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UNIVERSITY OF KWAZULU-NATAL

**EVALUATION OF THE LONG-TERM DEVELOPMENT FRAMEWORK
(LTDF): A CASE STUDY OF ETHEKWINI MUNICIPALITY'S INTEGRATED
DEVELOPMENT PLAN**

by

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**A THESIS SUBMITTED IN PARTIAL FULFILMENT OF THE
REQUIREMENTS FOR THE DEGREE OF DOCTOR OF ADMINISTRATION
(PUBLIC ADMINISTRATION AND BUSINESS MANAGEMENT)**

**SCHOOL OF PUBLIC ADMINISTRATION
AND DEVELOPMENT MANAGEMENT
FACULTY OF MANAGEMENT STUDIES**

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2008

Supervisor's permission to submit for examination

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A case study of eThekwin Municipality's Integrated Development
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As the candidate's supervisor I have approved this thesis for submission.

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DECLARATION

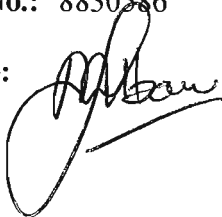
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“Your position is not really yours until you make it yours through ... study”
Chambers in Theron (2008: 1)

ACKNOWLEDGEMENTS

I THANK GOD FOR GIVING ME:

Grace, Strength, Knowledge and Wisdom to achieve a journey of a thousand miles and empowering me with an opportunity to attain this honor!

In finalizing this research, I would like to acknowledge the following individuals for their role and contribution:

- Special thanks goes to my promoter and role model, Professor PS Reddy, for his academic insight, professional guidance, intellect, national and international expertise and scholastic discipline that culminated in this research endeavour;
- Dr P Pillay, a great mind, for her unequivocal support and mentorship, academic guidance, selfless and constant encouragement throughout my years of study;
- Mr Mlethwa, T Tshabalala, P Dladla, M Gounden, Mrs M Sewpersad and Dr I Nzimakwe, who played a pivotal role in the empirical study by administering the questionnaires and obtaining valuable feedback;
- Professor Y Penceliah for her encouragement and kind assistance with access to journals.
- Mr D Singh for his professional expertise, quality of analysis and interpretation of empirical surveys;
- My heartfelt thanks goes to Sogen Moodley, Jacqui Subban and the IDP staff at eThekweni Municipality for their indescribable support;
- The staff at UKZN, and eThekweni libraries, for assisting me immensely;
- The former University of Durban-Westville, for financial assistance;
- Thanks and praise go to Dr H Theron, Deputy Director, KwaZulu-Natal Department of Local Government and Traditional Affairs, for his infinite capacity and good heart to have access to materials and surveys conducted;

- Mr TA Bhengu, Deputy Director, KwaZulu-Natal Department of Local Government and Traditional Affairs, for his extraordinary efforts in sharing his information and memorandums;
- Christo Green, Administration Officer from the South African Planning Institute (SAPI) for access to the planning materials;
- Craig Haskins, Manager: Department: Strategic Development Information and GIS from the Directorate: Strategy and Planning in the City of Cape Town for access to information;
- Professor Edgar Pieterse, DST/NRF Research Chair in Urban Policy, Director: African Centre for Cities in the School of Architecture, Planning and Geomatics at the University of Cape Town, Rondebosch for access to his prolific writings and research papers;
- Dr Natasja Holtzhausen, Senior Lecturer: Department of Public Administration and Management, UNISA, Pretoria for sharing of information and research papers;
- Professor Koos Bekker, a prolific writer and keen scholar of the discipline of Public Administration for his kindness in sharing his own research and presentations;
- Mr RG Reddy, Executive Manager, Governance and Transformation, Emnambithi Municipality, Ladysmith, a true human spirit for going the “extra mile” and providing assistance with materials;
- Dr Connie Israel, Language Practitioner, for her professional and timely expertise in ensuring that the thesis meets the required language and literary style;
- Ps Alick and Pat Moonsamy for their prayers and support during my years of study;
- Special friends Stefan and Estelle Barkhuizen, Rishi and Sushi Ganas for being “pillars of strength” during my study;
- To my dear parents, Mr and Mrs Reddy and family members for their unconditional and relentless love, endless inspiration and contributing to the realization of my dream;
- To the Subban Family, for their words of encouragement, gift of optimism and good intentions and support;
- To Gavin and Michelle Benjamin for their infinite support and confidence through this research journey;

- To my two kitties Clippy and Bunter, who have been my companions through the many late hours of knowledge-intensive discourse, and finally
- To those, whom I may have inadvertently missed out, my sincere appreciation and thanks.

M Subban

Westville, December 2008

DEDICATION

This research endeavour is dedicated to my dearest husband Ashley, and loving daughter Carmelle Rebekah who, through my journey of learning, have become treasure houses of knowledge and enlightenment. A special thank you for your uncompromising faith, that remains an oasis in my heart forever.

You are truly my greatest anchor!

ABSTRACT

The research study emphasizes the significance of public participation in integrated development planning at the local level of government in South Africa. The introduction of a democratic dispensation highlighted the idea of public participation and placed it in the spotlight. The typology is described and presented within the *locus* and *focus* of municipal strategic management, and the context and operation of development planning in the current local government dispensation. The literature review presents a theoretical analysis of the local government systems and processes necessary for enhanced citizen participation, and further examines integrated development planning as a strategic communication tool that emphasizes the social praxis of ongoing dialogue with local communities. Furthermore, a concentration on public administration within municipal strategic governance, integrated development planning and public participation will facilitate an in-depth coverage of materials relating to developmental governance within the current context in South Africa.

Much has happened to affect the field of local government in South Africa. Of significance, is the impact of public participation *via* integrated development planning. An integrated development plan is therefore regarded as a strategic management tool that serves as a guideline and informs all planning activities, outcomes, outputs and impact of a municipality. The emphasis, therefore, of this research is centred around an evaluation of eThekweni Municipality's strategic plan focusing on public participation in its integrated development plan which feeds into its Long Term Development Plan (LTDF) for 2020, an analysis of the roles of key stakeholders in the political-management interface between the Council and local communities, and the integration of municipal resources in its long-term planning activities and developmental outcomes. This enquiry therefore culminated in an extensive literature review of municipal strategic planning in eThekweni Municipality within KwaZulu-Natal. Citizen participation through the integrated development plan ought to be viewed as simple and uncomplicated, and is aimed at increasing levels of education and literacy amongst local communities. To this end, the Municipality focuses its integrated development plan on Umsebenzi (*Keeping You Informed*). Through its strategic approach that "citizens are the centre of the focus, and not an add on through mere political rhetoric", the integrated development plan can serve as an archetype of strong civic-focused leadership.

Moving beyond urban pathologies and local bureaucracies and despite a promising and sophisticated institutional framework for public participation, there is still a lack of participation in the local government structures. One of the factors that help to make the public participation cliché move beyond mere lip service is active engagement or holistic integration. The research examines and analyzes some of the factors for poor or non-performance in the municipal dichotomy, and the dynamics

of public participation in integrated development planning amidst metropolitan urban management.

The research arrays the study in a framework that leads to some key recommendations, and brings the following observations to light:

- **Ensure that the municipal functionaries and the local communities are oriented for more constructive and robust engagement of civil society issues;**
- **Investment in strengthening local governing capacities because municipalities need increased emphasis on strategic planning as opposed to master-planning mechanistic models;**
- **Focus on pragmatism and the promotion of joint learning through genuine interaction with local communities using the bottom-up approach as opposed to a top-down approach;**
- **Undertake research and take proactive steps to manage dynamic climate change in response to economic and socio-environmental needs and sustainable development;**
- **Facilitate social programmes which will emphasis and illustrate the potential development axis, and serve as connexions aimed at addressing grassroots issues and delivering visible and practical outcomes via the integrated development plan, and**
- **Establishing a co-operative community culture invoked by civic pride and public involvement.**

From the afore-going discussion, the research emphasizes that each trait and focus of development is a distinct variable, and can lead to a new kind of experimentalism when working with local communities, which can contribute to mutual enrichment for urban efficiency and community satisfaction.

The outputs of strategic interventions by municipalities affect the communities and help shape their subsequent inputs. Finally, the satisfaction of public desires depends on aspirations, as well as achievements.

LIST OF ABBREVIATIONS AND ACRONYMS

CBO	Community Based Organisation
DFA	Development Facilitation Act
DLGTA	Department of Local Government and Traditional Affairs (KZN)
DPLG	Department of Provincial and Local Government (National)
GEAR	Growth, Employment and Redistribution
GGLN	Good Governance Learning Network
IAP2	International Association of Public Participation
ICSC	The International Centre for Sustainable Cities
IDP	Integrated Development Planning
IDS	Institute for Development Studies
KZN	KwaZulu-Natal
LED	Local Economic Development
LTDF	Long Term Development Framework
MFMA	Municipal Finance Management Act
MIDPSP	Municipal Integrated Development Planning Support Programme
MSA	Local Government Municipal Systems Act
MTEF	Medium Term Expenditure Framework
NEPAD	New Partnership for Africa's Development
NPM	New Public Management
NSDP	National Spatial Development Framework
PG	Provincial Government
PGDS	Provincial Growth and Development Strategy
PLUS	Partners for Long-Term Sustainability
RDP	Reconstruction and Development Programme
SDF	Spatial Development Framework
SDBIP	Service Delivery and Budget Implementation Plan
SPSS	Statistical Package for Social Sciences

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CHAPTER ONE

INTRODUCTION AND OVERVIEW OF THE STUDY

1.1 INTRODUCTION

Local Government is known as the “*hands and feet*” of government, required to provide a wide array of basic services to the local citizens. It is in the forefront of the service delivery agenda, and attention is being focused on municipalities, *amongst others*, as per their developmental mandate. Since 1994, local government is centred on constitutional and administrative change in South Africa. When South Africa elected a new government, several statutory changes as well as management and administrative systems and processes were introduced to establish a state contributing to the developmental mandate of the *government-of-the-day*. The mandate of the developmental state is viewed from a strategic management perspective of integrated development planning (IDP) across three spheres of government to meet the basic needs of communities and contribute ultimately to growth and development. Local government is also the sphere that directly serves the needs of communities at grassroots level. Striving to improve the livability and competitiveness of cities is an onerous demand on urban governance and local management. The concept of IDP is borne out of the Constitution to ensure that spheres of government focus on urban and rural development initiatives. Furthermore, good governance means including and representing all race groups in society for the pursuit of shared and collective goals.

This research locates municipal IDP within the developmental mandate, and specifically focuses on some theoretical constructs and models in strategic management for establishing best practice in the enhancement of communities. An institutional, theoretical and conceptual understanding of public participation in local government planning and development is examined, taking cognizance of some practical realities and operational dynamics associated with public input. It is hoped that this study will assist the identified municipality, and other municipalities, in forging a common understanding of the challenges experienced in integrated development planning and participatory governance, and in developing both individual and collective strategies to respond to these challenges.

1.2 AIM OF THE STUDY

Municipalities in a developmental state by nature would focus on developmental issues. In this regard, municipalities in South Africa are transforming, and of necessity, have taken strategic steps to realize their vision and mission. The increasing pressure to make optimal use of scarce resources has brought planning and management at a strategic level to the fore, and are critical for the sustainability of municipalities. Therefore, the implementation of key strategies and the promotion of organizational efficiency and effectiveness are fundamental to ensure enhanced service delivery within developmental local government. In this regard, the eThekweni Municipality strategic plan for 2020 is the Long Term Development Framework (LTDF). In addition, the Municipality has already completed its first five-year plan. In the post five-year era, there are lessons to be learnt and research to be undertaken to understand the extent of its plan and to evaluate its successes and/or failures. The primary aim of this research study therefore, is to examine the first five-year plan from a multi-dimensional perspective and to evaluate the strategic outcomes of its developmental plan in an integrated and holistic manner. In particular, the critical role of the IDP of the Municipality will be examined as a participatory plan focusing on integrating sectoral plans and key strategies. These include critical aspects as such as provision of basic services, promotion of local economic development, land management, municipal budgets and the overall institutional transformation in accordance with the vision and mission of the Municipality. The study is premised on the strategic management of integrated development planning, guided by Constitutional imperatives and other subsequent developmental policies, programmes and projects directing the implementation of development planning and management overall.

Following the empirical survey, a theoretical discussion underpinning development planning with particular reference to public participation is presented, several models in the field of study of municipal and public administration are examined, and a proposed normative integrated model is presented for eThekweni Municipality and other municipalities in general.

1.3 OBJECTIVES OF THE STUDY

This study was explored through the following key objectives:

- Understand the link between the IDP, vision and mission of eThekweni Municipality, and examine the impact of its plan within the LTDF;
- Examine the role of key stakeholders (council officials, citizens and councillors), and comment on the extent of participation, gauging their views through focused analysis; and
- Establish ways of enhancing public participation of these stakeholders with a view to improving the quality of municipal service delivery, and devise an integrated approach/model to address the local specificities regarding community engagement.

Within a field of systematic study, the above objectives are examined via the concepts, context and operations of IDPs *vis-à-vis* developmental Local Government, using a case study approach of eThekweni Municipality. Furthermore, the coalescing powers of both the municipality and the councillors are examined in addressing contestations around the role of public participation in development planning.

1.4 CRITICAL QUESTIONS TO BE ANSWERED IN THE RESEARCH

The study aims to answer the following critical questions:

- Who are the key stakeholders, and what is the extent of participation in the of eThekweni Municipality?;
- What are the key aspects contributing to the long-term strategic planning objectives of the Municipality?;
- What are the mechanisms to improve community participation in the IDP process of the Municipality?; and
- Are there any models/approaches informing the strategic plan of the Municipality?

1.5 HYPOTHESIS OF THE STUDY

The hypothesis is presented as it is important in bringing clarity, specificity and purpose to the research problem. The hypothesis focuses on the perceptions of three types of stakeholders

relating to community participation in the IDP of eThekweni Municipality. These focal groups are: local communities from selected areas in the greater Durban area, a representative sample of local councillors and the council officials. Furthermore, the hypothesis is verified through the sampling procedure, method of data collection, analysis of data, statistical procedures applied, recommendations and conclusions drawn. Through the hypothesis, the researcher was able to bridge the gap between perceptions of public participation in the IDP and the empirical reality, and the significant relationship between these variables was validated through the research inquiry. The statistically significant results which are presented in Chapter Six of the study provide support for the hypothesis.

1.6 CONCEPTUAL FRAMEWORK OF THE RESEARCH

This research study focuses on a structural approach, taking into account public participation, a democratic ethos for the local populace, participatory governance, statutory measures governing public participation and local governance, integrated development planning, politics and power relations in shaping contemporary approaches to active citizen engagement. It embraces a post-modernist approach to municipal and local community engagement towards improved livelihoods and well-being of the public at large. Public participation through the IDP and municipal strategic management is located within the South African system of local governance in the current dispensation of the country.

Some of the more current and lively discussion that pervades integrated development planning as a strategic instrument for enhancing public participation, and some of the most profound issues of political thought around the net effect of public participation, are highlighted in the following key conceptual definitions used in this study. Logically, these concepts have significance in the chain of discussion on public participation in the IDP as a municipal strategic instrument.

1.6.1 PUBLIC PARTICIPATION

Public participation in local government structures, policies and processes is synonymously

associated with the Principles of Batho Pele, which emphasize, *amongst others*, key concepts of consultation, access to information, communication, customer care and value-for-money. The relevance and effectiveness of public participation is embedded in the local authorities, the politicians and the community who are the beneficiaries of enhanced service delivery. According to Grueneich (2008: 6), the term public participation is viewed broadly as a process that can be termed public if it occurs in public and addresses a matter of public concern or engages members of the public; the more fully engaged, the more *participatory* it is. If that engagement is planned to result in as many people affected by a public policy or actions, then that public process can be termed as an ideal instance of *participatory democracy*. Since public participation can be viewed as an ambiguous concept both in its conceptualization and implementation, it can be noted that the context of the terminology refers to citizen participation in decision-making processes that affect the public in whole or in part thereof.

The following quotation by Putnam (in Cuthill and Flen 2005: 67) aptly sums up the significance of the definition of public participation as follows:

“People learn to trust one another through face-to-face interaction in associations and informal social networks, norms of trust and reciprocity “spill over” into society at large, a capacity is created for collective action in pursuit of shared goals, citizens expect and representatives provide, competent and responsive government”.

From the afore-going quotation, the essence of a public participation approach cannot be overemphasized.

1.6.2 PUBLIC CHOICE THEORY

The complexity and enormity of citizen participation in government institutions is of paramount importance especially in relation to the design, mechanism and intended goals and outcomes of participation. According to Buchanan and Tullock (in Robbins et al 2008: 566) the foundation was laid for public choice theory as it relates to citizen involvement in government decisions. With regard to government services that are collectively paid for and consumed, citizens are unaware of the link between the benefits they receive and the amount they pay. Furthermore, ignoring citizens because of a lack of knowledge means that managers might substitute their own preferences for that of the public, or act on their heuristics about what the public wants.

1.6.3 PUBLIC PARTICIPATION IN DEVELOPMENT PLANNING

Public participation is also an integral component of development planning and ought to form the basis of a municipality's strategic focus when linking planning to development initiatives. Public participation can be popularised as joint learning by active engagement with municipal officials and councils and councillors. According to Innes (in Norworthy et al 2008: 1), joint learning changes both accepted ideas and attitudes and it can produce innovative approaches. Furthermore, the emphasis is on communicative planning which centres on extensive communication and interaction with a community. According to Healy, Friedman and Habermas (in Norworthy et al 2008: 1), communicative theorists use communicating methods to ensure that development planning is equipped to deal with the wide variety and diversity of experiences and ideas that communities have to offer. Furthermore, the author emphasizes that the communicative-centred approach has of necessity been community-based and bottom-up. According to Muller (1999: 10), this approach was followed to reach out to local communities with a view to enable them "to exercise their right to self-interest and self-expression, their right to exercise choice and express preference, to make decisions and make mistakes, to explore and experiment, to play a productive part in the development of their living environment." It can be argued that development planning is central for good governance in urban management and human settlement. Public participation in development planning therefore means devising plans and policies geared for social, economic and physical needs of communities, but more importantly, in collaboration with the community, to develop joint strategies in ensuring that integrated plans are aimed at promoting their quality of life. Hence the concept "community development planning"! The key is not only ongoing dialogue with the community, but working with the community to develop a common vision, analysing local problems, visualizing their futures, comparing alternatives and describing the implications to enable communities to make informed decisions and work jointly towards building the vision (Hamabwe 2008: 1).

1.6.4 REAL PARTICIPATION OR PSEUDO-PARTICIPATION?

According to Moodley (2002: 4), arguably, IDP processes did not actively engage local communities and other key stakeholders are not a fair and clear assessment to make. In the first category of IDPs at eThekweni Municipality, the Local Council made concerted efforts to consult communities via workshops and the Local Councils made vigorous attempts to engage communities at various stages leading to the preparation of their IDP¹. The creation of “Consultative Forums” was recognised as an important milestone in bridging the communicative gap between local government and the various civil society structures. A more closer and critical assessment of these consultative processes, will reveal that their underlying philosophy was that in order for local government to deliver on its mandate, it was necessary for communities to participate in what was essentially the Councils’ Key Participation and Development Plan. Therefore, a robust interactive approach was adopted. More importantly, the scope for real decision-making by citizens was limited, given the design of the overall methodology. Whilst citizens’ “needs” were determined, these were often recorded more as project “*wish lists*” that was to be prioritized by the Council, given its limited resources. The result of such a process (which is often underplayed) is a real sense of community disappointment and disillusionment with a process that raises expectations and fails to deliver. The need to move away from such “*pseudo participation*” was an important driving force in the quest for a better, more people-focused and customer-centered methodology. Municipalities face complex problems with difficult solutions when it concerns citizen participation. The ever-daunting challenge exists for municipal institutions to gauge citizen preferences in the context of complex governmental decisions. According to Robbins et al (2008: 565), the specific role that citizens play is often under-estimated. This is captured succinctly in the following quotation by the aforementioned authors, as follows:

“In the ideal bureaucracy, there is no place for citizen participation. Citizens lack technical expertise, are unfamiliar with bureaucratic routines, and are emotionally involved in issues rather than being detached and rational. Citizens are outside the hierarchy and therefore hard to control. As a consequence, participation may increase the time needed to reach decisions as well as the level of conflict.”

¹ See in particular Durban’s North and South Central Local Council (1998), North Local Council (1998) and the Inner West Local Council’s Integrated Development Plan (1998).

However, Thomas (in Robbins et al 2008: 565) examines participation through the lens of the public administrator and reviews numerous citizen involvement processes. The following is a list of the “*dos and don'ts*” of participation:

- Anticipate participation issues;
- Define issues in ways likely to lead to resolution;
- Do not view public involvement as good or bad, it does not always lead to a better outcome;
- Know what you want from the public involvement;
- Public involvement means sharing decision-making authority;
- Be aware in advance the segments of the public to be involved;
- Consider citizen attitudes towards public goals when the need for acceptance requires public involvement;
- Select the appropriate involvement technique, such as public meetings and citizen surveys, and
- Work to build the relationship with citizens.

1.6.5 DEVELOPMENT INDICATORS

The emphasis of development planning in the New Public Management era is on performance management of municipalities in relation to service delivery. A multiplicity of factors, according to Khosa (in Marais et al 2008: 390) are noted, where key performance indicators (KPIs) must facilitate the empowerment of communities to participate in municipal affairs. In particular, the following aspects are worthy of mention: assessing the relationship between civil society and municipalities, issues on municipal good governance, accountability, transparency, effective participation in local governance, performance and output-orientated, regular feedback.

1.6.6 STRATEGIC MANAGEMENT

According to Ehlers and Lazenby (in Theron, 2008: 1), strategic management is defined as:

“... the process whereby all the organizational functions and resources are integrated and co-ordinated to implement formulated strategies which are aligned with the environment, in order to achieve the long-term objectives of the organization and therefore gain competitive advantage (or edge that an organization has that others don't) through adding value for the stakeholders.”

Colloquially, it simply implies that *“it cannot be business as usual”* regarding policies, processes and implementation of key strategic plans. Strategic management has significance and relevance for IDPs in local government, and in particular eThekweni Municipality.

1.6.7 MUNICIPAL STRATEGIC MANAGEMENT

Municipal strategic management is defined as the strategic attempt by a municipality to allocate scarce resources to identified projects and programmes thus linking these developmental initiatives to its IDP. Through its integrated plan, local citizens are able to come together and share their input in a holistic and integrated manner. According to Temba (1999: 1), the strategic focus for municipalities is on a decentralization process which involves the creation of a framework for strategic planning and community participation. Furthermore, the decentralization policy embraces the bottom-up approach to the delivery of high quality services and development for communities.

1.6.8 SUSTAINABLE CITY

The International Centre for Sustainable Cities² (ICSC) was formed in 1993 to bring the idea of urban sustainability into practical action. A *“do tank”* as much as a *“think tank”*, it brings together the business, local community, civil society organizations and various levels of government to tackle urban issues affecting cities and communities. Some of the salient issues include urban planning and design, land-use planning, transport and logistics, solid waste management, urban greening and environmental conservation, energy efficiency, disaster and risk management, poverty reduction strategies, local governance and multi-party participatory processes which can affect and influence urban form and impact on local communities for the

² See www.icsc.ca

next century. In 2004, ICSC launched the PLUS Network³ (Partners for Long-Term Sustainability), a network of approximately 15 cities in developed countries and another 15 in developing countries aimed at facilitating a rapid exchange of ideas between cities embarking on a process of integrated long-term sustainability planning. This network is based in Canada, and encourages the sharing of learning experiences while having a diverse membership to ensure that lessons learned will be widely applicable (Aylett and Plunkett 2008: 1).

The Imagine Durban Project⁴ currently being launched by eThekweni Municipality is influenced by ICSC and PLUS Network. Using an integrated and comprehensive approach, eThekweni Municipality has embarked on a campaign to involve all sectors in the City's strategic goals.

From the afore-going discussion regarding salient concepts defined in this research study, the literature review further highlights the view that public participation in development planning is not just a social praxis or a participatory cliché, but that the exigencies of citizens' demands and the active involvement and role played by local communities in urban strategic planning and development cannot be undermined. The discussion should not disparage the exciting and rapidly growing emphasis of increased public participation for good governance in municipal planning and strategic management. Ultimately, the research attempts to analyse whether the statutory measures and other policy directives actually translate to meaningful public participation, or whether civil society suffers from incipient or actual political rhetoric.

Furthermore, the study examined eThekweni Municipality's IDP, and analysed the various challenges of public participation within the LTDF and against the backdrop of developmental local government. Amongst the various concerns were, *inter alia*, the net effect of community participation and decision-making in the current IDP; the role of the Council and councillors in fostering participatory governance within the political and management interface; the criteria to evaluate the extent of community participation and development and a review of institutional structures, programmes and activities (within the purview of municipal strategic management and transformation) relating to the formulation, preparation and implementation of IDPs.

³ See www.plusnetwork.icsc.ca

⁴ See www.imaginedurban.com

This discussion leans on a larger context of urban development and networks of community participation in some renowned cities around the world, which are shaped by human movements and a range of social, political and economic initiatives. It is common knowledge that cities have become the focal point of public attention all around the world, especially in relation to urban management and finding creative and equitable ways of planning and shaping their local governance. The trajectory that public participation is implicit in that interface, serves to infuse the discussion and increasing significance of public participation in local governance. Both local government and the citizens must join hands to ensure that the social, physical and economic assets of municipal delivery form part of a symbiotic and co-operative sociability, with the emergence of new forms of reciprocity for local communities through wider political processes.

Moving beyond urban pathologies and local bureaucracies in urban governance and development, lies the necessity for a new kind of bridging mechanism and co-ordinated lobbying to advance the legitimacy of public participation in strategic planning initiatives. Put succinctly, development planning must translate into local input and be representative in promoting a new form of development planning, thought and practice. The study is based on the premise that social capital (at grassroots level) and local governance are intrinsically linked. Some of the above themes and key conceptual framework are explored in more detail in the chapters that follow. The next part of this chapter briefly outlines the research methods and design used in the study. A more detailed explanation follows in Chapter Five.

1.7 RESEARCH METHODS AND DESIGN

The research methodology applied included a literature review, empirical survey, theoretical and practical underpinnings impacting on developmental local government, using a case study approach. It offers data interpretation and finally, the presentation of recommendations. A brief discussion of the procedure adopted to solve the main and sub-problems is presented hereunder:

1.7.1 LITERATURE SURVEY

Responses to the development process were identified through the use of a wide range of contemporary literature including, *inter alia*, books, journals, conference proceedings, reports from municipalities and other government departments, published and unpublished source documents and government legislation on local government, in an effort to find possible solutions and interventions.

1.7.2 EMPIRICAL STUDY

The empirical study consisted of data collection via questionnaire surveys to five communities, one hundred councillors and sixty council officials. The questionnaire was used to determine the degree of understanding of the IDP (see Appendix E). There were several components to the pre-coded questionnaire used in the study, ranging from biographical data to participation in local government structures, knowledge of the IDP, role of stakeholders, linking planning to spending patterns in the IDP, mechanisms for facilitating/improving the IDP, response to the First Five-Year Plan and impact of international trends on the IDP. The questionnaire intended to examine the management of the Integrated Development Plan and the Long-Term Development Framework (LTDF) at eThekweni Municipality. This study therefore seeks to evaluate the impact of public participation on the IDP of eThekweni Municipality, with a view to improving the reciprocal and significant relationship for enhanced local delivery.

1.7.3 SAMPLE

The population size for the three sectors of the respondents varied. A representative sample of sixty was chosen from each of the five residential areas. One hundred councillors and sixty council officials were surveyed in total from the greater Durban area and Municipality respectively.

1.7.4 STATISTICAL APPROACH

Both Descriptive and Inferential Statistical analysis informed the research study. A detailed discussion of both these approaches is provided in Chapter Five of the research.

1.7.5 HYPOTHESES TESTS: P-VALUES AND STATISTICAL SIGNIFICANCE

The most important application in the social sciences of the statistical theory around sampling distributions has been significance testing or statistical hypothesis testing. The researcher is interested in the outcome of a study on the impact of the IDP on public participation and whether the IDP has translated into effective local delivery.

1.7.6 FACTOR ANALYSIS, BAR GRAPHS AND CROSS TABULATIONS

Factor analysis is a technique in statistics that was used to identify a relatively small number of factors in order to highlight the relationship among a set of inter-related variables. A range of variables were identified in the study and the inter-correlations between these variables are of significance (Blanch et al 2001: 248). Furthermore, bar charts were found suitable to present the data and to highlight significant visual display of the responses to the empirical survey. Cross tabulations were used to examine observations of specific categories on more than one variable. A description of the factor analysis, bar graphs and cross tabulations is presented with the findings of the empirical study in Chapter Six.

1.7.7 STATISTICAL SOFTWARE

The analysis of the research was interpreted using the following statistical software packages: Statistical Package for Social Sciences (SPSS Version 15) – a comprehensive set of programmes designed for use by social scientists. Although the software provided a wide range of statistical options for design, analysis and presentation, the research was also analyzed with the aid of Statgraphics Centurion.

1.8 LIMITATIONS IN THE EMPIRICAL SURVEY

The following were considered the most likely limitations experienced: refusal to respond, intelligibility to respond to certain questions and lack of knowledge of specifics of the IDP. Some of the selected responses (for example, where the respondents were unsure) did pose a problem with the total responses especially from the community perspective. Furthermore, the

research would not be able to analyse every aspect of the IDP process, but would be limited to the role of community participation. Finding sufficient evidence in this case study to support the hypothesis is a challenging task given that community-driven development and participatory planning can be led by particular engendered interests, leaving those that are least powerful without a voice or much of a choice, a view purported by Gaventa (in Mngxali 2006: 13). A further problem is that communities are seldom, if ever, unified and homogenous. According to Emmett (in Mngxali, 2006: 10), the diversity of interests in communities can impact on development.

1.9 OVERVIEW OF CHAPTERS

The various chapters of this study are organized as follows:

CHAPTER ONE – INTRODUCTION AND OVERVIEW OF THE STUDY

The demarcation of the various chapters, the field of study and the research approach is outlined in this introductory chapter. It includes the formulation of the research objectives and study goals, as well as an overview of the proposed study. Having defined the conceptual framework of the study in this chapter, the emphasis is to effect local democracy and bring out social and economic delivery. There are three key desiderata of the current dispensation of local government, namely: *municipal strategic governance*, *IDPs* and *public participation*. These themes are introduced in this chapter and echo throughout the study. Furthermore, this chapter presents key summaries and a synthesis of the various chapters in the research.

CHAPTER TWO – LOCAL GOVERNMENT RESTRUCTURING WITH PARTICULAR REFERENCE TO ETHEKWINI MUNICIPALITY

This chapter examines the role of local government in a post-apartheid South Africa, focusing on the strategic role of developmental local government within the current dispensation. The chapter also presents a situational analysis of eThekweni Municipality's IDP and its LTDF, and focuses on the restructuring and transformation of its administrative, managerial and institutional structures regarding public participation for local collaborative action. It further examines the efficacy of the municipality's IDP and the extent of participation in its long-term

developmental plan. The transformation agenda of eThekweni Municipality is viewed from a systemic and systematic perspective with emphasis on the significant achievements of the Municipality regarding its development plan and visionary framework.

CHAPTER THREE – MUNICIPAL STRATEGIC MANAGEMENT WITHIN THE PARADIGM OF PUBLIC ADMINISTRATION

Major theoretical contributions to the discipline of public administration have been very lucidly explained in the research. Furthermore, Chapter Three illustrates the conceptual link between local government, and its relationship with the paradigm of public administration. The chapter further locates municipal strategic management within the evolution of public administration as a specialized field of study. The importance of the service delivery agenda of local government as a sphere of government is highlighted within the broader framework, and promotion of the quality of life as a cornerstone of public administration in practice is also emphasized. The discussion also expands on a focus of the New Public Management (NPM) from a post-modernist perspective. A modest and pragmatic approach is adopted in presenting a discussion of municipal strategic planning within the New Public Management perspective. The intention of this chapter is to provide a more nuanced approach to the theory and practice of public administration in municipal strategic management.

CHAPTER FOUR – PUBLIC PARTICIPATION: A KEY ELEMENT OF MUNICIPAL INTEGRATED DEVELOPMENT PLANNING

This chapter examines the crucial strategic role of local government with particular emphasis on integrated development planning. It also explores the synthesis of integrated development planning and performance management in local government. This is premised on a Constitutional and policy framework. The focus is on the socio-economic model, strategy, policies and participatory planning as a methodology and process for IDPs. There are many conceptions of community engagement, people-centred development and citizen participation in several key policy documents in the post-apartheid era. The popular notion of public participation is reviewed across a matrix of the current mechanisms within the IDP. The chapter highlights a discussion beyond theorising community participation; it examines some practical

realities and a dialogical vision of the role and deliberation of communities. It attempts to situate public participation within the framework of IDPs, from a legislative context to the complexity and plurality of genuine participation which moves beyond the political rhetoric. The chapter commences with a key focus on IDP and thereafter locates community participation as a central element of discussion throughout the study, which makes this chapter one of the most significant definitional approaches to public citizenship, municipal governance and development planning. Since decentralization is viewed as an important form of participatory democracy, this chapter presents a brief focus on decentralization and local governance in developing countries as a comparative perspective, using selected literature.

CHAPTER FIVE – RESEARCH METHODOLOGY

Chapter Five discusses the research design and the methodology used and presents the different types of statistical analyses arising from the empirical study. The researcher used a triangular approach, incorporating the responses from three measuring instruments (municipal council officials, councillors and community stakeholders) and compared the responses from the three sectors to obtain objectivity and reliability in the presentation of responses and results.

CHAPTER SIX - RESEARCH ANALYSIS, PRESENTATION AND DISCUSSION

In this chapter, an empirical analysis is traced and presented to support the theory that evolved in Chapters Two, Three and Four. Furthermore, this chapter presents an exposition of the presentation and analyses of results, using appropriate statistical tests and research designs. Available research findings have been used to provide empirical support to the discussion and to illuminate the conceptual content raised in earlier chapters and in the analysis of surveys conducted. The responses of the questionnaires were collated, codified and extrapolated in a methodological manner, using SPSS and the expertise of a qualified and professional statistician. A synthesis of the research findings is presented as recommendations in the subsequent chapter of the study. However, it is significant to note that currently, several municipalities are increasing engaging their local communities to gauge their level of satisfaction regarding municipal delivery.

CHAPTER SEVEN – GENERAL CONCLUSIONS AND RECOMMENDATIONS

This chapter seeks to draw significant conclusions and recommendations from the findings of the empirical research. It is hoped that these recommendations will assist eThekweni Municipality in dealing with the challenges facing it with regard to participatory governance, and ultimately contribute to the developmental commitment of the Municipality in its quest for a more efficient and effective delivery mandate. It is envisaged that the current institutional requirements in local government will support and facilitate citizen participation in local governance.

1.10 CONCLUSION

When the Constitution of the Republic of South Africa, 1966 (Act 106 of 1996) was promulgated, a new era was introduced for local government in South Africa. The interdependent and interrelated status of municipalities functioning as a distinctive sphere of government in relation to the other spheres (Section 40) provides a sound foundation for this sphere to play a unique and significant purpose in the development of society. Where municipal service delivery is driven by Constitutional values, good leadership and impeccable attitudes (see Section 195 (1) of the Constitution), chances are good that all factors hampering good service delivery for example, misappropriation of funds, poor performances and not meeting target dates will be minimized.

The public at large, scholars and practitioners are concerned about transformation that should be brought about to enhance the quality of performance in local government. Theoretical knowledge regarding public participation in the IDP has been greatly advanced in both legislation and in practice. This concern culminated in the search for ways and means to comply with three fundamental requirements i.e. accountability and responsibility, local governance and management and municipal service delivery Tourigny et al (2003: 1036). Accountability can be linked with the concept of control and performance reporting. Without consistent processes of control in municipalities, it would not be possible for councillors and managers to give account for their actions and inactions. Management provides the support and the mechanisms to ensure

that human capacity, amongst others, is utilised in a way that it could survive the test of compliance and subsequently public scrutiny. The delivery of services is the first point of impact, where issues such as transparency, openness, scrutiny and efficiency are experienced first hand by customers. It is also the point where policies and human behavior are analyzed and assessed in terms of their relativity of being good or bad. All these issues can be summarized in the one basic ideal ie. to comply with legal and policy requirements aimed at promoting the quality of lives of people.

The research study therefore, in Chapter One, not only delineates very briefly the methodology of the survey conducted, but the literature review focuses on defining some of the most resonant key concepts of contemporary development debate and discussion, including: participatory governance, accountability, citizens' rights-based development, urban development planning and a "people-managed" view of development as a key instrument for urban municipal management. The emphasis is also on a strategic and formative approach to development planning as required by municipalities in the current dispensation. It must be noted though, that few decisions become more preferential or influence the daily lives of citizens more than the fundamental choice of how much services to provide, in what manner or how to regularly interface with them.

CHAPTER TWO

LOCAL GOVERNMENT RESTRUCTURING WITH PARTICULAR REFERENCE TO ETHEKWINI MUNICIPALITY

2.1 INTRODUCTION

On 27 April 1994 South Africa underwent a new Constitutional Order which saw a host of reforms and changes in all spheres of government. There were several changes that took place at national and provincial levels. Furthermore, local government underwent fundamental changes with the new Constitutional mandate. The 1996 Constitution completed the negotiated framework of transformation and established a new governmental structure regarding the three spheres of government in the country. A critical function of the new local government structure and reform process is the building of local communities and environments and to establish a new foundation for a democratic, integrated, prosperous and non-racial society.

In the light of the above discussion, the importance of local government in the new structures is self-evident. Local government has been afforded decentralized authority, and it therefore brings decision-making closer to the people as this is best suited to ensuring public involvement of the local citizenry. Local government has often been described as the cornerstone of ensuring an overall democratic government. It serves as the government that functions very closely located to the people and is involved in rendering of essential services that are necessary to promote the quality of life. One can truly regard local government as an essential service provider “*from the cradle to the grave*” (Bekink 2006: 16).

This chapter focuses on restructuring and transformation within eThekwini Municipality, in some detail.

2.2 HOLISTIC PERSPECTIVE ON THE NATURE AND MEANING OF LOCAL GOVERNMENT

The term *local government* is generally used to refer to a decentralized, representative institution devolved with general and specific powers devolved upon it by the central or provincial government, in respect of a restricted geographical area within a nation or state, and in the exercise of which it is locally responsible and may to a certain degree act autonomously (Leemans 1970: 10). A local government is thus an institution that the central government has established by law for the residents of a particular area. It has the authority to exercise legislative and executive authority in an area demarcated according to law by a higher authority, and it is an autonomous body within the limits of the constitution of a country as well as national legislation. It also has the power and functions to provide services and amenities to residents in its municipal area and promote and maintain their well-being.

Building on this definitional framing, Reddy (1999:10) and Brenner (2004:17) highlight the following key characteristics of local government:

- ***Locality***, which refers to a relative small geographical area in which a sense of community consciousness is evident;
- ***Legal personality***, which refers to the constitutional arrangements, legislation, and regulations that define the powers of local government;
- ***Autonomy***, which refers to the capacity of local government in binding decisions and policy choices within a legally stipulated framework, allocation of resources and provision of locally specific services;
- ***Governmental powers***, which refers to the authority to carry out formal governmental functions such as revenue collection, the allocation of resources and the making of political choices; and
- ***Participation and representation***, which refers to the way in which community representatives are elected or appointed to serve people, as well as the way in which people have the opportunity to participate in government affairs.

From the preceding discussion, it can be deduced that local government is also the sphere of government that directly serves the needs of communities at grassroots level. It is regarded as a distinct sphere, as opposed to tier of government, and is thus regarded as an equal sphere to central and provincial government. Improving the liveability and competitiveness of cities places big demands on urban governance and management. Good governance implies inclusion and representation of all groups in the urban society, as well as accountability, integrity, and transparency of local government actions in defining and pursuing shared goals. Capable urban management requires a capacity to fulfill public responsibilities, with knowledge, skills, resources, and procedures that draw on partnerships.

2.3 BRIEF HISTORY OF LOCAL GOVERNMENT IN SOUTH AFRICA

A race-based municipal demarcation and the unequal access to and provision of services and resources to local inhabitants have for many decades been part of the South African Constitutional history. The implementation of a system of segregation on racial grounds was already a policy of the government-of-the-day at the time when the formal policy of apartheid was introduced in 1948 by the then National Government. The policy of racial segregation was aimed at limiting the extent to which financially and infrastructurally strong white municipalities would be responsible for bearing the brunt of the financial burden of servicing and maintaining disadvantaged black local authorities. Through a process of spatial separation, various types of control measures and a policy of managing own areas, two separate local government systems were introduced.⁵ The system of own local government was designed only to reinforce the policies of segregation and economic exclusion and not to advance the quality of life of the various constituents (Bekink 2006: 23-24).

2.4 LOCAL GOVERNMENT RESTRUCTURING AND TRANSFORMATION

The initial process of transformation was set in motion by the Local Government Negotiating Forum (LGNF) in 1993. It identified the important role of local government to provide equal and acceptable services to all local communities. There was a call on all local governments to

⁵ See the White Paper on Local Government, March 1998, Government Notice 423 of 1998 at 21.

resume and improve services and to establish the principle of one municipality, one tax base. The transformation process was not done within a short time frame, but was a phasing in process. The transformation of local government was initiated via the Local Government Transition Act which commenced on 2nd February 1994, and three distinct phases of transition of local government were identified.⁶

2.5 NEW LOCAL GOVERNMENT DISPENSATION

According to the Constitution of the Republic of South Africa (Act 108 of 1996) and the Local Government Municipal Structures Act (Act 117 of 1998), a new local government structure consisting of three categories of municipalities is abbreviated as follows:

- **Category A:** Metropolitan municipalities with exclusive municipal executive and legislative authority in their area. The term *metropolitan area* is sometimes abbreviated to ‘metro’;
- **Category B:** Local municipalities which share municipal executive and legislative authority in their area with the Category C (district) municipality within whose area they fall; and
- **Category C:** District municipalities which have municipal executive and legislative authority in an area that includes more than one local municipality for which the district council is responsible.

This new local governance system is still in a process of refinement. The dynamics brought about especially by legislation, power struggles, socio-economic and political pressures, and local needs, will probably still take years to stabilize. Parnell et al (2002: 287) highlights that some of the most significant challenges local government faces in South Africa, include the following:

- Inexperienced and/or uncommitted officials and political representatives;
- Vested interests and an organisational culture not conducive to new realities;
- Municipal structures, processes and technologies that are not aligned with a new paradigm;
- A lack of funding and resources from local revenue, and from other governmental levels, and
- A lack of ability to adjust to new policy imperatives.

⁶ These phases were the pre-interim phase, interim phase and final phase (following the last local government elections held in terms of the provisions of the 1996 Constitution).

In spite of the challenges confronting local government, municipalities are required to deliver on their mandate, whilst at the same time ensure that they are sustainable.

2.5.1 LOCAL GOVERNMENT AND DEMOCRATIC VALUES

According to Gildenhuis et al in Reddy (1996: 52), there are certain democratic values that serve as guiding principles for local government management and development. Some of the most pertinent values can be summarized as follows:

- The application of resources must satisfy the collective needs of individuals. The object of local government is to serve the individuals in their communities. Local government therefore exists for the sake of the individual and not the other way around;
- Direct participation in decision-making by citizens is essential. This could be achieved through town meetings in small communities and through ratepayer associations, vigilante groups and social/political associations in larger communities. Direct and indirect participation in decision-making is a necessary condition for democratic local government;
- The value of responsibility and accountability arising from the tenets of democracy is recognised. Councillors should be sensitive to public problems and needs, feel responsible for satisfying the needs, and realize their accountability to the public. This calls for regular interfacing between the councillors and the electorate;
- Responsibility for management of programme effectiveness so as to guarantee that needs are satisfied efficiently and effectively is crucial; and
- Social equity emanating from the tenets of democracy, which raises the question: Do municipal services rendered by local authorities enhance social equity? One of the main principles of social equity is the maintenance of high ethical and moral standards.

The value perspective and spirit of public orientation is fundamental when dealing with communities' socio-economic welfare.

2.5.2 “DEVELOPMENTAL LOCAL GOVERNMENT”

Local government has been popularly known as “*Developmental Local Government*” within the restructured and transformation era. It is necessary to demystify this concept for the purposes of this study. The definition of development, according to Visser (2005: 10), is as follows:

“The satisfaction of material needs, the improvement of a standard of living and the reduction of absolute poverty. It relates to the improvement of the material well-being of people. A sole focus on the desire to improve the material well-being of people has led to a misguided concept of development, which is referred to as developmentalism”.

The criticism of this concept which has been influenced by a process of redefining development was aptly voiced by Mkwandawire in Visser (2005: 10), as follows:

“... development has become an alienating and humiliating concept for people helplessly sensing that they are to be developed and made to feel that their other preoccupations are retrograde ...”

However, an interesting definition by Julius Neyerere (in Visser 2005: 10) reaffirms social development as follows:

“Development brings freedom, provided it is development of people. But people cannot be developed, they can only develop themselves...A man develops himself by joining in free discussion of a new venture and participating in the subsequent decisions, he is not being developed if he is herded like an animal into a new venture” (Visser 2005: 10).

The interim Constitution in South Africa in fact, gave meaning to the concept local governance. Local government has been Constitutionalised in terms of Chapter Seven, and is a sphere of government equal in all respects to the two other spheres of government, namely National and Provincial. The new local government mandate has meant a conceptual shift from local governments as administrative service delivery agents to the promotion of developmental goals and principles, namely local democracy, sustaining and improving an adequate standard of living, a safe and healthy environment and co-operative government. The White Paper on Local Government introduced new concepts and terminology which proved to be a watershed in the history of local government and will certainly reverberate for years to come. It translated the objects and developmental duties enshrined in the Constitution as “developmental local government” which is “committed to working closely with citizens and groups to find

sustainable ways to meet their social, economic and material needs and improve the quality of their lives overall” (Republic of South Africa 1998: 17).

According to Mogale (in Mhone and Edigheji 2003: 219-226), the present developmental local government model is premised on recognition of the primacy of linkages between development, service delivery and local citizen participation, defined as the organized effort to increase control over resources and regulative institutions. The challenge for the current local government dispensation is to deepen and strengthen local democratic culture. This will invariably ensure that participation becomes synonymous with development.

The characteristics of developmental local government are maximizing social development and economic growth (stimulating local economies and job creation); integrating and co-ordinating (mainly through integrated development planning); democratising development (harnessing the input and energy of local citizens) and leading and learning (building social capital at the local level to enable local solutions to address development problems). The key outcome of developmental local government includes, *inter alia*, the provision of household infrastructure and services; the creation of livable, integrated cities, town and rural areas, local economic development and community empowerment and redistribution (Republic of South Africa 1998: 18).

Local government has been given a new face within the new Constitutional system of South Africa. Since the local government elections held during December 2000, local government has entered into the final phase, according to the restructuring process set out in the Local Government Transition Act. Apart from the above-mentioned aspects, many new institutional, membership and procedural requirements have been established which are all ultimately protected in the highest law of the state. Although the Constitution has created the new legal framework for local government, this framework has been complicated by various external factors such as financial, administrative and legislative difficulties. In order to fully understand the local government of the future, it is important to investigate the current status of local government in the country, and to evaluate some of the problems facing local municipalities Bekink (2006: 41-2).

