accountability. It focuses on efficiency, productivity and profit maximization.

The third approach is the **civil society** perspective, which attempts to capture the multitude of interactions that occur between citizens and the local state, i.e. issues of decision-making, service delivery, etc. This broader good governance perspective proposed by civil society focuses on frank and honest communication and not the mere functionality of municipal institutions.

Senior municipal officials and consultants currently using the corporate governance methodology have mastered the language of 'participation' and 'engagement' but are often reluctant to include indicators of these principles in monitoring instruments. This narrow approach to good governance tends to inhibit the development of a more meaningful form of civil society engagement with local government that would entail greater participation and consultation with a wide range of stakeholders in decision-making processes.

The GGS design set out to establish a balance between the corporate governance approach, and the concerns of the civil society.

1.3 Rationale for the GGS

The primary basis for the GGS derives directly from the 1998 White Paper on Local Government. The GGS seeks to

strengthen and make more effective the key tenets of the White Paper as outlined below:

- Political leaders remain accountable and operate within their electoral mandate.
- Citizens as individuals or groups retain the opportunity for continuous input into local policies and practices.
- Service consumers have influence over the way services are delivered and some form of co-operation or partnership occurs between civil society and the local state to assist in development.

Subsidiary goals include the empowerment of communities to engage with council officials and elected representatives in the pursuit of good governance practice at the local level. Additionally, the GGS offers District Municipalities (DMs) a forum through which they can interactively obtain views from a wide range of their residents regarding the performance of local municipalities under their jurisdiction, especially on issues of governance.

1.4 Advantages of undertaking a GGS

There are a number of benefits attached to the conduct of the GGS such as:

- Legal and policy compliance advantages that are made possible by a municipality's willingness to voluntarily create spaces for public participation in local governance.
- Emergence of an honest, participatory approach to self-assessment such as is envisaged in the GGS methodology.

Legal and Policy benefits

According to section 16(1) of the Municipal Systems Act 2000, municipalities are obliged to “encourage and create conditions” for community participation in:


- Preparation, implementation and review of Integrated Development Plan (IDP)
- Establishment, implementation and review of its PMS
- Monitoring and review of performance including outcomes and impact

Further Municipal Performance Management obligations in terms of the Municipal Systems Act include:

- Setting targets and indicators and monitor performance based on these
- Publishing an annual report on performance for councillors for the staff, the public and other spheres of government
- Including general Key Performance Indicators (national KPIs) as prescribed by the Minister of Provincial and Local Government
- Involving the community in setting indicators and targets and reviewing municipal performance.

Moreover, the Local Government Policy framework requires that performance assessment be community interactive, i.e. participatory.

Commenting on the performance management guidelines for municipalities in 2001, the Minister of Provincial and Local Government explained that “In essence, the White Paper for Local Government visualises a process where communities will be involved in governance matters, including planning,



implementation and performance monitoring and review communities would be empowered to identify their needs, set performance indicators and targets and thereby hold municipalities accountable for their performance in service delivery.

Governance benefits

- Allows issues of government and service delivery to be approached in a consensual way by building dialogue between communities and their municipalities
- Indicators are generic and flexible i.e. can be adjusted to fit conditions most common across different local municipalities
- Interactive experience helps to clarify expectations and introduce practicality
- Adds depth and legitimacy to the IDP review process
- The GGS is compatible with other more technical performance monitoring systems (score-cards, customer satisfaction surveys, etc)
- Provides an early warning system which could enable municipalities to pre-empt crisis

Contractual Principles

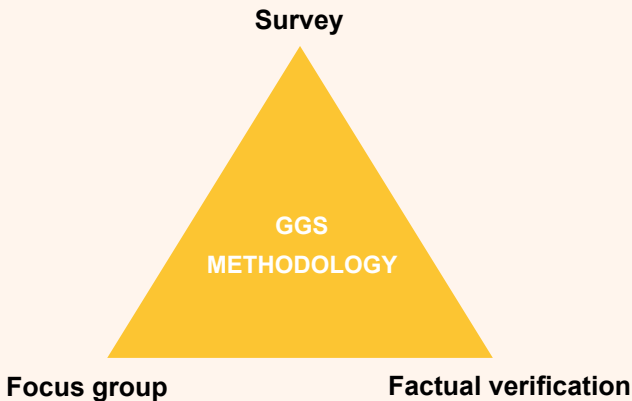
- Real partnership is fostered through joint project steering and decision-making, which is mutually beneficial to all the parties involved
- Survey analysis must be independent and objective
- Findings are used not to sanction or punish but to find remedies and expand good governance practice

2. THE GGS METHODOLOGY

2.1 Introduction to the Methodology

The methodology for the GGS consists of:


- A **survey** of councillors, officials, ward committees, members of the general public and representatives of civil society organisations
- A **focus group** with selected individuals from each respondent group, to verify and obtain additional input on the survey findings
- A **factual verification** exercise consisting of a checklist of policies, systems and structures existing within the municipality



The GGS is essentially a tool based on people's perception about good governance practices in their municipalities. The survey instrument has attempted to take account of both municipal councillors and officials and civil society perceptions of municipal governance performance and the state of engagement between the municipality and the local citizenry.

The Minister of Provincial and Local Government aptly underscored the crucial importance of perception-based feedback in his 2001 address to municipalities on the matter of performance management. He reminded municipalities "...you are only as good as the people you serve think you are..."

