THE IMPLEMENTATION OF THE INDIGENT POLICY IN THE GREATER TZANEEN MUNICIPALITY IN LIMPOPO PROVINCE, SOUTH AFRICA

by

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DEDICATION

In loving memory of my late mother Salome Raisibe 'Senwane Nni' Mosehla (exile surname), my late father, VhoNdwakhulu Frans Makherana, and my two late maternal grandparents who brought me up in the absence of mother and father, 'Semai' Madimetja and Raisibe Hellen Mosehla. To all my off-springs (children) in this world, declared and undeclared, adopted and biological, more grateful of those that God, Jehovah gave me chance and privilege to raise them from birth under one roof, Otlile Muraga Mosehla Jnr and Batlile Chandrika Mosehla. I come from a humble background, where my four siblings and I existed on a diet of wild birds and locusts whilst our mother, a single parent, was away in Tshwane (Marabastad) hustling for us at Indian restaurants, and hawking after hours into the night, selling African beer, commonly known as "pineapple" in Indian backyards and bus ranks. I would periodically join her during school holidays to sell apples and bananas at train and bus stations. At times I would be detained for two to three days without trial due to the pass laws, because back in the 1980s Apartheid police demanded to see the school 'pass' of all boys visiting their parents during school holidays. For me to reach this level of education is a crown on the head of our hardworking, loving mother; may her soul find grace and eternal peace. This achievement is surely testament to the presence of God's everlasting love and abundant mercies.

DECLARATION

I declare that **THE IMPLEMENTATION OF THE INDIGENT POLICY IN THE GREATER TZANEEN MUNICIPALITY IN LIMPOPO PROVINCE, SOUTH AFRICA** is my own work, and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references, and that this work has not been submitted before for any other degree at any other institution.

______________ 31 March 2022

MOSEHLA LG **Date**

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ABSTRACT

Policy development and management remains the subject of boardrooms and societal preoccupation. This is precisely because policies are a vehicle for customer service and service delivery. For any product or service that is produced or consumed or used, there must be certain standard operating procedures, processes, and protocols generated and developed to produce or deliver that product or service to the users (consumers) who are mainly the people. Therefore, policy implementation is the framework that guides processes and procedures to deliver services and products to the people. Thus, this study focuses on the policy implementation process.

The aim of the study was to investigate public policy implementation, with a focus on the indigent policy in a local municipality. A qualitative study was undertaken to investigate implementing the indigent policy in the Greater Tzaneen Local Municipality, hereafter referred to as the Greater Tzaneen Municipality. A non-probability sample frame was used where purposive samples were drawn from among municipal administrators (staff), ward committee members, community development workers, politicians (Councillors), indigent beneficiaries, and ordinary community members of the Greater Tzaneen Municipality. Data was collected using semi-structured open-ended question interview guide. In-depth, face-to-face (one-on-one) and telephonic interviews were conducted with the director responsible for finance and the councillor responsible for the social cluster portfolio in the Greater Tzaneen Municipality respectively. Focus group discussions including the officers (staff) responsible for the management and delivery of the indigent services in the Greater Tzaneen, the ward committee members, the community development workers (six), the ward councillors (six), community members and the indigents (six) of the Greater Tzaneen Municipality were also conducted. The participants were organised into Groups A, B, and C for efficient data management. There was a total complement of 20 participants and respondents.

This study used the 5C Protocol plus the sixth C, hereinafter also referred to as the Protocol, to investigate implementing the indigent policy in the Greater Tzaneen Municipality. Findings and recommendations deduced from the study mainly highlight the positive or negative outcomes of compliance, namely, lack of capacity to measure water and sanitation in rural areas; policy content well designed and packaged; context variable still needs more attention to cite but a few.

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LIST OF ABBREVIATIONS

AAPAM	African Association for Public Administration and Management
CAQDAS	Computer-assisted qualitative data analysis software
CDW	Community Development Workers
CFO	Chief Financial Officer
CoGHSTA	Cooperative Governance, Human Settlements, and Traditional Affairs
DoRA	Division of Revenue Act
DPLG	Department of Provincial and Local Government
DPME	Department of Performance Monitoring and Evaluation
ESKOM	Electricity Supply Commission
FBS	Free Basic Services
GTLM	Greater Tzaneen Local Municipality
GTM	Greater Tzaneen Municipality
GWM&E	Government Wide Monitoring and Evaluation
ICT	Information and Communication Technology
IDP	Integrated Development Plan
Kl	Kilolitres
Kw/h	Kilowatts per Hour
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MIG	Municipal Infrastructure Grant
MOAs	Memorandums of Agreement
MOU	Memorandum of Understanding
NDP	National Development Plan

NEPF	National Evaluation Policy Framework
NIP	National Framework for Municipal Indigent Policies
PRM	Peer Review Mechanism
RTFR	Rural Tax and Fee Reform
SAMEA	South African Monitoring and Evaluation Association
SDG’s	Sustainable Development Goals
SERs	Socio-economic Rights
SMSes	Short Message Services
SPSS	Statistical Package for Social Sciences
StatsSA	Statistics South Africa
TREC	Turf loop Research Ethics Committee
UD*IST	Unstructured Data Indexing Searching and Theorizing
WCMs	Ward Committee Members
WSA	Water Services Authority
WSIG	Water and Sanitation Infrastructure Grant
WSP	Water Services provider

CHAPTER ONE

INTRODUCTION AND BACKGROUND TO THE STUDY

1.1 INTRODUCTION

This study sought to analyse public policy implementation in the Greater Tzaneen Local Municipality (GTLM), hereafter referred to as the Greater Tzaneen Municipality (GTM), with a focus on the indigent policy framework of South Africa, and how the GTM is faring in its implementation. The study attempted to unpack how the GTM planned and implemented the framework, taking into account the institutional arrangements, the municipality's capacities, and its monitoring and evaluation (M&E) mechanisms. The indigent policy is aimed at including those people currently excluded from access to basic services on the basis that they are poor and therefore cannot afford to pay for the service. The policy was conceptualised as a national intervention to provide a social safety net for the poor members of the society at local government level. The policy provides a framework regarding how this could be achieved at local government level, and addresses issues specifically related to the Free Basic Services (FBS) programme, although it links to other government programmes and to a broader social package of services.

Cloete and de Coning (2011:145) argue that the area of policy implementation is a complex, political, diverse, and broad phenomenon. They further state that the complex scholarship on policy implementation established some "key clusters of explanatory variables" that are considered to provide some common approaches to implementation, which "might allow a better understanding of implementation" (Cloete & de Coning, 2011:145). This cluster of variables is also referred to as the 5C Protocol Policy Implementation Model, which is detailed in the literature review and referred to throughout the study. As such, the study used the 5C's of the Protocol, plus a sixth C, to investigate how the GTM is implementing the indigent policy using the indigent policy's implementation framework. The 5C Protocol plus the sixth C is also referred to as the Protocol throughout this study report.

1.2 BACKGROUND TO THE STUDY

Public policy implementation has been and remains a challenge (Mothae, 2008:245). Without overemphasising Mothae's (2008:245) assertion, the Arntz, Bekker, and Botes's (2003:108-109) study on implementing indigent policies found that most municipalities prefer a universal approach rather than a targeted approach when implementing the indigent policy. The study proposed that the preferred universal approach might in fact be disadvantaging the deserving populations, and therefore also straining the municipalities' resources that could have been channelled to other services needed by the community, such as better sanitation and improved access to clean water. Furthermore, the universal approach has the potential to reduce municipalities' resource capacities to increase the quantity and quality of services to the indigent sector of their communities. The universal approach could also lead to inadequate services to the indigents, hence compromising the goal of a social wage and establishing a social protection floor (National Planning Commission, 2011:342). Thus, it is important to continue studying public policy implementation in order to make it less challenging, if not a problem at all. As indicated in previous paragraphs, Mothae (2008) and many other scholars, including, but not limited to Cloete and de Coning (2011), Brynard (2005), Brynard (2010), Booysen (2001), Madue (2008), and Kondlo (2011) have presented good work that should facilitate public policy implementation practice with excellence. The occurrence of service delivery protests somewhat negates these good works and frustrate and confuse academics and practitioners, let alone the general public, the citizens**.** Madue (2008:197) acknowledges that despite a period of review and a statement of commitment to policy implementation in South Africa, since 1994 policy implementation has been problematic and challenging.

Therefore, this study sought to investigate how the GTM is implementing the indigent policy. The 5C Protocol Policy Implementation Model was used in this study to analyse the manner in which the GTM undertook the implementation of the indigent policy. Madue (2008:197-198) in the article, *Policy implementation in a turbulent environment*, espouses the problematic nature of policy implementation. Mothae (2008:245) concurs with Madue and further argues that it is imperative for state agencies to efficiently and effectively implement government policies to deliver a "better life for all". Fuo's (2013:3-4) article on the enforcement of "executive" policies that give effect to socio-economic rights (SERs) in South Africa, proposes that there is a possible constitutional basis for the enforceability of "executive" policies that give effect to SERs in South Africa, such as section 27(2), which states that the state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of each of the rights provided in sub-sections (1) (a), (b), and (c), since they are the enforceables of constitutional impositions or stipulations. Therefore, this study was necessary, in that it sought to investigate the implementation of one such policy - the GTM's Indigent Policy, as it also carries the constitutional impositions and stipulations as stated above. The implementation gaps, which other scholars such as Madue (2008) and Mothae (2008) have highlighted, and the seminal work of scholars such as Brynard (2005) and highlighted by Cloete and de Coning (2011), have prompted this study.

Policy studies have since established functional policy stages that have come to be recognised internationally, and are well known as the policy cycle (Dunn in Cloete & de Coning, 2011:43). These functional stages entail policy agenda, policy formulation, policy adoption, policy implementation, and policy assessment or M&E. Mthethwa (2014:v) corroborates these stages, and further states that "public policy implementation, as an integral stage of the public policy process, emerged as indispensable towards effective and efficient public service". This study is triggered by one of the most contentious stages of the policy cycle, namely, the policy implementation stage. A literature survey, as provided in Chapter Two of this study report, shows how complex and fluid policy implementation can be, hence the parsimonious variables presented in Brynard's (2005) seminal work on policy implementation. While not all scholarship on policy implementation research is in agreement, authors are at least in agreement on the 5C Protocol plus the sixth C in policy implementation. The variables include:

- the policy **content,** which is about either distribution or redistribution of resources, regulatory compliance, and the means and the ends (policy objectives and the delivery mode);
- the **context** in which the policy is implemented, which is basically the policy environment;
- the **commitment** in terms of leadership, that is, the will to drive the vision towards achieving the policy's objectives, and deployment of resources;
- **capacity** includes the skills, expertise, competencies, and strategic capabilities;

- **clients and coalitions** refer to how the organisation marshals its key actors or rather stakeholders; and
- **communication** is roped in as the sixth C that cuts across all the variables on the premise that policy has to be communicated to all parties involved in its implementation, that implementers just can't implement what is not communicated or is blurrily communicated.

The DPLG's (2005b) Framework for Municipal Indigent Policies hereafter referred to also as the Framework, as adopted by the social cluster, states that the term 'indigent' means "lacking the necessities of life". In interpreting the statement for the purpose of the policy framework, a position has to be taken regarding the 'necessities of life' in a South African context. The Framework postulates that in terms of the Constitution of the Republic of South Africa, 1996, sufficient water, basic sanitation, refuse removal, environmental health, basic energy, health care, housing, food, and clothing are goods and services considered to be the basic needs for an individual's survival, and anyone who does not have access to these goods and services is considered indigent (DPLG, 2005b:13). Bushbuckridge Local Municipality (2012:3) in its indigent policy states that 'indigents' mean those people who are unable to make monetary contributions towards basic municipal services. The Indigent Policy of the GTM (2011) cites legislative and policy frameworks that establish and govern the indigent policies in the municipality. Among others mentioned are the Constitution of the Republic of South Africa of 1996, the Municipal Systems Act 32 of 2000, the Credit Control and Debt Collection Policy, and the Tariff Policy. The GTM's Indigent Policy also stipulates levels of services that indigents must expect (GTM, 2011:D283).

Though not part of the initial background to the study, the *Free Basic Services Lesson Series*, hereafter referred to as the *Lesson Series* or simply *Series* would have been important to include, since it anchors some salient critical features of the Protocol variables, namely, clients and coalitions, that is, the management of actors or rather stakeholders with divergent interests. The main theme that arises out of the conclusion of the *Lesson Series* is its call to increase and entrench public participation for solutions to problems on the ground, by involving the people in order to gather their real day-to-day experiences within their communities (DPLG, [Sa]:11). This is supported throughout the *Lesson Series*. The *Series,* although omitted from the GTM's

Indigent Policy, should have been included for its main purpose, as captured in the *Series,* which showcases municipal projects aimed at the accelerated implementation of the government's FBS policy. The *Series* showcased the Free Basic Water Model applied in the Greater Giyani turn-around strategy that showed insights into water service delivery as a showcase, a benchmark, or hallmark lesson to water management as one of the FBSs.

Section (27) of the Constitution of the Republic of South Africa, 1996, confers the following human rights to the citizens of the Republic, and thereby the citizens of the GTM:

- access to health care services, including reproductive health care;
- access to sufficient food and water;
- access to social security including, if they are unable to support themselves and their dependents, appropriate social assistance; and
- access to emergency medical treatment.

The South African government, acting as state agent or state apparatus, through its various government departments devise various measures and legislation to address these citizen rights, as declared in section (27) of the Constitution, 1996, as indicated above. Section 27(2) charges the state, the South African government, with the responsibility of ensuring that each of these rights are progressively realised. Furthermore, there are two critical proposals that the National Development Plan (NDP) Overview promotes, namely, (a) defining a minimum acceptable standard of living; and (b) commitment to household food and nutrition security with public and private sector collaboration (NDP Overview, 2010:53). The NDP further argues for establishing a national register of welfare and social service recipients as a way to strengthen the case of indigents' identification and coverage (NDP, 2011:342). Whilst the NDP Overview refers to defining a minimum standard of living that is acceptable, the full version of the NDP calls for commitment to achieving a social protection floor, and what it takes to achieve that social protection floor (NDP, 2011:342).

The Social Assistance Act, Act No. 13 of 2004 (RSA, 2004), in its preamble, shows clear linkages to section 27's rights in the 1996 Constitution, and it also attempts to directly implement the social assistance forms of social security, as alluded to in the White Paper for Social Welfare (1997:49-50). This further strengthens the case for indigent coverage. The White Paper for Social

Welfare (1997:13-14) declares war on poverty, lists the scope of poverty, and advocates for an overarching strategy to tackle poverty. In Chapter 7, the White Paper for Social Welfare (1997:49-50) further defines social security and lists four forms of social security, such as social relief, social assistance, social insurance, and private savings. The South African government, acting as state agent or state apparatus, through its various government departments and local municipalities, have devised various measures and legislation to address the citizen rights as declared in section (27) of the Constitution (RSA, 1996), as indicated above. One of the measures that government has attempted to take in order to implement the provisions of the Constitution and its concomitant legislation and policies, as alluded above, was to develop the Indigent Policy Framework to make those rights accessible to the citizens who are poor and unable to support themselves and their dependents.

The Indigent Policy Framework of South Africa states that:

> *"The Municipal Indigent Policy Framework was approved by the Social Sector Cluster as part of the social wage package in 2005. Subsequent to that the guidelines for the implementation of the national indigent policy by municipalities were approved by Min-Mec [Council of ministers and members of executive councils of provincial administrations in the RSA] in 2006. The Indigent Policy Framework provides a basis for the provision of Free Basic Services to the indigent, and as such, enhances current indigent policies applied by municipalities"* (Department of Provincial and Local Government, 2005b:2).

Additionally, the Indigent Policy is aimed at including those people currently excluded from access to basic services, by providing a social safety net. What poor people in South Africa have in common is the need to access affordable basic services that will facilitate their productive and healthy engagement in society. The Indigent Policy provides a framework for how this could be achieved at local government level. Other spheres of government have a role to play in setting up this safety net, but they are not the primary concern of the Indigent Policy Framework. The guideline addresses issues that are specifically related to the FBS programme, although it talks of the necessity to link to other government programmes and to a broader social package of services. The guideline has been developed to assist municipalities to implement their indigent policies as defined within the national Indigent Policy Framework. It also indicates that the scope of the guideline should remain within the limits of the framework, and should be used incrementally with the latest relevant policies and guidelines on FBS service areas. Reddy, Naidoo, and Pillay (2005:44-47) present a corpus of legislative and policy frameworks to provide free basic services (FBS) to the indigent population of South Africa.

Madue’s (2008:197-198) article on policy implementation in an unstable environment describes the problematic nature of policy implementation. Mothae (2008:245) concurs with the difficulties and further argues that it is imperative for state agencies to efficiently and effectively implement government policies to deliver a “better life for all”. For Fuo (2013:3-4), there is possibly a constitutional basis for the enforceability of "executive" policies that give effect to the SERs in South Africa, such as section 27(2), which states that the State must take reasonable legislative and other measures within its available resources, to achieve the progressive realisation of each of the rights provided in sub-section (1) (a), (b), and (c), since they result from constitutional impositions or stipulations. Therefore, this study was necessary in that it sought to investigate the implementation of one such policy - the GTM’s Indigent Policy, since it also carries the constitutional impositions and stipulations as stated above. The implementation gaps, which other scholars such as Madue (2008) and Mothae (2008) have highlighted and other seminal work of scholars such as Brynard (2005), which have been highlighted by Cloete and de Coning (2011), prompted this study.

Cloete and de Coning (2011:145) indicate that the area of policy implementation is a complex, political, diverse, and broad phenomenon. They further state that the complex scholarship on policy implementation have established some “key clusters of explanatory variables” that have provided some common approaches to implementation, which “might allow a better understanding of implementation” (Cloete & de Coning, 2011:145). This cluster of variables is also referred to as the 5C Protocol, as briefly explained already, and is further detailed in the literature review. Thus, this study used the 5C Protocol to interrogate how the GTM is implementing its Indigent Policy.

1.2.1Recent research

Recent research shows that there is no solid theory in research on implementation. However, there are indications that scholars agree on a basic set of variables on implementation. The variables were presented by Professor Petrus Brynard at the African Association for Public Administration and Management (AAPAM) round table held in Tanzania in December 2005 (Brynard, 2005). At the time of the approval of the proposal for this study there was as yet no ground breaking research on implementation. The variables known as the 5C Protocol as mentioned above, are discussed in detail in Chapter Two in the literature review, and throughout the study. Mthethwa (2014:vi-vii) conducted an analysis on both descriptive and prescriptive theories underpinning public policy implementation and some empirical research, where it was found that public policy implementation remains an elusive process vacillating between the 5C Protocol plus the sixth C, expressed in different dimensions, ranging from public policy analysis models to several forms of implementation challenges. Of all the seven bulleted findings, none of them fall short of the implementation variables recommended by the 5C Protocol plus communication as the sixth C. More recently, the Department of Cooperative Governance and Traditional Affairs indicated a need for an evaluation of the implementation of the FBS programme, as stated in the City Press (2014), and this was subsequently supported by President Matamela Cyril Ramaphosa's commitment to eradicating pit latrines in South African communities by 2030 (SABC2, 2018).

1.2.2 Definition of key concepts

Key concepts refer to the concepts that underpin the study and that form part of the topic of research. It is recommended that such concepts are defined to facilitate understanding for the reader and users of the study. To this end, the following concepts are defined: policy analysis, policy implementation, and indigent.

1.2.2.1Policy analysis

Dunn (in Cloete & de Coning, 2011:8) define the term 'policy analysis' as an applied social science discipline that employs multiple methods of inquiry and arguments to produce and transform policy-relevant information that may be utilised in political settings to resolve policy problems.

1.2.2.2 Policy implementation

Cloete and de Coning (2011:136-137) maintain that the term ‘policy implementation’ “is the conversion of mainly physical and financial resources into concrete service-delivery outputs in the form of facilities and services, or into other concrete outputs aimed at achieving policy objectives”.

1.2.2.3 Indigent

The Indigent Policy Framework, DPLG (2005b), as adopted by the social cluster, states that “the term indigent means lacking the necessities of life”. In interpreting this term for the purpose of this policy, a position has to be taken regarding what the necessities of life are in a South African context. The National Framework for Municipal Indigent Policies postulates that in terms of the Constitution of the Republic of South Africa, (1996), sufficient water, basic sanitation, refuse removal in denser settlements, environmental health, basic energy, health care, housing, food, and clothing are goods and services considered to be the basic needs for an individual’s survival, and anyone who does not have access to these goods and services is considered indigent (DPLG, 2005b:13). The Bushbuckridge Local Municipality (2012:3), in its indigent policy, states that the term ‘indigents’ mean those people who are unable to make monetary contributions towards basic municipal services. The GTM’s Indigent Policy (2011:D286) states that “The indigent are the category of people being the unemployed, disabled and pensioners **who are unable to pay the full cost of the average municipal account”.**

1.3 RESEARCH PROBLEM

According to Welman, Kruger, and Mitchell (2005:14) “a research problem refers to some difficulty that the researcher experiences in the context of either a theoretical or practical situation and to which he or she wants to obtain a solution”. The issue of poverty and the poor is one of the triple ills or problems identified in the NDP (2011) that plague the South African communities including the GTM. In terms of section 27(2) of the Constitution of the Republic (RSA, 1996), it is the state’s responsibility to provide a social wage to poor citizens. Failure to implement indigent policies anywhere in the country will mean a perpetual state of poverty for the poor. In his South African study, Fuo (2013) refers to this as the socio-economic rights (SER's) that are the impositions of the statutes, the constitutional rights. Orago (2013), in his Kenyan study also corroborates the SER's as constitutionally enforceable. In his study, Fuo (2014) further advocates for the implementation of the National Framework for Municipal Indigent Policies and refers to it as the *NIP*. That isolates the problem of poverty in South Africa hence making the study even more important as a tool to further assault the problem of poverty in South African communities. Public policy implementation has been and remains challenging (Mothae, 2008:245). It is also interesting to explore implementation further, since researchers do not agree on the variables that are critical for implementation success (Brynard, 2005 in Madue, 2008: 202).

Without overemphasising Mothae's (2008:245) assertion, Arntz et al.'s (2003:108-109) study on implementing indigent policies found that most municipalities favour a universal approach over a targeted approach in their implementation of an indigent policy. The study postulates that the preferred universal approach might be disadvantaging deserving populations and thus also straining municipalities' resources that could have been channelled to other community services, such as better sanitation and better access to clean water. It further has the potential to reduce municipalities' resource capacities to increase the quantities and quality of services to indigents. This could also lead to inadequate services to indigents, hence compromising the goal of a social wage and establishing a social protection floor (RSA NDP, 2011:342).

The proposed study will attempt to unpack the implementation constraints and challenges faced by the GTM if any in implementing the indigent policy, and also provide meaningful insights as to how to resolve such implementation constraints. Thus, it is important to continue appraising public policy implementation in order to make it less challenging, if not a problem at all to scale up social policy outputs, hence pushing back the frontiers of poverty and social ills. Thus, it is important to continue appraising public policy implementation in order to make it less challenging, if not a problem at all. Thus, this study sought to investigate how the GTM implements its indigent policy. A 5C Protocol Policy Implementation Model is used in the study to analyse the manner in which the GTM undertakes to implement its indigent policy.

1.4 LITERATURE REVIEW

The next chapter, Chapter Two provides a literature review that explores scholarship on implementation. It determines what a literature review is, zooms into the theoretical foundation, the niche of the study within policy implementation scholarship, and proceeds to explore some empirical studies, journal articles, books, and other important literature on implementation research. It ends by drawing synthesis on literature review and concluding remarks.

1.5 PURPOSE OF THE STUDY

The purpose of the study outlines the aim, objectives, and research questions.

1.5.1 Aim

The aim of the proposed study was to investigate public policy implementation with a focus on indigent policy in a local municipality.

1.5.2 Objectives

a) to assess the development of the content and the context of the GTM's Indigent Policy Framework;
b) to analyse the GTM's commitment and capacity levels in implementing its indigent policy; and
c) to evaluate the modes of interaction (communication) between GTM and its clients and coalitions.

1.5.3 Research questions

a) What does the content of the GTM's Indigent Policy offer to the indigents living in the GTM and what environmental issues influence its content?
b) What resource capacities and commitment from staff and the leadership exist in the GTM to deliver the Indigent Policy's content to its citizens?
c) How does the GTM communicate its indigent policy objectives and content to its clients and coalitions (stakeholders and interest groups)?

1.6 RESEARCH METHODOLOGY

Within the context of a qualitative phenomenological interpretive research design, the study applied face-to-face / and or one-on- one and focus group interviews based on an interview guide. See the interview guide as ANNEXURE B. The research methods are detailed in Chapter Three, and entail a qualitative inquiry that employed focus group discussion, one – on – one, face – to – face and telephone interviews.

1.7 ETHICAL CONSIDERATIONS

The history of research ethics can be traced back to the early 20th century, around the 1930's, from German Law (Pérez, Rapiman, Orellana & Castro, 2017:20). Though the ethics code, known as the "Nuremberg" contained rules about medical research, it is believed that it tried to also accommodate research ethics that promoted principles of informed consent and voluntary participation in the research projects without coercion. During this period of historical developments (1931-2000), three key principles for analysing and assessing research projects for ethical compliance were found, and are (1) respect for people, (2) beneficence which speak to doing good and (3) non-maleficence which speaks to doing no harm during the research project, all underpinned by the principle of justice.

These historical developments culminated into kind of a ground breaking work towards the close of the 20th century, around 2000, by Ezekiel Emanuel who synthesised the ethics codes and rules in biomedical clinical research into a set of seven ethics requirements that a research project must comply with including qualitative inquiries. The seven requirements are detailed and explained in the article and includes, among others, informed consent and respect for the subjects or rather participants in the case of this proposed study (Pérez et al., 2017:20-23). This research project is keener to the informed consent and the respect of the participants for their privacy, voluntary participation without coercion, security of their private information and human dignity during and after the research project. The research ensured these requirements are complied with by causing the participants to sign the consent statement on the research instrument/interview guide/schedule that they took part in. The display or presentation and dissemination of the findings were done through data coding in qualitative research as detailed in chapter four of the study report.

Since the discoveries in the history of research ethics as portrayed, numerous scholars including but not limited to (Welman et al., 2005 ; Tai, 2012 ; Hammersley and Traianou, 2012 ; Babbie, 2013 ; Pérez et al., 2017 ; and Sobočan, Bertotti and Strom-Gottfried, 2019) also wrote extensively about ethics in research.

“Ethical dilemmas are inherent throughout the research process, from the choice about what to study and how to study it through to analysis and dissemination of findings”(Sobočan, Bertotti & Strom-Gottfried, 2019: 805). This assertion follows a cautionary discussion from these authors that ethical considerations in research should not only be confined to protecting human subjects and fraudulent activities, but be looked into broadly. The study , in ensuring that, walked with the research partners, that is, the research sponsors who are the university and supervisors, the community at which the research was conducted and the institution/s where the area of the research project falls under its jurisdiction. That has made it possible for proper selection of the topic of research, the methodology, data collection and analysis and the presentation of findings of the study.

In summary there are basically five principles of research ethics that can be isolated from the above discussion as also presented in the Laerd article (2019), and those are:

 obtain informed consent from potential research participants;

 minimise the risk of harm to participants;

 protect their anonymity and confidentiality;

 avoid using deceptive practices; and

 give participants the right to withdraw from your research.

The study endeavoured to apply these principles of research ethics wherever possible. The following were done to ensure further adherence to the above discussed ethical considerations:

- permission from Turf loop Research Ethics Committee (TREC) was obtained, See TREC Ethics Clearance Certificate with project number, TREC/27/2020:PG, in ANNEXURE F,

- informed consent was obtained at the beginning of the interviews through explaining the statement as on the interview guide as to the objectives of the study. See the attached interview guide as ANNEXURE B,
- issues of voluntary participation, no harm to participants, informed consent and confidentiality are explained as on the interview guide and cause participants to sign on the space provided,
- fair selection of participants was based on the sampling methods as explained. The inclusion and exclusion criteria was guided by the participants' proximity to the phenomenon under investigation, that is, those who are likely to offer insights into the implementation of the indigent policy in the GTM,
- record keeping to safeguard confidentiality of participant information is ensured. The data collected is kept in a confidential place as the case may be in accordance with the ethics for safekeeping of such research data,
- dissemination of information after the study - the research report will be shared with participants both the Municipality and the other categories of participants as may be required.

1.8 SIGNIFICANCE OF THE STUDY

The issue of poverty and the poor is one of the problems identified in the NDP (2011). In terms of section 27(2) of the Constitution of the Republic (RSA, 1996), it is the state's responsibility to provide a social wage to poor citizens. Failure to implement indigent policies anywhere in the country will mean a perpetual state of poverty for the poor, and this also applies to the GTM. This study is significant because it unpacks the implementation constraints and challenges faced by the GTM, and it provides insights in terms of how to resolve such constraints. As such, the study sought to inform current practice (a universal or targeted approach) and policy in terms of how an indigent policy should be implemented (processes) for the benefit of citizens, particularly the poor population of the GTM, and South Africa in general. The study also contributes to enhancing professional practice in policy implementation.

1.9 OUTLINE OF CHAPTERS

This research study comprises five chapters.

Chapter One, provided readers with an introductory background to the study, introduced the research problem, presented an overview of the literature reviewed during the study period, introduced the research purpose, aims, objectives, and questions, presented an overview of the research methodology used in the study, indicated ethical considerations during the research, and presented the significance of the research. It also presented the summary of the entire study layout. Chapter Two of the study presents the reviewed literature.

Chapter Three details the study methodology and paradigm, explaining the research design, population and study sample, ethical considerations related to sampling, data collection approach and methods, data collection instrument development and testing, characteristics of the data collection instrument, the data collection process, data analysis, ethical considerations related to data collection and analysis, the study's internal and external validity, and a conclusion of the chapter.

Chapter Four presents the data, and interprets and presents the study's findings (results). Chapter Five provides a summary of the study, focussing on the problem statement in relation to the research questions, and presents a summary of the research method and design, recommendations, possible areas for further research, and the conclusion of the study.

1.10 CONCLUSION

In conclusion, Chapter one introduced and summarised the entire study trajectory in that it presented the reader with an introductory background to the study, introduced the research problem, presented an overview of the literature reviewed during the study period, introduced the research purpose, aims, objectives and questions, provided an overview of the research methodology followed in the study, indicated ethical considerations during the research, and presented the significance of the research. Lastly the chapter presented a summary of the entire study layout.

CHAPTER TWO

LITERATURE REVIEW

2.1 INTRODUCTION

This chapter explores the relevant scholarship on policy implementation issues within the context of public administration. It determines what a literature review is, zooms into theoretical foundations of the study, its niche in policy implementation scholarship, and proceeds to explore some empirical studies, journal articles, books, and other source documents such as reports and government documents that interrogate the topic of the study.

The purpose of research is to contribute to the existing body of knowledge and to improve the life world of people. The existing body of knowledge figures in a number of ways, including:

- theoretically, that is, in theories, concepts, models, frameworks, etc.;
- empirically, as in research reports, statistics, published reports, etc.;
- legally, as in laws, policies, guidelines, legislation, recommendations, conventions, regulations, etc.; and
- in the media as in newspapers, pamphlets, public statements, etc.

A research project's contribution toward the existing body of knowledge may be in the form of validating existing knowledge, rejecting existing knowledge, filling in gaps that exist in the current knowledge base, and by generating new knowledge to be added to the existing body of knowledge. It is essential for researchers to be cognisant of the scope of coverage and extent to which a research topic is covered in the existing body of knowledge. An effective way of establishing the scope and extent of existing knowledge is by conducting an in-depth literature review. The literature review is equally appropriate to identify any gaps in the existing pool of knowledge on a specific topic. The following paragraph corroborates all of the above-mentioned statements regarding the importance of a literature review in a research project.

Munzhedzi (2011:12-14) briefly sketches what a literature review entails. Fink (2014:3) three years after Munzhedzi's (2011) work, further defines a literature review as "a systematic, explicit, and reproducible method for identifying, evaluating and synthesizing the existing body of completed and recorded work produced by researchers, scholars and practitioners", which is exactly what this chapter attempts to do. Welman et al. (2005:38-39) list approximately nine important reasons to review literature in relation to the study topic, such as: "Insights regarding the weaknesses and problems of previous studies can be gained", to cite but one. It can be confirmed that this research study was undertaken precisely because it was based on the recognition of the problematic nature of public policy implementation, as highlighted briefly in the problem statement and literature survey presented in the study proposal. Leedy and Jeanne (2010:66) also list about eight reasons for a literature review, one of them being that "it can show you how others have handled methodological and design issues in studies similar to your own". This is also of cardinal significance, as already attested to by Munzhedzi (2011) cited above. Wisker (2008:170) states that a literature review is "not a dead list with annotated comments about texts only in an early chapter but an on-going dialogue with the experts, theories and theorists underpinning your research". Flick (2015:60-61) and Welman et al. (2005:41) agree that another important aspect of a literature review is for researchers to be aware of primary and secondary sources and how to use them appropriately in the study during their literature review.

De Vos, Strydom, Fouché, and Delport (2011:297) strongly advise on the clarity and selection of a research paradigm to guide and shape literature relating to the research topic. Much as Munzhedzi (2011:13) highlights the danger of a literature review, De Vos et al. (2011:298-299) further indicate that theory and literature reviews in qualitative research is broader and more universal, has little relationship to qualitative research, and relates more to the methodologies and epistemologies underscoring the methodology/ies that a researcher chooses to use. However, there is no doubt that the literature review has a place in qualitative studies, since it demonstrates the underlying assumptions behind the general research questions, reveals the researcher's familiarity with the traditions of research and the intellectual competencies peculiar to the field of research, etc. (De Vos et al., 2011:302). Although it has already been stated that literature reviews and theory relate more to the methodologies and the epistemologies underlying the methodology, De Vos et al. (2011:303-306) further emphasise the place of theory and literature reviews in different qualitative research designs such as narrative biography, ethnography, phenomenology, grounded theory, and case study inquiries. For the purpose of this study as a phenomenological design and case study enquiry, it is stated that "a phenomenological study is a study that attempts to understand people's perceptions, perspectives and understanding of a particular situation … but that a literature review is more in the form of a literature control after" data collection (De Vos et al., 2011:305). In case studies, depending on the type of the case study inquiry, De Vos et al. (2011:306) further indicate that "theory might be completely absent … with a focus on a description of the case", whereas in other cases, theory could be necessary to direct the research in a descriptive way, even before the data has been collected. Therefore, the following paragraphs interrogate policy implementation literature, specifically in empirical studies and other research on implementation, focussing on the implementation of the GTM's Indigent Policy using the 5C Protocol plus the sixth C, as presented by Brynard (2005).

For the convenience of the readers and users of this study, it is important to explain in detail what the 5C Protocol plus the sixth C actually is, since the study used the Protocol to investigate the implementation of the GTM's Indigent Policy. It would seem some ground-breaking research on implementation can be traced to 1970s or even earlier. Pressman and Wildavsky (1973: xiii-xv) cited in Brynard (2005:650) state that "implementation is to carry out, accomplish, fulfil, produce, complete". Further, according to Pressman and Wildavsky (1973)'seminal book on implementation, as quoted in Brynard (2005:650), "Implementation, then, is the ability to forge subsequent links in the causal chain so as to obtain the desired result".