The South African Constitution states that “everyone has inherent dignity...” A narrow definition of development that misses the empowerment element militates against a person’s dignity. Development must be initiated and sustained by people themselves. For this to happen, they need to be equipped with choices and possibilities. Therefore, the United Nations Development Programme speaks of human development as “a process of enlarging people’s choices”. It continues by specifying the enlargement of choices as the expansion of human capabilities and functioning. Some authors regard the satisfaction of strategic needs as part of development. Development is therefore about every person having the ability and opportunity to make choices about their well-being (Visser 2005: 11).

The concept of developmental Local Government can best be summed up by the words of Mbeki at the SADC Local Government Conference in 1999:

“There is a renewed interest in local government sweeping across the African continent. This is informed by a common recognition that the system of local democracy enriches the overall project of national liberation and democratization, and that decentralization of government power to the appropriate local level actually strengthens government through rendering it more effective. There is also common commitment to the notion of developmental local government with a focus on the strategic role of local government in promoting social and economic development at a local level” Visser (2005: 20).

The impact of the above definition is that decentralization is good for developmental local government, which borders on material well-being, choice and equity. Following the developmental concept, is the object of local government which demonstrates the function of local government in the subsequent discussion.

2.5.3 OBJECTS OF LOCAL GOVERNMENT

According to Bekink (2006: 67), the Constitution sets specific objects for local government that should be achieved within the lowest level of government operations. In this regard, Chapter Seven of the Constitution states that the objects of local government are to:

- Provide democratic and accountable government for local communities;
- Ensure the provision of services to communities in a sustainable manner;
- Promote social and economic development;
- Promote a safe and healthy environment, and

- Encourage the involvement of communities and community organisations in the matters of local government.

The role and purpose of local government is not only strongly linked to the Constitution, but there is much emphasis on the notion of enhancing public participation in local government structures and local service delivery. The focus is now placed on the statutory framework of local government to contextualize the nature of the research.

2.5.4 STATUTORY FRAMEWORK GOVERNING LOCAL GOVERNMENT IN SOUTH AFRICA

There are several key laws that focus on the management and functional aspects of local government within the current dispensation. Some of the most pertinent legislation is cited below:

2.5.4.1 CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA, 1996 (ACT 108 of 1996)

With the birth of a new Constitutional order for South Africa, the entire local government dispensation had to be restructured and transformed. A structure for local government was incorporated into the Constitution of the Republic of South Africa, 1996 and the completion of a new local government dispensation. According to the Constitution of the Republic of South Africa Act 108 of 1996 (hereafter ‘the Constitution’), the objectives of local government are highlighted. The role and purpose of local government is not only strongly linked to the Constitution, but there is accelerated focus on enhancing public participation in local government structures and local service delivery. The Constitution is an all-embracing piece of legislation from which the need for effective and efficient municipal services must be rendered.

All available resources, *albeit* limited, were to be mobilized to ensure the efficient, effective, accountable and sustained development of a large segment of the population without basic services such as housing, water, sanitation, electricity, transport and education. The challenge facing local government is to take a country like South Africa, characterized by

underdevelopment, with millions of people classified as poor, without a proper income and living under the “bread line”, to an ideal situation where everybody would have a better quality of life (Theron 2008: 2).

Local government is currently embracing democratic ideals of the entire nation, thereby providing for the general welfare of all citizens in the country. The establishment of a set of enduring values with an emphasis on a social pact through which reconstruction and development could be genuinely promoted for the community is being upheld. There has been ongoing restructuring within national imperatives which arose out of the Constitution to better serve the needs of the nation’s poor, and to ameliorate the crisis of legitimacy inherent in the legal system which has served to oppress, rather than to provide a just system for the South African majority, and to transform the public service and local government so that it accurately reflects the country’s population.

Unless there is meaningful delivery of social and economic service, democracy and the philosophy and practice of human rights cannot survive in South Africa. The Reconstruction and Development Programme provided a vision and a plan for social and economic upliftment for the disadvantaged communities in the country. If South Africa does not consolidate and maintain its democracy and create a service delivery culture involving social and economic development, it will be challenged to manage its goals despite the obstacles of a large multi-cultural heterogeneous population, a paucity of resources, high levels of poverty and deep social divisions.

As Dahl observed in Devenish (1998: 348):

“To assume that a country has remained democratic because of its Constitution seems...an obvious reverse of the relation. It is more plausible to suppose that the Constitution has remained so because the society is essentially democratic”.

It follows then, that the meaning of the provisions of the Constitution is not to be located in the intention of the drafters, which is a decoding of the written text. The interpretation is not concerned with the psychological intention. What is relevant is an “institutional intention” since the legislature is a composite body and not an individual. Constitutional interpretation is

involved with giving expression to the universal ethical and moral values that are encapsulated in the Bill of Rights (discussed in Chapter Three which focuses on municipal strategic management).

It must be noted that there exists a strong link between the basic provisions of the Constitution and the role and function of local government in municipal service delivery. The provision of municipal services renders a significant contribution to the quality of life of communities. To this end, the Bill of Rights, the Government's Reconstruction and Development Programme, the Principles of Batho Pele, Integrated Development Planning and the tenets of the 1996 Constitution, all contain a significant focus on community service. To emphasise this focus, the following key points of the Constitutional arrangements are noteworthy: local government is a distinct sphere of government in its own right; the spheres of government must respect each other's Constitutional status, institutions, powers and functions; co-operative governance between the national, provincial and local spheres of government is an important consideration and local government must be democratic, efficient accountable, developmental and sustainable, according to Sections 41, 151 and 154 of the Constitution and Section 3(1) of the Local Government Municipal Systems Act 32 of 2000).

In the words of the Constitutional Court (Visser 2005: 65) asserts that:

"...Local government structures are given more autonomy in the current era than they have in the interim Constitution. But, it needs to be borne in mind that the Interim Constitution contemplates that local government will be autonomous though it does not delineate the boundaries of the autonomy as the new Constitution does. Whereas in the interim Constitution the potential concurrency of powers in Parliament and the provincial legislatures is in respect of the whole field of local government, power will now be allocated to specific areas of competence. It is in this process that the local authorities are afforded greater autonomy at the expense of both Parliament and the provincial legislatures. There is a corresponding diminution of the powers in respect of local government as compared to both the national and provincial legislatures".

According to the then Deputy Minister, V Moosa in Visser (2005: 65), the following statement regarding local government is significant:

"Local government in this country, as in many other countries, has always been treated as a stepchild of the first and second tiers of government. We have attempted, and I think we have by and large succeeded, in removing this second class status of local government. Local

government is now recognized, side-by-side with the national and provincial level, as a tier of government in its own right with the full constitutional protection that provincial governments themselves enjoy”.

From the afore-going quotations, local government is afforded the status and recognition in the Constitution, and is empowered with the necessary functions and responsibilities.

2.5.4.1.1 IMPACT OF THE CONSTITUTION ON THE NEW LOCAL GOVERNMENT DISPENSATION

Evidently, there has been a spate of changes taking place in local government. A significant milestone in local government has been the general elections for local government held on 5 December 2000, when the vision and mission of the new local government system was conceived. The new legislative framework for local government was mandated by the Constitution.⁷ The final phase of local government, according to Bekink (2006: 37), is thus to be founded on two fundamentals: new local governance directed at working with all local residents and communal interests in order to establish sustainable mechanisms to fulfill the needs and improve overall quality of life, and finding and maintaining solutions for the acceleration and continuous provision of essential services.

In establishing a prosperous, orderly and enlightened society, the role of local government, according to Reddy (1996: 51) is summarized as follows:

- An essential link in the relationship between government and citizenry to enable a better understanding of local problems;
- An instrument for greater community participation and able to provide more channels and opportunities to utilize the talents, insights and creative abilities of individual citizens;
- A cornerstone in the structure of a democratic political system because it serves as vehicles for intelligent and responsible citizenship on this particular level, and to serve the cause of local democracy;
- A training ground for future leaders in government, and educate voters in the execution of their civic duties;

⁷ It should be emphasized that the Constitution not only provided the vision and basic framework for the new system of developmental local government, but that such vision and structure had to be completed by the various national and provincial laws as well.

- A potential bulwark against uniformity, conformity, bureaucratic regimentation and dictatorship, promoting individualism and diversity, ensuring energetic and active growth points for self-government; and
- An adaptable space for variety and enterprise, as an important socio-political area for experimenting with new ideas, policies and methods (Hanekom in Reddy 1996: 51).

From the above discussion, the role of local government is intensified via provisions of the Constitution to advance local democracy. A brief discussion on the Bill of Rights and RDP follows in the next section.

2.5.4.2 BILL OF RIGHTS

In the previous chapter, Constitutional imperatives were highlighted, including a note on the Bill of Rights for every South African citizen. This Bill provides progressive rights which ensure the right to provision and access to municipal services for all citizens, free from any form of discrimination. The brief mention of the Constitution in this introductory section of the chapter is not repetitive, but seeks to address horizontal application of the Bill of Rights.⁸

2.5.4.3 RECONSTRUCTION AND DEVELOPMENT PROGRAMME

The Reconstruction and Development Programme (RDP) is a large scale strategy of the Government of National Unity to address the problems facing the country. It is an integrated socio-economic policy framework that strives to mobilize citizens and the country's resources to build a democratic, non-racial and non-sexist future. The RDP outlined the government's vision for the future. One of the cornerstone's of the government's policy of RDP was community-outreach and improved service delivery. The RDP requires communities to become involved through the formulation of development forums. These forums could serve as a platform for facilitation and negotiation on identifiable needs of the community. The involvement of indigent people at grassroots level is very important. Development in the community leads to community-building. As a result of the legacy of apartheid, poverty and degradation existed side by side with modern, technological and commercial infrastructure. South Africa has faced economic, social, political, moral and cultural environmental issues and challenges. The RDP

⁸ The Bill of Rights is a cornerstone of democracy. It enshrines the rights of all people in the country and affirms the democratic values of human dignity, equality and freedom. See Sections 24, 25, 26, 27.

provided a framework for addressing these issues. It is an expression of the confidence placed in the wisdom, organisational abilities and determination of South Africa's people (Van Der Walddt & Du Toit 1997: 309).

Overarching all of the above, is the dire problem of poverty, poor service delivery and acute inequality that persists in South Africa. There exists a fundamental building block of the RDP philosophy, as echoed by Burkey (1993: 48):

“Development involves changes in the awareness, motivation and behaviour of individuals and in relations between individuals as well as between groups within a society”.

Furthermore, the African National Congress (1994: 5) also recognizes the process as multi-dimensional, with inter-related changes from within the society:

“Development is not about the delivery of goods to a passive citizenry. It is about active involvement and growing empowerment. In taking this approach, we are building on the many forums, peace structures and negotiations that our people are involved in throughout the land.”

The above quotations emphasize the need for active pursuit of development for local citizens.

Municipal councils are a vital means of attaining the objectives of the Reconstruction and Development Programme and to contribute to the Principles of Batho Pele. The provision of municipal service delivery is viewed as that which is desirable to strengthen local democracy and fulfill Constitutional imperatives. This benefit is achieved through public administration enabling the realization of general welfare of society by implementing national policy guidelines. Society's problem of unlimited needs are realized within the concept and rationale of the basic principles of public administration. Local government has a responsibility to serve the local citizenry and honor their respective responsibilities. Government institutions are responsible for the creation of an environment in which the public they serve can prosper and enjoy a good quality of life. Public institutions are largely dependent on a variety of resources to render their functions viz. financial, human, natural, and structural public institutions through the expertise, skills, competence and commitment of municipal officials must administer and manage all the resources efficiently and effectively. The administration and management requires synergy between structures and their interrelations, resources and sound management practices. Therefore public managers must possess the necessary knowledge, information and sensitivity to

address critical issues and challenges pertaining to service delivery in the democratically transformed country (Du Toit & Cheminais 1998: 1).

2.5.4.4 WHITE PAPER ON LOCAL GOVERNMENT, 1998

In March 1998, the White Paper on Local Government outlined a comprehensive programme of institutional reform. The key outcomes that the White Paper, (1998: 18) envisages local government to achieve: provision of household infrastructure and services; creation of livable, integrated cities, towns and rural areas; local economic development and community empowerment and redistribution. The White Paper on Local Government noted that spatial separations and disparities between towns and townships which the system of apartheid generated made cities difficult to manage. The Paper further outlined the main challenges of local government as an inherited authoritarian form of decision-making; struggle to secure private sector resources and an inadequate tax base.

The White Paper proposed that municipalities should in future be developmentally oriented, providing vision and leadership to coordinate the activities of public and private agencies, and encourage the community to participate in policy-making. Municipalities should further priorities their needs through integrated development planning which would guide all their operations and eventually, their budgeting. A national performance management system should monitor their progress, and they should develop their policies and mobilize resources in partnership with communities and the private sector. In short, the White Paper maintained that most of the weaknesses in the administration of South African cities and towns were the historical outcome of racial segregation and that these weaknesses could best be addressed through larger municipalities with greater and more centralized powers as well as wider responsibilities (Lodge 2002:93). Implementing the proposals of the White Paper became a reality during the local elections in 2000.

2.5.5 “WALL-TO-WALL” LOCAL GOVERNMENT

The concept of “*wall-to-wall*” municipalities is expounded within the current dispensation of local government. The Constitution demands that municipalities be reconfigured for the entire country. This principle became known as “wall-to-wall” local government, which did away with the fragmented state of affairs. The Constitution states that municipal boundaries must be determined by an independent authority. The Local Government Municipal Demarcation Act provided for an independent Municipal Demarcation Board and set criteria for the determination of municipal boundaries. The fractured local government map was redrawn during 1999/2000 in an effort to create inclusive and viable municipal entities. The number of municipalities was reduced from 843 to 284, thereby making South Africa the country with some of the largest municipalities in the world⁹ (Visser 2005: 75).

The ensuing discussion focuses on IDP as it is situated in local government legislation, its practical significance for both municipalities and the public at large.

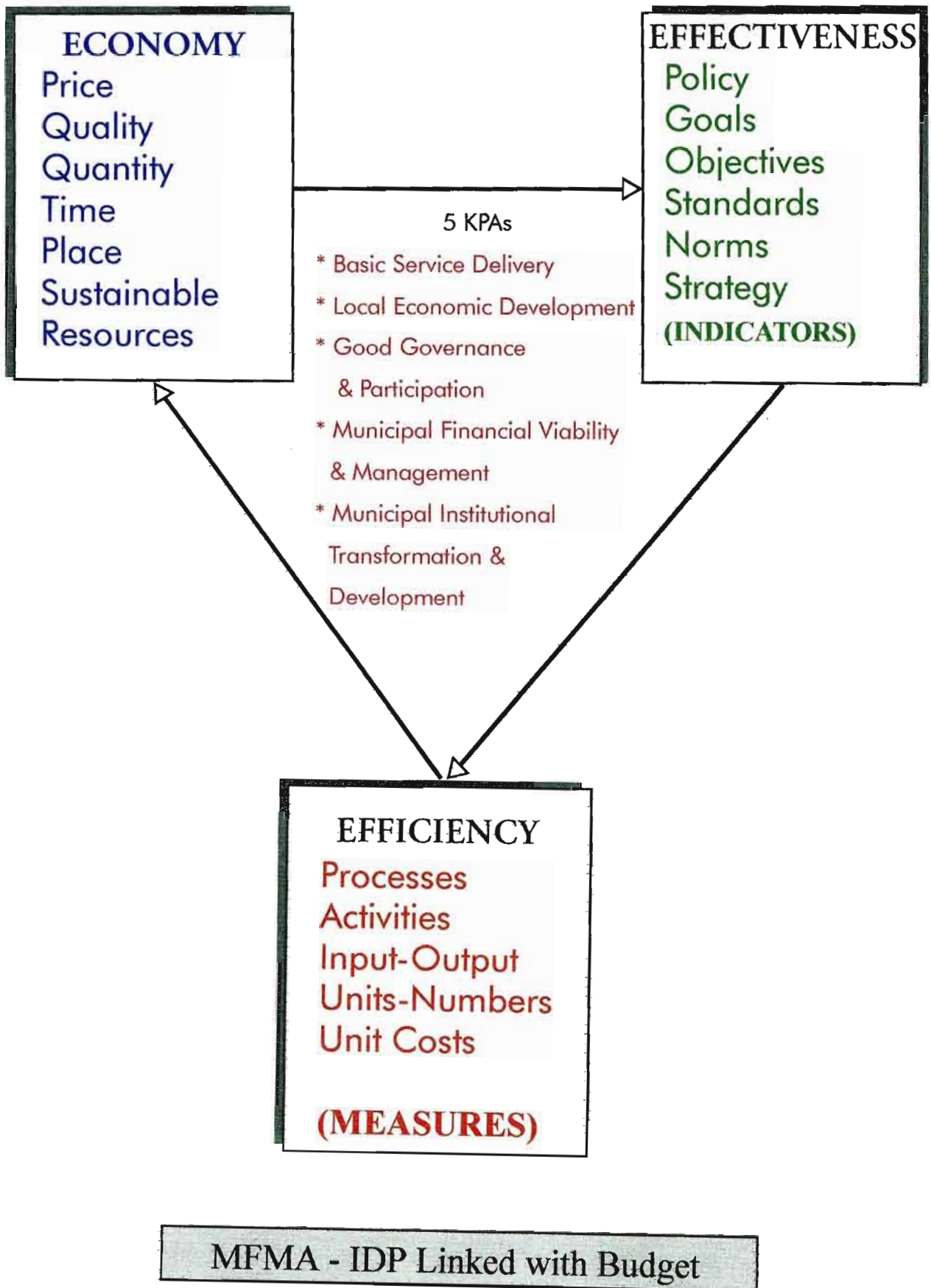
2.6 TRANSLATING THE IDP (LINKING PLANNING TO SPENDING PATTERNS)

Even where critical evaluative studies are undertaken, the interplay of economic variables cannot be kept practically independent of the political, sociological, administrative, organizational, managerial, procedural and structural variables. However, with IDPs, the importance of linking the development plans to budgeting within a municipality cannot be over-emphasized both for improving the efficiency, effectiveness and economy theory, and to ensure that the statutory requirements of the IDP are upheld by municipalities. To this end, an IDP Value-for-Money Model that highlights the statutory performance measures of a municipality is presented in **Figure 2.1**. This figure presents the IDP linked with the budget in terms of the Municipal Finance Management Act (MFMA). Of significance are the following key performance areas (KPA) in terms of the Efficiency, Effectiveness and Economy theory and model: basic service delivery; local economic development; good governance and participation; municipal financial viability and management and municipal institutional transformation and development.

⁹ During the same period, the Demarcation Board reduced 3 754 wards in 229 municipalities.

It is therefore incumbent on municipalities to link the IDP value-for-money model with the KPAs, together with the municipal budgets, which is a statutory requirement in terms of the MFMA. The emphasis, *amongst others*, is on good governance and public participation. A schematic illustration of the IDP Value-for-Money is presented hereunder.

FIGURE: 2.1 IDP Value-for-Money Model
 (Statutory Performance Measures of a Municipality)



2.7 A CASE STUDY OF ETHEKWINI MUNICIPALITY

This chapter seeks to analyse eThekweni Municipality's long-term strategic vision by examining the extent of community participation in its first five-year IDP, and to focus on the lessons to be learnt for the remaining part of its 2020 vision. The strategic focus of the Long-Term Development Framework of eThekweni Municipality provides a road-map for its service delivery and development agenda, as well as its understanding of the various challenges confronting its Council. The discussion on eThekweni Municipality will be complemented with the empirical research which is discussed and presented in Chapter Six.

2.7.1 ETHEKWINI METROPOLITAN COUNCIL: A HISTORICAL PERSPECTIVE

The quest for a new post-apartheid local government dispensation in South Africa started in earnest in 1993 prior to the ushering in of a new non-racial and democratic government in 1994. Local democracy, non-racialism, redistribution, efficiency and effectiveness in a new redefined developmental context constituted the basis for the introduction of a three-phase model for the restructuring and transformation of local government. The framework for legitimate and democratic local governance was facilitated by the Local Government Transition Act, 1993, (Act 209 of 1993), which also constituted the first phase of the restructuring and transformation process. The third and final phase incorporated three important pieces of legislation, notably the Local Government Municipal Demarcation Act, 1998 (Act 27 of 1998), the Local Government Municipal Structures Act, 1998 (Act 117 of 1998), and the Local Government Municipal Systems Act, 2000 (Act 32 of 2000), which played a pivotal role in ushering in the new local government dispensation (www.uovs.ac.za/apps/law/appealfiles/soo6/3/839/Howick%). The final phase culminated in the 5 December 2000 elections which also marked the end of the transition period. The number of local authorities was reduced nationally from 843 to 283 following the demarcation process held prior to the election (Subban, Reddy and Pillay 2008: 5).

Forty autonomous municipalities in the Durban metropolitan area were amalgamated in terms of the Local Government Transition Act, 1993 to establish the then first Durban Metropolitan Council (Reddy 2003: 441). Durban was formally established on 1 June 1995 (David 1999: 113). It consisted of four sub structure councils, and as this was still the pre-interim¹⁰ phase of the transition, all the councillors were nominated. Following the first local government elections held on 26 June 1996, the then Metropolitan Council was replaced with six substructures: North Central Council, South Central Council, Inner West Council, Outer West Council, North Local Council and South Local Council. Durban was declared a metropolitan area and a Category A municipality (consisting of a single political council with executive and legislative powers) following the demarcation process. The Durban Metropolitan Council (and six local councils) was replaced by a single unicity¹¹ metropolitan council following the December 2000 elections. The City's boundaries was extended by 68 per cent and population increased by 9 per cent following the demarcation process (Reddy 2003: 439). Although it has a total area of 1.4 % of the Province, the current population is approximately a third of the population of KwaZulu-Natal. At least 60% of the economic activity of the province takes place in the Durban metropolitan area (eThekweni Municipality, undated). There are about fourteen areas under the Amakhosi that have been included in the new City (Subban, Reddy and Pillay 2008: 6).

The Council has 200 councillors and six standing committees, chaired by members of the Executive Committee. The latter consists of 10 councillors¹² chaired by the Mayor. He is assisted by a Deputy Mayor who is Chairperson of the Economic Development Committee and a Speaker responsible for the efficient management of meetings and related administrative functions. Each councillor serves on one of six standing committees of the Council. An advantage of the Executive Committee System (as opposed to the executive mayor) is the "team approach," given that councillors have different life experiences, skills and ideas. Executive decision-making is also

¹⁰ The Local Government Transition Act, 1993 defines the interim phase as that period after the elections and ending with the implementation of final arrangements to be enacted by a competent legislative authority.

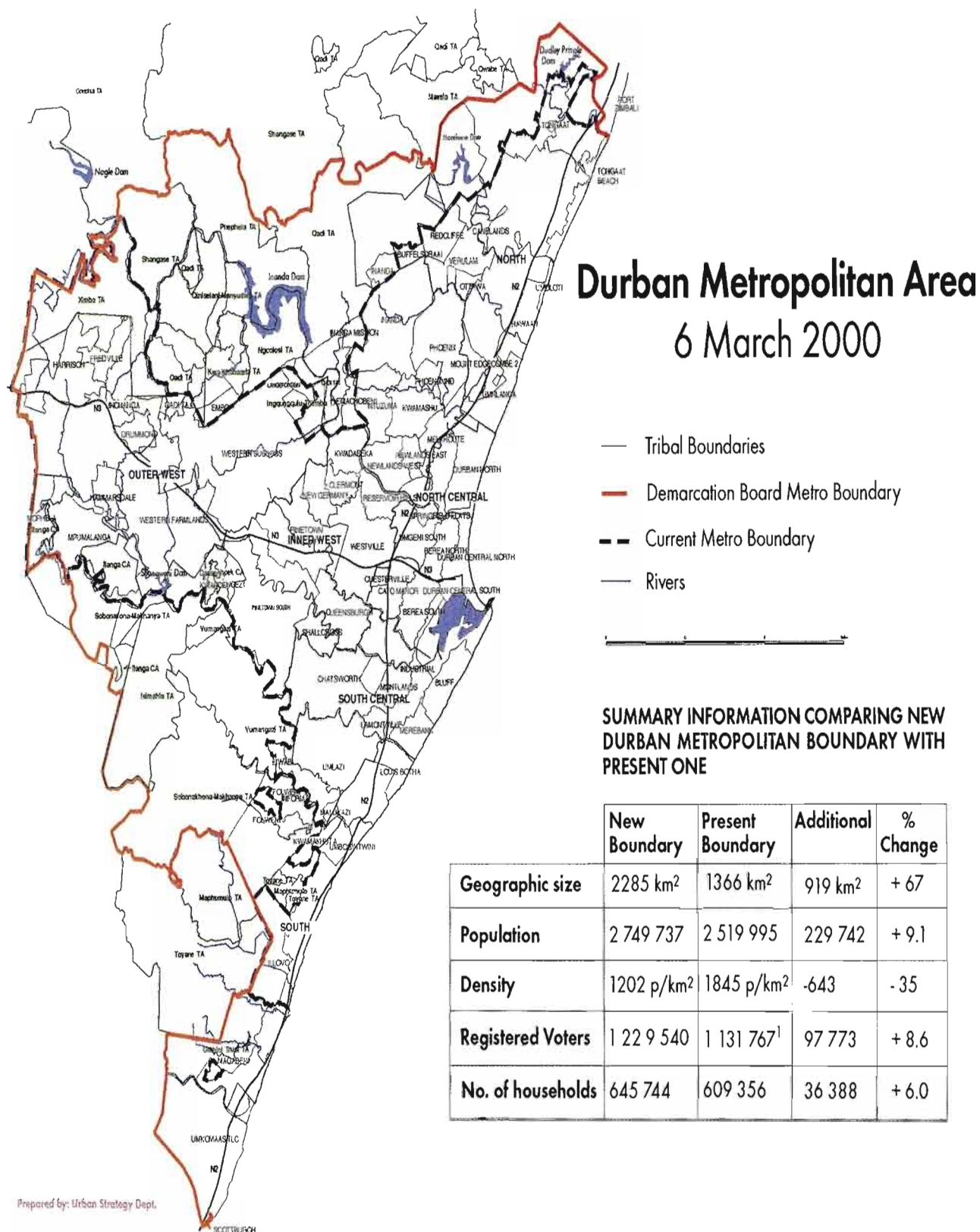
¹¹ The notion of "Unicity" denotes the political, administrative, spatial and economic unification of the entire metropolitan area.

¹² (Made up as follows: 6 ANC, 2 IFP, 2 DA and 1 MF).

subject to the required checks and balances. Given the collective decision-making, there is very little possibility of biased or unfair decisions being taken. Powers can also be delegated to a smaller group of councillors, should it become necessary, to facilitate speedy and effective decision-making (Reddy 2003: 444).

A typographical map representing the areas in the greater Durban Metropolitan Area where the research survey was conducted is highlighted hereunder (www.durban.gov.za)

Figure 2.2: Topographical map showing the greater Durban area



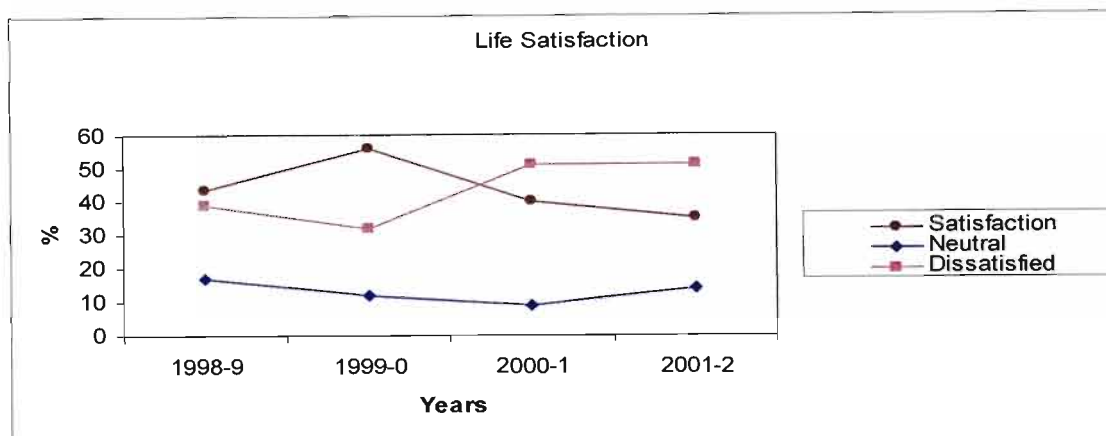
Following on the historical perspective of eThekweni Municipality, some of the benefits included a rationalized rating system based on market principles, a life-line system for the indigent and a new accounting system enabling residents to pay accounts at any convenient point, thus bringing the services closer to the people. The Council received the Vuna Award for the best performing metropolitan council in the country. Some of the key criteria that accounted for the award included: service delivery, local economic development, financial viability and grant expenditure, institutional transformation and good governance. The City has an impressive financial track record and the highest credit rating nationally and in Africa (Reddy in De Vries, Reddy and Haque 2008: 64).

eThekweni has been chosen as one of the seven NEPAD cities in Africa, which are defined by the United Nations as being “functional, economically productive, socially inclusive, environmentally sound, safe, healthy and secure”. The municipality has made great strides in its quest to manage the metropolis and is committed to ensuring that it contributes to democratic governance and that its development planning is an active and systematic intervention to address socio-economic and public consumption needs. An integrated City will facilitate equitable service delivery and integrated development planning would ensure equitable redistribution and cross-subsidization. A key consideration is the development of a vibrant economy thereby ensuring an enhanced quality of life for the local citizenry. A long term planning framework with linkages to the consolidated budget was also proposed. Other advantages cited were a rationalized rating system using market principles; a life-line system for the indigent who would be subsidised, and a new accounting system enabling residents to pay their bills at any convenient point, as proffered by Reddy (in Subban, Reddy and Pillay 2008: 6).

A survey conducted by eThekweni Municipality highlighting levels of satisfaction of citizens over a five-year period, following the launch of the LTDF for 2020, revealed greater levels of dissatisfaction over the latter period of the first five-year plan. This enquiry has given rise to the probe for further study into the efficacy of community satisfaction in the IDP. The survey is presented in the next section.

2.7.2 SURVEY CONDUCTED BY eTHEKWINI MUNICIPALITY DURING THE FIRST FIVE-YEAR PERIOD

Figure 2.3 eThekwini Survey (1998 – 2002)



Race group	% people satisfaction	
	1998/9	2001/02
Black/African	29	22
Asian/Indian	60	57
Coloured	42	43
White	75	84

eThekwini City Strategy 2005/6

2.7.3 FOCUS ON THE CITY DURING THE FIRST AND SECOND PHASE OF THE IDP

According to eThekwini Municipality's 2005/6 City Strategy (www.durban.gov.za), several questions were asked following the first five year urban plan: By whom? Where? For what? "Are we doing the right things? Or "Were things being done in the right way?" The Municipality conducted a Quality of Life Research and Spatial Analysis¹³ to find the answers to these questions. Some of their findings revealed that there was a need for:

- Rapid delivery to meet basic needs (including water and sanitation, electricity and housing);
- Widespread delivery of community facilities (including clinics, community halls and libraries and
- Minimal impact on major issues such as unemployment, crime, poverty, HIV/AIDS and the quality of life overall, despite a great service delivery record.

¹³ Focus is on people-centered development, which makes people the focus of planning, budgeting, implementation and monitoring development.

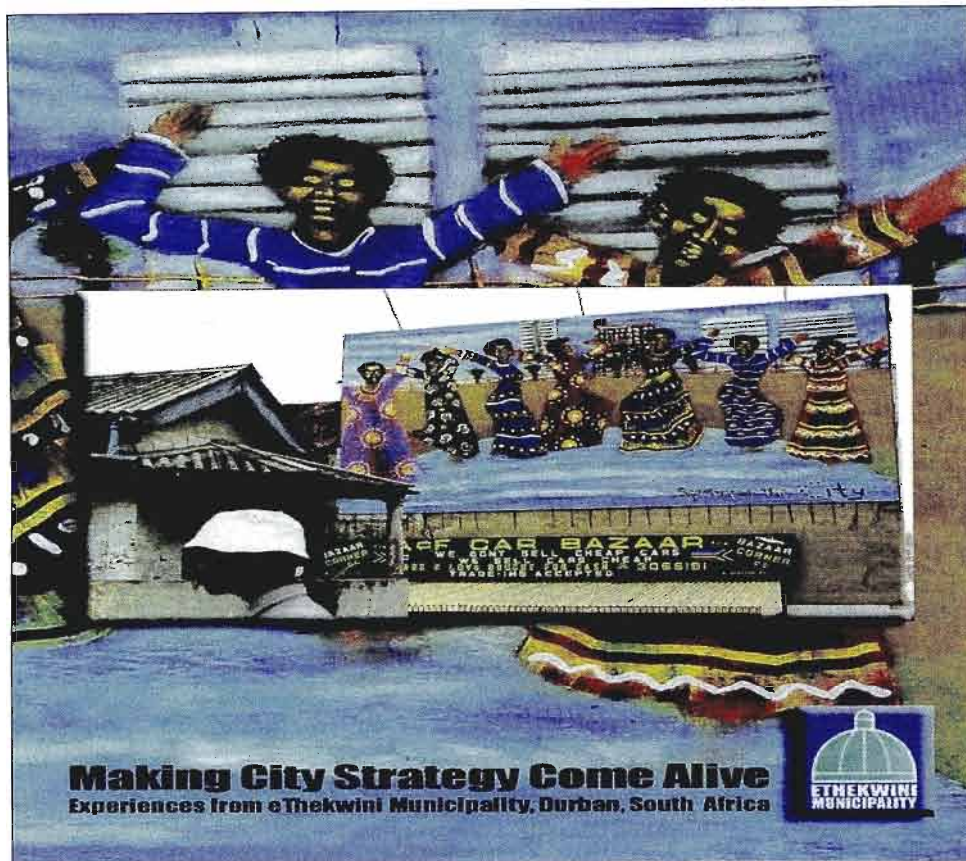
The second 2006/7 to 2010/11 of the IDP focuses on translating the City vision into action. It was realized that a proactive urban development perspective be embraced because the municipality's vision, strategy and delivery was not optimized. In this regard, the 8 Point Plan of the municipality is of significance, as follows:

- Sustaining our natural and built environment;
- Economic development and job creation;
- Quality living environments;
- Safe, healthy and secure environment;
- Empowering citizens;
- Celebrating our cultural diversity;
- Good governance; and
- Financial viability and sustainability.

www.durban.gov.za

The following illustration encapsulates part of a bigger strategy to re-orientate and reconfigure the City around the municipality's IDP and its strategic focus.

Figure 2.4 Making City Strategy Come Alive



eThekweni Municipality City Strategy 2005/6

The illustration (above) sourced from Ka-Makame in Moodley (2004:1) and discussion (below) represents eThekweni's Long-Term Development Framework¹⁴ and its sustainable path in taking the City forward towards 2020.

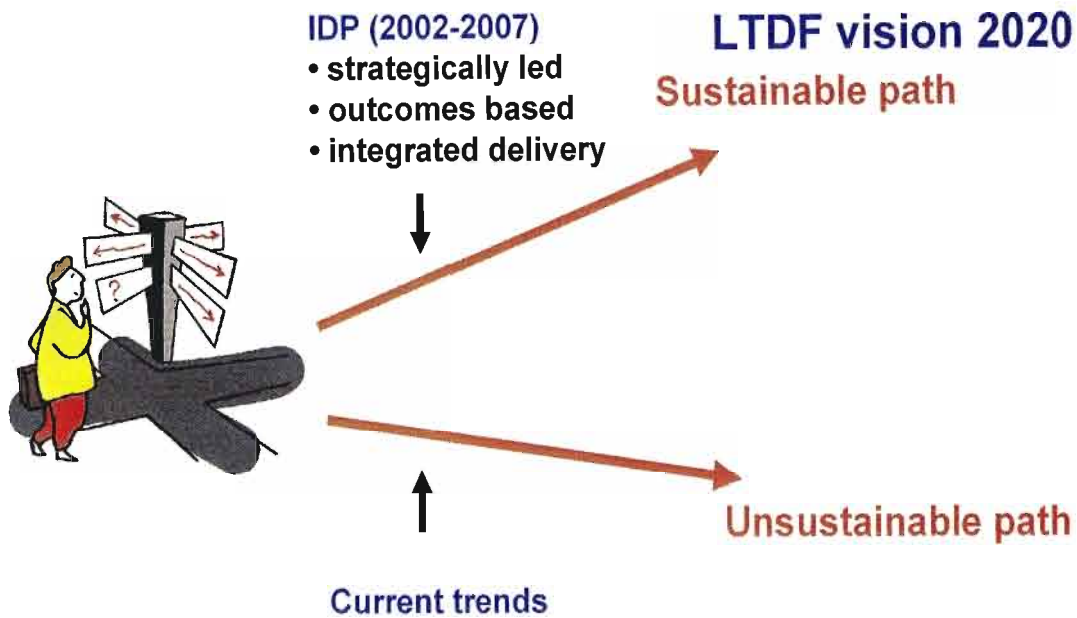
2.7.4 LONG-TERM DEVELOPMENT FRAMEWORK (LTDF – 2020 VISION)

The following sketch is an illustration of Durban on a sustainable path focusing on the long-term framework of 2020. The municipality is focusing on strategically-led programmes and integrated development with an emphasis on the notion of sustainability.

¹⁴ eThekweni Municipality has moved towards a Citizen-focused plan in its current IDP.

Figure 2.5 Durban on a Sustainable Path for 2020

Putting Durban on a sustainable development path



Moodley (2007: 14)

eThekwini Municipality's LTDF maps the strategic vision for eThekwini Municipality over the next twenty years. Within this framework, the strategic priorities for the next five years are captured (eThekwini LTDF 2001: 1). The IDP is patterned on a five-year time scale with detailed management plans for the City, including programmes, projects, budgets and performance indicators (eThekwini Municipality LTDF 2001: 1). The IDP is the consolidation of all plans into one coherent plan for the whole City. According to eThekwini Municipality's Process Plan for the IDP 2002-2006, chapter 2 lists the following critical development challenges facing eThekwini Municipality:

- creating economic growth, jobs and income;
- meeting basic needs;

- alleviating poverty;
- developing our people;
- managing the AIDS pandemic;
- ensuring a safe and secure environment, and
- striving for sustainability.

<http://www.durban.gov.za>

In striving to meet the many challenges facing Durban, it is important that the Municipality creates a development path that is sustainable. The document outlines the concept of sustainable development and suggests sustainability requires a balance between the social, economic and environmental needs of society to ensure that all development occurs within the carrying capacity of the natural environment. The importance of sustainability for Durban is significant because the “environment continues to act as a service provider, meeting the basic needs of many of the city’s poorest communities and providing critical services to large-scale industrial development by providing raw materials for building, water drinking and the treatment of waste from human and manufacturing activities” (LTDF 2001: 4).

eThekweni Municipality’s Transformation Plan, 2002 outlines how the long-term plan of the municipality will be implemented via the IDP. The strategic budgeting document indicates how the proposed planning and budgeting process will integrate the budgeting process into the IDP. The eThekweni Municipality Transformation Plan (2002) suggests that “sustainable means balancing social, natural and economic priorities in planning for a given area or organisation” (eThekweni Municipality Transformation Plan 2002).

2.8 FUTURISTIC THINKING: TAKING A LONG-TERM VIEW ON CITY DEVELOPMENT

The IDP process can be used as an opportunity to agree on a long-term vision over the next 20 years, that provides the basis for the shorter term five-year objectives and strategies. These criteria represent the operational translation of the longer vision and determine the development of five-year plans in line with elected councillors (Rauch in Van Der Waldt 2007: 101)

It follows then that the format of municipal strategic plans is prescribed by legislation. The most important policy documents in this regard are, as mentioned above, the Constitution the Systems Act, and the MFMA and relevant regulations. The Planning and Performance Management Regulations, 2001 as well as the Performance Management Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers, 2006, are regarded as essential literature for the purposes of this research. Reference to the above documents prescribes a structure according to which municipalities should compile their long, medium and short-term strategic plans. Although the relevant regulations and other policies focus on the strategic and tactical levels of municipalities, it is essential that strategies on the lower (divisional and operational) levels also meet the criteria as set out in the policy documents. This is important for two reasons. The first is to ensure uniformity in the format of presentation of strategic planning (e.g. the inclusion of the basic elements of objectives, key performance indicators and targets) from the highest level in a municipality to the operational level. The second reason for meeting the policy requirements at this level of strategic planning is the fact that it facilitates the alignment of objectives and strategies of the lower order with the higher order (strategic and tactical). This approach minimizes the unwanted occurrence of strategic drift in a municipality.

It must be pointed out that strategic governance is at the heart of a municipality, and a key focus area of this research, as discussed below.

2.9 STRATEGIC GOVERNANCE AND DEVELOPMENT

eThekwini Municipality, like other metropolitan areas, has undergone several challenges in its delivery of public programmes and performance. According to Reddy (2008: 48-51), some of the key challenges facing metropolitan areas are:

- **Urban management and development**

Rapid urbanization and the attraction of illegal immigrants to the metropolitan municipalities has resulted in overpopulation, which in turn has put considerable pressure on the provision of urban services, and affects the existing development backlogs. This has necessitated a strategic response to deal with the basic needs of new residents within the confines of a limited budget, through an urban management strategy (South African Cities Network in De Vries et al 2008: 50).

- **Capacity**

The ushering in of the Unicity concept has created the perception that the municipality has large budgets, numerous staff and considerable capacity at their disposal. This is not necessarily the case as capacity is always relative to the context and problems that a municipality experiences in relation to service delivery (South African Cities Network in De Vries et al 2008: 50).

- **Service delivery**

Service delivery is a critical part of the performance of any municipality. There seems to be widely disparate performance in some services and varying costs per service delivery unit across the metropolitan municipalities. A big challenge is the City's capacity to provide for the electricity needs which poses a huge problem in several areas. Urban service delivery can be transformed to extend the roll-out of basic services to all residents, alternate service delivery approaches and spend on existing infrastructure as a top priority (South African Cities Network in De Vries et al 2008: 50).

- **Local economic development and focus on the IDP**

Long-term economic development and integrated planning strategies add value to the role of stakeholders in the local economy. Municipalities need to develop a deeper understanding of their role and function in promoting local economic development and planning initiatives. The need for local business competitiveness and local efficiency in addressing market failures and sustaining new businesses can be accelerated (South African Cities Network in De Vries et al 2008: 50).

- **Managing social development and poverty reduction**

According to Parnel and Odendaal in De Vries et al (2008: 50), a global trend is the increasing number of indigent people living in metropolitan areas. This can be attributed to the growth of indigent communities, growing inequalities and increasing numbers of poor people moving to cities for improved service delivery. There is a need for local government to work collaboratively with other spheres of government to create social safety nets to provide relief and protection to indigent communities. Service delivery backlogs will continue to be a challenge, and municipalities are required to find creative and innovative ways to address these anomalies.

- **Urban renewal**

The ever increasing influx of illegal immigrants, informal trading, street children, crime and vagrancy and informal settlements, has resulted in urban decay in several parts of the Durban metropolis. These impacts on the depreciation of property evaluations, which in turn impacts on the

rates base thus reducing revenues for the municipality. A key consideration is the renewal of urban centres and the renewed confidence of the private sector in their corporate investment, as well as the creation of a sustainable property market to restructure and diversify the local economy (South African Cities Network in De Vries et al 2008: 51).

- **HIV/AIDS**

HIV/AIDS continues to pose ongoing challenges to municipalities and reinforces inequality through loss of household incomes, reduced educational prospects and the growing number of orphans who plunge into poverty traps (Smith 2005: 29). AIDS has the tendency to reduce life expectancy and the workforce. The impact of HIV/AIDS on capacity and the need for strategic planning around the pandemic and its long-term effects on communities and local government cannot be overlooked. Municipalities are required to enact a comprehensive response to HIV/AIDS and to develop intergovernmental relations with national and provincial departments to strengthen and improve the fight against the pandemic (South African Cities Network in Reddy 2008: 52).

- **Crime**

eThekweni Municipality, like other municipalities has been on the receiving end of a spate of petty and organised crime. The high crime rate is responsible for the loss of skills and low levels of investment in the country, and is attributed to increasing poverty levels and unemployment. Crime prevention has become a key priority of the Municipality in its development framework (Reddy 2008: 52).

Local government in South Africa has undergone a process of transformation from apartheid's highly unequal, racially classified local administrative apparatus to a potentially integrated, developmental, equitable and sustainable form of government. Local government is pivotal to reshaping and strengthening local communities and intensifying service delivery, especially to the poor, and thereby deepening the foundation for democratic, integrated, prosperous and truly non-racial local communities (Mogale in Mhone & Edigheji 2003: 216). eThekweni Council has consequently revolutionised its structures and embraced transformation of its local municipal structures and facilitates, infrastructural development and the provision of municipal services, enabling the local communities to reach their full potential and access opportunities. This will, in turn, create a vibrant and sustainable economy with full employment which will ultimately improve the quality of life of the local citizenry (eThekweni Municipality, undated: 2).

The strategic vision for the next twenty years is detailed in the Long-Term Development Framework (LTDF). It seeks to strike a balance between addressing basic needs, developing the economy; skills development and developing a technology base for the future. Some of the development challenges that have to be addressed over the short to long-term are highlighted below (eThekweni Municipality 2006: 103-104, eThekweni Municipality, undated: 2 and eThekweni Municipality 2007: 76-78):

- Low Economic Growth and Job Creation;
- High Levels of Poverty;
- Poor Access to Basic Household Services;
- Low Levels of Literacy and Skills Development;
- Sick and Dying Population Affected by HIV/AIDS;
- Exposure to Unacceptably High Levels of Crime and Risk;
- Unsustainable Development Practices; and
- Ineffective, Inefficient, Inward looking Local Government.

Furthermore, Reddy (2003: 457-458) asserts that traditional leadership, and more specifically the Amakhosi presents a major challenge to the Council, given the fact that the Government has not yet addressed the concerns of the Amakhosi. Traditional leadership and governance is a new challenge for the Council as it has had no experience in dealing with this issue. Consequently, there is bound to be some tension between the traditional leaders and the municipality as land released for development has to be properly planned; densities have to be increased to provide services more efficiently and planning has to be more flexible to accommodate existing culture such as burial sites within homesteads.

Local participatory structures in the form of ward committees have been created in Durban. The Council will have to structure a programme to capacitate these committees. Each councillor will have to have a ward office and the Council will have to cover basic expenses. The cost of managing a hundred wards/development committees could prove to be a major organisational challenge and, furthermore, quite costly (Ferguson 2000: 5).

A focus on the strategic intent of eThekweni Municipality, amongst others, includes the workforce scorecard, which lays out a cogent and clear approach to turn strategy into performance by focusing on success that can be tracked and monitored (Pillay and Subban 2007: 65). The contemporary of reflection regarding the examination of urban government began in the 1970s and has increasingly gained momentum today in local government across the globe (Graham, Phillips and Maslove 1998: 12). As a case in point, eThekweni Municipality's strategic focus for the medium to long-term is underway, and highlighted in the subsequent discussion.