The good governance indicators used in the survey are based on accepted international measures including widely accepted definitions of corporate



governance principles and those set out in South Africa's developmental local government policy.

The methodology provides for triangulation¹, which is critical in assessing actual performance. In practice, performance measurement is generally assumed to be a function of municipal officials or those with a vested interest in the political fortunes of the municipality (councillors). However, disregarding independent civil society feedback would deny such processes a vital and impartial input and therefore dent the overall credibility of their outcomes.

The participatory and interactive GGS methodology has the advantage of bringing different local government stakeholders together to formulate a common perspective on the issues confronting municipalities. This creates the basis for consensual interventions geared towards improvement and collaborative solutions, rather than a set of technical directives to officials and councillors, who frequently lack both the will and the capacity to implement the solutions prescribed by outside 'experts.'

In terms of practical use of the survey by local government, where councillors and officials have made the effort to interact with citizens and community-based organisations (CBOs) in the post-survey focus groups, the outcome has invariably been positive. The result has been improved prospects for reconciling divergent perspectives and new insights into mutually agreed solutions.

The GGS methodology identifies the District Municipality (DM) as a core partner and stakeholder in the process. There are at least two key reasons why the district level is viewed as an appropriate level for monitoring governance practices and building capacity. Firstly, DMs are a key source of support and can offer advice and guidance that may pre-empt crisis at the local level. Secondly, DMs are in a unique position to make an objective and comparative assessment of different local governance practices and communicate or network these across the entire district.

¹ Triangulation is a research method that entails the use of various data sources to verify or corroborate each other, with the aim of the different sources converging to produce an accurate finding

Other anticipated institutional benefits of working through DMs include:

- Creating institutional responsibility for the survey outcome at municipal level, including setting in place measures to address the problems identified
- Encouraging the use of the tool as a measure of good governance coordinated by district municipalities. In this regard, the DM monitors and provides support rather than acting as a policing structure or regulatory body.
- Provide an 'umbrella' structure which is slightly removed from the survey findings and able to process the results in an objective manner and promote comparative assessments of local municipal practice.
- District municipality officials can be trained and mentored to incorporate the survey methods into their own monitoring and evaluation functions.

Operationally the Good Governance Survey method is not an additional burden on municipalities but a means of adding value to existing procedures:

- The GGS is most effective if linked to performance management and IDP review. Initially the DM has a partner i.e. it gets assistance from specialised NGOs (preferably GGLN members) who will partner with DM staff in the course of conducting and analysing the survey.
- There will be progressive integration into DM management functions with reduced reliance on service providers over successive rounds of the survey. For example, the GGS may eventually be undertaken by Community Development Workers (CDWs) in partnership with local CBOs.
- In the longer term the GGS must be a key component of the manner in which municipal performance is recognised and rewarded.

The GGS is mainly dependent on primary data, which is gathered through a comprehensive questionnaire, to municipal councillors and officials, organised civil society and the general public, administered by researchers trained around the use of the tool.

The survey interrogates the **key elements of governance**, namely:

- Decision-making within local government
- Public participation and consultation
- Transparency
- Disclosure
- Corruption
- Service delivery
- Systems and structures

The survey makes a clear distinction between the different respondent groups in order to allow a balanced and triangulated perspective to emerge. The current questionnaires aim for a balance between perceptions and verifiable data or knowledge. It attempts to strike a balance between monitoring legislative compliance, community perceptions and the need to identify and promote more innovative and creative municipal initiatives.

This allows the survey to highlight differences and commonalities in perception between the various stakeholders at municipal level. The research utilises focus groups as a means of verification and clarification, as well as a forum to report back to the stakeholders. Focus group discussions amongst the different respondent groups provide the opportunity to reach a common understanding of problems related to local governance. Above all, the GGS provides an early warning system for more serious problems of delivery and community perception before these reach the conflict stage.

2.2 Looking at local governance from different perspectives

The GGS methodology takes cognisance of three dimensions of local governance. Firstly, there is the desired state of local governance as identified in the South African legislation and by scholars the world over. Secondly, there is the reality of local governance practice and performance of municipalities in the execution of their mandates. Thirdly, there is the perception-based notion of local governance practice. The third state of local governance is largely informed by the experiences of a wide range of stakeholders. People's perceptions are influenced by a multiplicity of factors. These factors range from friendship, kinship ties, political affiliations as well as observable trends and practices within a given local municipality. The desired state of good governance serves as the basis of the survey.

The ideal state of local governance is clearly explained in the relevant South African legislation and the White Paper on Local Governance. Stemming from these are also rules and regulations, laws, by-laws and other relevant policies, which are supposed to work together and lead to the emergence of good governance ideal types in the local state. The GGS therefore takes all these factors into account and provides a space for councillors, officials, civil society and the general members of the public to engage in mutually beneficial monitoring endeavours aimed at enhancing participatory democracy and good governance practice.

The actual state of governance is in part covered during the good governance survey. It involves crafting a list comprising the relevant rules and regulations, institutional set-ups and structures as required by the various pieces of legislation on local government as well as the White Paper. To this end, good governance researchers are required to go to local municipalities' offices to check and verify the existence of the requisite systems, structures and evidence of certain prescribed practices that are supposed to be consistent with the notion of the desired mode of good governance.