Browne and Wildavsky (1983) in Pressman and Wildavsky (1973:181-205) wrote comprehensively in their chapter 9 on what should evaluation mean to implementation, showing clearly how the two are intertwined and separated. The chapter reflects how evaluators must understand the evolution of implementation and how implementers must appreciate the problems of evaluators in which said to be involving "reconciling knowledge and power" (Pressman & Wildavsky, 1973:182). Brynard (2005:16) introduces the 5C Protocol plus the sixth C on policy implementation as a rather frugal complex of variables that are not necessarily the solution to implementation. While scholarship on policy implementation shows convergence that there is no predictive concrete path to policy implementation, this policy implementation protocol, the 5C Protocol, is a broadly recognised approach in implementation literature that can be used to unravel the complexities and intricacies evident in policy implementation systems.

The 5C Protocol plus the sixth, entails policy content in terms of:

- who gets what, where, and when;
- its context in terms of the political, economic, socio-cultural, legal, and technological environment that it influences and is influenced by;
- commitment that attests to leadership's willingness or unwillingness to provide vision and motivation across all levels;
- capacity that attests to practical resources required, such as human, financial, etc.;
- clients and coalitions that involve the citizenry, diverse interest groups, and stakeholders including the non-public sector; and
- communication that runs across all the five variables as the sixth critical variable.

2.2 THEORETICAL FOUNDATIONS OF THE STUDY

Out rightly, it would be appropriate to zoom directly into theoretical foundations of the study and a few indigent policy implementation studies in order to take into confidence implementation scholars of the niche of this study within policy implementation scholarship.

Kohoutek (2013:58) reveals that the study of public policy may in fact date back to the ancient philosophers such as Plato's works. He, Kohoutek (2013:58-59), further states that "... systematic study of government activities dates back to the early 1950s with the time of the publication of Lerner and Lasswell's (1951) work *The Policy Sciences*." This work, Kohoutek's (2013:60) work, has sketched the history of research on implementation very well, citing the works of early authorities in the field such as Pressman and Wildavsky (1973). "Implementation studies as an explicit subject of research enquiry emerged in the early 1970s", asserted Kohoutek (2013:60) further.

Some studies conducted in South Africa on Free Basic Services (FBS's) for the poor, the indigents, focused on the package (content) of FBS's and capacities needed to deliver the services. Others focused on Free Basic Electricity, others on sanitation and some specifically on water. Issues of approaches or rather mechanism used by municipalities to deliver the FBS's featured prominently in most of the studies. See Mjoli and Bhagwan (2008) who employed case studies in eight municipalities across the country. Reuters (2011) focuses specifically on the Free

Basic Electricity (FBE), implementation, mechanism/approaches of delivering the FBE, technologies and socio-economic challenges involved, Moatshe and Mbecke (2012) looking into both the socio-economic and internal institutional efficiencies that can either enhance or hamper the delivery of the indigent policy to the indigents, and also Muller (2008) zooming into Free basic water delivery, quantity baselines and challenges with regard to service delivery platform in various types of the South African settlements ranging from urban to peri-urban, informal and rural settlements across the country though lessons are drawn from specific study areas. Whilst details of the literature survey will be covered during the study and in the final study report, the following statement from Reuters I think captures the mood in the arguments of the introduction of FBS package to the indigents: "Many nongovernmental organisations (NGOs) and commentators welcomed the move as a step in the right direction, although some were critical of the small amount, the methods of implementation and the impact" (Reuters, 2011:120).

Though the objectives of the proposed study do not seek to study approaches used by municipalities, it is worth noting that Arntz, Bekker and Botes' (2003:108-109) study on implementing indigent policies found that most municipalities favour a universal approach over a targeted approach in their implementation of an indigent policy. The study postulates that the preferred universal approach might be disadvantaging deserving populations and thus also straining municipalities' resources that could have been channelled to other community services, such as better sanitation and better access to clean water. It further has the potential to reduce municipalities' resource capacities to increase the quantities and quality of services to indigents. This could also lead to inadequate services to indigents, hence compromising the goal of a social wage and establishing a social protection floor (RSA NDP, 2011:342). Fuo's (2013:3-4) article looked into the Constitutional basis for the enforceability of what he refers to as the socio-economic rights (SER's). Though not structured in the manner of the proposed study, the issues raised in these studies, the implementation lessons, challenges and failures learned, gives more importance and significance to the proposed study for further probe into indigent policy implementation.

The proposed study seeks to investigate the implementation of the indigent policy in the Greater Tzaneen Municipality (GTM) in Limpopo Province, South Africa, using the 5C Protocol/Model. The Protocol was never used to study implementation of the Indigent Policy in the GTM nor elsewhere before at the time of the proposal of the study. Therefore the proposed study can be deemed acerbic, in the cutting edge in so far as the implementation of the Indigent Policy using the Protocol is concerned. The 5C protocol plus the sixth C originates from Brynard's (2005) seminal paper on implementation presented at the 27th AAPAM annual Roundtable Conference held in Zambia. In his arsenal paper, Brynard (2005:16) introduces the 5 C's plus the Sixth C on policy implementation as a rather frugal complex of variables that are not necessarily the panacea of implementation. The Five C's plus the sixth entail policy content in terms of who gets what, where, when, its context in terms of political, economic, socio-cultural, legal and technological environment which it influences and is influenced by, commitment that talks to the will or non-will from leadership to provide vision and motivation across all levels, capacity that talks to practical resources required such as human, financial etc., clients and coalitions that involve the citizenry, diverse interest groups and stakeholders including non-public sector, and lastly communication that runs across all the five variables as the sixth critical variable. Hence implementation scholarship believes that these are critical identifiable explanatory variables that may help understand implementation processes on a variety of issues, in a variety of localities. It is in that context that this study seeks to analyse public policy implementation in the GTM using the Five C's Protocol plus the sixth C which will galvanise the whole literature survey of the study.

2.3 EMPIRICAL STUDIES ON IMPLEMENTATION

Arntz et al.'s (2003:108-109) findings on the strategies for the formulation and implementation of indigent policies, established that there are two approaches that municipalities could use in implementing their indigent policies, namely the universal approach and the targeted approach. It has been established that municipalities prefer the universal approach as it is a blanket approach and easier to implement than the cumbersome targeted approach which ensures that the policy benefits exactly those for whom it is intended, and therefore also saves unnecessary costs. Two strategies that underpin the two approaches were identified, and are, firstly, that the process involves the strategies related to the formulation of the policy, and secondly, that the strategies focused on policy implementation. In both the strategies for policy formulation and implementation, the interaction of all the 5C Protocol plus the sixth variable is anticipated. This study also sought to determine how the GTM undertook the implementation of its Indigent Policy, using the 5C Protocol plus the sixth C.

Kosic and Triandafyllidou's (2004) work, generally demonstrates the critical nature of actors (clients and coalitions) in shaping policy and its implementation. Their work blatantly exposes the critical nature of careful management of actors, and the unalienable nature of blending the bottom-uppers and top-downers in policy implementation approaches, and in this regard, the following excerpts from the work of the scholars seemed pertinent:

> *In this context, we also take into account the part played by social actors, such as immigrant and host-country associations and informal network…Our aim is to highlight the interactive nature of immigration policy design and implementation, concentrating on the micro-level of policy routines and immigrant behaviour…Hence, many migrants started their migration careers with clandestine entry or visa abuse but later managed to legalize their status and employment. In this context, the interactive development of immigrants' plans and adaptation strategies and host country policy design and implementation practices becomes a particularly interesting subject for research…The terms 'adaptation' and 'survival strategies' are used here to underline not the intentional a priori elaboration of strategic plans by immigrants concerning their entry and establishment in the country of destination, but rather the complex and dynamic character of their projects, which develop in response to new circumstances and opportunities* (Kosic & Triandafyllidou, 2004:1415).

Another study looked at the national policy of quality assurance in higher education in South Africa and set out to explore the gap between policy formulation and implementation. The study was conducted in August 2008 and used a qualitative approach with interviews with individuals who were purposively sampled at two higher education institutions in South Africa. Respondents were selected on the basis of their roles within the institutions (Tumadóttir, 2008:2). It is reported that 16 heads of department were also interviewed with the aim to either challenge or confirm findings, and to broaden the understanding of the institutional responses, probably based on their high level of operation and control as accounting officers. The findings suggest that there is, or rather that there will always be a gap between policy formulation and implementation. Desperation between actors, internal and external forces (clients and coalitions) and various capacities and orientations (content, context and commitments) are understood as useful "parallel processes supporting implementation and adoption of initiatives" (Tumadóttir, 2008:2). This inquiry, the investigation into the implementation of the GTM's Indigent Policy using the 5C Protocol plus the sixth C, therefore sheds further light on this study's recommendations for further research (Tumadóttir, 2008:133-135).

Baloyi (2011: iv) also conducted a study that explores the health policy implementation challenges facing implementers in the public health sector in the Capricorn district in Limpopo. The researcher employed a self-completion questionnaire with closed and open-ended questions within a mixed methods study, that is, using both qualitative and quantitative methods, and focused on management in Capricorn district hospitals. Although this study also used focus groups, namely, GTM councillors, officials, and indigent policy beneficiaries, the study was designed for a single methodology, i.e. the qualitative interpretive design. Baloyi established that there are numerous challenges that constrain policy implementers from implementing health policies effectively and efficiently in their work environments, ranging from poor incentives, lack of equipment, lack of office space, lack of dedicated transport for outreach, budget constraints, shortage of resources – human and physical, lack of career mobility, poor working conditions, communication problems, to poor supervision style. Furthermore, the findings are articulated as a lack of clarity regarding the existing system of dissemination of information from the province and national government to the hospitals, lack of motivation, the brain drain, diversity management, and poor incentives for health professionals, poor supervision, and accommodation problems (Baloyi, 2011:58, 61). These findings also reveal issues relating to the 5C Protocol plus the sixth C, such as commitment issues by leadership (poor supervision, motivation, diversity management, etc.), capacity issues (shortage of resources – human and physical, budget constraints, etc.), context issues (brain drain apparently driven by external greener pastures or competitors, etc.), and communication issues between clients and coalitions (dissemination of information from the province and national government to hospitals, etc.). These are the factors that Baloyi (2011) emphasised as hindering implementation and therefore preventing the effective and efficient delivery of policy content (objectives in particular). Further research on these findings suggests that the results are not conclusive, due to the study's limitations. Therefore, the results can be used as a working hypothesis for further studies as asserted by Silverman (1985) cited in Baloyi, (2011:60). There is no doubt that this study pursues this working hypothesis.

Another study conducted by Law (2008) investigated four health policies focussing on access and equity, and on people with disabilities. The study especially interrogated enablers and obstacles of policy implementation. As qualitative, descriptive research, the study also used interviews and questionnaire surveys for data collection. The researcher reported having interviewed participants who possessed broad knowledge of policy processes and implementation and the researcher also administered a self-completion questionnaire to some managers to solicit their views on obstacles and enablers of policy implementation. It was established that four health policies showed varying levels of access and equity features, and that all four policies had different key stakeholders or actors (clients and coalitions) who initiated the policy development process. Two of the policies, namely the National Rehabilitation Policy and the Provision of Assistive Devices Guidelines, involved people with disabilities as part of the stakeholder group tasked with the policy formulation. The other important finding was on policy (content) matters, whereby one policy was reported as being comprehensively monitored and evaluated, whereas the other three were not (Law, 2008:iii-iv).

Law (2008) also established that the obstacles to policy implementation encompassed attitudes, environmental access, and human and financial resources. Policy process and design, availability of human and financial resources, support systems, management support, organisational structures, and positive attitudes were found to enable policy implementation. In these findings, there is further clear evidence of play of some of the 5C Protocol plus the Sixth C on policy implementation research established by Brynard (2005). Commitment issues (attitudes and management support), context issues (environmental access), capacity issues (human and financial resources), content issues (policy process and design, organisational structures, and support systems) are abundantly clear. The investigation into implementing the GTM's Indigent Policy using the 5C Protocol plus the Sixth C also sought to establish how the GTM went about implementing its indigent policy.

Law (2008:133), on further research recommendation, reflected on the inquiry into the GTM's Indigent Policy implementation and sought to gain insights from the indigent policy beneficiaries (end-users) as to their experiences with the indigent services offered by the municipality. This alone, to some an extent must tap into some of the impact of the indigent services offered to the people of the GTM, even though impact assessments are full studies on their own. The aspect of impact on clients and coalitions (end-users) also sometimes referred to as key actors or stakeholders, can trigger further research especially in impact assessment studies.

Orago's (2013) study on poverty, inequality and SERs in Kenya, focussed on food and housing needs of the Kenyan indigent population. The study also postulates that "if the needs and interests of the most indigent and marginalized in society are not catered for, the entire corpus of rights in the Bill of Rights becomes redundant" (Orago, 2013: iv-vi). The corpus of rights in the Bill of Rights of the 2010 Kenyan Constitution is very similar to the Bill of Rights in Chapter Two of the Constitution of the Republic of South Africa (1996). In the study, Orago (2013: iv) refers to these rights as the socio-economic rights (SERs). The abstract of the study also highlights the importance of collaborating with stakeholders (clients and coalitions) to ensure their interests are not abrogated in the process (Orago, 2013:vi). In his concluding chapter, Orago (2013:427- 451) outlines the study's findings and advocates for litigation and courts to enforce SERs as provided for in the 2010 Kenyan Constitution. Strong collaboration, public participation, and a deliberate communication mechanism to reach out to the indigent population are further recommended alongside litigation. There is no doubt that this study affirms the importance of investigations into implementing indigent policies across all three spheres of government, both in terms of leadership commitment, stakeholder (clients and coalitions) consultation or rather public participation, organisations' capacities to deliver indigent packages where due, the content of the policies (the packages, the means and the end targets or objectives), contextual environmental factors affecting the whole package delivery system, and advocacy and/or communication of the packages (indigent policy) to the entire population for awareness and accessibility. This offers a fair though not holistic assessment of the 5C Protocol plus the sixth C variable, which is communication.

Another study conducted in Zimbabwean schools established that implementation on the ground dictates the shaping of curriculum policy (Mufanechiya, 2012:655). The study also demonstrates that combining variables is important in implementation, especially coordination between actors and the management of contextual factors, communicating the curriculum to schools, and consulting with educators (teachers), learners, and the parent community of Zimbabwe. Matland

(1995) espouses the dictates of bottom-uppers in policy-making processes, more especially in implementation.

In a rural Chinese study, Göbel (2011:54) postulates that the three basic types of policy-steering instruments are: hierarchical regulation; market competition; and egalitarian networks. That said, Göbel (2011:55) analysed the uneven implementation of the Rural Tax and Fee Reform (RTFR) policy, reportedly with "far-reaching and consequential fiscal and administrative adjustments designed to improve the life of China's farmers". The policy implementation demonstrates the crucial role of local pioneers and leadership, through its continuous improvement by means of local-level experiments. The analysis that arose out of findings from 18 weeks of fieldwork in Anhui, Shandong, and Hebei in rural China, unambiguously demonstrated the uneven implementation, unexpected outcomes, and policy implications of the RTFR. Göbel (2011:55) further states that "[i]t shows how the RTFR developed through both cooperation and massive resistance, a process which macroscopic approaches have difficulties capturing". This study also places compelling attention on leadership's role within the commitment variable of the Protocol, the critical role of clients and coalitions that present forces at work during policy implementation, as captured in the phrase "[i]t shows how the RTFR developed through both cooperation and massive resistance, a process which macroscopic approaches have difficulties capturing". Therefore, management of actors and the presence of strong visionary leadership as envisaged in the Protocol, cannot be avoided during policy implementation.

2.4 FURTHER EXPLORATION OF LITERATURE ON IMPLEMENTATION

In his article abstract, Kondlo (2011:923) "argues that the roots of the crisis in public policy performance in South Africa, post 1994, can be traced back to the fact that communities are endorsees rather than co-originators of policies that affect their lives". This argument results in the necessity of meticulously exploring the variables on clients and coalitions of the Protocol during implementation, to reduce resistance from and by communities during projects or policy implementation phases. If not well explored, the imposed implementation often leaves trail of white elephants and vandalised projects in many communities. Madue (2008:197-198) in his article on policy implementation in a turbulent environment, consistently espouses the problematic nature of policy implementation in the article's abstract, its introduction, background, and in the problem statement. Mothae, (2008:245) concurs with Madue's (2008) statement about policy implementation and its challenges in an unstable environment, and further argues that it is imperative for state agencies to efficiently and effectively implement government policies to deliver a "better life for all". According to Van Meter and Van Horn cited in Brynard (2005:650), policy implementation also entails "those actions by public or private individuals (or groups) that are directed at the achievement of objectives set forth in prior policy decisions". Brynard (2005) cited in Madue (2008:201), observes that the initial ideas or classical way of thinking was based on "the assumption that implementation would happen *automatically* once the appropriate policies had been authoritatively proclaimed". However, "there is still some confusion regarding the beginning of implementation, when it ends, and how many types of implementation there are" (Brynard, 2005:650). Furthermore, and "foremost to understanding of implementation is the belief that implementation is not simply a managerial or administrative problem, it is a political process, it is concerned with who gets what, when, how, where, and from whom" (Brynard, 2005:657). It is improbable, if not impossible, that public policy of any significance could result from the choice process of any single unified actor. Conversely, Rampedi cited in Mothae (2008:248) defines policy implementation as "actions in the public and the private sector to achieve objectives". It is further indicated that implementers can be divided into two main categories namely, primary and secondary implementers. The first category consists of public officials at all levels, thus from top management to the front-line staff, and politicians occupying positions in public institutions. These functionaries play key roles in implementing public policies. The secondary implementers include civil society, non-governmental institutions, and the private sector organisations that play significant and contributory roles in successfully implementing public policies. This further endorses the notion of the actors' multiplicity in policy implementation, hence the critical nature of the variables of the Protocol, particularly the management of clients and coalitions (stakeholders). Mothae and Sindane (2007:148-150) accentuate leadership's role in policy implementation through a Kaplan and Norton's (1996) balanced score-card. This further affirms the commitment variable in the Protocol. Furthermore, Mothae and Sindane (2007:144-145) show how leadership and leadership qualities drive strategy implementation and realisation of the vision, as projected through policy objectives. That emphasises leadership's role in policy implementation. Therefore, it is critical that the GTM or any government and private entities take the issue of commitment in the

Protocol seriously, which will be helpful in attracting and recruiting the right leadership to drive the strategies for implementing indigent policies, or any other policies, for that matter.

Brynard, (2005) also cited in Madue (2008:202) summarises the three generations of implementation as follows:

- Generation 1: Where implementation is considered to be a cog in the administrative machine – which is the top-down approach that posits that implementation happens 'automatically'.
- Generation 2: The administration generation was thus conceived, and it holds that implementation is complex and nothing works (bottom-up approach); it considers implementation as a political process. Attempts were made to explain implementation 'failure' that conceived Generation 3.
- Generation 3: The search for a fully-fledged implementation theory is more scientific than the first two approaches, and considers how implementation might be improved. It is the analytical generation, which seeks to understand how implementation works in general, and how its prospects might be improved. The Protocol therefore largely owes its ethos, or rather narratives, to Generation 3.

Two schools of thoughts also came into play in policy implementation, namely, the Top-down theorists who see policy designers as the central actors, and these theorists concentrate their attention on factors that can be manipulated at the central level (Matland, 1995:146). Bottom-up theorists focus on target groups and service deliverers, and maintain that "policy really is made at the local level" (Matland, 1995:146). It is possible to postulate that the bottom-up theory on policy implementation approaches resonates well with the targeted approach on the indigents policy implementation, as it "emphasise[s] target groups and service deliverers" (Brynard, 2005:9; Matland, 1995:146). Matland (1995) concludes that most authors believe there is a space in which these two views converge, by "tying the macro level variables of the top-down models to the micro-level variables of bottom-uppers", which allows the field of study to grow. Also, "service delivery is linked to policy and policy implementation" (Brynard, 2005:649). Madue (2008: 200) claims that "[c]hallenges of service delivery could easily indicate flawed policy implementation", and, Kettl (1993), also cited in Madue (2008), notes that "implementation research is largely a study of why things go wrong", which notions, have, to a large extent, driven the motivation for this study, as indicated in the introduction and background, and the initial study proposal.

From a South African perspective, some of the threats to the state's capacity to implement public policies, according to Mothae (2008), include: the existence of multiple actors; fragmentation; the lack of skilled and knowledgeable human resources; insufficient public participation; and centralised authority, all of which also represent the Protocol's variables. But Madue, (2008:200) still considers policy implementation to be the glue that binds and directs the different functions, professional staff, administrative staff, procedures, structures, planning, budgeting, and other activities in the public service, especially in the context of the public service. Different scholars of policy implementation suggest similar and different approaches to solutions on the problem of policy implementation. Mothae (2008:252-255) further argues that solutions can be found in: decentralisation; leadership development involving mentoring and coaching; collaboration and integration; systematic public participation and intergovernmental relations (IGR) reinforcement. Mazmanian and Sabatier cited in (Matland 1995:158) further posit that "general public support, support from upper-level political leaders, resources and support from relevant constituency groups, and the commitment of implementing officials" are key political factors for successful policy implementation.

Khosa, cited in Brynard's (2005:10) paper, established from a research study that

> *"the discrepancies between policy and implementation are largely caused by unrealistic policies, and a lack of managerial expertise [and] that policy implementation has suffered from the absence of a people driven process. Insufficient coordination of policy implementation is cited in virtually all sectors, and has significantly hampered the implementation of policies. In addition, insufficient staffing and capacity of all three spheres of government, as well as the linkages between them, have largely worked against the successful implementation of policies".*

Masilela, Foster, and Chetty (in Department of Health, 2013:15) in their chapter review of the e-health strategy for South Africa 2012-2016, strongly advocate for regular, meticulous, and an early warning system kind of implementation approach as a strong implementation monitoring system to track deviations and problems earlier. In other words, according to Masilela et al. (in Department of Health, 2013) all the variables in the 5C Protocol plus the Sixth C implementation approach need to be checked or reviewed regularly and meticulously as an early warning system. In Fuo's (2013:3-4) article on the constitutional basis for the enforcement of 'executive' policies that give effect to SERs in South Africa, the purpose of the article is stated as critically reflecting on the status and possible constitutional basis for the enforceability of 'executive' policies that give effect to SERs in South Africa, such as section 27(2), as alluded to in the background of the study, and further proposes that such 'executive' policies have constitutional enforceability since they are the enforceables of constitutional impositions or stipulations. This study sought to investigate the implementation of one such executive policy, the GTM's Indigent Policy as one of such 'enforceables of constitutional impositions or stipulations'.

Redistribution: The three spheres of government have important roles to fulfil pertaining to redistribution with regard to the inequalities that exist across the country. Therefore, the redistribution of resources is primarily a national function (van Niekerk, 2015:848). In the abstract, Van Niekerk (2015:241) indicates that the study used an analytical and descriptive approach to check the implementation of the Inter-governmental Relations Policy Framework for South Africa and found that the implementation problems lay mainly in co-ordinating the government portfolios (priorities) between the spheres of government, which fundamentally entails the management of actors (clients and coalitions). Indigent policies are redistributive in nature in that they are intended to redistribute resources to the citizens in order to reach out to those who are in need and may not afford to access the services due to poverty. Brynard's (2005:17) seminal paper, also citing the work of Lowi (1963), defined redistributive nature of policy during his explanation of the content variable of the Protocol and termed the description policy typology.

From Brynard's (2005) seminal paper on implementation presented at the 27thAAPAM annual roundtable conference held in Livingstone, Zambia from the 5th to 9th December 2005, one can regard policy implementation to be a process that involves identifying causal links between the complex threads of policy implementation. Thus, it is not by chance that the researcher chose to pick Cloete and de Coning's (2011:136-137) somewhat classical definition of policy implementation in the definition of concepts in the study's proposal. Cloete and de Coning (2011:136-137) maintain that policy implementation "is the conversion of mainly physical and financial resources into concrete service-delivery outputs in the form of facilities and services, or into other concrete outputs aimed at achieving policy objectives". The deliberate choice of this definition amid a plethora of definitions in the implementation literature was just to remain faithful to the classical definition of policy implementation, since the researcher supports Brynard's (2005) Protocol in relation to any policy implementation definition as the structured approach for conversion of all sorts of resources (the means) to achieve policy objectives (the ends). This, in a way, sums up policy implementation, and the whole conversion process represents the structure in using the Protocol's variables to achieve policy objectives. For the purposes of a working definition for his paper, Brynard (2005:9) regards policy implementation "as the accomplishment of policy objectives through the planning and programming of operations and projects so that agreed upon outcomes and desired impacts are achieved". Brynard (2005:2) further cautions outright in the abstract to his paper that "the set of variables proposed in this paper is, in fact, more parsimonious than many alternative sets…The opportunity is to use the five Cs strategically in their complex interlinkages to synergise implementation".

Brynard (2005:12) on further reflection of implementation studies in both developed and developing countries, also postulates that "even where the broad factors identified as being important are similar, implementation problems encountered in developing countries are hypothesized to be greater by virtue of the political and social context in which implementation occurs". The South African political context may also provide evidence for the hypothesis in numerous areas of policy implementation, for example, the free education and land redistribution policies that are and have been in the news for some time in South Africa. Groups of South Africans and their leaders, political and traditional, as well as civil society organisations or pressure groups, indeed seem to be at loggerheads on the particular policies of these matters. The assertion that policy implementers in South Africa, and in the GTM in particular, must be conscious of such assertions in order to act deliberately in their policy implementation endeavours, may be valid to a certain extent.

Furthermore, there are consistently traces of implementation struggles in the print media. The Citizen Newspaper (2017) published an article showing policy implementation upheavals through structures of the African National Congress, the ruling party. The news article highlights accountability gaps and the role of ordinary members of the party in holding the leadership accountable for some policy implementation failures regarding implementing decisions made by the ruling party. The article reported the provincial secretary Super Zuma during a media briefing in Durban as having said, "*The issue has been raised on failure of implementing decisions. We must manage time frames and actions of our leaders. There has been a failure, to some extent, to be able to implement*". The provincial secretary's comment exposes further revelations on recent implementation studies regarding the complex nature of policy implementation and the persistence of confining implementation to time frames and predetermined goals. Carter's (2016:1) article on the time management of policy implementation in a network, introduces the non-linear and metaphysical nature of implementation in a framework termed "timescapes", which represents a concept in which time escapes from ordinary time frames that are normally tied to projects or policy implementation, together with limited resources allocated due to power politics. On the whole, the article shows how clients and coalitions and the commitment via leadership's role and power in the Protocol, can dictate policy or project implementation up to its logical successful implementation, and how such implementation at times veers from its original, technically-framed plan, which normally takes the form of what Carter (2016:1-2) refers to as "governmentality". The Citizen (2017) article also attests to by exposing numerous issues of policy implementation power art (the pull or push forces at play) through the ruling party's policy conferences where delegates assess progress on policy issues such as health and education, and the executive committees' (leadership) work in between conferences. Brynard's (2005) metaphoric analogy on policy implementation as a complex travel path through a maze is further epitomised, that is, held in high esteem in Carter's (2016) article.

2.5 SYNTHESIS OF THE LITERATURE REVIEW

There is no doubt that implementation literature is prevalent. O'Toole cited in Matland (1995:145-146) has studied in the region of a hundred implementation studies carried out towards the end of the 20th century, and has determined that researchers have referred to more than three hundred variables in implementation research. In his extensive theory synthesis work following Matland (1995), Kohoutek (2013) still confirmed a lack of convergence into concrete solid theory on policy implementation in his study on implementation research in higher education sector. The work has also posited parsimony of variables on research on implementation amid various approaches and models studied from scholars such as Elmore, 1985; Sabatier, 1986; Lane, 1987; Winter, 1990; and Matland, 1995 (Kohoutek, 2013:63).

Whilst literature on the topic about policy implementation is widespread, the researcher mainly used selected empirical and peer-reviewed journal articles to assess the topic to address the study's aim and objectives. Thus it is also justifiable for the researcher to have used the structured approach of the 5C Protocol plus the sixth C to study policy implementation in the GTM.

2.6 CONCLUSION

This chapter mainly surveyed literature from journals and empirical studies conducted by other researchers, which were considered relevant to assess the topic under study. Some books and newspaper articles considered more classical and topical regarding the subject of inquiry were also consulted. The chapter provided a survey on literature that exposes the salient features of the 5C Protocol plus the sixth C variable, and how clear the variables are in each implementation study. Although not all detailed in meticulous sequential form, the variables appear to feature in almost every study on policy implementation. This evidence confirms the need for meticulous use of the 5C Protocol to assess policy implementation at any institution. The chapter further posited the niche of the study within policy implementation auditorium and drew a synthesis on literature review. Therefore, the investigation into policy implementation in the GTM sought to track the implementation of the GTM's Indigent Policy at every stage, level, and dimension of the 5C Protocol plus the sixth C variable.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 INTRODUCTION

Chapter Two focused on a literature review. This chapter presents the research method, the approaches/paradigms to research, some problems encountered, the design adopted, population and sampling as well as sampling size and the justification of which was based on the literature review and the sampling methods chosen. The construction of the research instrument (questionnaire/interview guide/schedule) is also presented and justified, and the statisticians' inputs are specified. Although no pretesting was carried out due to resource constraints, the validity and reliability of the research instrument used is discussed.

3.2 RESEARCH METHOD AND APPROACHES

Studies in Social Sciences have highlighted changes that consider, among others, seven approaches to studying social phenomena prevalent in arguments between the positivist and the anti-positivist movements (Welman et al., 2005:6-7; De Vos et al., 2011:5-10). The positivist movement believes that reality as it surrounds us humans can be studied, interpreted, and represented correctly. However, the anti-positivists, or rather post-positivists, hold that reality can never be represented in its totality because of the inevitable subjective nature of the instruments and people involved (De Vos et al., 2011:6-7; Welman et al. 2005:6-7). In all of de Vos et al.'s (2011:5-10) seven approaches in the positivist movement, the positivist approach to the study of social phenomena seems to be very unpopular and unrealistic. The post-positivist, constructivist, interpretive, feminist, critical, and post-modernist approaches appear to be the antithesis to the positivist approach (De Vos et al., 2011:5-10). Orosz, McKenna, and Reding (1997:1891-1906) also embrace different forms of research design in public administration, including case studies and the non-positivistic, phenomenological approach or rather, the qualitative approach. Public policy implementation is a social phenomenon and therefore the study chose to follow the qualitative paradigm to address the aim, objectives, and the questions that the study posed. The qualitative approach can also be referred to as the phenomenological approach or interpretive hermeneutic approach, as described by Welman et al. (2005:191) and further corroborated by de Vos et al. (2011: 8). Without overemphasising paradigms in research approaches, it is worth noting that paradigms are broad frameworks that guide researchers in their approaches to their studies, and they inform general instrumentation (application) of the findings of their studies in real, practical life situations. Suffice to say, there seems to be a constant tussle between ontological and epistemological thinking that strikes a balance between theories and practice, or rather reality and symbolic representation (Willis, 2007:8-10).

Flick (2009:17-21) cites the work of authorities such as Denzin and Lincoln, Malinowski, Schultzmann, and Strauss, Schutze, Oevermann, Allert, Konau, and Krambeck to trace the exact history of qualitative research back to circa 1916. It would seem, from this concise history of qualitative research, that qualitative studies' origins are based in ethnography and sociology (Welman et al., 2005:193). Flick (2009:21) concludes his paragraph on the history of qualitative research with this statement: "Qualitative research is oriented towards analysing concrete cases in their temporal and local particularity and starting from people's experiences and activities in their local contexts". It is in the light of these insights regarding the qualitative paradigm of research, that the researcher deemed it suitable to use the context of the GTM's implementation of their Indigent Policy. For the sake of the reader and/or the users of this study, the aim, objectives, and the questions are as follows:

The aim of the study was to investigate public policy implementation with a focus on the GTM's implementation of their Indigent Policy. The objectives of the study were:

a) to assess the development of the content and the context of the GTM's Indigent Policy Framework;
b) to analyse the GTM's commitment and capacity levels in the implementation of its indigent policy; and
c) to evaluate the modes of interaction (communication) between GTM and its clients and coalitions.

The research questions that the study sought to address were:

a) What does the content of the GTM's Indigent Policy offer to the indigents living in the GTM and what environmental issues influence its content?

b) What resource capacities and commitment from staff and the leadership exist in the GTM to deliver the Indigent Policy's content to its citizens?
c) How does the GTM communicate its indigent policy objectives and content to its clients and coalitions (stakeholders and interest groups)?

In carrying out the aim of the study, the researcher evaluated the GTM's Indigent Policy implementation process using the 5C Protocol plus the sixth C variable, as described in Chapter Two of the study, and a literature review was undertaken. In this regard, the main focus of the study was on process evaluation, which is, according to Rossi, Lipsey and Freeman (2004) as cited in de Vos et al. (2011:458), also referred to as implementation evaluation, and serves to ascertain how well a programme is operating. That is also regarded as an important and useful form of evaluation. Kreuger and Neuman, also cited in de Vos et al. (2011:467) further see case studies and focus groups as effective methods for process evaluation. Welman et al. (2005:193) defines case studies as the intensive study of a case as a limited number of units, and usually only one unit is studied, and that the unit of analysis need not necessarily have to be human. In concurrence, Welman et al. (2005: 193) further state that "[i]n case studies … we are directed towards understanding the uniqueness and the idiosyncrasy of a particular case in all its complexity". Hence the study used focus groups and one-on-one interviews to evaluate the implementation of the GTM's Indigent Policy. The study thus focused on the implementation of the GTM's Indigent Policy using the 5C Protocol plus the sixth C variable. Throughout the study, the researcher tracked the variables – particularly in implementing the GTM's Indigent Policy to illustrate the inclusion and exclusion of the variables, and made inferences, which are presented as the study's findings.

3.3 RESEARCH DESIGN

The discussion of the research design includes the population, sampling, data collection, data analysis, and ethical issues observed in the study. The study followed a qualitative phenomenological interpretive design in order to investigate public policy implementation of the indigent policy framework and guidelines in the GTM. The design is more descriptive, interpretive, and debatable than a quantitative numbers intensive method.

3.3.1 Population

Welman et al. (2005:52) state that "the population encompasses the total collection of all units of analysis about which the researcher wishes to make specific conclusions". Welman et al. (2005:53) further state that "a population is the full set of cases from which a sample is taken". Babbie (in Mvondo, 2010:58) defines the study population as that "aggregation of elements from which the sample is actually selected". According to the GTM (2014a: 29-30), the GTM had a population of about 390 095 residents and about 108 926 households at the time of research. The current information from the GTM's latest Intergraded Development Plan (IDP) states: "It must also be noted that the Community Survey 2016 concluded that the population stands at 416 488" (Greater Tzaneen Municipality, 2019a:26). The population was serviced by 68 councillors. Thirty four ward councillors, plus an equal number of proportional representatives respectively, and officials were grouped in terms of the GTM's institutional arrangements at the time of the study (Greater Tzaneen Municipality, 2014a:12-13). The number of councillors still stood the same in the current IDP 2019/20. At the time of the study, there were only two designated staff members for the indigent functions at the GTM (Greater Tzaneen Municipality, 2014b). That was also recently confirmed by the staff working with the indigents in the GTM (Greater Tzaneen Municipality, 2019b).