2.10 VISION AND PURPOSE STATEMENT OF eTHEKWINI MUNICIPALITY

The vision statement of the Municipality reads as follows:

“By 2020 the eThekweni Municipality will enjoy the reputation of being Africa’s most caring and liveable City, where all citizens live in harmony. This vision will be achieved by growing its economy and meeting people’s needs so that all citizens enjoy a high quality of life with equal opportunities, in a city that they are truly proud of” (LTDF November 2001: 7).

From the afore-going, in 2001, eThekweni Municipality set a process in motion to launch a long-term plan (LTDF) and the IDP for the Durban Metropolitan area. The strategic vision and mission for the Municipality is examined against the Medium Term Expenditure Framework. In the past, local government was seen as just a mere provider of services to communities from the “*cradle to the grave*”. The analysis reveals that services were not always well co-ordinated and citizens were not always consulted on their needs. There has been a paradigm shift in the municipality in the manner in which it conducts its core business of municipal service delivery. The new approach is to re-organise itself so that it can serve the citizens of Durban in a better way and to be committed to listening to what the people want then build around their needs.

<http://www.durban.gov.za/durban/government/mayor/policy/ltdf>.

The purpose statement of eThekweni Municipality reads as follows:

“The purpose of the eThekweni Municipality is to facilitate and ensure the provision of infrastructure, services and support, thereby creating an enabling environment for all citizens to utilize their full potential and access opportunities, which enable them to contribute towards a vibrant and sustainable economy with full employment, and thus create a better quality of life for all” (LTDF November 2001: 6).

The purpose statement echoes the vibrancy of the municipality in striving to ensure enhanced municipal service delivery and coheres with its long-term plan to seek out and promote a citizen-centred dialogue with all citizens.

2.11 ETHEKWINI'S NEW APPROACH TO DEVELOPMENT PLANNING

The municipality has embarked on a new approach to managing development in the metropolis, which essentially focuses on the citizens as a major contributor of this new understanding of the Council's responsibility to deliver its outputs, in order to achieve a high quality of life for all (LTDF November 2001: 6). The municipality views the IDP as a participative process; it is not solely responsible for the preparation of the IDP for the citizens, but acts as a facilitator thus allowing all stakeholders, not just to collectively prepare the plan, but to be part of the transformation process that will ultimately promote the quality of life for all citizens. Since community participation is the thrust, amongst others, for enhanced delivery, it stands to reason that the municipality will need to support, stimulate and re-vitalise collaboration with communities, and develop community action support programmes to ensure desired outcomes (LTDF November 2001: 15).

With the crafting of the Long-Term Development Framework to guide all our actions over 20 years, a strategic five-year IDP and a sustainable development plan that was mapped out for our City. In the City's second five-year IDP process is a plan that moves beyond a concerted effort at poverty reduction through job creation within a deeply embedded sustainability framework. The IDP has become a far more strategic framework now, and the community-based planning process has become the vehicle for participation in the IDP within all sectors of the community (eThekweni Medium-Term Budget 2007-2008: 1).

According to eThekweni Municipality's LTDF (2001: 7), at its Strategic Planning Workshop in May 2001, the city's decision-makers identified critical elements or themes that they felt will need to be encapsulated in the new Vision Statement for the City. The main focus that emerged is improving the quality of life for its entire people. The term in this context refers to the daily experience of citizens and communities. As an African City, this Vision draws on its rich and

strong social heritage and the principle of “Ubuntu,” which places great emphasis on reaching out and caring for others. Success in Durban needs to result in a measurable improvement in quality of life. It is intended that on an annual basis the change in the quality of life of Durban’s citizens is measured in a quality of life index. This index is generated from clear indicators and this process is intended to be a highly participative one involving key stakeholders. The quality of life index is used to establish whether the city is succeeding in its goal of an improved quality of life for all and will be accessible to all citizens. It should be noted that this Vision captures the express sentiments of the City’s leadership. eThekweni’s goal is ultimately to promote the “quality of life” of all citizens by providing *inter alia*, food security, decent, safe and secure living environments, good health, adequate income, access to transportation, leisure opportunities, access to information, technology and education opportunities, clean natural environments, opportunities for self advancement, freedom to act and a strong sense of belonging and civic pride. The experiences of the eThekweni Municipality in attempting to practically translate the legislative intent of “developmental local government” is academically exciting in that it offers a new home-grown, alternate model for managing city development (Dlamini and Moodley 2002: 10).

The municipality’s strategic intent, as contained in the LTDF (2001: 8) is three-fold:

- Firstly, actions to unwind the legacy of apartheid and correct the wrongs of the past;
- Secondly, actions to build on current strengths of the City, and
- Thirdly, actions to create the new and invest in the future.

These three sets of actions, as reflected above, translate into the three key pillars of the City’s Strategy, which culminated in the LTDF, as follows:

- Meeting basic needs (unwinding apartheid legacy);
- Strengthening the economy (building on our strengths), and
- Building skills and technology (creating new skills and investing in the future).

A schematic presentation of the three key pillars of the City Strategy presented in **Figure 2.6** represents the pillars that have become the “building blocks” of its long-term plan to promote the quality of life.

Figure 2.6 LTDF Strategic Focus Areas

Our Long Term Development Framework

STRATEGIC FOCUS AREAS:



eThekweni Long Term Development Framework (2001: 8) www.durban.gov.za

Over the past 5 years, the emphasis of local government has been to work at unwinding the legacy of apartheid by meeting basic needs. This should continue over the next 5 years so that all citizens have access to basic services and decent housing. However, this alone will not help us achieve a sustained improvement in quality of life of citizens. Actions to build on the strengths of the economy will be vital to generate income and jobs. Furthermore, in order for Durban to become a globally competitive city, serious effort will need to be made to upgrade the skills and technology so that Durban becomes a smart city, connecting with its neighbours and the world. These then are the strategic areas for intervention for the next five years. The challenge for the Municipality is to strike the appropriate balancing, integrating and phasing of effort. It is important to note that one strategy cannot be prioritized over another, as there is an inter-relationship between the three strategic areas, ultimately contributing to the achievement of a high quality of life (eThekweni's Long-Term Development Framework 2001).

2.12 INTEGRATED DEVELOPMENT PLAN OF ETHEKWINI MUNICIPALITY

Given that the strategic direction for the city over the next twenty years is now in place, work on the Council's IDP has begun. As with the development of the Long-Term Development Framework, the IDP will be a participative process. In fact, the municipality does not see itself as being solely responsible for the preparation of an IDP for the citizens of Durban. Instead, given the new spirit of developmental local government, it has facilitated a process that will allow all stakeholders not just to collectively prepare the plan, but to be part of a unique transformation process that will result in all achieving a high quality of life. What will be different about this IDP is that it has begun by outlining the Restructuring Framework which will set the overall context for the collection of relevant data and the analysis of needs. It will also fundamentally differ from previous processes in that local actors at an Area-level, under the guidance of Area-Based Managers, will help shape the form and content of the IDP. It is recognised that for this to be successful, great impetus from the municipality will be required to support, stimulate and revitalise necessary action within communities where required. Plans are underway to develop a "community action support programme" in this regard [http: www.durban.gov.za](http://www.durban.gov.za)

The process of strategic planning and management in local government is informed by the development and the implementation of an IDP as the strategic plan of a municipality. This study aims to examine the strategic plan of eThekwini Municipality and to analyze the role of the various stakeholders and the integration of resources in the long term planning activities. It will also investigate the Council's response to the developmental needs of the community. This research study is borne out of not just a theoretical interest in strategic planning and management of municipalities in a transformation era, but out of issues of practice of integrated development planning in municipalities. The development of integrated models and approaches will contribute to a deeper understanding of the dynamic role of various stakeholders in development planning at the municipality.

The theoretical framework will focus on a broader empirical study of eThekwini's Eight-Point Plan that summarizes the City's Strategy as follows:

- Creating sustainable economic growth and job creation as well as building strong and

- vibrant local economies;
 - Regenerating existing residential areas to ensure higher quality of life for all citizens;
 - Balancing new development with renewal and maintenance;
 - Mainstreaming co-ordinated responses to crime, HIV/AIDS and poverty alleviation;
 - Focusing and integrating service delivery to maximize the impact on job creation and poverty reduction in a sustainable manner;
 - Developing a financial strategy to balance development expenditure with a strategy to grow income;
 - Ensuring that local government is accountable, accessible and aligned, and
 - Maintaining the ecological integrity of the City.
- (eThekweni Municipality Mid-Term Report October 2003: 4-10).

The eight-point plan succinctly presents the municipality's efforts to take the City of Durban forward in terms of municipal delivery and social development.

The IDP of eThekweni Municipality is the Council's strategic management tool that clearly and simply articulates the path to achieving a more developmental local government in the eThekweni Municipal Area. The power behind the IDP lies in its point of departure, that it specifically resists being a comprehensive and detailed blueprint for municipal action. Instead, it is a strategic driver of the Council's transformation and restructuring process, the service delivery process and all aspects of municipal governance (eThekweni Municipality Mid-Term Report October 2003: 4-10).

2.13 IMPLICATIONS FOR STRATEGIC FRAMEWORK STRUCTURE

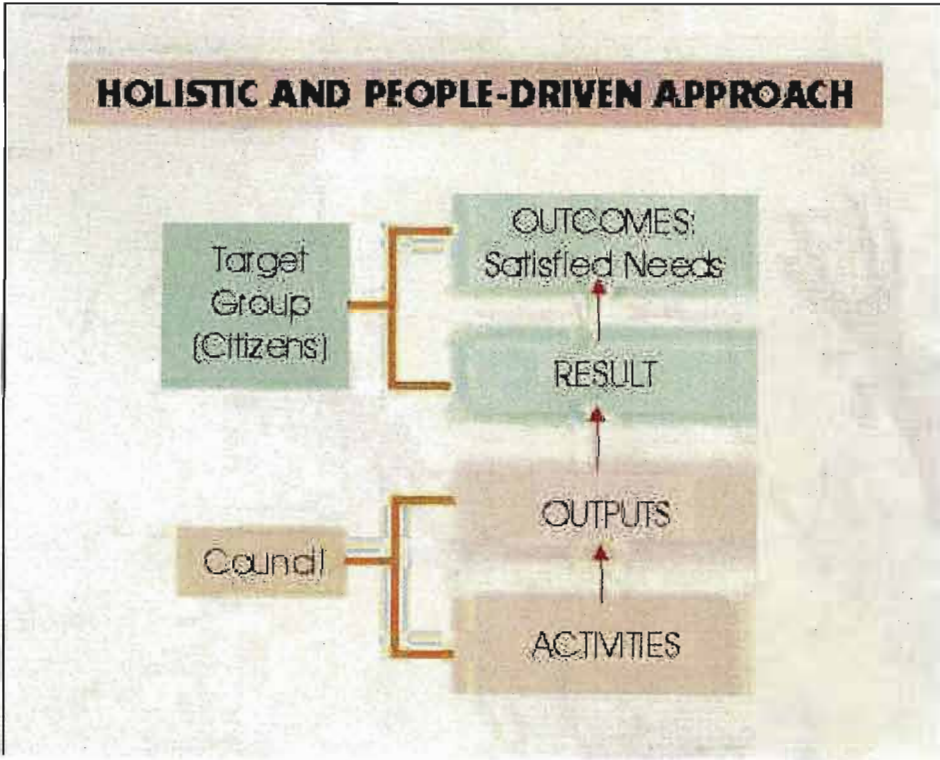
Strategic planning and municipal governance are intrinsically linked. The alignment of the visionary goals and objectives of the City is interwoven with a city development strategy. It is emphasized that strategic urban planning rests firmly on the foundation of a consensus-based model of urban governance, as in this statement from Castells and Borja (in Pieterse 2008: 70) on urban strategic planning:

“Strategic planning is directing change based on participatory analysis of a situation and its possible evolution and drawing up of an investment strategy for the scarce resources available at critical points. The diagnosis takes into consideration the settings (globalization), the territory (its various dimensions) and government (or system of public agents). Special consideration is given to dynamics ie. social demands, critical points obstacles, bottlenecks and potential. The diagnosis is used to determine foreseeable situations, possible scenarios and desirable situations, which are taken as the starting point for laying down projects to attain it.”

It is important to note that the next five-year IDP will spell out the transformation framework.

The following sketch illustrates the holistic and people-driven approach of the Municipality, highlighting the relationship between outputs and outcomes, which is the trust of its IDP for good municipal governance. The holistic approach is intended to facilitate the citizen-council approach to development and to appreciate a dynamic matrix for enhanced public participation.

Figure 2.7: LTDF Strategic Framework



eThekweni Municipality LTDF Strategic Framework: 2001

Arising from the strategic intent of the above illustration is the notion of a city development strategy, which, according to the Cities Alliance (in Pieterse 2008: 71), is defined as follows:

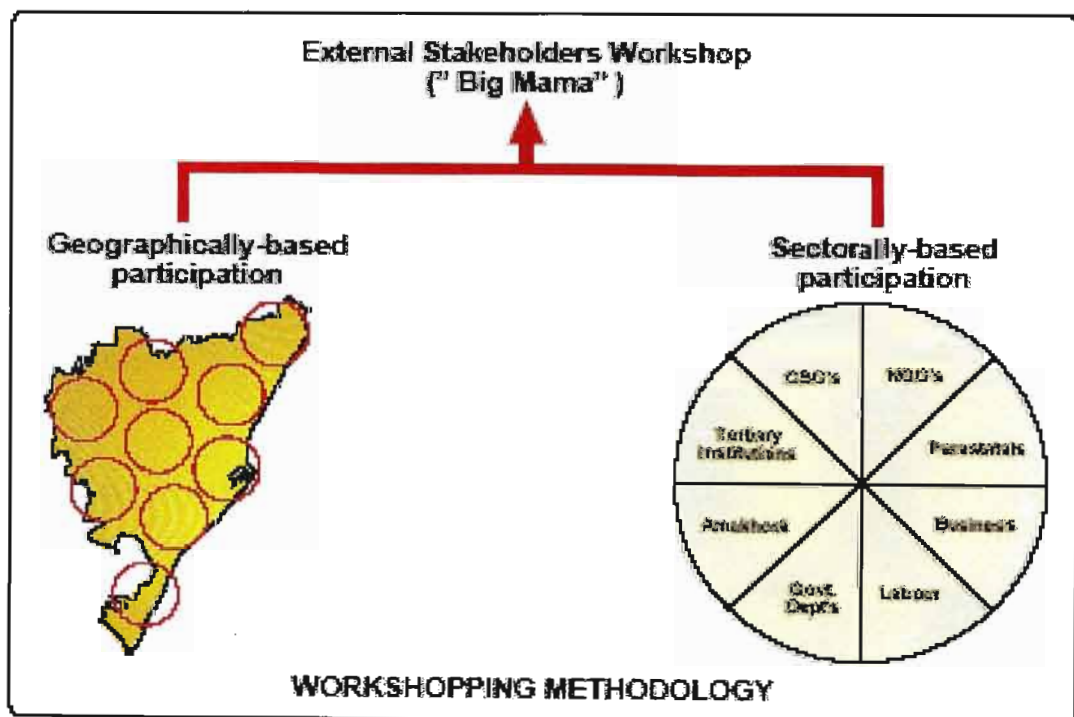
“A City Development Strategy is an action-plan for equitable growth in cities, developed and sustained through participation, to improve the quality of life for all citizens. The goals of a city development strategy include a collective city vision and action plan aimed at improving urban governance and management, increasing investment to expand employment and services, and systematic and sustained reductions in urban poverty. Achieving this overall goal will occur through a wide variety of approaches in different cities around the world, with local and national conditions determining both the chosen approach and the final outcomes.”

It is against this framework of the IDP of eThekweni Municipality and its LTDF that the conceptual framework of this chapter is discussed.

2.14 MECHANICS OF PUBLIC PARTICIPATION

The municipality embraced the following aspects regarding public participation in its introspective “Big Mama” workshop. A discussion of the model follows this illustration.

Figure 2.8: Participation Model for eThekweni Municipality (The “How” of Participation)



Moodley (2004: 85)

According to Moodley (2004: 85), the following three-fold approach was used to engage with civil society, as depicted in the table below.

Table 2.1 Three Fold Approach for engagement with Civil Society

WHY	WHEN	WHOSE
New definition of local government Participation fundamental to achieving vision Improve quality of service delivery See the bigger picture Engender culture to take responsibility Break down barriers of “ <i>us and them</i> ”	Engage key stakeholders in strategic planning process Participation has been erratic and event-dependent Stakeholders not always aware of latest development, Changes in strategy	Ensure that all the “right people” participate All sectors’ interests are represented Effective mechanisms in place to inform general public Inclusion of traditional leadership Need for sustained process

Moodley (2004: 85)

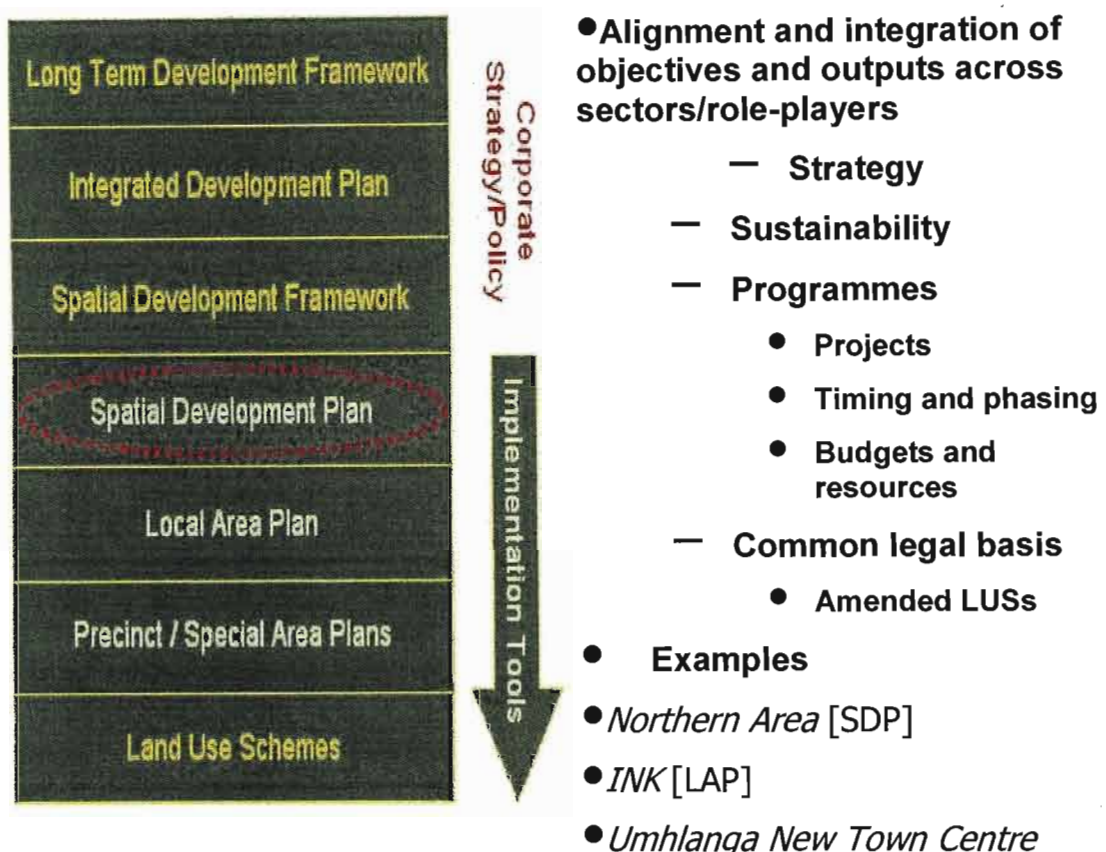
This three-fold approach proved to be useful in ensuring quality inputs and allowing discussion and debate from civil society and other key sectors. In addition to using organised workshops as a mechanism to ensure stakeholder engagement, members of the public were invited to submit their comments, criticisms and general inputs to the strategy teams at the strategic planning process. According to Moodley (2004: 54), some of the key lessons learnt from this three-fold approach include:

- Using the workshop approach at a sectoral and ward basis, together with the “Big Mama” type of engagement is a useful combination to engage with stakeholders;
- There was a need to spend more time in a sustained, needs segmentation process which allowed for a thorough and rigorous engagement with the different sectors of the City;
- There was a need to revisit the way in which citizens influence and shape the budget process to deepen local participation, and
- There was a need to revisit the way in which internal stakeholders participate. “Transformation” of the internal staff proved critical in ensuring success of the participatory approach.

What follows are some key aspects of eThekweni Municipality’s plan in its long- term vision. There is a conceptual link between the City’s long-term plan, IDP, spatial development

framework, spatial development plan and local area plans. The Spatial Development Framework feeds into the IDP which is conceptually linked to the LTDF, and this is illustrated in **Figure 2.9**.

Figure 2.9: Package of Plans

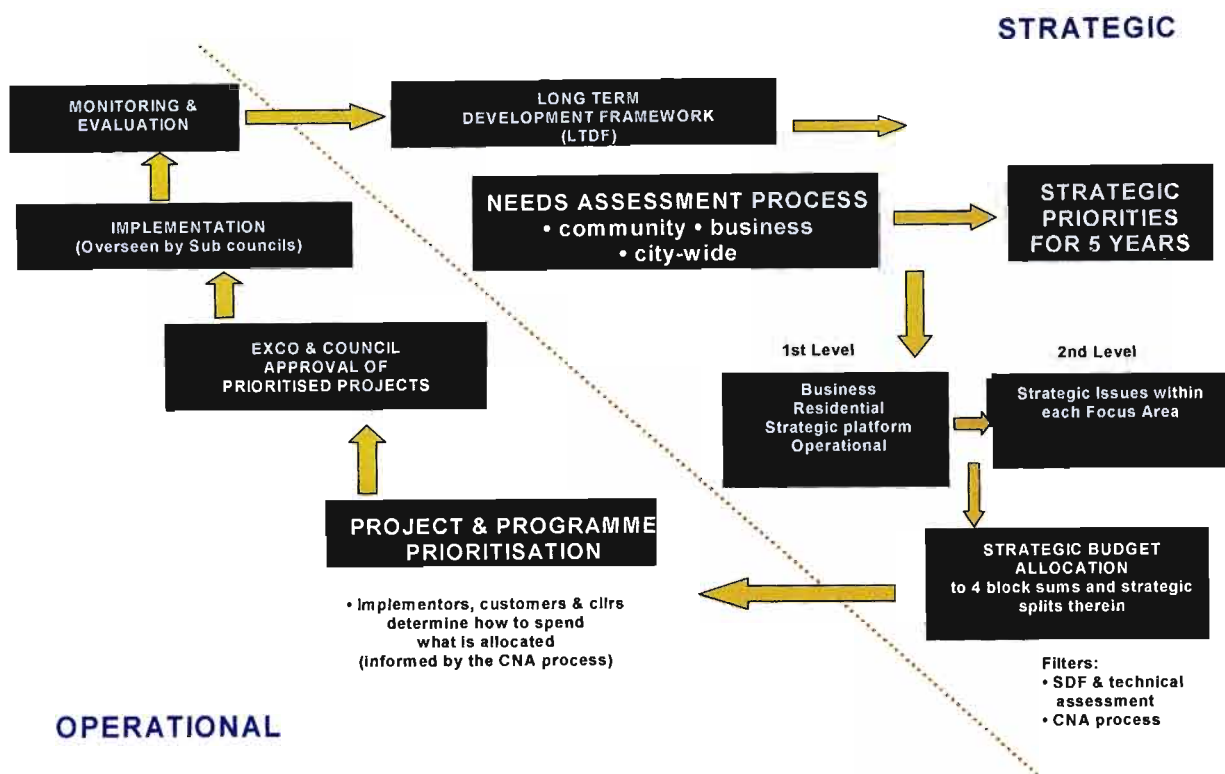


www.durban.gov.za (2006/7 eThekweni Integrated Development Plan)

2.15 HOLISTIC DEVELOPMENT MANAGEMENT: A WORKING MODEL

A holistic development management model was proposed by eThekweni Municipality in its long-term planning framework to address the strategic and operational issues in its IDP and to focus on the bigger picture. The following model, according to Moodley (2004: 24) reflects a new methodological approach as part of the strategic process.

Figure 2.10: Strategic and Operational Plan (Holistic Development Management Model)



Moodley (2004: 24)

According to Moodley (2004: 24), this model reflects the municipality’s “new way of doing business” as the notion of holistic development management and a response to moving beyond the IDP takes effect. This invoked a more powerful understanding since integrated planning suggested the need to synthesize disparate parts and development planning merely alludes to one part of the development management process (which also involves budgeting, implementation and evaluation). This ideological shift and significant milestone was the design of a single holistic process that moved from strategic and visionary statements of intent, through to a participatory process that combined planning and budgeting for development, through to implementation and evaluation. The focus was on separating what is strategic from more operational issues. Moodley (2004: 24) proffers the following key aspects arising from eThekweni Municipality’s strategic planning model: citizens’ needs assessment, strategic prioritization, strategic budget allocation, project and programme

prioritization, Exco and Council approval, implementation, monitoring and evaluation which culminated in the LTDF.

2.16 CITY DEVELOPMENT STRATEGIES

According to Robinson (2006: 126-7), a vision and a strategy for improving a city can be developed on the basis of a socio-economic map of a city. The city vision would aim to incorporate the diverse concerns and needs of citizens, businesses and local government. This could mean attending to the impacts of globalizing sectors of the economy alongside the needs of the poorest citizens, as well as appreciating the wide range of activities that contributes to the dynamism of the city. There has been a globalization of local government itself all over the world, as well as powerful discourses about urban growth and development. As estimates of the proportion of people in poorer countries who live in cities have risen, international development agencies have had to pay more attention to urban issues in development.

The World Bank opened its strategic policy document initiating a stronger urban focus as follows:

“At the threshold of the 21st Century cities and towns form the frontline in the development campaign. Within a generation, the majority of the developing world’s population will live in urban areas and the number of urban residents in developing countries will double, increasing by over 2 billion inhabitants. The scale of this urbanization is unprecedented and poses daunting requirements for countries to meet the needs of their people at relatively low levels of national income”. (Robinson 2006: 128).

From the afore-going quotation, it is evident that numerous demands are being placed on cities to manage the increasing need for development and to contribute to urban good governance. Following this unprecedented challenge, is the renewed emphasis on the following typology that links efficiency and effectiveness to institutional outputs and outcomes.

2.17 RELATIONSHIP BETWEEN CRITERIA FOR EFFICIENCY AND EFFECTIVENESS: A MODEL FOR ETHEKWINI MUNICIPALITY

In eThekwini Municipality’s quest for enhanced and integrated service delivery, the focus is on four important criteria, as emphasized by this research:

- Inputs (Mobilization of resources and capacity that is performance-driven);
- Outputs (Projects, activities and processes that put the Municipality on a sustainable

development path);

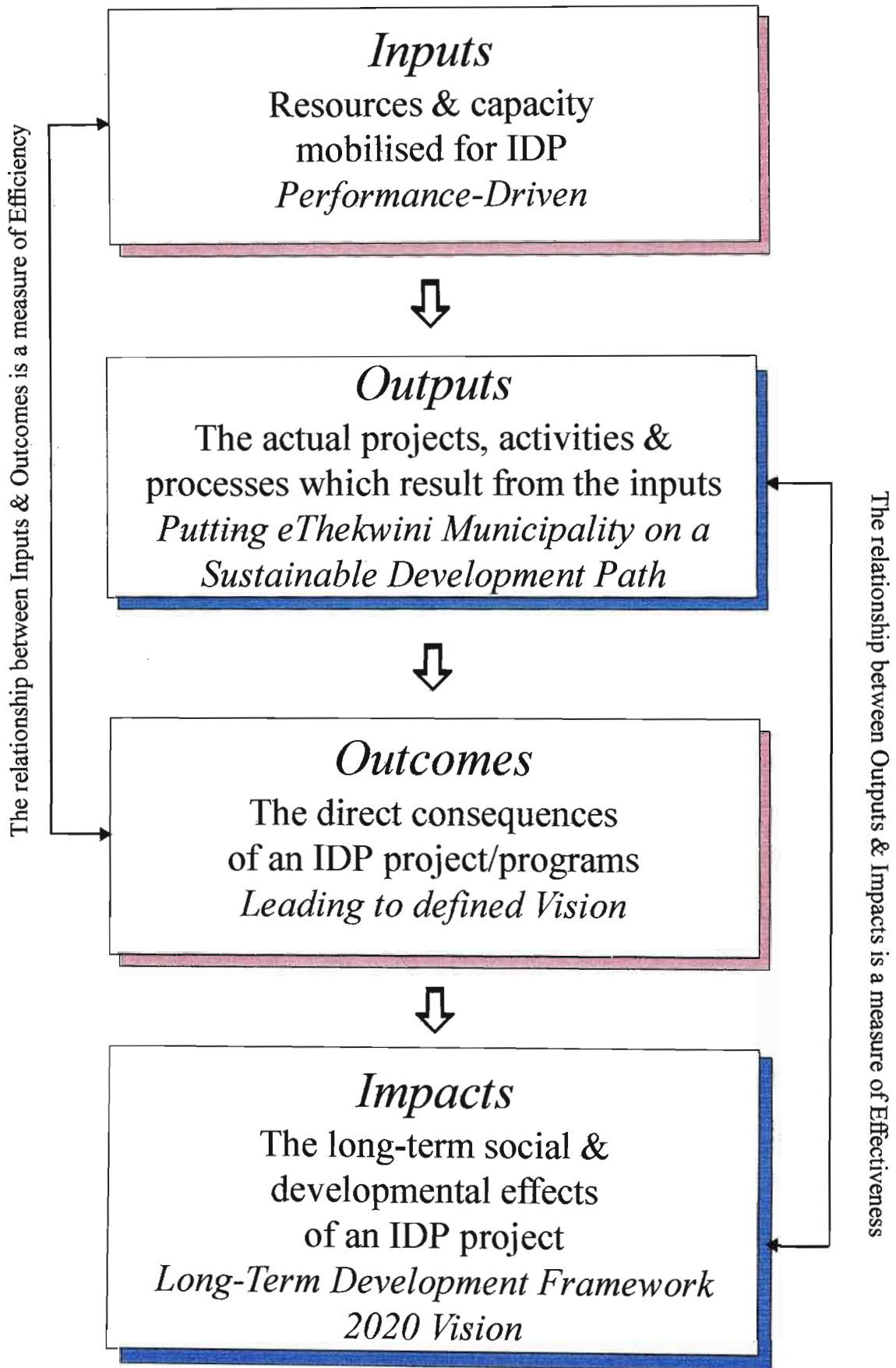
- Outcomes (Direct consequences of IDP projects and programmes that lead to the vision of the Municipality), and
- Impacts (long-term social and developmental effects of the IDP which links up the LTDF of the Municipality).

An interesting quotation is put forward by UNCHS (in Robinson 2006: 149) regarding efficiency levels, as follows:

“What is controversial is the direction of local government activity: whether it should be directed solely at efficiency, reinforcing the current distributions of wealth and power, or whether it should play a redistributive role, creating a minimum standard for quality of life for all its residents.”

This argument offers a rationale for efficiency and effectiveness in municipal governance. The following model in **Figure 2.11** highlights this paradigm.

FIGURE 2.11 EFFICIENCY & EFFECTIVENESS MODEL FOR ETHEKWINI MUNICIPALITY



2.18 LESSONS LEARNT FROM THE FIRST FIVE-YEAR IDP

In summary, some of the key lessons, according to Moodley (2004: 25) learnt from the first five-year IDP¹⁵ of eThekweni Municipality include:

- Boldly experiment for improvement in service delivery;
- Reward innovation in delivery;
- Involve all partners in collective effort;
- Take care of business rather than rely on consultants;
- Invest in proper communication systems both internally and externally;
- Take small steps, but be consistent;
- Never stop the process of learning, especially from processes that don't work well; and
- Share ideas, and network with cities/organisations everywhere.

2.19 CONCLUSION

In this chapter, the transformation and restructuring of local government was traced in an effort to highlight the developments that have taken place in eThekweni Municipality. The transformation and restructuring within the municipality also took into account the role of community involvement initiatives in the IDP. A legacy of community participation is embedded in the Constitution, together with various policies and legislation, as a benchmark for institutionalizing good local governance wherein community participation is featured as a central theme (Maxatshwa 2007: 4). As a result of global trends in local government, there has been a need for municipalities to transform, restructure and re-configure the manner in which they function and offer services. Given migrant communities and urban sprawl, eThekweni Municipality, which is not outside this usual purview of municipalities in the country and all over the world, has now drawn on the idea of “world cities” to understand the role of the municipality in the wider context of urban theory and practice. Many larger municipalities, for

¹⁵ Refer to the IDP 2010 and beyond 2007/8 Review at www.durban.gov.za

example, the metros, have become more cosmopolitan in their outlook, and eThekweni Municipality is a case in point. It is clearly evident from the rapid expansion of the vision and mission of eThekweni Municipality, that it has expanded its borders through a multiplicity of economic, social and cultural networks so that the city could expand its path to improving living conditions and enhancing economic growth across the whole spectrum. The challenge to municipalities in growing economies, is to ensure that resources are employed in the most productive and cost-effective way and that the pricing of inputs and outputs should reflect their true values to society, so as to improve and raise the standard of living of society at large.

CHAPTER THREE

MUNICIPAL STRATEGIC MANAGEMENT WITHIN THE PARADIGM OF PUBLIC ADMINISTRATION

3.1 INTRODUCTION

The restructuring and transformation of local government as highlighted in the previous chapter, has significance for the context in which it is discussed within the public administration trajectory in the current chapter. Local government is a sub-field of public administration because it involves the theory and practice of public administration in the basic delivery of municipal services. The specialized areas of public administration reflect largely on the theory and practice of managing basic municipal services to local communities. The efficient and effective delivery of municipal services depends on modeling techniques and intrinsic knowledge of public administration both as an activity and a discipline.

Public administration involves the provision of public services for the improvement of the quality of life of communities. This is, in turn, directed through the three spheres of government. In terms of Section 40 of the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), the three spheres of government are directly or indirectly involved in the provision of municipal services which are implemented through legislation, policies and procedures. Since the practice of public administration is constantly influencing people, the execution of policies for local service delivery must be planned, organized, directed and controlled by local municipalities. Local government is part of the broader context of public administration since it involves the legislative, managerial and practical delivery of municipal services for the general welfare of the citizenry at large.

Municipal councils and officials are responsible for the strategic direction, executive and visionary leadership, motivation, control, responsibility and accountability of bulk municipal services and operational efficiency. It follows then, that the functioning of local government is part of the greater field of activity known as public administration. In recent years, many theorists, academics and practitioners have considered the changes in the organization and management of public and municipal services, and have sought to reflect those changes by using the term “public management” instead of “public administration”. However, it can be noted that

public management and public administration are intrinsically linked to the academic discourse. While this chapter emphasizes the theoretical and strategic conversation of municipal strategic management and public administration, it is not devoid of the dynamism of municipal governance.

The following serve as important areas for consideration regarding the strategic management of IDPs within a public administration dimension:

- What constitutes “good” strategic management of IDPs in local government?;
- How can “good” strategic management be achieved by local councils?; and
- How can the principles and practice of public administration contribute to effective and efficient municipal service delivery?

In answering these questions, the aim is to heighten one’s awareness of the importance of municipal strategic management, and of linking planning to development for enhanced service delivery. As part of its developmental role, local government is expected to form a partnership with its local communities, popularly known as “participatory governance”. The following chapter will focus in detail on the issues of public participation and integrated development planning. The Principles of Batho Pele are a significant milestone in terms of government’s commitment to improving the status of communities and contributing to their quality of life. These principles serve as a strategic benchmark for enhancing municipal service delivery. The following section discusses this strategic focus briefly.

3.2 BATHO PELE AND MUNICIPAL SERVICE DELIVERY

The term “customer” is used in the context of improving service delivery because it embraces certain principles which are as fundamental to public service delivery as they are to the provision of services for commercial gain. Access to decent municipal services is not a privilege to be enjoyed by a designated part of the community: it is a basic right and expectation of all citizens. This is linked to the guiding principle of Public Service transformation and reform - “service to the people” - and the notion of developmental local government.

“*Batho Pele*” implies “*People First*”. It is a relentless search for increased efficiency and the reduction of wastage within the public service. All citizens are to be treated equally with courtesy, respect and dignity. The aim is to progressively raise standards of service, especially for those whose access to public services has been limited in the past and whose needs are greatest (Skweyiya 1997: Government Gazette). Batho Pele serves as a framework that frees the energy and commitment of public officials to introduce more “*customer-focused*” ways of executing their functions and doing their work. The basic principle is optimum service delivery at optimum cost in order to realize the ultimate goal of creating a good quality of life for every citizen. This is aided by the creation of a framework for the delivery of public services that treats citizens more like customers, and enables them to hold the responsible public officials accountable for delivery and the equity of public services (Gildenhuys & Knipe 2000: 135). A brief discussion of service standards follows:

3.3 CUSTOMER PRIORITY

It is recognized that meeting customer needs is the foundation of municipal service delivery. This is depicted by Heller (1994: 25) as:

“The virtual corporation seeks to meet customer needs in the shortest possible time by continual adaptation”.

This means ensuring that there is customer-focused service delivery, and that the promised level and quality of service is always of the highest standard. The same view is held by the President of Hewlett-Packard (in the Computer Journal 1985: 5):

“In today’s competitive environment, ignoring the quality issue is tantamount to corporate suicide...continually meeting agreed customer needs’ or what it takes to satisfy the customer”.

Local government must understand the needs of “customers” in order to meet the needs of communities efficiently and effectively. Municipal officials are charged with the responsibility for establishing the boundaries and the culture in which the communities can work successfully and creatively. Heller (1994: 34) submits that:

“If words were deeds, the remaining 1990’s would be the Year of the Customer and 2000 would usher in a whole century of customer worship. But management science is the study of the gap”.

This emphasizes that municipal councils, officials and councillors should always understand that they are there to serve the general welfare of communities, who are entitled to receive the highest standard of services. Furthermore, strengthening citizens’ capacities, promoting citizen engagement in collective decisions and community life, and contributing to the spread of a civic culture is of paramount importance in enhancing customer focus and fostering citizen participation (Carson and Lewanski 2007: 75-76).

3.4 PUBLIC ADMINISTRATION *VIS-À-VIS* MUNICIPAL STRATEGIC MANAGEMENT

The provision of municipal service delivery is no easy task. It involves a multi-disciplinary approach of public administration and management. The functional field of municipal service delivery, as emphasized by the researcher, can be delineated into the following domains:

- Managing the provision of municipal service delivery within statutory guidelines;
- Maintenance of financial information management systems and budgets linked to the IDP;
- Managing ethical and professional discipline, including handling of public complaints;
- Building, managing and updating an information base which relies on modern technology;
- Provision and maintenance of internships for exchange of skills-based training;
- Regulating and controlling the conduct of municipal officials;
- The need for creative problem-solving, and
- Utilizing public management functions, applying the necessary skills and technology to operate efficient municipal services.

To summarise, the above list is by no means exhaustive, as it is becoming increasingly important for municipalities to be exposed to public management as a discipline to enable them to provide knowledgeable, skilled and significant contributions to the communities they serve. It can

therefore be deduced that municipalities are facing tremendous pressure from communities to provide citizen-oriented services. The management techniques, values and delivery of municipal services are intrinsically dependent on the theoretical and practical underpinnings of public administration. Public administration lays the foundation for productivity and serves as a “catalyst” for service design and delivery, organizational structures, management issues of strategy, managing performance and other valuable output strategies which are sought after for enhancing municipal delivery.

The administration and management of municipal services is largely dependent on a variety of resources to function effectively and efficiently viz. human, financial, technical and natural resources. It is imperative that these resources are administered and managed wisely, and organized in such a manner that they will ensure the greatest possible success to satisfy communities’ needs. The delivery of municipal services is regulated by statutory guidelines; however, it is the process of public administration and management that enables the municipal management corps to mobilize and optimize resources. The emphasis therefore in this chapter, is on results, or the outcomes of effective municipal service delivery, rather than on processes. The outcomes should be measured in human terms through the dictum of public administration. Municipal strategic management is one of the specialized sub-fields of public administration. The provision of services for the general welfare of the community, the efficient and effective use of scarce resources, the necessity for adherence to professional ethics and respect for the Rule of Law and dignity for all, are fundamentally emphasized within the framework of public administration. Insight into the executive, administrative and managerial aspects of municipal strategic management contribute to the professional delivery of development and good governance through participatory democracy (Subban 2003: 10).

South African public administration has undergone many changes recently, *inter alia*, focusing on management of information, technological innovations, managing cultural diversity and policy analysis and management, to mention a few. Municipalities have undergone similar transformation within the current dispensation, amidst a plethora of legislative and other policy developments. The provision of municipal services and the management of municipalities contribute to the overall definition of public administration (Subban 2003: 10)

Municipalities are facing tremendous challenges in a rapidly transformed society, to increase the level of services provided to impoverished communities. Transformation of these services is guided by the availability of resources within the dominant notion of public administration. Municipalities ought to emphasize public management as a technique for addressing service delivery, efficiency, effectiveness, accountability and constitutional obligation to society. What is proposed is not the traditional generic administrative process approach to an open system, but rather, a development-oriented approach to facilitate citizen participation and provide service excellence. The fundamental issues regarding local government are viewed from a public administration context relating to social contract, moral responsibility and service rendering. Municipal officials need to be equipped with the intellectual insights and skills of public administration so as to meet the challenges of a rapidly changing society (Subban 2003: 12).

This chapter further scrutinizes the *locus* of municipal strategic management within public administration. It examines the underlying principles regarding municipal services that place a huge responsibility on municipal managers and other officials to manage their municipalities within strategic frameworks, taking cognizance of the dynamic environment, work methods and processes and functions within public scrutiny and accountability. A fundamental awareness of values and beliefs within the communities is noted. The core activities, principles and values of public administration serve as a means to achieving the end result of effective municipal delivery. The chapter examines the public administration and management model and conceptualizes the management approach to municipal management.

The focus here is on the public management model, which emphasises the environment in which municipalities function; the skills necessary for effective goal attainment, application to assist municipal managers and other officials in the execution of functions and skills, and the use of supportive technology and techniques. For the purpose of this study, the principles of management are confined to municipalities within a public administrative dimension. Municipalities must be sensitive to the poor, recognizing the need for services to be delivered efficiently and effectively and to be responsive to the needs of the poor in marginalized sectors of society. Improving the performance of municipalities and ensuring commitment of local

officials is one way of achieving this goal. It is never static and new competencies are necessitated within the current dispensation of local government. The expertise and capacity skills of municipal managers, mayors, chief accounting officers, councillors and other officials is crucial in their progression towards becoming better managers who focus on outputs and outcomes. The necessity for generic management skills by municipal officials at all levels is of paramount importance and cannot be overemphasised (Schwella et al 1991: 20). The nature, function and role of municipalities contribute significantly to the theorization of public administration, which discussion follows in the introductory section of this chapter.

3.5 CONCEPT OF PUBLIC ADMINISTRATION

There is a plethora of definitions of Public Administration. Van Der Waldt and Du Toit (1997: 13) write that:

“Public administration is concerned with handling public matters and management of public institutions in such a way that resources are used effectively to promote the general welfare of the public.”

Hanekom and Thornhill (1985: 76) define Public Administration as:

“A comprehensive and peculiar field of activity of numerous functions performed by public officials in public institutions and is directed at achieving the national goal of community welfare by producing the necessary goods and services.”

Pillay (2000: 32) asserts that both definitions stress the importance of achieving community welfare. It can be deduced that public administration involves a holistic approach to the delivery of goods and services for the benefit of the community it serves. Public administration serves as an “enabling or facilitating” mechanism for municipalities to carry out their activities.

3.6 DISTINCTIVENESS OF PUBLIC ADMINISTRATION

Public administration is a distinct field of activity and the functions to create and manage public institutions became known as public administration (Cloete 1994: 61). Public administration displays very distinct activities related to the nature and extent of services provided, as opposed to private and inter-sectoral management. This distinctiveness can be further illustrated by the definitions presented in the discussion which follows.

3.7 PUBLIC MANAGEMENT

The field of public management is defined by Fox, Schwella & Wissink (1991: 2) as:

“...that system of structures and processes, operating within a particular society as environment, with the objectives of facilitating the formulation of appropriate governmental policy, and the efficient execution of the formulated policy”.

From the above definition, according to Fox, Schwella and Wissink (1991: 2), the activity of public administration in government institutions is much wider in scope and nature than management in government institutions. Management is merely a facet of public administration in government institutions. One can therefore say that management in government institutions cannot take place if the outputs (results) of public administration do not enable those in managerial positions to manage.

According to Du Toit & Van Der Waldt (1997: 45-46), once the process of public administration enables public managers to manage, the managers can determine the managerial functions such as formulating internal policies, organizing their staff and functions internally, motivating their staff, and training and developing their staff. Therefore, management should be seen as a continuation of public administration so that specific products and services can be provided to society (for example, the provision of municipal services to the local citizenry).

It is also stated in Hansard (in Subban 2001: 51), that:

“Effective government is impossible without effective public administration. Without an efficient and effective public administration, government will not be able to put its policies into effect and hence the interests of the people will not be properly served. Public officials can, in fact, make an indispensable contribution to the prosperity of the country, promoting the well-being of its inhabitants”.

These words emphasises the necessity for the theory, context and practice of public administration in the delivery of municipal services. Municipal services, in addition to other public services rendered by other spheres of government, for example, pension, defence, policing and education, can be referred to as functional activities of public administration.

3.8 MUNICIPAL STRATEGIC MANAGEMENT

The term “*municipal strategic management*” includes all the generic aspects and management functions of public management, and can be regarded as one of the specialized activities of the discipline. Municipal strategic management is therefore part of a broader field of activity of public administration. It is necessary for the general welfare of society, contributing to an acceptable quality of life for all communities. The strategic management of a municipality, like public administration, is also a comprehensive field of activity. It involves the generic, auxiliary and functional activities and the skills and technology necessary for rendering municipal services. Municipal service delivery is concentrated at the local sphere of government and is aimed at the provision of quality services to local communities within the vision and mission of the developmental mandate of a municipality (adapted from Schwella et al 1991: 21).

The nature and extent of services provided by municipalities is governed by legislation which is enacted by Parliament. It is thus necessary to outline the South African system of local government. The democratic principle and mandate of local government is entrenched in the Constitution, which plays a pivotal role in laying the foundation for the creation and provision of municipal management and service delivery. To place the subject of municipal strategic management into perspective, it is necessary to review the history of local government very briefly.

From the above brief exposition, it is evident that local government is mandated to achieve excellence in service delivery, and to disseminate knowledge for the welfare and development of all citizens. The challenge today is to maximize service delivery to all parts of society, and inculcate constitutional values through the local services and activities, thus providing opportunities to learn new skills for enhanced delivery.

It can therefore be deduced that an institution such as a municipality is an establishment or body created for public benefit and receiving financial assistance from the state (partially), because municipalities are also required to generate their own revenue and manage their municipalities in a sustainable manner. Public institutions provide goods and render services to satisfy the national goal of community welfare (Moodley 1987: 13). Public institutions are usually

established to promote the general welfare of society, in other words, to ensure the greatest measure of material well-being for the citizens (Cloete 1986: 7). From the above discussion, the management of municipalities can be classified as public institutions established within Constitutional imperatives to render quality services on behalf of local government and the state, and to satisfy developmental mandates.