It is, however, instructive that the bulk of the data collected through the GGS is **perception-based**. The information reflects the third state of local governance that is experienced by the residents of the municipality under review. This survey collects data on the performance of the local municipality as perceived by a representative sample of the key stakeholders. Universally recognised indicators of governance such as 'decision-making,' 'public participation,' 'systems and structures,' etc are used to gauge the municipality's performance.

2.3 Survey sampling framework

It is recommended that cluster sampling be undertaken. This technique allows for the sub-division of the population into groups or clusters after which a random sample of these clusters may be selected. For instance, in a District Municipality with ten local municipalities, a sample of about four local municipalities would constitute the first level sample. In some cases, it might be possible to conduct the survey in all the local municipalities in a district. For instance, the Nkangala District Municipality's GGS in 2007 covered the entire district of six local municipalities. In this case, the first level of sampling became unnecessary.


The second level of sampling entails determining the sample size for each local municipality as well as respondent categories that would be amply representative and reflective of the socio-economic and demographic profiles of the areas in question. The socio-economic heterogeneity of local populations necessitates the formation of stratified clusters using income levels as a proxy for socio-economic categories. Income levels are generally good indicators of ones' socio-economic status. Moreover, since the GGS is not about determining the precise levels of income accrued to respondents, respondents can be categorised into income groups by observing certain fundamental traits that infer people's material position. For instance, where people live, the kind of infrastructure they have access to, whether or not they use private vehicles etc are indicators of people's economic status. This categorisation is used for the sampling of the survey of members of the public.

The table below illustrates indicators of the traits of the different income categories the sample of the general public respondents should be divided into. The demographic profile of a local municipality should be used to determine the proportionate sample sizes for each respondent group. Typically, in most municipalities, the bulk of the respondents from the general public will be from the low-income group, followed by the middle-income category.

CATEGORY OF RESPONDENTS (CLUSTERS)	PROXY INDICATORS
1. High-income group	Respondents living in high-income housing and apartments located in more affluent suburbs
2. Middle-income group	Respondents living in established middle-income townships and suburbs
3. Low-income group	Respondents living in newly established RDP houses or informal settlements

Selecting respondents

Care should be taken to make the sample of members of the public as geographically representative as possible by including respondents in a spread of wards across the entire municipality.



Respondents from the members of the public category are identified using convenience sampling whereby fieldworkers walk through neighbourhoods and approach people to be interviewed. In order to avoid possible bias in the identification of respondents, interviewers should not be deployed to the areas where they reside.

Respondents from within civil society organisations can be randomly selected from a list of NGOs and CBOs within the municipality. Municipalities may often be able to assist with such a list.

For councillors, officials and ward committees, respondents are selected randomly from lists supplied by the municipality. In the case of councillors, it is important to ensure that a diversity of political views are represented in the selection of respondents (i.e. there should be a mix of ruling party and opposition party councillors).

It is standard to attempt to interview the Mayor, Speaker and Executive/ Mayoral Committee members, in addition to a selection of other councillors. With regards to officials, ideally the Municipal Manager and heads of departments should be interviewed. Where this is not possible, other senior managers should be interviewed. Where possible, a more or less equal gender representation should be sought.

3. BASIC PROTOCOL FOR CONDUCTING A GGS

The duration of the GGS is largely dependent on how fast the key stakeholders can be mobilised and rallied behind the process. Normally four months would be sufficient to conduct the GGS and come up with credible recommendations or suggestions aimed at remedying whatever challenges will have been noted.

3.1 Thirteen fundamental steps

A typical GGS would involve the following thirteen steps.

Step 1. Mobilise the key stakeholders and secure their buy-in to the project.

In the case of the GGS, principal stakeholders would include:



- The District Municipality (DM)
- The Local Municipality (LM)
- Members of the public
- Civil society

After securing the commitment of the key stakeholders, the DM in consultation with the LMs should embark on the identification of a service provider to support the research process. The service provider would ideally be an NGO, experienced in local governance work.

It is recommended that participating DMs/LMs contact the Good Governance Learning Network (GGLN) for recommendations on possible service providers. The GGLN has a list of its members who are involved in good governance work at the local government level.



Step 2. Planning workshop

The DM and the NGO meet to plan the overall approach to the survey, including persons to be deployed, initiation of communications with local municipalities, survey samples, report back mechanisms and plans for remedial interventions.



Step 3. Form project steering committee (PSC)

The NGO service provider and the DM set up a joint PSC to oversee the project and decide on terms of reference and decision-making conventions.



Step 4. Sign agreement

Provisions agreed in the preceding stages are consolidated into a memorandum of understanding (MoU) and signed by all the key parties involved.



Step 5. Road show to local municipalities

The GGS is explained and promoted to constituent LMs and further agreements are entered into with each of the participating LMs.



Step 6. Finalisation of operational teams

In close consultation with the NGO, the DM appoints field researchers and plans for their deployment are made. The criteria for appointing field researchers will be provided by the NGO.



Step 7. Training for field researchers

A workshop is held to train all the field researchers and their supervisors. Only those field researchers that pass the assessment by the trainers make it into the final list.



Step 8. Field research conducted

All the field research is completed and the necessary documentation from municipalities secured.



Step 9. Collating data

Service provider collates all survey data and produces statistical reports (the statistical package, SPSS, is recommended for this purpose).