3.3.2 Sampling and the study sample

The importance of sampling in research is embedded within the research findings' validity and generalisability (Remler & Van Ryzin, 2015). Sampling is further categorised into probability samples and non-probability samples (Welman et al. (2005:56). Probability samples include simple random, stratified random, systematic, and cluster samples, whereas non-probability samples include accidental or incidental, quota, purposive, snowball, self-selection, and convenience samples. Remler and Van Ryzin (2015:142) further state that probability samples tend to yield more generalisable results than non-probability samples, irrespective of the population's size. This assertion is based on the reliability of both samples. Probability samples are said to be more reliable than non-probability samples in terms of precision. It is therefore reasonable to expect a researcher to be able to identify sample errors from the start of selection of sampling methods throughout the data collection and the interpretation stages. However, Mthethwa (2014:8-11) used mixed methods, that is both qualitative and quantitative methods, employed semi-structured and a structured 5-point Likert scale questionnaire, or rather interviews, to obtain data from the respondents. Sebashe and Mtapuri (2011:1328) also conducted a qualitative study in September 2010 that primarily sought to investigate implementing a performance management system in the Ba-Phalaborwa municipality in Limpopo. One of the sampling methods used by the study was the non-probability sampling method, through snowballing sampling. Their sampling size was well articulated, and it also guided the sampling in this study.

In this study, purposive sampling methods that were more convenient to the study were used to collect data relevant to the study. Focus group discussions, face-to-face discussions, or what de Vos et al. (2011) refer to as one-on-one discussions, and telephone interviews were conducted. The study administered an open-ended question interview guide to respondents and/or participants. Open-ended questionnaires allow respondents to use their own words to answer the questions as opposed to close-ended questionnaires that require 'yes'/'no' responses. These types of surveys are also discussed briefly in the Local Government Data Unit (2009:1-2).

Focus group discussions were conducted with a group of 18 participants from the six categories of stakeholders, namely:

1. the officials (staff);
2. the indigents (beneficiaries) and ordinary community members;
3. the ward committee members (WCMs);
4. the community development workers (CDWs); and
5. the municipal councillors.

Those categories of participants were arranged into heterogeneous groups of six each labelled/coded as group A, B and C for proper reporting of findings. The size of the sample could not be extended further due to the saturation of the data solicited from the participants as captured in Chapter Four of the report and discussed during the validity and reliability of findings of the study. The study also conducted two face-to-face (one-on-one) in-depth interviews with one staff member from management who was the GTM's Chief Financial Officer (CFO), a Section 57 manager responsible for the indigent policy management, and one councillor responsible for the social cluster portfolio, who also provided oversight on the indigent policy implementation. Altogether there was a complement of 20 participants in the study.

3.3.3 Ethical issues related to sampling

Ethical considerations in research arise out of several issues. Some issues emanate from research practices, such as matters of plagiarism and honesty in the reporting of results (Welman et al., 2005:181). Additionally, the involvement of humans and animals in research adds further dimensions to the researcher's responsibilities occasioned by such involvement. The confidentiality and privacy of the information obtained from participants, their informed consent, protecting them from harm, and the researcher's involvement or influence on the participants' views and experiences must be considered in a manner that is ethical to research practice and ethics (Welman et al., 2005:201). These ethical considerations were upheld in the study. Participants participated voluntarily and they were at liberty to refuse participation at any stage in the research process. That was ensured by explaining the informed consent statement at the top of the interview guide to the participants before they could actually participate in the study, and causing them to sign the statement alongside with the researcher if they agree to participate in the research. See the informed consent statement on ANNEXURE B at the end of the study report. Titles such as CFO, Director, Indigents, Indigent Staff, etc. were used rather than real names to maintain respondents' anonymity. Permission was sought from the GTM (see permission letters as ANNEXURES A, G and H at the end of the study report). A guarantee of confidentiality was supplied to the GTM administration regarding the classified information they supplied as were the human rights of the officials and councillors who were involved in the study.

The justification of the sample selection can be explained as follows for purposes of inclusion and exclusion criteria:

- For Municipal Officials, criteria were to select from those who were involved in the implementation of the indigent policy as explained already.
- For CDW's who are working or have worked with the Municipality since they are likely to be involved in the community outreach programmes from various sectors and government projects, as such likely to be more knowledgeable about socio-economic profile of the GTM communities.

- For the indigents, selection was from those who fell within the income band that is defined by the indigent policy for an individual to qualify for assistance.
- Ward Councillors are responsible for any public participation on the delivery of services to the local populations of South Africa on any government policy issue such as the National framework for municipal Indigent Policy (NIP). They could not therefore be excluded in this inquiry.
- For the inclusion of any ordinary community member of the GTM would be for checking information on the GTM's level of policy advocacy and public participation since qualifying indigents are sourced from residents of the municipalities themselves.
- Ward Committee Members (WCM's) are part of key local government municipal structures closest to communities to ensure community participation in all municipal policy and service delivery issues.

3.3.4 Data collection

It is critical for researchers to understand what surveys are, as well as the advantages and disadvantages of survey types before venturing into the exercise of data collection. Blair, Czaja, and Blair (2014:1) indicate that "surveys collect information [data] by interviewing a sample of respondents from a well-defined population [and that] the survey population may comprise individuals, households, organizations, or any element of interest". The authors further elaborate on the types of surveys, or rather data collection methods, together with the weaknesses (disadvantages) and strengths (advantages) associated with each method. The types range from mailed questionnaires, internet surveys, telephone interviews, face-to-face interviews, observations, depth interviews, focus groups and panels, to emerging smartphone and social media surveys (Blair et al., 2014:48-80). Wegner (2007:27-32) analyses the different data collection methods and groups them into three approaches, namely, observation, surveys, and experimentation. Surveys collect primary data by directly questioning the respondents and can take the form of personal interviews during which face-to face encounters with respondents is embarked upon, and a questionnaire is completed (Wegner, 2007:28). This research study applied the face-to-face, telephonic, and focus group surveys (interviews), which have been described in the sampling discussion above.

3.3.5 Data collection approach and methods

The study used three methods to collect data, namely, focus groups, face-to-face interviews, and telephone interviews.

3.3.5.1 Face-to-face interviews

In-depth, qualitative interviewing is advocated by Rubin and Rubin (2012:3) as one of the most important true-to-life methods in which researchers are able to interact with the most informed and relevant respondents regarding the topic of research. Secondary (historical) data in the form of indigent registers and reports were also used to obtain information on the indigent population. Nishishiba, Jones, and Kraner (2014:98-109) corroborate these methods of survey administration. De Vos et al. (2011:347) also refer to these types of interviews as one-to-one interviewing. Different types of one-to-one interviews are further discussed, and this discussion includes unstructured interviews referred to also as in-depth interviews, as well as semi-structured, ethnographic, e-mail, telephonic, and convergent interviews (De Vos et al., 2011:347-359). There is a fine line between unstructured and semi-structured interviews, however, in semi-structured interviews there must be an interviewing schedule or instrument that has a set of predetermined, open-ended questions mainly anchored in the topic of the study (De Vos et al., 2011:348-353). Thus, this study used the semi-structured interviewing instrument to elicit responses from the Director, who was the CFO of the GTM at the time of the study.

3.3.5.2 Telephone interviews

The telephone interview is one of several types of one-to-one interview discussed by de Vos et al. (2011:355-357). Although it is not necessarily suitable for every type of project, this researcher found it appropriate to use the telephone method, given the geographical distance and the difficulty in reaching almost all targeted councillors simultaneously. The method is proposed as being more suitable for use in focused projects or studies (De Vos et al. 2011:355-356). The investigations into the GTM's implementation of its Indigent Policy using the 5C Protocol plus the sixth C variable is also a focused study, hence the inclusion of this method. Telephone interviews are quicker and less expensive than face-to-face interviews (De Vos et al. 2011:355).

Numerous advantages and disadvantages of the method are listed (De Vos *et al.,* 2011:356-357). Two of the most striking advantages of the telephone interview are that it offers an opportunity to guarantee that all questions can be clarified and the researcher can ensure that all questions are responded to (De Vos et al., 2011:356). Some of the method's weaknesses are that there is the loss of nuances that are otherwise noticeable in face-to-face interviews, the short time of the interactions between the researcher and the participant, and thus the loss of detailed responses (De Vos et al., 2011:357). The participant councillor was therefore notified accordingly about the aim of the interview through a letter from the university that was supplied in advance to the GTM's participants. Several follow-up calls were made to set up suitable times for the interviews with the councillors. The data collected during the interview is thus presented, discussed, and analysed in Chapter Four of this study report. The interview took about 40 minutes, even though de Vos et al. (2011:356) propose a 20 minute interview. About 21 scheduled, open-ended questions based on the study's aim, objectives, and questions guided the interview.

3.3.5.3 Focus groups

"Focus groups mainly include six to ten participants" (De Vos et al., 2011:366). It is indicated that researchers should not favourably consult or meet with only one focus group once (De Vos et al., 2011:367). The caution holds that meeting only one group once may not saturate the research questions, and as such give the researcher flimsy information from which to make discerning inferences into the phenomenon under study. Focus groups are also regarded to be "group interviews … a means of better understanding how people feel or think about an issue, product or service" (De Vos et al., 2011:360). Among the strengths and weaknesses of focus groups are that they have the capacity to produce rigorous amounts of raw facts on exactly the subject of the study, whereas conversely, active participants may overshadow more reticent participants and hence limit the generalisability of the findings to other groups (De Vos et al., 2011:373-374). The groups that the researcher engaged with comprised the GTM's municipal officials (staff), indigent beneficiaries and community members, WCMs, ward councillors, and CDWs. The discussion focussed on the open-ended research questions and participants were asked to interrogate how the GTM implements its Indigent Policy in terms of the policy content, its context, the commitments from leadership, the capacity of the municipal institution, the clients and coalitions (stakeholders), and communication that seeks to establish how the municipality communicates policy implementation to stakeholders. The researcher facilitated the groups (De Vos et al., 2011: 367). To facilitate the presentation of the data, the groups were coded into Groups A, B, and C.

3.3.6 Developing and testing the data collection instrument

Development and testing of the questionnaire, or rather the data collection instrument, is achieved through a procedure known as pretesting. “The pretest is a set of procedures used to determine whether the questionnaire works in the manner intended by the researcher” (Blair et al., 2014:255). Thus, researchers are advised to conduct pretesting and debriefing sessions with the type of respondents akin to their sample population (Blair et al., 2014:252-259). This is done in order to eliminate or rather reduce problems associated with data collection instruments particularly “response problems” (Blair et al., 2014:252). However, this study did not perform pre-tests and de-briefing since the researcher interacted with the respondents directly and managed to clarify questions during the interview if and when misunderstandings arose.

3.3.7 Characteristics of the data collection instrument

The most commonly known and used data collection instruments are surveys (Nishishiba et al., 2014:91). There are different types of data collection instruments. The types range from mailed questionnaires, internet surveys, telephone interviews, face-to-face interviews, observations, depth interviews, focus groups and panels, to emerging smartphone and social media surveys (Blair et al., 2014:48-80). It is also important to note that there are open-ended and closed questionnaires. Fundamentally surveys present three advantages, namely their versatility, efficiency, and generalisability (Nishishiba et al., 2014:92). Equally, surveys may attract errors of application during design and administration, that is, during the entire process of instrumentation. Nishishiba et al. (2014:92-93) identify two kinds of such errors, namely: errors of observation, also known as measurement errors resulting from poor formulation of and irrelevant questions; and errors of non-observation, mainly arising out of insufficient coverage of the population, or poor sampling structure, a sampling error, and the non-response of respondents. It is further worth noting that survey questionnaires can be further designed to incorporate two types of questions, namely, open-ended questions where respondents or participants use their own words and ideas to respond, and closed questions where respondents choose from the given options to respond to questions (Nishishiba et al., 2014:94). Thus, it must be acknowledged at the outset that such errors in the study may affect the quality and generalisability of the study results. In this study, an open-ended questionnaire instrument was used with all of the participants as indicated.

3.3.8 Data collection process

Participatory focus group methods of data collection are closely linked to qualitative research paradigms as explained in the introductory paragraphs of this chapter on methodology. Krueger and King (1998) wrote technical guides in a series of focus group kits that detail the most useful steps to collecting data from focused groups, especially community members. Some of Krueger and King's (1998:51-86) question structures and tips were used, where possible, to collect data. In their qualitative case study, Sebashe and Mtapuri (2011:1323) used a semi-structured questionnaire for data collection. This study also used the semi-structured, open-ended questionnaire to collect data from focused groups and informants that were specific and relevant to the study, as well as relevant documents. In this case, the focus group discussion and face-to-face and telephonic interviews, or rather surveys, were used, and such research techniques involved the councillors, the CFO, the indigent staff etc., as well as relevant documents such as the GTM's Indigent registers and application forms for indigent status.

3.3.9 Ethical considerations related to data collection

As already indicated, ethical considerations in research emanate from quite a number of issues. Some issues are concerned with the research practices, such as matters of plagiarism and honesty in reporting results (Welman et al., 2005:181). Ethical considerations in research arise out of several issues. Additionally, the involvement of humans and animals in research adds further dimensions to the researcher's responsibilities occasioned by such involvement. The confidentiality and privacy of the information obtained from participants, their informed consent, protecting them from harm, and the researcher's involvement or influence on the participants' views and experiences must be considered in a manner that is ethical to research practice and ethics (Welman et al., 2005:201). Such ethical considerations were upheld in the study. Miles, Huberman, and Saldaña (2014:55-68) also debated the ethical matters to be considered when analysing qualitative data. Nishishiba et al. (2014:110-111) are also in agreement regarding the ethical factors to be considered during data collection, which were assured in this study. Participants participated voluntarily and they were free to refuse participation whenever they chose to do so. The signing of the consent form/statement at the beginning of the interview guide made sure participants agreed to take part in the study without coercion. Titles such as CFO, Director, Indigents, Indigent Staff, etc. were used rather than real names to maintain respondents' anonymity. Permission was sought from the GTM (see permission letter as ANNEXURE A at the end of the study report). A guarantee of confidentiality was supplied to the GTM administration regarding the classified information they supplied as were the human rights of the officials, councillors, the indigents and community members, ward committee members and community development workers who were involved in the study.

3.3.10 Data analysis

Patton cited in de Vos et al. (2011:397) states that "qualitative analysis transforms data into findings". De Vos et al. (2011:397) concur with Patton and further define data analysis as "the process of bringing order, structure and meaning to the mass of collected data". Furthermore, Schwandt, also cited in de Vos et al. (2011:397) sums it up that, overall, data analysis "is the activity of making sense of, interpreting and theorizing data". In their introductory discussion on qualitative data and qualitative data analysis, de Vos et al. (2011:398) state that this stage in the research is extremely overwhelming, especially to novice qualitative researchers such as this researcher. Their discussion on the topic paints such a dreadful picture of qualitative studies that 'would-be' qualitative researchers might avoid to venturing into their studies, which could also mean that qualitative research takes longer than the planned time for completion, but nevertheless it is generally more appropriate than snap shots in longitudinal studies.

In terms of a definition for qualitative data analysis, researchers are cautioned that there is no specific definition for qualitative data analysis that closely interrogates its nature. It is indicated that qualitative data and qualitative data analysis are non-linear in nature and therefore chasing definitions of such concepts might prove as difficult as chasing a mirage. As a working definition, Babbie (2007) cited in de Vos et al. (2011:399) posits that qualitative analysis could mean "…non numerical examination and interpretation of observation, for the purpose of discovering underlying meanings and patterns of relationships". The above explanation was necessary to prepare the reader and users of this study to understand the ethos behind qualitative data and qualitative data analysis in qualitative studies.

It is also important to briefly discuss qualitative data coding. Welman et al. (2005:213-214) state that data coding occurs even when the researcher needs to reduce "the huge amount of data to manageable and understandable texts", and that "[t]he purpose of data coding is to analyse and make sense of the data that have been collected". There are several types of data coding that can be applied in qualitative data analysis, which include, among others, descriptive, interpretive, pattern, reflective remarks, marginal remarks, and revising codes (Welman et al., 2005:214). This study mainly used descriptive, interpretative, and pattern coding, with some reflective and marginal remarks where necessary to compare, contrast, and reflect on data, to project meaning into research objectives and questions.

Computer software programmes may also be used in ordering and coding huge amounts of data in research. Nvivo and Altas.ti software represent the most common data analysis software used for qualitative data analysis. However, data in this study was mainly analysed manually. The respondents' biographical information was analysed using the quantitative data analysis software, the Statistical Package for Social Sciences (SPSS). Nvivo comes from non-numerical Unstructured Data Indexing Searching and Theorizing (UD*IST) (Gillham, 2005:146). The unstructured information collected from the focused group discussions and interviews conducted was mainly analysed manually. It is indicated that it is not always necessary to use computer-assisted qualitative data analysis software (CAQDAS), more especially if the researcher has fewer than 30 survey transcripts to analyse (Gillham, 2005:146). Context loss risk associated with computer programmes for data analysis, particularly with qualitative data, is also indicated. However, every social researcher is nonetheless encouraged to at least learn the software for possible use (Gillham (2005:146-147).

3.3.11 Ethical considerations

"In most dictionaries and in common usage, ethics is typically associated with morality and both words concern matters of right and wrong" (Babbie, 2013:32). Like it is indicated already, ethical considerations in research emanate from a number of areas. Some issues emanate from research practices, such as matters of plagiarism and honesty in the reporting of results (Welman et al., 2005:181). Additionally, the involvement of humans and animals in research adds further dimensions to the researcher's responsibilities occasioned by such involvement. The confidentiality and privacy of the information obtained from participants, their informed consent, protecting them from harm, and the researcher's involvement or influence on the participants' views and experiences must be considered in a manner that is ethical to research practice and ethics (Welman et al., 2005:201). These ethical considerations were upheld in the study. Babbie (2013:30-31) refers extensively to ethical issues, controversies and politics in social research, highlighting the subject as extremely sensitive and debatable in many respects. Therefore, this study has carefully navigated the ethical considerations throughout the research. Participants participated voluntarily. The researcher is therefore able to report with confidence to ethical adherence in this research study. No participants were coerced into participation, and no real names were used during the entire course of the study, in order to maintain anonymity. The qualitative data analysis approach as described in paragraph 3.3.10 above was therefore used, as recommended, to achieve ethically sound, qualitative research results.

3.4 RELIABILITY, VALIDITY AND OBJECTIVITY OF THE STUDY

Validity in research also attests to the reliability of the measure. A measure is also referred to as an instrument for data collection, such as a questionnaire (Fink, 2008:187). Fink (2008:188) also believes that a valid measure is accurate, consistent, and reliable. It is further stated that "validity refers to the degree to which a measure assess what it is supposed to measure" (Fink, 2008:195). This is the extent to which the research managed to measure what it was meant to measure. Welman et al. (2005) also distinguished between internal validity and external validity. In external validity it is expected that the results achieved in a particular sample frame of a particular population, say the population of all municipalities of a particular category in South Africa, must achieve the same results as similar studies in other South African municipalities, and must be applicable to other South African municipalities (Welman et al., 2005:125-128). Remler and Van Ryzin (2015:141-142) also corroborate that the extent to which the research findings should be generalised to other situations or particular broader contexts or realities that hold true to the study's findings, is referred to as the external validity or generalisability of the study results. Welman et al. (2005:107) further distinguish internal validity from external validity by “the degree to which changes in the dependent variables is indeed due to the independent variable rather than to something else”. Basically, de Vos et al. (2011) interrogated the assessment of the quality of qualitative research, and indicate that qualitative research does not follow the conventional mode of internal and external validity or representativeness, that is, reliability and objectivity for assessing the quality of the research (De Vos et al., 2011:419). Even Lincoln and Guba’s proposed qualitative research assessment criteria as cited in De Vos et al., (2011:419-422) are not the solution to assessing the quality of qualitative research. The emphasis should be more on the practical steps that qualitative researchers take in analysing qualitative data. The inferences drawn from the study are justified by its design and sampling methods which looked more on participants’s relevance to address the objectives and questions of the study as well as reaching data saturation than sample representativeness.

3.5 CONCLUSION

In this chapter, the philosophies of research approaches were espoused for this study. The chapter detailed the study’s methodology and paradigm, it presented the research design, population and study sample, the ethical considerations related to sampling, the data collection approach and methods, the data collection instruments, development and testing, characteristics of the data collection instrument, the data collection process, data analysis, the ethical considerations related to data collection and analysis, the study’s reliability, validity and objectivity, and the concluding remarks as in this very conclusion of the chapter. The researcher confidently concludes that overall the research methodology was aptly followed pursuant to the study’s objectives and the study design chosen, that is, the qualitative design. The next chapter, Chapter Four, presents the data analysis and discussion, and detailed application of the discussed research methods, and determines the study’s findings.

CHAPTER FOUR

PRESENTATION AND ANALYSIS OF DATA

4.1 INTRODUCTION

Chapter Three presented the methodology and research design. Chapter Four presents data, data analysis, and interpretation, and concludes with a summary of the research results (findings). Data was collected from purposive samples comprising officials (staff), WCMs, CDWs, indigent beneficiaries and community members, and councillors to solicit responses to the research questions. The measurement comprised two sections of data collection questions, namely: Section 1, which used quantitative nominal and ordinal scales to collect biographical information from the respondents; and Section 2, which comprised open-ended qualitative questions focussed on collecting information pertinent to the study's aim, objectives, and questions. The measurement (instrument) is annexed at the end of this study report as ANNEXURE B. In this chapter, data is presented in tables, and then discussed, analysed, and interpreted using thematic, descriptive, interpretive, and pattern, as well as some reflective and marginal remarks data coding to compare, contrast, insinuate, and draw inferences from the literature and data collected.

4.2 BACKGROUND

The measure was designed to measure the implementation of the GTM's Indigent Policy using the 5C Protocol plus the sixth C, as already mentioned in the previous chapters. Twenty-one questions were streamlined across the Protocol through to the sixth C. The streamlining of the questions demonstrates the cohesive and interactive nature of the variables in the Protocol (Brynard, 2005:16). The measure was also designed to address the following research questions as stipulated in Chapter One of this study:

a) What does the content of the GTM's Indigent Policy offer to the indigents living in the GTM and what environmental issues influence its content?
b) What resource capacities and commitment from staff and the leadership exist in the GTM to deliver the Indigent Policy's content to its citizens?

c) How does the GTM communicate its indigent policy objectives and content to its clients and coalitions (stakeholders and interest groups)?

In order to address these research questions, focus group discussions were conducted with a group of 18 participants from the five categories of stakeholders, namely, the officials (staff), the indigents (beneficiaries) and community members, the WCMs, the CDWs, and the municipal councillors. The study further conducted two one-on-one interviews with one staff member from the management team, the CFO, who was responsible for the indigent policy management, and one councillor responsible for the social cluster portfolio, who provided oversight on the indigent policy implementation. The staff members involved in the focus group discussions were working directly with the indigents in the GTM. One of the councillors interviewed telephonically is said to be one of the councillors who were re-elected after the South African local government elections that were held on the 03rd August 2016, and therefore might have more information regarding the indigent services offered by the municipality during their previous term of office. The next paragraph presents the data and the analysis thereof.

4.3 DATA PRESENTATION AND ANALYSIS

Biographical information is presented in graphs and tables. The SPSS was used to analyse and interpret the data. SPSS is software used to interpret and analyse quantitative data (Welman et al., 2005:237). The data from the open-ended qualitative questions that were designed to collect information on the study’s aim, objectives, and questions as stated is also analysed and interpreted manually.

4.3.1 Biographical information of respondents

This section of the questionnaire elicited information pertaining to the respondents’ (participants) demographic characteristics. The section addresses the following attributes pertaining to the respondents:

- gender;
- language (nationality);
- age;
- qualification; and

- position (role).

Each of these characteristics is presented, discussed, and analysed hereunder.

Table 4.1: Biographical information of all participants

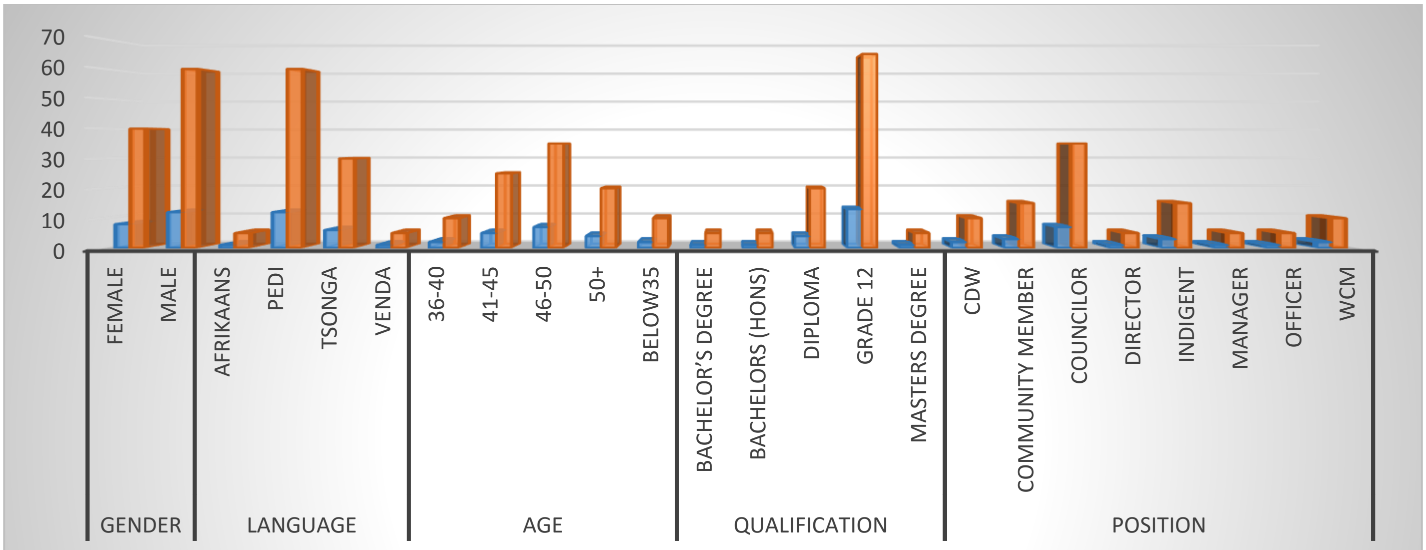
No of participants	Gender	Language	Age	Qualification	Position
1	Female	Pedi	46-50	Master's Degree	Director
2	Male	Pedi	41-45	Diploma	Officer
3	Female	Afrikaans	50+	Bachelor's Degree	Manager
4	Male	Tsonga	46-50	Bachelor's (Hons)	Councillor
5	Female	Pedi	46-50	Diploma	CDW
6	Female	Pedi	41-45	Diploma	CDW
7	Male	Pedi	50+	Grade 12	WCM
8	Female	Pedi	36-40	Grade 12	WCM
9	Female	Tsonga	-35	Grade 12	Indigent
10	Female	Tsonga	50+	Grade 12	Indigent
11	Male	Tsonga	41-45	Grade 12	Indigent
12	Male	Pedi	41-45	Grade 12	Community member
13	Male	Venda	46-50	Grade 12	Community member
14	Male	Tsonga	46-50	Grade 12	Community member
15	Male	Pedi	50+	Grade 12	Councillor
16	Male	Pedi	41-45	Diploma	Councillor
17	Male	Pedi	36-40	Grade 12	Councillor
18	Male	Pedi	-35	Grade 12	Councillor
19	Female	Tsonga	46-50	Grade 12	Councillor
20	Male	Pedi	46-50	Grade 12	Councillor

Table 4.1 above shows that the majority of participants (13) had Grade 12 as their highest qualification. Of those participants with Grade 12, councillors were in the majority (5). Of all the other participants and respondents, two had post graduate degrees, one was an undergraduate, and the rest (4) had diplomas.

The biographic data of respondents (participants) is further presented in Table 4.2, and in Figure 4.1 hereunder the data analysis using the computer data analysis software programme SPSS and the Microsoft excel as discussed in chapter 3 of the study methods.

Table 4.2: Biographical information of all participants (n=20)

		Frequency	Percentage
Gender	Female	8	40
	Male	12	60
Language	Afrikaans	1	5
	Pedi	12	60
	Tsonga	6	30
	Venda	1	5
Age	36-40	2	10
	41-45	5	25
	46-50	7	35
	50+	4	20
	Below35	2	10
Qualification	Bachelor’s Degree	1	5
	Bachelor’s (Hons)	1	5
	Diploma	4	20
	Grade 12	13	65
	Master’s Degree	1	5
Position	CDW	2	10
	Community member	3	15
	Councillor	7	35
	Director	1	5
	Indigent	3	15
	Manager	1	5
	Officer	1	5
	WCM	2	10
	Total	20	100



	Gender		Language				Age					Qualification					Position							
	Female	Male	Afrikaans	Pedi	Tsonga	Venda	36-40	41-45	46-50	50+	Below35	Bachelor's Degree	Bachelors (Hons)	Diploma	Grade 12	Masters Degree	CDW	Community member	Councilor	Director	Indigent	Manager	Officer	WCM
Frequency	8	12	1	12	6	1	2	5	7	4	2	1	1	4	13	1	2	3	7	1	3	1	1	2
Percent	40	60	5	60	30	5	10	25	35	20	10	5	5	20	65	5	10	15	35	5	15	5	5	10

Figure 4.1: Biographical information of all participants in frequency and percentage on a bar graph (n=20)

Based on figure 4.1, tables 4.1 and 4.2 respectively above, this study shows that the gender breakdown was 12 (60%) males, and females numbered 8 (40%). In terms of language, the majority of respondents (60%) were Pedi speaking, followed by Tsonga speakers at 30%, while there were 5% Venda and 5% Afrikaans speaking respondents. The majority of respondents (7) were aged between 46 and 50 years (35%), and minority were aged between 36 and 40, and those respondents below 30 years numbered only 2 (10%). Results also show that more than one third (65%) of respondents had grade 12 as their highest qualification, while only 1(5%) had bachelor degrees, bachelor degree (honours), and master's degrees respectively. It was also recorded that the majority of respondents were councillors (35%), whereas other respondents occupied other positions or roles. The demographic scenario portrays a multicultural community in terms of the socio-cultural factors of the Protocol's context variables. The participants' education levels also raise important issues regarding the levels of education in the community of the GTM, which might be related to indigence in the majority of the community. The age scenario also reflects a dominance of the middle age population in the GTM's affairs.

4.3.2 Presentation and analysis of responses to the open-ended questions in the measure

All respondents and participants presented on the demographics and analysed in Tables 4.1 and 4.2, and further in Figure 4.1 above were involved in the study. Three heterogeneous focus group discussions and two interviews, namely, face-to-face and telephone interviews, were conducted. The participants in the three heterogeneous focus group discussions were grouped into A, B, and C for data management purposes. Responses were isolated in themes and sub-themes, and are presented in Tables 4.3 to 4.32. The themes and sub-themes are based on the study's objectives and questions as described in Chapter Three during the study methodology discussion. Each table is followed by discussion, analysis, and presentation of data according to each data collection method. The measure (data collection instrument) comprised 21 open-ended questions that were presented to the participants and respondents during the three focus group discussions and during the one-on-one interviews (see ANNEXURE B, the data collection instrument attached at the end of the study report).

4.3.2.1 Group A

Group A comprised staff members, WCMs, and CDWs as part of the institutional arrangements for the delivery of the GTM's Indigent Policy.

Table 4.3: Content – Group A

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP A	Content	
	1. Sources of funding	*National Treasury*
	2. Identifying and accessing the indigents	*Through ward-based meetings with ward councillors, WCMs, the CDWs, and the*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		populations of the GTM, application forms, and door-to-door outreaches. *Applicants screened through Information and Communication Technology (ICT) system outsourced to credit agencies.* *Indigent register.*
	3. FBS package	*Write-off the indigent debts, dispensing free basic electricity of about 50kw/h, free basic water of about 6 Kilolitres (kl), and 100% rebates on rates and taxes and refuse removal.*
	4. Free basic services delivery methods	*Water and electricity are delivered through outsourced metered billing systems.*
	5. Communicating	*Communication is through post and smses as well as through print and electronic media.* *Ward meetings.*
	6. Challenges	*Indigent debts accumulating from exceeding the FBS mark or level and the tariff hikes*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		whilst service volume remains constant. *Illegal connections.* *Overwhelming workload.*

4.3.2.1.1 Content

The policy content can either be distributive, redistributive, or regulatory Lowi (1963) (in Brynard, 2005:17). Indigent policies are seen as redistributive policies. "Worth noting is her precondition for establishing a society based on social justice – the (re)distribution of material resources to satisfy basic needs of those living in poverty" (Fuo, 2014:194). Whilst the indigent policies may be seen as redistributive, policy content can be viewed as a negotiator between the ends (policy objectives) and the means (actions and resources) towards the delivery of policy packages (Brynard, 2005:17). In this regard, the discussion explored funding sources, how to access (identify) the beneficiaries (indigents), what the beneficiaries receive (policy packages), how they receive it (methods of delivering the policy packages), how the policy is communicated to the beneficiaries, and what challenges the municipality encounters in delivering the policy content to the GTM's indigent population.

4.3.2.1.1.1 Sources of funding

Regarding sources of funding as the means to deliver the policy content, the staff members indicated that *the funds come from National Treasury as equitable share allocated annually through the Division of Revenue Act (DoRA)*. Resource allocation as a means to achieving the objectives of the GTM's Indigent Policy is also seen as critical, hence the allocation through equitable shares from the national government through the National Treasury. Since the indigent policy is a redistributive policy in terms of the definition of policy content as espoused by Brynard (2005) in the Protocol, the three spheres of government have important roles to fulfil pertaining to redistribution with regard to the inequalities that exist across the country. The literature review in this study also attested to the fact that the redistribution of resources is primarily a national function (van Niekerk, 2015:848). The Framework for Municipal Indigent Policies also tied the policy implementation to funding, it states clearly the following:

> *"The policy needs to be applied in conjunction with the equitable share policy being prepared by National Treasury in cooperation with DPLG. This relationship between the two policies is necessary as equitable share finance is intended as an important component of the funding to be used to subsidise the provision of free basic services to the indigent"* (DPLG, 2005b:6).

4.3.2.1.1.2 Accessing the indigent populations in the Greater Tzaneen Municipality

The second question on content sought to establish how the GTM identifies and accesses its indigent populations in order to deliver the policy content. All of the categories in GROUP A, that is, the staff members, WCMs and CDWs identified *ways ranging from ward based meetings with ward councillors, WCMs, the CDWs and the populations of the GTM, to application forms distributed to capture the indigents.* The sample of the application form is attached to the end of this report as ANNEXURE D. A WCM also mentioned *door-to-door outreaches* to distribute the application forms. One staff member further elaborated that *identified and captured applicants are then screened through Information and Communication Technology (ICT) system outsourced to Credit agencies to verify the indigent status of the applicants and that, once verified through the outsourced ICT systems, the indigents are registered in the GTM's Indigent register.* A sample of the GTM's Indigent register is also attached to the end of this report as ANNEXURE C. The GTM has also stipulated criteria for the exact identification of the indigent they want to reach out to (access) in their Indigent Policy (GTM, 2011:D281-282). As critical stakeholders, the indigents are the actual beneficiaries of the policy, and it is therefore mandatory that the GTM actually access the indigent populations within the municipality's jurisdiction. This links strongly to the notion of clients and coalitions in the variables of the Protocol, particularly the critical stakeholders, without whom policy implementation cannot be effected (Brynard, 2005). It also answers the question of "who gets what … and from whom", as captured in the study's literature review (Brynard, 2005:657).