A management study undertaken by a municipal office on the service offered by the government in the United Kingdom revealed the following through the Cabinet Office (1998: 2):

“The local government position is more complicated and in many instances distinctly different. The reasons for providing a service in the first place, the nature of that service and the manner in which it is delivered, are not dictated by markets. In these circumstances, the balance between public expectations and the level of service to be provided is decided on the basis of political judgments about economic and social priorities. Those who execute public service functions have a professional responsibility to do so to the highest standard of service possible, within the given level of resources, and this is what civil servants were to achieve”.

From the above quotation, it can be said that good governance is essential for sustainable development, and at local government level, the restoration of efficient municipal governance is a fundamental basis for municipal administration. The ensuing discussion examines the theoretical and practical underpinnings of public administration in a local government milieu.

3.9 CHANGING LOCUS OF PUBLIC ADMINISTRATION

A number of approaches to public administration have been put forward by writers in the subject field. There is, however, a need for greater openness in how local government operates, greater involvement for clients and users, increasingly flexibility to meet the needs of communities, improved physical access to municipalities and more information about local government. Therefore, a transition from traditional approaches to innovative or perhaps more radical alternatives for quality service delivery must be considered. For the purposes of this discussion, three specific approaches to public administration are examined, and are presented as diagrammatic tools to summarize the discussion, as follows:

- Traditional approach as advocated by Cloete (1988: 86-87);
- Innovative approach by Fox, Schwella & Wissink (1991: 2); and
- New Public Management Approach – NPM by Harrison (in Pieterse et al 2008: 377).

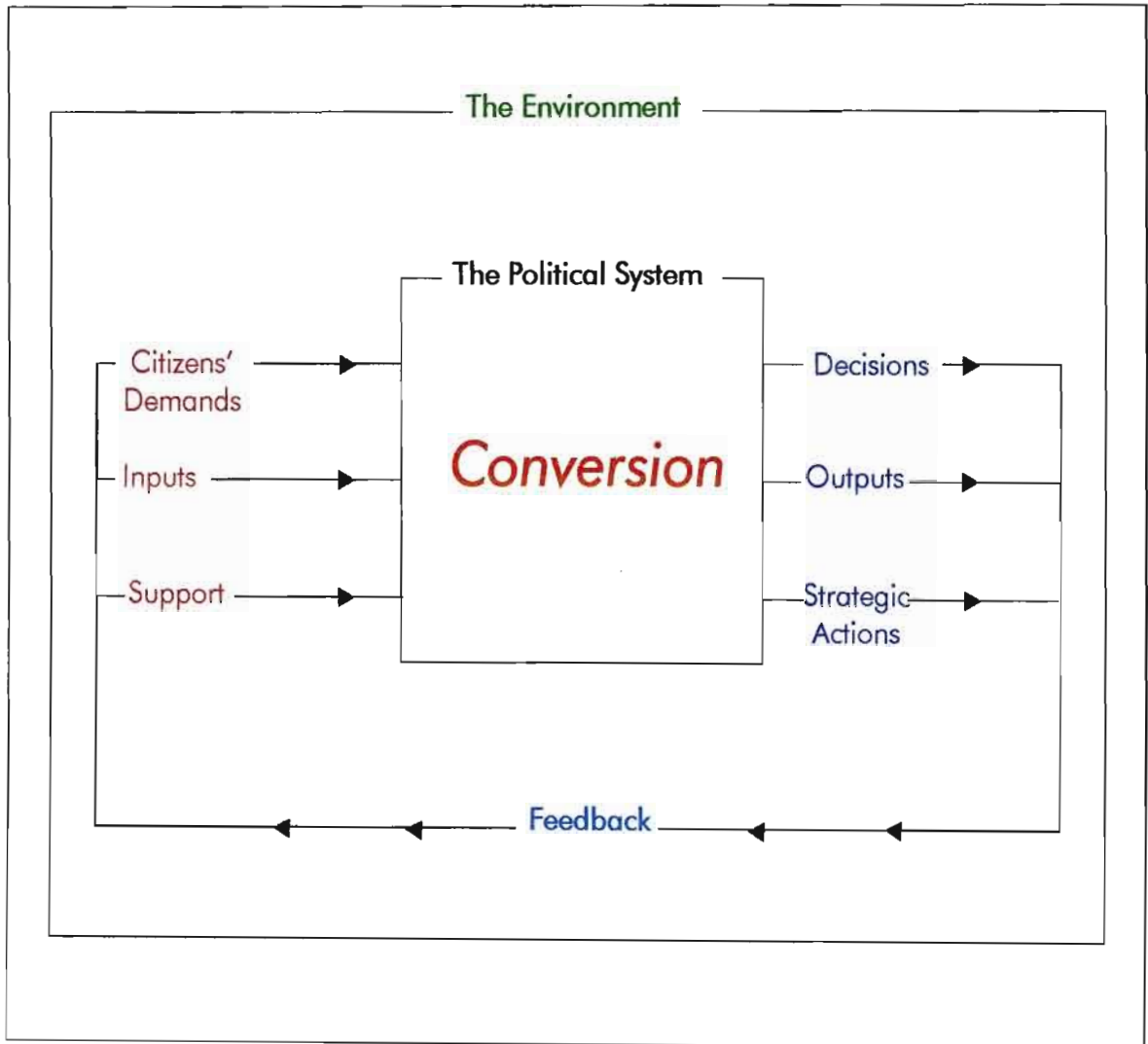
It can be argued that both the Cloete and Fox, Schwella and Wissink approaches utilize the basic rationale of systems theory as a point of departure.

3.10 SYSTEMS MODEL

The systems model states that municipalities exist to provide goods and services for society as a whole, and that public administration in the South African local government sphere is a system comprising many public institutions that interact with its environment. The systems model or approach is regarded as one of the most valuable tools for analyzing policies. The systems model can provide perspectives on aspects such as the influence of the environment on political policy and *vice versa*, the success or ability of the political system to convert demands into public policy, the effectiveness of the feedback process, and the extent to which information (results, impacts and consequences of policies) is incorporated in the adoption of existing or new policies (Hanekom 1987: 81). The systems model provides a valuable framework for policy-making. Wissink and Fox et al (1991: 32) go further in describing these elements as policy inputs (initiation and information generation), policy conversion (consideration and decision-making), policy outputs (publication and statement) and policy feedback (inputs from the environment). Wissink notes that the value of the systems model lies in the framework it provides, which describes the relationships between demands, the political system and the results or outputs in terms of stabilizing the environment or triggering new demands (Cloete & Wissink 2000: 39). In the systems model, the elements of the system are on-going and form interdependent relationships with each other.

The systems model is illustrated in **Figure 3.1**.

FIGURE 3.1 SYSTEMS MODEL



(Cloete & Wissink 2000: 39)

As all parts of the body are inter-related and become significant together, so too are the phenomena of social science. According to Easton (in Caiden 1971: 195), what forms the basis of the analytical model underpinning much of the theory of public administration in South Africa is a system comprising the many public institutions (municipalities) that interact with the environment in such a way that it remains able to authoritatively allocate values in a society over time. This model is closely related to the well-known input-output model of Easton, which focused on the response by the political system to the demands and needs of interest groups.

A typical disadvantage of the systems model is that it fails to describe how the actual transformation of inputs into outputs takes place, viewing this part of the process as a “*black-box*”. It does not address the power relationships in decision-making or the various role-players in the policy process. It tells one very little about political change and why certain policies evolve as a result of change. It implies that the policy process is logical and orderly, when in fact, it is characterized by multiple factors and processes which often have a direct bearing on policy decisions (Cloete and Wissink 2000: 41).

These criticisms raise the question of whether the systems approach does not lead to a distorted view of the world. Instead of being a useful way of getting a handle on how the world works, it simply assumes that there is only one handle and that disciplines such as public administration fall within that focus (March & Simon in Bayat & Meyer 1994: 89). Although Cloete does not acknowledge fully the environment in which public administration operates nor its influence on the quality of services rendered, the cyclical process of community demands converted into output and fed into the community exists within an environmental context.

Fox, Schwella and Wissink (1991: 25) argue that:

“Public administration is a complicated and dynamic social phenomena consisting of a system of structures and processes operating within society at the environment”.

The emphasis here is on facilitating the formulation of appropriate governmental policies, catering for the diverse needs of society, and effective and efficient execution of these policies. The systems theory is poor at coping with complexity and dynamism, according to Ashford

(1992: 378). Therefore, it is overtly reductionist and consequently misleading. It reduces the complex societal phenomena of public administration to a linear process of causal consequences. Systems theory in the form in which it is encountered in public administration in South Africa, appears to be neither academically nor professionally adequate or possibly even relevant, as highlighted by Erasmus (in Bayat & Meyer 1994: 80).

From the afore-going, it appears necessary to depart from the systems theory and provide a fusion of both the Cloete and Fox, Schwella and Wissink models, thus providing a streamlined approach for improved service delivery, and taking cognizance of the challenges facing local government.

An exposition of the Cloete and Fox, Schwella and Wissink models is provided below.

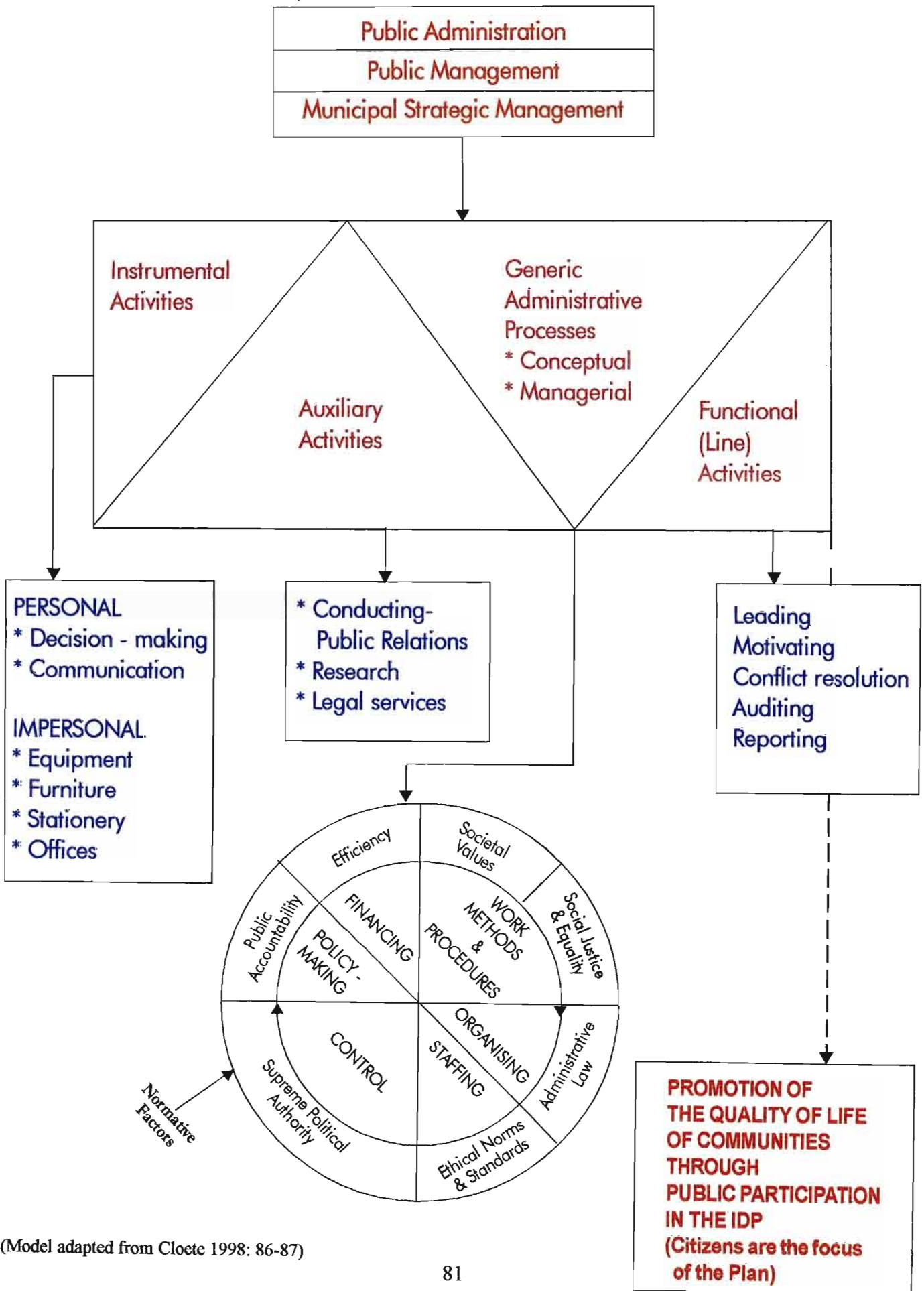
3.11 CLOETE MODEL: TRADITIONAL APPROACH

The Cloete approach has become a popular and much-supported approach by theorists, practitioners and scholars of public administration. The traditional approach emphasizes that everything happening in public institutions (municipality) focuses on six generic processes, as argued by Cloete (1981: 4):

“Public administration refers to the administrative processes... which must be carried out and which are inextricably linked with the functional activities of the various public institutions namely, policy-making, organizing, financing, staffing, work methods and procedures and the exercising of control”.

According to Cloete (1997: 1), public administration is a distinctive field of activity which consists of all the functions undertaken by local government officials in a municipality to provide the community with municipal services and goods. These functions can be arranged into the following distinct groups: generic administrative processes (conceptual and management), auxiliary and instrumental activities, and functional or line activities. Specific knowledge, skills and behaviour attitudes are needed for performance of these functions and activities. **Figure 3.2** illustrates the Cloete model where the groups of functions are discussed.

**FIGURE 3.2 Cloete Model
(Generic Administrative Functions)**



(Model adapted from Cloete 1998: 86-87)

Cloete emphasizes that work entrusted to municipal officials and municipalities usually consists of a combination of generic administrative functions and functional activities in the performance of work, in which a variety of auxiliary functions can be performed. In the following discussion, the aforementioned processes are explained, very briefly, according to Cloete (1997: 2-3), as follows:

- **auxiliary and instrumental activities**

Cloete (1997: 3) stresses that for each type of work, suitable tools for performing the work were invented. Specific functions have to be performed for the application of tools and aids, known as auxiliary and instrumental functions. These are enabling activities in the provision of municipal services to communities.

- **Functional or line activities**

Functional work must be performed in municipalities to provide municipal services. A municipality exists to render one or more services. Functional activities are peculiar to specific services, *inter alia*, housing, health services, water, electricity and other municipal services. According to Cloete (1988: 86), the functional activities are determined by the physical and social conditions prevailing in a municipality.

- **Generic administrative processes (conceptual and managerial)**

Cloete (1998: 85) asserts that generic activities can be sub-divided into two categories: conceptual and managerial. A municipality requires both intuitive and decisive human skills, and the effective utilisation of technical skills as management tools.

3.11.1 CRITICISM OF CLOETE'S MODEL

Cloete's model of the administrative process approach had become the popular approach to the study and practice of South African Public Administration by theorists, practitioners and academic scholars alike. However, this approach is not without problems and shortcomings, including the following:

- **Reductionism**

According to Marais (in Bayat & Meyer 1994: 103), public administration is a universal or generic science and does not allow for renewal. It is unchanging and generic, and considered completely unsatisfactory. It stifled deeper investigation into the problems of both public administration and the local government sphere. This administrative process approach actively resisted an infusion of new ideas. Cloete explained that the public service (local government) consisted of objectives or functions as well as administration. Within the study of public administration, however, Cloete deliberately ignored the functions and divided administration into six universal or generic processes. The administrative process model reduces the complexity of public administration to merely the administrative process, and therefore the administration functions of policy-making, organizing, financing, personnel provision and utilization and control, as advocated by Schwella (in Wessels & Pauw 1999: 334).

- **Reification**

This criticism put forward by Cloete is that by elevating theoretical constructs and concepts to the status of reality, one is elevating the generic administrative process to the status of reality. This approach deals with “how” a public official performs his functions, and was consequently a closed-ended and prescriptive approach. Its prescriptive nature allowed no deviation and was therefore intellectually restrictive in the extreme, as highlighted by Marais (in Bayat & Meyer 1994: 110). The need to question what the public official does, in reality, was never challenged.

- **Relevance**

It is clear that the generic administrative approach was lacking in relevance because it did not reflect the serious problems in the systems of governance and administration in the South Africa of the past. As this approach is systematically biased towards internal aspects of bureaucracy rather than the relationships between the systems of public administration and its complex societal environment, it will also not reflect on present and future problems in South African governance and administration in a critical way (Groenewald 1992: 68-71). The nature of this generic approach inhibits critical and relevant theorising about the relationship between the system of public administration and the society in which it operates. It does not take into

account the ever-changing and troubled environment (political, economic, social, cultural and technological) of a society and the way in which this environment influences administrative activities, as advocated by Schwella (in Pillay 2000: 41).

As a point of departure, the Fox, Schwella and Wissink approach in the subsequent section.

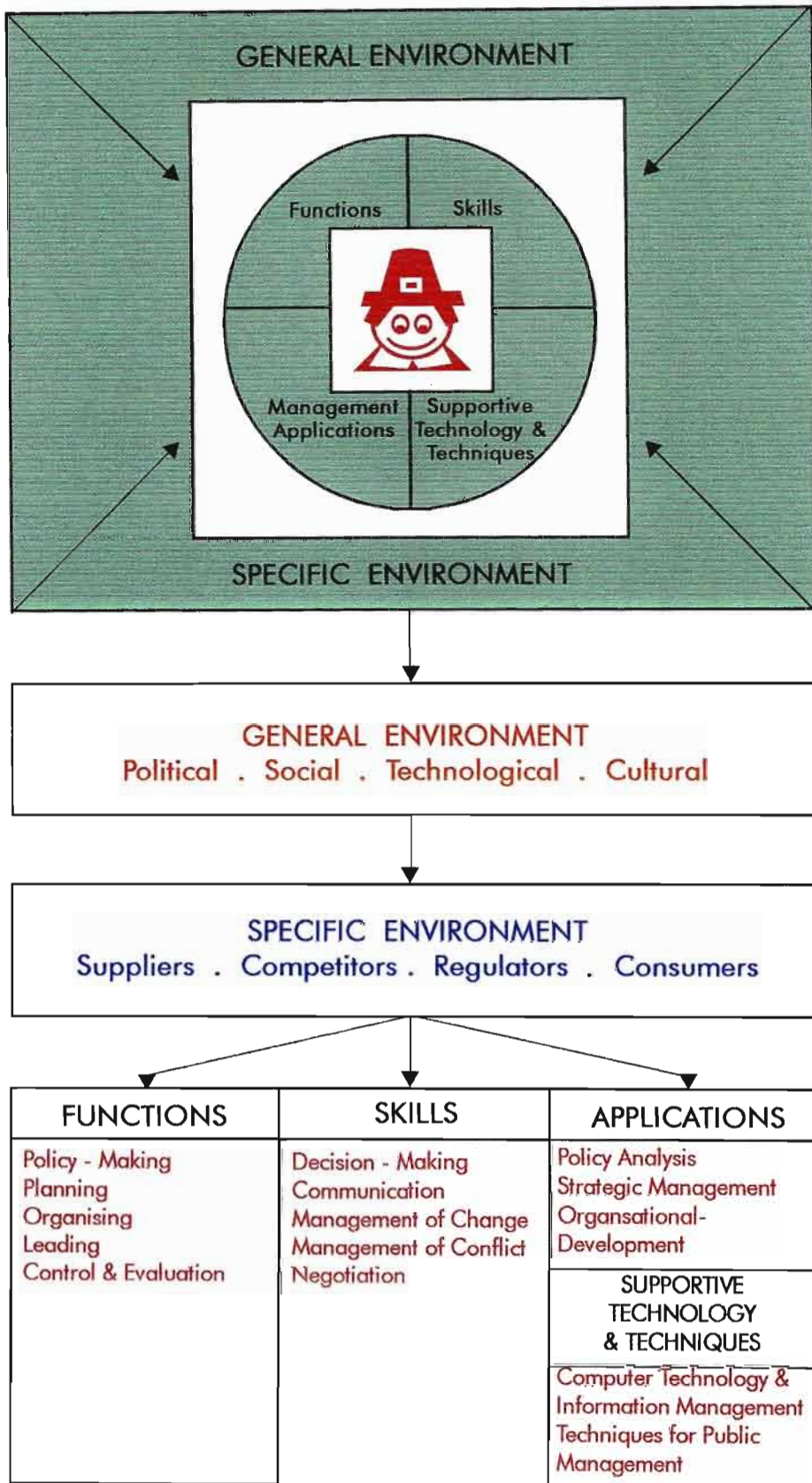
3.12 FOX, SCHWELLA & WISSINK'S PUBLIC MANAGEMENT MODEL: INNOVATIVE APPROACH

Fox, Schwella and Wissink's public management model emphasizes a paradigm shift both in the pedagogy and practice of the discipline, as McLennan & FitzGerald (in Wessels & Pauw 1999: 8) find that:

"...public administration teaching and theory in South Africa is experiencing a paradigm shift. There is an attempt to move from a descriptive academic approach which emphasizes processes to a value-oriented public management approach".

From the afore-going, public administration serves a significant framework for managing governmental policies within a dynamic environment. This is highlighted by Schwella (1991: 2) as a system of structures and processes operating within a particular environment with the objective of facilitating the formulation of appropriate governmental policy. Public administration is concerned with the management of public programmes and policies in the local sphere of government for the general welfare of society. The public management model emphasises the environment in which the activities are influenced and carried out, and therefore serves as a useful tool for evaluating the activities of public administration and local government managers respectively. The model emphasises functions, skills, applications and technology for local government managers within the specific versus general environment. From this exposition, public management functions and managerial skills should be constantly assessed in terms of the environment, which exerts an influence over time on the quality of municipal services. Local municipalities are expected to continually render ever-increasing goods and services to local communities within the constraints of limited public funds and scarce resources. The task of every municipal manager is to manage the resources optimally and ensure that the communities receive efficient municipal service delivery (Du Toit et al 1998: 172). The model as depicted by Fox, Schwella and Wissink (1991: 4) is presented in **FIGURE 3.3**.

FIGURE 3.3 FOX, SCHWELLA & WISSINK APPROACH: PUBLIC MANAGEMENT MODEL



(Fox, Schwella & Wissink 1991: 4)

A brief exposition of the innovative public management model follows.

3.12.1 GENERAL ENVIRONMENT

It is defined as everything external to the municipality, and influences the management of a municipality constantly. It is possible to observe and experience the general environment after it has been mediated through the specific environment. However, it is imperative that municipal officials devise instruments for identifying and coping with the trends in the general environment, which comprise the political, social, cultural and technological components (Fox, Schwella & Wissink 1991: 66).

- **Political environment**

According to Hodge and Anthony (in Subban 2001: 69), the political system has a major impact on municipalities within society and should be considered by local government officials. Municipalities are governed by policies which operate within a political milieu. Political parties, structures, powers, interest and pressure groups will, from time to time, exert influences on public management functions within a municipality.

- **Economic environment**

According to Hodge and Anthony (in Subban 2001: 69), the economic system of a society is one which creates and distributes wealth, and the system which allocates scarce resources to competing individuals and groups. Both national and international economic factors impact on the stability of the economy or otherwise. Within the current context of local government, municipalities are expected not only to manage the revenue entrusted to them in a prudent manner, but to generate their own revenue as well.

- **Social environment**

According to Joubert (in Subban 2001: 69), the social environment can be seen as patterns of interaction of social roles and institutions within a particular society. It is influenced by demographic characteristics, population size, urbanization, housing, education, housing, training and human development. Policy-makers and local government officials must take cognisance of these factors when formulating policies.

- **cultural environment**

According to Hodge and Anthony (in Subban 2001: 70), the cultural environment of a society is its basic beliefs, attitudes, role definitions and interactions. It is a multi-cultural environment in which diverse cultures are displayed. The cultural values and norms held by a society are of importance when assessing needs.

- **Technological environment**

This environment is integral in the practice of public administration in municipalities. The technological environment focuses local government officials on broadening technological skills to provide municipal services in an integrated manner, as emphasized by the researcher.

3.12.2 SPECIFIC ENVIRONMENT

The specific environment is that part of the environment which directly influences the availability of resources to a municipality. These components are observable and directly experienced by the organization. Fox et al (1991: 67) assert that, the specific environment has the following components (discussion adapted for municipal context):

Regulators: mediate, control and regulate the relationships between the organization and its suppliers, consumers and competitors. They are usually vested with some form of authority and are often described in statutory provisions. They have a profound effect on the structures and functions of municipalities Fox et al (1991: 67).

Suppliers: produce, mobilize and allocate various kinds of resources to particular organizations. An important resource is finance, through rates, levies or service charges in accordance with various policy priorities. Societal institutions acting as suppliers of financial and political resources to municipalities include legislative bodies, such as Parliament; the electorate and the rate payers. Administrative and executive bodies acting as suppliers include the Cabinet, Provincial and Municipal Treasuries. As a result of the nature and scope of the municipal activities and the availability of resources, municipal managers must identify important resources

with circumspection Fox et al (1991: 67).

Consumers: constituted by the users of the products or local services. They include voluntary and compulsory consumption. Consumers are often suppliers of economic or political resources as ratepayers or the electorate. Therefore municipalities derive their reason for existence from the needs of the local communities. Municipalities take action to create diverse opportunities to meet the real needs of local communities. It is therefore imperative for local government officials to examine their role, purpose and functions within the developmental context of local government. This is linked to the quality of life of communities. Social values and norms shape the level of thinking and the paradigm within which the mandate of local government is realized Fox et al (1991: 67).

Since local government officials are confronted with continuous change in society, they should take cognisance of divergent values within society. Also operating within the decisions, spirit and framework of the Constitution, is an integral component of the social factor when working with communities. Since the delivery of municipal services is directed to the general welfare of communities, public participation in the process is imperative. Local municipalities must develop a culture of governance that shifts from representativeness to participatory delivery, and for this purpose encourage and create the conditions for communities and stakeholders to participate in the affairs of municipalities Fox et al (1991: 67).

The following guidelines have relevance for municipalities:

- Conduct business in a manner that is comprehensive to the public;
- Articulate the objectives and policies regulating its main activities in such a way that they are understood by the public and monitored and evaluated by its stakeholders;
- Ensure that the rules and legislation are understood by and accessible to the public, and
- Keep communities and other stakeholders informed about its main activities (adapted from the Local Government Municipal Structures Act).

From the afore-going discussion, it can be deduced that communities play an integral part in decision-making processes and the delivery of basic services. They should be part of the process and not just receivers of the service. Strong community initiatives are a precondition and building block for democratic structural change. The need to build societies and redefine their role and space for public participation is fundamental to achieving political and administrative reform in local government. A learning process is thus created by building capacities for action, via a developmental milieu in which communities become the subject of their own experience rather than the object of other people's worlds. The practice of public management emphasizes the significant role of community participation, which is the thrust of this chapter.

Competitors: competition for scarce resources within municipalities. Privatization and deregulation may create economic competitors for the services they deliver. Municipalities are always in competition with each other, and have to identify the competitors and design strategies to deal with competing alternative service providers of products and services Fox et al (1991: 67).

From the preceding discussion, the environment in which public administration operates is dynamic. It is made up of the political, economic, social, cultural and technological factors that impact on the quality of services and influence basic operations. Similarly, municipalities operate within the constantly changing environment and changing legislation, in a political milieu, serving the interests of communities within a political mandate from the state. The communities are heterogenous and multicultural, hence local government officials must be sensitized to the culturally diverse people they represent. The pace of technology is advancing rapidly towards automated systems and electronic media. This provides valuable access to information for communities in a "global village". The general environment is equated to that which is depicted in the model, as these factors influence the quality and quantity of services rendered. Within the specific environment, municipalities are referred to as the suppliers. They ought to regulate and evaluate their conduct and performance in their duties and activities, relative to their moral, legal/statutory, constitutional and social obligation. The Rule of Law must be upheld in the delivery of basic services to citizens. Competitors are the private companies who render services for and behalf of the municipalities. The regulators would

include the legislature, provincial and municipal treasury and other public institutions. The consumers are the disadvantaged communities who rely on the municipalities for municipal services, and municipalities derive the reason for their existence from the needs of consumers (adapted from Fox 1991: 22). One of the primary goals of government services is community upliftment and development. This is best realized through public participation programmes and mechanisms, for example, through imbizos and integrated development planning initiatives. Since municipalities are directed and managed by municipal managers who are regarded as public managers, they are entrusted with the administration and management of the services offered by local municipalities. They are required to plan objectives, lead, motivate and control activities utilising competent skills and applications towards accomplishment of the municipalities' vision and mission.

3.12.3 PUBLIC MANAGEMENT FUNCTIONS

Public management functions include municipal policy-making, organizing, leadership, motivation, control and evaluation. These functions provide a useful framework for analytical and systematized knowledge when conducting public activities.

3.12.4 PUBLIC MANAGEMENT SKILLS

Public management is a professional and a practical effort at reaching objectives efficiently. It requires not only theoretical knowledge, but also practical management skills. Municipal officials today are confronted with many challenges in a complex and dynamic environment and are required to utilize their competencies wisely. These are, in particular, municipal decision-making, constructive negotiation, management of conflict and change, and skilful bargaining. Municipal officials must ensure that they utilize management skills to ensure effective team work in the municipality. Some useful indicators for effective municipal councils include: joint or unified commitment to serve the community, good communication and feedback to clients, developing mutual trust between clients and managers, leadership skills, negotiation skills, administrative and management skills for municipal services and clearly defined objectives and goals with policy frameworks (adapted from Schwella et al 1991: 25).

3.13 MANAGEMENT APPLICATIONS

In view of the overwhelming challenges facing municipal officials today, they are required to consult systematized applications in exercising their functions expeditiously. Key aspects include municipal policy analysis, municipal strategic management, organizational development, and municipal project management. The utilisation of these applications enables municipal officials to address current and future issues and challenges pro-actively.

3.14 SUPPORTIVE TECHNOLOGY AND TECHNIQUES

Technological aids and techniques provide unlimited benefits for municipal officials. They provide a means of ensuring efficiency and effectiveness in municipalities. Examples include the use of computers (Munsoft), and management information systems, as increasingly important resource tools for enhanced local government management. Technology has revolutionized the way in which municipalities are expected to function in the global village or information age. Increased use of electronic media and automated systems ensures that municipalities improve their level of efficiency and administrative workload. It is therefore important for municipal officials to be proficient in the management of information systems, and become necessary to improve management effectiveness by satisfying information needs, thus developing information systems as an ongoing basis (Van Niekerk, van der Waldt & Jonker 2001: 192).

Evidently technology has advanced dramatically, enhancing the communication process beyond traditional means, so much so that municipalities are often overwhelmed with too much information or the fast pace of development. Since information is regarded as a very strategic resource in a municipality, automated data processing is one of the more effective tools for municipal officials to plan, design and implement local services.

A synergy between the Cloete-Fox, Schwella and Wissink approaches to the study of public administration has been developed. This has led to a new integrated model defining the role, skills and strategies required by municipal functionaries and other policy actors to contribute meaningfully to the improvement and delivery of municipal service delivery. An analysis of the practice of public administration provides for a combination of the two approaches discussed earlier in the chapter. Hence, this study takes into account both the approaches collectively.

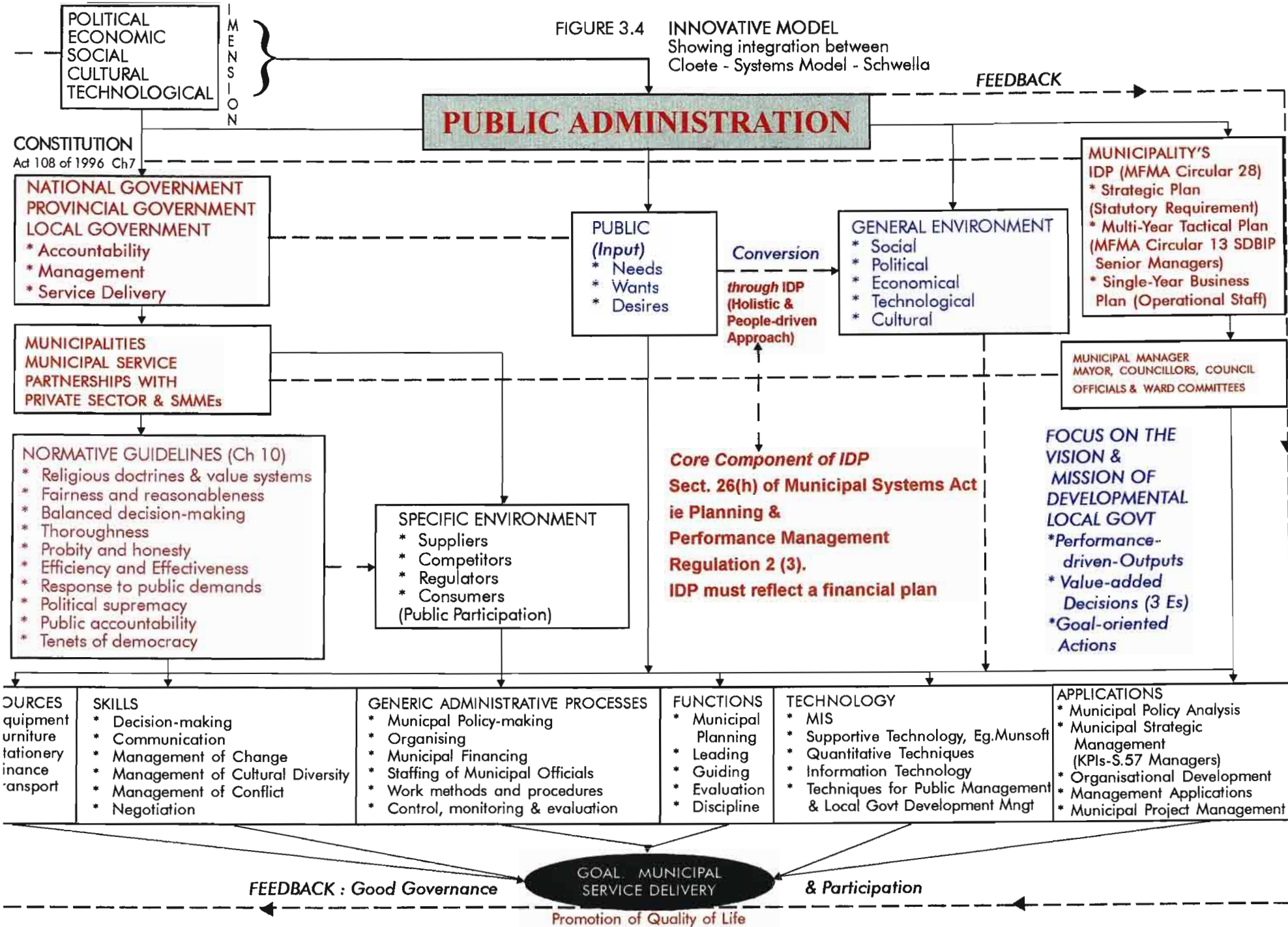
3.15 MODEL FOR MUNICIPAL SERVICE DELIVERY: AN INTEGRATED APPROACH

Cloete emphasises the generic administrative process as the key performance indicators for realizing the goals of public administration i.e. municipal policy-making, organizing, municipal financing, staffing, determining work methods and procedures, and exercising control and evaluation. According to Fox, Schwella and Wissink (1996: 6), the environment (general and specific) is a decisive factor in shaping policies and actions of public managers. In an attempt to provide a deeper appreciation of municipal governance through the public administration discourse, this synergy can be viewed through an integrated approach using the Systems Theory, Cloete Model, Fox, Schwella and Wissink Model, as follows:

- Local government upholds its Constitutional mandate of public participation through the IDP;
- Links the IDP to the Local Government Municipal Systems Act relating to planning and performance management;
- The IDP reflects a financial plan;
- Municipalities' IDP is linked to a strategic plan, a multi-year tactical plan and single year operational plan;
- The ultimate focus is on municipal service delivery, and
- The outcome is promoting the quality of life.

The emphasis of these approaches is synthesized in an integrative model illustrated in **Figure 3.4**.

FIGURE 3.4 INNOVATIVE MODEL
Showing integration between
Cloete - Systems Model - Schwella



The delivery of municipal services is illustrated through this new integrated model for municipal service delivery and community participation through the IDP. The integrated approach involves the Systems Theory, Cloete, and Fox, Schwella and Wissink Models. The model is an adaptation of the traditional and innovative approaches to public management and municipal service delivery. The next section proceeds to provide a contextual exposition of the integrated approach.

From the exposition of this field of study, the researcher emphasizes that increasingly, it is recognized that the provision of municipal service delivery through IDPs and enhanced public participation, is of necessity, towards promoting the quality of life of local communities. As rationalization of jobs increases and the levels of unemployment continue to increase, the need for increased service delivery becomes more complex and challenging. This places enormous demands on municipalities to develop and create sustainable means to render quality services. The integration of the Systems Theory, Cloete and Fox, Schwella and Wissink models presents innovations and takes cognisance of the dynamic environment in which municipalities operate. The skills required and performed by municipal officials are highlighted through the fusion of these approaches. The policies for improving service delivery to local communities should complement the Constitutional mandate, the goals of government's Reconstruction and Development Programme, the Provincial Growth and Development Strategy and the Principles of Batho Pele.

Van Der Waldt (2007: 10) asserts that municipalities require adequate resources (financial, human, technological), infrastructure and equipment to meet their institutional goals. Careful thought must be given to the organization and structure of municipalities and to the internal organizational arrangements, *inter alia*: channels of communication, delegation, unity of command, span of control and co-ordination aspects. The provision of adequate human resources is vital to ensure quality services and to meet the rising demands of local communities. Public human resources play an important role in a municipality in that employment actions, conditions of service and quality of service delivery have a profound effect on a municipality's economic, political and social systems. The advent of the Public Management Bill and the notion of a single public service have far-reaching effects for municipal officials regarding their

conditions of service and the overall functioning of municipalities and local government. Various public management functions ought to be performed by municipalities to ensure that effective and efficient municipal service delivery is rendered, and that the IDPs are linked to the performance agenda of the municipality. These functions are:

- **Municipal Planning**

According to Van Der Waldt & Du Toit (1997: 182),

“Planning is aimed at determining future circumstances and identifying the measures needed to realize them”.

- **Organizing**

According to Benington & Hartley (1994: 15),

“Organising is an enabling activity and concerns, inter alia, concepts and practices relating to organizational structure”.

- **Leading**

According to Robbins and Coulter (1996: 459), the challenges facing municipalities is to lead people who are different from each other and to pull together in the same direction to accomplish organizational goals. Municipal managers are expected to have visionary leadership and possess vibrant leadership skills to take their municipalities forward and realize their developmental role.

- **Controlling**

Robbins and Coulter (1996: 654) define control as:

“...the process of monitoring activities to ensure that they are being accomplished as planned and of correcting any significant deviations”.

This is an ongoing process that follows the planning and organizing process. Actual results obtained are compared with the planned results and corrective action is taken where necessary (Du Toit, Van Der Waldt, Bayat and Cheminais 1998: 189). The integrative approach places emphasis on the normative guidelines impacting on municipal service delivery. The next section offers a brief discussion of the normative factors impacting on municipal service delivery and governance.

3.16 NORMATIVE GUIDELINES THAT IMPACT ON MUNICIPAL SERVICE DELIVERY

Given the Constitutional imperatives outlined in the previous chapter, it must be stated that section 195(1) of the 1996 Constitution enumerates the basic values and principles governing public administration. Public administration must be governed by, *inter alia*, the democratic values and principles of transparency and efficiency. The following principles are important:

- A high standard of professional ethics must be promoted and maintained;
- There should be efficient, economic and effective use of resources;
- Public administration must be developmentally-oriented;
- Services must be provided impartially, fairly, equitably and without bias;
- People's needs must be responded to, and the members of the public must be encouraged to participate in policy-making;
- Public administration must be accountable;
- Transparency must be fostered by providing the public with timely, accessible and accurate information;
- Good human-resource management and career development practices to maximize human potential must be cultivated, and
- Public administration must be broadly representative of the South African people with employment and personnel practices based on ability, objectivity, fairness and the need to redress the imbalances of the past to achieve broad representation (South Africa – Republic 1996: Chapter 10).

These values and principles influence the normative factors relating to municipal service delivery and public participation. Therefore, municipalities must define their policies to give effect to the public value system by demonstrating and adhering to ethical and moral standards in their interface with communities. Normal values have a direct impact on society and its level of development. Municipal officials should display a certain degree of professional ethics, be accountable, representative and participatory, not forgetting fairness in applying the law. The normative guidelines provide a framework of behaviour that guides municipalities in the execution of their duties. It also serves to motivate, direct and control their behaviour, thus guiding decision-making. Municipalities must be people-centred, accountable and transparent in

their actions, and ultimately responsive to the needs and welfare of local communities. It must also be emphasized that the normative criteria inherent in public administration must, *mutatis mutandis*, be applied to municipalities. As a result of the role and purpose of municipalities and the services rendered to communities, public funds must be managed within ethical norms and standards. The human element is the most important factor in the effective administration and management of municipal services, so the normative factors play an integral role for municipal officials in the exercise of their duties and in their interaction with local communities (Robson 1998: 145).

Municipal officials and municipalities are required to continuously improve and contribute to enhanced service delivery, thus increasing their proficiency as public administrators and municipal practitioners. They are fundamentally accountable towards the community they are called to serve, and hence the building of true professional competence becomes an ethical concern. Local government has a moral responsibility to the public it serves. Quality service delivery cannot be achieved without public administration. Respect for community values, public accountability and transparency in government and administration are parallel paradigms to consider, as it is inevitable that local government will be called upon to make public appearances and to interact with the media. The maintenance of professional integrity requires that municipal practitioners at all times act with responsibility and circumspection in public appearances and utterances. A public-orientation approach provides a sound foundation on which to build ethical and professional values. The principles, norms and culture expressed here all point to a fundamental responsibility demanded of developmental local government and municipalities. The acceptance of this responsibility is a necessity for the achievement and maintenance of ethical public administration (Robson 1998: 146-156).

In South Africa, the normative guidelines are of cardinal importance. The concept and practice of human dignity promotes the achievement of equality and the advancement of human rights and freedom. The commitment to service delivery and to the protection and promotion of human dignity are indispensable in ensuring sustainability of municipal service delivery. It is clear that all municipal functionaries involved with the execution of municipal services operate within a total process and spectrum of public administration. It should be borne in mind that all

government actions affect society. The effects may range from positive (development and advancement) to negative (where certain communities or individuals experience discomfort or where their human rights are infringed upon). In a heterogeneous society, such as in South Africa, the government cannot address all diverse needs and aspirations equally. Local government needs to put mechanisms in place to ascertain what needs and aspirations different communities have and should consult such communities on how services should be rendered effectively. In some cases, when policies are implemented, the effects are only evident after a while. For this reason, the extent of responsiveness of local government in terms of the actions it intends to take as well as the actions taken, is important, asserts Van Rooyen (2007: 45-46).

Analysis of the public administrative process reveals that municipal service delivery and developmental local government is a sub-field of public administration, and that the framework of public administration serves as a “means” to achieving the “end” result. The following chapter examines the theoretical framework governing and the significance of public participation in developmental local government.

3.17 NEW PUBLIC MANAGEMENT (NPM) APPROACH

According to Harrison in Marais, Human and Botes (2008: 377), local-level development planning through developmental local government has become a common phenomenon in the post-1994 South Africa. This is in accordance with the New Public Management (NPM) Paradigm, and the second wave of the New Public Management, with emphasis on performance management and development indicators.

In this chapter, the impact of the NPM on the decentralization of local government institutions is emphasized. The South African Constitution of 1996 introduced a three sphere system of government: national, provincial and local and along with that, integrated development planning as the new country-wide planning approach (Harrison 2001: 185). The new arrangements were in accordance with the New Public Management Approach with examples found in European countries where integrated area planning is undertaken. Robinson et al (2003: 263) concluded that the introduction of integrated development planning in South Africa conforms to the

international trends away from *ad hoc* hierarchical planning approaches (Theron 2008: 70).

One of the major consequences of the modernization process is a decrease in administrative disparities and less divergence in models due to the development of the principle of standardization and uniformity of management rules. According to Common and Minogue (in De Vries 2008: 114), the crisis of governments, the poor performance of the public sector in different arenas, imperious bureaucracy, a lack of accountability, corruption, changes in the expectations of people and the emergence of better alternative forms of service delivery, contributed to the emergence of the New Public Management (NPM) model. The NPM promised more streamlined and better governments, decentralization, empowerment, customer satisfaction and better mechanisms of public accountability. The NPM has controversially been given different interpretations – according to De Vries et al (2008: 115), Pollitt described it as managerialism, Lan and Rosenbloom saw it as the rise of a new market-based public administration, and Osborne and Gaebler describe it as “*entrepreneurial government*”.

The new public management approach therefore challenges the classical administrative considerations about the structure and functions of public services. The Wilsonian dichotomy between politics and administration, the Weberian ideal type of bureaucracy and the Taylorian idea of the one best way have in effect been supplanted by the goals of financial efficiency and effective service delivery, according to Fox and Miller (in De Vries 2008: 115). The trend could be described as a transformation from public bureaucracy to a model of administration that is business-like, but not like a business. This is manifested through a set of techniques and methods related to performance evaluation and measurement, reference and quality.

3.17.1 IMPLICATIONS OF THE NEW PUBLIC MANAGEMENT MODEL IN PRACTICE

According to De Vries (2008: 116), several key aspects of the New Public Management model can be noted:

- Shift in the focus of management systems and management effort from inputs and processes to outputs (deliverables) and outcomes (vision and mission);

- Shift towards greater measurement, manifesting itself in the appearance of batteries of performance indicators, standards and management;
- Preference for more specialization: lean, flat and autonomous organizational forms rather than large, multi-purpose, hierarchical bureaucracies;
- Widespread substitution of contract or contract-like relationships for hierarchical relationships;
- Much wider use of market or market-like mechanisms for the delivery of public services;
- Broadening and blurring between the boundaries of the public and private sectors characterized by the growth of various types of public-private partnerships and proliferation of hybrid organizations, and
- Shift in value priorities away from universalism, equity, security and resilience, towards efficiency and individualism.

The New Public Management model is a paradigm shift towards tangible service delivery, and an emphasis on cost containment and enhanced efficiency in municipal service delivery. Despite a post-modernism approach to public management through the NPM model, there are some criticisms leveled against this model, cited in the subsequent discussion.

3.17.2 CRITIQUE OF THE NEW PUBLIC MANAGEMENT MODEL

Several criticisms have been leveled at the NPM model. Some of the more pertinent criticisms are cited here:

- The tendency to blur the distinction between the public and the private sectors;
- Treating the public sector as homogeneous in organizational terms rather than as a differentiated system of organizations with different tasks, values and relationships linked to policy networks (Gray and Jenkins 1995: 88);
- A lack of sufficient conceptual coherence to provide an alternative for a theoretical construct for academic research or an approach to the management of public services;
- A lack of well-established practices which might encourage non-accountability and ethical problems;
- The undifferentiated application of the phenomenon;

- Difficulty in implementing the initiative where there are socio-cultural obstacles to reforming administrative systems; and
- Problematic state-civil society relations when civil society has not been able to put enough pressure on the state apparatus to implement reforms.