Step 10. Initial data analysis

The statistical reports generated in step 9 are further analysed, interpreted and provisional findings for each municipality compiled.



Step 11. Focus group discussions

On the basis of the provisional reports generated in step 10, key issues are identified and focus group sessions held in each participating LM to verify or clarify some of the findings. The service provider facilitates the discussions.



Step 12. Draft final report

Based on the survey outcomes and the record of focus group proceedings, a final report is drafted with common problems and innovative practices clearly identified. At this stage the service provider makes tentative suggestions for remedying or intervening on certain issues.



Step 13. Feedback / consolidation workshop



This workshop is held at the DM level with the participation of civil society as well as municipal delegations from each of the local municipalities. The final report is considered and a programme of action involving both the civil society and the other key stakeholders is agreed upon.

3.2 Allocation of roles

In order to ensure that all the key GGS stakeholders are clear on their duties and obligations, these will be clearly spelt out in the MoU to be signed between the service provider, the DM, LM and the external funder where applicable. Up to now, much of the roll out of the GGS has been funded by international partners, like the GTZ, but district and local municipalities will increasingly mainstream the surveys as part of their performance management systems (PMS) and customer satisfaction studies. With the backing of national bodies, e.g. the Department of Provincial and Local Government (DPLG), or the South African Local Government Association, over-dependence on donor support should be reduced in order to ensure sustainability in the long-term.

A typical MoU would make provision for the following eight elements:

1. A preamble
2. Agreed articles regarding the division of roles
3. Specific activities for each of the parties to the agreement
4. A clear mandate regarding project co-ordination

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5. A clear mandate regarding project financial management
 6. Concise procedure for tackling disputes and breaches to the MoU
 7. Variation
 8. Addresses of the contracting parties

4. SURVEY INSTRUMENTS

The survey instruments of the GGS are questionnaires, which have been formulated, reviewed and piloted over the better part of the past decade. The periodic reviews have enriched the instruments with new insights in tandem with a dynamic society and international governance environment that is also constantly evolving.

The last major review of the instruments occurred in early 2007 during a reflection exercise following the successful roll-out of the GGS in Nkangala DM's six local municipalities in Mpumalanga, as well as Cacadu DM's nine local municipalities in the Eastern Cape. Inputs from some members of the GGLN, officials from the GTZ, Afesis-corplan and representatives from the Cacadu District Municipality informed the review. This review strengthened the section on service delivery and also introduced ranking on some of the existing questions.

There are two questionnaires used in the GGS: one for members of the public and NGOs/CBOs, (see 4.1 in this guide) and one for councillors, officials and ward committee members (see 4.2 in this guide).

Although the questionnaires are the ones currently recommended for the GGS, periodic reviews are encouraged to ensure that questions remain relevant in spite of changes in the regime of legislation and policy at the local government level.

4.1 Good Governance Questionnaire

MEMBERS OF THE PUBLIC AND NGOs/CBOs

Please use a tick ✓ alongside the chosen option

I. Introduction

Questionnaire number	
Time	
Tel number of respondent	
Municipality	
Ward number/name	
Income category (e.g. LI, MI, HI)	
Date	
Interviewer	

II. Respondent category

a. Member of public
b. CBO/NGO

III. Biographical details

a. Age

i. 20 or less
ii. 21-40
iii. 41-60
iv. 61+

b. Gender

i. Male
ii. Female

DECISION-MAKING

1. How often are council meetings held?

a. More than once a month
b. Once a month
c. Once every two months
d. Once every three months
e. Twice per year
f. Once a year
g. Other, please specify
h. Don't know

2. Have you ever attended a council meeting?

If answer to question Q2 is No, skip Q3.

a. Yes	
b. No	

3. Are council meetings usually well attended by councillors?

a. 50% or less usually attend
b. 51% - 80% usually attend
c. 81% - 100% usually attend
d. Don't know

PUBLIC PARTICIPATION AND CONSULTATION

4. How are you informed about council meetings? More than one answer is permitted for this question.

a. Municipal accounts
b. Public notice boards
c. Municipal newsletters
d. Local newspapers
e. Ward committee meetings
f. Radio announcements
g. Members of the public are not informed
h. Loud hailing
i. Other, please specify
j. Don't know

5. How often do you attend council meetings?

a. Every meeting
b. Occasionally
c. Attended once
d. Never attended

(Skip Q6 if answer to Q5 is d)

6. Are you satisfied with the level of attendance at council meetings by members of the public?

a. Yes
b. No
c. Other, please specify

**7. In your municipality what forums exist for community participation?
More than one answer is permitted for this question.**

a. Ward committees
b. Development forums
c. Steering committees
d. No forums exist
e. Don't know

If no forums exist skip to Q22

8. How often do you attend any of the forums for community participation?

Never	Once	Twice	Thrice	All

Ask Q9 if answer to Q8 is 'never'

9. If never, why do you not attend forums for community participation?

a. The venue is inaccessible
b. The forum does not allow for input
c. No interest
d. Other

10. In your opinion how effective are the following forums for community participation in your municipality?

Status	IDP forum	Ward committee
a. Non-existent		
b. Very ineffective		
c. Ineffective		
d. Effective		
e. Very effective		

11. What contributes to the effectiveness of forums for community participation? (Rank answers on a scale of 1-5, 1 for least important factor and 5 for most important)