4.3.2.1.1.3 Package of services offered to the indigents of the Greater Tzaneen Municipality

The foreword in the National Framework for Municipal Indigent Policies (DPLG, 2005b) states the following:

> *The Municipal Indigent Policy Framework was approved by the Social Sector Cluster as part of the social wage package in 2005. Subsequent to that the guidelines for the implementation of the national indigent policy by municipalities were approved by MinMec in 2006. The Indigent Policy Framework provides a basis for the provision of Free Basic Services to the indigent, and as such, enhances current indigent policies applied by municipalities. The guidelines for implementation of the indigent policy provide municipalities with options for the development of their indigent policies. The guidelines apply specifically to Free Basic Services programme within municipalities i.e. Free Basis Water, Free Basic Sanitation, Free Basic Energy/Electricity and Free Basic Refuse Removal.*

It is indicated that the scope of the framework is to provide the base for the provision of FBS to the indigent and, as such, replaces former indigent policies and FBS policies applied by the DPLG (DPLG, 2005b:6). The framework is also an enabling policy intervention that tries to fulfil the provisions of Section (27) of the Constitution of the Republic of South Africa (RSA, 1996).

All the participants mentioned *writing off the indigent debts, dispensing free basic electricity of about 50Kw/h, free basic water of about 6kl, and 100% rebates on rates and taxes and refuse removal*. The responses seem to affirm the levels of service indicated in the GTM's Indigent Policy (2011:D283-D284). The fundamental implementation question then arises as to whether or not the indigents residing in the GTM do indeed get what is due to them in terms of the service packages as mentioned, which is largely the M&E function of the institution, the GTM, and is the manner in which the indigents residing in the GTM react to the situation in the event of non-delivery of their planned and policy-documented FBS. In its non-financials report, StatsSA (2017:23) presents FBS packages and advises on the minimums that the citizens are entitled to. The National Framework for Municipal Indigent Policies (NIP) adopted by the national government in 2006 assures a minimum basic level of water, electricity, and sanitation services to indigent households and obliges municipalities to adopt and implement municipal indigent policies congruent to local contexts and capable of meeting the basic needs of indigent households (Fuo, 2014:188-189). According to the participants, the GTM seems to cover some of the FBS, though it would seem this is not yet a comprehensive suite of FBS. In the literature review, Orago (2013) advocates for litigation by the indigents to obtain their policy share from the policy content, as documented and backed by the supreme law of the country, in his context, the Kenyan Constitution of 2010, and the South African Constitution of 1996 in the context of the GTM. This can give impetus to the implementation efficiency in the institution and possibly across the country, hence addressing the indigent problems and tackling the scourge of poverty. In the introduction and background to his study, Fuo (2013) espouses the possible constitutional basis for the enforceability of 'executive' policies that give effect to SERs in South Africa, such as section 27(2), which states that the state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of each of the rights provided in sub-sections (1) (a), (b), and (c), since they are the result of constitutional impositions or stipulations. To this effect, it is thus incumbent upon the indigents to use their constitutional rights to access their FBS that might accelerate implementation and ameliorate their indigent status.

4.3.2.1.1.4 The method of delivering free basic services to the indigents

The measure (instrument) also investigated the method of delivering the FBS to the indigents. The staff members as the participants working daily within the system indicated that *the services, particularly for water and electricity, are delivered through outsourced metered billing systems.* The WCMs and the CDWs also *concurred* on the delivery method. This attests to the municipality's capacity, both in terms of human and physical systems to deliver the policy content as discussed in the Protocol (Brynard, 2005)**.** The mechanisms that are available for municipalities to deliver the services to the indigents include, but are not limited to, among others, technical targeting, geographical targeting, broad-based targeting, self-based targeting, consumption-based targeting, property value targeting, and targeting based on plot size (StatsSA, 2017:25-28). These mechanisms are described both in the NIP and the glossary in the publication on non-financials (StatsSA, 2017: 37-38) (DPLG, 2005b). Arntz et al. (2003:108-109) present the mechanisms as either the use of universal or targeted approaches. The GTM's

Indigent Policy alludes to the use of self-based targeting in delivering the free basic electricity (GTM, 2011:D283). The self-based targeting approach appears to be used by the majority of municipalities in the Limpopo province, and in almost all of the South African provinces for the delivery of all FBS packages (StatsSA, 2017:25-28). It would seem that the approach that Arntz et al. (2003) found to be used most commonly by municipalities as the universal approach, relates closely to the self-based targeting approach, which also appears to be commonly used by the municipalities as an easy to apply approach, more so than other targeted approaches. The other method that the municipalities might use is the determination of household income, as depicted in the table in the StatsSA's non-financials publication (StatsSA, 2017:29). The table presents information on the number of municipalities in each province that use the indicated monthly income cut-off points to identify indigent households. The monthly income cut-off points range from R1 600 and below, to between R1 601 and R3 040, and above. The GTM has indicated in its criteria that the cut off points of "R1 100, 00 per month and less … be registered as an indigent Household" (GTM, 2011:D281).

4.3.2.1.1.5 Communicating the policy content to the indigents

The measure further sought to establish how the GTM communicates the policy content to the indigents, because communication as the sixth C cuts across all variables of the Protocol without exception. Brynard (2005:21) states that "it could be argued that communication is an integral part of all the above-mentioned variables" (the 5C Protocol). The staff members mentioned that *communication is through post and smses as well as through print and electronic media. Ward meetings* were also indicated as one of the regular means of communicating the policy content to the populations of the GTM, and the indigents in particular. CDWs and WCMs confirmed the ways of communicating the policy content as indicated by staff members. A sample of a public participation programme is provided at the end of the study report as ANNEXURE E.

4.3.2.1.1.6 Challenges encountered

Respondents were also asked about challenges the GTM encounters in delivering content of the indigent policy to the indigent population of the community. The group collectively indicated *indigent debts accumulating from exceeding the FBS mark or level and the tariff hikes whilst service volume remains constant*. For example, when electricity tariffs increase, the 50kw/h remains the same. *Illegal connections*, or what are popularly known as ‘isinyoka’ activities, which includes cable theft in other areas of South Africa, were also cited as a problem. The staff members reported *overwhelming workloads with only two officers allocated to manage and administer the delivery of the indigent services* to the deserving population of the GTM at the time of the study. This also relates to the capacity variable of the Protocol to deliver the services to the indigent population of the municipality.

Table 4.4: Capacity – Group A

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP A	Capacity	
	7. Capacity challenges and strengths	The Staff indicated… *organisational structure[s] not aligned to the service, inadequate field workers for indigent identification, funding not enough for complete coverage of all indigents*, and that *the ICT systems used for service delivery still need to be improved [according to] benchmarks with other municipalities.* Recommendation: The GTM might need to revisit the organisational structure from time to time in order to strengthen the indigent service delivery platform.

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
	8. Minimum qualifications	The staff members indicated *a post-matric (Grade 12) qualification or training particularly in the fields of finance, public relations, and communications.*
	9. Specific skills required	The staff members further identified *finance, public relations, customer service, community development, and computer skills* as the most relevant skills required.
	10. Institutional arrangements and monitoring	The staff members represented this information in a network diagram as follows: *Figure 4.2a: Reporting lines for Indigent Policy – Focus Group A* *CFO* $\longleftrightarrow$ *Manager* $\longleftrightarrow$ *Senior accountant (supervisor)* $\longleftrightarrow$ *Indigent Officer (Staff)* $\longleftrightarrow$ *WCMs* $\longleftrightarrow$ *CDWs (CDWs).* Other identified mechanisms included *yearly status review or renewal, yearly policy review, monthly reports from*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		ward committees, and other reports from traditional authorities and CDWs.

4.3.2.1.2 Capacity

The author of the Protocol, Professor Petrus A Brynard describes the term 'capacity' in terms of the availability of both tangible and intangible resources and enabling contextual (environmental) factors such as human, financial, material, technological, political, economic, cultural, social, administrative, leadership, motivation, commitment, willingness, guts, endurance, etc. to turn policy rhetoric into action and realise its objectives (Brynard, 2005:19). Savitch cited in Brynard (2005:19) describes "capacity-building as a total (structural, functional, and cultural) transformation of government in order to mobilise all available resources to achieve policy objectives". In his paper, Mothae (2008) extensively explored state capacity and asserted that "[t]he capacity of all participants in policy making constitute state capacity to pursue its developmental goals [and that] requires co-operation, collaboration and co-ordination of all the efforts [clients and coalitions]" (Mothae, 2008:246). Levin (2005) cited in Mothae (2008: 247) also alluded to implementation capacity among various kinds of capacities needed by the state institutions to implement policies successfully. That further centres the capacity variable as key variable in the Protocol.

4.3.2.1.2.1 Capacity challenges and strengths

The measure was also designed to expose the GTM's capacity challenges and strengths in delivering the indigent services with regard to structures, finances, human resources, and strategic competencies. The WCMs and the CDWs relied on staff members' responses on capacity matters because they (staff members) were better placed to respond to internal strategic operations regarding the institution and its administration. Thus, the staff members discussed *organisational structure not aligned to the service, inadequate field workers for indigent* *identification, funding not enough for complete coverage of all indigents,* and that *the ICT systems used for service delivery still need to be improved from bench marks with other municipalities.*

4.3.2.1.2.2 Minimum qualifications

When asked about the minimum qualifications needed for staff or personnel to administer the indigent services, the staff members indicated *a post matric (Grade 12) qualification or training, particularly in the fields of finance, public relations, and communications.* The other participants regarded it as being the internal staff and the management's issue to determine. In line with the above description of capacity, it is only rational that to administer, manage, and deliver the indigent policy services to the populations of the municipality, that minimum level of literacy would be required to capture the indigents information and document it. A data base for indigents must be created and the package of services to be delivered should be explained to the deserving populations. These should be considered the most minimum requirements subject to job evaluation processes and procedures within the GTM's institutional human resources' management systems.

4.3.2.1.2.3 Specific skills required

On specific skills required to deliver the services to the indigents without much difficulty, the staff members further identified *finance, public relations, customer service, community development, and computer skills* as the most relevant skills required. Likewise, the most appropriate set of skills required for implementing the indigent policy implementation in the GTM must be subjected to a skills audit and the job evaluation systems within the GTM's institutional capabilities and competencies profile. Both the WCMs and the CDWs considered this question as being more appropriate to the staff members.

4.3.2.1.2.4 Institutional arrangements and monitoring systems

Policy implementation monitoring refers to the method of measuring implementation, whilst policy implementation evaluation refers to evaluating that method of implementation (see

Pressman & Wildavsky, 1973). On institutional arrangements and monitoring systems in the delivery of the indigent services in the GTM, the staff members represented it as follows:

Figure 4.2a: Reporting lines for Indigent Policy – Focus Group A

CFO ⟷ Manager ⟷ Senior Accountant (supervisor) ⟷ Indigent Officer (Staff/personnel) ⟷ WCMs ⟷ CDWs.

The above reporting lines indicate information flow and feedback from level to level. This institutional arrangement representation reconciles the differences between bottom-up and top-down policy implementation theorists as advanced by, among others, Matland (1995) and reviewed by Brynard (2005) in his peer-reviewed work, as indicated in the study's literature review. As is evident in the schematic representation, the arrows illustrate the information (feedback) flow from upper management right down to the CDWs and vice versa. The WCMs and CDWs agreed on this representation. Design (institutional arrangements) and information-gathering requirements for monitoring are further clearly presented in the NIP (DPLG, 2005b:32).

The group discussion further identified mechanisms such as *yearly status review or renewal, yearly policy review, monthly reports from ward committees, and other reports from traditional authorities and CDWs.* De Coning and Keim (2014:307) emphasises the importance of a M&E system in every policy initiative, albeit the authors advocated for this system in sport rather than municipal policies. From De Coning and Keim's (2014) discussion, it is clear that a municipality must have clear M&E mechanisms for its indigent policy implementation, with clear measures (indicators) for social justice. The South African national government has already provided platforms and an enabling environment for implementation by adopting the Government Wide Monitoring and Evaluation (GWM&E) Framework in 2007, followed by the creation of an M&E ministry in the Office of the Presidency, and the further adoption of National Evaluation Policy Framework (NEPF) in 2011, the South African Monitoring and Evaluation Association (SAMEA) and the multilateral and international bodies, such as the African Union and the United Nations with their Peer Review Mechanisms (PRMs), the Millennium Development Goals (MDGs), and now Sustainable Development Goals (SDGs) with clear measurable indicators, as discussed by De Coning and Keim's (2014:307) article (Department of

Performance Monitoring and Evaluation, 2011). To ensure that the system works, the Ministry of Performance Monitoring and Evaluation in the Presidency of the Republic of South Africa further adopted the National Evaluation Plan in 2012 and in subsequent years to implement the Framework (Department of Performance Monitoring and Evaluation, 2012b; 2013). The Dutch Ministry of Foreign Affairs' Policy and Operations Department published an evaluation policy and guidelines for evaluations that can also be used for benchmarking when designing policy evaluation systems (The Dutch Ministry of Foreign Affairs, 2009). The study conducted by Seasons (2003) in Ontario, Canada on M&E in Municipal Planning also provides insights into designing appropriate indicators for measuring policy objectives. Seasons (2003:434-438) concludes with some caution regarding M&E averse organisations that may compromise the value for money invested in policy initiatives, and also provides tips to municipalities in terms of how to go about mounting an effective and efficient M&E regime. The GTM, as a learning organisation, would do well to take their cue from the study to strengthen their M&E systems.

Table 4.5: Commitment – Group A

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP A	Commitment	
	11. Overall commitment	All three categories of respondents indicated *some significant levels of commitment from both the administrative and political leadership, as well as the dedicated staff, to deliver[ing] the indigent services to all those who qualify.* A staff member also raised *the need to further strengthen the initiative through overtime plans supported with budget for*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		community participation since the community meetings are mainly held over weekends for improved attendance by community members.
	12. Commitment from political and administrative leadership	The participants reflected that *politicians always avail themselves to community meetings, whereas administrators, that is, the management, showed reluctance to attend weekend meetings for public [community] participation*.
	13. Challenges on total coverage	The staff members' component of the focus Group A mainly cited *budgetary constraints and perhaps lack of commitment from the management side to fund public participation meetings*.

4.3.2.1.3 Commitment

An implementer's commitment is shaped by the policy content and the implementer's capacity. Warwick cited in Brynard (2005:18) indicates the implementer's will and ability as the doing or driving force behind commitment. It is strongly argued that commitment results in some friction between the bottom-up and top-down implementation scholars, in that both see each other as unwilling or obstructive or as obtrusive forces to implementation (Brynard, 2005:18). The integrated proposition regarding the variable of commitment in the Protocol is that, it must be present at all levels of the policy implementation regime, and that it acts as a catalyst to all four critical variables, and most probably to the sixth variable, which is communication, in the implementation struggle (Brynard, 2005:18-19).

4.3.2.1.3.1 Overall commitment

The GTM administration's overall commitment to delivering the indigent policy package to the populations within the municipality was also probed. All three categories of respondents indicated *some significant levels of commitment, from the administrative and political leadership, as well as the dedicated staff, to deliver the indigent services to all those who qualify*. In terms of the GTM's Indigent Policy, suffice to say there is indeed visible overall commitment by the role players to deliver the indigent services to the populations of the GTM. However, one staff member also raised *the need to further strengthen the initiative through overtime plans supported with budget for community participation since the community meetings are mainly held over weekends for improved attendance by community members*. The GTM is one of the municipalities across the province of Limpopo and the entire South Africa who contributes data in terms of the collectible indicators on the delivery of FBS, as depicted in tables in StatsSA's non-financials publication (StatsSA , 2017:21-23).

4.3.2.1.3.2 Commitment from both political and administrative leadership

Further observations from respondents as to the commitment from both political and administrative leadership regarding the delivery of the policy content were also solicited**.** These categories of leadership are considered critical in implementing any policy initiative in public administration as a whole, in that they are the key drivers and decision-makers. Seasons (2003) emphasised the significance of both the political and administrative leadership in terms of the commitment and buy-in for the success of policy implementation. Without any repetition, throughout literature review in the study, the critical role played by leadership in policy implementation cannot be overemphasised. The participants in the focus group discussions reflected that *politicians always avail themselves to community meetings whereas administrators,* *that is the management showed reluctance to attend weekend meetings for public [community] participation.*

4.3.2.1.3.3 Challenges that might prevent total coverage of all the indigents

Here the instrument (measure) sought to establish whether or not there were challenges that might prevent total coverage of all the GTM's indigent population. The staff members' component of the focus Group A mainly cited *budgetary constraints and perhaps lack of commitment from the management side to fund public participation meetings*.

Table 4.6: Clients and Coalitions – Group A

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP A	Clients and Coalitions	
	14. Key actors	The participants identified *The Provincial Department of Education, the Provincial Department of Health, the National Forestry and Water Affairs, and the National Department of Minerals and Energy*. A WCM also mentioned the *CDWs, councillors, WCMs, and the community members who are essentially the beneficiaries of the GTM's Indigent Policy.*
	15. Critical stakeholders	The group identified *ward committees and the CDWs for the collection of data on indigents*. The staff members

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		further identified the *indigent beneficiaries as the cause of the indigent policy itself, and the National ministry of Forestry and Water Affairs for national oversight on water supply*.
	16. Stakeholder cataloguing	The participants indicated that *although there is no deliberate cataloguing of actors, the stakeholders are well identifiable.*

4.3.2.1.4 Clients and Coalitions

In the literature reviewed in the study, clients and coalitions are also referred to as actors and interest or lobby groups (Brynard, 2005:20-21). Truman (1951:vii) included "pressure groups", or what he prefers to call interest groups. Yackee (2005:103) also refers to clients and coalitions in her abstract.

4.3.2.1.4.1 Key actors (stakeholders)

The measure at this stage was intended to identify the key actors involved in the delivery of policy content to the indigent populations in the GTM. The participants identified the *Provincial Department of Education, the Provincial Department of Health, the National Forestry and Water Affairs Department, and the National Department of Minerals and Energy*. One WCM also mentioned that, the *CDWs, councillors, WCMs, and the community members are essentially the beneficiaries of the Indigent Policy.*

4.3.2.1.4.2 Critical actors

When asked to shortlist the stakeholders as critical actors, without whom implementing the indigent policy would fail, the group picked *ward committees and the CDWs for the collection of data on indigents*. The staff members further identified the *indigent beneficiaries as the cause of the indigent policy itself, and the National Ministry of Forestry and Water Affairs for national oversight on water supply.* Critical actors in any policy implementation process represent strong lobby and pressure groups and policy sponsors or funders that often have direct interest in and are impacted by policy matters. In his incisive work, Truman (1951:524-525) further makes a notion of nostrums and palliatives in that,

> *"No political system is proof against decay and dissolution. Regardless of the flexibility of the structure, within any society changes of great severity and extent may occur that will rupture the established governmental process. At the same time governments vary in the ease with which they can adjust to changes, in the adequacy with which their procedures reflect the widespread unorganized interests in the society, and in the speed with which they can arrive at acceptable solutions for the problems which confront them.*"

The above Truman's (1951) warnings in there indicates how important it is for organisations to cross check "the widespread unorganized interests in the society" some of whom might come out to be critical actors in a particular policy implementation such as the poor citizens versus indigent policy implementation.

Simon, Smithburg, and Thompson cited in Truman (1951:450) indicate that the public official 'is not a blank sheet of paper on which the organization can write what it wills'. Truman (1951:450) further elaborates that as a human being, the administrator or rather public official, comes to this position with affiliations and preferences, and continues to form yet more during their term of office. Once individuals join and identify with an interest group, they assume the group identity and claim the group and its goals as their own. As long as these individuals are with the group, they find themselves defending the "agency" or "unit" or group against those who criticise it, resisting demands from outside sources and pressure groups with vigour, but when drastic changes or a revolution occurs, then they reject the group. That is what Truman (1951:450-456) emphasises in recruitment and the administrator's group membership and identification with an administrative unit, providing compelling evidence of the position of critical actors as policy implementers who can overtly or covertly determine the success or failure of policy implementation. Thus, the administrators or the staffs charged with the responsibility of implementing the GTM's Indigent Policy are also a component of the critical stakeholders.

4.3.2.1.4.3 Stakeholder cataloguing

Regarding stakeholder cataloguing the participants indicated that *though there is no deliberate cataloguing of actors, the stakeholders are well identifiable*. This assertion is also reflected in both the GTM's IDP and their Indigent Policy (GTM, 2014a; GTM, 2011). However, stakeholder cataloguing is strongly recommended in the Protocol in order to avoid the large number of interested parties who might be directly or indirectly affected by the policy matter, and who, as a significantly large group might disrupt the efficient and timeous delivery of service to the beneficiaries (Brynard, 2005: 20-21). In terms of cataloguing, stakeholders need to be considered in terms of their influence on policy implementation, as described in the previous paragraphs. If there are any scientific formulae or criteria to be used in cataloguing both the key and critical role players in implementing any policy, they must be pertinent to the content, particularly the objectives of the policy itself. In the description of policy content in the Protocol (Brynard, 2005), posited that the ends (policy objectives) justify the means (inputs).

Table 4.7: Communication – Group A

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP A	Communication	
	17. Communication strategies	The participants listed the following as communication methods or strategies: *Official circulars and memoranda including MOAs.* *Public participation that involves isimbizos (makgotla),*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		community meetings (forums) with ward committees and councillors, as well as traditional leaders (matona le magoshi). *Loud hailing, print and electronic media, and telecommunications, that is through post and sms.* The staff participants further added: *Various reports to the executive lekgotla and council meetings, including financial and annual reports.*
	18. Communication challenges	The participants indicated the following: *Experiences of poor [turnout] to meetings-absenteeism*. One CDW indicated: *Such experiences were attributed to poor communication that sometimes does not reach out to actors.* Another staff member indicated that: *Some just do not respond to*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		invitations or any messages delivered to them for attendance and are not easily traceable.
	19. Solutions to offset communication challenges	One staff member made the following suggestion: *They leave them notes for notification*. WCMs and CDWs proposed: *Constant follow-ups [of] those indigents who are not traceable.*

4.3.2.1.5 Communication

Communication is presented in the Protocol as the sixth C in the sense that it is key in each and every implementation step for participants and key actors to advocate and make the services available and accessible (Brynard, 2005:21).

4.3.2.1.5.1 Communication strategies

The participants listed the following as communication methods or strategies:

- *official circulars and memoranda including MOAs;*
- *public participation that involves isimbizos (makgotla), community meetings(forums) with ward committees and councillors, as well as traditional leaders (matona le magoshi);*
- *loud hailing, print and electronic media, and telecommunications, that is, through post and smses; and*

- staff participants further mentioned *various reports to the executive lekgotla and council meetings, including financial and annual reports.*

4.3.2.1.5.2 Communication challenges

The participants indicated experiences of *poor [turnout at] meetings-absenteeism*. One CDW indicated that *such experiences were attributed to poor communication that sometimes does not reach out to actors.* A staff member also indicated that *some just do not respond to invitations or any message delivered to them for attendance and [they] are not easily traceable.* There is no doubt that communication remains key to the successful implementation of any policy initiative. Baloyi (2011) also established that there are numerous challenges that constrain policy implementers from implementing health policies effectively and efficiently in their work environments, and communication problems is one such constraint. It is therefore very important for the GTM to mitigate possible communication challenges for the successful implementation of their Indigent Policy implementation initiatives. One of the most persistent communication challenges of all time is and has been the language barrier, more especially where the community has mixed populations who speak different languages. The respondents' biographical information in the study shows that the GTM is quite a diverse community with many different cultural groups speaking many different languages. Thus it is important that the GTM's policy communicators are responsive to this culturally diversified community when dealing with policy communication matters.

4.3.2.1.5.3 Solutions to offset communication challenges

A staff member again indicated that *they leave them notes for notification*. And the WCMs and CDWs reported *constant follow-ups to those indigents who are not traceable.*

Table 4.8: Context – Group A

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP A (Focus group)	Context	
	20. Contextual factors	• **Social and cultural**

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		contexts The participants indicated the socio-cultural mix of the GTM *population mix comprises the Pedi, Tsonga, Afrikaans, English, Indians and Coloured populations.* The participants further stated that in terms of the age mix *both young and elderly indigents are serviced*. *Child headed families* were mentioned as were *old age pensioners*.
		• **Economic context** The participants cited *the vegetation of Tzaneen as a competitive advantage,* and the *small area of land as a disadvantage*. *Water scarcity* was also mentioned as *a threat* in the discussion.
		• **Political context** Routed to councillors.
		• **Legal context** Participants indicated that *there are legal services within*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		the institutional arrangements of the GTM to deal with legal challenges in the event they might occur or present themselves. The staff further indicated that *some indigents threaten litigation at times.*
		• **Technological context** The participants highlighted *the need for more technological capacity-building based on some bench-marking observations undertaken by the GTM.*
	21. Suggestions to improve the management of contextual factors	The participants indicated *they were satisfied with their responses on the contextual factors as discussed.*

4.3.2.1.6 Context

Brynard (2005:17-18) cites the works of implementation scholars such as Barman (1980), O'Toole (1986), and Warwick (1982) who advise and warn strongly against "context-free" implementation and they carefully single out contextual factors such as social, economic, political, and legal as aspects of concern in any implementation process. This study has also added the technological factor as one of the strongest emergent factors in organisational operations.

4.3.2.1.6.1 Contextual factors that impact on the implementation of the indigent policy

It is indicated that implementation is impacted by such contextual environmental factors that will always be recognised as forces at work within the institutional corridors of entities or organisations; in this regard the GTM is no exception. Seasons' study in Ontario, Canada (2003) also alludes to the environmental context, particularly the significance of the political and organisational culture on policy M&E. In the literature, policy M&E can also be considered a response, in other words, a step-by-step reversal to policy implementation. See Pressman and Wildavsky (1973). The following contextual factors were checked with the participants, namely the socio-cultural, economic, political, legal, and technological contexts.

- **Social and cultural contexts**

The participants referred to the socio-cultural mix of the GTM population, indicating that *the population mix comprises the Pedi, Tsonga, Afrikaans, English, Indians and Coloured people*, which makes the GTM's population multi-cultural and therefore multilingual too. Such a multicultural community calls for the administrative staff and the political leadership of the municipality to employ diverse management skills. Baloyi (2011) also raised issues of diversity management in the findings of his study as discussed during literature review of this study. The focus group discussion also referred to the age mix factor of the indigents, indicating that *both young and elderly indigents are serviced*. For example, *child-headed families* were mentioned, as well as *old age pensioners* in the main.

- **Economic context**

The focus group discussion identified the *vegetation of Tzaneen as a competitive advantage* and the *small area of land as a disadvantage*. *Water scarcity* was also mentioned as a threat at the time of the survey. The GTM might still need to explore some economic data released periodically by Statistics South Africa (StatsSA), such as the Quarterly Labour Force Surveys and other economic indicators that talk to the context of the GTM, in order to develop a broader economic environment overview of the institution to provide an appropriate and comprehensive response to economic factors. This will also help the GTM to better identify and address the needs of their indigent populations.

- **Political context**

The focus group discussion, like the CFO, delegated the response to the political context to the GTM's councillors.

- **Legal context**

The focus group discussion indicated that *there are legal services within the institutional arrangements of the GTM to deal with legal challenges in the event they might occur or present themselves.* The staff members further indicated that *some indigents threaten litigation at times.* Fuo (2014) and Orago's (2013) works provide much of legal framework and legislative implications of the indigent policy implementation that engenders intergovernmental efforts to all the three spheres of the South African government. That could guide municipalities to take seriously the plight of the indigent populations within their jurisdiction. Both the national and provincial governments must play critical oversight roles when implementing the Indigent Policy Framework, to avoid legal failures and possible litigation instituted by indigents, a phenomenon that is already advocated in other parts of the world, such as in Kenya (Orago, 2013).

- **Technological context**

The participants highlighted *the need for more technological capacity-building, based on some bench-marking observations undertaken by the GTM*. This factor also relates to the capacity-building definition in the Protocol (Brynard, 2005). More capacity-building in technologies would amplify methods of service delivery mechanisms, as indicated both in the Indigent Policy Framework and further discussed and explained by StatsSA in their non-financials publication (DPLG, 2005b; StatsSA, 2017). These measures would enable municipalities to measure services and therefore improve indigents' account management and broaden the GTM's revenue base, thereby curbing wastage from system leakages occasioned by lack of capacity.

4.3.2.1.6.2 Suggestions of other methods to improve managing contextual factors

The focus group discussions indicated *satisfaction in their responses on the contextual factors as discussed at the time of the survey*. However, it will be imperative that the administrative staff and political leadership familiarise themselves with the contextual factors peculiar to GTM that are integral to policy implementation processes in any organisation, as alluded in the Protocol.

4.3.2.2 GROUP B

Group B comprised ordinary community members (3) and some beneficiaries (indigents) (3) of the GTM's Indigents Policy as critical stakeholders in its delivery to the GTM's population.

Table 4.9: Content – Group B

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP B	Content	
	1. Sources of funding	Question routed.
	2. Identifying and accessing the indigents	Both indigents and community members indicated that this happened at *community mass meetings.* One indigent stated that *officials of the GTM sometimes do visit them in their homes.* All the Indigents confirmed that they were *verified and registered in the GTM's Indigent Register*. GROUP A indicated the same.
	3. FBS package	The indigents… *confirmed* the FBS package, as indicated in Group A.
	4. FBS delivery	The indigents stated that *they*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
	methods	*indeed receive FBS, and that [above] the free basic mark, they buy on their own, especially ... electricity.* That concurs with what the indigent staff indicated in Group A regarding metered FBS, particularly water and electricity. Community members stated that *in their villages water is communal and not limited nor measured and that sanitation is still confined to pit latrines and no basic refuse removal*. Group A indicated the presence of metered systems for water and electricity delivery, although community members in Group B indicated there was no quantification for their water supply in their rural villages.
	5. Communication	All participants indicated that *they attend community mass meetings convened by ward committees, councillors, and CDWs*. One indigent reported that

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		they sometimes receive smses from the municipality about their status, as to whether they qualify as indigents and about their municipal accounts as well. This was in addition to the *postal, print, and electronic media* that Group A indicated.
	6. Challenges	One of the indigents indicated *experiencing suffering from long waiting times to benefit from the indigent services after being declared indigent.* A query was made regarding *tariff hikes whilst service volume remains constant, for an example, when electricity tariffs increases, the 50kw/h allocation remains the same.* Group A, in addition to *indigent debts, illegal connections, and overwhelming staff work load,* also concurred with the indigents in Group B *on tariff hikes whilst service volume remains constant.*

4.3.2.2.1 Content

The researcher continued to conduct focus group discussions with GROUP B as identified above and investigated further the similar aspects of the policy content as described already during discussion with Group A above in order to solicit more views and experiences on implementing the GTM's Indigent Policy within the use of the Protocol, and that is the 5C Protocol plus the sixth C.

4.3.2.2.1.1 Sources of funding

On sources of funding as a means to deliver the policy content, the indigents and community members referred the question to the staff, the management, and the political leadership.

4.3.2.2.1.2 Accessing indigent populations in the Greater Tzaneen Municipality

The second question on content sought to establish how the GTM identifies and accesses its indigent populations in order to deliver the policy content. The participants confirmed *attending community mass meetings convened by WCMs together with ward councillors to brief them about the indigent policy and distribute indigent application forms for those who qualify to complete them*. One indigent indicated that *officials of the GTM sometimes do visit them in their homes for verification of their indigent status and further assistance in getting them into the Indigent Register if found to be* eligible. A sample application form is provided at the end of this report as ANNEXURE D. The GTM's qualification criteria for indigence are further stipulated in the GTM's Indigent Policy document (GTM, 2011:D281-282). The criteria are further corroborated in StatsSA's non-financials publication (StatsSA, 2017). The indigents also confirmed that *they are verified and registered in the GTM's Indigent register*. The GTM's Indigent register is sampled at the end of this report as ANNEXURE C.

4.3.2.2.1.3 Package of services offered to the indigents of the Greater Tzaneen Municipality

The indigents confirmed the *writing off of their debts, free basic electricity of about 50 Kw/h, free basic water of about 6kl, and 100% rebates on rates and taxes and refuse removal,* as indicated in Group A. The responses also seem to be commensurate with the minimums of FBS, as indicated in the StatsSA's non-financial report and the NIP, as adopted by the national government in 2006 (Fuo, 2014:188-189; StatsSA, 2017:23).

4.3.2.2.1.4 The method of delivering free basic services to the indigents

The measure (instrument) also investigated the method of delivering FBS to the indigents. The indigents indicated that *they indeed receive FBS, and that [above] the free basic mark they buy on their own, especially electricity*. The community members further added that *in their villages, water is communal and not limited nor measured, and that sanitation is still confined to pit latrines, and [there is] no basic refuse removal.* It would seem the electricity consumption is higher than the consumption of other FBS, and such consumption may require a separate study. The mechanisms available for municipalities to deliver FBS to the indigent populations have already been discussed in GROUP A. Just to recap the methods, there are self-based targeting, consumption-based targeting, property value targeting, targeting based on plot size, etc. (StatsSA, 2017:25-28). These mechanisms are described both in the DPLG's (2005b) NIP and the glossary in the publication on non-financials (StatsSA, 2017:37-38). It would seem the GTM uses self-based targeting from the participants' responses, the method that Arntz et al. (2003:108-109) presents as the universal approach.

4.3.2.2.1.5 Communicating policy content to the indigents

The measure further sought to establish how the GTM communicates the policy content to the indigents, since communication as the sixth C cuts across all variables without exception. Brynard (2005:21) states that "it could be argued that communication is an integral part of all the above-mentioned variables" (the 5C Protocol). Participants indicated that *they attend community mass meetings convened by ward committees, councillors, and CDWs*. One indigent reported that they *sometimes receive smses from the municipality about their status, as to whether they qualify as indigents, and about their municipal accounts as well*.

4.3.2.2.1.6 Challenges encountered

Participants were also asked about challenges encountered by the municipality in delivering the indigent policy content to the indigent population of the community. One of the indigents indicated *experiencing suffering from long waiting times to benefit from the indigent services after being declared indigent.* This may have to do with institutional efficiencies and effectiveness. There was a further query on *tariff hikes whilst service volume remains constant, for example, when electricity tariffs increases, the 50kw/h allocation remains the same.*

Table 4.10: Capacity – Group B

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP B	Capacity	Routed all questions regarding capacity
	7. Capacity challenges and strengths	The participants referred the question to the GTM's staff and management
	8. Minimum qualifications	Routed
	9. Specific skills required	Routed
	10. Institutional arrangements and monitoring	Routed

4.3.2.2.2 Capacity

In summarising the capacity variable, the author of the Protocol, Professor Petrus A Brynard explains capacity in terms of the availability of both tangible and intangible resources and the enabling contextual (environmental) factors such as human, financial, material, technological, political, economic, cultural, social, administrative, leadership, motivation, commitment, willingness, guts, endurance, etc. to turn policy rhetoric into action, and realise its objectives (Brynard, 2005:19). Savitch cited in Brynard (2005:19) regards "capacity-building as a total (structural, functional, and cultural) transformation of government in order to mobilise all available resources to achieve policy objectives". As indicated already, Mothae (2008) also wrote extensively about consolidating state capacity in addressing catch-22s of public policy implementation.

4.3.2.2.2.1 Capacity challenges and strengths

The measure was also designed to expose the GTM's capacity challenges and strengths in delivering the indigent services with regard to structures, finances, human resources, and strategic competencies. The participants referred the question to the GTM's staff and management.

4.3.2.2.2.2 Minimum qualifications

The question of minimum qualifications also appeared to be more suitably posed to the GTM's staff and management who are presumably specialists in their field.

4.3.2.2.2.3 Specific skills required

The question on specific skills required for the job was also routed to GTM's staff and management.