Sarker (in De Vries et al 2008: 117) advocates that despite the criticisms of the NPM model, this approach aims to improve administrative output technically and to develop public relations techniques based on communication skills, simplified administrative procedures, co-operation in public affairs, safeguarding the public interest, developing partnership practices, transparency, fighting corruption and promoting a code of ethics, citizen participation in public affairs and consultation. The objective ultimately is to turn administration into a tool for development and social change, imbued with a concern for performance and a greater consideration for the general interest, with priority given to the interests of citizens for promoting moral values and civic trends. It is important to focus on the modernized role of local government in order to appreciate strategic planning from a municipal perspective. What follows is a perspective on municipal planning and development within the context of strategic management. Integrated development planning is analysed through key concepts and theoretical underpinnings of strategic planning and management.

3.18 STRATEGIC PLANNING AND MANAGEMENT

According to Dale (2004: 15), the key strategy for any organization is how that organization relates to its environment in achieving its aims, vision and mission. Furthermore, Ehlers and Lazenby (2004: 1) conclude that factors which made organizations thrive in the past and were perceived as the norm, are constantly becoming dated. Public institutions have to plan and manage carefully for their future success by being able to acquire new competencies and fend off potentially crippling unforeseen circumstances. In strategic spatial planning by some government institutions, Albrechts (2004: 746) traced the origin of strategic planning to the 1920s and 1930s where government institutions gave direction to the activities of others. For Healy (2004: 746), strategic planning was closely linked to the modern nation state and different

government authorities were guided in the implementation of welfare policies. Motte found that urban and region planning practices focused primarily on projects such as the upgrading of inner cities and regeneration of deprived regions and land use regulations (in Albrechts 2004: 743).

In the words of Healy (in Theron 2008: 11),

“In the 1980s, the practice of spatial or territorial planning in many parts of Europe had described the conceptions of the strategic development of cities and regions. Instead, the emphasis was on large projects of renewal and transformation of urban landscapes, justified through arguments about the need to break out of strategic spatial organizing ideas locked into the urban places of an earlier era”.

Dalal-Clayton et al (in Theron 2008:13) highlighted the emergence and development of strategic planning in developing countries from independence onwards. Although various approaches were followed over the years, strategic regional plans sought to address a variety of development challenges. These include the ongoing migration of people from rural areas to cities; reducing regional inequality by redistribution, resource allocation and response to local needs; securing rural livelihoods by more effective service delivery such as health care, education and agricultural extension, and limiting the degradation of natural resources. Strategic planning gained ground and is currently firmly on the developmental agenda of developing countries, promoting integrated rural development within the context of good governance based on decentralized district and local government structures.¹⁶

3.18.1 STRATEGIC PLANNING AND MANAGEMENT: A LOCAL GOVERNMENT PERSPECTIVE

In most local municipalities, strategic management is synonymous with strategic planning. The notion of strategic management and planning is a global phenomenon. To this end, the Local Government Management Board encouraged local authorities, according to Reddy (1996: 98),

“...to adopt a strategic approach...[as] traditional structures, practices and procedures are being re-examined to find new ways of improving service to their communities”

¹⁶ Ghana serves as one example of such developments in integrated rural development planning.

The local government context is set in a political and changing environment with recognition of the need to plan for uncertainty. The net effect is a long-term plan focusing on organizational and managerial aspects. In the context of local government, it would be more appropriate to refer to it as a process by which top management (municipal council) determines ways of managing the local authority's external environment, threats and opportunities, as well as choosing and implementing the strategy that the authority follows. Many local authorities have found it necessary to formulate strategies to address, *inter alia*, structural reform, change management, affirmative action, gender sensitivity, local economic development, environmental issues, inner city revitalization, community safety and now, public participation through integrated development planning. Local authorities are increasingly adopting strategic management techniques geared towards systematically planning the total resources of the organization in order to achieve certain goals within a specified time (Reddy 1996: 98-99).

3.19 STRATEGIC MANAGEMENT AND COMPLIANCE IN LOCAL GOVERNMENT

According to Bekker (2007: 5-7), the Local Government: Municipal Systems Act, 2000 (Act 32 of 2000, hereafter referred to as the Systems Act), could be regarded as one the most important pieces of enabling legislation mandating municipalities to perform their duties as developmental agencies. The purpose of the Local Government Municipal Systems Act, *amongst others*, is to establish a simple and enabling framework for planning, performance management, resource allocation and organizational change. Contrary to the broad, goal directed provisions of the Constitution, the Systems Act contains more specific and detailed pointers regarding the strategic and performance management processes in municipalities. Section 25 of the Local Government Municipal Systems Act requires municipalities to adopt a single, inclusive strategic plan for the development of their communities. This plan, known as an IDP is approved for the term of office of a newly elected municipal council, i.e. for a 5-year period. It is regarded as the principal strategic management mechanism that guides and informs all planning activities, outcomes and outputs of a municipality.

Bekker (2007: 7) further asserts that, the Local Government Municipal Systems Act (Section 26) identifies core components of strategic management that must be reflected in an IDP. The core components have significant reflection in this research study, as follows:

- Vision for the long term development of a municipality relating to critical developmental and internal transformation needs;
- Priorities and accompanying objectives for the term of office of a council, i.e. five years;
- Institutional strategies flowing from the objectives and aligned with national and provincial plans and planning;
- Operational strategies resulting in services to communities;
- Financial plan and budget projection for at least the next three years (the National Government's Medium Term Expenditure Framework (MTEF) requires a 3-year term), and
- Key performance indicators and performance targets.

Bekker (2007: 8) proffers that the core components mentioned above are generic to strategic management and collectively and individually form an integral part of any strategic management process. The obligation to meet these requirements is affirmed by several provisions of recent local government legislation. Section 53 of the MFMA stipulates that the IDP must be linked with the municipality's budget before the start of the following financial year while Section 38 of the Local Government Systems Act for example, requires a municipality to introduce a performance management system that measures progress with the implementation of the IDP. The format of municipal strategic plans is prescribed by legislation. The most important policy documents in this regard are, as mentioned previously in this research, the Constitution, the Local Government Systems Act, the MFMA and relevant regulations. The Planning and Performance Management Regulations, 2001 as well as the Performance Management Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers, 2006, are regarded as essential for the purposes of this discussion and research. These documents prescribe a structure according to which municipalities should compile their long, medium and short-term strategic plans. Although relevant regulations and other policies focus on the strategic and tactical levels of municipalities, it is essential that strategies on the lower (divisional and operational) levels also meet the legislative criteria. This is important for two

reasons: *firstly*, is to ensure uniformity in the format of presentation of strategic planning (e.g. the inclusion of the basic elements of objectives, key performance indicators and targets) from the highest level in a municipality to the operational level, and *secondly*, for meeting the policy requirements of strategic planning and the alignment of objectives and strategies of the lower order with the higher order (strategic and tactical). This approach minimizes unwanted occurrence of strategic drift in a municipality.

3.20 ADVANTAGES AND DISADVANTAGES OF STRATEGIC MANAGEMENT ON LOCAL GOVERNMENT PLANNING

According to Reddy (1996: 107), there are pertinent aspects for discussion on the impact of strategic management on local government. It requires a local municipality to exploit the inevitable. The new planning and management technique provides a mechanism for local government to shape the external environment, limit threats, take advantage of opportunities and enable civic leaders to respond to issues proactively rather than reactively.

Some of the pertinent advantages are that it:

- Imposes discipline on the organization (IDP is seen as a statutory requirement in which Section 38 of the Local Government Municipal Systems Act highlights the implementation of a performance management system);
- Makes an organization more proactive (IDP is a short to medium-term plan, which links up with the Long-Term Development Framework) of eThekweni Municipality;
- Facilitates the use of forward planning among the governing body, top management and the employees of the local authority (holistic development and management);
- Educates the government body and top management in the new management technique (links the Municipality's development priorities and objectives as set out in its IDP);
- Provides "*agreed-on-conditions*" to cope with changing conditions, within and without the organization;
- Helps establish organizational priorities and their funding requirements (Section 53 of the Municipal Finance Management Act links the IDP with the Municipality's budget); and
- Helps establish and foster public credibility and confidence in a local authority and its leaders (through invoking public participation and participatory governance).

Some of the significant disadvantages are that it:

- Lacks government body or top management support (lack of political will and support from Municipal Council);
- Exceeds local authority financial capacity, particularly as consultants are used in the planning process (time-consuming and expensive and often leads to the view of the IDP as a ‘white elephant’);
- Exhausts the time resources of the local authority’s employees involved in the programme;
- Magnifies politically sensitive issues that could have been “*swept under the carpet*”;
- Encounters the natural resistance to change inherent in the organization (counteracted by Section 26 of the Local Government Municipal Systems Act which requires the core components of strategic management to be reflected in the IDP);
- Demands action that in some cases cannot be undertaken because of a lack of commitment, poor implementation, planning or capacity;
- Involves a gamble by forecasting factors not presently acknowledged by the organization (counteracted by “Compliance for Excellence” through the IDP as a statutory requirement);
- Reveals organizational weaknesses and/or management deficiencies; and
- Receives little or no support from the local authority’s external stakeholders (counteracted by Section 25 of the Local Government Municipal Systems Act, which requires the adoption of a single inclusive strategic plan geared at the development of communities).

The advantages and disadvantages were adapted from Reddy (1996: 107-8). The next section places emphasis on the guiding principles of strategic management for local authorities.

3.21 GUIDING PRINCIPLES FOR LOCAL AUTHORITIES ADOPTING STRATEGIC MANAGEMENT

According to Stewart in Reddy (1996: 104-5), local authorities adopting strategic management should:

- Avoid side-effects of rational planning, ie they should not rely too heavily on routine planning. Bureaucracy is counterproductive and affect strategic management;
- Foster pervasive strategic thinking and awareness (*eThekweni Municipality's strategic approach was underpinned by "holistic and results-based thinking"*);
- Providing a flexible framework for responding to central government intervention, control and the demands of new legislation;
- Provide an environment conducive to introduction, debating and sharing political issues and values grounded in elected councilors, community agencies and central government;
- Generating learning to allow officials and councillors to engage and share in institutional learning (at eThekweni Municipality in the first five year IDP, the intention was a discovery of inter-relationships that led to the need for a Co-ordinating Committee to re-create a bigger picture, as reiterated in the discussion in Chapter two);
- Institutionalise learning and maximize favorable attitudes, rewards cultural change and enhances organizational development; and
- Be formalized and clearly defined.

The following section highlights the strategic approach to IDP and how strategic thinking is embraced in the development planning agenda.

3.22 STRATEGIC APPROACH TO INTEGRATED DEVELOPMENT PLANNING

Several South African municipalities face limited resources and increasingly diverse demands that make it impossible to address all the developmental needs in a short to medium term. IDPs should empower municipalities to prioritise and strategically focus their activities and resources (Coetzee 2002: 14). According to Rauch (2002: 7), a strategic approach includes the following important aspects:

- Prioritizing crucial issues rather than dealing in a comprehensive manner with all issues;
- Focusing analysis rather than wasting resources collecting useless information;
- Addressing the root causes of problems, rather than only symptoms;
- Taking given resources and the relevant context into consideration; and
- Identifying and analyzing alternative strategic options.

Therefore, an IDP as a strategic planning and management tool stresses the importance of making decisions that will ensure a municipality's ability to successfully and effectively respond to changes in the environment (Van Der Waldt 2007: 100).

3.23 LINK BETWEEN STRATEGIC PLANNING AND STRATEGIC MANAGEMENT

Strategic planning is the means to achieving the end result ie strategic management. It is incumbent on all municipalities to engage in strategic planning initiatives which culminate in the formulation, implementation and evaluation of plans that are responsive to the needs of the citizenry. Albrechts (2004: 252) describes strategic planning as:

“Strategic planning relates to implementation. Things must get done! This is seen as the pattern of purposes, policy statements, plans, programs, actions (short, medium and long-term), decisions and resource allocation that defines what a policy is in practice, what it does, and why it does it. Strategic planning is not just a contingent response to wider forces, but is also an active force in enabling change”.

Furthermore, Wheeler and Hunger in Van Der Waldt & Du Toit (1997: 282), define strategic management and highlight the significance of viewing IDPs as a strategic plan through the following:

“... a set of managerial decisions and actions that determines the long-run performance of a corporation. It includes strategy formulation, strategy implementation and evaluation and control”.

A succinct quotation according to Ehlers and Lazenby (2004: 2) is as follows:

“Strategic management can be defined as the process whereby all organizational strategies are aligned, integrated and co-ordinated to implement formulated strategic plans to achieve the long-term objectives of the organization and gain competitive advantage through adding value for the stakeholders”.

The above quotations seek to provide a particular perspective and induce a discussion on strategic management through discursive explanations of its significance for integrated planning and development. In order to understand the conceptual link between integrated development planning and strategic management, it is necessary to demystify the concept of “sustainable development” because the environment and development are closely linked terms. Furthermore, according to Pugh (2002: 288), participation and development are important concepts that are

closely linked.¹⁷ The definition of development is enriched through Mhone and Edigheji (2003: 4), within the context of sustainable development:

“The notion of development is understood the goal of sustainable human development. This encompasses the need to promote economic growth in an inclusive manner; ensure the majority of the labour force is involved in contributing to economic growth, and the population shares the fruit without compromising the needs of future generations to enjoy similar or better living standards of living. Thus, development has economic, social, human and environmental dimensions, all of which need to be promoted in a mutually sustainable manner”.

An interesting survey done by Todaro and Smith (2006: 517-518), assert that after independence, governments in developing countries held the view that development planning was the surest and most obvious path to economic progress. A development plan based on growth and basic needs approach is the common planning tool to achieve development. Todaro and Smith further highlight the problems faced by governments in developing countries in their quest to formulate strategies to address their service delivery challenges. Some of these challenges are listed hereunder as follows:

3.24 GOVERNMENT FAILURES IN DEVELOPMENT PLANNING AND PROPOSED STRATEGIES

Mainstreaming into development planning, the following table depicts some failures and proposed strategies.

Table 3.1 Government Failures and Proposed Strategies

Government Failures	Proposed Strategies
Individuals may now more than officials Complex decision-making in government Inefficient and unproductive public enterprises Manipulation of planning processes by the powerful	Public participation Stream-line procedures Public-private partnerships Anti-corruption strategy

Todaro & Smith (2006: 533)

¹⁷ Participation and sustainable development go hand-in-hand. The Rio Earth Summit in 1992 saw the adoption of Local Agenda 21 and a phased approach for participation in local development initiatives:

- Multi-sectoral engagement in the planning process through a local stakeholder group;
- Consultation with community groups to determine a shared vision and identify priorities;
- Assessment of local social, economic and environmental needs;
- Target setting through negotiations in support of vision and goals; and
- Accountable monitoring and reporting procedures during action plan implementation.

It is evident that many authors and practitioners perceive strategic planning and strategic management as similar or synonymous concepts. Others are of the opinion that over time, strategic planning evolved into strategic management. Notwithstanding any of these views, strategic planning and strategic management are concepts that are still applicable to development and important tools for undertaking integrated development planning. Local governments use development planning to intervene in the affairs of their local citizenry to counter market failures, allocate resources wisely and secure foreign aid and development. However, many local governments fail to undertake successful development planning strategies as efficiently and effectively as possible. This discussion is of immense significance in locating strategic management in local governance.

3.25 KEY STRATEGIC MANAGEMENT PROCESS IN THE MANAGEMENT OF INTEGRATED DEVELOPMENT PLANNING

The strategic management process that underpins IDPs in KwaZulu-Natal is cited hereunder. The context and purpose of strategic management initiatives determines the sequencing of the strategic management steps is presented briefly hereunder, according to Theron (2008: 81) as follows:

- **Sequencing of Strategic Management Process and Compliance**

The generic strategic management process presented hereunder is used as a basis to develop a model for the strategic management of integrated development planning in KZN. It must be noted that the Local Government Municipal Systems Act highlights the IDP and the core components that focus on three critical aspects: accountability, management and service delivery. Three important phases are noted: planning, implementation and evaluation. These phases are briefly discussed hereunder with relevance for strategic municipal governance.

- **PLANNING PHASE (Strategy Formulation)** - includes initiating the strategic management process; clarifying organizational mandates; identifying strategic issues, including the performance framework; formulating a vision and goal for long-term development; undertaking a SWOT analysis; formulating and adopting strategies to address key issues.

- **IMPLEMENTATION PHASE (Strategy Implementation)** - includes institutional planning and operational/implementation strategies.

- **CONTROL PHASE (Strategy Evaluation)** – includes monitoring, evaluation and review.

During the evaluation phase, ten key steps can be highlighted for the strategic planning process which is most suited for public institutions and government, as depicted in the following table:

Table 3.2 Strategic Planning Process

STEP 1	Initiate and agree upon a strategic planning process and compliance within the municipality
STEP 2	Identify organizational mandates for the long term development framework/plan
STEP 3	Clarify municipal mission and values
STEP 4	Assess the municipalities’ external and internal environment to identify strengths, weaknesses, opportunities and threats
STEP 5	Identify the strategic issues facing the municipality
STEP 6	Formulate strategies to manage these strategic issues
STEP 7	Review and adopt the strategic plans (IDP and Strategic Performance Framework)
STEP 8	Establish an organizational vision
STEP 9	Develop an effective implementation process
STEP 10	Reassess strategies and strategic planning process

Bryson (1995: 23)

The above table discussion has relevance and significance in this research study for IDPs as strategic instruments for effective municipal governance.

3.26 STRATEGIC APPROACH TO INTEGRATED DEVELOPMENT PLANS: ASSESSMENT AND EVALUATION

The implementation of development plans is an ongoing process and needs careful analysis, assessment and evaluation. Todaro and Smith (2006: 530) reflect on factors that impact on plan-making and implementation. The key factors cited are unexpected economic events, lack of political and technical will, lack of institutional capacity, administrative, support and management skills, lack of co-ordination between stakeholders, lack of skilled staff, insufficient

and unreliable data, too many objectives, insufficient public participation, role identification and management of implementation.

These challenges are further identified by Van Der Waldt et al (1997: 282) in the application of strategic management. The shortcomings are as follows:

- The inability of public institutions to formulate a long-term vision;
- The inability of institutions to react quickly to change;
- Internal resistance to change may emerge;
- Forecasts may not be achieved;
- The process is time-consuming, expensive and relatively complicated, which required managerial talent for application;
- Various strategic plans may be difficult to reconcile with central government's objectives and budget within the MTEF;
- Training on strategic management skills is essential; and
- Information gathering and analysis are to be effective.

From the above discussion, these key variables highlight the need for strategic planning and management, capacity building and IDP as building blocks for institutional and community partnerships in the quest for enhanced service delivery and improved quality of life for all. This discussion highlights the link between municipal strategic management, integrated development planning and the field of study of public administration overall.

3.27 STRATEGIC MANAGEMENT FOR INTEGRATED DEVELOPMENT PLANNING IN KWAZULU-NATAL

According to Theron (2008: 6), the following is a summarized discussion of key aspects of a coherent approach for strategic management and compliance to ensure accountability, management and service delivery. Various aspects and components of management are integrated to form a coherent strategic management approach for IDPs. The focus is on IDPs in KwaZulu-Natal from 1994 to 2007. Following a municipal perspective on strategic management as highlighted in this chapter, it is necessary to focus on a strategic management approach

assessing the management of IDPs from a Provincial Development Plan and the Provincial Growth and Development Strategy (PGDS). The following issues, challenges and lessons were learnt from the above strategic management approach in KwaZulu-Natal:

- A dedicated effort was made to develop a hierarchy of plans;
- Strategic management mismatches occurred on all levels of the hierarchy;
- Time constraints were a major factor to bring plans to fruition;
- Much emphasis was placed on the planning phase, less on implementation and virtually none on organizational performance and management; and
- A lack of alignment, co-ordination and co-operation of all stakeholders.

The key challenges arising from the above discussion includes: developing a hierarchy of plans without the sufficient capacity building of role-players and alignment of stakeholders with development planning initiatives. In summation, the key lessons learnt were: strategic management is a tactic (ie. skilled human capacity and funding) and requires ample time to be completed; planning should take place at all levels, no plan should wait for the others, and a balanced approach is needed whereby strategic management should focus on all three phases simultaneously.

In tracing the reforms in the South African trajectory, Swilling (2008: 23), confers ultimately that this lends itself to a shift in the developmental state approach as a strategic perspective for South African local government. The focus is a R370 billion national infrastructure investment programme which focuses on investments that will fundamentally restructure the capital base of the major urban centres. Following from this initiative, is the priorities of IDPs for the cities as they become the cash pumps for a new physical infrastructure approach to urban development.

3.28 CONCLUSION

The aim of this chapter was to provide a discussion on the paradigm shift and emphasis on local government from *transition to transformation to strategic governance*. The shift initiated a plethora of legislative and transformation processes which culminated in, *amongst others*, IDPs. Currently the structure and strategic functioning of municipalities must deal skillfully with the communities' that urge policy changes, as they are viewed as a collective body that can add value as input-providers to IDPs. Local authorities are challenged to satisfy the intense demands

of local communities through the primacy of integrated planning, development, and active citizen participation. The ultimate aim is to promote the quality of life of all citizens – which is the cornerstone of public administration. It is against the background of this theoretical foundation underpinning public administration and local government that the discussion relating to integrated development planning was expounded upon. The utilization of public resources management in the quest of enhanced municipal service delivery was further examined. Several models for improving municipal governance were examined, even though one may find little discernible impact of one single model as opposed to an integration of various traits.

From the dominant discussion on municipal governance vis-à-vis public administration, the new approach locates public administration as less generic and more public, less descriptive and more prescriptive, less institution-oriented and more client-impact oriented. The public form an integral part of the reciprocal and mutually beneficial relationship between local municipalities and society at large. This should translate into active and visible participation in the institutional mechanisms, structures and processes within the municipality. This is not only their Constitutional right, but also a legislative and statutory requirement at the local sphere of government. The following chapter focuses in great detail, on issues pertaining to public participation as a service efficiency mechanism.

CHAPTER FOUR

THEORETICAL FRAMEWORK UNDERPINNING PUBLIC PARTICIPATION AS A KEY ELEMENT OF INTEGRATED DEVELOPMENT PLANNING

4.1 INTRODUCTION

Public participation forms an integral part of the notion of developmental local government in South Africa. The transformational agenda of local government has been initiated via the White Paper on Local Government of 1998. One of the seemingly insurmountable challenges facing local government today is that of translating the essence of the White Paper on Local Government from mere commitment to local development and delivery. Three important aspects, *inter alia*, integrated development planning, performance management and working together with local citizens to ensure that municipalities are developmentally-focused, is the cornerstone of community participation in local government. Public participation is a Constitutional right for all citizens. The Constitution places an obligation on local government to establish community participation structures and systems in an attempt to promote good governance in local government. Through the Local Government Municipal Systems Act, 32 of 2000, normative strategic planning, popularly known as Integrated Development Planning (IDP), has been conceived for local municipalities. Whilst the Local Government Municipal Systems Act makes it necessary for local government to focus its activities on the local needs of people, this effort is further realized through the IDP.

It is a legal requirement for developmental local government in South Africa to adopt a strategic and integrated approach to local governance and address the development challenges impacting on municipal service delivery. Municipalities are obliged to fulfill their Constitutional mandate and to ensure that their responsibilities are geared towards ultimately promoting the quality of life of all local communities. IDP can be defined as a participatory planning process aimed at integrating sectoral strategies in order to support the optimal allocation of scarce resources between sectors and geographical areas and access the population in a manner that promotes sustainable growth, equity and the empowerment of the poor and marginalized (South Africa 2001: 12).

There is also an attempt at theorising the social context of public participation. According to Ryfe (2007: 87-89), too often public participation is studied and theorized as a discrete isolated process. It is refreshing to see more attempts to situate public participation and deliberation in its socio-political context. Often much of the political work involved in deliberative practice is opening up conversations about public deliberation and its meaning. Public participation and deliberation is a social construct that finds meaning in social practices, and will vary between contexts, cultures and over time. These are some of the dynamics to contend with when engaging with local communities.

The need to institutionalize planning and development is infused in the policy of the South African Department of Provincial and Local Government, which defines integrated development planning as a process through which municipalities prepare a strategic development plan for a five-year period (South Africa 2001: 4). The process of IDP is meant to assist municipalities to arrive at decisions on municipal budgets, land management, promotion of local economic development and institutional transformation in a consultative, systematic and strategic manner. IDP is seen as a management tool that enables municipalities to take a broad strategic view of their developmental requirements and to address all of the key issues in a holistic IDP. IDP is therefore about people, balance and equity and recognizes that the most important task of any development effort is to create meaningful opportunities for local communities to empower themselves. IDP acknowledges the fundamental need for balance among the economic, ecological and social systems of communities at various levels. The trend is to look at IDPs as the “triple bottom line”: economic vitality, social equity and environmental sustainability (Pieterse 2001: 4).

This chapter begins with a profound discussion of the historiography of IDP, and proceeds to the conception of how public participation is catered for via the IDP. What follows is an elaboration of a conceptual understanding of development planning as a lexicon for, and contribution to, the theoretical literature and legislative framework underpinning IDPs.

4.2 UNDERSTANDING POWER-AUTHORITY RELATIONS THAT AFFECT DEVELOPMENT PLANNING

According to Stiefel and Wolfe (in Mngxali 2006: 12), any government that attempts to translate the principles of participation into practice brings to the surface various contradictions. One perspective is that governments face pressures from international forces to apply more participatory and democratic policies and trends and to translate responsibilities and costs to the bottom by mobilizing and harnessing new avenues of local resources. Another is that governments sometimes move away from the power-authority implications of participation and the potential for social conflict as a kind of administrative hybrid. It can be argued that efforts to promote participation in projects and programmes appear to offer the prospect of giving everyone who has a stake *a voice and choice*.

4.3 EMERGING THEMES IN URBAN PLANNING

According to Devas & Rakodi (1993: 267-8), four key themes have been identified in urban planning:

- The role of cities in national development (the need for a balance to be reached between policy priorities, urban and rural areas, economic and social objectives, growth and basic needs satisfaction);
- Population growth and manageability (as a result of economic functions and continued population growth, it is important to improve the planning and management of cities);
- Effective urban management and planning (the ability to manage future urban growth depends on how technical knowledge, resources and access to power) are deployed, and
- Institutional and political framework for urban governance (based on a framework for decision-making, action, regulation and operation).

Ultimately, the responsibility rests in the collective efforts of politicians, municipal officials and the citizenry. The significance of synthesizing local development planning in local government is clear.

4.4 CONCEPTUAL UNDERSTANDING OF INTEGRATED DEVELOPMENT PLANNING

IDP is a process through which municipalities prepare a strategic development plan, for a five-year period. It is also noted that both the national and provincial planning authorities have provided guidelines for the implementation of integrated development plans (IDPs)¹⁸. The Integrated Plan is a product of the IDP process. The IDP is a principal strategic planning instrument, which guides and informs all planning, budgeting, management and decision making in a municipality (DLGTA 2001: 10). According to the Local Government Municipal Systems Act of 2000, all municipalities (ie. Metros, District Municipalities and Local Municipalities) had to undertake an IDP process to produce integrated plans. As the IDP is a legislative requirement, it has a legal status and precedes all other plans that guide development at a local government level.

Preparing an IDP not only relates to its legal status, but under the new Constitution, municipalities have been awarded major developmental responsibilities to ensure that the quality of life for its citizens is improved. The new role for local government includes provision of basic services, creation of jobs, promoting democracy and accountability and eradication of poverty. Preparing and having IDPs assists municipalities in fulfilling their developmental responsibilities (DLGTA 2001: 10).

According to the Information Package on IDPs (DLGTA 2004: 188), the following core components are an important consideration that dominate discussion on IDPs: analysis where an assessment of the existing level of development is done; developmental strategies which include a municipality's vision, council's developmental priorities and objectives; projects and programmes, and integration which includes a spatial development framework, disaster management plan, integrated financial management plan (both capital and operational budget), other integrated programmes and approval.

¹⁸ Integrated Development Planning for Local Authorities: A user-friendly guide. Published by the Department of Constitutional Development, CSIR and GTZ. (1998). KwaZulu Natal Integrated Development Planning Manual. Published by the Department of Traditional and Local Government Affairs (August 2001)

According to the Local Government Municipal Structures Act (Act 117 of 1998), a district municipality as a whole is responsible for developing plans including a framework for IDPs of all municipalities in the area of the district municipality. The Local Government Municipal Structures Act (Act 117 of 1998) further states that this framework binds both the district municipality and the local municipalities in the area of the district municipality. The legislation emphasises that the District Municipality IDP Framework should:

- Identify the plans and the planning requirements binding in terms of national and provincial legislation on the district and local municipalities;
- Identify all matters that must be included in the district IDP and the local IDPs and that require alignment;
- Specify the principles to be applied and approach to be adopted in respect of those matters, and
- Determine procedures for consultation between the district and the local municipalities in the process of drafting their respective IDPs, as well as procedures to effect changes to the framework.

The DPLG defines IDP as a process through which municipalities must prepare a strategic development plan for a five-year period (South Africa 2001: 4). This process is meant to arrive at decisions on issues such as municipal budgets, land use management, promotion of local economic development and institutional transformation in a consultative, systematic and strategic manner. IDP is therefore a management tool that enables municipalities to take a broad strategic view of their development requirements and to address all the key issues in a holistic IDP. This initiative involves the “triple bottom line”: economic vitality, social equity and environmental sustainability Van der Waldt (2007: 95-95).

The next discussion highlights some key benefits of IDPs, which has relevance for this research.

4.5 BENEFITS OF INTEGRATED DEVELOPMENT PLANNING

The IDP serves to inform municipalities regarding the development problems and needs affecting its municipal area through the provision of information guided by various sources of media. The intention is to develop and implement appropriate strategies and projects to address

the problems facing local communities.

- **The IDP as an instrument for local empowerment**

There are several proponents of the literature on IDP, and many comment on the extent to which it has demobilized South Africa's civil society. Many authors concede that IDPs have been prescriptive and state-led, and have failed to allow creative input, innovation and learning that can translate to popular participation on the ground. For Heller (2001: 144), the post-apartheid South Africa has served largely as an instrument for exerting bureaucratic and political control and as a vehicle for marketing rather than as an institutional space for democracy and local participation.

It is arguable that the IDP is an important proponent for representative democracy at the local level of government by assisting democratically-elected councils to work more effectively with the local citizenry. A very interesting perspective is provided by Williams in Mirjam et al (2008: 328), on work conducted in India where participation may indeed be a form of subjection, its consequences are not predetermined and its subjects are never completely controlled. To take the debate further, it is necessary to move beyond general assertions towards a more grounded empirical understanding of how participatory processes are actually working, and what their impact is on the lives of ordinary citizens. There are currently very little empirical research materials on the scale and nature of participatory processes, and the researcher is therefore presenting the empirical evidence arising from this research study in Chapter *Seven* on the collective response from three hundred households in five different communities.

According to Harrison in Mirjam et al (2008: 329), while IDPs are likely to have contributed to a greater focus on service provision in poor communities, their contribution to a fundamental transformation of the unequal socio-spatial landscape is less certain. There is no indication that IDPs have made any impact on the spatial disjuncture created under apartheid, while the deep inequalities in land ownership and access to basic services seem as entrenched now as they were before.

- **IDP as a mobilizing and integrating instrument**

Pieterse in Harrison (2001: 175) is highly critical of the managerial and technocratic tendencies of IDPs, and emphasises the following:

“...the genius of the policy design for IDPs is that it reconciles the democratic aspirations of South Africans with the service delivery imperative, which can only be addressed through systematic, incremental, collaborative efforts over the long term. It nudges democratic aspirations in the direction of pragmatism and pulls institutional practice towards popular democratic control in a system with clear norms and rules and respect for financial durability”.

At a time when IDPs have become the “nucleus” of municipalities, democratic development and popular organization would be accepted as a crucial element in sustaining the state’s commitment to developmental goals.

- **Mechanism to fast-track service delivery**

IDP is a mechanism to fast-track service delivery by means of ensuring a well-informed, speedy and sustainable decision-making process; obtaining the buy-in of all role-players for implementation; providing a tool that guides where investments should occur and arriving at realistic project proposals by taking limited resources into consideration (South Africa 2001: 7).

- **Agent for accelerating transformation**

IDP helps to strengthen democracy and hence institutional transformation because decisions are made in a democratic and transparent manner, rather than by a few influential individuals (South Africa 2001: 7).

- **Effective vehicle to facilitate communication**

Within the municipality, the IDP provides a basis for interaction among officials, councillors, citizens, the private sector and other role-players, to promote strong networks, alliances and partnerships in order to realize the vision of developmental local government (Coetzee 2000: 13). Furthermore, the IDP facilitates a system of communication among the local, provincial and national spheres of government, thereby promoting intergovernmental co-ordination (Van Der Waldt 2007: 102).

- **Essential tool to alleviate poverty**

IDP should address the socio-economic imbalance of the South African society. The outputs of IDP should therefore reflect on the improvement of living conditions of the poor. To this end, poverty alleviation can be achieved by:

- ▶ Identifying and prioritizing poverty issues;
- ▶ Developing multisectoral development strategies for poverty alleviation;
- ▶ Identifying projects for poverty alleviation;
- ▶ Developing operational strategies that give priority to the employment of the poor in the implementation of projects;
- ▶ Promoting job creation through local economic development programmes, and
- ▶ Preparing spatial frameworks that make provision for the spatial integration of the poor into the economy (Coetzee 2000: 15).

- **Facilitator of focused budgeting**

The IDP process facilitates budgeting in accordance with planning by linking the municipal budget to the IDP as required by legislation. Identifying the priorities together with communities and other role-players is key to ensuring that the budget is optimally utilized. Strict financial control and effective financial management are not possible unless there is a focused budget (DBSA & NBI in Van der Waldt 2007: 103).

- **Vehicle to ensure local corporate governance**

Corporate governance is essentially concerned with maintaining the balance between:

- ▶ economic and social objectives, and
- ▶ individual and communal objectives, so as to align them as closely as possible with the interests of individuals, corporations and society (Consultative Forum for Corporate Governance in Africa 2000: 5).

Therefore, corporate governance is defined as the system by which local government directs, manages and monitors its functions and is accountable to its communities (ICSA 2001: 1). The approach of IDP seeks to involve all stakeholders and to be given an opportunity to engage as effectively as possible in the decision-making processes and the action of the municipal councils (Van der Waldt 2007: 103).

- **Instrument to overcome the impact of the apartheid legacy**

There are several atrocities of the past, which IDPs attempt to address, and which have a significant impact on the current and future generations. Two important issues can be noted here are the promotion of integration of rural and urban areas, different socio-economic groups, and places where people work and live and facilitating the redistribution of resources in a consultative process (South Africa 2001: 7).

There are several shortcomings of the Integrated Development Plan, which discussion follows.

4.6 SHORTCOMINGS OF THE IDP

If IDPs are about public participation or participatory governance, then some local authorities view this form of participation as a challenge that needs to be more containable than a more generalized approach. The reason is captured in the UNCHS in Devas & Rakodi (1993: 204):

“Many authorities...fear that once they allow a community to participate in the execution of a project, the people will resort to ‘undemocratic’ methods if they do not have their way, and will start demanding participation in other spheres of life, in particular in political affairs”.

Undoubtedly, the IDP has generated more public participation in municipal planning and development today than ever before in the history of local government in South Africa. However, there are still several problems with integrating the IDP with community needs, which sometimes questions the incredibility of the IDPs in some areas. According to the Good Governance Learning Network (2007: 14), some of the major shortcomings of the IDP can be summed up as follows:

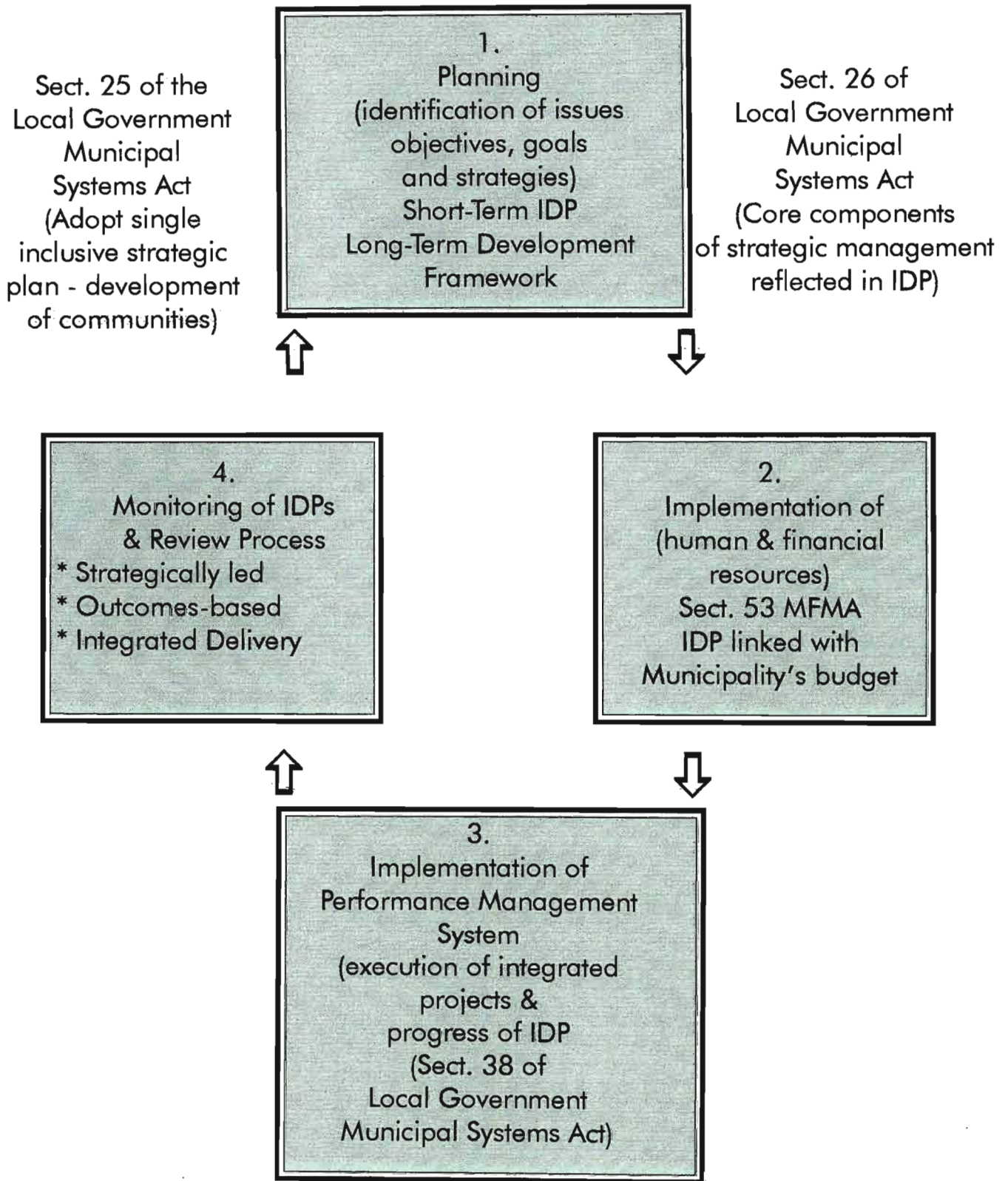
- Quality of IDP documents are a serious concern in many cases. There is often inadequate analysis of the local development context, and inappropriate or unrealistic development objectives and projects are included;
- Lack of intergovernmental co-ordination: for instance, IDPs, whilst frequently referring broadly to national and provincial development plans and growth strategies, do not actually speak to the substance of these plans and programmes;
- Challenge of horizontal co-operation within municipalities, with a silo mentality and even

competitiveness still predominating among municipal departments;

- IDP processes have been unable to fundamentally alter apartheid patterns of spatial and socio-economic inequality, and
- Manipulation of the technical and professional elements of planning to achieve a preordained and often politically determined outcome or simply to preserve the status quo.

It must be stated that the IDP is a strategic process that must be viewed in conjunction with other systems and processes facing local government in its entirety. Some of the shortcomings presented in the above discussion are catered for in the IDP implementation cycle. However, Ketel and Van Der Molen (2008: 68-69) highlight that the emphasis is on the vision and strategy of municipalities, which is catered for by the Balanced Scorecard that enables them to manage strategies by linking objectives, initiatives, measures and targets at all levels to achieve a balanced set of performance measures and targets and track progress in key areas. The ability of this model is to link performance measurement systems to both municipal performance (as reflected in the IDPs) and to individual performance management systems. The IDP implementation cycle guides and informs all planning, outcomes and outputs, whereas the IDP is a model tool towards holistic development management, and acts as statutory measure, or “Compliance for Excellence”. This is depicted in **Figure 4.1: The IDP Implementation Cycle.**

FIGURE 4.1 IDP Implementation Cycle
 (Guides & informs all Planning, Outcomes & Outputs)



COMPLIANCE FOR EXCELLENCE
 Towards Holistic Development Management

The next section will outline a brief and succinct overview of the range of legislation that underpins IDPs.

4.7 LEGAL AND POLICY FRAMEWORK FOR INTEGRATED DEVELOPMENT PLANNING

Integration is a principle that forms the basis for planning and development and is emphasized in all major policy documents in South Africa. It is a means to achieve efficient and balanced structures, reduction in disparities in service provision and a basis for sustainable development. The emphasis on integration is important in South African planning and development. Sustainable development is equally identified as a goal and principle for planning and development and the background to these principles is found in several government policy documents and legislation (Nelson Mandela Bay Municipality Concept Report 2007: 8). Brief summaries of the integration and sustainability aspects are found in key legislation in this chapter. According to Sections 152 and 153 of the South African Constitution (Act 108 of 1996), local government is responsible for the development process in the municipalities, as well as municipal planning. The Constitutional mandate relates its management, budgeting and planning functions to its objectives, and gives a clear indication of the intended purposes of the municipal integrated planning in ensuring sustainable provision of services, and the promotion of social and economical development as well as a safe and healthy environment.

Integrated development planning is regarded as a tool for developmental local government. Amongst other duties that the IDP will do, would be to ensure that actions are prioritized around urgent needs. The Local Government Municipal Systems Act (Act 32 of 2000) also confirms the nature of the IDP as a legal requirement. The purpose of IDPs is a faster and more appropriate delivery of services and providing a framework for economic and social development in a municipality. IDPs can contribute towards eradicating the development legacy of the past, making the notion of developmental local government work and fostering co-operative governance. (DPLG 2004: 42).

There are several key legislative acts facilitating public participation, significant for this discussion.

4.7.1 DEVELOPMENT FACILITATION ACT 67 OF 1995

This Act, according to Nel and Binnes (in Van Der Waldt 2007: 97), is aimed at encouraging efficient and integrated land development by promoting the integration of the social, economic, institutional and physical aspects of development. The IDP process is regarded as the main organizing device for encouraging municipalities to identify key delivery targets such as land development objectives.

4.7.2 LOCAL GOVERNMENT TRANSITION ACT 97 OF 1996 (SECOND AMENDMENT)

This Act requires all municipalities to prepare integrated development plans as part of the municipal government planning process. It sets out the specific financial and budgeting requirements, as well as institutional arrangements and review procedures (Van Der Waldt 2007: 97). Reference is also made to the objects of local government, which are highlighted in the previous chapter relating to the Constitutional focus. Furthermore, much emphasis is being placed on the role of local government and participatory governance within the current dispensation. The Constitution emphasises the principles of accountability, transparency and openness, which are key ingredients for public participation and creates a climate that encourages and promotes interaction.

4.7.3 WHITE PAPER ON LOCAL GOVERNMENT, 1998

The White Paper on Local Government, 1998 set the tone for transformation of local government. To achieve the development outcomes of local government, three inter-related approaches that can assist municipalities to fulfill their developmental mandate include IDP, Performance management and working together with local citizens and partners.

The White Paper on Local Government encourages civil society participation through:

- Forums initiated from within or outside municipalities to allow initiation of policies and participation in monitoring and evaluation;
- Structured stakeholder involvement in certain council committees;

- Participatory budgeting initiatives aimed at linking community priorities to programmes;
- Focus-group participatory action research on needs and values, and
- Support for organizational development of associations, where skills and resources for participation are less developed

(<http://www.thedplg.gov.za/subwebsites/wpaper/wpindex.htm>)

4.7.3.1 POLICY REVIEW OF LOCAL GOVERNMENT: A CIVIL SOCIETY PERSPECTIVE

A critical policy review of local government in South Africa was undertaken following the review of the White Paper on Local Government. Some key questions regarding the review of local government to-date include:

- To what extent is participatory democracy being realized at local government level in South Africa?;
- To what extent is local government responsive to the needs and concerns of citizens?;
- To what extent are local government politicians and officials held accountable for their decisions and actions?;
- To what extent are the key instruments of state delivery at local government level, IDPs and budgeting, geared towards effective, pro-poor delivery and integrated sustainable development?;
- To what extent are municipalities making sufficient inroads into reducing service delivery backlogs?'
- How are they doing this?; and
- Are municipalities fulfilling their envisaged development role as vehicles for poverty reduction?

(Good Governance Learning Network 2007: 12)

It can be said that the Local Government Municipal Structures Act and the Local Government Municipal Systems Act establish the broad principles for a system of participatory democracy.

4.7.4 LOCAL GOVERNMENT MUNICIPAL STRUCTURES ACT 117 OF 1998

This Act gives district municipalities the responsibility for integrated development planning. Whilst each municipality must produce its own IDP and conduct its own participatory processes, the IDP must be aligned with one another. Chapter 4 of the Local Government Structures Act states that councillors should undertake their duties with the help of appointed or elected ward committees established from the ranks of their respective communities. Ward committees are chaired by ward councillors and should therefore act as a link between ward councillors and the community and the municipal councils.

It is evident that participation must take place through structures established in terms of the Local Government Municipal Structures Act, and through ward committees that are community-based advisory committees. The mechanisms, processes and procedures for participation via this Act, as emphasized by Visser (2005: 99) include the following:

- Procedures to deal with petitions and complaints from the public;
- Procedures to notify the community about important decisions (such as by-laws and IDP service delivery choices) and allowing public comment when that is appropriate;
- Public hearings;
- Consultative meetings with recognized community organizations and when appropriate, traditional authorities, and
- Reporting back to the community.

According to Visser (2005: 99), the Local Government Municipal Structures Act and the Local Government Municipal Systems Act establish the broad principles for a system of participatory democracy. In the fundamental shift, the Systems Act introduces a new definition of a municipality. Municipalities, according to Section 2(b) consist of the political structures, the administration and the community. Sections 4 and 5 of the Systems Act list the rights and duties of the municipal council and the rights and duties of the local communities respectively. The Act instructs a municipality to develop a culture of municipal governance that complements formal representative government with a system of participatory governance.

In terms of the Local Government Municipal Structures Act, a municipality must annually report to the council on the involvement of communities and community organizations in the affairs of the municipality. This should give a municipality the opportunity to assess its performance in achieving the object of a participatory culture of municipal governance. The executive is charged with ensuring that public views are taken into account with reporting on the effects of public participation in decision-making (Visser 2005: 102).

Participatory governance thus entails the active and meaningful involvement of citizens in the manner in which they are governed. Put simply, it means “*efforts to bring government to the people*“. Participatory governance implies that elections alone are not sufficient for aspects of good governance, but that government should involve citizens in the day-to-day process of governing. It is therefore, important that local government embraces the principle of participatory governance. In order to realize this, it has to promote economic development, create jobs and conditions favorable for social development. This implies a very close relationship between local government and the citizens it serves (<http://www.idasa.org.za>).