	1	2	3	4	5
a. Human Resources capacity					
b. Access to technical and financial resources					
c. Credibility of forums for community participation within civil society					
d. An understanding of the role of forums for community participation					
e. Existence of terms of reference					
f. Leadership of the forum/ councillor					

12. Do you, through your ward committee, give recommendations to council regarding your development priorities?

a. Don't know	b. Never	c. Rarely	d. Regularly

13. Of the proposals forwarded to council from forums for community participation, which issues emerged as the most important in your municipality?

a. Service delivery issues
b. Community participation issues
c. Corporate governance issues / the way the council is managed
d. No proposals were forwarded
e. Other, please specify

14. Are ward committees representative in terms of the following criteria? More than one answer is permitted for this question.

a. Gender
b. Disability
c. Variety of stakeholders (i.e farmers, faith-based organisations, CBOs)
d. Race
e. Geographical location
f. Age

15. Is there someone within the municipality who is responsible for coordinating community participation?

a. Yes
b. No
c. Don't know

Skip question 16 if answer to 15 is no or don't know

16. If yes, who is this person?

a. Name or designation	b. Don't know

17. Which of the following resources does the municipality provide in order to promote community participation? More than one answer is permitted for this question.

a. Travel resources
b. A venue
c. Catering resources
d. Administrative resources
e. None
f. Other

18. How many consultative meetings were held to discuss the most recent municipal budget?

a. None
b. 1
c. 2
d. 3
e. 4 or more
f. Don't know

19. Have members of the community and/or CBOs had any conflicts with the local municipality, e.g. have there been any sit-ins, rates boycotts etc in the last one year?

a. Yes
b. No
c. Don't know

20. What was the conflict about?

a. Corruption	
b. Service delivery	
c. Councillor's performance	
d. Official's performance	
e. Issues of public participation	

TRANSPARENCY

21. Does the municipality give progress reports to the community on municipal projects and programmes? (e.g. reports at ward committee meetings, etc)

a. Yes
b. No
c. Don't know

22. Do you think that the municipality's annual report is widely distributed?

a. Yes
b. No
c. Do not know

23. Have you ever heard about an Auditor-General's report?

a. Yes	
b. No	

24. How were you informed about the Auditor-General’s report? More than one answer is permitted for this question.

a. Newsletters
b. Local newspapers
c. Special leaflets
d. Council meeting
e. Ward committee meeting
f. Other, please specify
g. Don't Know

25. Does the municipality hold public meetings to communicate progress on the following?

Items	Yes	No	Don't know
1. IDP review			
2. Council Budget			

DISCLOSURE

26. Is there a system of disclosure of business interests by councillors and officials in your municipality?

a. Yes
b. No
c. Don't know

27. In your view is the municipality’s system for disclosure of business interests by councillors and officials effective?

a. Yes
b. No
c. Don't know

28. How is the information on the business interests of councillors and officials made available to the public?

a. It is made available at municipal offices
b. It is not made available
c. Don't know

29. In your view, what is the importance of such information and where would you prefer to find it?

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SERVICE DELIVERY

30. On a scale of 1-5, (1 for not accessible and 5 for very accessible) how accessible are municipal offices to the public?

1	2	3	4	5	Don't know
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31. On a scale of 1-5, (1 for least helpful and friendly, and 5 for most helpful and friendly) how would you rate the frontline staff at the council offices?

1	2	3	4	5	Don't know
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32. Please indicate your current impression of service quality on a scale of 1-5 (1 for least satisfactory and 5 for most satisfactory)

1. Service	1	2	3	4	5
a. Employees of the municipality have the knowledge to answer our questions					
b. The municipality has employees who give us personal attention					
c. When the municipality promises to do something by a certain time it does so.					
d. The Municipality performs the service right the first time					
e. Employees of the municipality are always willing to help us					

33. Are you aware of any document in which service delivery standards for the municipality are specified?

a. Yes
b. No
c. Other, please specify

34. Has there been a survey of public perceptions of service quality in this municipality?

a. Yes
b. No
c. Other, please specify
d. Don't know

35. Does the municipality have a policy for free basic services for the poor? (*an indigent policy*)

(If answer to Q35 is 'Don't Know', skip Q36)

a. Yes
b. No
c. Other, please specify
d. Don't know

36. In your view, is the indigent policy effective in serving the needs of the poor?

a. Yes
b. No
c. Other, please specify

37. Does the municipality have a system for receiving public grievances concerning customer service and the conduct/performance of municipal officials?

a. Yes
b. No
c. Other, please specify

38. Do you think that when grievances are reported, the municipality effectively deals with them?

a. Yes
b. No
c. Other, please specify

39. On a scale of 1 to 8, please rank the following areas of service delivery according to your personal priority (1 being most important and 8 being least important).

Service type	Ranking
1. Overall cleanliness of town/street (refuse removal)	
2. Overall provision of water	
3. Quality of water	
4. Provision of electricity	
5. Provision of sanitation	
6. Provision of primary health services	
7. Provision of fire services	
8. Overall traffic management	
9. Housing	
10. Roads	
11. Recreation facilities	
12. Policing	

40. How would you rank the current service delivery performance of your municipality (Use a scale of 1-5 where 5 denotes excellent and 1 denotes very poor).