4.3.2.2.2.4 Institutional arrangements and monitoring systems

The question on institutional arrangements and monitoring systems was also referred to the GTM's staff and the management to deal with.

Table 4.11: Commitment – Group B

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP B	Commitment	
	11. Overall commitment	Both the indigents and the community members indicated that *they sometimes attend community mass meetings*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		(road shows) arranged by the officials and councillors, together with WCMs and CDWs of the GTM for indigent policy advocacy.
	12. Commitment from both political and administrative leadership	The participants reflected that *the ward councillors avail themselves to community meetings during weekends and for community/public participation*. One indigent confirmed that *he was a registered indigent of the GTM*
	13. Challenges on total coverage	One community member *indicated that she sometimes does not get invitations to [attend] community participation meetings.*

4.3.2.2.3 Commitment

It is important to summarise the description of each variable whenever it appears as a heading in order to maintain the traction of the Protocol throughout the study report, and for the convenience of users of the study as well. As indicated already, commitment on the part of the implementer is viewed as being shaped by the policy content and the implementers' capacity. Warwick cited in Brynard (2005:18) indicates the implementers' will and ability as the doing or driving force behind commitment. It is strongly proposed that commitment creates friction between the bottom-up and top-down implementation scholars in that both see each other as an unwilling or obstructive, or as obtrusive forces to implementation (Brynard. 2005:18). The stipulation to the variable of commitment in the Protocol is that it must be present at all levels of the policy implementation regime, and during implementation it must be a catalyst for all four critical variables, and probably to the sixth as well, which is communication (Brynard (2005:18-19). Commitment for any policy, project or programme implementation is closely associated with leadership also as discussed during literature review of this study.

4.3.2.2.3.1 Overall commitment

Overall commitment from the GTM's administration on the delivery of the indigent policy package to the populations within the municipality was also probed. Both the indigents and the community members indicated that *they sometimes attend community mass meetings (road shows) arranged by the officials and councillors, together with WCMs and CDWs of the GTM for indigent policy advocacy*. That on its own reflects the amount of commitment from all role players, which is a positive aspect for successful policy implementation, as described in the commitment variable of the Protocol itself. It emphasises the notion that there must be commitment at all levels of the policy regime for effective implementation to take place. The fact that there is an indigent policy and the Indigent Register in the GTM, demonstrates the overall commitment by the GTM to implement the Framework for Municipal Indigent Policies of South Africa, the NIP, as adopted.

4.3.2.2.3.2 Commitment from political and administrative leadership

Further views from the respondents as to the commitment from both the political and administrative leadership regarding the delivery of the policy content were also solicited**.** The participants reflected that *the ward councillors avail themselves to community meetings during weekends as well as for community/public participation*. One indigent confirmed that *he was a registered indigent of the GTM.* A sample of the Indigent Register of the GTM is also attached at the end of this study report. These responses point to at least some commitment on the part of both the political and administrative leadership to implement the GTM's Indigent Policy.

4.3.2.2.3.3 Challenges that might prevent total coverage of all the indigents

The instrument (measure) further sought to establish whether or not there are challenges that might prevent total coverage of all the GTM's indigent population. A community member *indicated that she sometimes does not get invitations to community participation meetings.* This attests to the importance of the communication variable, which is the sixth C of the Protocol.

Table 4.12: Clients and Coalitions – Group B

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP B	Clients and Coalitions	
	14. Key actors	The participants listed *WCMs, CDWs, councillors, and indigent beneficiaries as key components of the community members of the GTM.*
	15. Critical stakeholders	The participants identified *the indigent beneficiaries, the WCMs, and the CDWs* for indigent data collection during door-to-door outreach programmes.
	16. Stakeholder cataloguing	The participants referred this question to the staff component.

4.3.2.2.4 Clients and Coalitions

To further recap**,** in the literature review, clients and coalitions are also referred to as actors or interest or lobby groups (Brynard, 2005:20-21). Truman (1951:vii) also wrote more about "pressure groups", or what he prefers to call interest groups. Yackee, (2005) in her interesting article on federal politics of the United States of America on public policy implementation, also discusses clients and coalitions. "Students of politics have identified a variety of actors who appear to influence the federal bureaucracy's implementation of public policy, including Congress, the president, and interest groups" (Yackee, 2005:103).

4.3.2.2.4.1 Key actors (stakeholders)

The measure at this stage was intended to establish the key actors involved in the delivery of the policy content to the indigent populations of the GTM. The participants listed *WCMs, CDWs, councillors, and indigent beneficiaries as key components of the community members of the GTM.*

4.3.2.2.4.2 Critical actors

When asked to shortlist the stakeholders to critical actors, without whom implementing the indigent policy would fail, the participants picked *the indigent beneficiaries, the WCMs and the CDWs* for indigent data collection during door-to-door outreach programmes. In this regard, the indigents were able to see themselves as the critical role players, without which there would not be any need for an indigent policy, far less implementation.

4.3.2.2.4.3 Stakeholder cataloguing

Although the participants referred this question to the staff component, stakeholder cataloguing is strongly recommended in the Protocol. A large number of interested parties who might be directly or indirectly affected in the matter should advisedly be avoided. It is indicated that a sufficiently large group might disrupt the efficient and timeous delivery of service to the beneficiaries, or simply derail implementation of the policy (Brynard, 2005: 20-21).

Table 4.13: Communication – Group B

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP B	Communication	
	17. Communication strategies	The participants indicated *loud hailing, community meetings or isimbizos (makgotla) with ward committees, CDWs and ward councillors, as well as post and smses as a means of communicating with them.* The indigents also mentioned *receiving letters of accounts.*
	18. Communication challenges	The indigents and community members said that *they sometimes do not get invitations to community meetings.*
	19. Solutions to offset communication challenges	The participants indicated that *the municipality needs to have follow-up meetings where [turnout] happened to be poor, and maintain constant follow-ups [with] potential indigents through door-to-door outreach programmes.*

4.3.2.2.5 Communication

Communication is included in the Protocol as the sixth C of the Protocol, in that it is considered key in each and every implementation step for participants and key actors to advocate and make the services available and accessible to the GTM's indigent population (Brynard, 2005:21).

4.3.2.2.5.1 Communication strategies

The participants indicated *loud hailing, community meetings or isimbizos (makgotla) with ward committees, CDWs and ward councillors, as well post and smses as a means of communicating to them.* The indigents also admitted to *receiving letters of accounts.*

4.3.2.2.5.2 Communication challenges

The indigents and community members said that they *sometimes do not get invitations to community meetings,* resulting in poor [turnout] to meetings and sub-optimal indigents' coverage. Thus it is vital for the municipality to strengthen its communication strategies in order to step up indigents' coverage.

4.3.2.2.5.3 Solutions to offset communication challenges

The participants indicated that *the municipality needed to do follow-up meetings where [turnout] happened to be poor, and maintain constant follow-up to potential indigents through door-to-door outreach programmes.* These solutions would ensure that ward committees and CDWs role is pivotal in reaching out to all the GTM's indigent population.

Table 4.14: Context – Group B

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP B (Focus group)	Context	
	20. Contextual factors	• **Social and cultural contexts** It was indicated that *the*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		population mix comprises the Pedi, Tsonga, Afrikaans, English, Indians, and Coloured people, which make up the GTM multi-cultural and multilingual community. The discussion also included *the age mix factor on the indigents*. It was indicated that *both young and elderly indigents were serviced*. For example *child-headed families were mentioned as well as old age pensioners* in the main.
		• **Economic context** The participants in this regard indicated *the richness of Tzaneen's locality in terms of mangos and bananas that constitute a large economic activity in the fruit markets of the GTM, both in terms of formal and informal economies.*
		• **Political context** The participants reported *minimal political conflict among political parties in the*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		GTM. The community members also believed *there is relative political stability and peaceful coexistence among different political parties in the communities of the GTM.*
		• **Legal context** One beneficiary confirmed *to be receiving account statements from the municipality*, which can serve as a legal document during litigation regarding payments and accounts.
		• **Technological context** Participants indicated that, *they sometimes receive short sms notifications on their cell phones regarding municipal services and their accounts.*
	21. Suggestions to improve management of contextual factors	Group B wished that *the sms sending of municipal services and accounts to their cell phones be sustained, as it maintains communication with the indigents and members of the community at large*.

4.3.2.2.6 Context

Context in this regard refers to the policy implementation business setting in which environmental forces can either aid or dislodge all implementation efforts. As indicated already, Brynard (2005:17-18) cited the works of implementation scholars such as Barman (1980), O'Toole (1986), and Warwick (1982) to caution against "context- free" implementation. Contextual factors such as social, cultural, economic, political, legal, and technological factors were probed to establish how the GTM approaches them in their implementation of their Indigent Policy. It is indicated that implementation will always be impacted by such contextual environmental factors that will always arise as forces at work within the institutional corridors of entities or organisations, and the GTM is no exception in this regard.

4.3.2.2.6.1 Contextual factors that impact the implementation of an indigent policy

- **Social and cultural contexts**

The discussion indicated the socio-cultural mix of the GTM population. Participants indicated that *the population mix comprises the Pedi, Tsonga, Afrikaans, English, Indians, and Coloured people, which make up the community of the GTM, [which is] multi-cultural and therefore multilingual too*. The discussion also highlighted *the age mix factor on the indigents*. It was indicated that *both young and elderly indigents are serviced*. For example *child-headed families were mentioned, as were old age pensioners in the main*. The participants' biographical information also that attests to the socio-cultural mix of the community of the GTM. In its demographics analysis, the GTM indicated in numbers the populations that speak any of the twelve South African official languages, including sign language, as enshrined in the Constitution of the Republic of South Africa (GTM, 2014a:30). This implies that policy implementers in the GTM will have to be trained in diversity management techniques.

- **Economic context**

The economic context of the GTM in this regard may refer to the capita income, the Gross Local Product, and the Gross Domestic Product of the provincial and national government of South Africa, which can help determine the levels of poverty in a locality and therefore the levels of indigent populations who need support for their livelihood. The Community Survey 2016 shows that GTM leads in the concentration of poverty at 45% as opposed to the 2011 Community Survey where it was at 21,4%, at the time lower than that of Greater Letaba (22,2%) and Ba-Phalaborwa municipalities (24,2%) (StatsSA Community Survey, 2016:14). This attests to the significantly high level of indigent in the GTM, and therefore it is necessary to assess its economic context more robustly in every planning cycle for the success of the indigent policy implementation in the municipality. Thus, the economic outlook is a significant factor in the environmental contextual factors that play out in the theatre of policy implementation. It also affirms the significance of the contextual factors in the Protocol. The participants in this regard indicated *the richness of Tzaneen's locality in terms of mangos and bananas that constitutes a large economic activity in the fruit markets of the GTM, both in terms of formal and informal economies.* The informal and formal economies may refer to low-scale commercial activities, such as hawking and shop retailing, to large commercial activities such as agro-processing and exportations. Those, on their own, if well harnessed, can mitigate poverty levels.

- **Political context**

The participants reported *minimal political conflict among political parties in the GTM*. The community members also believed that *there is relative political stability and peaceful coexistence among different political parties in the communities of the GTM,* which adds a positive element to seamless policy implementation. Seasons (2003) emphasised the influential role of politics in policy M&E, the by-products of implementation. It is not possible to monitor and evaluate a policy if it has not been implemented.

- **Legal context**

Although litigation can become very stressful in policy implementation such as discussed by Orago (2013), Fuo (2013; 2014) in the literature review, the indigents and community members of the GTM appear to have not yet resorted to much litigation in pushing for their indigent services rights. The participants in Group B could not make much comment on the question of legal matters in that regard. One beneficiary confirmed *to be receiving account statements from* *the municipality*, which serves as a legal document from the municipality that can be used in any legal transaction or litigation.

- **Technological context**

Technologies are very important in organisations for innovation of products and in keeping up with the ever-changing environment, both in terms of knowledge economies and product or service development. There is a talk of the fourth industrial revolution, and the GTM is not immune from this technological revolution. Tomorrow there will be another technological revolution. It is thus important for organisations to be intelligent in their own environments to constantly adapt and survive. The participants in Group B, this very group, did not have much to say on the aspects of technologies, save to indicate that *they sometimes receive, sms notifications on their cell phones regarding municipal services and their accounts.*

4.3.2.2.6.2 Suggestions on other methods to improve the management of contextual factors

Group B wished that *the sms sending of municipal services and accounts to their cell phones be sustained as it maintains communication with the indigents and members of the community at large*.

4.3.2.3 GROUP C

The GTM had a total number of 68 councillors comprising both proportional (34) and ward representation (34) at the time of the study (GTM, 2014a:21-22). The study used non-probability sampling, as discussed by Welman et al. (2005:56). The researcher therefore managed to meet a group of six ward councillors and conducted a focus group discussion to further solicit the views and experiences from the GTM politicians on the topic of research.

Table 4.15: Content – Group C

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP C	Content	
	1. Sources of funding	The participants, as in Group

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		A, pointed out *to equitable share allocations to municipalities through the National Treasury*. Furthermore, they mentioned their *own locally generated revenue as additional means of funding*. Group A didn't say anything about their own revenue, and B skipped the question on reasons of competency to answer the question.
	2. Identifying and accessing the indigents	The participants indicated *door-to-door outreaches, ward meetings with ward committees, CDWs, and the community members as public participation platforms*. The responses more or less concur with the ones mooted in both groups (A) and (B) above.
	3. FBS package	One councillor indicated *free basic water, free basic electricity, and refuse removal as the main FBS that the municipality provides*. The participants in Group C

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		further indicated *free housing, though not directly provided by the municipality.*
	4. FBS delivery methods	*Water is delivered through a metered system in the townships, whereas the in the villages is delivered through stand pipes, communal taps.* The participants further indicated that *those who exceeded the 6kl allocation in townships will have to pay for the rest of their water usage.* Additionally, *those who exceeded the 6kl allocation in townships will have to pay for the rest of their water usage.* For the electricity supply, it was indicated that *indigents are supplied with coupons of 50kw/h worth of electricity for use, until the next allocation. Similarly with water metering, any user who exceeded the allocation before the next round of allocations would have to buy their own.*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
	5. Communicating	All participants indicated *public participation through CDWs, ward committees, and councillors.* The participants further mentioned *that communication is also through individual letters and cell phones through smses.*
	6. Challenges	The councillors indicated *the indigent debts' management.*

4.3.2.3.1 Content

It has already been indicated that whilst the indigent policies may be seen as redistributive, policy content can be viewed as a negotiator between the ends (policy objectives) and the means (actions and resources) towards delivery of policy package (Brynard, 2005:17). The researcher conducted a further focus group discussion with Group C as identified above and further investigated similar aspects of the policy content as already described during discussions with Groups A and B above, in order to solicit further experiences and views on implementing the GTM's Indigent Policy within the Protocol's parameters, that is the 5C Protocol plus the sixth C.

4.3.2.3.1.1 Sources of funding

On sources of funding as the means to deliver the policy content, the participants pointed out *to equitable share allocations to municipalities through the National Treasury*. Resource allocation as part of the means to achieving the objectives of the GTM's Indigent Policy is also considered critical, hence the allocation through equitable shares. The councillors also mentioned their *own locally generated revenue as additional means of funding the implementation of the indigent policy in the municipality*. This can be seen as further efforts from the GTM to extend coverage to all the GTM's indigent population community. It also reflects well on leadership's commitment to deliver the policy content to the citizens of the municipality.

4.3.2.3.1.2 Accessing the indigent populations in the Greater Tzaneen Municipality

The second question on content sought to establish how the GTM identifies and accesses its indigent populations in order to deliver the policy content to them. The participants indicated *door-to-door outreaches, ward meetings with ward committees, CDWs and the community members as public participation platforms*. The responses more or less concur with the ones mooted in both groups (A) and (B) above. It is essential to access the indigents as critical stakeholders in terms of the clients and coalitions variable of Brynard's (2005) 5C Protocol plus the sixth C, failing which there will be no indigent policy implementation in the GTM.

4.3.2.3.1.3 Package of services offered to the indigents of the Greater Tzaneen Municipality

One councillor indicated *free basic water, free basic electricity, and refuse removal as the main FBS that the municipality provides*. The participants further indicated *free housing, though not directly provided by the municipality*. This is also commensurate with SERs in South Africa, such as those enshrined in section 26 and 27 of the constitution, 1996, particularly sub-section 26 (1) and sub-section 27 (1)(b) that stipulate rights to adequate housing and water respectively. Sub-section (2) of Section 26 and Sub-section (2) of section 27 urge the state to "take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of each of the rights" enshrined in those sections, since they are the enforceables of constitutional impositions or stipulations. As already indicated during the literature review, Orago (2013) advocates for litigation by the indigents to get their policy share from the policy content, as documented and supported by the supreme law of the country, in his context, the Kenyan Constitution (2010), and the South African Constitution (1996) in the context of the GTM. This can give impetus to the implementation efficiency in the institution and possibly across the country, hence addressing the indigence problems and tackling the scourge of poverty. Fuo (2013), as mentioned in the introduction and background of this study, espoused the possible constitutional basis for the enforceability of 'executive' policies that give effect to these SERs. To that effect, it is thus also incumbent upon the indigents to use their constitutional rights to access their FBS as such insistence might accelerate implementation, and ameliorate their indigent status as well. It is clear from the discussion that all actors, particularly key and critical stakeholders, have a role to play in optimising policy content delivery results.

4.3.2.3.1.4 The method of delivering free basic services to the indigents

The measure (instrument) also investigated the method of delivering FBS to the indigents. Whereas the methods of delivering FBS are well articulated in the non-financials report of StatsSA (2017) and the NIP (DPLG, 2005b), as indicated in the previous paragraphs of this report, the participants had the following to say:
Water is delivered through a metered system in the townships, whereas there in the villages is delivered through stand pipes communal taps. The participants further indicated that *those who exceeded the 6kl allocation in townships will have to pay for the rest of [their] water usage*. For the electricity supply, it was indicated that *indigents are supplied with coupons of 50kw/h worth of electricity for use until the next allocation. Similarly with water metering, any user who exceeded the allocation before the next round of allocations would have to buy their own*. The method of allocation for both water and electricity as indicated here, it would seem, follows the universal approach to the delivery of FBS in the municipalities, as proposed by Arntz et al. (2003). This attests to Brynard's (2005) assertion in that the means of policy content delivery is as critical as the end objectives of the policy for successful implementation.

4.3.2.3.1.5 Communicating policy content to the indigents

The measure further sought to establish as to how the GTM communicates the policy content to the indigents, since communication as the sixth C cuts across all variables without exception. Brynard (2005:21) states that "it could be argued that communication is an integral part of all the above-mentioned variables" (the 5C Protocol). All the participants in the group discussion indicated *public participation through CDWs, ward committees and councillors.* See also the sample of a public participation programme attached at the end of the study report as ANNEXURE E. The participants further stated that *communication is also through individual letters and cell phones through smses*. Without applying the sixth C as meticulously as Brynard (2005) recognises it in the Protocol, the policy implementation might lack lustre and eventually decline. Thus, communication is vital in the Protocol, and therefore needs to be given special attention in any policy implementation endeavours.

4.3.2.3.1.6 Challenges encountered

Respondents were also asked about challenges that the municipality encounters in delivering content of the indigent policy to the indigent population of the community. The main challenge that the politicians raised during discussions was *the indigent debt management.* That calls for the municipality to look closely into the methods of delivering the FBS to the indigents as discussed already versus debt accumulation for better management of debts. The municipality's management needs to look into the matter closely. This also refers to the capacity variable of the Protocol discussed in the next and previous paragraphs.

Table 4.16: Capacity – Group C

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP C	Capacity	
	7. Capacity challenges and strengths	The participants referred the question on capacity challenges and strengths to internal staff and the management of the GTM.
	8. Minimum qualifications	Referred to the indigent staff and the management.
	9. Specific skills required	Referred to the indigent staff and the management.
	10. Institutional arrangements and monitoring	Referred to the indigent staff and the management.

4.3.2.3.2 Capacity

The author of the Protocol, Professor Petrus A Brynard describes capacity in terms of the availability of both tangible and intangible resources and enabling contextual (environmental) factors such as human, financial, material, technological, political, economic, cultural, social, administrative, leadership, motivation, commitment, willingness, guts, endurance, etc. to turn policy rhetoric into action and realise its objectives (Brynard, 2005:19). Savitch is further cited in Brynard (2005:19) as referring to "capacity-building as a total (structural, functional, and cultural) transformation of government in order to mobilise all available resources to achieve policy objectives". Users of the study are advised to also consult Mothae (2008) for more insights into the capacity variable of the Protocol.

4.3.2.3.2.1 Capacity challenges and strengths

The measure was also designed to expose the GTM's capacity challenges and strengths in delivering the indigent services with regard to structures, finances, human resources, and strategic competencies as defined above. The participants referred the question on capacity challenges and strengths to the GTM's internal staff and the management.

4.3.2.3.2.2 Minimum qualifications

When asked about the minimum qualifications needed for staff or personnel to administer the indigents' service, the participants referred the question to the GTM's internal staff and the management.

4.3.2.3.2.3 Specific skills required

Regarding specific skills required to deliver the services to the indigents without difficulties, the group referred the question to the GTM's internal staff and the management.

4.3.2.3.2.4 Institutional arrangements and monitoring systems

In terms of institutional arrangements and monitoring systems in the delivery of the indigent services in the GTM, the politicians referred the question to the GTM's management and the indigent staff.

Table 4.17: Commitment – Group C

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP C	Commitment	
	11. Overall commitment	The participants in Group C indicated that overall *they can see commitment on the part of staff, management, WCMs, and CDWs on the delivery of the indigent policy content to the GTM's indigent population, in the sense that they are almost always available for public participation programmes and road shows for policy advocacy.*
	12. Commitment from both the political and administrative leadership	The councillors also indicated that *the allocation by the National Treasury through equitable shares to fund the indigent's constitutional mandate shows overall political and administrative commitment from government.* The approval of the GTM's

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		Indigent Policy by the municipal council was highlighted *as a positive sign of commitment from both the political and administrative leadership*.
	13. Challenges on total coverage	The councillors saw it more as a case of *identifying the indigents than funding as a major challenge that might prevent total coverage of all the GTM's indigent population.*

4.3.2.3.3 Commitment

Brynard (2005:18-19) promotes both the meaning and the management of the commitment variable of the Protocol for successful implementation. Warwick cited in Brynard (2005:18) indicates the implementers' will and ability as the driving force of commitment. It is strongly argued that commitment results in friction between the bottom-up and top-down implementation researchers, in that both see each other as an unwilling or obstructive, or as an obtrusive force to implementation (Brynard, 2005:18). The condition of the variable of commitment in the Protocol is that it must be present at all levels of the policy implementation regime and that it is catalytic to all the other four critical variables, as well as the sixth variable, which is communication**,** in the implementation process Brynard (2005:18-19). It is also worth noting that commitment is closely associated with leadership in so far as driving policy implementation is concerned as observed in the literature review of this study.

4.3.2.3.3.1 Overall commitment

Overall commitment from the GTM's administration regarding the delivery of the indigent policy package to the populations within the municipality was also probed. The participants indicated that overall they *can see commitment on the part of staff, management, WCMs, and CDWs on the delivery of the indigent policy content to the indigents of the GTM, in the sense that they are almost always available for public participation programmes and road shows for policy advocacy*. That gives impetus to the interaction between bottom-up and top-downers' views on policy implementation, as highlighted by Brynard (2005:18).

4.3.2.3.3.2 Commitment from political and administrative leadership

Further experiences from participants as to the commitment from both the political and administrative leadership on the delivery of the policy content were also solicited**.** The councillors also indicated that *the allocation by the National Treasury through equitable shares to fund the indigents' constitutional mandate shows overall political and administrative commitment from government.* The approval of the GTM's Indigent Policy by the municipal council was also highlighted *as a positive sign of commitment from both the political and administrative leadership.* The GTM's Indigent Policy also corroborates the positive response (GTM, 2011).

4.3.2.3.3.3 Challenges that might prevent total coverage of all the indigents

Here the instrument (measure) sought to establish whether or not there are challenges that might prevent total coverage of all the indigents in the GTM. The councillors saw it as more of a case *of identifying the indigents than funding as a major challenge that might prevent total coverage of all the indigents of the GTM.* Thus, communication is a critical variable of the Protocol in this regard, to raise awareness of the FBS policy to the community of the GTM and to deliberately reach out to the indigent populations through various communication modes or strategies.

Table 4.18: Clients and Coalitions – Group C

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP C	Clients and Coalitions	
	14. Key actors	The participants stated the *CDWs, ward committees, councillors, and community members, particularly indigent beneficiaries, as key stakeholders in the delivery of the GTM's Indigent Policy.* They also mentioned *Eskom and National Forestry and Water Affairs for both water and electricity partnerships*.
	15. Critical stakeholders	The participants chose *the indigents themselves and Eskom as the electricity supplier*. One councillor added *the National Treasury as the funder of the mandate.*
	16. Stakeholder cataloguing	The participants referred cataloguing to the staff and the management.

4.3.2.3.4 Clients and Coalitions

In the literature review, clients and coalitions are also referred to as actors, interest groups, or lobby groups (Brynard, 2005:20-21). Truman (1951:vii) also mentioned 'pressure groups', or what he prefers to call interest groups. Yackee (2005:103) also alludes to clients and coalitions as actors and interest groups in her abstract.

4.3.2.3.4.1 Key actors

The measure at this stage was intended to identify the key actors (stakeholders) involved in the delivery of the policy content to the indigent populations of the GTM. The participants mentioned the *CDWs, ward committees, councillors, and community members, particularly indigent beneficiaries as key stakeholders in the delivery of the GTM's Indigent Policy.* The other participants mentioned *Eskom and National Forestry and Water Affairs for both water and electricity partnerships*. It is indicated in the literature review that stakeholders can ruin or enhance a policy implementation process in any organisation. Therefore, stakeholder involvement and management remains a critical role in policy implementation process. It is for this reason that the variable of clients and coalitions in the Protocol must be well explored and applied during all policy implementation stages.

4.3.2.3.4.2 Critical actors

When asked to shortlist the stakeholders as critical actors, without which the implementation of the indigent policy would fail, the participants picked *the indigents themselves and Eskom as the electricity supplier*. One councillor added *the National Treasury as the funder of the mandate.* The shortlist further shows the importance of stakeholders at all levels, top-down and bottom-up.

4.3.2.3.4.3 Stakeholder cataloguing

Although the participants referred cataloguing to the staff and the management, stakeholder cataloguing is strongly recommended in the Protocol in order to avoid the large number of interested parties who might be directly or indirectly affected in the matter. Brynard, (2005:20-21) cautions that a sufficiently large group of all interested parties might disrupt the efficient and timeous delivery of service to the deserving populations.

Table 4.19: Communication – Group C

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP C	Communication	
	17. Communication strategies	*Public participation with ward committees and CDWs* was indicated *as one of the mostly used communication strategy by ward councillors to communicate with the residents of the GTM*. The other ward councillor also mentioned *door-to-door outreaches to meet the beneficiaries and listen to their experiences and issues about their FBS. Isimbizos (makgotla) with traditional leaders (matona le magoshi)* was indicated as yet another way of advocating the indigent services within the communities of the GTM.
	18. Communication challenges	The councillors also raised *challenges of absenteeism from public participation meetings by community members.*
	19. Solutions to offset communication challenges	*Constant follow-ups to the beneficiaries who do not attend meetings, as well as door-to-door visits to mitigate on some*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		absenteeism from community meetings were suggested by participants.

4.3.2.3.5 Communication

Communication is the sixth C of the Protocol. It is brought in the Protocol as the sixth C in the sense that it is key in each and every implementation step for participants and key actors to advocate and make the services available and accessible (Brynard, 2005:21). It cuts across all the variables in the Protocol.

4.3.2.3.5.1 Communication strategies

Public participation with ward committees and CDWs was indicated *as one of the mostly used communication strategy by ward councillors to communicate with the residents of the GTM*. The other ward councillors also mentioned *door-to-door outreaches to meet the beneficiaries and listen to their experiences and issues about their FBS*. *Isimbizos (makgotla) with traditional leaders (matona le magoshi)* was indicated as yet another way of advocating the indigent services within the communities of the GTM. According to the GTM's IDP 2014/15 there are 125 rural villages and six traditional authorities (GTM, 2014a:19-20). This attests to the location of the majority of the indigent populations of the GTM, and legitimises the indigent policy advocacy public participation focussed in the areas of Magoshi and Matona for more coverage. This implies that a communication strategy must be linked to the targets or rather the targeted groups during the policy implementation process. This attests to how critical communication strategies can be in the application of the 5C Protocol in policy implementation.

4.3.2.3.5.2 Communication challenges

The councillors also raised *challenges of absenteeism from public participation meetings by community members.* Such absenteeism could be due to reasons that need to be explored further by all parties concerned.

4.3.2.3.5.3 Solutions to offset communication challenges

Constant follow-ups to the beneficiaries who do not attend meetings as well as door-to-door visits to mitigate on some absenteeism from community meetings were suggested by participants. It is worth noting that communication can be exceedingly difficult to achieve, especially in deep rural villages, as it has already been mentioned that the GTM's indigent community reside in predominantly rural areas. This calls for more concerted efforts on the part of the leadership to develop more pro-active communication strategies to reach out to the most deserving populations of the GTM who are likely residing in the municipality's remotest areas.

Table 4.20: Context – Group C

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
GROUP C (Focus group)	Context	
	20. Contextual factors	• **Social and cultural contexts** The councillors also indicated *the multicultural nature of the GTM community*. Councillors in Group C agreed with Groups A and B, and with the portfolio councillor interviewed in a one-on-one telephone interview in the main, by referring to the *population mix of the Tsonga, Afrikaners,*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		Pedi, Indians, and Coloureds.
		• **Economic context** The councillors further highlighted *the rich vegetation of the GTM, particularly its rich agricultural products.* It was also indicated that *the rich agricultural products provide a hive of local fruit and vegetable markets in and around towns and villages [in] the GTM.*
		• **Political context** The ward councillors, like the portfolio councillor, indicated *the need for working together with all of the opposition parties in order to give momentum to the delivery of the indigent services to the population of the GTM*.
		• **Legal context** The participants were able to *recognise that the council has adopted the GTM's Indigent Policy* and that *the GTM's adopted Indigent Policy sought*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		to implement the Municipal Indigent Policy Framework and also give effect to the SERs as enshrined in Chapter Two, The Bill of Rights, of the South African Constitution, 1996. The discussion further indicated *the existence of legal services within the institutional arrangements of the GTM to deal with legal challenges in the event they might occur or present themselves.* The participants also confirmed *very benign, if not none at all, possible litigation threats* during discussions.
		• **Technological context** The participants indicated that in the main, *Eskom is proving the electricity billing system to manage the indigent services dispensation.* One councillor said that *the municipality is using [the] meter system to deliver water to the residents of the municipality, particularly in town and townships of the GTM*, and that

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		rural areas have free basic water in the streets through communal taps reticulation, which is not measured.
	21. Suggestions to improve management of contextual factors	The focus group discussion, Group A, indicated *satisfaction* in their responses on the contextual factors as discussed. The councillors' focus group, Group C, and the one-on-one interview with the councillor, raised issues of *more capacity-building in relation to management of contextual factors during policy implementation*.

4.3.2.3.6 Context

Brynard (2005:17-18) cited the works of implementation scholars such as Barman (1980), O'Toole (1986), and Warwick (1982) to caution against a "context- free" implementation and carefully singled out contextual factors such as social, economic, political, and legal factors as being more important in an implementation process. This study has also included the technological factor as one of the strongest emergent factors in organisational operations. It has been indicated that implementation will always be impacted by such contextual environmental factors that will always be considered forces at work within the institutional corridors of entities or organisations, and in this regard, the GTM is no exception.

4.3.2.3.6.1 Contextual factors that affect the implementation of the indigent policy

The following contextual factors were discussed with the participants to establish how the GTM deals with such factors in the delivery of the indigent policy to the community of Greater Tzaneen.

- **Social and cultural contexts**

In its demographics analysis, the GTM indicated in numbers the populations that speak any one of all the twelve South African official languages, including the sign language, as enshrined in the Constitution of the Republic of South Africa (1996) (GTM, 2014a:30). This implies that policy implementers in the GTM will have to be well versed in diversity management techniques. The councillors also referred to *the multicultural nature of the GTM community.* Councillors in Group C are agreeable with Groups A and B, and the portfolio councillor interviewed in a one-on-one telephone interview, by referring to the population mix of *Tsonga, Afrikaners, Pedi, Indians, and Coloureds.* This is affirmed in the GTM's IDP of 2014/15 (GTM, 2014a:30).

- **Economic context**

The discussion with the councillors further pointed to *the rich vegetation of the GTM, particularly its rich agricultural products.* It was also indicated that *the rich agricultural products provide a hive of local fruit and vegetable markets in and around towns and villages of the GTM.* Such fresh produce can promote agro-processing in the GTM's economy, if well harnessed and exploited.

- **Political context**

In terms of the political context, the ward councillors, like the portfolio councillor, indicated *the need for working together with all the opposition parties in order to give momentum to the delivery of the indigent services to the population of the GTM*. This is critical during the process of canvassing the policy content among clients and coalitions, as already posited. Seasons (2003), as highlighted already, also refers to politicians' power play in policy planning and M&E.

- **Legal context**

Every government programme, project, or policy operates within the context of a particular legal and policy framework. The Protocol therefore implores all stakeholders in the indigent policy implementation to be knowledgeable about the legal framework that governs and guides the indigent policy implementation broadly in the South African context, and in the GTM in particular. Some of these key legal and policy frameworks are highlighted in the introduction and background to the study. In this context, *the participants were able to recognise that the council has adopted the GTM's Indigent Policy* as cited and referenced in the study, and that *the GTM's adopted Indigent Policy sought to implement the Municipal Indigent Policy Framework and also give effect to the SERs, as enshrined in Chapter Two, The Bill of Rights, of the South African Constitution, 1996.* To further highlight the GTM's awareness of the implications of a legal environment that any entity of the state may find itself in, the discussion also indicated *the existence of legal services within the institutional arrangements of the GTM to deal with legal challenges, in the event they might occur or present themselves* in the process of policy-making, which includes implementation. The participants confirmed *very benign, if none at all, possible litigation threats during discussion.* There was mention made of *the council having adopted the GTM's Indigent Policy* as cited and referenced in the study, *which sought to implement the Municipal Indigent Policy Framework* and also give effect to the SERs, as enshrined in Chapter two, The Bill of Rights, of the South African Constitution, 1996. All other legislation and policy frameworks, as cited and referenced in the introduction and background of the study, sought to give effect to the Bill of Rights, as indicated in the supreme law of the country, the Constitution of the Republic of South Africa, 1996. Fuo (2013; 2014) accentuates the importance of the legal context of policy implementation in public administration in its *loci* and *foci*.