4.7.5 LOCAL GOVERNMENT MUNICIPAL SYSTEMS ACT 32 OF 2000

According to Pycroft in Van der Waldt (2007: 98), this Act outlines an integrated approach to address the existing system weaknesses and integration of municipal budgets, including the performance management system. Section 25(1) of the Act requires all municipalities to adopt a single, inclusive plan for the development of the municipality such that it:

- Links, integrates and co-ordinates plans and takes into account proposals for the development of the municipality;
- Aligns the available resources and capacity with the implementation of the plan;
- Forms the policy framework and general foundation on which annual budgets must be based, and
- Is compatible with national and provincial development plans and planning requirements.

The notion of participatory local government is clearly dealt with in the Local Government Municipal Systems Act, which is discussed in the subsequent section.

4.7.5.1 PARTICIPATORY LOCAL GOVERNMENT THROUGH THE LOCAL GOVERNMENT MUNICIPAL SYSTEMS ACT

What is significant, however, is that through the Local Government Municipal Systems Act, a new definition of a municipality is introduced. The municipality, according to Section 2(b) consists of the political structures, the administration and the community. Sections 4 and 5 of the Municipal Systems Act list the rights and duties of the municipal council and local communities respectively. The Act instructs a municipality to develop a culture of municipal governance that complements formal representative government with an important principle: participatory governance should not permit interference with a municipality's right to govern. The municipal council has the sole mandate and the political legitimacy to govern. Participatory governance is there to complement the politically legitimate and legally responsible structures and is not meant to replace or substitute them.

The following important aspects regarding public participation are emphasized in the Local Government Municipal Systems Act:

- The municipality must foster participation in:
 - (a) integrated development planning;
 - (b) the evaluation of its performance through performance management;
 - (c) the budgetary process; and
 - (d) strategic decisions around service delivery.
- The municipality must enable participation through capacity building in the community and of staff and councillors.
- Funds must be allocated and used for the above purposes.

According to the Act, the main purpose of IDPs is therefore to enhance service delivery and fight poverty through an integrated and aligned approach between different role-players and stakeholders. It is a municipality's strategic planning instrument. Furthermore, the IDP ensures vertical and horizontal co-ordination and integration across the three spheres of government, and provides an excellent platform for community and other stakeholder participation in the various planning processes of a municipality. Chapter Four of the Act deals with the development of a culture of community participation, mechanisms, processes and procedures for community

participation, communication of information concerning community participation; public notice of council meetings and communication between council and the local communities. Section 16 of the Act recognizes that the public is in a way participating in matters of governance. This section calls upon municipalities to create favorable conditions for public participation, and includes making it possible for the public to participate during the development of IDPs, municipal budgets and the performance management system. Section 18 states that whenever mechanisms have been put in place to promote community participation, these should be communicated to the community. Of significance, are the language barriers and people with special needs in the local communities. Section 19 of the Local Government Municipal Systems Act states that council meetings should be accessible to the public and the details of which must appear in the local media. Section 21 promotes the use of local media for communication with the public to ensure that all sections of the local communities are accessible.

However, the Act does not prescribe any mechanism, process and procedure to enable the local community to participate in the affairs of a municipality. Heller et al in Kambuwa & Wallis (2002: 28) emphasize that:

“...contrary to the zero-sum equation implied in the argument that process comes at the expense of product, or delivery at the expense of participation, a very strong case can be made that high levels of participation support more effective interventions, more efficient allocation of resources and greater sustainability. Participation in and of itself, moreover, is the most important means of building citizenship”.

According to Bekink (2006: 497), IDPs have been introduced to local government planning processes in order to encourage municipalities to develop plans to address their developmental role with regard to community needs.

Section 26 of the Local Government Municipal Systems Act lists the core components of IDPs as follows:

- the municipal council’s vision for the long-term development of the municipality with special emphasis on the municipality’s most critical development and internal transformation needs;
- an assessment of the existing level of development in the municipality, which must include an identification of communities which do not have access to basic municipal services;
- the council’s development priorities and objectives for its elected term, including its local economic development aims and its internal transformation needs;

- the council's development strategies which must be aligned with any national or provincial sector plans and planning requirements binding on the municipality in terms of legislation;
- a spatial development framework which must include the provision of basic guidelines for a land use management system for the municipality;
- the council's operational strategies;
- applicable disaster management plans;
- a financial plan, which must include a budget projection for at least the next three years; and
- key performance indicators and performance targets determined in terms of section 41.

Development has to be sustainable, and must reflect a process that meets the needs of present generations, without compromising the ability of future generations to meet their own needs. It contributes to the reduction of poverty, fostering of a stable, safe and just society focusing on developmental policy (South African Human Development Report 2003: 5). The literature on sustainable development includes the eradication of poverty and extreme income and wealth inequalities, the provision of access to quality and affordable basic services to all citizens, the promotion of environmental sustainability and a sustained reduction in the unemployment rate, thereby improving the socio-economic standards of living. Therefore, the IDP of a municipality should respond to these and other challenges facing a municipality.

4.7.6 LOCAL GOVERNMENT MUNICIPAL FINANCE MANAGEMENT ACT 56 OF 2003

This Act aims to modernize the budget and financial management practices by placing government finances on a sustainable basis. It serves to maximize the capacity of municipalities to deliver services to all their residents, customers, users and investors. One of the major reforms is the new budget process and its link to the IDP (Van Der Waldt 2007: 99).

Section 130 of the Act states that council meetings at which an annual report is to be discussed and decisions taken must be open to the public. Section 23 states that the municipal council must consider any views raised by the local community with regard to annual budgets.

4.8 INTEGRATED DEVELOPMENT PLANNING RELATING TO THE SPHERES OF GOVERNMENT

Three distinctive although inter-dependant and inter-related spheres of government, namely, National, Provincial and Local, were established to undertake the developmental mandate. The Constitutionally-based system of governance replaced the pre-1994 racially-based, hierarchical and centralized government arrangement. Integrated development planning was enshrined in the Constitution as the primary developmental instrument. National and provincial spheres of government were assigned concurrent planning competencies, such as regional planning and development as well as urban and rural development. While the provinces are responsible for provincial planning, municipalities are responsible for municipal planning and development. The Constitution required from the provincial governments to manage the provincial planning process¹⁹ and also mandated provinces to supervise, support and monitor the local government sphere.²⁰

Co-operative governance²¹ and strong accountable provincial strategic management of IDPs²², therefore, were unequivocal requirements for the implementation of the development mandate in executing provincial planning and the upliftment of communities that were left behind (Theron 2008: 3). An interesting discussion of planning is proffered by Kabra (1997: 212), who argues that development planning is a multi-level, multi-agency, multi-stage, multi-disciplinary exercise, aimed at achieving a multiplicity of goals. It presumes a certain kind of relationship between various spheres of government, economy and civil society, and bases itself on a division of roles, responsibilities and resources among them for formulation of plans. Development planning is a part of social praxis and has to begin by facing the reality that there must be a practical concern for desired changes in output.

¹⁹ Republic of South Africa, 1996 Constitution of the Republic of South Africa, Act 108: Schedule 5 Part A.

²⁰ Republic of South Africa, 1996. Constitution of the Republic of South Africa, Act 108: Section 139, 154 and 155.

²¹ Republic of South Africa, 1996. The Constitution of the Republic of South Africa, Act 108: Chapter Three.

²² The Constitution of the Republic of South Africa does not refer to integrated development planning, although the legal and policy context in the ANC RDP policy and the White Papers define explicitly this provincial responsibility. The Forum for Effective Planning and Development (FEPD) define the concept and was the original driving force to guide the provinces to strategically manage integrated development planning. The Integrated Development Planning Process in Government (drafted August 1995 (a) served as one of the main guiding instruments on development planning).

The discussion which follows reflects a relationship between IDPs *vis-à-vis* relationships in government.

The implementation of the IDP in the local government sphere has brought a new approach to the activities of municipalities in South Africa. This new approach calls for a developmental orientation from municipalities (Parnell et al in De Vries et al 2008: 98). The IDP process requires municipalities to work closely with provincial and national spheres of government. Section 36 of the Local Government Systems Act demands from all municipalities that they conduct their affairs in a manner which is consistent with their integrated development plan. The nature and extent of the IDP is highlighted in Chapter Five of this Act. Section 35(1) of the Act confirms the status of the IDP approach by identifying what the plan demands and how it actually conducts the activities of local government. The following are key aspects to be noted in the IDP discussions (De Vries 2008: 98-99):

- The IDP is the strategic planning instrument of a municipality in South Africa;
- It guides and informs all the planning and development of a municipality.
- What is significant is that the IDP directly guides all decisions with regard to the planning, management and development in a municipality. These decisions must be based on what the IDP stipulates for the actions of the particular municipality;
- The IDP binds municipalities in the exercise of their executive authority, and
- A by-law approves resulting actions of the IDP when it imposes duties or affects the rights of specific role-players in a municipality.

4.8.1 NATIONAL PRINCIPLES CONCERNING LOCAL GOVERNMENT DEVELOPMENT PLANNING

According to the Local Government Municipal Systems Act, local government planning is to be developmentally oriented. In order to achieve this objective, all municipalities must undertake developmentally oriented planning to ensure three purposes:

- Municipalities must strive to achieve the objects of local government set out in the Constitution;
- Municipalities must give effect to their developmental duties set out in the Constitution, and

- Municipalities with other organs of state contribute to the progressive realization of the socio-economic fundamental rights enshrined in the Constitution.

In order to achieve and undertake planning processes that are developmentally oriented, the Systems Act determines that its provisions in this regard must also be read in conjunction with the Development Facilitation Act. A second important feature of the new local government planning framework is that the planning processes undertaken by a municipality must be aligned with and complement the development plans and strategies of other affected municipalities and organs of state. This is to give effect to the notion of co-operative governance. The new local government planning framework also determines that if municipalities are required to comply with planning requirements in terms of national and provincial legislation, then the responsible organ of state must:

- Align the implementation of that legislation with the provisions of Chapter 5 of the Local Government Municipal Systems Act, and
- Consult with the affected municipality in such implementation and take reasonable steps to assist the municipality in meeting the legal requirements relevant to its IDP.

In order to appreciate the context of IDPs within the current dispensation of local government, it is imperative to view some typologies regarding urban planning as these reflect on the socio-economic issues within local communities. The following section therefore, highlights some key themes in urban planning.

4.8.2 PROVINCIAL SCENARIO REGARDING IDP

The direct and operational relationship between municipalities and provinces arising from the IDP process is determined by the specific stipulations in Sections 31 and 32 of the Local Government Municipal Systems Act. The following questions regarding the IDP process from a holistic perspective are pertinent (De Vries et al 2008: 101):

- Are the IDP support units of the provinces able to assist municipalities in the IDP process as required in the Local Government Municipal Systems Act?;
- Are the resources sufficient and is there enough autonomy and capacity to provide the necessary support for municipalities and inter-institutional collaborations and co-ordination?;

- Is the approach in the IDP assessment process appropriate?; and
- Does a province in the IDP assessment process support the objectives of bringing about the realignment and redistribution of resources between the different local areas in a municipality and between different areas between municipalities?

4.8.2.1 PROVINCIAL SYNTHESIS OF THE IDP

Provinces should concentrate on assisting municipalities to focus their IDP process on real strategic issues instead of non-strategic aims. The IDP is far from being a real strategic process. To conduct the IDP process successfully, municipalities have to depend on positive links, collaboration and co-operation between all the applicable government structures. The critical question is whether provinces support municipalities in initiating and maintaining co-operation in the IDP process. Is the feedback to a municipality mainly a critical reflection of identified gaps in the IDP? The Local Government Municipal Systems Act requires continuous consultation with municipalities throughout the different stages in the IDP process and the question remains as to whether the provinces consult with the municipalities. The notion of consistent engagement and consultation ought to be a permanent feature of the IDP. Sustainable relationships between local and district municipalities, and specifically between municipalities and provincial structures, are of utmost important in the IDP process, but is this happening? If there is a lack of collaboration, then provinces and national departments will not deliver their services in alignment with local priorities and needs as required by the Local Government Municipal Systems Act. Therefore, it must be emphasized that the infrastructure and capacity of the provinces must be developed in order to ensure that the municipalities' expected role in the IDP process is achieved (De Vries et al 2008: 102).

4.8.3 MUNICIPAL MILIEU AND THE IDP

Municipalities are required to ensure that they contribute to an effective IDP process via the following (De Vries et al 2008: 202):

- Municipalities must employ adequate and qualified staff for the job;
- It is important to convince and motivate all the role-players in a municipality to regard the IDP process as the most important mechanism to achieve the developmental mandate of local government, and

- Municipalities must comply with the individual procedures in the Local Government Municipal Systems Act in the IDP process.

It is only through the above key aspects that a municipality can honor the requirements of the Local Government Municipal Systems Act and execute all the procedures accordingly, including the timely submission of the IDP document. The Local Government Municipal Systems Act determines in Section 29(1) (b) that the local community should participate in the drafting of the IDP. A very important comment made by Khan and Cranko in De Vries (2008: 103) confirms, however, that the lack of general participation by the community exists. As a result of the requirement by municipalities regarding the IDP, this places them in the same “responsibility” sphere as all other government structures.

4.8.3.1 SYNTHESIS OF INTEGRATED DEVELOPMENT PLANNING: A MUNICIPAL PERSPECTIVE

According to the new legal framework for local government, a significant measure of responsibility relating to municipal planning has been decentralized to local government structures. Municipal planning is incorporated as a functional area of concurrent national and provincial legislative competence, as per the Constitution Part B Schedule 4. However, all municipalities are constitutionally obliged to structure and manage their administrations, budgeting and planning processes to ensure that they give priority to the basic needs of their communities. As reiterated in the earlier part of this chapter, one of the key objects of local government is to promote social and economic development and a safe and healthy environment. It must also be noted that both national and provincial laws are therefore needed to ensure that municipalities fulfill their developmental duties. To this end, national legislation provides an overarching set of regulatory provisions to enable municipalities to create a basic planning framework (Bekink 2006: 497).

According to Hollands (2006: 9-10), an interesting concept of participatory planning makes a strong case for citizen’s participation in planning. The expanded roles for government bureaucracies and party politics at the municipal level of government invoked the necessity for organized forms of citizen’s participation. Such participation should be the norm in an

enlightened democracy. Currently in the South African context, forms of public participation are regarded as “cutting edge local democracy”. They are notably representative forums for planners, public hearings around proposed developments and ward committees, to ensure on-going contact between elected municipal representatives and their constituencies. However, one of the major critiques of planning theory is of planning’s pretension to serve a collective public interest whereas the track record indicates its service to the needs of the civic and business elite.

There is also invariably a gap between the planned ideal and the reality, a contradiction commonly present in societies undergoing transformation. This is particularly evident in the IDP wish-list approach in South Africa and the bureaucratic indifference of municipal government on the ground. Development planning needs to move beyond simply being reparation for the past and should focus on development as a key to a better quality of life for all local citizens. Development planning must be a lexicon of participation and democracy (Hollands 2006: 15-16).

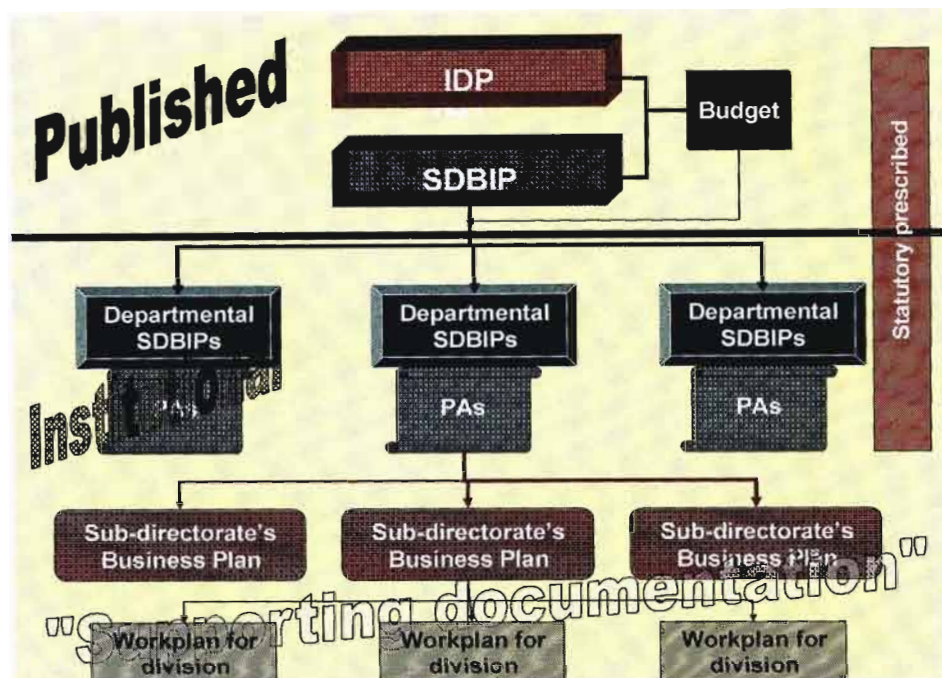
Some key characteristics of IDPs are cited to elaborate on civil society’s participation in municipal spatial development.

4.8.3.2 MUNICIPAL STRATEGIC PLANS: LINKING IDPs WITH KEY PERFORMANCE AREAS (KPA)s

Bekker (2007: 8) advocates that strategic urban planning and municipal strategic plans lays the foundation for growth, development and sustained participation. The vision, strategy and action plans of municipalities are informed predominantly by IDPs and Service Delivery Budget Improvement Plans (SDBIPs). Ketel et al (2008: 80) assert that legislation requires municipalities to set appropriate key performance indicators as a yardstick for measuring performance, including outcomes (the impact) with regard to priorities set out in the IDP of the municipality.

The following is an illustration of this governance strategy linking the hierarchy of municipal strategic plans.

Figure 4.2: Hierarchy of Municipal Strategic Plans



(Bekker 2007: 8)

In terms of these guiding documents, municipal goals, objectives and indicators should be SMART (specific, measurable attainable, realistic and time-bound). Additional requirements are that these goals, objectives and indicators should be:

- Efficient, effective, economical and aimed at sustaining a high quality;
- Formulated for all administrative components, and
- Aligned with available resources, institutional capacity and the IDP of a municipality.

Bekker (2007: 9) asserts that Regulation 12 of the Planning and Performance Management Regulations 2001 rules that a municipality must, for each financial year, set performance targets for each of its key performance indicators as they appear in the IDP. These targets should be:

- Practical, flexible and realistic;
- Able to measure the efficiency, effectiveness, quality and impact of the performance of the municipality, administrative component, structure, body or person for whom a target has been set;

- Commensurate with available resources;
- Commensurate with a municipality's capacity, and
- Consistent with a municipality's development priorities and objectives set out in its IDP.

As mentioned above, all the IDP goals should relate to the five KPAs for local government as prescribed by the Performance Management Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers (the so-called Section 57 managers) 2006, which are basic service delivery, local economic development, good governance and public participation, municipal financial viability and management and municipal institutional transformation and development. It would therefore make sense to develop a municipal SDBIP, which includes references to the IDP goals in a way that it would reflect its alignment with each one of these KPAs (Bekker 2007: 10).

4.8.3.3 INTEGRATED DEVELOPMENT PLANNING AS A PERFORMANCE MANAGEMENT TOOL

The Local Government Municipal Systems Act translates the notion of developmental local government into operational systems. The Systems Act is an elaborate statute setting standards for citizen participation in local government, local public administration, service delivery, municipal tariffs etc. The most significant part is the scheme of rules that compels municipalities to embark on integrated development planning. The IDP was launched in the White Paper on Local Government and presented as one of the most important tools for municipalities to fulfill their developmental mandate. It is a participatory process of planning through which the municipality assesses needs, prioritizes them and formulates objectives and strategies to address them. The IDP should consolidate all municipal planning into a comprehensive strategy that is linked to the municipal budget. The IDP should be the method through which municipalities become the epicenter of developmental activities of national, provincial and other actors. The Municipal Systems Act provides the framework within which municipalities should embark on

their IDP process. The IDP is thus a key strategy for local government to become the focal point where development projects of all spheres come together.

The purpose of reviewing the South African local government system, the IDP and performance management of local municipalities, is twofold. *Firstly*, it provides an opportunity to analyse and build a comprehensive critique of the South African local government system. *Secondly*, while the South African context is certainly unique, many of the challenges are common to other developing countries. Grinding poverty, dependency on Western economies, a struggling public service, a colonial history and startling inequalities are but some of the issues that many developing countries in Africa and elsewhere have to face. Now that it has been argued that South Africa's reliance on local government is supported in international literature, its attempt at translating this reliance into an institutional appearance for local government will provide valuable lessons for other developing countries (Visser 2005: 86).

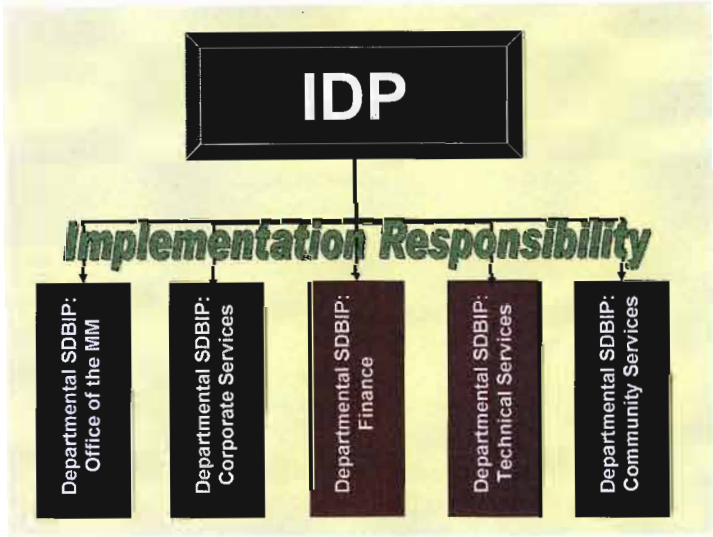
In order to expand the significance of the IDP as a performance management tool, municipalities are required to link their IDPs to their service delivery budget improvement plans (SDBIP). The discussion now turns to the necessity for a municipality to set key performance indicators and targets which serve as a performance plan in the IDP.

4.9 DEPARTMENTAL SERVICE DELIVERY BUDGET IMPLEMENTATION PLAN (SDBIP)

According to Bekker (2008: 11), the content of the municipal SDBIP is informed by the key performance indicators and targets, and the budget projections included in the different Departmental SDBIPs. These Plans are compiled to link specific service delivery responsibilities in the IDP to each of the senior managers (municipal managers and Section 57 managers) of a municipality. A separate SDBIP must therefore be compiled for each functional department of a municipality. The Performance Agreement of each Section 57 manager will eventually be aligned with the content of the relevant Departmental SDBIP. Because departmental SDBIPs contain particulars of both service delivery objectives and targets, as well as the budget of such a department, they serve as a performance plan against which the results of the department could be monitored and assessed. The departmental SDBIPs must also relate to the IDP of a

municipality. The intention is that the SDBIP for each department should indicate what is expected from a specific Section 57 manager and the Department, to implement the goal of the IDP for which a manager is responsible. The Departmental SDBIP must also relate to the budget for the specific year, since it determines how much money is available to exercise the functions anticipated in the SDBIP. This relationship is depicted in the following diagram.

Figure 4.3 Relationship between the IDP and the Departmental Service Delivery Budget Improvement Plans



Bekker (2007: 12)

The structure of the departmental SDBIP is also determined by the five Key Performance Areas (KPA) as reflected in the Performance Management Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers (2006 Handbook). This is an important illustration showing the implementation responsibility of municipalities in terms of municipal strategic management. As reflected in the diagram above, one of the major focus areas is community services. This shows the intrinsic relationship between the IDP and the departmental SDBIP (Bekker 2007: 12). Arising from this discussion, it can therefore be said that the IDP thus provides a framework for planning and responsibilities of municipalities.

4.10 THEORISING INTEGRATED DEVELOPMENT PLANNING AS THE CORNERSTONE OF PUBLIC PARTICIPATION

The IDP process is intended to be the cornerstone of any municipality's activities. Citizen participation is a pivotal element of the IDP process.²³ Each municipal council must adopt an IDP. A newly elected council may adopt the previous IDP, but provided the community is consulted on their development needs and priorities. The municipality must have a document that sets out how it intends to go about drafting, adopting and reviewing its IDP via a "*process plan*". The local community must be consulted throughout this process plan. The local community must be allowed to participate in the drafting of the IDP. It is incumbent on municipal councils to establish a mechanism for assessing the development needs of communities, and it is necessary for communities to provide feedback on issues such as maintenance backlogs, the existence of poorly serviced areas, and problems experienced with service delivery. It is critical that communities are not excluded from the development process. Local municipalities must consult the communities on their development needs and convert these into deliverables in a transparent and consultative manner. This translates into two participatory processes. One is a micro-process, involving the community in assessing their needs. This could include ward audits, on-site visits and public hearings. The second process is a macro-process whereby the community is consulted on the prioritization of the needs through the municipality. When the IDP is complete, the local community must be able to comment on the final draft before it is submitted to the council for adoption.²⁴ After its adoption, the municipality must inform the public that the plan has been adopted and that copies of the IDP are available for inspection, through publication in the local newspapers. It follows then, from the above model, that IDPs are viewed as a performance management tool.

4.10.1 CHARACTERISTICS OF INTEGRATED DEVELOPMENT PLANNING

Integrated development planning processes should include the following characteristics:

- Horizontal or sectoral integration, which includes co-ordination of land use and spatial

²³ For a review of the practice of citizen participation in the IDP prior to the enactment of the Municipal Systems Act, see Kehler 2000: 10-27.

²⁴ Regulation 15(3) Local Government Municipal Planning and Performance Management Regulations, 2001. Government Gazette Vol. 434 No. 22605 (further IDP Regulations).

development with sectors such as housing, education or transport services;

- Environmental integration which includes co-ordination of policies and programmes within an environmental framework;
- Vertical integration which includes the integration of national, provincial and district and local government policies and programmes at the local sphere of government, which includes the integrated attempts by individuals, residents, non-governmental organizations, the private sector and other stakeholders to formulate objectives and to follow plans of action for the achievement of community objectives;
- Time integration which includes consideration of long-term trends, pressures, objectives and targets with a strategic focus of at least 25 years;
- Resource integration which includes co-ordination with funding sources, programmes and projects in order to fulfill planning objective; and
- Institutional integration which includes the establishment of partnerships and agencies with the capacity for implementation (Ravetz in Van Der Waldt 2007: 99-100).

The methodology of planning and an integrated social science approach to development planning highlights the significance of civil society participation in the IDP process. The absence of a restrictive relationship is a strength of the planning process, and one that involves a multi-dimensional approach, involving key stakeholders. It must be emphasized that local government is a key arena for the democratic participation of ordinary citizens <http://www.sacp.org.za>. A rationale for public participation within this context follows.

The discussion thus far supports the case for the conceptualization and contextualization of integrated planning and development. The next section will emphasize the operational dynamics of public participation within the outlined framework.

4.11 FACILITATING CITIZEN PARTICIPATION IN LOCAL GOVERNMENT: A PHILOSOPHICAL CONTEXT

According to the International Council for Local Environmental Initiatives (ICLET), local government is the level of government closest to the people. It has an important role to play in facilitating opportunities for local citizens to take action on local sustainability issues. Put

simply, this translates to community participation. According to Gaventa (in Cuthill and Flen 2005: 63), local government can strengthen the possibility of effective democracy building “from below”, and build an ongoing “virtuous cycle of contact...which builds community capacity...fosters community organization and attitudes of responsibility and strategic thinking”. According to Epstein (in Cuthill and Flen 2005: 64), modern society is now confronted with rapid change and complex issues and there is increasing pressure and difficulty for elected representatives to effectively manage the diverse social, environmental and economic interests of their local constituencies. This suggests a need to include a wider range of indigenous and local knowledge in municipal decision-making and provide a context for a more participatory democracy, where citizens are active and engaged in the issues of the day rather than passive and withdrawn.

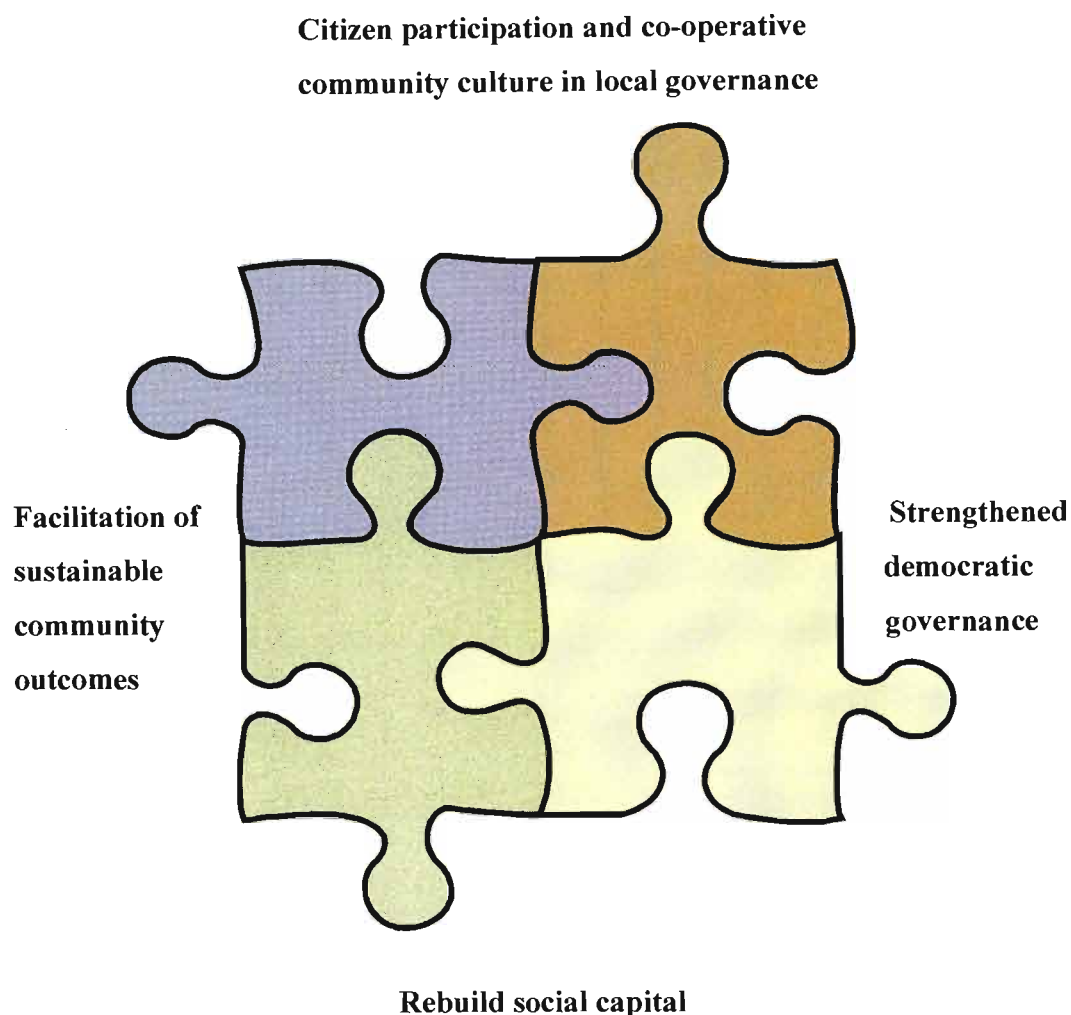
Eade (in Cuthill and Flen 2005: 65) emphasises that capacity-building is most influenced by ideas concerning participation, empowerment, civil society and social movements. The author argues for four principles that illustrate capacity-building of citizens:

- Capacity-building should not create dependency. This is evidenced within government projects that seek to find the most expedient and efficient way to achieve a particular goal.
- Capacity-building does not mean weakening the state. Democracy is not well served when governments simply pass on their responsibilities to citizens or community groups without any support. It has to be seen as a collaborative process between government and communities with each respecting the other’s roles and responsibilities.
- Capacity-building is not a separate action, or something done instead of providing services. Service delivery forms part of a dual role of government that includes the facilitation of community capacity.
- Capacity-building is not solely concerned with financial sustainability. Social, environmental and political considerations of development are equally important.

Developing a community vision for enhanced citizen participation is a key ingredient in the development and planning agenda of local government at present. According to Ames and Mega (in Cuthill and Flen 2005: 70), community visioning offers a space where citizens and local government can come together and build relationships of trust, and foster mutual understanding of what a sustainable local community ought to be. Community visioning also facilitates open discourse from which community well-being indicators can be developed. The following model highlights citizen participation in local governance as a foundation for strengthening democratic governance and ensuring sustainable community outcomes. According to the model in Figure 4.4, citizen participation in local governance can facilitate increased community support for local government decisions, the development of broad-based ownership of community issues and strengthening the legitimacy of local government. It provides a foundation for achieving sustainable community outcomes. Social capital in communities can provide positive social, economic and democratic outcomes, which can contribute to community well-being (Cuthill and Flen 2005: 71). According to Gaventa (2002: 2), rebuilding relationships between citizens and their local government means working both sides of the equation – that is, going beyond civil society or state-based approaches, to focus on their intersection, through new forms of participation, responsiveness and accountability.

What follows is a model highlighting citizen participation in local governance, arising from the afore-going discussion.

Figure 4.4 A model showing Citizen Participation in Local Governance



Adapted from Cuthill and Flen (2005: 65).

4.12 RATIONALE FOR PUBLIC PARTICIPATION

The rationale for community participation, Bekker (1996: 45) asserts, is that the public ought to share in making development plans at the initial stage rather than after officials become committed to particular choices and emphasises that there is a need to:

- Provide information to citizens;
- Obtain information from and about citizens;
- Improve public decisions, programmes and projects;
- Enhance acceptance of public decisions;

- Alter political power patterns and resource allocations, and
- Delay or avoid complicating difficult political decisions.

Narayan et al (2000: 172) succinctly highlight the gap that must be filled in the construction of new relationships between citizens and local government:

“From the perspectives of poor people world-wide, there is a crisis in governance. While the range of institutions that play important roles in poor people’s lives is vast, poor people are excluded from participation in governance. State institutions, whether represented by central ministries or local government are often neither responsive nor accountable to the poor, rather the reports details the arrogance and disdain with which poor people are treated. Poor people see little recourse to injustice, criminality, abuse and corruption by institutions. Not surprisingly, poor men and women lack confidence in the state institutions even though they still express their willingness to partner with them under fairer rules”.

From the afore-going quotation, one can assert that the critical successful factor will ultimately depend on the relationship between local government and the community. Without community participation in all stages of plan-making, such plans will, without a doubt not succeed. Mensah (2005: 265) is of the view that well into the era of public participation, the majority of stakeholders were not consulted during plan formulation, because it was too expensive and time-consuming.

A robust civil society is a clear indicator of a strong and popular local democracy. There have been several debates over the last decade in South Africa regarding the state and civil society. A robust and vigilante civil society constitutes an essential pillar of a mature democracy, which complements institutions of government and plays an important role in generating good governance and contributing to economic growth <http://www.hologram.org.za>.

One of the challenges is the apparent preoccupation in South African local government with a narrow procedural and technocratic approach to participation, which has under-minded the scope for, and the willingness to experiment with alternative ways for citizens to engage with the state (Good Governance Learning Network 2007: 15). Public participation ensures that decision-making and its quality is enhanced, as the views of the community are considered (thus ensuring participatory governance).

In the mid 1980s, the state's solution was to reform its urbanization policy with the assistance of bodies like the Urban Foundation. According to Stack (in Hollands 2006: 17), the principles of this policy, which are apt for development planning and involvement of public participation, are as follows:

“The proposals advocate an urbanization strategy aimed at accelerating economic growth and achieving a comprehensive and systematic approach to both urban and rural development. Effective urban management is emphasized with greater local autonomy, increased financial support for cities and reconstituted local government boundaries defined according to functional criteria. The acceptance of informal settlement, the promotion of large-scale job creation, a non-racial rural market, inter-city competition for public and private investment, state assistance to bring the poor into the urban system, and community participation in urban and rural development programmes...”

The above view pertains to literature on IDPs and heightens the discussion regarding involvement of civil society in urban development programmes. According to Pope (2000: 247), an informed citizenry is one that is aware of its rights and asserting them confidently; this is a vital foundation for any nation. An apathetic and passive public, not interested in taking part in local governance, or in enforcing accountability, provides an ideal breeding ground for corruption, fraud and mismanagement, thereby resulting in poor governance.

Citizen participation improves the quality of decision-making in that many minds are applied to one matter. It also enhances and strengthens the relations between the citizens and the municipality and serves as a check on the use of administrative authority. The legitimacy and citizens' ownership of state action is increased and the sustainability of state intervention is thereby promoted. Citizen participation is a means of empowering citizens who, by becoming involved, learn about more about government. Participation also knows negative spin-offs as well. Successful decentralization requires an unequivocal choice for local leadership that is democratically elected. The primacy of elected representatives at the helm of local municipalities should not be sacrificed at the expense of participation. Citizen participation cannot result in undue interference with governance at local level. In facilitating citizen participation, local government must be mindful of the threat of corruption through the “capture” of local governments by the local elite (2000: 247).

A proper understanding of citizen participation is important in striking a balance. It has been reduced to mere interpretation of the sanctioning of plans and policies and the acquisition of respectability by the municipality in the community. Citizen participation can also be seen as input by those with expertise, knowledge or power. Marginalized sectors of society do not feature in this kind of input, often dominated by business interests or other organizations with considerable resources. Citizen participation is sometimes viewed as a process whereby decisions and actions need to be sanctioned and approved by the community. Citizen participation is understood to be ongoing debates, dialogue and communication between local government and communities. It therefore embodies both electoral participation and active involvement through associations, public consultation and procedures, petitioning, protests and complaints. Citizen participation must be an integral part of local government affairs and a commitment to participation at the political and administrative levels must be observed. The institutional framework for local government must enable and promote participation by citizens from all sectors in society. Most importantly, the end result of legislation must be that citizen participation is promoted by local government itself and not just by the status that set the framework in place. This means that a framework for participation should not remove the need for local government to devise its own mechanisms for citizen participation or to be creative in its efforts to involve citizens more vigorously in its affairs (Visser 2005: 39).

The element of local democracy does not depend on local elections alone. The effectiveness of local autonomy and local representation also depends on the ability of local citizens to participate in local government affairs and to hold local officials and councillors accountable for their actions. It is imperative that the local institutional framework for local government entrench principles for participatory governance that stimulate municipalities to devise their own effective mechanisms for invoking and involving local citizens in their affairs (Visser 2005: 39).

4.13 ATTITUDE AND TRENDS OF COMMUNITY PARTICIPATION VERSUS GOVERNANCE

According to Clapper (in Phago 2008: 244), the following understandings are important in gauging the attitude and trends of community participation in local governance:

- Community participation as a function of stimuli – the environment in which citizens interact, has a huge influence, for example, media, attendance at regular meetings, ongoing dialogue and conversations;
- Community participation as a function of personal factors – individual values, beliefs, attitudes, knowledge and traits can be a major influence on community participation;
- Community participation as a function of social position – results from personal status, for example, age, sex, educational status, race and residence, and
- Community participation as a function of environmental variables – cultural milieu, social-structural character of communities and political affiliation and setting.

The discussion which follows contextualizes citizen participation in IDP.

4.14 SYNERGY BETWEEN INTEGRATED DEVELOPMENT PLANNING AND PUBLIC PARTICIPATION

Although the Constitution and the White Paper on Local Government provide clear information regarding the purpose of integrated development planning, there are other perceptions regarding development planning. Some pertinent aspects as reflected in the Municipal Training Material –

IDP KZN (2001: 6) include, *inter alia*:

- Whether it is appropriate to spend more resources and time on planning when people on the ground are anxiously awaiting delivery of basic services.
- Whether it is worthwhile to do all this planning when there are hardly any financial resources for development available, especially in most local municipalities.
- Whether planning is really a useful tool to achieve developmental outcomes.
- Many officials at provincial and national level tend to assume that integrated development planning is exclusively related to local governments' own budgets and activities.
- Some people associate integrated development planning with spatial planning – thus integrated development planning is sectoralised.
- For many municipalities, the main purpose of drawing up IDPs (apart from the legal requirement), is to compile a list of investment projects for external funding and

infrastructure projects funded by the Department of Provincial and Local Government. It can therefore be deduced that such misinterpretations and concerns demonstrate that there is a need for more clarification on the purpose and rationale for integrated development planning, to convince some of the crucial role-players of the relevance and usefulness of integrated development planning as a tool for social and economic development.

According to the IDP KZN (2001: 8-13), the purpose of integrated development planning is faster and more appropriate delivery of services, and providing a framework for economic and social development in a municipality. There are a range of links between integrated development planning and its developmental outcomes, such as financial crises of municipalities, or the urgency of service delivery and employment generation. Some key aspects informing the analytic framework on Integrated Development Planning include, *inter alia*, that it is:

- a mechanism to restructure cities, towns and rural areas;
- a mechanism to promote social equality;
- a weapon to fight poverty;
- a catalyst in the creation of wealth;
- a device to improve the quality of life of peoples' lives through the formulation of integrated and sustainable projects and programmes;
- able to lay the foundation for community building;
- a strategic framework that facilitates improved municipal governance;
- an agent for local government transformation;
- a conduit/channel for attracting investment;
- an instrument to ensure more effective and efficient resource allocation and utilisation;
- a vehicle to fast-track delivery;
- a barometer for political accountability and a yardstick for municipal performance;
- a vital tool to ensure the integration of local government activities with other spheres of development planning at provincial, national and international levels, by serving as a basis for communication and interaction, and
- able to serve as a basis for engagement between local government and citizens at local level, and with various stakeholders and interest groups intent on participatory and accountable government.

Municipal Training Material – IDP KZN (2001: 8-13).

Before delving into a discussion on the symbiotic relationship between integrated development planning and its focus on public participation, it is opportune to provide a conceptual understanding of development planning within a municipal context.

4.15 DECENTRALISED PARTICIPATION THROUGH INTEGRATED DEVELOPMENT PLANNING

What makes local government policy tools effective as instruments for regulation and control of public participation, is the ability to reach outside of the sphere of government and the party and to draw in civil society as a whole. Thus it can be noted that the IDP policy explicitly creates a particular legal space for the participation of the public through planning committees and public representative forums. The challenge with this notion of participation, is that the participation and interaction tends to be uneven and very different from one locality to another. The major question is to what extent does this public civility survive and find expression in various interactions and partnerships in the local state. The need to overcome apartheid spatial designs and the unjust placement of infrastructure and facilities sets the new government up as a mediator for conflicting interests within society. By explicitly setting out the options for redistribution and economic growth, IDP created the political space for diverse local interests to be identified and become subject to a local process of mediation and ultimately prioritization. Municipalities should seek to co-ordinate and integrate rather than to displace, control or dominate actor's contributions. Rather than regulate and control in response to diversity, social exclusion and marginality, municipalities should tolerate community solutions and enhance joint or collective problem-solving, decision-making and service delivery (Davids 2006: 26).

Through this approach, Davids (2006: 7), highlights the following key aspects namely, an overarching government policy framework for carrying key principles and values into the municipal team and the right to community involvement in planning was entrenched in law and policy. Through this approach, non-governmental organizations have an important stake in facilitating community participation and ensuring that local community organizations were incorporated into the planning process and became jointly responsible with the municipality for the outcomes, namely, service deliverables. The limitation of this approach is that such public participation was identified as the refinement of such plans into operational programmes:

The following quotation affirms the necessity for citizen participation in IDPs.

“Citizens would be involved in devising plans where programmes are largely seen as the mere translations of the plans best left to experts to draw up. Councillors and the administration would be involved in formulating programmes. A monitoring and evaluation framework is an exception to this: it is a point of overlap between the plans and programmes. It is seen as the key instrument through which the municipality is held accountable for implementing the plan” (Davids 2006: 7).

It is evident that South African planning policy went to great lengths to demonstrate that it was alert to the link between poverty, under-development and marginalization, and those commodities and services that formed the focus of planning. The IDPs help municipalities to develop a holistic strategy for poverty alleviation. Poverty is not just about low household income, but includes other aspects of deprivation such as lack of assets to help households cope with shocks and stresses; a lack of resources or education; health care and emergency services and the lack of safe, secure and adequately-sized housing with basic services (Davids 2006: 28).

IDP, budgeting and performance management are powerful tools that can assist municipalities to develop an integrated perspective on development in their area. It will enable them to focus on priorities within an increasingly complex and diverse set of demands. It will enable them to direct resource allocations and institutional systems to a new set of development objectives (Davids 2006: 32). IDPs must speak to local delivery and participation. Plans in themselves are a very important form of communication. IDP is not just about zoning control, nor is it actually to keep the masses at bay, because one cannot mislead the public with a plan. Plans say what they will be doing and have a quasi-legitimacy attached to them that makes them work. Since IDPs are concentrated on local delivery, there are multiple benefits in ensuring locally driven outcomes (Davids 2006: 32). The following aspects are therefore significant.

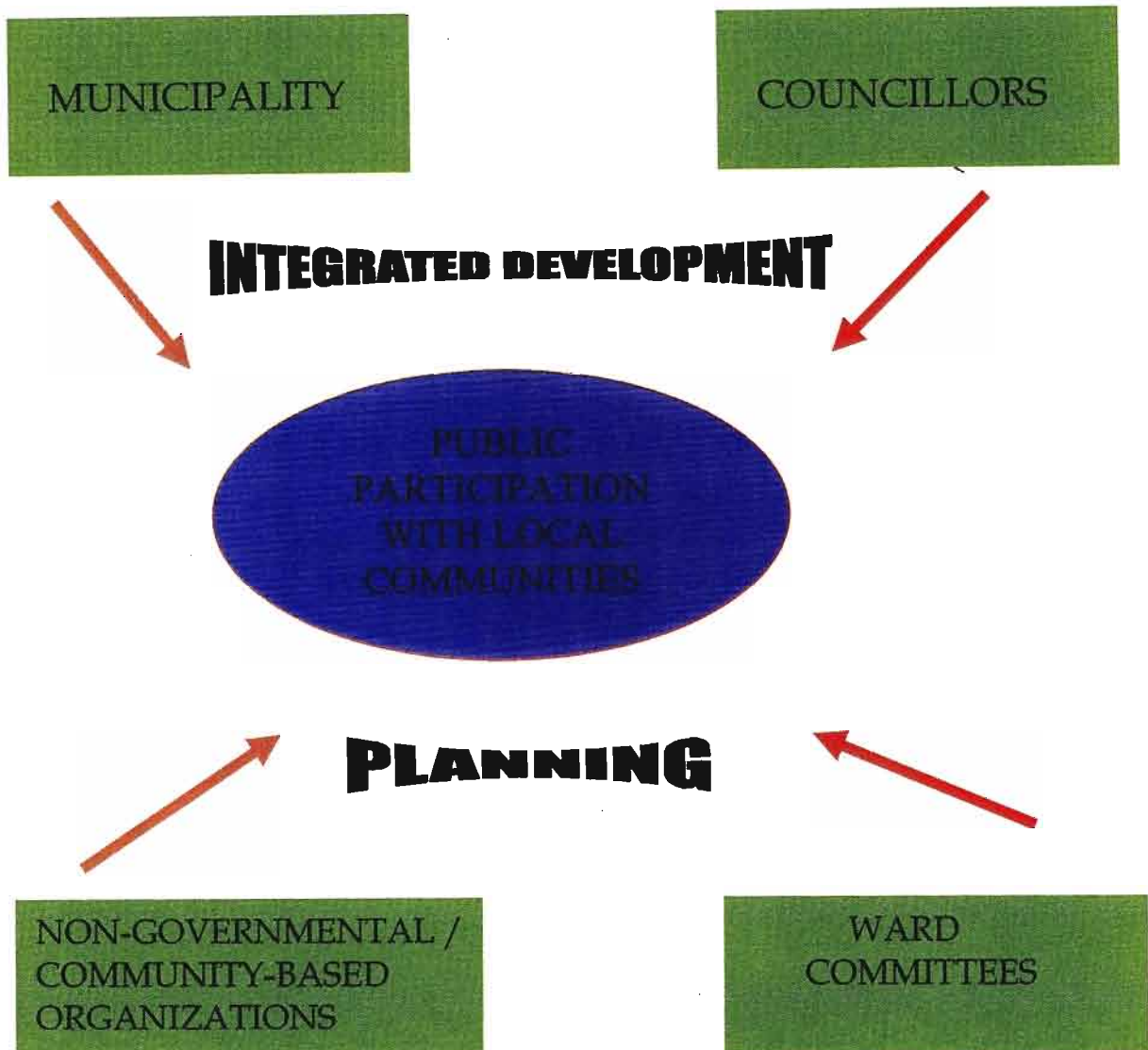
4.16 OTHER FORMS OF PUBLIC PARTICIPATION

Whilst the IDP is one very effective form of public participation, there are several other forms of participation, including ward committees, public meetings, report-back meetings, focus group/interest groups, *imbizos*, role of community development workers and community-based planning.