Service type	1 (Very poor)	2 (Poor)	3 (Fair)	4 (Good)	5 (Excellent)
1. Overall cleanliness of town/street (refuse removal)					
2. Overall provision and control of water					
3. Quality of water					
4. Provision of electricity					
5. Provision of sanitation					
6. Provision of primary health services					
7. Provision of fire services					
8. Overall traffic management					
9. Housing					
10. Roads					
11. Recreation facilities					
12. Policing					

41. In your view, has service delivery improved over the past 12 months? Please tick the appropriate answer.

Service type	Yes	No	Don't Know
Water			
Electricity			
Sanitation			
Housing			
Refuse collection			

42. How do you rate the overall manner in which the local municipality addresses social issues such as HIV/Aids, the aged, unemployment etc? Please circle your preferred answer.

1	2	3	4
Poor	Fair	Good	Excellent

43. Please point out ways in which service delivery could be improved.

SYSTEMS AND STRUCTURES

Below is a list of crucial systems that a functional municipality should have in place.

44. Does your municipality have systems for dealing with:

	Yes	No	Don't Know
a. Discipline			
b. Procurement			
c. Compliance			
d. Risk Management			
e. Corruption			
f. Financial reporting			

CORRUPTION

45. What do you perceive as common forms of corruption in local government? More than one answer is permitted for this question.

a. Nepotism in employment of officials
b. Irregularities in the award of tenders
c. Mal-administration of public funds and resources
d. Signing of cheques without appropriate controls
e. Other, please specify

46. Have you heard or read about cases of corruption being experienced in your municipality in the past year?

(If answer to Q46 is no, skip to Q51)

a. Yes
b. No

47. What kinds of corruption are you aware of in your municipality? (More than one answer is permitted for this question.)

a. Nepotism in employment of officials
b. Irregularities in the award of tenders
c. Mal-administration of public funds and resources
d. Signing of cheques without appropriate channels
e. Other, please specify

48. To whom was the corruption reported? More than one answer is permitted for this question.

If answer to Q48 is d, skip Q49.

a. To the police
b. To the Municipal Manager
c. Council
d. Corruption was not reported
e. Other, please specify
f. Don't know

49. If the corruption was not reported, what in your view were the reasons? More than one answer is permitted for this question.

a. Lack of faith in the municipality
b. Lack of faith in the policing structures outside of the municipality
c. Fear of reprisal
d. Not interested / apathy
e. Other, please specify

50. What do you think are the consequences of alleged corruption in your municipality? The accused is:

a. Subjected to disciplinary action
b. Investigated
c. No consequences
d. Don't know

51. Do you think there are consequences for those found guilty of corruption?

a. Yes	
b. No	

52. On a scale of 1-5, how do you rate the effectiveness of your municipality in dealing with those convicted of corruption? (1 for least effective and 5 for most effective).

1	2	3	4	5
---	---	---	---	---

GENERAL

53. On a scale of 1-5, with regard to your municipality, which of the following statements do you agree with? (Ranking is in ascending order i.e 5 denotes 'strongly in agreement')

Statement	Ranking (1-5)
a. Councillors are committed to improving the quality of life of the residents of the municipality	
b. Councillors put party interests before the interests of the community	
c. Councillors abuse their positions for personal gain	
d. Officials are unnecessarily overpaid	
e. Officials abuse their positions for personal gain	
f. Officials are committed to service delivery in the municipality	

54. Why do you think councillors want to be in office? (Rank responses on a scale of 1-5).

Statement	Ranking
a. To represent the needs of the community	
b. To promote political agendas	
c. For personal gain	
d. For career ambitions	
e. Other. (Please specify)	

4.2 Good Governance Questionnaire

COUNCILLORS, OFFICIALS AND WARD COMMITTEES

Please use a tick ✓ alongside the chosen option

I. Introduction

Questionnaire number	
Municipality	
Interviewer	
Date	
Time	
Tel number of respondent	

II. Respondent category

a. Speaker
b. Municipal Manager
c. Chief Financial Officer
d. Corporate Services Director
e. Social/ Community Services Director
f. Technical Services Director
g. IDP Manager
h. Mayoral / Executive Committee Member
i. Ward Councillor
j. PR Councillor
k. Ward Committee
l. Other, please specify

III. Category of municipality

--

IV. Biographical details

a. Age

i. 20 or less
ii. 21-40
iii. 41-60
iv. 61+

b. Gender

i. Male
ii. Female

c. Length of time in current position in months

--

d. What is the estimated annual budget of your municipality for the current financial Year?

--

e. Kindly specify the budget breakdown

Item	Amount in Rands
Operational Budget	
Capital Budget	
Total Budget.	

f. What is the total population of your municipality?