- **Technological context**

The 21st Century brought about what is referred to as the fourth industrial revolution, which is said to be a digitalised and highly mechanised era of human development. Organisations are therefore forced to adapt in such environments or perish. Organisational re-engineering and adaptation is therefore not a choice but a necessary survival mode in such technologically-charged environments. Although Brynard (2005:17) in his truncated Protocol was concerned with socio-economic, political, and legal contexts in the main, it would be wise for policy-makers, implementers, and researchers to also look into technological contexts in policy processes. This is the basis on which the study further sought to inquire into the technological stance of the GTM in relation to policy implementation. In their response to this question, the participants indicated that *in the main, Eskom is providing the electricity billing system to manage the indigent services dispensation.* One councillor said that *the municipality is using [the] meter system to deliver water to the residents of the municipality, particularly in town and townships of the GTM*, and that *rural areas have free basic water in the streets through communal taps reticulation, which is not measured*. The focus group discussion in Group A highlighted *the need for more technological capacity-building, based on some bench-marking observation undertaken by the GTM.* That leaves the municipality with less or no capacity to control service delivery expenditure and revenue collection in its rural areas. Hence the GTM, as already mentioned in Arntz et al. (2003), uses the universal approach rather than targeted approach in delivering indigent services to its indigent populations. Thus, it is vital for the GTM administration to explore the technological context further in order to strengthen its capacity to deliver an effective and efficient service to the people of the GTM.

4.3.2.3.6.2 Suggestions on other methods of improving management of contextual factors

Brynard's (2005:18) discussion on contextual factors posits that "Effective working relations typically result from bargaining, cajoling, accommodation, threats, gestures of respect, and related transactions". This could mean policy-makers, implementers, and the clients and coalitions of the GTM in implementing the Indigents Policy, should engage in all of these types of transactions or activities in order to mitigate challenges in the management of the fluid contextual factors present in every policy implementation context. Thus, the Protocol is a handy toolbox with which to navigate implementation's contextual factors. The focus group discussion, Group A, indicated satisfaction in their responses to the contextual factors as discussed. The councillors' focus group, Group C, and the councillor in the one-on-one interview raised issues of *more capacity-building in relation to management of contextual factors during policy implementation*.

4.3.2.4 Face-to-face interview

The face-to face interview took place with the CFO of the GTM. The CFO in the GTM's institutional arrangements is responsible for delivering indigent services to the indigent populations of the GTM, and is therefore directly accountable for implementing the indigent policy. The methodology is well explained in Chapter Three. The following is the presentation, discussion, and analysis of the data collected during the interview.

Table 4.21: Content – Face-to-face interview

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
FACE-TO-FACE INTERVIEW	Content	
	1. Sources of funding	The CFO mentioned *equitable shares and added own revenue (locally generated funds),*affirming both Groups A and C statements.
	2. Identifying and accessing the indigents	The CFO also concurred with other respondents and participants in focus groups A, B, and C, as well as the interviewed councillor. The CFO specifically also mentioned *identity documents and proof of income*
	3. FBS package	The CFO mentioned *writing off their debts, free basic electricity of about 50kw/h, free basic water of about 6kl, and 100% rebates on rates*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		and taxes and refuse removal. Group A described almost the same package as the CFO, and Group C added *housing* even though the funding and allocation do not fall directly within the GTM's administrative jurisdiction and functions, whereas Group B concurred with all groups and participants on the FBS package.
	4. FBS delivery methods	The CFO routed the question to other respondents and participants.
	5. Communicating	The CFO alluded to *public participation* as the vehicle of communicating to the indigents the policy content. All participants and respondents in all groups and interviews indicated *public participation*. This can be seen as the strongest vehicle and platform in communicating the Indigent Policy content to the populations of the GTM.

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
	6. Challenges	The CFO mentioned *budget constraints at times, human resources (only two staff members are assigned the role to administer the indigent services), and no metering of water in rural areas*. The CFO, the indigent staff in Group A, and the telephone interviewed councillor seemed to be similarly concerned about *human resources* and *budgetary constraints*. The CFO further shared the same view as the interviewed councillor on *lack of metering systems to measure water services supply in rural areas*. This is viewed as using the universal approach to the delivery of FBS as alluded to by Arntz et al. (2003).

4.3.2.4.1 Content

In order to facilitate clarity on the content variable in the Protocol at this stage of reporting the information collected during the interview with the respondents, it might be necessary to rehearse the literature review on policy content. Whilst the indigent policies may be seen as redistributive, policy content can be viewed as the negotiator between the ends (policy objectives) and the means (actions and resources) towards delivery of policy packages (Brynard, 2005:17). Predetermined questions on sources of funding, accessing the indigent populations in the GTM, the package of services offered to the GTM's indigent population, the method of delivering the FBS to the indigents, communicating the content of policy to the indigents, and challenges encountered were further engaged with the CFO.

4.3.2.4.1.1 Sources of funding

On sources of funding as the means of delivering the policy content, the CFO mentioned *equitable shares and added own revenue (locally generated funds)* as additional means of funding the implementation of the GTM's Indigent Policy. This can be seen as requiring more effort from the GTM to extend coverage to all the indigents of the community of the GTM. It also reflects well on leadership commitment to deliver the policy content to the municipality's citizens. Going beyond means must be considered a commendable commitment on the part of the leadership to deliver the policy content to the indigent populations of the municipality.

4.3.2.4.1.2 Accessing the indigent populations in the Greater Tzaneen Municipality

The second question on content sought to establish how the GTM accesses its indigent populations in order to deliver the policy content. The section 57 manager, the CFO, also concurred with other respondents, namely, the focus groups and the interviewed councillor, but the CFO specifically mentioned *identity documents and proof of income* as part of the criteria to identify the indigents in the GTM. The GTM's Indigent Policy (2011:D281) also states the criteria. ANNEXURE D at the end of the study report also makes provision for the proof of identity documents.

4.3.2.4.1.3 Package of services offered to the indigents of the Greater Tzaneen Municipality

The CFO also mentioned *writing off their debts, free basic electricity of about 50kw/h, free basic water of about 6kl, and 100% rebates on rates and taxes and refuse removal*. The GTM's Indigent Policy further corroborates the responses in their sections "Handling of accounts" and

“LEVEL OF SERVICES” (GTM, 2011:D282-D283). The fundamental implementation question then arises as to whether or not the GTM’s indigent population do indeed get what is due to them in terms of the service packages as mentioned. This remains largely an M&E function, and how the GTM’s indigent population react to the situation in the event of non-delivery of their planned and policy documented FBS. In the literature review, Orago (2013) advocates for indigents to litigate in order to get their policy share from the policy content as documented and supported by the supreme law of the country, in his context, the Kenyan Constitution (2010), and the South African Constitution, (1996) in the context of GTM. This can give impetus to the implementation efficiency in the institution and possibly across the country, hence addressing the indigence problems and tackling the scourge of poverty. Fuo (2013), in the introduction and background of this study, espoused the possible constitutional basis for the enforceability of 'executive' policies that give effect to SERs in South Africa, such as those in section 27(2) of the Constitution, which states that the state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of each of the rights provided in sub-sections (1) (a), (b), and (c), since they are the result of the constitutional impositions or stipulations. To this effect, it would therefore be incumbent upon the indigent populations to use their constitutional rights to access their FBS, which might accelerate implementation and alleviate their indigent status as well.

4.3.2.4.1.4 The method of delivering the free basic services to the indigents

The measure (instrument) also investigated the methods of delivering the FBS to indigents. The CFO routed the question to the other respondents and/or participants in the focus group discussions (see focus group discussions). It is however worth noting that the GTM’s Indigent Policy indicates “the self-targeting” method on the provision of electricity, which can be likened to the universal approach argued by Arntz et al. (2003) as discussed in the literature review and other paragraphs of this study report.

4.3.2.4.1.5 Communicating the policy content to the indigents

The measure further sought to establish how the GTM communicates the content of policy to the indigents since communication is the sixth C that cuts across all variables of the Protocol without exception. To recap, Brynard (2005:21) states that “it could be argued that communication is an integral part of all the above-mentioned variables" [the 5C Protocol].The CFO alluded to *public participation as the vehicle of communicating to the indigents the policy content*. The sample of public participation programme can also be viewed at the end of the study report as ANNEXURE E.

4.3.2.4.1.6 Challenges encountered

Respondents were also asked about challenges encountered by the municipality in delivering content of the indigent policy to the indigent population of the community. The CFO reflected *budget constraints at times, human resources (only two staff members are assigned the role to administer the indigent services) and no metering of water in rural areas*. The issue of *"only two staff members are assigned the role to administer the indigent services"* was also mentioned by one GTM's indigent staff members over a telephone call (GTM, 2014b). These challenges as raised by the management (CFO) also interrelate with capacity variable of the Protocol. The constraints on *human resources*, *funding* and lack of *metering systems* in rural areas constitute serious capacity constraints in the efficient and effective delivery of the indigent policy content to the population of GTM.

Table 4.22: Capacity – Face – to – face interview

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
FACE-TO-FACE INTERVIEW	Capacity	
	7. Capacity challenges and strengths	The councillor indicated challenges of *funding the services on full coverage, rural water infrastructure both for supply and cost recovery, and crime like cable theft and vandalism*. The CFO highlighted similar challenges and emphasised *staff*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		shortages.
	8. Minimum qualifications	The CFO indicated *matric [Grade 12] and relevant experience*. The indigent staff in Group A indicated post-matric plus relevant experience. This needs to be discussed to establish a minimum standard of qualification requirements.
	9. Specific skills required	The CFO referred the question to the indigent staff.
	10. Institutional arrangements and monitoring	Both the CFO and Group A presented the institutional arrangements for the delivery of the indigent services in a network diagram as follows: *Figure 4.2b: Reporting lines for Indigent Policy – Face-to-face interview.* *CFO* $\longleftrightarrow$ *Manager* $\longleftrightarrow$ *Senior Accountant (supervisor)* $\longleftrightarrow$ *Indigent Officer (Staff/personnel)* $\longleftrightarrow$ *WCMs* $\longleftrightarrow$ *CDWs.*

4.3.2.4.2 Capacity

The author of the Protocol, Professor Petrus A Brynard explains capacity in terms of the availability of both tangible and intangible resources and enabling contextual (environmental) factors such as human, financial, material, technological, political, economic, cultural, social, administrative, leadership, motivation, commitment, willingness, guts, endurance, etc. to turn policy rhetoric into action and realise its objectives (Brynard, 2005:19). Savitch is cited in Brynard (2005:19) as defining "capacity-building as a total (structural, functional, and cultural) transformation of government in order to mobilise all available resources to achieve policy objectives".

4.3.2.4.2.1 Capacity challenges and strengths

The measure was also designed to expose the capacity challenges and strengths of the GTM in delivering the indigent services with regard to structures, finances, human resources, and strategic competencies. The councillor, in responding to the question of capacity, indicated challenges of *funding the services on full coverage, rural water infrastructure both for supply and cost recovery, and crime like cable theft and vandalism*. The CFO highlighted similar challenges and emphasised *staff shortages*.

4.3.2.4.2.2 Minimum qualifications

When asked about the minimum qualifications needed for staff or personnel to administer the indigents, the CFO indicated *matric [Grade 12] and relevant experience*.

4.3.2.4.2.3 Specific skills required

On specific skills required to deliver the services to the indigents without difficulties, the councillor and the CFO further routed the question to the indigent personnel (the focus group) who indicated *finance, public relations, customer service, community development, and computer skills as the most relevant skills required.*

4.3.2.4.2.4 Institutional arrangements and monitoring systems

On institutional arrangements and monitoring systems in the delivery of the indigent services in the GTM, the politician (the councillor) routed the question to the management (the CFO) and the staff (indigent personnel and the focus group). Both the CFO and the focus group discussion presented the institutional arrangements for the delivery of the indigent services in a network diagram as follows:

Figure 4.2b: Reporting lines for Indigent Policy – Face-to-face interview

CFO ⟷ Manager ⟷ Senior Accountant (supervisor) ⟷ Indigent Officer (Staff/personnel) ⟷ WCMs ⟷ CDWs.

The above reporting lines indicate the information flow and feedback from level to level. In terms of monitoring, the focus group discussion presented mechanisms such as *yearly status review or renewal*, *yearly policy review*, *monthly reports from ward committees*, *and other reports from traditional authorities and CDWs*. The CFO also indicated *annual reviews and links to credit bureaus*. The GTM's Indigent Policy further laid down institutional arrangements ranging from the Department of the CFO to the Department of the Electrical Engineering Director (GTM, 2011:D284-D285). Design (institutional arrangements) and information-gathering requirements for monitoring are also clearly presented in the NIP (DPLG, 2005b:32). This serves as a strong base from which the GTM can draw institutional capacity lessons for the efficient and effective implementation of the indigent policy.

Table 4.23: Commitment – Face – to – face interview

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
FACE-TO-FACE INTERVIEW	Commitment	
	11. Overall commitment	The CFO cited that *"a number of 32 000 out of 37 000 identified indigents are covered and that all identified indigents are provided with the*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		indigent services. The councillor corroborated this information in the telephonic interview, stating that a number of households (36000) are already benefitting from the programme. The different figures must be reconciled with the GTM administration from time to time.
	12. Commitment from both the political and administrative leadership	The CFO reported that *Council showed commitment by approving lists of identified indigents to be on the Indigent Register. Commitment from both the political and administrative leadership* was indicated by all participants and respondents.
	13. Challenges on total coverage	The CFO reported that *some indigents might not attend public participation meetings due to various reasons, including communication and other personal reasons,* whereas the staff component in Group A indicated *budgetary constraints, and perhaps lack*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		of commitment from the management side to fund public participation meetings.

4.3.2.4.3 Commitment

Overall commitment from the GTM administration on the delivery of the indigent policy packages to the populations within the municipality was also probed. Commitment on the part of the implementer is viewed as being shaped by the policy content and the implementer's capacity, whilst Warwick cited in Brynard (2005:18) indicates the implementer's will and ability as the driving force behind commitment. It is admitted that commitment causes friction between the bottom-up and top-down implementation researchers, in that both see each other as an unwilling or obstructive, or as obtrusive force to implementation (Brynard. 2005:18). The condition to the addition of the variable of commitment in the Protocol is that it must be present at all levels of the policy implementation regime, and act as catalyst to the other four critical variables, and probably to the sixth C as well, which is communication (Brynard,2005:18-19).

4.3.2.4.3.1 Overall commitment

All the categories of respondents and participants indicated significant levels of commitment from both the administrative and political leadership to deliver the indigent services to all those who qualify. The CFO cited that *"a number of 32 000 out of 37 000 identified indigents are covered and that all identified indigents are provided with the indigent services"*. The councillor corroborated in the telephonic interview that *a number of households are benefiting already from the programme*.

4.3.2.4.3.2 Commitment from both the political and administrative leadership

Further observations from respondents as to the commitment from both the political and administrative leadership on the delivery of the policy content were also solicited**.** The focus group discussion, particularly of the staff component, GROUP A, reflected that *politicians always avail themselves to community meetings whereas administrators, that is the management showed reluctance to attend weekend meetings for community/public participation*. The councillor routed the question, whilst the CFO reported *that council showed commitment by approving lists of identified indigents to be on the Indigent Register*.

4.3.2.4.3.3 Challenges that might prevent total coverage of all the indigents

Here the instrument (measure) sought to establish whether or not there are challenges that might prevent total coverage of all the GTM's indigents. The CFO reported that *some indigents might not attend public participation meetings due to various reasons including communication and other personal reasons,* whereas the focus group discussion of the staff component indicated *budgetary constraints, and perhaps lack of commitment from the management side to fund public participation meetings,* as already indicated. The councillor routed the question.

Table 4.24: Clients and Coalitions – Face-to-face interview

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
FACE-TO-FACE INTERVIEW	Clients and Coalitions	
	14. Key actors	The CFO singled *operations' structures such as the executive committee that recommends or makes policy proposals to Council, the Council of the municipality that approves policy, ward committees for identification of indigents, community at large as the affected and beneficiaries, credit institutions such as the credit bureaus, ward councillors for political*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		oversight and custodians of wards in the GTM, and traditional authorities as co-land trustees in traditional lands. From the responses in Groups A, B, and C and the telephone interview with the social services portfolio councillor, clients and coalitions may not be viewed similarly in their various roles and interests in policy share and implementation. That is why it is so important to assess carefully the stakeholders in every policy initiative and implementation.
	15. Critical actors	The CFO shortlisted *Eskom as the electricity supplier, Mopani District Municipality as the WSA, and the National Treasury as the funding entity.*
	16. Stakeholder cataloguing	The CFO indicated that although *there is no deliberate cataloguing of actors, the stakeholders are well identifiable.* Both the IDP (2014/15) and the Indigent

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		Policy (2011) of the GTM shows stakeholders are identifiable although perhaps not necessarily assessed for policy output and outcomes for well-informed cataloguing.

4.3.2.4.4 Clients and Coalitions

In the literature review, clients and coalitions are also referred to as actors, interest groups, or lobby groups (Brynard, 2005:20-21). Truman (1951:vii) refers to 'pressure groups', or what he prefers to call interest groups. Yackee (2005:103) also articulates about clients and coalitions right away from the abstract of her interesting article on the subject.

4.3.2.4.4.1 Key actors

The measure at this stage was intended to identify the key actors or rather stakeholders involved in the delivery of the policy content to the indigent populations of the GTM. As a technocrat, the CFO singled *operation's structures such as the executive committee that recommends or make policy proposals to Council, the Council of the municipality that approves policy, ward committees for identification of indigents, community at large as the affected and beneficiaries, credit institutions such as the credit bureau, ward councillors for political oversight and custodians of wards in the GTM, and traditional authorities as co-land trustees in traditional lands.* The CFO further indicated that *"the role of the link with credit bureau institutions is to verify the credit record of each indigent applicant in order to gain insight into their individual transactions for better decision-making".* What the GTM can draw from the literature discussed in the study is that stakeholder behaviour can determine the success or failure of policy implementation, since they determine both the traction and time of the delivery of policy content with their various interests and roles in the policy share and discourse. Carter (2016)'s "timescapes" and discussion of "governmentality" in policy implementation approach attests to this fact. It is therefore vital for the GTM to pay attention to the management of the clients and coalitions of the Protocol in their implementation of the indigent policy.

4.3.2.4.4.2 Critical actors

When asked to shortlist the stakeholders as critical actors without which the implementation of the indigent policy would fail, the CFO shortlisted *Eskom as the electricity supplier, Mopani District municipality as the WSA, and the National Treasury as the funding entity.* The focus group, Group A, adding to what the CFO shortlisted, included *ward committees and the CDWs for the collection of data on indigents, and the National Ministry of Forestry and Water Affairs for national oversight.* The GTM's Indigent Policy reflects the roles of these shortlisted critical stakeholders as indicated in the identification criteria and funding of indigent households (GTM, 2011:D281-D282&D286). The councillor routed the question on the shortlist.

4.3.2.4.4.3 Stakeholder cataloguing

On stakeholder cataloguing, the councillor also routed the question. Both the staff component of focus group A and the CFO indicated that *although there is no deliberate cataloguing of actors, the stakeholders are well identifiable.* However, stakeholder cataloguing is strongly recommended in the Protocol in order to avoid the large number of interested parties who might be directly or indirectly affected in the matter and who also, as a significant group might affect the efficient and timeous delivery of service to the beneficiaries in an adverse and negative way (Brynard, 2005: 20-21).

Table 4.25: Communication – Face-to-face interview

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
FACE-TO-FACE INTERVIEW	Communication	
	17. Communication strategies	The CFO concurred with focus Group A and listed the following as communication

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		methods or strategies: *Official circulars and memoranda including MOA's.* *Public participation that involves isimbizos (makgotla), community meetings with ward committees and councillors as well as traditional leaders (matona le magoshi).* *Loud hailing, print and electronic media and telecommunications, that is through post and smses.*
	18. Communication challenges	Routed
	19. Solutions to offset communication challenges	Routed

4.3.2.4.5 Communication

In the Protocol, communication is the sixth C of the Protocol, in the sense that it is key in each and every implementation step for participants and key actors to advocate and make the indigent services available and accessible (Brynard, 2005:21).

4.3.2.4.5.1 Communication strategies

The councillor left the question of communication strategies to the staff of the GTM. The CFO concurred with focus Group A and listed the following as communication methods or strategies:

- *official circulars and memoranda including MOAs;*
- *public participation that involves isimbizos (makgotla), and community meetings with ward committees and councillors as well as traditional leaders (matona le magoshi); and*
- *loud hailing, print and electronic media, and telecommunications, that is, through post and smses.*

It follows therefore that communication cuts across all the variables of the Protocol to communicate and deliver the policy content to the GTM's indigent population.

4.3.2.4.5.2 Communication challenges

Whereas both the councillor and the CFO routed the question on communication challenges, the focus group discussion, Group A, indicated *experiences of poor [turnout at] meetings*. Reasons for such experiences were attributed to *poor transmission of messages that sometimes do not reach out to actors*.

4.3.2.4.5.3 Solutions to offset communication challenges

Whilst no solutions were suggested from both the CFO and the councillor during the one-on-one interviews, the focus groups suggested various mechanisms, as indicated in each group. For instance, a staff member in focus Group A indicated that *they leave notes for notification*. And the WCMs and CDWs reported *constant follow-ups to those indigents who are traceable.*

Table 4.26: Context – Face-to-face interview

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
FACE-TO-FACE INTERVIEW	Context	The CFO routed all questions on Context. This response needs to be probed further in terms of why a high-ranking official of the institution at a high level of accountability referred such a significant

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		policy management question to lower ranked staff members.
	20. Contextual factors	• **Social and cultural contexts** Routed
		• **Economic context** Routed
		• **Political context** Routed
		• **Legal context** Routed
		• **Technological context** Routed
	21. Suggestions to improve management of contextual factors	The question on suggestions was also routed by the CFO.

4.3.2.4.6 Context

Brynard (2005:17-18) cited the works of implementation scholars such as Barman (1980), O'Toole (1986), and Warwick (1982) who caution against a "context- free" implementation and they specifically singled out contextual factors such as social, economic, political, and legal factors as being of more concern in any implementation process.

4.3.2.4.6.1 Contextual factors that impact on the implementation of the indigent policy

The study, in looking into the identified contextual factors, has also included the technological factor as one of the strongest emergent factors in organisational operations. It is indicated that implementation will always be impacted by such contextual environmental factors that are always forces at work within institutional corridors of entities or organisations. The GTM in this regard is no exception. The researcher captured the following responses during the one-on-one interview with the GTM's CFO on contextual factors:

- **Social and cultural contexts**

The CFO routed all context questions in the measure. The interviewed councillor and the focus group discussions indicated *the socio-cultural mix of the GTM population*. It was indicated that the population mix comprises the Pedi, Tsonga, Afrikaans, English, Indians, and Coloured people, which makes the community of the GTM multi-cultural, and therefore multilingual too. The focus group discussion, Group A, further mentioned the age mix factor among the indigents. The discussion indicated that *both young and elderly indigents are serviced.* For an example *child-headed families were mentioned, as were old age pensioners in the main*. Although not mentioned in either of the interviews and focus group discussions, the biographical information of respondents and participants captured in section one of the instrument, Tables 4.1 and 4.2, show a presence of additional populations, such as the Venda for instance. The GTM's IDP 2014/15 also reflects these socio-cultural dynamics of the GTM population (GTM, 2014a).

- **Economic context**

The focus group discussions stated *the vegetation of Tzaneen as a competitive advantage and the small area of land as a disadvantage*. *Water scarcity* was also mentioned as a threat in the discussion at the time of the survey. The councillor also elevated the *vegetation factor* mentioned in focus group discussions that *Tzaneen is rich in agricultural products.*

- **Political context**

In terms of the political context, the councillor indicated *the need for cooperation with the opposition to deliver the indigent services to the population of the GTM*.

- **Legal context**

Both the councillor and the focus group discussions indicated *there are legal services within the institutional arrangements of the GTM to deal with legal challenges in the event they might occur or present themselves*. The staff component of focus group A further indicated that *some indigents threaten litigation at times,* and the councillor also highlighted *very less litigation threats to almost none* at the time of the survey. Orago (2013), in his Kenyan study that presented a theoretical framework for the realisation of SERs in the 2010 Kenyan Constitution, provides a good platform for litigation by the indigents in every part of the continent or the world in demanding their constitutional rights services, in what he (Orago) refers to as SERs. Thus, it (the legal context) must be considered in the GTM's endeavour to provide indigent services to its deserving citizens.

- **Technological context**

The focus group discussion A, particularly the staff component of the group, highlighted *the need for more technological capacity-building based on some bench-marking observations undertaken by the GTM*. The councillor affirmed the response by indicating *the need to strengthen the IT systems for indigent accounts' management, more especially water infrastructure in rural areas, where no billing systems exist, hence using the universal approach [rather] than targeted approach in delivering the services to the indigent populations of the GTM.*

4.3.2.4.6.2 Suggestions on other ways to improve management of contextual factors

The staff component in focus group A indicated *satisfaction to their responses on the contextual factors as discussed,* whereas the councillor highlighted *the need for total coverage of all* *identifiable indigents as almost only half were covered at the time of the survey*. The councillor further indicated the *need for capacity on the IT systems to be able to quantify the services, especially water services universally supplied to rural communities in particular***.**

4.3.2.5 Telephone interview

A telephone interview was conducted with the Social Services Portfolio councillor of the GTM, as indicated in the methodology in Chapter Three. The data is also presented in tables, discussed, analysed, and interpreted hereunder.

Table 4.27: Content – Telephone interview

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
TELEPHONE INTERVIEW	Content	
	1. Sources of funding	Concurring with the CFO, the councillor also mentioned *National Treasury funding of the delivery of FBS through equitable share grants.* Both Groups A and C concurred.
	2. Identifying and accessing the indigents	The councillor concurred with other participants and respondents, namely, focus groups A, B and C, as well as the CFO by also mentioning *identity documents and proof of income* as part of the criteria to identify the indigents in the GTM.
	3. FBS package	The councillor also mentioned

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		writing off the indigent debts, free basic electricity of about 50kw/h, free basic water of about 6kl, and 100% rebates on rates and taxes and refuse removal as articulated in the GTM's Indigent Policy (2011). One councillor indicated *free basic water, free basic electricity, and refuse removal as the main FBS that the municipality provides*. Whilst the CFO routed the question, Group B confirmed the FBS package as indicated in Groups A and C and during the one-on-one telephone interview with the councillor. The participants in Group C further indicated *free housing, though not directly provided by the municipality.*
	4. FBS delivery methods	The councillor hinted at *a prepaid meter from the Eskom* in terms of electricity. *Those indigents who exceeded the free basic mark as stipulated in the policy will have to buy coupons from Eskom* the

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		councillor stated. It was also indicated by the councillor that *water in all rural villages of the GTM is not metered, and therefore universally free. Households in those rural areas still use communal taps* and that there were *no house connections yet* at the time of the study. The councillor concluded by stating that *the municipality* was *just a Water Services Provider (WSP), whereas the District holds regulatory authority*, that is, the District was referred to as the Water Services Authority (WSA) at the time of the interview.
	5. Communicating	During telephonic interview, the councillor indicated that *indigents are communicated to through ward committees and ward community meetings with ward councillors and through individual letters to the identified indigents.* The response is also in line with the responses of all the focus

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		group discussions conducted, and the face-to-face interview with the CFO.
	6. Challenges	The political leadership (the councillor) hinted that *there were about 36 000 indigent households in the GTM at the time of the interview, and that they were not all covered due to funding constraints*, as also confirmed by management (the CFO).

4.3.2.5.1 Content

The researcher elicited further responses from the councillor in a one-on-one telephone interview. Predetermined questions on sources of funding, accessing the indigent populations in the GTM, the package of services offered to the GTM's indigent population, the method of delivering the FBS to the indigents, communicating the content of policy to the indigents, and challenges encountered were discussed with the respondent, i.e. the councillor.

4.3.2.5.1.1 Sources of funding

In terms of sources of funding as a means to deliver the policy conten**t**, in agreement with the CFO, the councillor also mentioned *National Treasury funding of the delivery of FBS through equitable share grants.* The GTM's Indigent Policy (2011:D286) also corroborates equitable share as a source of Funding for the Indigents. In most Integrated Development Plans (IDP's) of municipalities and Budgets, these types of grants are referred to as the Municipal Infrastructure Grants (MIG) and very recently, also as Water and Sanitation Infrastructure Grants (WSIG).

4.3.2.5.1.2 Accessing the indigent populations in the Greater Tzaneen Municipality

The second question on content sought to establish how the GTM do identifies and access its indigents **for the** delivery of the policy content. The councillor concurred with other participants and respondent, namely, the focus groups and the CFO by also indicating *identity documents and proof of income* as part of the criteria to identify the indigents in the GTM. Both samples of the Indigent Register and application forms reflected at the end of the study report as ANNEXUREs D and E respectively shows the importance of the identity documents as part of the critical criterion in identifying and accessing the indigent populations of the GTM. That is over and above the overall criteria as laid down in the GTM's Indigent Policy (2011:D281-D282).

4.3.2.5.1.3 Package of services offered to the indigents in the Greater Tzaneen Municipality

The councillor also mentioned *writing off the indigent debts, free basic electricity of about 50kw/h, free basic water of about 6kl, and 100% rebates on rates and taxes and refuse removal* as further articulated in the GTM's Indigent Policy (2011). As discussed in the previous paragraphs, the fundamental implementation question then remains, as to whether or not the GTM's indigent population do indeed get what is due to them in terms of the service packages as mentioned. Monitoring and evaluation functions are therefore critical in this regard. Researchers can obtain more information from Orago (2013) in advocating for indigents to engage in litigation to get their policy share from the policy content, as documented and supported by the supreme law of the country, in his context, the Kenyan Constitution (2010) and the South African Constitution (1996) in the context of GTM. This can give impetus to the implementation efficiency in the institution and possibly across the country, hence addressing the indigent problems and tackling the scourge of poverty. Fuo (2013), as cited in the introduction and background of this study, espouses the possible constitutional basis for the enforceability of 'executive' policies that give effect to SERs in South Africa, such as section 27(2), which states that the state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of each of the rights provided in sub-sections (1) (a), (b), and (c), since they are the enforceables of constitutional impositions or stipulations. To this effect, it is also incumbent upon the indigents to use their constitutional rights to access their FBS, which might accelerate implementation and alleviate their indigent status.

4.3.2.5.1.4 The method of delivering free basic services to the indigents

The measure (instrument) also investigated the method of delivering the FBS to the indigents**.** The councillor hinted at *a prepaid meter from the Eskom in terms of electricity*. *Those indigents who exceeded the free basic mark as stipulated in the policy will have to buy coupons from Eskom*, one councillor stated, and further claimed that *water in all rural villages of the GTM is not metered and therefore universally free. Households in those rural areas still use communal taps,* and there were *no house connections yet* at the time of the study. The councillor concluded by stating that *the municipality* was *just a WSP, whereas the District holds regulatory authority, that is, the District was referred to as the WSA at the time of the interview*. The GTM's Indigent Policy (2011) also corroborates the councillor's responses on the District as the WSA, stating that "The provision of water as a free basic service will be in accordance with the provisions of the Policy / By-Law passed / promulgated by Mopani District Council" (GTM, 2011:D283). The methods seem to point in the direction of the universal approach asserted by Arntz et al. (2003), as already discussed during the literature review and in other paragraphs of the study report. This also attests to the capacities of the municipality, both in terms of human and physical resources to deliver the policy content.

4.3.2.5.1.5 Communicating the policy content to the indigents

The measure further sought to establish how the GTM communicates the policy content to the indigents, since communication as the sixth C cuts across all variables without exception. Brynard (2005:21) states that "it could be argued that communication is an integral part of all the above-mentioned variables" (the 5C Protocol). During the telephonic interview, the councillor indicated that *indigents are communicated to through ward committees and ward community meetings with ward councillors and through individual letters to the identified indigents.* Whereas "[t]he onus to be registered as an indigent household lies with the individual consumer, [the] Council [of the GTM] has the responsibility to communicate the policy to the consumers" (GTM, 2011:D281).

4.3.2.5.1.6 Challenges encountered

Respondents were also questioned about challenges encountered by the municipality in delivering the content of the indigent policy to the indigent population of the community. The political leadership (the councillor) hinted that *there were about 36 000 indigent households in the GTM at the time of the interview, and that they were not all covered due to funding constraints, as indicated by management (the CFO).* StatsSA's (2017) non-financial census of municipalities for the year ended 30 June 2016 presents the national figures on the proportion of consumer units that benefited from the FBS policy. It shows that,

> *Of the 12, 8 million consumer units receiving water, 4, 7 million consumer units had access to free basic water. Out of 11, 2 million consumer units receiving electricity, about 2, 5 million received electricity as a free basic service from municipalities and service providers. About 3, 3 million consumer units received free basic sewerage and sanitation services compared with a total of 11, 2 million consumer units. Out of 9, 6 million consumer units receiving solid waste management, about 2, 8 million consumer units received free basic solid waste management.*

Of those national figures, Limpopo Province, compared to other Provinces, has recorded 29, 2 % proportion benefiting from free basic water; 12, 7% free basic electricity; 22, 5 % from free basic sewerage and sanitation; and 14% from free basic solid waste management services in 2016 respectively. Though not clear what the proportion percentage share are the 36 000 GTM's indigent population as indicated by the councillor during the telephonic interview accounts for the overall national and provincial figures per free basic service, the municipality seem to be making strides in the provision of FBS to the GTM's indigent population (Stats SA, Non-Financial census of municipalities, 2017:3-7). However, the GTM's IDP 2014/15 shows that 160 254 individuals and a 14 573 households in the GTM had no income at all in 2011 (GTM, 2014a:32). Users of the study may verify these figures at any given point in time to track and follow the story of the indigent populations of the GTM.

Table 4.28: Capacity – Telephone interview

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
TELEPHONE INTERVIEW	Capacity	
	7. Capacity challenges and strengths	The councillor indicated *challenges of funding the services on full coverage, rural water infrastructure– both for supply and cost recovery, and crime, like cable theft and vandalism.* There were no particular strengths of the institution indicated during the interview with the councillor.
	8. Minimum qualifications	The councillor referred the question to officials (staff) of the GTM.
	9. Specific skills required	Routed the question
	10. Institutional arrangements and monitoring	Routed the question to the management (the CFO) and the staff (indigent personnel), as responded to in focus group A and by the CFO.

4.3.2.5.2 Capacity

Regarding the capacity variable, the researcher investigated the GTM's capacity challenges and strengths, minimum qualifications, specific skills required, and institutional arrangements to further elicit the views and understanding of the councillor regarding the GTM's capacity to deliver indigent services to deserving households. Brynard (2005:19) explains capacity in terms of the availability of both tangible and intangible resources and enabling contextual (environmental) factors such as human, financial, material, technological, political, economic, cultural, social, administrative, leadership, motivation, commitment, willingness, guts, endurance, etc. to turn policy rhetoric into action to realise its objectives. Consult also Mothae (2008) for his elaborative work on state capacity.

4.3.2.5.2.1 Capacity challenges and strengths

The councillor, in responding to the question on capacity, indicated *challenges of funding the services on full coverage, rural water infrastructure both for supply and cost recovery, and crime like cable theft and vandalism.* There were no particular strengths of the institution indicated during the interview with the councillor.

4.3.2.5.2.2 Minimum qualifications

When asked about the minimum qualifications needed for staff or personnel to administer services to the indigents, the staff component of the focus group discussion indicated *a post-matric (Grade 12) qualification or training, particularly in the fields of finance, public relations, and communications*. The CFO indicated *matric [Grade 12] and relevant experience*. The councillor routed the question to officials.

4.3.2.5.2.3 Specific skills required

On specific skills required to deliver the services to the indigents without difficulties, the councillor and the CFO further routed the question to the indigent personnel (the staff component of the focus group A) who indicated *finance, public relations, customer service, community development, and computer skills* as the most relevant skills required.

4.3.2.5.2.4 Institutional arrangements and monitoring systems

In terms of institutional arrangements and monitoring systems in the delivery of the indigent services in the GTM, the politician (the councillor) routed the question to the management (the CFO) and the staff (indigent personnel), as responded to in focus group A and by the CFO.