4.17 SUGGESTED INTERACTIONIST MODEL FOR ENHANCED PUBLIC PARTICIPATION IN INTEGRATED DEVELOPMENT PLANNING

The municipality is confronted with variable expectations regarding the real needs and wants of local communities, and their quest for enhanced service delivery. These demands can best be understood with the help of an interactionist model. One needs to first understand that participation is an interactive process, which is sometimes conditioned by a variety of challenges. There is also the political milieu within which this interaction takes place. The context of a democratically accountable process can be described as a situation in which three major mutually influencing role-players can contribute to enhancing public participation in the IDP process, as depicted in the following interactionist model devised by the researcher.

Figure 4.5: Suggested Interactionist Model for Public Participation



4.18 SURVEY OF INTEGRATED DEVELOPMENT PLANNING: A CASE STUDY OF KWAZULU-NATAL

A research survey was conducted in 2002 to assess the IDP processes in the Province of KwaZulu-Natal. The research entailed an analysis of legislation and interviews with provincial and local government politicians and officials. It showed a disturbing trend where local

government is seen as a “line function” of the Department of Local Government and where sectoral departments do not engage sufficiently with local government IDPs. The municipalities that were interviewed were appreciative of and positive about, the support that they received in their IDP process from the provincial department of local government. At the same time, municipalities had realized the importance of vertical integration of policies with sectoral departments. When municipalities were asked about the IDP process and the interaction with other sectoral (provincial) departments, their feedback was in general remarkably negative. A key complaint was the lack of co-operation from provincial sectoral departments. An issue that constantly came up was the lack of knowledge on the part of the municipalities about provincial plans, budgets and priorities that were supposed to influence IDPs (IDP Survey 2002).

From the research, it was evident that provincial departments were blissfully unaware of municipal IDPs and that communication and sharing of information during municipal IDP processes was sorely lacking. Numerous complaints were leveled against the lack of understanding and interest of departments in the IDPs and the fact that they showed little interest in municipal IDPs thereby stifling its integral potential. The consequences of a lack of co-operation and co-ordination were real. A municipal manager related how the municipality resolved to keep a site open to have a school built by the Department of Education. However, the school was never built and the site became occupied by informal dwellers. It highlighted the need for a forum where things come together. The work of the IDP forum was being appreciated, but it was noted that it does not permeate the overall strategy of departments. Other complaints were the lack of a clear provincial planning framework against which IDPs can be measured. The lack of a provincial plan affects proper co-ordination. The lack of co-ordination between national planning and IDPs was also high on the list of complaints. Mention was made in the research that national projects interfere with IDPs, which thus became “white elephants”. National projects were viewed as “elevated” or “political in nature,” which harmed their integration into the IDPs (Visser 2005: 226-7).

A subsequent assessment of the draft 2008/9 IDP, which was done on a province-wide basis in the country, follows.

4.19 ASSESSMENT OF THE DRAFT 2008/09 INTEGRATED DEVELOPMENT PLANS

According to Bhengu (2008: 1-2), in the past three years, the assessment of IDPs was done nationally at a central point for all IDPs in the county. The process was resource-intensive and created a common national platform and approach for assessment of IDPs. The focus is to move away from a centralized approach to that of a decentralized assessment and give feedback to municipalities on generic findings in respect of their Draft 2008/09 IDPs, make proposals for effecting improvements and contribute to the credibility of IDPs. The object of the report is four-fold and focused on doing away with:

- The seasonable and centralized approach to IDP assessments, to introduce continuous and decentralized engagement;
- Document-based assessment, to introduce facts-based assessments;
- The checklist approach, to introduce a logical framework approach, and
- Compliance-based assessment and promote developmental assessments.

Furthermore, Bhengu (2008: 1-2) emphasizes the uniqueness of the various municipalities and the six key performance areas that were examined in all municipalities, as follows:

- Municipal Transformation and Institutional Development;
- Local Economic Development;
- Basic Service Delivery and Infrastructure Investment;
- Financial Viability and Financial Management;
- Good Governance and Community Participation; and
- Spatial Planning and Spatial Development Frameworks.

4.19.1 GENERIC FINDINGS ON THE DRAFT 2008/09 IDPs ASSESSED

According to Bhengu (2008: 3-4), the following are a summary of the generic findings or observations for most of the KZN IDPs under each category of the KPAs:

KPA: Municipal Transformation and Institutional Development

- Effective usage of local structures and IDP Forum to advance integration and alignment of programs appeared to be a challenge in most municipalities. Comments from

municipalities are that these structures are not yet fully established and synchronized to the level where they are ready to deliberate on Integrated Development and Planning;

- Most municipalities provided no evidence to the existence or status of an organizational performance management system and individual performance management system; and
- Most IDPs don't show how municipalities are responding developmentally to the previous findings of the Auditor General. This information is generally available in the municipality; however, it was not articulated in the IDPs Bhengu (2008: 3-4).

Local Economic Development ought to be considered as an integrated approach to development in municipalities, as evidenced in the following excerpt.

KPA: Local Economic Development

- Draft IDPs did not show existing institutional arrangements and associated capacity to advance local economic development;
- Based on outcomes of the District Growth and Development Summits, most municipal IDPs were able to articulate their municipality's comparative and competitive advantages. Current reviews do not follow up on the resolutions taken and guide the strategic direction of economic development; and
- Draft IDPs are still silent on skills development Bhengu (2008: 3-4).

There is coherence between IDPs, municipal service delivery and infrastructure investment, as discussed in the following aspects of the report.

KPA: Basic Service Delivery and Infrastructure Investment

- Significant physical development interventions stated were not spatially referenced;
- The basis of Integration is the Spatial Development Framework which is an element of the IDP, should this element be weak, the impact through Municipal Infrastructure Grants roll-out might be compromised;
- Funds for services are regularly gazetted as per equitable share and/or conditional grants, yet their utilisation is not adequately reflected in IDPs, which makes reporting a huge problem;
- Most IDPs indicated the municipalities' direction with regard to individualized service provision and infrastructure investment remains a challenge;
- IDPs must be able to articulate which municipalities will be able to meet national targets; and
- Most municipalities were able to outline the status of their water services development plans Bhengu (2008: 3-4).

Municipal financing is a definitional framing in developing IDPs and remains a key challenge for many municipalities, as reflected in the next discussion.

KPA: Municipal Financial Viability and Financial Management

- Need for a comprehensive financial strategy and plan that will include where the municipality is now, where it wants to be in the future, and the gaps, as well as a strategy of how to eliminate the gaps;
- Most municipalities had no access to MTEFs of government departments, public entities and state owned enterprises when developing their IDPs; and
- Draft IDPs did not show how municipalities are responding to MFMA compliance requirements eg. submission of expenditure reports Bhengu (2008: 3-4).

There is coherence between good governance and community participation and community management, which must be visible in IDPs. The next discussion highlights these key aspects.

KPA: Good Governance and Community Participation

- Need for the development of community safety plans for public participation processes;
- Most draft IDPs are starting to reflect an increased involvement of community structures in the development of IDPs and a diminished involvement of external specialists and consultants;
- Need for evidence of existing and functional community structures; and
- Alignment of IDP process plans between districts and local municipalities is still inadequate and is to be prioritized in the next round of IDPs Bhengu (2008: 3-4).

The challenge is to ensure that IDPs provide Spatial Development Frameworks, as evidenced in the following discussion.

KPA: Spatial Planning and Framework

- Spatial analysis was undertaken;
- Most Spatial Development Frameworks (SDFs) of district and local municipalities are not aligned and also did not comply with the provincial guidelines; and
- Many municipalities did not provide SDF maps as part of their draft IDPs Bhengu (2008: 3-4).

From the discussion on the status of municipal IDPs, there are severe anomalies which are of theoretical and practical concern for the sustainable future of municipalities and their governance.

Table 4.1 (which follows on the next page), of the aforesaid report provides an indication of the scoring awarded by the assessment teams in respect of each of the abovementioned KPAs for the

Draft 08/09 IDPs in KwaZulu-Natal. Furthermore, it shows a comparison between 07/08 and 08/09 performance of KZN Municipalities per KPA.

Table 4.1: Comparison of 2007/8 and 2008/9 performance of KZN Municipalities per KPAs

Key Performance Area	%	
	07/08	08/09
Municipal Transformation and Institutional Development	42.5%	52.3%
Service Delivery and Infrastructure Development	43.4%	59.6%
Local Economic Development	46.7%	54.5%
Financial Viability and Management	36.4%	50.9%
Good Governance and Public Participation	51.7%	68.7%
Spatial Representation of IDP & Enviro. Planning	56.1%	50.5%
KwaZulu-Natal Average	47.3%	54.7%

(Bhengu 2008: 5)

From this table, observations brought to light regarding performance of municipalities in KZN include two key aspects of significance: good governance and public participation, and spatial representation of IDP and environment planning. Clearly, these aspects are indicators for integrated development planning and form an integral part of the discussion in this research study. It is important to emphasize that the scores reflected in the Table above are used to identify areas of weakness, such as the ability of municipalities to report on matters of Municipal Financial Viability and Financial Management, identify the ability of municipalities to report on matters of Spatial Development and Environmental Planning where this year's performance is below the 07/08 assessment; and they will be adjusted once the adopted 08/09 IDPs have been submitted to the MEC for comment (Bhengu 2008: 5).

4.19.2 COMPARATIVE STATISTICAL ANALYSIS

The municipal level of seriousness about IDPs and provincial government support to municipal IDPs is starting to yield good results, as asserted by Bhengu (in LGTA 2008: 5), if one notes the following statistics:

- Sixty 2008/09 draft IDPs were ready for assessment this year, in contrast to last year when it was 58 draft IDPs;

- The lowest overall credibility score given this year is 29%, whereas last year it was 16%;
- The highest credibility score awarded this year is 88%, whereas last year it was 83%;
- The Provincial average has improved from 47% last year to 54.7% (later adjusted to 60%) this year; and
- Out of the 15 draft IDPs that were found to be very poor last year 12, are no longer in this category.

4.19.3 RECOMMENDATIONS ARISING FROM THE SURVEY OF PROVINCE-WIDE IDPs

According to Bhengu (2008: 6), the following recommendations were made in order to enhance the credibility of IDPs and facilitate future assessments:

- Representation from Municipalities be increased during these assessments next year so that the process becomes a credible peer review exercise;
- Decentralized approach used this year be applied in all future engagements. DPLG would be responsible for the development of a national framework whilst provinces continue to run these assessments independently;
- Current IDP assessment template be fixed for the next 3-5 years for consistency and continuous assessment purposes;
- Provincial Treasuries to distribute a spatial reflection of all provincial budgets to at least all Districts and Metro Municipalities for the MTEF budget cycle;
- Guideline or proforma be developed for municipalities on how IDPs should articulate the issues of IDP/MIG alignment, backlogs, and Integrated Infrastructure Investment Planning; and
- All provincial Departments be encouraged to appoint IDP champions who will liaise with municipalities on how their Department's area of interest should be covered in the IDPs. Those champions would also participate in the assessment of Draft IDPs as Departmental representatives.

4.19.4 ASSESSING VERTICAL INTEGRATION THROUGH INTEGRATED DEVELOPMENT PLANNING – THE ROLE OF THE PROVINCES

South Africa's choice for a system of concurrency rather than a system of strict division of responsibilities means that integration of the various spheres' activities on a particular function is essential for the success of the decentralized development effort. The provincial role in the IDP is that the creation of national and provincial departments of local government, and the location of monitoring and support of IDPs in these departments, are proving to be serious challenges to the integrative potential of IDPs. Local governments and consequently IDPs have become a line function of these particular departments. The real and actual content of IDPs should arise from interaction with line departments. In the same manner, provincial and national line departments should not regard the alignment of departmental policies with IDPs as a responsibility of the national and provincial departments for local government. The immense value of the IDP process and its invaluable source of information for planning and budgeting are paramount for a municipality. The absence of a clear overall provincial strategy in KwaZulu-Natal, for example, seriously impairs the exercise of judging IDPs against a province's mission. Overall, provincial strategies can do longer be drafted in isolation, but should take into account the groundwork done by municipal IDPs. It is equally important to view the role of local government on a horizontal level with regard to the IDP process Visser (2005: 231-2). A discussion on horizontal integration follows.

4.20 HORIZONTAL INTEGRATION AND CO-OPERATION OF MUNICIPALITIES' INTEGRATED DEVELOPMENT PLANS

The institutional design of local government should provide mechanisms according to which decentralized entities that operate at the same institutional level can integrate their policies. There are a number of provisions that deal with horizontal co-operation. The Local Government Municipal Structures Act instructs the conglomerate of municipalities (the district municipality and the local municipalities within the district) to co-operate with one another by assisting and supporting one another Visser (2005: 231-2).

Local municipalities may provide support to other local municipalities within the district upon request and within available capacity. Municipalities must ensure that their planning is aligned with, and complements the development plans and strategies of other affected municipalities so as to give effect to the principles of co-operative government. If a particular IDP does not measure up to the principle, there is a role for the MEC to resolve disputes or differences in connection with the IDPs of different municipalities. This could take the form of requesting a municipality to amend its IDP. Therefore, the Local Government Municipal Systems Act places horizontal co-operation within the context of co-operative government. The instruction to municipalities to consider each other's IDPs is more a tangible form of horizontal co-operation. little is known about the efforts of municipalities to adhere to this instruction. It is expected that, as the provincial assessment of IDPs matures into a system of integrated review, the horizontal integration will gain momentum (Visser 2005: 231-2).

4.21 CRITICAL ANALYSIS OF INTEGRATED DEVELOPMENT PLANNING AS A MEANS OF PUBLIC PARTICIPATION

The preceding discussion in this chapter demonstrated that legislation requires development planning to be participatory, as well as a process that incorporates the voices of the communities affected by planning initiatives. It is common knowledge that the top-down approach to municipal leadership and policy-making has failed to promote development and improve the lives of poor communities. According to Pienaar in Mngxali (2006: 6), consultation and participation is at the heart of planning and should not be seen as a distraction. The Education and Training Unit (ETU) for Democracy and Development (<http://www.wetu.org.za>) in Mngxali (2006: 6) establishes the importance of participation in planning and highlights the following list of benefits:

- Better understanding of the strategy and plans;
- Increased commitment and support for achieving them;
- Better decisions in the planning process because of a wider range of relevant input;
- More relevant decisions because they are based on experience and local knowledge;
- More efficient and better implementation through increased understanding and commitment;

- More sustainable gains because of the increased commitment, skills and understanding developed in the target community;
- Better accountability in making information and decision-making power available to a wider group of people, and
- Improved equity through carefully ensuring that the views, needs, concerns and interests of less powerful and articulate people and groups are heard and can influence decisions.

There is a conceptual link between decentralization, local democracy and public participation. These concepts are aptly integrated in a brief discussion on some lessons from the Sub-Saharan African region.

4.22 COMPARATIVE PERSPECTIVES ON DECENTRALISATION, LOCAL DEMOCRACY AND PUBLIC PARTICIPATION: LESSONS FROM SUB-SAHARAN AFRICA

Following the critical analysis of IDP in the research, as a means of public participation and an instrument of decentralized local governance, this study focuses very briefly on some key lessons from Sub-Saharan Africa. It also shares the commonality and viewpoints for enhancing municipal service delivery, invoking local democracy and increasing public participation. According to Conyers (2007: 18), decentralization is frequently advocated as a means of improving service delivery, although, the author asserts, that there is very little evidence to support this viewpoint. This paradox is true in Sub-Saharan Africa as advocated by Mangiza (in Conyers 2007: 18) that, “many African countries have jumped on the bandwagon of decentralization and participation without even assessing their own experiences”. The author further asserts that from the pre-colonial era to post independence, de-concentration and devolution, it is evident that decentralization is not new to Sub-Saharan Africa and has become an important part of the development agenda. The author emphasizes the following variables, which are noteworthy for improving public participation: access to local information, *locus* of decision-making power, resource availability and administrative performance. Ludeki (in Conyers 2007: 19) coheres that, “a country can adopt decentralized structures but fail to realize development”.

Olowu and Wunsch (2004: 29) emphasize that it is important to keep in mind that Africa has a long history of experience in and with local self-governance. Since the 1990's several African countries adopted policies that had the potential to create viable and effective local self-governing structures. Many African countries were centralized due to colonialism, but are now display an upsurge in democratic decentralization. Olowu et al (2004: 81) present five key aspects as preconditions for effective local governance as follows: local resources availability, local autonomy and authority, local accountability through open and public political processes and effective local institutions of collective choice.

According to Conyers (2007: 19), through collections of country studies, proceedings from regional conferences and systematic cross-country studies, some studies that provide detailed data on service delivery tend to focus on specific sectors or programmes in their respective countries. These include Mehrotra's 2006 analysis of health services in Benin, Guinea and Mali, Olowu and Wunsch's 2004 study of health services in Nigeria, Fass and Desloovere's 2004 account of education in Chad, studies in 2004 of Kenyas' Local Authority Transfer Fund by Mitullah and Smoke, and reports on Uganda's local government. Through these highlighted country cases, access to local information, *locus* of decision-making power, resource availability and administrative performance provide the hypothetical link between decentralization and improved service delivery.

Bardhan and Mookherjee (2006: 1) further support this view that decentralization is considered an important element of participatory democracy. These authors assert that in some countries such as Pakistan, devolution represented an instrument for consolidation of power of a non-democratic national government. In China, local governments were granted much economic but little political power. South Africa made the transition from undemocratic decentralization to decentralization under a democratic constitution.

Makara (in Conyers 2007: 22) prefers that Uganda illustrates that decentralization of responsibility for provision of most local public services to district councils has been accompanied by significant improvements in the quantity and quality of service provision, particularly in health and education. The Ugandan case illustrates that participation is a means of

enhancing the quality and relevance of development plans, and therefore significantly, the efficiency of resource use rather than as a democratic right or means of citizen empowerment. Several African countries (Mozambique, South Africa and Uganda), to name a few, have introduced quota systems that guarantee women's representation in local government – although in some instances, women have yet to have substantial influence over local decision-making.

Conyers (2007: 26-27) lists the following factors that undermine decentralization:

- inadequate devolution of power particularly over finance and staff;
- vague and/or inappropriate systems and procedures;
- inadequately qualified, underpaid and unmotivated staff;
- political interference, corruption and abuse of power; and
- lack of downward accountability

From the afore-going, it can be deduced that in many African countries, especially those with high levels of centralization and lack of accountability there are problems with decentralization which cannot be addressed in isolation. However, the need for downward accountability, democratic forms of local governance, mobilization of civil society organizations and community groups to hold local governments accountable is increasingly gaining momentum all around the world (Conyers 2007: 28). The key question put forward by Robinson (2007: 1) is: does the devolution of responsibility for service provision to elected local authorities improve the delivery of services to the poor? A real litmus test of the potential of decentralization lies in whether increased accountability and public participation improves service delivery and the material well-being of local communities.

4.23 CONCLUSION

This chapter has attempted to demonstrate that the system of developmental local government is not complete without effective public participation, which is intrinsically linked to the IDP. The need for public participation should not only be pursued because of a Constitutional mandate, but also to promote good corporate governance. The notion of participatory governance upholds accountability and promotes ongoing dialogue between local government and its citizens. It can

be overwhelmingly agreed that even a perfunctory literature review would reveal the synergistic relationship between IDP and public participation although it does not work well in all circumstances or situations. Even though public participation is an essential part of developmental local government, it is also one of the major challenges facing local government on a national and international perspective. The chapter concludes with a brief discussion on the relationship between decentralization, local democracy and public participation. It is evident in lessons from the relationship between decentralization, governance and service delivery that there is relevance and commonality of issues for the South African context. One of the successes of the IDP is to incorporate the views of the local citizenry in the formulation and development of plans. The attempt at theorising the discussion on public participation coheres with the empirical findings in Chapter Six, which analyses the co-relationships between the municipal council and communities on the one hand, and councillors and communities on the other. The co-existence of these different, yet significant networks, contributes to the productive capacities and potential of improved city management, thereby enhancing local delivery.

CHAPTER FIVE

RESEARCH DESIGN AND METHODOLOGY

5.1 INTRODUCTION

According to Fox & Bayat (2007: 5), research is a study or investigation which aims to discover facts or gain information. It is a universal activity by which a specific phenomenon in reality is studied objectively in order to create a valid conceptual understanding of that phenomenon. The process of research simply constitutes the formulation of a problem from which may flow a question or questions, and the methods used to gain the information needed to answer it or them.

The empirical investigation focuses on an investigation into the management of IDP and the Long-Term Development Framework with particular reference to eThekweni Municipality. This research is necessary to highlight the significance of public participation in IDP and to examine the extent of public participation in the current IDP of eThekweni Municipality. The results of this survey serve as a useful “barometer” to ascertain the stumbling blocks in public participation and to ensure that IDPs serve the interests of local communities rather than advance the mere interests of municipalities. The research also served to create an integrative approach to invoke enhanced public participation and to re-orientate the strategic intent of the municipality regarding its IDP.

The research problems in this study arose not only from personal observations and experiences of working with communities represented in the study, but from the identification of problems of public participation in IDPs, through the reading and examination of previously published historical, theoretical and empirical work in the field.

5.2 OBJECTIVES OF THE STUDY

This study was explored through the following key objectives:

- Understand the link between the IDP, vision and mission of eThekweni Municipality, and examine the impact of its plan within the Long-Term Development Framework;

- Examine the role of key stakeholders (council officials, citizens and councillors), and comment on the extent of participation, gauging their views through focused analysis; and
- Establish ways of enhancing public participation of these stakeholders with a view to improving the quality of municipal service delivery, and devise an integrated approach/model to address the local specificities regarding community engagement.

Within a field of systematic study, the above objectives are examined via the concepts, context and operations of IDPs *vis-à-vis* developmental Local Government, using a case study approach of eThekweni Municipality. Furthermore, the coalescing powers of both the municipality and the councillors are examined in addressing contestations around the role of public participation in development planning.

5.3 CRITICAL QUESTIONS TO BE ANSWERED IN THE RESEARCH

The study aims to answer the following critical questions:

- Who are the key stakeholders, and what is the extent of participation in the IDP of eThekweni Municipality?;
- What are the key aspects contributing to the long-term strategic planning objectives of the municipality?;
- What are the mechanisms to improve community participation in the IDP process of the municipality?; and
- Are there any models/approaches informing the strategic plan of the municipality?

5.4 LITERATURE REVIEW

According to Fox and Bayat (2007: 35), a literature review is a critical assessment and summary of a range of past and contemporary literature in a given area of knowledge. To this end, the researcher conducted an extensive literature review of contemporary literature that contributed to the field of study, and provided a synthesis of focused reading and a systemic approach to the research topic. The researcher then proceeded to analyse specific aspects relating to IDPs, in particular the significance of public participation, while viewing development planning from a municipal strategic perspective. The literature was carefully considered in the study and formed

the basis of a structured argument. The following types of literature review, according to Blanche, Durrheim and Painter (2006: 21) are considered significant for this research study. There are a number of standard types of literature reviews, each which gives a particular reading of a body of literature. The following literature reviews were used in this study:

- Historical reviews, which considered the chronological development of the literature, and a constructive analysis of the phases or stages of the development of local government in South Africa;
- Thematic reviews, which are structured around different themes or perspectives in the literature, and a focus on debates between different “schools” of thought. This perspective helped the researcher to look at the dynamism of the field of study (public administration) and contextualise local government within a post modernism era (New Public Management approach), as reflected in Chapter Three;
- Theoretical reviews, which trace theoretical developments in a particular area, often showing how each theory is supported by empirical evidence. This is reflected in the Chapter Six, which presents the analysis and discussion of the empirical study; and
- Empirical reviews, which attempt to summarise the empirical findings, often focusing on different methodologies used. The researcher used a variety of different, yet appropriate methodologies and research tools to ensure that the results have reliability and validity in the study.

5.5 RESEARCH DESIGN

The researcher set out to investigate the efficacy of public participation in the IDP of eThekweni Municipality. A random survey research design was used in KwaZulu-Natal to determine the impact of the IDP on households in five areas, namely, Chatsworth, Inanda, Umlazi, Pinetown and Mount Edgecombe. Before engaging in an exploratory study, the researcher interviewed key stakeholders in eThekweni Municipality and a group of community members to help construct a questionnaire. It was found out that while there were sectors of communities who understood some aspects of the IDP, others were not fully informed of the nature and scope of the IDP and their role in the process. This information was crucial to shaping the design of the research

questionnaire and to take the survey forward. The questionnaire served as an empirical framework and plan to guide the research activity and ensure that sound conclusions can be reached. According to Mouton & Marais (in Blanche et al 2006: 37), the aim of a research design is to plan and structure a given research in such a manner that the eventual validity of the research findings is maximised.

An empirical study was conducted with four hundred and sixty questionnaires using trained fieldworkers. The questionnaires were administered over a period of two months with the help of the fieldworkers. Three hundred questionnaires were administered in five communities, with sixty households per area, in Umlazi, Inanda, Pinetown, Chatsworth and Mount Edgecombe. One hundred councillors from the greater KwaZulu-Natal were part of the councillor survey. A further sixty officials from eThekweni Municipality's Town Planning and Integrated Development Planning Division were canvassed, to determine perceptions of the IDP held by residents, councillors and council officials of the eThekweni Municipality. A stratified random probability sample was taken from each group of respondents. This was done to ensure representation of respondents from the different areas.

5.6 ANALYSIS OF RESEARCH

The empirical research for this study was analysed using the Statistical Package for the Social Sciences, popularly known as SPSS. A brief background to the use of this software is provided before presenting the statistical analysis.

The letters "SPSS" mean something different today than they did when the product was conceived. When SPSS was founded in 1968, SPSS Chairman of the Board Norman H. Nie collaborated with C. Hadlai (Tex) Hull and Dale Bent, two of his fellow Stanford University graduate students, and developed the first SPSS program. They named it "Statistical Package for the Social Sciences," or "SPSS." As the "package" has grown into a multinational product serving a wider variety of users, and as the business evolved from its academic roots to becoming a leading enterprise analytical solutions provider today, one simply refers to "SPSS

Inc." for the company and "SPSS" for the original product" SPSS for Windows, Release 15.0. <http://www.spss.com/corpinfo/faqs.htm>.

SPSS is a computer application that provides statistical analysis of data. It allows for in-depth data access and preparation, analytical reporting, graphics and modelling. In analysing data, one of the most important aspects is to test for statistical correctness of models. The important question to answer here is: are statistical assumptions of models correct? To establish the answer to this enquiry, hypothesis testing was used to look for significance in relationships. This attempt resonated from the hypothesis presented in Chapter One of the research. The underlying constraint tends to rely on sampling.

5.7 RESEARCH METHODOLOGY

The broad methodology adopted to solve the main and sub-problems in this study are outlined below. The literature survey included responses from the Municipality's development process through identified literature contained in books, journals and articles, and to examine participation of the public in the strategic planning processes of the IDP.

5.7.1 DESIGN OF THE QUESTIONNAIRE

The empirical study consisted of data collection via a questionnaire survey. In this study, questionnaires were administered over a period of two months by five fieldworkers, as outlined above. The questionnaire was used to determine the degree of understanding of the IDP (see Appendix A). There were eight components, sections A to H, in the questionnaire:

Section A: This was the biographical section which sought information about the respondents. The questions posed related to the respondents' gender, race group, age, occupation, associations, qualification and ethnicity. The questions in the initial part of the survey were based on *independent variables*.

The subsequent sections of the survey focused on *dependent variables* where respondents provided responses on public participation in the IDP of eThekweni Municipality, and presented their views on the efficacy of the current policies, structures and processes for their involvement.

- Section B: This section examined participation in local government structures at eThekweni Municipality;
- Section C: The respondents provided information regarding their knowledge of the IDP;
- Section D: Respondents were asked to comment on the various stakeholders in the IDP;
- Section E: This section concentrated on funding the IDP and the integration between policies, integrated plans and the budget;
- Section F: Respondents were asked to comment on the mechanisms for facilitating/improving the IDP;
- Section G: Respondents commented on the first Five Year Plan (IDP) under review; and
- Section H: The focus of this section was on international trends in planning, managing and implementing development at a local level.

The instrument used in the survey consisted of a pre-coded questionnaire which was carefully constructed to facilitate maximum response and at the same time to elicit detailed responses on the research topic. The questionnaire was directed at communities and councillors in the greater Durban area, and council officials in the eThekweni Municipality. The researcher presented the analysis in a discursive manner, examining the extent of collective forms of public participation.

According to Willemse (1990: 9), the following requirements are to be taken into account when one is compiling a questionnaire:

- Confidentiality should be assured;
- Wherever possible, a choice of answers should be given to respondents;
- The questionnaire should be well laid out, with adequate space for completion of responses;
- Questions should not be offensive or intrusive;
- Questions should not give cause for emotive language or require any calculations, and
- Questions should be short and simple.

The researcher took cognisance of the above factors when designing the questionnaire. to gauge the accessibility and response-rate of the participants.

As noted, the questionnaire consisted of both independent and dependent variables. According to Bless and Higson-Smith (1995: 31), an independent variable is that factor that is measured, manipulated or selected by the researcher to determine its relationship to an observed phenomenon, which constitutes the dependent variable. The dependent variable is that factor that is observed and measured to determine the effect on it of the independent variable. The variations in the one are a function of the changes in the other. In this survey, independent variables included age group, gender, qualifications, occupation and affiliated associations. Dependent variables included current trends in participatory governance, a review of integrated development planning, challenges to public participation and governance, the political and management interface, and the role of developmental local government.

The questionnaire aimed to examine the management of the IDP and the Long-Term Development Framework (LTDF) at eThekweni Municipality. The intention is to evaluate the impact of public participation in the IDP of municipality with a view to improving this important relationship for enhanced local delivery. Given the focus of this study, the researcher examined the interdependencies of the key determinants of development planning that are associated with public participation.

5.8 CRITERIA FOR SELECTION OF RESEARCH ASSISTANTS

The researcher selected research assistants from the greater Durban area. The survey was controlled by the researcher from its inception. The main criteria for the selection of the field research assistants were that they should be:

- Fluent in Zulu and English;

According to Huysamen (1994: 130), the respondents' literacy levels must be taken into consideration when formulating the questionnaire and the respondent must be familiar with the subject matter. In many instances, respondents come from poor socio-economic backgrounds. To overcome the language barrier, the researcher used trained fieldworkers and conducted a mock session and induction with them prior to the commencement of the survey;

- Familiar with conducting interviews and administration of pre-coded

Questionnaires;

- In possession of sound communication and interpersonal skills; and
- Familiar with the field of study of public administration, IDP and developmental local government.

The research assistants were supervised by the researcher for the duration of the survey. They were briefed to ensure that the questionnaire was properly administered and duly completed. Sample copies of the questionnaires were given to the field research assistants with instructions to complete the questionnaire themselves to be fully *au fait* with the nature of the survey. This exercise was useful in determining the time taken to complete the questionnaires and to eliminate any lack of clarity of questions.

5.9 RESPONSE RATE

There were a 100% return rate of all questionnaires administered. Some senior officials from eThekweni Municipality were not readily available for discussion on the challenging aspects of management regarding the IDP. This impacted negatively in addressing some of the aims of the research.

5.10 STATISTICAL TECHNIQUE

Jinabhai (1998: 276) states that the objectives of the survey are to determine the type of statistical techniques to be used. Each question measures some relevant aspect of the survey and each question may generate one or more responses to a question. This gives rise to a variable which has certain characteristics and determines the type of statistical analysis to be applied.

A large number of statistical techniques are available for analysing data and the researcher is often confronted with the problem of selecting the most appropriate technique. The technique, therefore, selected to analyse the data is also dependent upon the nature of the survey undertaken, the characteristics of the population, the level of measurement and sample size (Jinabhai 1998: 276).

According to Welman & Kruger (1999: 212), statistical techniques cannot select themselves, interpret the results that they have obtained, or draw conclusions on behalf of the person applying them. The choice of the appropriate statistical techniques and the interpretation of the results obtained remained the exclusive responsibility of the researcher.

5.11 THEORY: CRONBACH'S ALPHA

According to the Academic Technology Services at the University of California, Los Angeles (UCLA Academic Technology Services: 2002), Cronbach's alpha measures how well a set of items (or variables) measures a single one-dimensional latent construct. When data have a multidimensional structure, Cronbach's alpha will usually be low. Technically speaking, Cronbach's alpha is not a statistical test, but a coefficient of reliability (or consistency).

Cronbach's alpha can be written as a function of the number of test items AND the average inter-correlation among the items. Below, for conceptual purposes, is formula for the standardized Cronbach's alpha:

$$\alpha = \frac{N \cdot \bar{r}}{1 + (N - 1) \cdot \bar{r}}$$

Here N is equal to the number of items and r-bar is the average inter-item correlation.

It is evident from this formula that if the number of items is increased, then Cronbach's alpha increases accordingly. Additionally, if the average inter-item correlation is low, alpha will be low. As the average inter-item correlation increases, Cronbach's alpha increases as well. This makes sense intuitively: if the inter-item correlations are high, there is evidence that the items are measuring the same underlying construct. This is really what is meant when someone says they have "high" or "good" reliability. The intention is to refer to the extent to which items measure a single one-dimensional latent construct <http://www.ats.ucla.edu/stat/spss/faq/alpha.html>.

A reliability coefficient of 0.70 or higher is considered as "acceptable". (UCLA Academic Technology Services, 2002).

5.12 SAMPLE

The population size for the three sectors of the respondents varied. A representative sample of sixty was chosen from each of the five residential areas. One hundred councillors and sixty council officials were surveyed.

5.13 RELIABILITY AND VALIDITY

In any research, the results must be reliable and valid. For the purposes of this research, the statistician conducted a reliability test before and after the survey was completed. The data collection instruments selected is considered reliable if they are able to produce analogous results in the same or similar circumstances, using the same or similar research groups. The results were valid because they measured the spatial scale of delivery and set out to measure the intended outcomes of urban management discourse (Fox & Bayat 2007: 18).

The following statistical approaches informed the study:

5.13.1 STATISTICAL APPROACH

Both Descriptive and Inferential Statistical analysis are used in this research, as reflected in the following discussion.

Descriptive statistics refers to the statistical techniques and methods designed to reduce sets of data and make interpretation easier. Reference is made to a number of methods and techniques where numerical data is collected. Descriptive statistics may therefore be defined as the collection, organising, presentation and analysis of data (Fox & Bayat 2007: 111).

Descriptive statistics describes the organising and summarising of quantitative data. Univariate and bivariate analysis are most appropriate for descriptive statistics. Univariate analysis is concerned with measures of central tendency and measures of dispersion. The most appropriate measure of central tendency for interval data is the mean, while the most appropriate measure of dispersion for interval data is the standard deviation. Bivariate analysis concerns the measurement of two variables at a time (Lind, Marchal and Mason 2001: 6). Descriptive

statistics is useful as it summarises results for an experiment, thereby also allowing for more constructive research. Descriptive data analysis aims to describe the data investigating the distribution of scores on each variable, and by determining whether the scores on different variables are related to each other (Blanche et al 2001: 193).

Linear correlation is an associated degree of measure between two interval variables. The level and the direction of any relationship between the perception and expectation variables are therefore described by the correlation coefficient calculated by correlating the two means of the variables (Lind et al 2001: 457-460).

The Pearson's r-value gives an indication as to the strength of the relationship between the variables. The closer values are to ± 1 , the stronger the relationship (both positive and negative). The closer the value is to 0, the weaker the relationship.

Inferential statistical analysis is concerned with the testing of hypothesis. The independent t-test is the most appropriate parametric test for a comparison of the means. This tests any significant difference between the two variables. Primary data were collated and analysed, and the concluding discussion thereafter based on the results obtained (Lind et al 2001: 348-351). Inferential statistical analysis allows the researcher to draw conclusions about populations from the sample data.

5.13.2 MEAN

The mean is the most commonly used measure of central tendency. It is where the sum of the values obtained is divided by the number of observations. This is also known as the average (Willemse 1990: 42).

5.13.3 MEDIAN

According to Willemse (1990: 45), the median is the value that occupies the middle position of a group or numbers in a numerical order. Furthermore, the median is the middle value when the data are arranged in order.

5.13.4 MODE

According to Folz (1996: 144), the mode is the value of the variable that occurs most frequently. The mode is the most common category listed in a data set.

5.13.5 STANDARD DEVIATION

The standard deviation is a measure of the spread of dispersion of a set of data. The more widely the values are spread, the larger the standard deviation. Normal distribution of data is therefore important for establishing a standard deviation. This means that most of the examples in a data set are close to the average or mean, while relatively few tend to one extreme or the other <http://www.robertniles.com/stats/stdev.shtml>.

5.13.6 HYPOTHESES TESTS: P-VALUES AND STATISTICAL SIGNIFICANCE

The most important application in the social sciences of the statistical theory around sampling distributions has been significance testing or statistical hypothesis testing. According to Fox & Bayat (2007: 17), hypotheses are beneficial, as it could enhance the research in the following ways:

- Predicting results forces researchers to consider seriously what the consecutive steps in the research will be, as far as aspects such as data collection, analysis techniques and statistical instruments are concerned;
- It could provide a framework of the eventual written report on the research results; and
- It could supply insight to the readers of the report about researchers' early anticipation of the research results.

Against this background of the significance of hypotheses, the researcher is interested in the outcome of a study on the impact of the IDP on public participation, and whether the IDP has translated into effective local delivery. The research therefore used hypotheses testing and focused the research into a number of sub-problems. The latter then isolated a relationship between two or more variables in one or more population groups.

The traditional approach to reporting a result requires a statement of statistical significance. A **p-value** is generated from a **test statistic**. A significant result is indicated with " $p < 0.05$ " (Lind et al 2001: 347). The choice of the value 0.05 as the level of significance is in fact totally arbitrary, but has become enshrined as a standard in social science statistics.

Hypothesis testing dominates the social science application of probability theory to an overwhelming extent. It is applied to nominal, ordinal, and interval and ratio data in the form of statistical tests (Blanche et al 2001: 222).

5.13.7 FACTOR ANALYSIS

Factor analysis is a statistical technique that is used to identify a relatively small number of factors in order to represent the relationship among a set of inter-related variables. The range of variables identified in the study and the inter-correlations between these variables is of significance in the research study. Given the wide range of variables, the researcher was interested to know whether these variables could be more meaningfully represented by a small number of underlying dimensions. Such variables can be most useful for future research into the subject matter. The researcher utilised the three steps in factor analysis: computing the inter-correlations between the variables, extracting initial factors and rotating the factors to obtain a clearer picture of the factor content (Blanch et al 2001: 248).

Factor analysis is a statistical technique whose main goal is data reduction. A typical use of factor analysis is in survey research, where the researcher wishes to represent a number of questions with a small number of hypothetical factors.

5.13.8 CHI-SQUARE

The researcher utilized chi-square tests to examine relationship between variables. According to Levine, Ramsey and Smidt (2001: 447-449), most statistical procedures are focused on the analysis of "quantitative" data. However, some of the variables in behavioural research are not quantitative. Instead, they are "qualitative" in nature. A qualitative variable is one where the possible "measurements" are not measurements as such but quantities or frequencies of things that occur in categories. A very useful test for this type of data is the Chi-square test. It uses counts or frequencies as data rather than means and standard deviations. The number of people or responses that fall into one category instead of another compared to some hypothesized or expected number is counted. The tests involving the use of chi-square are usually considered as part of the branch of nonparametric statistics since the statistics of category membership (nominal or ordinal measurement) are examined rather than the statistics of means and standard deviations (interval or ratio measurement). The assumption of normality is not required in chi-square tests.

5.13.9 GRAPHS AND BAR CHARTS

Graphs and charts assist to communicate information visually, simpler and at a glance <http://www.nces.ed.gov.nceskids>.

A bar chart is used for comparing two or more values. It is a way of summarizing a set of categorical data and illustrates the major features of the distribution of the data in a convenient form. It displays the data using a number of rectangles of the same width, each representing a particular category <http://www.stats.gla.ac.uk>.

Bar charts were used in the present study, to allow for ease of comparison between groups. These are a very common type of graph best suited for a qualitative independent variable. Since there is no uniform distance between levels of a qualitative variable, the discrete nature of the individual bars are well suited for this type of independent variable. Bar graphs allow for trends to be extracted between bars (e.g. showing that they are gradually getting longer or shorter).

5.13.10 PIE CHARTS

A pie chart is a circular chart divided into segments. Each segment represents a particular category. The area of each segment is proportional to the number of cases in that category, and together the segments create a full disk or pie chart (<http://www.en.wikipedia.org/wiki/piechart>).

5.13.11 CROSS TABULATIONS

Cross tabulation is a combination of two (or more) frequency tables arranged such that each cell in the resulting table represents a unique combination of specific values of cross tabulated variables. Thus, cross tabulation allows for the examination of observations that belong to specific categories on more than one variable. By examining these frequencies, relations can be identified between cross-tabulated variables.

5.14 STATISTICAL SOFTWARE

The analysis was performed using the following statistical software packages: SPSS and Stat graphics Centurion. SPSS (version 15), is a comprehensive set of programmes designed for use by social scientists. Although it provides a wide range of statistical options for design, analysis and presentation, the research was also analysed with the aid of Stat graphics Centurion.

5.15 PREPARATION, CODING, ENTERING AND CLEANING DATA

Data are the raw materials of any research. The data consisted of lists of numbers that represented scores on variables for the communities, councillors and council officials. Quantitative data are obtained through measurement. The raw data obtained from the questionnaires were transformed into an electronic format using a computer spreadsheet. The raw data for this questionnaire consisted of 460 completed questionnaires, each containing themes ranging from A to H (as highlighted earlier). Since raw data are unordered, contain errors and missing values, and must be transformed into an ordered error-free data set before they can

be analysed, the statistician prepared the data for coding, entering and cleaning. The statistician coded the data applying a set of rules to the data to transform information from one source to another. The data were then entered via numerical codes so that each row of data represented a unique case and each column represented a unique variable. Finally, the statistician entered all the data twice and then compared the two spreadsheets to eliminate coding errors before using them for statistical analysis.

5.16 LIMITATIONS IN THE EMPIRICAL SURVEY

Like any research, the researcher experienced some limitations in the empirical study. These were refusal to respond because of work pressures, intelligibility to respond to certain questions and lack of knowledge of specifics of the IDP.

There were a few instances where respondents did not complete a question either as a result of being unsure, or unfamiliar with specificities surrounding the IDP. Language and cultural differences can pose a problem when conducting field research. To overcome this limitation, the researcher employed field workers who are familiar with the language and cultural trends of the region, to enable the translation of questions in the questionnaires and to elicit responses from various households.

5.17 ETHICAL CONSIDERATIONS

The researcher followed the University's prescribed procedures for ethical clearance and received prior approval via an ethical clearance number from the Research Department of the University before commencing with the administration of the questionnaires. The researcher paid attention to the following ethical considerations:

- *Informed consent*

The researcher obtained the necessary permission from the respondents after they were thoroughly and truthfully informed about the purpose of the research and the investigation;

- *Right of privacy*

The respondents were assured of their right to privacy. They were informed that their identity would remain anonymous;

- *Protection from harm*

The respondents were given the assurance that they would be indemnified against any physical and emotional harm during the interview process; and

- *Involvement of the researcher*

The researcher did not administer the questionnaires herself; instead field workers were employed to administer the questionnaires. In this way, the researcher was not likely to manipulate the responses in any way, or resort to unethical tactics to elicit any responses. The administration of the questionnaires was conducted in an objective manner by independent field workers.

5.18 CONCLUSION

This chapter has focused on the research design, the objectives and key questions to be answered in this study. It highlighted the sampling procedure and the data collection techniques and methods. The chapter also unpacked the statistical techniques used for the analysis of the questions. The research design and methodology employed in the survey rendered a clear procedure in elucidating the objectives of the survey, the description of the target population and how the sample was drawn. According to the statistician, the information provided in this chapter and the subsequent chapter are appropriate to the results obtained and the research methodology used.

The following chapter will provide an analysis of the questionnaires. As noted, the data were analysed with the aid of the SPSS programme, which allowed for the application of the appropriate statistical tests used in this type of research. Finally, the analysis of the questionnaires was conducted by the researcher, with special assistance from a qualified and professional statistician, and under the guidance of the promoter.

CHAPTER SIX

RESEARCH ANALYSIS AND DISCUSSION

6.1 INTRODUCTION

In Chapter Six, the findings of the research survey is presented and discussed. Three sets of questionnaires were administered to three categories of role-players in the IDP process, namely: council officials from eThekweni Municipality, residents from five local areas within the greater Metropolitan area of Durban and local councillors who represent various constituencies. The findings are presented in graphic illustrations using descriptive statistics to simplify the presentation of data and to simplify the analysis. Furthermore, the research attempted to examine significant relationship between variables and to present these findings to support the key objectives presented in Chapter One of the research. The null hypothesis revealed that communities view the role played by the council officials and councillors in the IDP process as significant contributions to the vision, and a common implementation approach is of immeasurable value to take public participation forward. The analysis was presented using these three categories of role-players, and wherever possible, a summary of each categories response is captured in table and graph formats.

A reliability test was conducted using Cronbach's Alpha Theory, which theoretical summary is presented in the previous chapter. A succinct discussion regarding the reliability test is presented hereunder.

6.2 RELIABILITY

The statistician conducted a reliability test *a-priori* and *ex-post facto* on the survey to gauge the level of reliability of the scores. The following reflects the results of a reliability test after the scores were analysed, interpreted and grouped together. Through Cronbach's Alpha Theory, overall reliability for the different respondent groupings is depicted in Table 1 below.