--

DECISION-MAKING

1. How often are council meetings held?

a. More than once a month
b. Once a month
c. Once every two months
d. Once every 3 months
e. Twice per year
f. Once a year
g. Other, please specify
h. Don't know

2. What is the key decision-making structure of the municipality, aside from council?

a. Mayoral Executive Committee
b. Executive Committee (without Executive Mayor)
c. Other, please specify

3. How often does the above key decision-making structure of the municipality meet?

a. More than once a month
b. Once a month
c. Once every two months
d. Once every 3 months
e. Twice per year
f. Once a year
g. Other, please specify

4. Describe the extent of multi-partism in the following

	i. One party dominates with a 100% majority	ii. One party has a clear majority of 67%, but with significant opposition	iii. No party has a clear majority and powers are divided between parties
Executive Committee/ Mayoral committee			
Portfolio Committees			
Council			

5. Are council meetings usually well attended by councillors?

a. 50% or less usually attend
b. 51% - 80% usually attend
c. 81% - 100% usually attend

6. How many council meetings have been postponed in the last 6 months because a quorum could not be reached?

a. 3- 5
b. 1 - 2
c. None

TRANSPARENCY

7. Are Mayoral Executive Committee meetings or Executive committee meetings open to the public?

a. Yes
b. No
c. Other, please specify

8. Does the municipality give progress reports to the community on municipal projects and programmes? (e.g. reports at ward committee meetings, etc)

a. Yes
b. No
c. Don't know

9. Do you think that the annual consolidated report is widely distributed?

a. Yes
b. No
c. Don't know

10. Does the municipality hold a public meeting on the Auditor-General's report on the municipality every financial year-end?

a. Yes
b. No
c. Don't know

11. Which other public communication channels are used to announce meetings over the Auditor-General's report to the public?

a. Newsletters
b. Local newspapers
c. Special leaflets
d. Other, please specify

PUBLIC PARTICIPATION AND CONSULTATION

12. How are members of the public informed about council meetings? (More than one answer is permitted for this question.)

a. Municipal accounts
b. Public notice boards
c. Municipal newsletters
d. Local newspapers

e. Ward committee meetings
f. Radio announcements
g. Members of the public are not informed
h. Loud hailing
i. Don't know

13. Are you satisfied with the level of attendance at council meetings by members of the public?

a. Yes
b. No
c. Other, please specify

14. How often do you attend council meetings?

a. Attends all meetings	
b. Attends occasionally	
c. Attended once	
d. Never attended	

15. If you have never attended a council meeting, what is the reason for your failure to do so?

a. The venue is inaccessible
b. The forum does not allow for input
c. Not interested
d. Other, please specify

16. In your municipality what forums exist for community participation?(More than one answer is permitted for this question.)

If absolutely no forums or structures exist, skip to Q26.

a. Ward committees
b. IDP forum
c. Development forums
d. Steering committees
e. No forums exist
f. Other, please specify

17. In your opinion how effective are the following forums for community participation in your municipality?

Status	IDP forum	Ward committee
a. Non-existent		
b. Very ineffective		
c. Ineffective		
d. Effective		
e. Very effective		

18. What contributes to the effectiveness of forums for community participation? (Rank answers on a scale of 1-5, 1 for least important factor and 5 for most important)

	1	2	3	4	5
a. Human Resources capacity					
b. Access to technical and financial resources					
c. Credibility of forums for community participation within civil society					
d. An understanding of the role of forums for community participation					
e. Existence of terms of reference					
f. Leadership of the forum/ councillor					

19. Do members of the public and CBOs, through the ward committee, give recommendations to council regarding their development priorities?

a) Don't know	b) Never	c) Rarely	d) Regularly

24. Is there someone within the municipality who is responsible for coordinating community participation?

a. Yes
b. No
c. Don't know

Skip question Q25 if answer to Q24 is no or don't know

25. If yes, who is this person?

a. Name or designation	b. Don't know

26. Which of the following resources does the municipality provide in order to promote community participation? (More than one answer is permitted for this question.)

a. Travel resources
b. A venue
c. Catering resources
d. Administrative resources
e. Other, please specify
f. None

27. How many consultative meetings were held to discuss the most recent municipal budget?

a. 0
b. 1 – 2
c. 3
d. 4 or more
e. Don't know

28. How many organisations and members of the public attended these consultative meetings?

Number	Organisations	Members of the public
a. 1-10		
b. 11-20		
c. 21 or more		

29. Have CBOs and the general members of the public had any conflicts with the local municipality, e.g. have there been any sit-ins, rates boycotts etc?

a. Yes
b. No
c. Don't know

30. What was the conflict about?

a. Corruption	
b. Service delivery	
c. Councillor's performance	
d. Official's performance	
e. Issues of public participation	

DISCLOSURE

31. Are councillors required to disclose information about their business interests?

a. Yes
b. No
c. Don't know

32. Are officials required to disclose information about their business interests?

a. Yes
b. No
c. Don't know

33. In your view is the system for disclosure of business interests by councillors and officials effective?

a. Yes
b. No
c. Don't know

34. How is the information on the business interests of councillors and officials made available to the public?

a. It is made available at municipal offices
b. It is not made available
c. Don't know

SERVICE DELIVERY

35. On a scale of 1-5, (1 for not accessible and 5 for very accessible) how accessible are municipal offices to the public?

1	2	3	4	5	Don't know
---	---	---	---	---	------------

36. On a scale of 1-5, (1 for least helpful and friendly, and 5 for most helpful and friendly) how would you rate the frontline staff at the council offices?