Table 4.29: Commitment – Telephone interview

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
TELEPHONE INTERVIEW	Commitment	
	11. Overall commitment	All the heterogeneous groups of participants in three categories of focus group discussions and the two interviewed respondents, namely, the CFO and the councillor indicated *some significant levels of commitment from both the administrative and political leadership to deliver the indigent services to all those who qualify*. The CFO said that *a number of 32 000 out of 37 000 identified indigents are covered, and that all identified indigents are provided with the indigent services*. The councillor corroborated this in the telephonic interview, stating that *a number of*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		households (36000) are benefiting already. However, the staff component of the focus group discussion lobbied for *the need to further strengthen the initiative through overtime plans supported with budget[s] for community participation, since the community meetings are mainly held over weekends for improved attendance by community members.*
	12. Commitment from both political and administrative leadership	The councillor routed the question, probably in a sense of an African proverb that states *'moreku ga o itekole'*.
	13. Challenges on total coverage	The councillor further routed the question

4.3.2.5.3 Commitment

As explained already, the implementer's commitment is viewed as being shaped by the policy content and the implementer's capacity, whilst Warwick cited in Brynard (2005:18) indicates the implementer's will and ability as the driving force behind commitment. It is strongly argued that commitment creates squabbles between the bottom-up and top-down implementation scholars in that both consider each other to be unwilling or obstructive, or an obtrusive force against implementation (Brynard. 2005:18). The condition to the variable of commitment in the Protocol is that it must be present at all levels of the policy implementation regime, and that it acts as a catalyst to all the other four critical variables, as well as the sixth C, which is communication in the implementation challenge (Brynard, 2005:18-19). Commitment was probed in terms of the GTM administration's overall commitment, commitment from the GTM's administrative and political leadership, and the commitment challenges that might prevent total coverage of the GTM's indigent populations.

4.3.2.5.3.1 Overall commitment

Overall commitment from the GTM administration on the delivery of the indigent policy package to the populations within the municipality was also probed. All the heterogeneous groups of participants in the three categories of focus group discussions and the two interviewed respondents, namely, the CFO and the councillor, indicated *some significant levels of commitment from both the administrative and political leadership to deliver the indigent services to all those who qualify*. The CFO said that, *a number of 32 000 out of 37 000 identified indigents are covered and that all identified indigents are provided with the indigent services*. The councillor corroborated this information in the telephonic interview, stating that *a number of households (36000) are benefiting already from the programme at that time*. However, the staff component of the focus group discussion lobbied for *the need to further strengthen the initiative through overtime plans supported with budget for community participation since the community meetings are mainly held over weekends for improved attendance by community members.*

4.3.2.5.3.2 Commitment from both the political and administrative leadership

Further observations from respondents as to the commitment from both the political and administrative leadership on the delivery of the policy content were also solicited. The staff component of the focus group discussions reflected that *politicians always avail themselves to community meetings, whereas administrators, that is, management, showed reluctance to attend weekend meetings for community/public participation.* The councillor routed the question, probably in the sense of an African proverb that says, *'moreku ga o itekole',* whilst the CFO reported that the *Council showed commitment by approving lists of identified indigents to be on* *the Indigent Register*. The development of the GTM's Indigent Policy (2011) and its approval by the Council of the GTM on its own demonstrates their overall commitment and the commitment by the GTM's administrative and political leadership to deliver the indigent services to the deserving populations of the community.

4.3.2.5.3.3 Challenges that might prevent total coverage of all the indigents

Here the instrument (measure) sought to establish whether or not there are challenges that might prevent total coverage of all the GTM's indigent population. The councillor further routed the question. The CFO reported that *some indigents might not attend public participation meetings due to various reasons, including communication and other personal reasons,* whereas the indigent staff component of the focus group discussions indicated *budgetary constraints and perhaps lack of commitment from the management side to fund public participation meetings as already indicated.*

Table 4.30: Clients and Coalitions – Telephone interview

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
TELEPHONE INTERVIEW	Clients and Coalitions	
	14. Key actors	The councillor indicated *child-headed households, the elderly, and the disabled as the main beneficiaries; National Treasury with the disbursement of equitable share funding; Social Development; Eskom with electricity supply; District municipality as the WSA for water regulation and bulk supply; as well as the Provincial Department for Cooperative Governance,*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		Housing Settlements, and Traditional Affairs (CogHSTA).
	15. Critical stakeholders	The councillor routed the question on the shortlist.
	16. Stakeholder cataloguing	Routed the question.

4.3.2.5.4 Clients and Coalitions

As described in the literature review, clients and coalitions are also referred to as actors, interest or lobby groups (Brynard, 2005:20-21). Truman (1951:vii) also describes 'pressure groups', or what he prefers to call interest groups. Yackee (2005:103) also refers to clients and coalitions in her abstract. These are forces that are found to largely determine the implementation success or failure of programmes, projects, and policies, depending to a greater extent on the interest or share they might have in the content of such programmes, projects, and policies. This is further affirmed by Carter's (2016) recent discoveries on "timescapes" and "governmentality", which shows the power of forces at work during project, programme, or policy implementation process. They refer to the clients and coalitions that the GTM must take on board and manage for optimum policy results.

4.3.2.5.4.1 Key actors (stakeholders)

The measure at this stage was intended to identify the key actors or rather stakeholders involved in the delivery of the policy content to the indigent populations of the GTM. The councillor indicated *child-headed households, the elderly, and the disabled as the main beneficiaries. National Treasury* attend to the *disbursement of equitable share funding, Social Development, Eskom with electricity supply, the district municipality as the WSA for water regulation and bulk supply, as well as the Provincial Department for* CoGHSTA. The GTM's Indigent Policy (2011) also comprehensively mentions the stakeholders involved in the delivery of the Indigent Policy in the GTM.

4.3.2.5.4.2 Critical actors

When asked to shortlist the stakeholders or critical actors without which the implementation of the indigent policy would fail, the CFO shortlisted *Eskom as the electricity supplier, Mopani District Municipality as the WSA, and the National Treasury as the funding entity*. The staff component in the focus group discussions in addition to what the CFO shortlisted, mentioned *ward committees and the CDWs* for the collection of data on indigents, and *the National Ministry of Forestry and Water Affairs for national oversight*. The councillor routed the question on the shortlist.

4.3.2.5.4.3 Stakeholder cataloguing

On stakeholder cataloguing the councillor routed the question too. Both the staff component of the focus group discussions and the CFO indicated that *though there is no deliberate cataloguing of actors, the stakeholders are well identifiable*. That is also evident in the GTM's IDP 2014/15 within internal and external public participation institutional arrangements, and within the Indigent Policy itself (GTM, 2011; 2014a:12-13; 18). However, stakeholder cataloguing is strongly recommended in the Protocol in order to avoid the large number of interested parties who might be directly or indirectly affected in the matter, and who also, in over sufficiently large numbers might disrupt the efficient and timeous delivery of services to the beneficiaries (Brynard, 2005: 20-21).

Table 4.31: Communication – Telephone interview

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
TELEPHONE INTERVIEW	Communication	
	17. Communication strategies	The councillor left the question of communication strategies to staff members and the

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		management to respond to.
	18. Communication challenges	Both the councillor and the CFO routed the question on communication challenges.
	19. Solutions to offset communication challenges	The councillor further referred the question to the staff and management. From the responses as indicated, the councillor referred all communication questions to the indigent staff and the management of the GTM.

4.3.2.5.5 Communication

In the communication variable, the study interrogated communication strategies, challenges, and remedies to offset challenges. Just to recap the description of the variable, communication is incorporated as the sixth C of the Protocol in the sense that it is key in each and every implementation step for participants and key actors to advocate and make the services available and accessible (Brynard, 2005:21).

4.3.2.5.5.1 Communication strategies

The councillor left the question of communication strategies to staff members and the management to respond to. The indigent services' staff that participated in the focus group discussion and the CFO listed the following as communication methods or strategies:

- official circulars and memoranda including MOU between individual consumers and the municipal administration;

- public participation that involves isimbizos (makgotla), community meetings with ward committees and councillors, as well as traditional leaders (matona le magoshi) (see the public participation sample program as ANNEXURE E at the end of the study report); and
- loud hailing, print and electronic media, and telecommunications, that is through post and smses.

It is evident therefore, that communication cuts across all the variables of the Protocol in communicating the delivery of the indigent policy content to the GTM's indigent population.

4.3.2.5.5.2 Communication challenges

Both the councillor and the CFO routed the question on communication challenges. The indigent staff indicated *experiences of poor [turnout] to meetings during public participation outreach* programmes. Reasons for such experiences were attributed to *poor communication that sometimes does not reach [the] actors.*

4.3.2.5.5.3 Solutions to offset communication challenges

The councillor further referred the question to the staff and the management.

Table 4.32: Context – Telephone interview

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
TELEPHONE INTERVIEW	Context	
	20. Contextual factors	• **Social and cultural contexts** It was indicated that *the population mix comprises the Pedi, Tsonga, Afrikaans, English, Indian, and Coloured people who make the community of the GTM multi-cultural, and therefore*

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		multilingual too. The councillor also said that *almost 95% of the population is indigent.* The councillor added, as a threat perhaps, that *whilst identifiable as part of the potential indigent population of the GTM, farm dwellers are not easily accessible.*
		• **Economic context** The councillor agreed with the focus group discussions and also elevated the *vegetation factor* and added that *Tzaneen is rich in agricultural products.*
		• **Political context** The councillor raised *the need for co-operation with the opposition to deliver the indigent services to the population of the GTM*.
		• **Legal context** The councillor also highlighted *very less litigation threats to almost none.*
		• **Technological context** The councillor agreed with the

Data Collection Methods (respondents/participants)	Themes and Sub-themes	Responses
		indigent staff in Group A by indicating *the need to strengthen the IT systems for indigent accounts' management, water infrastructure, especially in rural areas where no billing systems exist.*
	21. Suggestions to improve management of contextual factors	The councillor highlighted *the need for total coverage of all identifiable indigents, as almost only half were covered.* Furthermore, the mentioned *the need for capacity on the IT systems [technological context] to be able to quantify the services, especially water services universally supplied, to rural communities in particular.*

4.3.2.5.6 Context

As described already, Brynard (2005:17-18) cited the works of implementation scholars such as Barman (1980), O'Toole, (1986) and Warwick (1982) to caution against a "context-free" implementation and singled out contextual factors such as social**,** economic, political, and legal factors as the ones more concerned with implementation processes. This study has also added the technological factor as one of the strongest emergent factors in organisational operations. The capacity variable of the Protocol also recognises the capacity institutions require to manage the environmental contextual factors at play.

4.3.2.5.6.1 Contextual factors that impact on the implementation of the indigent policy

The above contextual factors were further discussed with the councillor during the telephone interview and the responses are reported in the following bulleted sections.

- **Social and cultural contexts**

Whilst the CFO routed all of the context questions in the measure, both the councillor and the indigent staff component in the focus group discussions indicated the socio-cultural mix of the GTM population as reflected in the GTM's IDP 2014/15 as well (GTM, 2014a). It was indicated that *the population mix comprises the Pedi, Tsonga, Afrikaans, English, Indian, and Coloured people who make the community of the GTM multi-cultural and therefore multilingual too*. The councillor also said that almost *95% of the population is indigent.* That can also be verifiable with the GTM's institutional monitoring mechanisms by any interested party, and the statistics authorities, such as StatsSA. The indigent staff also mentioned the *age mix factor on the indigents*. The discussion indicated that *both young and elderly indigents are serviced*. For example, *child-headed families were mentioned, as were old age pensioners in the main.* The councillor also stated, as a threat perhaps, that *whilst identifiable as part of the potential indigent population of the GTM, farm dwellers are not easily accessible.* The age mix and multicultural nature of the GTM community is further supported by the respondents' and participants' biographical information. This is presented in Section (1) of the data collection instrument in the study. See the data collection instrument (questionnaire) as ANNEXURE B at the end of the study report.

- **Economic context**

The focus group discussions mentioned *the vegetation of Tzaneen as a competitive advantage and the small area of land as a disadvantage*. The GTM's IDP 2014/15 indicates a land area of about 3240km² (GTM, 2014a:19). The municipality also proclaims it "has a lot of vacant land that could be used for development" (GTM, 2014a:42). That statement must attract investors to the area too. *Water scarcity was also mentioned as a threat* in the discussion at the time of the survey, albeit there is a big river flowing across Tzaneen. The councillor agreed with the focus group discussions, and also elevated the *vegetation factor* mentioned in focus group discussions, stating that *Tzaneen is rich in agricultural products.* The GTM's vegetation strength is briefly described in the IDP (GTM, 2014a:19-20). It is stated that the farming activities amid the rich vegetation includes among others, timber, various crops, and tropical and citrus fruit production. Furthermore, in the IDP, the GTM commends private investment in the big shopping malls in the area (GTM, 2014a:43). The attention of investors also needs to be channelled into the area's vegetation potential to create more local beneficiation on agriculture and agro-processing, and local supply into large retailers in the shopping malls, towns, townships, and villages around the GTM. These initiatives, if well harnessed, may create more jobs and business opportunities for some of the GTM's indigent population, hence alleviating their social status and moving them out of permanent indigent status into self-sustainable and independent livelihoods. In this regard, the economic context of the context variables of the Protocol are therefore critical to explore when implementing the GTM's Indigent Policy, and also in any other community.

- **Political context**

In terms of the political context the councillor raised *the need for cooperation with the opposition to deliver the indigent services to the population of the GTM*. The focus group discussion, like the CFO, relegated the response to the councillor. It is worth noting the power of politics and politicians in general in the processes of policy-making, and particularly in policy implementation. As Seasons (2003) suggests, politicians constitute a significant amount of pressure in policy discourse and their interaction with other actors (clients and coalitions) has that strength to derail or hold implementation ransom. The fact of the matter is that politicians are at the helm of the policy decision-making hierarchy. They occupy and control municipal councils, provincial and national legislatures, and the executive committees where policy is discussed constantly before its content is delivered to the beneficiaries, the indigents in this instance. The councillor presumably recognised the importance of cooperation of all political actors in order to maximise policy objectives profitability.

- **Legal context**

Both the councillor and the indigent staff in Focus Group A indicated that there *are legal services within the institutional arrangements of the GTM to deal with legal challenges in the event they might occur or present themselves*. The focus group further indicated that *some indigents threaten litigation at times*. The councillor also highlights fewer *litigation threats to almost none* at the time of the survey. The GTM's Indigent Policy (2011:D282) also provides for the possibility of legal steps against fraudulent applications for indigent status, and this suggests some levels of possible legal confrontation with the indigents. Furthermore, Fuo (2013; 2014) and Orago (2013) provide a broad legal and theoretical framework for dealing with indigent policy implementation for results optimisation. It is therefore important for the GTM, and any other public entity for that matter, to explore the legal context of the Protocol in its dealings with the indigents and indigent policy implementation process.

- **Technological context**

During focus group discussions, the indigent staff highlighted *the need for more technological capacity-building based on some bench marking observation undertaken by the GTM*. The councillor affirmed this request by indicating *the need to strengthen the IT systems for indigent accounts' management, water infrastructure, especially in rural areas where no billing system exists*, hence using the universal approach rather than the targeted approach in delivering the services to the indigent populations of the GTM.

4.3.2.5.6.2 Suggestions of other methods to improve the management of contextual factors

The focus group discussion indicated *satisfaction to their responses on the contextual factors as discussed*, whereas the councillor highlighted *the need for total coverage of all identifiable indigents, as almost only half were covered at the time of the survey*. StatsSA should be able to assist the municipality with ward-based profiling for purposes of possible total coverage to all indigent populations in the GTM in particular and in the Republic of South Africa in general. The councillor further indicated *the need for capacity on the IT systems [technological context] to be able to quantify the services, especially water services universally supplied to rural communities* *in particular***.** In its 2014/15 IDP the GTM states that the geographical area of the municipality is composed of “34 wards and there are 125 rural villages [and that a]lmost 80% of households reside in these rural villages” (GTM, 2014a:19). This has huge resource implications in terms of capacity-building to identify and measure services to such a significant portion of the GTM population. This phenomenon might be a similar problem in most South African rural areas, as already suggested by Arntz et al. (2003).

4.4 DATA ANALYSIS AND INTERPRETATION

This paragraph presents ethical considerations related to data analysis, interpretation of data from both sections 1 and 2 of the data collection instrument as presented and discussed above, and the study’s findings.

4.4.1 Ethical considerations

“In most dictionaries and in common usage, ethics is typically associated with morality and both words concern matters of right and wrong” (Babbie, 2013:32). Ethical considerations in research arise from quite a number of sources. Some issues emanate from research practices, such as matters of plagiarism and honesty in the reporting of results (Welman et al., 2005:181). Additionally, the involvement of humans and animals in research adds further dimensions to the researcher’s responsibilities occasioned by such involvement. The confidentiality and privacy of the information obtained from participants, their informed consent, protecting them from harm, and the researcher’s involvement or influence on the participants’ views and experiences must be considered in a manner that is ethical to research practice and ethics (Welman et al., 2005:201). And these ethical considerations were upheld in the study. Babbie (2013:30-31) extensively discusses ethical issues, controversies, and politics in social research, emphasising that the subject is significantly sensitive and debatable in many respects. Therefore, the study has carefully navigated ethical considerations throughout the research. Participants and respondents participated voluntarily. The researcher hereby reports with confidence of complete adherence to ethical issues. None of the participants or respondents was coerced into participation and no real names were used during the entire course of the study in order to maintain anonymity. Permission to conduct the study was also sought from the GTM’s administration. See the annexed permission letter at the end of the study report as ANNEXURE A. Therefore the respondents' human rights and the institution's rights to protect the integrity of classified information were respected. The analysis of data collected was also done using the appropriate methods to ensure adherence to research ethics as well.

4.4.2 Respondents' biographical information

Table 4.1 shows that the majority of participants (13) had only Grade 12 as their highest qualification, and in that number, councillors were in the majority (5). Of all the other participants and respondents, two have post-graduate degrees, one was an undergraduate, and the rest (4) had diplomas. Furthermore, based on Figure 4.1 and Table 4.2, this study shows that gender included male and female respondents. However, there were 12 males (60%) and eight females (40%). In terms of language, the majority of respondents were Pedi-speaking people (60%) followed by Tsonga (30%), while Venda and Afrikaans-speaking respondents represented 5% respectively. The majority of respondents were aged between 46 and 50 years (7), representing 35%), and the lowest percentage (10%) were aged between 36 and 40, and those below 30 years represented 10% of participants, i.e. two participants. Results also show that more than half (65%) of respondents had Grade 12 as their highest qualification while only one respondent (5%) each had a bachelor degree, a bachelor degree (honours), and a master's degree. It is also recorded that the majority of respondents were councillors (35%), whereas others share other positions or roles. These demographics portrays a multicultural community in terms of the socio-cultural factor in the context variable of the Protocol. The education demographic of participants also raises the important factor regarding the levels of education in the community of the GTM, which might be associated with the indigent who are in the majority in the community. The age demographic also reflects a dominance of the middle age population in the affairs of the GTM then.

4.4.3 The responses on open-ended questions

From Tables 4.3 to 4.32, as well as the analysis, discussion, and interpretation of the data made, the study shows the following broad observations on implementing the GTM's Indigent Policy using the 5C Protocol, plus the sixth C.

The policy content was found to be well designed, and in line with the redistributive definition of the policy content, the means, and the objectives (the ends), as espoused by Brynard (2005) in the Protocol. The GTM is also found to be concerned about the universal approach to service delivery, due to lack of billing systems, which considers the capacity mentioned in the Protocol. The monitoring and institutional mechanisms or rather arrangements that measure capacity as well, were also found to be fairly in place. Commitment from management and/or leadership, although present, was found to be inadequate, as reflected in the focus group discussions, particularly from the indigent staff component of the focus groups. Stakeholders were also found to be well engaged overall, although there is still room for improvement through stakeholder cataloguing during policy implementation processes as discussed. At times, communication does not reach all the indigents and key stakeholders or actors. Contextual factors were fairly engaged, although the GTM needs to further tap into the variables to optimise policy outcomes.

4.4.4 Findings

From the study, it could be fairly concluded that implementing the GTM's Indigent Policy using the 5C Protocol has established that:

- all of the Protocol variables in the 5C Protocol are present, deliberate, or inadvertently incorporated into the indigent policy implementation process in the GTM;
- most participants were males;
- most participants had Grade 12 as their highest qualification;
- fewer participants or respondents had diplomas as their highest qualification;
- fewer participants or respondents had post-graduate qualifications;
- few participants had an undergraduate degree;
- overall, the GTM uses the universal approach to deliver the FBS;
- there is no capacity to measure the delivery of FBS, particularly water and sanitation in rural areas;
- respondents and participants indicated some weaknesses in their communication with the indigents;
- there is no deliberate stakeholder cataloguing;

- there is an overall commitment from the part of both the administrative and political leadership to deliver the indigent FBS to the populations of the GTM;
- the policy content is well designed and packaged in the indigent policy document;
- the total coverage of all the indigents is still found to be a challenge;
- indigents indicated dissatisfaction with the volume of free services package;
- some respondents indicated fears of infrastructure vandalism and theft, particularly cable theft; and
- the context variable of the Protocol was routed the most during the study

4.5 CONCLUSION

Chapter Four of the study mainly presented the data and data analysis, data interpretation, and the study's findings. Data from respondents and participants in the three focus groups and two interview surveys was presented, discussed, analysed, and interpreted manually and with the aid of computer software programmes for analysing data where necessary. The interpretation and analysis of data was guided by the study's aim, objectives, and questions, using the thematic approach that used descriptive, interpretative, and pattern data coding, as well as the researcher's reflexive remarks.

CHAPTER FIVE

SUMMARY, RECOMMENDATIONS, AND CONCLUSION

5.1 INTRODUCTION

It is customary to report the conclusions of the research in relation to the research questions posed, and specifically in relation to the problem statement, and thereafter to indicate the limitations of the research, limiting the generalisability of the research findings. This applies mainly in quantitative research. Researching is often only conducted in one province of a country and therefore it is not necessarily possible to generalise the findings to the entire country. The recommendations should then include that future studies should be conducted in different provinces, that problems encountered could be overcome in specific ways, or that the research populations for future research should be defined differently. Therefore, this chapter presents the abovementioned aspects of the research report.

5.2 RESEARCH DESIGN AND METHOD

The study followed a qualitative paradigm. Respondents and participants were selected using purposive sampling. Three heterogeneous focus groups and two one-to-one interview surveys were used. The surveys were conducted with the GTM's director, the CFO, in a face-to-face interview, and with one portfolio councillor for social services in a telephone interviews. The three heterogeneous focus groups comprised the indigent staff, the WCMs, the CDWs, the indigent beneficiaries, community members, and ward councillors.

5.3 SUMMARY AND INTERPRETATION OF THE RESEARCH FINDINGS

This paragraph looks into the research problem, research questions, and interpretation of responses to research questions.

5.3.1 The research problem

Recapping from the problem statement, according to Welman et al. (2005:14) "a research problem refers to some difficulty that the researcher experiences in the context of either a theoretical or practical situation and to which he or she wants to obtain a solution". Mothae, (2008:245) asserts that public policy implementation has been and remains challenging. Without overemphasising Mothae's (2008:245) assertion, Arntz et al.'s (2003:108-109) study on implementing indigent policies found that most municipalities prefer a universal approach rather than a targeted approach in their implementation of the indigent policy. The study postulates that the preferred universal approach might be disadvantaging the deserving populations and therefore also straining the municipalities' resources that could have been channelled to other services needed by the community, such as better sanitation and improved and wider access to clean water. It further has the potential to reduce the municipality's resource capacity to increase the quantities and quality of services to the indigents. This may also lead to inadequate services to the indigents, hence compromising the goal of a social wage, and the establishment of a social protection floor (NDP, 2011:342). Thus, it was important to undertake this study on the GTM's public policy implementation. Based on the literature review and synthesis thereof, the study used the 5C Protocol plus the sixth C to investigate implementing the GTM's Indigent Policy.

5.3.2 Research questions

Following the problem statement, the following research questions were asked in order to investigate the implementation of the GTM's Indigent Policy using the 5C Protocol plus the sixth C:

a) What does the content of the GTM's Indigent Policy offer to the indigents living in the GTM and what environmental issues influence its content?
b) What resource capacities and commitment from staff and the leadership exist in the GTM to deliver the Indigent Policy's content to its citizens?
c) How does the GTM communicate its indigent policy objectives and content to its clients and coalitions (stakeholders and interest groups)?

5.3.3 Interpretation of responses to the research questions

The researcher further interpreted the research questions according to the participants and respondents' biographical data and their responses as presented in Tables 4.1 to 4.32 and Figure 4.1 as follow:

- What does the content of the GTM's Indigent Policy offer to the GTM's indigent population and what environmental issues influence the content?

On the first research question as reported above, the researcher probed further into the sources of funding as a means of delivering the policy content to the indigents, how the indigent populations of the GTM are identified and accessed, what package of services is delivered to the indigents, and the method of delivering the indigents package, communicating the policy to the indigents, and challenges encountered with regard to the policy content. Respondents and participants indicated the following responses with regard to policy content and the contextual environmental factors:

5.3.3.1 Policy content

Tables 4.3, 4.9, 4.15, 4.21, and 4.27 reflect the respondents and participants' exact responses to all the content variable questions, with a few reflective notes from the researcher. The researcher discusses and interprets the responses in the following paragraphs.

5.3.3.1.1 Sources of funding

In terms of sources of funding as a means to deliver the policy content, the focus groups A and C indicated that the funds come from National Treasury as equitable shares allocated annually through the DoRA. Group B routed the question, considering it to be out of their competency range, as they were not equipped to answer on the GTM's budgetary matters. Whilst the indigent policies may be seen as redistributive, policy content can be viewed as a negotiator between the ends (policy objectives) and the means (actions and resources) towards delivery of policy packages (Brynard, 2005:17). Resource allocation as part of the means to achieving the objectives of the GTM's Indigent Policy is also seen as critical, hence the allocation through equitable shares. The other respondents, namely, the CFO and the councillor, also mentioned the same source, that is, equitable shares, however they both added locally generated funds as an additional means of funding the implementation of the indigent policy in the locality. This can be seen as more effort on the part of the GTM to extend coverage to all the indigents of the community of Greater Tzaneen. It also reflects well on leadership commitment to deliver the policy content to the citizens of the municipality.

5.3.3.1.2 Accessing the indigent populations in the Greater Tzaneen Municipality

The second question on content sought to establish how the GTM accesses its indigent populations in order to deliver the policy content. The focus group discussion, Group A, identified ways ranging from ward-based meetings with ward councillors, WCMs, and community members, to application forms distributed to capture the indigents' details. The sample of the application form is annexed to the end of this report as ANNEXURE D. Identified and captured applicants were then screened through ICT system outsourced to credit agencies to verify the indigent status of the applicants. Once verified through the outsourced ICT systems, the indigents were registered in the GTM's Indigent Register. The GTM's Indigent register is also sampled and annexed to the end of this report as ANNEXURE C. Groups B and C indicated almost similar ways for identifying and accessing the GTM's indigent population. The councillor mentioned a threshold of a combined household income of R3 000 and below as one of the identification criteria to qualify as indigent in the GTM. This criterion is commensurate with the poverty line as determined by StatsSA (StatsSA, 2016). The councillor further said in a telephonic interview that the final list of identified indigents is further ratified by the GTM before each indigent is registered. In her face-to-face interview with the researcher, the section 57 manager, the CFO, also concurred with the above, but additionally specifically mentioned identity documents and proof of income as part of the GTM's criteria to identify the indigents in the GTM.

5.3.3.1.3 Package of services offered to the indigents of the Greater Tzaneen Municipality

The respondents mentioned writing off the indigents' debts, free basic electricity of about 50kw/h, free basic water of about 6kl, and 100% rebates on rates and taxes and refuse removal. The fundamental implementation question then arises as to whether or not the GTM's indigent population do indeed get what is due to them in terms of the service packages as mentioned. This remains largely an M&E function and how the GTM's indigent population react to the situation in the event of non-delivery of their planned and policy documented FBS. In the literature reviewed, Orago (2013) advocates for litigation by the indigents to obtain their policy share from the policy content, as documented and supported by the supreme law of the country, in his context, the Kenyan Constitution (2010), and the South African Constitution (1996) in the context of GTM. This can give impetus to the implementation efficiency in the institution, and possibly across the country, hence addressing the indigent problems and tackling the scourge of poverty. Fuo (2013) also, as cited in the introduction and background of this study, espouses the possible constitutional basis for the enforceability of 'executive' policies that give effect to SERs in South Africa, such as section 27(2), which states that the state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of each of the rights provided in sub-section (1) (a), (b), and (c), since they are the enforceables of constitutional impositions or stipulations. Thus, it is also incumbent upon the indigents to use their constitutional rights to access their FBS that might accelerate implementation and alleviate their indigent status as well.

5.3.3.1.4 The method of delivering free basic services to the indigents

The measure (instrument) also investigated the method of delivering the FBS to the indigents. The CFO routed the question to other respondents and participants. The focus group, Group A, indicated that the services, particularly water and electricity, are delivered through outsourced metered billing systems. The councillor elaborated further, stating that this entailed a prepaid meter from the Eskom in terms of electricity. "Those indigents who exceeded the free basic mark as stipulated in the policy will have to buy coupons from Eskom", the councillor stated. The councillor also stated that water in all rural villages in the GTM is not metered, and therefore universally free. Households in those rural areas still use communal taps and there were no house connections yet at the time of the interview. The councillor concluded by stating that the municipality was just a WSP, whereas the District authority holds regulatory authority, that is, the District was referred to as the WSA at the time of the interview. The indigents and the community members in Group B and ward councillors in Group C also confirmed the responses from the Social Services Portfolio Councillor. This attests to the capacities of the municipality both in terms of human and physical systems to deliver the policy content.

5.3.3.1.5 Communicating the policy content to the indigents

The measure further sought to establish how the GTM communicates the policy content to the indigents, since communication as the sixth C cuts across all variables without exception. Brynard (2005:21) states, “it could be argued that communication is an integral part of all the above-mentioned variables” (the 5C Protocol). During a telephonic interview, the councillor indicated that indigents are communicated to through ward committees and ward community meetings with ward councillors, and through individual letters to the identified indigents. The CFO stated that this occurred during public participation in her face-to-face interview. The focus groups also concurred and further mentioned that communication was also facilitated through post and smses, as well as through print and electronic media. See also the sample of the public participation programme towards the end of the study report, marked as ANNEXURE E.

5.3.3.1.6 Challenges encountered

Respondents and participants were also asked about challenges encountered by the municipality in delivering the indigent policy content to the indigent population of the community. The focus group discussions indicated indigent debts accumulating from exceeding the FBS mark or level, the tariff hikes whilst service volume remains constant, for example, when electricity tariffs increases, the 50kw/h remains the same, and lastly, the illegal connections. The CFO reflected budget constraints at times, human resources (only two staff members are assigned the role to administer the indigent services), and no metering of water in rural areas. These challenges as raised by the management (CFO) also interrelate with the capacity variable of the Protocol (the 5C plus the sixth). The political leadership hinted that there were about 36 000 indigent households in the GTM at the time of the interview, and that they were not all covered, due to funding constraints, as also indicated by management. The councillors agreed to the challenge of illegal connections and also raised the issues of cable theft and infrastructure vandalism.

5.3.3.2. Context

In terms of the policy context, the socio-cultural, the economic, political, legal, and technological environmental factors were interrogated. Tables 4.8, 4.14, 4.20, 4.26, and 4.32 reflect the exact responses of participants and respondents on all the context variable questions, with some reflective notes by the researcher. The researcher discussed and interpreted the responses in the following paragraphs.

5.3.3.2.1 Contextual factors that impact on the implementation of the indigent policy

- Social and cultural contexts

The CFO routed all context questions in the measure. Councillors in group C agreed with group A and B, and the portfolio councillor interviewed in a one-on-one telephone interview in the main, by mentioning a population mix of the Tsonga, Afrikaners, Pedi, Indian, and Coloured.

- Economic context

The participants and respondents generally agreed on the richness of the GTM in terms of vegetation and agricultural products. Group B emphasised the citrus fruits whereas groups A and C discussed Tzaneen’s vegetation as a competitive advantage, and mentioned the small area of land as a disadvantage. Water scarcity was also mentioned as a threat in the discussion at the time of the survey. The councillor also elevated the vegetation factor mentioned in focus group discussions, stating that Tzaneen is rich in agricultural products.

- Political context

In terms of the political context, the councillors indicated the need for cooperation with the opposition to deliver the indigent services to the GTM’s indigent population. The focus group discussions, like the CFO, relegated the response to the councillors.

- Legal context

Both the councillors and the focus group discussions indicated that there were legal services within the institutional arrangements of the GTM to deal with legal challenges in the event that they might occur or present themselves. The councillors demonstrated a better grasp of legal matters in the GTM. The focus group discussion, Group A, further indicated that some indigents do threaten litigation at times. The councillor also highlighted significantly fewer litigation threats, amounting to almost none, during telephone interview.

- Technological context

Group A highlighted the need for more technological capacity-building based on some bench-marking observations undertaken by the GTM. All the councillors affirmed the response by indicating the need to strengthen the IT systems for indigent accounts' management and water infrastructure, especially in rural areas where no billing system exists, hence using the universal approach rather than the targeted approach in delivering the services to the indigent populations of the GTM. Community members and the indigents in Group B also indicated receiving smses on their cell phones regarding their indigent status and municipal accounts which, shows the municipality is utilising current technologies in communicating with clients.

5.3.3.2.2 Suggestions on methods to improve management of contextual factors

The focus group discussion, Group A, indicated satisfaction with their responses on the contextual factors as discussed at the time of the survey, whereas the councillor highlighted the need for total coverage of all identifiable indigents, as less than half were covered at the time of the survey. Group B wished that the sms transmission of municipal services and accounts to their cell phones could be sustained. All the councillors concurred with the need for capacity in the IT systems in order to quantify the services, especially water services, universally supplied to rural communities in particular.

- What resource capacities and commitment from staff and the leadership are there in the GTM to deliver the indigent policy content to their citizens?

The second research question as stated above was based on the capacities and commitment from the leadership of the GTM to deliver the services to the GTM's indigent population. The question covered essential matters such as capacity challenges, minimum qualifications, specific skills, and institutional arrangements and monitoring for capacity responses. Commitment reflected, among others, on matters such as overall commitment, commitment from both the political and administrative leadership, and challenges that might prevent total coverage of all the indigents.

5.3.3.3 Capacity

The capacity question engaged on capacity challenges, minimum qualifications, specific skills required, and institutional arrangements**.** Tables 4.4, 4.10, 4.16, 4.22, and 4.28 reflect the exact responses of participants and respondents on all the capacity variable questions, with some reflective notes from the researcher. The researcher discusses and interprets the responses in the following paragraphs.

5.3.3.3.1 Capacity challenges and strengths

The councillor, in responding to the question of capacity, indicated challenges of funding the services in terms of full coverage, rural water infrastructure both for supply and cost recovery, and crimes like cable theft and vandalism. The CFO highlighted similar challenges and emphasised staff shortages. On the other hand, the focus group discussion, Group A, also mentioned organisational structure not being aligned to the service, inadequate field workers for indigent identification, funding being insufficient for complete coverage of all indigents, and the ICT systems used for service delivery still requiring improvement from benchmarking with other municipalities. The indigents, the community members, and the councillors in Groups B and C referred the question to the GTM's internal staff.

5.3.3.3.2 Minimum qualifications

When asked about the minimum qualifications needed for staff or personnel to administer the indigents, Group A indicated a post matric (Grade 12) qualification or training, particularly in the fields of finance, public relations, and communications. The CFO indicated matric (Grade 12) and relevant experience. All councillors and Group B participants routed the question to officials.

5.3.3.3.3 Specific skills required

In terms of specific skills required to deliver the services to the indigents without difficulty, all councillors, the CFO, and Group B routed the question to the indigent personnel, while the focus Group A indicated finance, public relations, customer service, community development, and computer skills as the most relevant skills required.

5.3.3.3.4 Institutional arrangements and monitoring systems

In terms of institutional arrangements and monitoring systems in the delivery of the indigent services in the GTM, all the politicians (the councillors) routed the question to the management (the CFO) and the staff (indigent personnel and focus group A). Group B also routed the question. Both the CFO and the focus Group A discussion presented the institutional arrangements for the delivery of the indigent services, which depicted reporting lines indicating information flow and feedback from level to level in the form of a network diagram depicted in Figures 4.2a and 4.2b respectively. On monitoring, the focus group discussion presented mechanisms, such as yearly status reviews or renewal, yearly policy reviews, monthly reports from ward committees and other reports from traditional authorities and CDWs. The CFO also indicated annual reviews and links to credit bureaus.

5.3.3.4 Commitment

The commitment variable of the Protocol questioned overall commitment, commitment from both political and administrative leadership, and challenges that might prevent total coverage of all the GTM’s indigent population. The motivation behind the total coverage probe is that once indigents of all communities of South Africa can be covered, this would indicate a committed government and a leadership committed to achieving the objectives of the NIP (DPLG, 2005b). Tables 4.5, 4.11, 4.17, 4.23, and 4.29 reflect exact responses from participants and respondents on all the commitment variable questions, with some reflective notes by the researcher. The researcher discusses and interprets the responses in the following paragraphs.

5.3.3.4.1 Overall commitment

Overall commitment from the GTM administration on the delivery of the indigent policy package to the populations within the municipality was also probed. All five categories of respondents and participants indicated significant levels of commitment from both the administrative and political leadership to deliver the indigent services to all those who qualify. The CFO cited that a number of 32 000 out of 37 000 identified indigents were covered and that all identified indigents were provided with the indigent services. The councillor corroborated this in the telephonic interview, stating that a number of households are already benefiting from the programme. However, Group A raised the need to further strengthen the initiative by devoting more time, whenever necessary, supported by a budget for community participation, since community meetings are mainly held over weekends for improved attendance by community members.

5.3.3.4.2 Commitment from both political and administrative leadership

Further observations from respondents as to commitment from both political and administrative leadership regarding the delivery of the policy content were also solicited. Focus Group A's discussion reflected that politicians always avail themselves to community meetings, whereas administrators, that is the management, showed reluctance to attend weekend meetings for community/public participation. The councillor routed the question, whilst the CFO reported that council showed commitment by approving lists of identified residents to be placed on the Indigent Register. Groups B and C confirmed having observed commitment from both the political and administrative leadership, as depicted in Tables 4.11 and 4.17 respectively.

5.3.3.4.3 Challenges that might prevent total coverage of all the indigents

Here the instrument (measure) sought to establish whether or not there are challenges that might prevent total coverage of all the GTM's indigent population. The CFO reported that some indigents might not attend public participation meetings due to various reasons, including communication and other personal reasons, whereas Group A indicated budgetary constraints and perhaps a lack of commitment from management to fund public participation meetings, as already indicated. The councillor routed the question. One community member indicated that she sometimes does not receive invitations to community participation meetings. The councillors in Group C indicated that it were identification challenges that might prevent total coverage, rather than budgetary constraints. It should be noted by the GTM administration that the indigent policy is financially well supported by national government, through equitable shares. It is at this stage that policy implementers require perspectives, such as “timescapes” and “governmentality” for successful policy implementation (Carter, 2016).

- How does the GTM communicate their indigent policy objectives and content to stakeholders and interest groups?

The last research question as stated above engaged respondents and participants on communication mechanisms with various identifiable actors, and explored communication as the sixth C cutting across all the variables of the Protocol, as already explained.

5.3.3.5 Clients and Coalitions

Clients and coalitions in the Protocol interrogated the key actors, critical actors, and stakeholder cataloguing in the GTM. Tables 4.6, 4.12, 4.18, 4.24, and 4.30 reflect the exact responses of participants and respondents on all the clients and coalitions variable questions, with some reflective notes by the researcher. The researcher discusses and interprets the responses in the following paragraphs.

5.3.3.5.1 Key actors (stakeholders)

The councillor indicated that child-headed households, the elderly, and the disabled were the main beneficiaries, that National Treasury disbursed equitable share funding, the Department of Social Development was tasked with the services of CDWs, Eskom was noted as the electricity supplier, the district municipality was acknowledged as the WSA for water regulation and bulk supply, as well as the provincial CoGHSTA as the custodian of the policy. In addition, Group A also mentioned the Provincial Department of Education, the Provincial Department of Health, the Department of National Forestry and Water Affairs, and the National Department of Minerals and Energy. As a technocrat, the CFO singled operations’ structures, such as the executive committee, that recommends or makes policy proposals to Council, the Council of the municipality that approves policy, ward committees for identifying indigents, the community at large as the affected and beneficiaries, credit institutions such as the credit bureaus, ward councillors for political oversight and custodians of wards in the GTM, and traditional authorities as co-land trustees in traditional lands. Group B identified ward committees, CDWs, councillors and the indigents as the core policy beneficiaries. Group C concurred with Group B and added Eskom and the Department of National Forestry and Water Affairs as the custodian of the services themselves.

5.3.3.5.2 Critical actors

When asked to shortlist the stakeholders as critical actors, without which the implementation of the indigent policy would fail, the CFO shortlisted Eskom as the electricity supplier, Mopani District Municipality as the WSA, and the National Treasury as the funding entity. The focus group discussion, Group A, in addition to what the CFO shortlisted, mentioned ward committees and the CDWs for the collection of data on indigents, and the National Ministry of Forestry and Water Affairs for national oversight. The councillor routed the question on the shortlist. Group B recognised the indigents as the critical actors and agreed with Group A on the CDWs and WCMs. The ward councillors in Group C also recognised the indigents and community members at large as critical actors, together with the National Treasury and Eskom as services provider and funder respectively.

5.3.3.5.3 Stakeholder cataloguing

In terms of stakeholder cataloguing, all councillors routed the question. Group A and the CFO indicated that although there is no deliberate cataloguing of actors, the stakeholders are well identifiable. Group B also found the question to be more relevant to the officials of the municipality, rather than to external stakeholders. However, stakeholder cataloguing is strongly recommended in the Protocol to avoid the large number of interested parties who might be directly or indirectly affected in the matter, who also, in overly significant numbers might disrupt the efficient and timeous delivery of service to the beneficiaries (Brynard, 2005: 20-21).

5.3.3.6 Communication

The communication variable questions sought to establish the communication strategies that the GTM use for indigent policy advocacy, as well as communication challenges and suggestions on solutions to offset communication challenges**.** Tables 4.7, 4.13, 4.19, 4.25, and 4.31 reflect the exact responses of participants and respondents on all the communication variable questions, with some reflective notes by the researcher. The researcher discusses and interprets the responses in the following paragraphs.

5.3.3.6.1 Communication strategies

The councillor left the question of communication strategies to the officials. The focus Group A discussion and the CFO both indicated similar strategies in Tables 4.7 and 4.25 respectively. Group B also concurred to what was raised by both the CFO and the focus group, Group A's discussions. Group C, consisting of ward councillors, further emphasised door-to-door visits.

5.3.3.6.2 Communication challenges

Whereas both councillors and the CFO routed the question on communication challenges, the focus group discussions in Group A indicated experiences of poor [turnout] to meetings. Reasons for such experiences were attributed to poor communication that sometimes does not reach the actors. Group C confirmed absenteeism from public participation meetings by some indigent community members, whilst the indigents and community members in Group B raised challenges of not receiving invitations to some meetings. Mothae (2008) also mentions systematic public participation as one of the solutions to public policy implementation problems, as reflected in the literature review. The contrast between Groups B and C's challenges are more glaring when you add loud hailing as a communication strategy. This possible conflict needs to be checked and counter-checked by all affected actors for better policy implementation results.

5.3.3.6.3 Solutions to offset communication challenges

All participants who responded to the question on solutions to offset communication challenges suggested constant follow-ups with the indigents who are traceable. Group B also suggested and supported the door-to-door visits as part of the solutions to offset communication challenges. Ward councillors believed door-to-door visits remained a viable strategy for policy advocacy.

5.4 SUMMARY OF FINDINGS

The above study questions have also addressed the study objectives. In final analysis, focussing on the background of the study, particularly the problem statement, the study has successfully interrogated and established the following:

- Challenges of inadequate resources, both physical, financial, and human, as raised by respondents and participants within policy content, context, and commitments
- Stakeholder management challenges as indicated through communication and clients and coalitions variables, for example, poor turnout to meetings, stakeholder cataloguing, etc.
- Contextual (policy environment) factor challenges, ranging from a multicultural community, economic, and technological contexts, to legal and political contexts, where respondents and participants indicated issues of multilingualism in the GTM community, less industries to maximise job opportunities for poverty alleviation, underdeveloped systems (e.g. billing systems particularly for water and sanitation services delivered in the GTM's rural communities), cooperation with opposition parties, and some litigation threats, although still relatively a benign factor. Fuo (2013; 2014) and Orago (2013) have provided an extensive legal framework and platform through which both governments and indigent populations can engage to push back frontiers of poverty and alleviate the indigent status of populations.
- It is also clear that Mothae's (2008:245) assertion that public policy implementation has been and remains a challenge, is still sustained.
- That the GTM is also part of those municipalities opting for a universal approach to a targeted approach, as espoused by Arntz et al. (2003:108-109) in their study on the implementation of indigent policies. Responding to contextual factors as indicated, some of the respondents and participants pointed to a lack of proper billing systems as the reason why the targeted approach is not feasible in the municipality.
- Albeit with some challenges, there is no doubt that implementing the GTM's Indigent Policy has contributed immensely towards the achievement of one of the critical goals of the NDP in

tackling the scourge of poverty through a social wage and establishing a social protection floor (NDP, 2011:342).

- There were some discrepancies between responses from respondents and participants regarding the content of the Indigent Policy document of the GTM (2011) at the time of the study. For example, there was the 150 and 50 kw/h dissonance (GTM's Indigent Policy, 2011:D283-284).
- The GTM can earn lessons from the *Free Basic Services Lesson Series* to improve their billing systems, more especially in the rural areas where respondents indicated challenges of measuring the free basic water.

5.5 CONCLUSIONS

The study used the 5C Protocol plus the sixth C to investigate implementing the GTM's Indigent Policy. In considering the responses gathered from the three heterogeneous focus groups, the one-on-one interviews conducted, the literature review, data analysis, discussion, and interpretation, it can be concluded that the implementation process in the GTM affirms the Protocol as an essential tool for policy implementation. If used and applied meticulously with the application of a literature review, it would seem that the Protocol can improve implementation results in both public and private institutions. This chapter provided an overview of findings focussing on the research questions, the background of the study, particularly the research problem statement; it also made recommendations, and presented contributions and limitations of the study. Finally, the chapter closes with concluding remarks and makes recommendations for possible further research.

5.6 RECOMMENDATIONS

From the study, and looking at the findings in Chapter Four and the summary in 5.4 together with conclusions in 5.5 above, the study herby makes the following recommendations:

- It would seem that implementation is never conclusive, and therefore constant research and learning is vital. It is recommended that other researchers look into further research on policy implementation, using the study report.

- The GTM and other public entities may use the study for policy implementation learning and improvement.
- The GTM should update or rather review its indigent policy document from time to time, in order to adjust levels of services, as well as the policy content to the latest relevant information in order to counter out-dated policy measures.
- The GTM should promote effective and efficient resource management to mitigate against challenges of inadequate resources, physical, financial, and human resources, as raised by respondents and participants within policy content, contexts, and commitments.
- The GTM should promote its multicultural community by applying diversity management strategies, such as multilingualism, observations of cultural days and activities, etc.
- The GTM can earn lessons from the *Free Basic Services Lesson Series* to improve their billing systems, more especially in the rural areas where respondents and participants indicated challenges of measuring the free basic water.
- That the Protocol variables, the 5C Protocol plus the Sixth C, should be revisited by the GTM in a quest to improve policy implementation practices in the institution. On-job training should be organised to facilitate further understanding on the use of the Protocol.
- The gender balance must always be given attention in each and every activity and roles in the institution, to advance South Africa's gender policies.
- The GTM needs to pay attention to the educational improvement of its population, considering the biographical data of respondents and participants, which is also reflected in the IDP (GTM, 2014a).
- The technological capacity to measure the delivery of FBS, particularly water and sanitation in rural areas, needs to be explored.
- The communication with the indigents and all stakeholders must be strengthened for policy implementation optimisation.
- The GTM must engage on deliberate stakeholder cataloguing, where roles of all stakeholders are well defined insofar as the delivery of the indigent policy is concerned. This might require a clear, inter-sectorial collaboration model as well.
- The GTM should strive to deliver a complete package of FBS to all the GTM's indigent population, as contained in the NIP and outlined by StatsSA (2017) in its recent non-financial census of municipalities, particularly in rural areas (DPLG, 2005b).

- The total coverage of all the indigents is still found to be challenging, and therefore more work on reaching out to all the GTM's indigent population for total coverage still needs to be done.
- The GTM must improve the indigents accounts' management, and incentivise the indigents to pay their accounts where they owe the municipalities and vice versa.
- The relevant government agencies must interrogate the issue of dissatisfaction regarding the volume of FBS packages, as indicated by participants, particularly the indigents.
- That issues of fears of infrastructure vandalism and theft, particularly cable theft, the "izinyoka" phenomenon, must be interrogated by all municipalities and government agencies in the Republic of South Africa, as it seems to be a widespread problem. Further research on the matter might also be necessary to bring out the further scientific evidence regarding the root causes, and therefore develop better solutions.
- The context variable of the Protocol was routed the most during the study. This might require the GTM administration to identify the exact reasons as to why respondents and participants at that level of the Director decided to detour the question. Other researchers might also inquire more as to the contextual factors that surround and affect policy implementation projects, not only in the GTM, but also in any institution, public or private.
- Lastly, the GTM needs to strengthen the M&E mechanisms, as well its institutional arrangements, as already discussed in the study, for a successful policy management.

5.7 CONTRIBUTIONS OF THE STUDY

There is no doubt that the study has contributed considerably to implementation research. The study has also exposed the complex nature of policy implementation through the use of the 5C Protocol, plus the sixth C. As advocated in Chapter Two of the study on literature review, and though mentioned extemporaneously or erratically in almost all reviewed literature on implementation, there is no doubt that the Protocol has claimed a space as a force to reckon with in the field of policy implementation. Any attempt on the part of academia and policy practitioners to undermine or rather under-estimate the power of the Protocol in the implementation arena, would be negligent and short-sighted. The implementation regime will never be the same in the GTM if the study is utilised to guide implementation in the institution.

Other public entities and private institutions can also benefit from the study in their policy implementation processes. This assertion does not in any way attempt to launch the Protocol as a theory nor does it attempt to prescribe it as the panacea for all implementation challenges. There is merely a call to recognise and respect the hegemony of the Protocol in both history and the lexicon of research in implementation. Furthermore, the municipalities can use the study to ascertain their level of progress and challenges experienced in implementing the NIP. This contributes directly to poverty alleviation and promoting the achievement of South Africa's NDP goals, among others, to radically alleviate the scourge of poverty by 2030. Furthermore, the study can contribute to the attainment of the United Nation's SDG's following the commitment by the President of the Republic of South Africa, Mr Matamela Cyril Ramaphosa, to eradicate pit latrines by 2030. The South African rural communities will benefit mostly in the sanitation area, with the municipalities equipped with enhanced high technologies for sanitation, as described by the President in his 2018 public address on the subject.

5.8 LIMITATIONS OF THE STUDY

The study was conducted within one municipality out of 30 municipalities across the Limpopo province. Furthermore, the sample size was limited by the availability of targeted respondents and participants, thus presenting the possibility of different findings should a similar study be conducted with a bigger sample than the one used in this study. Further studies could be conducted using bigger samples to either refute or confirm the findings and conclusions made in this study. Other study limitations include but are not limited to not reaching all the intended sample of respondents and participants, due to their unavailability. For example, all the initially targeted ward councillors could not be reached due to their unavailability. Only almost a quarter of ward councillors, that is six out of 34 plus one proportional representative managed to participate in the study. Albeit the limitations, to ensure the validity, reliability and objectivity of findings, the research used purposive samples of three heterogeneous groups and two one-on-one interviews of participants and respondents with the necessary expertise respectively as presented in Chapter Three of this study report. Saturation on the data collected also guarantees the validity of the study's results. The participants and respondents were carefully selected from among the GTM's role players (Table 4.1) in the indigent policy content delivery to ensure proper responses to questions of the research topic, and that the researcher solicits and obtains the most relevant information regarding the implementation of the indigent policy in the GTM.

5.9 CONCLUDING REMARKS AND FURTHER RESEARCH

In order to study any aspect of policy implementation in contemporary environments and or societies, one must be aware of the philosophical orientation of interrogating knowledge and knowledge generation, particularly in terms of the post-modernist approach to policy implementation. The study articulated much on this assertion in Chapter Three. Cloete and de Coning (2011:53) describe it "as the study of complex, dynamic, deterministic, non-linear systems that reveal patterns of order out of seemingly chaotic behaviours". From this perspective and the overall study findings, one can also postulate that policy is a product of circumstances, or rather a creature of its own environment, the material conditions of the day. This is why leaders who are mostly key policy actors apply different leadership approaches, or rather styles, in their daily tasks on policy implementation, especially in the contingencies and charismatic leadership to match the shrewd policy environment and its evolution. This serves to further sensitise policy students, researchers, and users of this study about the complex nature of policy itself as an organism. It behaves like greener pastures during spring and torrential summer rains, and turns grey and dry during winter seasons. Those who pursue policy must just brace themselves to learn how to sustain it throughout all seasons. Suffice then, from the literature review and the whole traction of the study, to further infer that it would seem that policy implementation can never be predetermined nor can a concrete implementation theory be attained, save the strongly defined variables used in the study, the 5C Protocol plus the sixth C, that surfaces from time to time in almost every policy implementation regime.

With regard to the significance of the proposed research, the issue of indigence was indicated as one of the problems identified in the NDP (2011). It is the state's responsibility, in terms of section 27(2) of the Constitution of the Republic of South Africa, 1996, to provide a social wage to poor citizens. Failure to implement the indigent policy anywhere in the country could mean a perpetual state of poverty among the poor. It is therefore incumbent upon the leadership, the staff of the GTM, and the community to use the study for the delivery of indigent services to populations of the municipality. The policy content as packaged in the policy document of the

GTM, the GTM's Indigent Policy (2011), expressed through the 5C's plus the sixth C of the Protocol, backed by data collected from the participants as discussed and interpreted, can definitely be improved upon by using the study's recommendations. The study also unveiled some challenges that the municipality might face in enhancing its service delivery efficiencies and effectiveness. The study has further seen its significance in informing current practice (a universal or targeted approach) and policy in terms of how policy should be implemented (processed) for the benefit of the citizens. Furthermore, the universal approach to indigent service delivery remains problematic, especially where billing systems are underdeveloped. Further studies may explore more, pursuant to the existing literature, on both targeted and universal approaches to indigent policy implementation. It was important to highlight this as it was also mentioned in the significance of the study, as presented in the proposal of the research. Undoubtedly the study has contributed to the policy implementation discourse and has also contributed to the enhancement of professional practice on policy management, particularly in the implementation stages of the policy process.

Thus, it was important to undertake this study on indigent policy implementation in the GTM. The study has successfully applied social science research methodology and also used the 5C Protocol plus the sixth C to investigate implementing the GTM's Indigent Policy. E re ke tšhabe baditi (implementation scholars)!

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ANNEXURE A

INTERVIEW GUIDE / SCHEDULE

Dear participant

Your participation in this study is highly appreciated in advance. You are participating in the study voluntarily and may withdraw your participation anytime you wish to do so should you feel uncomfortable during the course of the study. This statement of the questionnaire is written to you as the participants to also serve as a consent form from your side to assure anyone that you were not forced or coerced to participate in the study, and that you understand the aims and objectives of the study as summarised in the next paragraph.

The aim of the study is to investigate how the GTLM, also referred to as the GTM, is implementing its indigent policy using the 5C Protocol plus the sixth C. Kindly complete this questions of the interview guide with the information at your disposal and best of your knowledge. The findings and recommendations of the study may assist the GTM and other public institutions, even private, in their policy implementation architecture that can ultimately enhance service delivery and policy compliance, with significance in poverty reduction in South Africa. Therefore your participation in this study is highly valuable.

Signed ____________ Date: __________ Signed____________ Date: ______________

Participant Researcher

SECTION 1: Biographical information

Please make an X in the applicable box for your responses or rather answers in this SECTION 1.

1.1. Gender

Male	Female
01	02

1.2. Age Group

Below 35 years	36 – 40 years	41 – 45 years	46 – 50 years	50 years and above
01	02	03	04	05

1.3. National Identity

South African	Venda	English	Afrikaner	Pedi	Tswana	Tsonga	Ndebele	Zulu
	01	02	03	04	05	06	07	08
Foreign National	Zimbabwean	Namibian	Sotho	Nigerian	American	British	Indian	Chinese
	01	02	03	04	05	06	07	08
Other (Specify)								
	01	02	03	04	05	06	07	08

1.4. What is your highest qualification?

Standard 10 and less (Grade 12 - 0)	Diploma	Bachelor's Degree	Honours Degree	Master's Degree	Doctoral Degree (PhD)
01	02	03	04	05	06

1.5. What is your role in the GTM?

Administrator(SECTION (57) MSA, 32 of 2000	Divisional Head (Supervisory)	Operations (e.g. indigent staff, traffic licensing staff etc.)	Executive authority (Political head/Councillor)
01	02	03	04

SECTION 2: **Measure for the implementation of the indigent policy in a Municipality using the 5C Protocol plus the Sixth C**

Content

1. What is the source of funding for the delivery of the indigent policy to the indigents of the GTM?

2. How does the GTM identify its indigents?

3. What are the indigent services (package) offered by the GTM?

4. Describe briefly how each service is delivered to the indigents of the GTM

5. How does the GTM communicate with the indigents?

6. What are the main challenges encountered by the GTM in the delivery of the indigent packages?

Capacity

7. What are the capacity challenges and strengths of the GTM to deliver the indigents services in terms of structures, finances, human resources and strategic competencies?

8. What are the minimum qualifications required for the personnel to administer the indigent policy?

9. What specific skills must the personnel possesses to carry the work without difficulties?

10. Describe the institutional arrangements and monitoring systems in place specifically for the delivery of the indigent's package? Please include the billing systems used.

Commitment

11. Can you confidently say the leadership of the GTM is committed to deliver the indigent services to all the indigent populations of the community? Elaborate your response.

12. From your own observation, has the leadership, both political and administrative, demonstrated commitment and will to deliver the indigent policy package to all the indigent populations of the GTM? Please elaborate your observation hereunder.

13. It is a constitutional right for the indigents to be provided with FBS including shelter. Briefly describe the challenges, if any, that might prevent total coverage of all the indigent populations in the GTM

____
____
____
____
____
____

Clients and Coalitions

14. Write down the key stakeholders to the GTM's delivery of the contents of the indigent policy to the indigent populations of the GTM.

a. ______________________________ k. ______________________________

b. ______________________________ l. ______________________________

c. ______________________________ m. ______________________________

d. ______________________________ n. ______________________________

e. ______________________________ o. ______________________________

f. ______________________________ p. ______________________________

g. ______________________________ q. ______________________________

h. ______________________________ r. ______________________________

i. ______________________________ s. ______________________________

j. ______________________________ t. ______________________________

15. Shortlist the stakeholders (actors) from the list in 14 above to critical actors without which the indigent policy delivery in the GTM would fail

a. ____

b. ____

c. ____

d. ____

e. ____

f. ____

16. Stakeholder cataloguing, that is documenting all critical and key stakeholders, may be a challenge. Please describe challenges that the GTM encounter in stakeholder cataloguing.

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Communication

17. How does the GTM communicate with the stakeholders particularly the indigents? Describe briefly hereunder.

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18. Write communication challenges that the GTM encounter with regard to stakeholders?

19. Suggest solutions to communication challenges identified in 19 above.

Context

20. What are the contextual environmental factors that present both opportunities and threats to the GTM to deliver the policy content to the indigents in terms of social, technologies, politics, economies, culture and legal? Describe briefly under each contextual factor hereunder,

- Social and cultural contexts

- economic context

- political context

- legal context

- technological context

21. Are there any of the contextual factors or variables above that you think can be done differently and how?

END OF INTERVIEW GUIDE/SCHEDULE

THANK YOU FOR YOUR TIME AND PARTICIPATION IN THE STUDY

ANNEXURE B

WARD 31
Lenyenye Township

LENYENYE INDIGENT HOUSEHOLD - MUNICIPAL OUTSTANDING DEBTS 2016							
Record no	ID NUMBER	SURNAME	NAME (S)	STAND N	ACCOUNT N	BALANCE	REASON
1	4811260572082	RAMAWELA	MOKGADI CATHERINE	1827	763556	R 2 402.35	INDIGENT
2	8202028542086	SEMOSA	SIXPENCE RAMPHERI	684	151553	R 2 438.07	INDIGENT
3	5008070672082	RAMOSHABA	MOKWAPE PEGGY	1375	159993	R 2 183.70	INDIGENT
4	6405090360087	MODJADJI	MADINTSI IRENE	1166	157435	R 2 367.58	INDIGENT
5	4807230351086	MONYELA	MANKWANA SALOME	879	153945	R -627.68	INDIGENT
6	2201016500086	MAKHOBA	MAMOGALA DANIEL	890	154089	R 3 199.98	INDIGENT
7	6607205371087	MODIBA	LEKUDUBA PIET	2015	167803	R 2 037.48	INDIGENT
8	1907260101089	MAKWELA	NABO ELIZABETH	1450	160903	R 2 391.66	INDIGENT
9	8710135713085	MANGENA	MASILO DANIEL	871	153857	R 739.31	INDIGENT
10	5212120770082	KGATLA	SALOME EVA	1587	162562	R 3 053.60	INDIGENT
11	3609255189089	LETSOALO	MICHAEL MICKEY	1041	155928	R 1 819.56	INDIGENT
12	6808150359081	NOTWANE	MOKWAPE PHYLLIS	1844/6	423648	R 4 169.41	INDIGENT
13	4604165423083	KEKANA	FITA DAVID	1302	159104	R 5 624.52	INDIGENT
14	5203070714089	MATLEBJANA	NNANENG MAGGIE	1017	155639	R 6 225.54	INDIGENT
15	4601010862085	MALATJI	MMATAPA HERMINA	1449	160893	R 4 324.49	INDIGENT
16	3606250121085	MATLAKALA	MABO MARIA	1838	165644	R 2 998.10	INDIGENT
17	5303140543086	RAMAJELA	MAPULA MELITA	1216	158051	R -480.00	INDIGENT
18	7306076134083	LETSOALO	RAMATSE PIET	1993/25	425236	R 1 337.73	INDIGENT
19	3909210204086	KGATLE	NKELE HENDRIKA	1664	985904	R 36.46	INDIGENT
20	9304201155089	RAMATSOMA	MOSIBUDI ROSINA	1365	159873	R 397.68	INDIGENT
21	3801150397089	TLADI	MODJADJI REBECCA	1319	849429	R -482.19	INDIGENT
22	5008085778080	MAAKE	MATOME THEOPHELUS	954	154843	R -665.72	INDIGENT
23	5409110721089	MAKGOBA	STEPHINAH MARJORY	862	153737	R 3 399.28	INDIGENT
24	4906066226089	MAILULA	MATOME PHINEAS	1003	155477	R 3 199.98	INDIGENT
25	4408230321086	MATHYE	MMAMPA TINNIE	1013	155597	R 3 531.47	INDIGENT
26	5307110672080	KGATLE	CHRISTINA KOPANO	1403	160357	R 4 798.55	INDIGENT
27	4904010579083	MODIBA	MAKHUDU ROSINA	593	150447	R 4 372.94	INDIGENT
28	3912020252089	MAKWELA	MAMAILA ANNA	968	155029	R 2 579.39	INDIGENT
29	6312201012088	MOTLOUTSI	TLODIPYANA MARIAM	1086	156463	R 1 119.62	INDIGENT
30	7709280674085	MAPHETO	MMAKOPI FRIDA	622	150782	R 31 155.48	INDIGENT

ANNEXURE C

UMS
UTILITY MANAGEMENT SERVICES

TZANEEN MUNICIPALITY

INDIGENT APPLICATION FORM

Instructions:

NOTE:

Photo

PERSONAL DETAILS OF THE APPLICANT
(Person who's name appears on the account for municipal services)

Account number | Ward | ID number | Age
Surname | Gend | Male
Full Name(s) | Female
Residential address | Postal Address
Postal Code | Postal

CONTACT TELEPHONE NUMBERS
Home | Work
Cell number | Other contact

MARITAL STATUS: Please indicate your current marital status by marking the appropriate block
MARRIED | COHABITATION | DIVORCED | SEPERATE | WIDOW(ER) | SINGLE

Is the Applicant the | Tenant | Owner | If Tenant, provide owners contact information
Reason why owner is not applicant
Owners's Name & Surname
Owner's ID Number | Phone/ Cell no
Owner's Address

Is Applicant the Account holder? | Yes | No | If No, provide the account holder's contact
Account Holder's Name & Surname
Account Holder's ID Number | Phone/ Cell no
Account Holder's Address

SOCIO-DEMOGRAPHIC PROFILE OF HOUSEHOLD
How many people are in your household (HOUSEHOLD is the number of people residing at the address)
Please record the following information for each person in your household.

First Name	What is his/her relationship to you?	Sex (M = Male, F = Female)	Date of Birth	How long has he/she stayed with you?	How many years of formal school	Has he/she got any other training?	What is his/her employment status? Eg. Permanently/Piece job/ Self-employed/	Where does he/sh	How much he/she earn per week/month ? (Please indicate
									R
									R

I ______________________________ (please print name) the undersigned hereby, apply for Indigency Assistance as indicated in this application for and declare that:

1) Information stated in this for is true and correct
2) Documents attached to this application are a copy of and / or the original
3) I will undertake to bring any changes to the above situation to the attention of the Council immediately when they occur
4) I am aware that any false declaration will lead to my immediate disqualification from the system
5) I regard this declaration as binding
6) I understand the declaration
7) I have received a receipt
8) I am still responsible for payment of services by the council

Signed at   on this   day of   20

Documentation

Copy of Identity Document	Yes	No
Proof of Income / Attestation	Yes	No
Municipal Account	Yes	No

ANNEXURE D

GREATER TZANEEN MUNICIPALITY

PROPOSED PUBLIC PARTICIPATION PROGRAMME FOR INDIGENT REGISTRATION 2016 / 2017 FINANCIAL YEAR

W NO	PEOPLE RESPONSIBLE	PURPOSE /ACTIVITY	CONTACT NO	DATE	VENUE	TIME
3	CHAIRPERSON : CLLR PESSYNA MASETLA : WARD COMMITTEE	NDIGENT REGISTRATION AND VERICATION	073 245 6311		XIHOKO PRIMARY SCHOOL	09H00
1	CHAIRPERSON : CLLR LYDIA HLANGWANE : WARD COMMITTEE	INDIGENT REGISTRATION AND VERICATION	083 371 9366		FOBENI HIGH SCHOOL	09H00
2	CHAIRPERSON : CLLR HAROLD MAFOKWANE : WARD COMMITTEE	INDIGENT REGISTRATION AND VERICATION	078 361 5202		MAKHEFORA PRIMARY SCHOOL	08H30
7	CHAIRPERSON : CLLR LEON MATETA : WARD COMMITTEE	INDIGENT REGISTRATION AND VERICATION	076 084 2378		MOTHOMENG PRIMARY SCHOOL	09H00
4	CHAIRPERSON : CLLR MAVIS MAPITJA : WARD COMMITTEE	INDIGENT REGISTRATION AND VERICATION	083 567 6640		NYAVANA PRIMARY SCHOOL (XIHOKO)	09H00

ANNEXURE E

University of Limpopo
Department of Research Administration and Development
Private Bag X1106, Sovenga, 0727, South Africa
Tel: (015) 268 3935, Fax: (015) 268 2306, Email: anastasia.ngobe@ul.ac.za

TURFLOOP RESEARCH ETHICS COMMITTEE

ETHICS CLEARANCE CERTIFICATE

MEETING: **05 March 2020**

PROJECT NUMBER: **TREC/27/2020: PG**

PROJECT:

Title:	The Implementation of the Indigent Policy In The Greater Tzaneen Municipality in Limpopo Province, South Africa
Researcher:	LG Mosehla
Supervisor:	Prof KG Phago
Co-Supervisor/s:	Prof T Moyo
School:	Turfloop Graduate School for Leadership
Degree:	Master of Public Administration

PROF P MASOKO
CHAIRPERSON: TURFLOOP RESEARCH ETHICS COMMITTEE

The Turfloop Research Ethics Committee (TREC) is registered with the National Health Research Ethics Council, Registration Number: **REC-0310111-031**

Note:

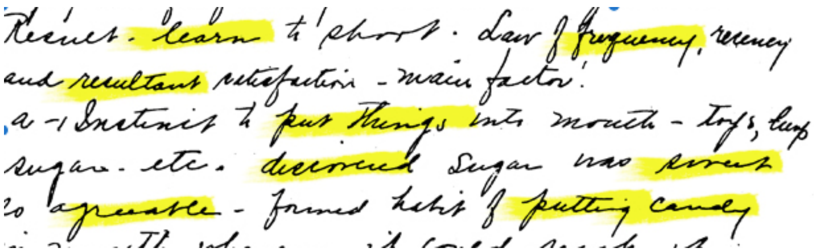
i) **This Ethics Clearance Certificate will be valid for one (1) year, as from the abovementioned date. Application for annual renewal (or annual review) need to be received by TREC one month before lapse of this period.**

ii) **Should any departure be contemplated from the research procedure as approved, the researcher(s) must re-submit the protocol to the committee, together with the Application for Amendment form.**

iii) **PLEASE QUOTE THE PROTOCOL NUMBER IN ALL ENQUIRIES.**

Finding solutions for Africa

ANNEXURE F



*CORPORATE * ACADEMIC * LITERARY EDITING*

TEL: 08104686501

EMAIL: isabellaza@hotmail.co.uk

DATE: 06 November 2018

Attention: To whom it may concern

RE: CERTIFICATE OF EDITING - *Lesiba Gift Mosehla*

I hereby confirm that in September 2018 I edited Mr Lesiba Gift Mosehla's dissertation: The Implementation of the Indigent Policy in the Greater Tzaneen Municipality, a dissertation submitted in partial fulfilment of the requirements for the degree of Master of Public Administration at the University of Limpopo.

He then sent me the changes required in October, and I edited those sections.

I have not had final sight of the final document accepting or rejecting the suggested language and grammar changes, which is usual.

Yours sincerely

M. I. MORRIS

ISABELLA MORRIS

M.A. (WITS)

Memberships:

SA PEN

ANFASA