1	2	3	4	5	Don't know
---	---	---	---	---	------------

37. Are service standards for the municipality specified, for example, in the IDP, a Citizens' Charter, etc?

a. Yes
b. No
c. Other, please specify

38. Are service standards for the municipality made available to the public?

a. Yes
b. No
c. Other, please specify

39. Does the municipality meet its service standards? For instance, is the municipality timeously responsive to residents' complaints?

a. Yes
b. No
c. Other, please specify

40. How does your municipality review service delivery performance?

--

41. Has there been a survey of public perceptions of service quality in this municipality?

a. Yes
b. No
c. Other, please specify

42. Does the municipality have an indigent policy?

a. Yes
b. No
c. Other, please specify

43. Is there any other system to ensure that service delivery gives priority to previously disadvantaged communities?

a. Yes
b. No
c. Other, please specify

CORRUPTION

44. What do you perceive as common forms of corruption in local government? (More than one answer is permitted for this question.)

a. Nepotism in employment of officials
b. Irregularities in the award of tenders
c. Mal-administration of public funds and resources
d. Signing of cheques without appropriate controls
e. Other, please specify

45. Have you heard or read about cases of corruption being experienced in your municipality in the past year?

- | |
|--------|
| a. Yes |
| b. No |

If answer to Q45 is no, skip to Q49

46. What kinds of corruption are you aware of in your municipality? (More than one answer is permitted for this question.)

- | |
|---|
| a. Nepotism in employment of officials |
| b. Irregularities in the award of tenders |
| c. Mal-administration of public funds and resources |
| d. Signing of cheques without appropriate channels |
| e. Other, please specify |

47. To whom was the corruption reported? (More than one answer is permitted for this question.)

- | |
|--------------------------------|
| a. To the police |
| b. To the Municipal Manager |
| c. Council |
| d. Corruption was not reported |
| e. Other, please specify |
| f. Don't know |

If answer to Q47 is d, skip Q48.

48. If the corruption was not reported, what in your view were the reasons? (More than one answer is permitted for this question.)

- | |
|---|
| a. Lack of faith in the municipality |
| b. Lack of faith in the policing structures outside of the municipality |
| c. Fear of reprisal |
| d. Not interested / apathy |
| e. Other, please specify |

49. What do you think are the consequences of alleged corruption in your municipality? The accused is:

a. Subjected to disciplinary action
b. Investigated
c. No consequences
d. Don't know

50. Do you think there are consequences for those found guilty of corruption?

a. Yes	
b. No	

51. On a scale of 1-5, how do you rate the effectiveness of your municipality in dealing with those convicted of corruption? (1 for least effective and 5 for most effective).

1	2	3	4	5
---	---	---	---	---

SYSTEMS AND STRUCTURES

52. Does the municipality have systems for dealing with:

	Yes	No
a. Discipline		
b. Procurement		
c. Compliance		
d. Risk Management		
e. Corruption		
f. Financial reporting		

53. Which of the following policies does the municipality have in place? (tick)

a. Procurement Policy	
b. Risk Management Policy	
c. Compliance Policy	
d. Discipline Policy	

e. Employment Equity Policy	
f. Fraud and Corruption Policy	
g. Confidential Reporting (Whistle blowing) Policy	
h. Financial Regulations Policy	
i. Other, please specify	

54. How are councillors made aware of the Councillor’s Code of Conduct? (More than one answer is permitted for this question.)

a. Making available a written code of conduct
b. Training
c. Inductions
d. Appraisals
e. Other, please specify

55. How are officials made aware of the Official’s Code of Conduct? (More than one answer is permitted for this question.)

a. Making available a written code of conduct
b. Training
c. Inductions
d. Appraisals
e. Other, please specify

56. Is there a written formal procedure for conducting disciplinary hearings?

a. Yes
b. No
c. Other, please specify

57. How is the performance of councillors appraised?

a. It is not appraised
b. Other, please specify

58. How is the performance of staff appraised?

a. It is not appraised
b. Other, please specify

59. Is performance management linked to remuneration?

a. Yes
b. No
c. Other, please specify

GENERAL

60. On a scale of 1-5, with regard to your municipality, which of the following statements do you agree with? (Ranking is in ascending order i.e 5 denotes 'strongly in agreement')

Statement	Ranking (1-5)
a. Councillors are committed to improving the quality of life of the residents of the municipality	
b. Councillors put party interests before the interests of the community	
c. Councillors abuse their positions for personal gain	
d. Officials are unnecessarily overpaid	
e. Officials abuse their positions for personal gain	
f. Officials are committed to service delivery in the municipality	

**61. Why do you think councillors want to be in office?
(Rank responses on a scale of 1-5).**

Statement	Ranking
a. To represent the needs of the community	
b. To promote political agendas	
c. For personal gain	
d. For career ambitions	
e. Other (Please specify)	

62. Does the municipality have a system for receiving public grievances concerning customer service and the conduct / performance of municipal officials?

a. Yes
b. No
c. Other, please specify

63. Do you think that when grievances are reported, the municipality effectively deals with them?

a. Yes
b. No
c. Other, please specify

LIST OF ABBREVIATIONS

CBO	Community-based Organisation
CDW	Community Development Worker
DM	District Municipality
DPLG	Department of Provincial and Local Government
GTZ	German Agency for Technical Cooperation
GGLN	Good Governance Learning Network
GGG	Good Governance Survey
IDP	Integrated Development Plan
KPI	Key Performance Indicator
LM	Local Municipality
MoU	Memorandum of Understanding
NGO	Non-governmental Organisation
PMS	Performance Management System
PSC	Project Steering Committee
SPSS	Statistical Package for the Social Sciences
SLGP	Strengthening Local Governance Programme
UN	United Nations
UNESCAP	United Nations Economic and Social Commission for Asia and the Pacific

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Promoting local democracy and community-driven development