Table 6.1: Overall Reliability for different respondents

Variable	Residents	Councillors	Council Officials
Familiarity with IDP aspects	0.851	0.428	0.800
Role of the council	0.949	0.677	0.934
IDP process for the role of councillors	0.916	0.275	0.863
IDP process for the role of municipal officials	0.943	0.187	0.873
IDP process for community participation	0.954	0.492	0.881
Rating of current participatory mechanisms in the IDP process of the municipality	0.951	0.312	0.951
Rating of mechanisms for facilitating IDP amongst communities and other stakeholders	0.954	0.458	0.93

The reliability analysis for residents and council officials in this study yielded values that are very high and acceptable. This implies that the respondents in this category scored similarly for the various factors.

However, the reliability scores for the councillors are low. The inconsistent scoring reflects that councillors have different views amongst themselves and between groupings as well. An analysis of the mean scores under descriptive statistics, and the correlation scores will give a clear indication as to why this is reflected so.

The two most important aspects of precision are **reliability** and **validity**. Reliability refers to the reproducibility of a measurement, and is quantified simply by taking several measurements on the same subjects. Poor reliability degrades the precision of a single measurement and reduces the ability to track changes in measurements in experimental studies. Validity refers to the agreement between the value of a measurement and its true value. It is quantified by comparing one's measurements with values that are as close to the true values as possible. Poor validity also

degrades the precision of a single measurement, and reduces the ability to characterize relationships between variables in descriptive studies.

6.3 DESCRIPTIVE STATISTICS

According to Fox and Bayat (2007: 111), descriptive statistics refer to statistical techniques and methods designed to reduce sets of data and make interpretation easier. Reference is actually made to a number of methods and techniques where numerical data is collected, displayed and analysed scientifically; from logical decisions, conclusions and recommendations may be made. Descriptive statistics may therefore be defined as the collection, organising, presentation and analysis of data. The questionnaire commenced with the biographical data of households which participated in the survey.

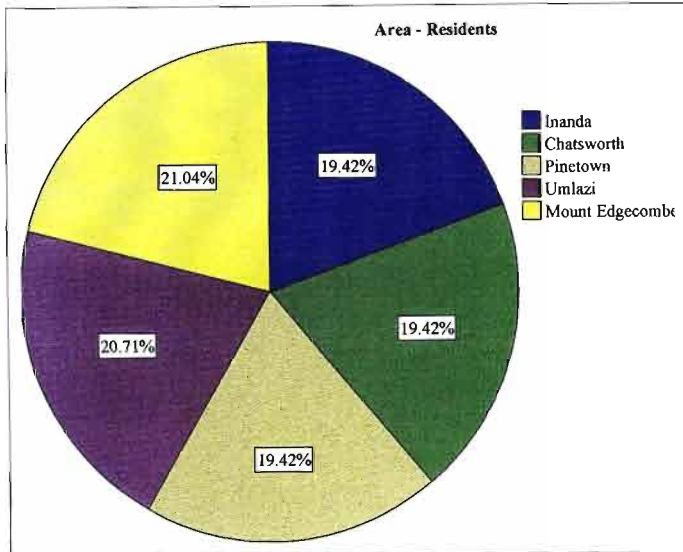
Residents:

The sample survey was drawn from five different areas, each consisting of sixty respondents. The locations chosen were representative of social status, and racial composition, as most respondents from a particular area were of a similar race group.

The results are presented below.

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Inanda	60	19.4	19.4	19.4
Chatsworth	60	19.4	19.4	38.8
Pinetown	60	19.4	19.4	58.3
Umlazi	64	20.7	20.7	79.0
Mount Edgecombe	65	21.0	21.0	100.0
Total	309	100.0	100.0	

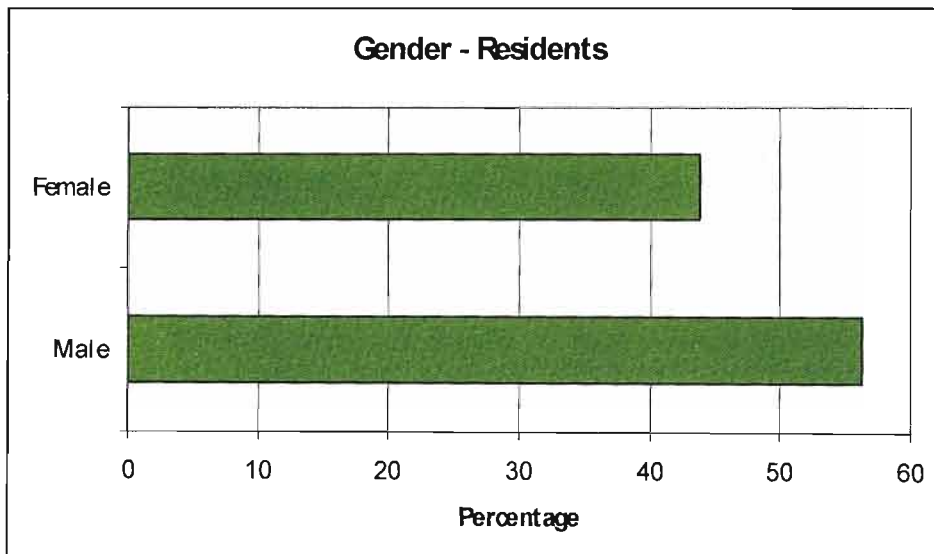
Figure 6.1: Racial and Area Composition of Respondents



Gender

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Male	172	55.7	56.2	56.2
	Female	134	43.4	43.8	100.0
	Total	306	99.0	100.0	
Missing	System	3	1.0		
Total		309	100.0		

Figure 6.2: Gender Distribution of Respondents

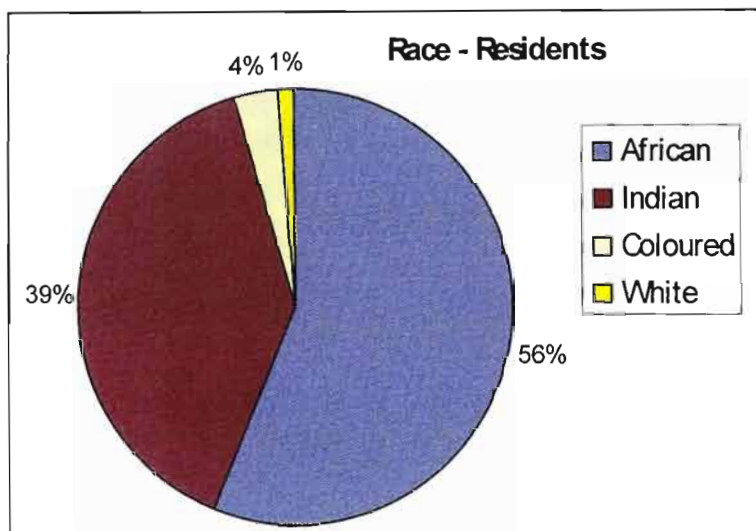


The male: female gender distribution was approximately in the ratio 5: 4.

Race

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	African	172	55.7	56.0	56.0
	Indian	121	39.2	39.4	95.4
	Coloured	11	3.6	3.6	99.0
	White	3	1.0	1.0	100.0
	Total	307	99.4	100.0	
Missing	System	2	.6		
Total		309	100.0		

Figure 6.3: Racial Composition of Respondents

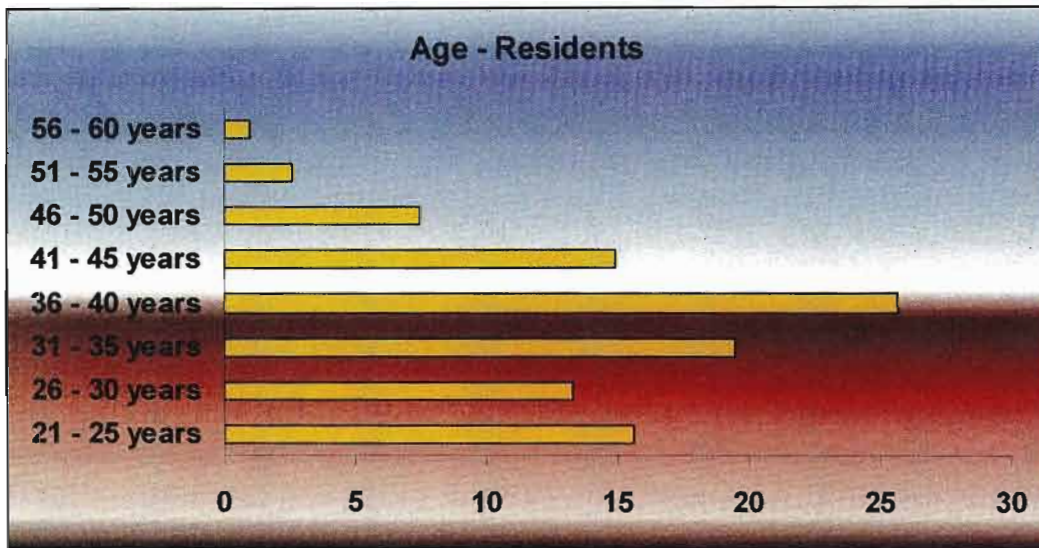


African and Indian respondents made up more than 95% of the respondents. Historically, and with recent movements of individuals to certain areas (urbanisation), this representation aligns itself closer to social standing than it does to racial profiles.

Age

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	21 - 25 years	48	15.5	15.6	15.6
	26 - 30 years	41	13.3	13.3	28.9
	31 - 35 years	60	19.4	19.5	48.4
	36 - 40 years	79	25.6	25.6	74.0
	41 - 45 years	46	14.9	14.9	89.0
	46 - 50 years	23	7.4	7.5	96.4
	51 - 55 years	8	2.6	2.6	99.0
	56 - 60 years	3	1.0	1.0	100.0
	Total	308	99.7	100.0	
Missing	System	1	.3		
Total		309	100.0		

Figure 6.4: Distribution of age of Respondents

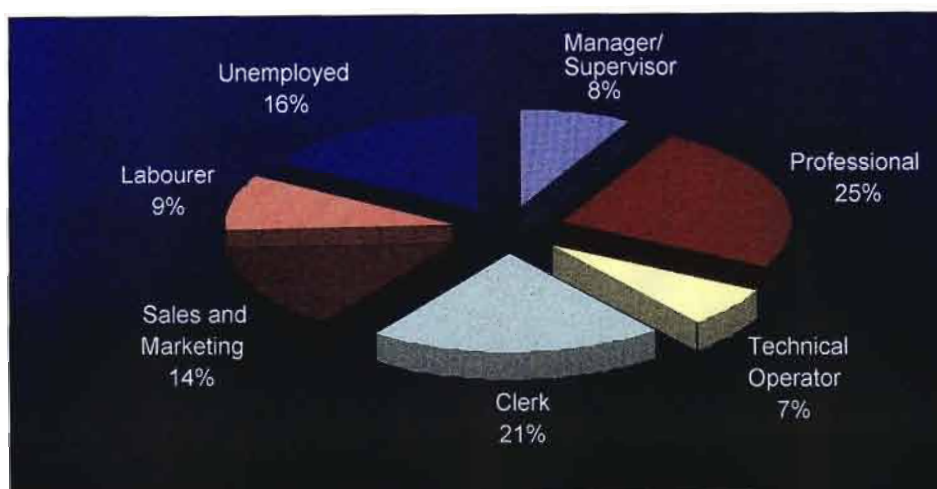


Of significance is that the distribution of age was almost evenly spread for respondents up to the age of 45 years.

Occupation

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Manager / Supervisor	23	7.4	7.4	7.4
	Professional	72	23.3	23.3	30.7
	Technical Operator	19	6.1	6.1	36.9
	Clerk	61	19.7	19.7	56.6
	Sales and Marketing	42	13.6	13.6	70.2
	Labourer	27	8.7	8.7	79.0
	Unemployed	48	15.5	15.5	94.5
	Other	17	5.5	5.5	100.0
	Total	309	100.0	100.0	

Figure 6.5: Qualifications of Respondents

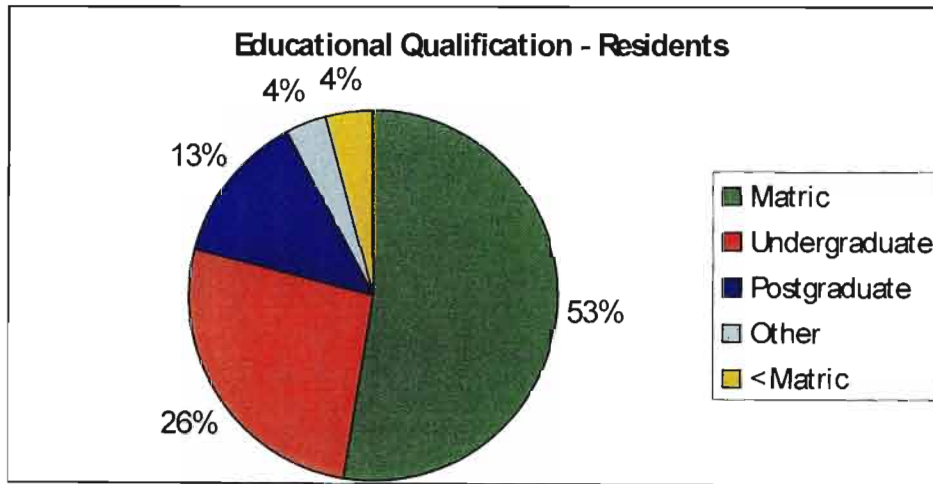


Slightly less than one-third of the respondents were professional (30.7%). This correlates closely with the qualifications that respondents possess. Although not conclusive in this study, the qualification of respondents could indicate that there are some sectors that are more aware of certain pertinent aspects of IDPs and its translated outcomes for municipal service delivery, and would therefore, become more questionable regarding their level of involvement in the participatory processes at local level.

Educational Qualifications

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Matric	162	52.4	52.6	52.6
	Undergraduate	81	26.2	26.3	78.9
	Postgraduate	41	13.3	13.3	92.2
	Other	11	3.6	3.6	95.8
	< Matric	13	4.2	4.2	100.0
	Total	308	99.7	100.0	
Missing	System	1	.3		
Total		309	100.0		

Figure 6.6: Educational Qualification of Residents

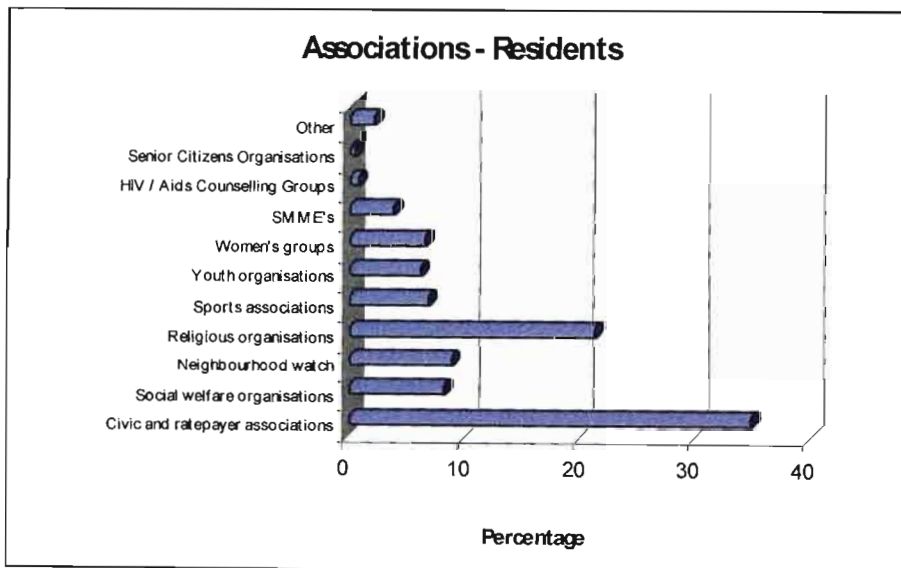


Slightly less than half of the residents (47%) had either an undergraduate or postgraduate qualification.

Associations

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Civic and ratepayer associations	102	33.0	35.1	35.1
	Social welfare organisations	24	7.8	8.2	43.3
	Neighbourhood watch	26	8.4	8.9	52.2
	Religious organisations	62	20.1	21.3	73.5
	Sports associations	20	6.5	6.9	80.4
	Youth organisations	18	5.8	6.2	86.6
	Women's groups	19	6.1	6.5	93.1
	SMME's	11	3.6	3.8	96.9
	HIV / Aids Counselling Groups	2	.6	.7	97.6
	Senior Citizens Organisations	1	.3	.3	97.9
	Other	6	1.9	2.1	100.0
	Total	291	94.2	100.0	
Missing	System	18	5.8		
Total		309	100.0		

Figure 6.7: Associations/Social Groupings



More than half of the respondents (55%) belonged to civic or religious organisations. The remaining respondents belonged to other social groupings.

Councillors:

Area

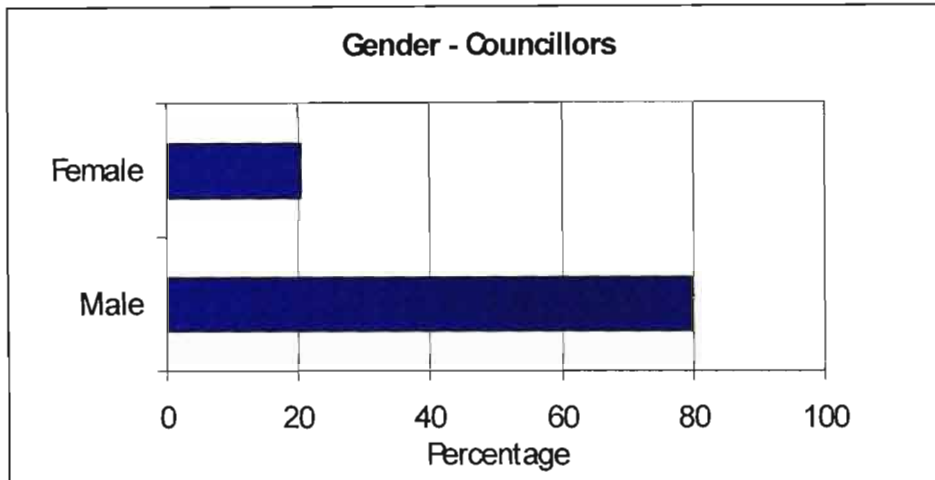
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Durban	40	40.0	40.0	40.0
	Ilovu	1	1.0	1.0	41.0
	Wentworth	2	2.0	2.0	43.0
	Umlazi	15	15.0	15.0	58.0
	Isipingo	3	3.0	3.0	61.0
	Chesterville	3	3.0	3.0	64.0
	Lamontville	4	4.0	4.0	68.0
	Folweni	4	4.0	4.0	72.0
	Kwa Mashu	3	3.0	3.0	75.0
	Clermont	4	4.0	4.0	79.0
	Masonic Grove	1	1.0	1.0	80.0
	Merebank	5	5.0	5.0	85.0
	Ntuzuma	1	1.0	1.0	86.0
	Umgababa	3	3.0	3.0	89.0
	Inanda	2	2.0	2.0	91.0
	Kwa Makhutha	2	2.0	2.0	93.0
	Umbumbulu	1	1.0	1.0	94.0
	Magabheni	2	2.0	2.0	96.0
	Mobeni	1	1.0	1.0	97.0
	Newlands West	1	1.0	1.0	98.0
	Clairwood	1	1.0	1.0	99.0
	Montclair	1	1.0	1.0	100.0
	Total	100	100.0	100.0	

The gender ratio of councillors was in the ratio of 4 males to every 1 female. A sample of 100 councillors was drawn from various areas within the greater Durban Metropolitan area.

Gender

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Male	79	79.0	79.8	79.8
	Female	20	20.0	20.2	100.0
	Total	99	99.0	100.0	
Missing	System	1	1.0		
Total		100	100.0		

Figure 6.8: Gender of Councillors

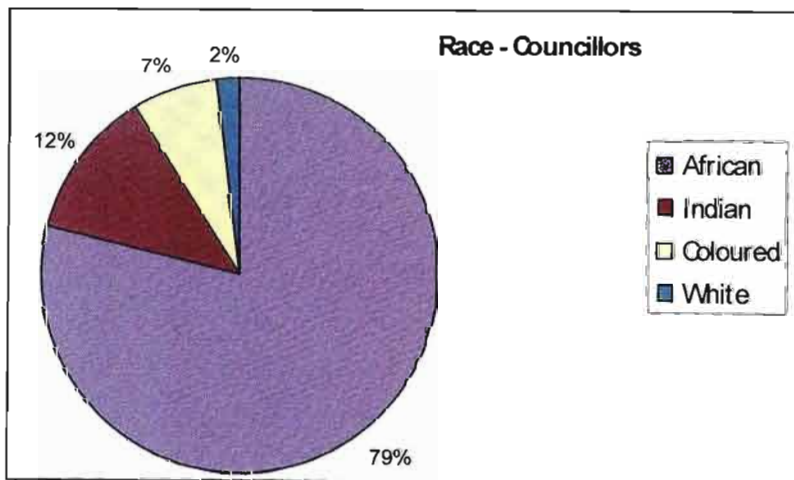


African councillors formed nearly 80% of the respondents, and many councillors were representative of the communities and constituencies in the areas chosen for the survey.

Race

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	African	79	79.0	79.0	79.0
	Indian	12	12.0	12.0	91.0
	Coloured	7	7.0	7.0	98.0
	White	2	2.0	2.0	100.0
	Total	100	100.0	100.0	

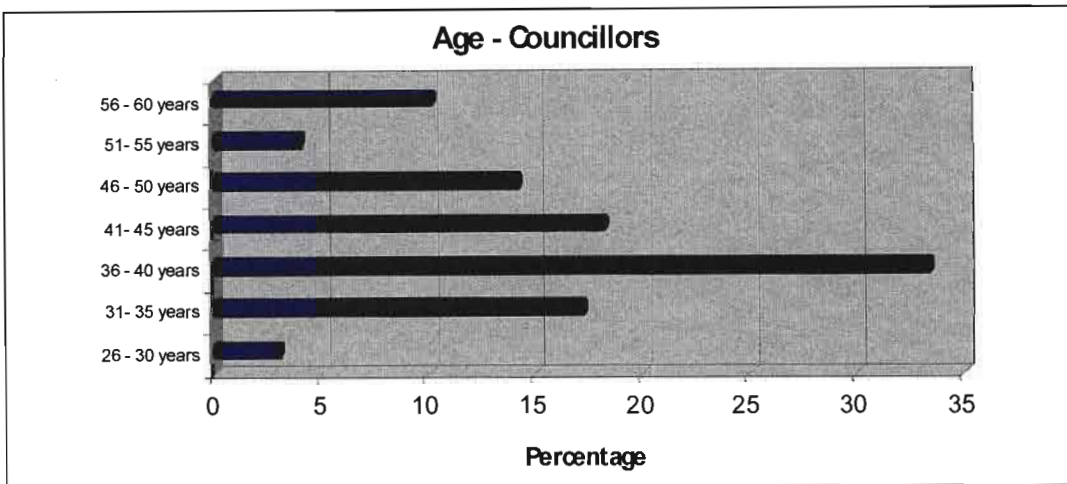
Figure 6.9: Race of Councillors



Age

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	26 - 30 years	3	3.0	3.0	3.0
	31 - 35 years	17	17.0	17.2	20.2
	36 - 40 years	33	33.0	33.3	53.5
	41 - 45 years	18	18.0	18.2	71.7
	46 - 50 years	14	14.0	14.1	85.9
	51 - 55 years	4	4.0	4.0	89.9
	56 - 60 years	10	10.0	10.1	100.0
	Total	99	99.0	100.0	
Missing	System	1	1.0		
Total		100	100.0		

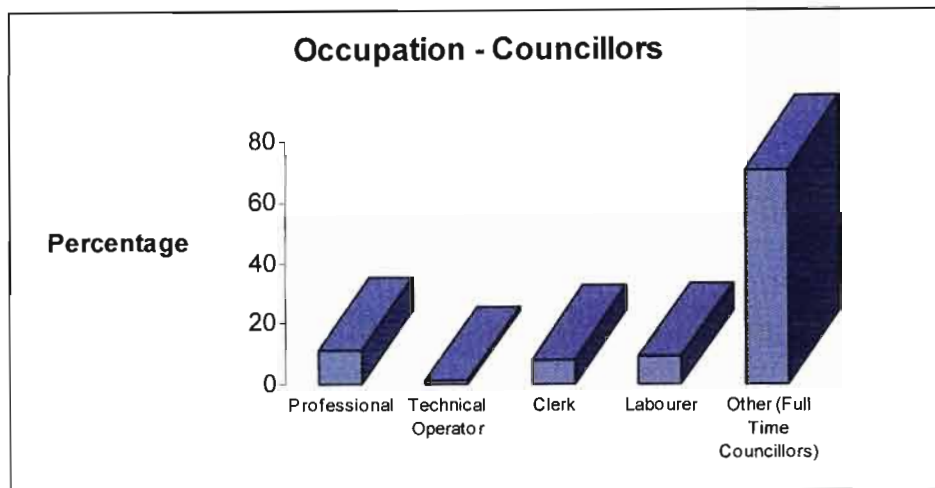
Figure 6.10: Age of Councillors



The majority of councillors (approximately 80%) were over the age of 35 years. The range of councillors in terms of seniority of age reveals that many councillors were experienced in local government affairs and the context of developmental local government in the current dispensation.

		Occupation			
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Professional	11	11.0	11.1	11.1
	Technical Operator	1	1.0	1.0	12.1
	Clerk	8	8.0	8.1	20.2
	Labourer	9	9.0	9.1	29.3
	Other	70	70.0	70.7	100.0
	Total	99	99.0	100.0	
Missing	System	1	1.0		
Total		100	100.0		

Figure 6.11: Occupation of Councillors



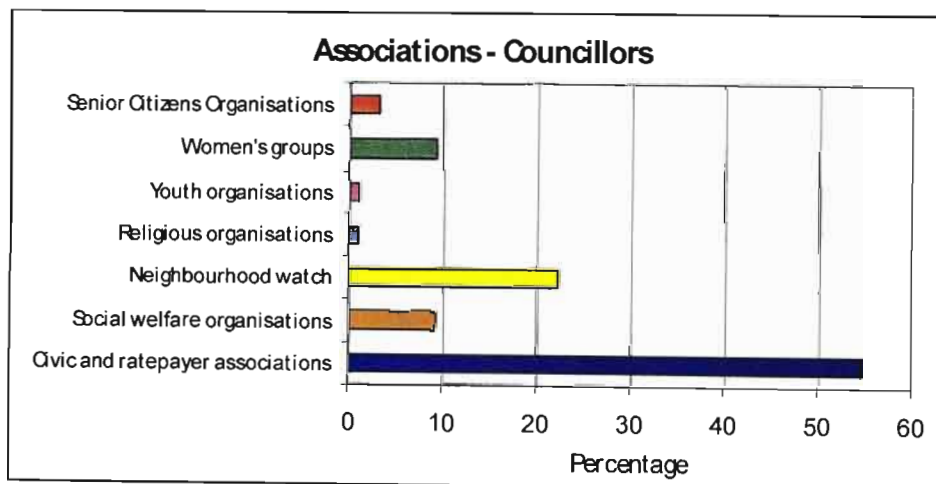
The majority of the councillors (71%) were employed solely as councillors. 11% of the overall number of councillor-respondents was professional individuals. The significant percentage of full-time councillors could translate to their level of commitment in advancing the political and socio-economic interests of their local communities. However, it is not conclusive whether surveys have been done to gauge the measure of effectiveness of councillors as elected and proportionally represented councillors. Therefore, in the absence of such results, although worth mentioning, this view may not be upheld.

More than 75% of the councillors belonged to either a civic association or a neighbourhood watch. The significance of this finding is that councillors are mainly involved in the civic interests of their local areas and are interested in community engagement via these forums. Furthermore, at least 22% is reflected in neighbourhood-watch endeavours which are an indication that councillors are perceived to be expressing a growing concern for the safety of their communities, as part of an integrated strategy on crime prevention.

Associations

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Civic and ratepayer associations	54	54.0	54.5	54.5
	Social welfare organisations	9	9.0	9.1	63.6
	Neighbourhood watch	22	22.0	22.2	85.9
	Religious organisations	1	1.0	1.0	86.9
	Youth organisations	1	1.0	1.0	87.9
	Women's groups	9	9.0	9.1	97.0
	Senior Citizens Organisations	3	3.0	3.0	100.0
	Total	99	99.0	100.0	
Missing	System	1	1.0		
Total		100	100.0		

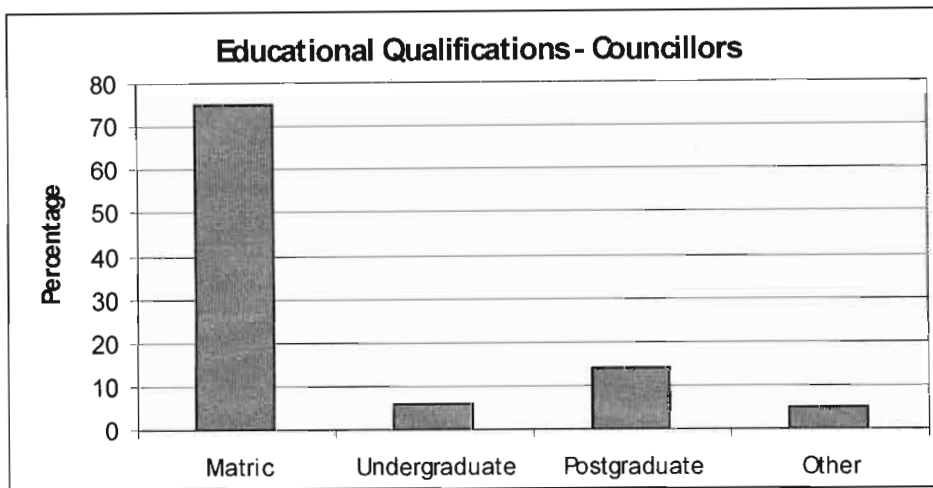
Figure 6.12: Associations to which Councillors belong



Educational Qualifications

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Matric	75	75.0	75.0	75.0
	Undergraduate	6	6.0	6.0	81.0
	Postgraduate	14	14.0	14.0	95.0
	Other	5	5.0	5.0	100.0
	Total	100	100.0	100.0	

Figure 6.13: Educational qualifications of Councillors



Eighty percent of the councillors had no qualification beyond Matric (Matric and Other). Of the remaining 20%, only 14% had a postgraduate degree. Many of the councillor positions were political appointments. It is also presumed that whilst some of the erstwhile appointment of councillors is noteworthy of their calling, through floor-crossing within the South African context of local government, there has been shifting of political party affiliations, which could affect the “level of trust” in political parties and councillors. This aspect has been sensationalised in the media recently.

What follows next is a summation or synthesis of the council officials’ position. According to Fox and Bayat (2007: 68), in research, it may be decided to use a specific perspective or combination of perspectives to draw responses to enquiry. One of the focus areas is critical theory which covers methodological implications and promotes certain methods above others. Case studies are often used in this content. In this research, a case study of eThekweni

Municipality informed the background to the questionnaire, and respondents were expected to respond to the questionnaire with particular reference to the municipality's IDP and review the net effect of public participation in the overall process. In this context, the case study was used both for qualitative and quantitative analysis.

Council Officials:

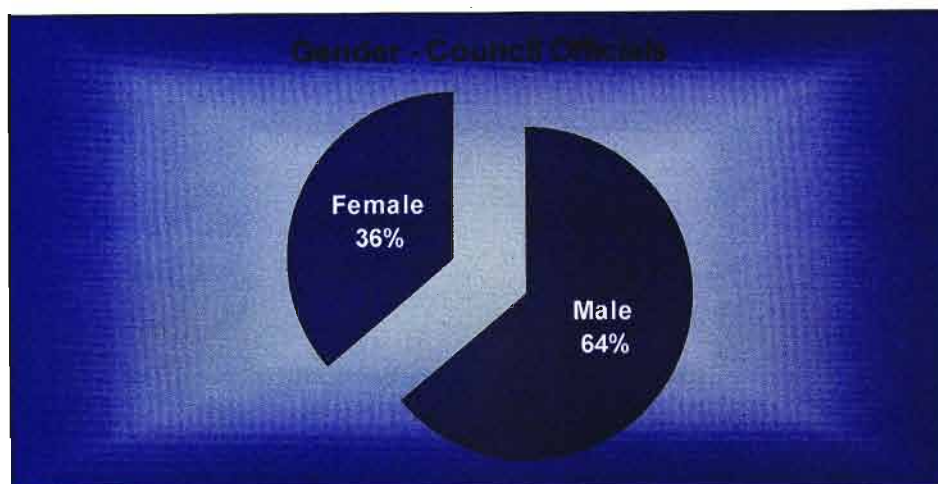
Area

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Kingsburgh	12	19.7	20.3	20.3
	Amanzitoti	4	6.6	6.8	27.1
	Springfield	9	14.8	15.3	42.4
	Durban	8	13.1	13.6	55.9
	Electricity Training Centre	23	37.7	39.0	94.9
	Shell House	1	1.6	1.7	96.6
	Winklespruit	1	1.6	1.7	98.3
	Ilovu	1	1.6	1.7	100.0
	Total	59	96.7	100.0	
Missing	System	2	3.3		
Total		61	100.0		

Gender

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Male	39	63.9	63.9	63.9
	Female	22	36.1	36.1	100.0
	Total	61	100.0	100.0	

Figure 6.14: Gender of Council Officials

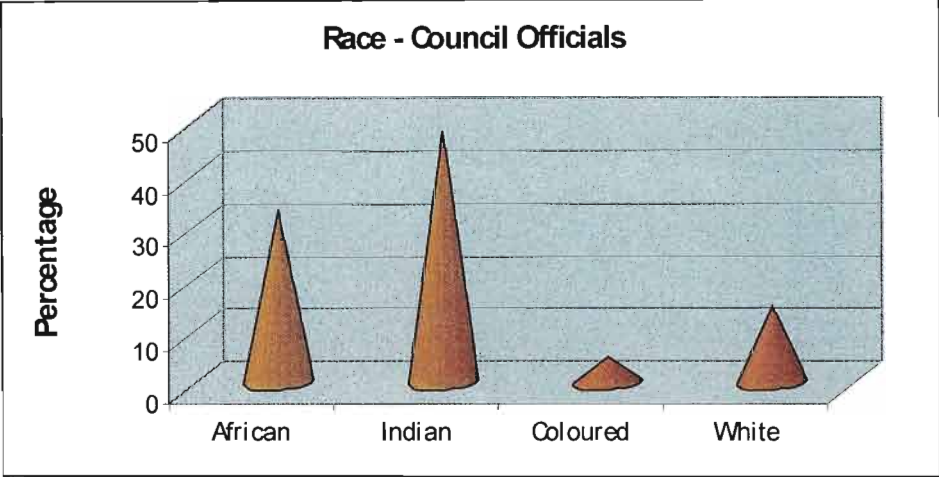


The gender distribution of council officials was in the ratio of approximately 2 males: 1 female. Although it is not conclusive from other surveys what statistics are currently available regarding gender representation, this finding is a significant indicator that females are being recognised in the pursuit of gender support and advancement of political careers. This milestone is an important aspect for the municipality in its gender advancement plan.

Race

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	African	20	32.8	32.8	32.8
	Indian	29	47.5	47.5	80.3
	Coloured	3	4.9	4.9	85.2
	White	9	14.8	14.8	100.0
	Total	61	100.0	100.0	

Figure 6.15: Racial Composition of Officials

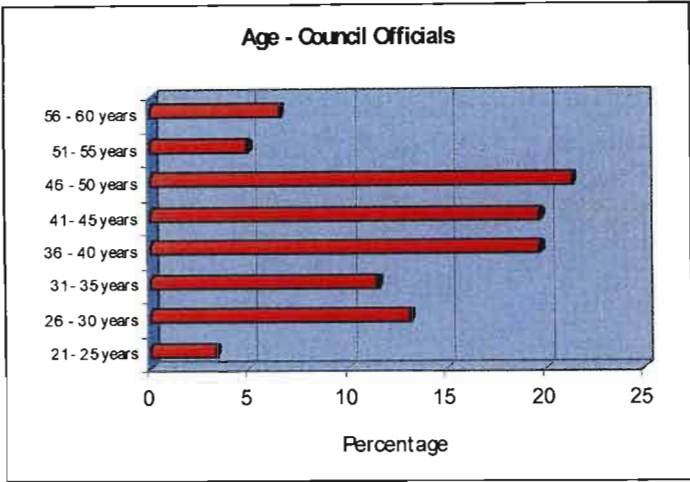


Nearly half of the respondents were Indian. An average of 30% of the respondents was African. This is reflective of the demographic profile of the communities in the areas.

Age

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid 21 - 25 years	2	3.3	3.3	3.3
26 - 30 years	8	13.1	13.1	16.4
31 - 35 years	7	11.5	11.5	27.9
36 - 40 years	12	19.7	19.7	47.5
41 - 45 years	12	19.7	19.7	67.2
46 - 50 years	13	21.3	21.3	88.5
51 - 55 years	3	4.9	4.9	93.4
56 - 60 years	4	6.6	6.6	100.0
Total	61	100.0	100.0	

Figure 6.16: Age of Council Officials

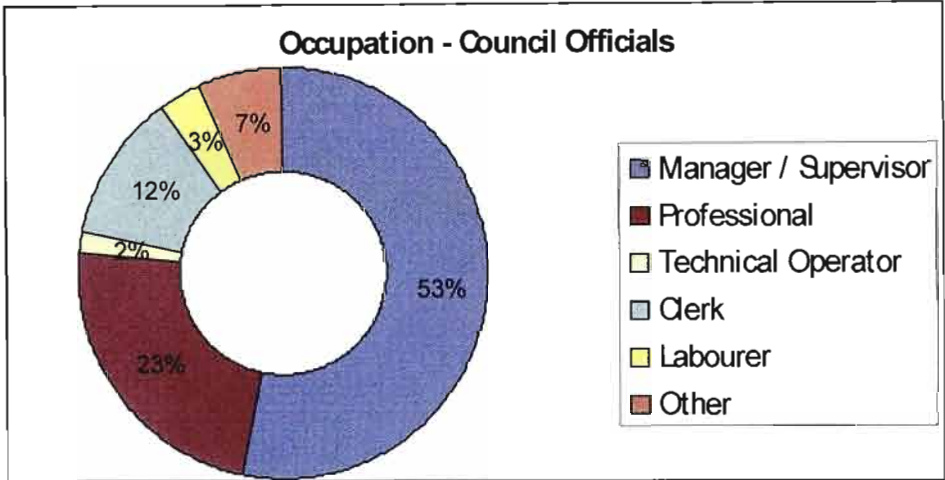


Nearly 72% of council officials were over the age of 35 years. The significance of this indicator is that many council officials, given their years of experience in council matters, may possess the embedded knowledge relating to the IDP and public participation processes in local government.

Occupation

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Manager / Supervisor	32	52.5	53.3	53.3
	Professional	14	23.0	23.3	76.7
	Technical Operator	1	1.6	1.7	78.3
	Clerk	7	11.5	11.7	90.0
	Labourer	2	3.3	3.3	93.3
	Other	4	6.6	6.7	100.0
	Total	60	98.4	100.0	
Missing	System	1	1.6		
Total		61	100.0		

Figure 6.17: Occupation of Council Officials

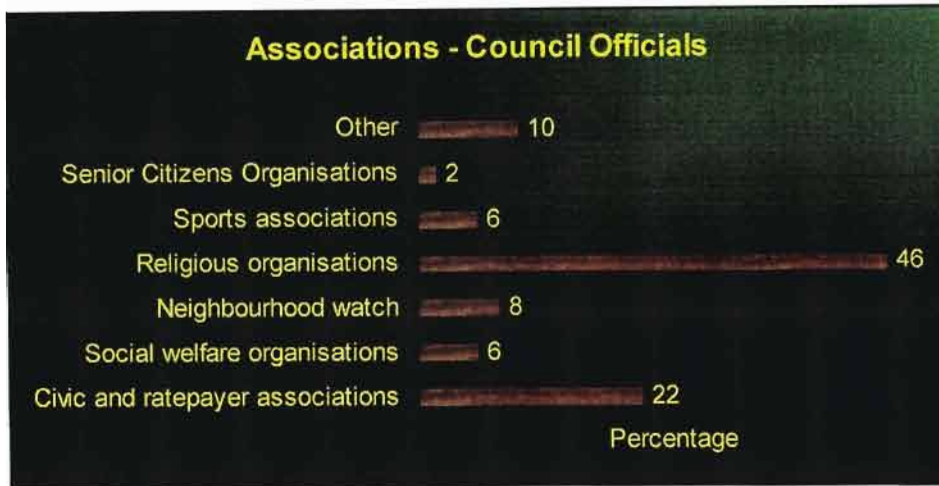


Three quarters of the respondents held senior positions as professionals or managers.

Associations

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Civic and ratepayer associations	11	18.0	22.0	22.0
	Social welfare organisations	3	4.9	6.0	28.0
	Neighbourhood watch	4	6.6	8.0	36.0
	Religious organisations	23	37.7	46.0	82.0
	Sports associations	3	4.9	6.0	88.0
	Senior Citizens Organisations	1	1.6	2.0	90.0
	Other	5	8.2	10.0	100.0
	Total	50	82.0	100.0	
Missing	System	11	18.0		
Total		61	100.0		

Figure 6.18: Associations of Council Officials

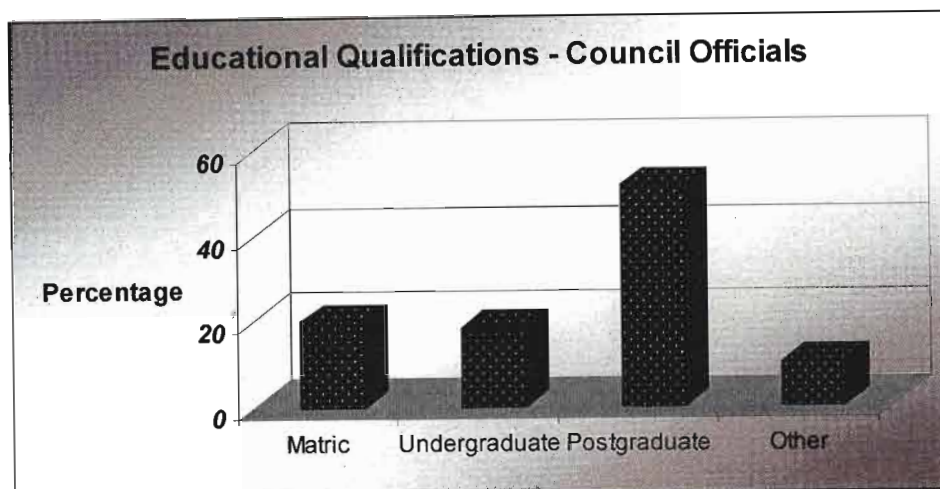


Nearly 70% of the respondents belonged to a civic association or a religious organisation. Approximately half of the respondents belonged to a religious organisation. This indicates that council officials are aware of, and can empathise with civic issues by being part of organised associations that impact on the lives of communities.

Educational Qualifications

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Matric	12	19.7	20.0	20.0
	Undergraduate	11	18.0	18.3	38.3
	Postgraduate	31	50.8	51.7	90.0
	Other	6	9.8	10.0	100.0
	Total	60	98.4	100.0	
Missing	System	1	1.6		
Total		61	100.0		

Figure 6.19: Educational Qualifications of Council Officials



More than half of the council officials held a post-graduate degree. This compares well to the 14% of councillors. This augurs well for the municipality in ensuring that its officials are well qualified which in turn, would add value to the performance output of the municipality in general.

6.4 FACTOR ANALYSIS

The statistician used factor analysis in this survey. The significance of using factor analysis is described below.

Why is factor analysis important?

Factor analysis is a statistical technique whose main goal is data reduction. A typical use of factor analysis is in survey research, where a researcher wishes to represent a number of questions with a small number of hypothetical factors. For example, as part of a national survey on political opinions, participants may answer three separate questions regarding environmental policy, reflecting issues at the local, state and national level. Each question, by itself, would be an inadequate measure of attitude towards environmental policy, but *together* they may provide a better measure of the attitude. Factor analysis can be used to establish whether the three measures do, in fact, measure the same thing. If so, they can then be combined to create a new

variable, a factor score variable that contains a score for each respondent on the factor. Factor techniques are applicable to a variety of situations. A researcher may want to know if the skills required to be a decathlete are as varied as the ten events, or if a small number of core skills are needed to be successful in a decathlon. One need not believe that factors actually exist in order to perform a factor analysis, but in practice the factors are usually interpreted, given names, and spoken of as real things.

- The rotation method used is the Varimax Method with Kaiser Normalisation. This is an orthogonal rotation method that minimises the number of variables that have high loadings on each factor. It simplifies the interpretation of the factors.
- Factor analysis/loading show inter-correlations between variables.

The *communality* for a given variable can be interpreted as the proportion of variation in that variable, explained by the factors that make up the variable. For example: For “*Aspects of the IDP that you are familiar with*” below, there are 2 components that makes up the variable (as indicated in the *rotated component matrix* table). The analysis is similar to that for multiple regressions: signage against the two common factors yields an $R^2 = 0.64$ (for residents), indicating that about 64% of the variation in signage is explained by the factor model. This argument can be extended to the rest of the model.

There are no scores for councillors, indicating that there is little or no variation in the manner of their scoring, as determined earlier. An assessment of how well this model is doing can be obtained from the communalities. The ideal is to obtain values that are close to one. The model explains most of the variation for those variables. In this case, for “*Aspects of the IDP that you are familiar with*”, the model is fairly decent as it explains approximately, on average, 64% of the variation for the 8 factors, for both residents and council officials.

This gives the percentage of variation explained in the model, and might be looked at as an overall assessment of the performance of the model. What is significant to note here, is that the individual communalities reveal how well the model is working for the individual variables, and the total communality offers an overall assessment of performance output.

The statistician used a triangulation method in the analysis, by presenting scores of data in a combined table of the rotated component matrix. According to Fox & Bayat (2007: 70), the triangulation method is associated with construct validity. When something, for example a variable, is measured with a particular instrument, that instrument must measure what it is supposed to measure. This requirement is known as the construct validity of the scores obtained on a measuring instrument. In many instances, the results in the research revealed significant recurring patterns, and in some instances, consistent regularities regarding views of residents, councillors and council officials regarding specific aspects of the IDP, were recorded.

Aspects of the IDP that you are familiar with:

A combined table of communalities for similar factors is given below:

Table 6.2: Familiarity with the IDP

	Residents	Councillors	Council Officials
C15.1	0.64	-	0.59
C15.2	0.76	-	0.65
C15.3	0.52	-	0.54
C15.4	0.58	-	0.55
C15.5	0.78	-	0.63
C15.6	0.54	-	0.62
C15.7	0.57	-	0.75
C15.8	0.74	-	0.76

On average, 64% of the variation for this variable can be explained by the factors that make up this variable. The main contributors for the residents were questions 15.2, 15.5 and 15.8.

For council officials, the highest scores were obtained for questions 15.7 (75%) and 15.8 (76%). What is interesting to note here is that council officials, in their interaction and involvement with IDPs, place emphasis on housing, property developments and provision of health care. This is in keeping with the strategic focus of eThekwin Municipality’s IDP and LTDF.

On an individual basis, 78% of the variation for the variable *Residents* can be explained by factor (question) C15.5. A similar argument can be extended for all values. Since almost 80% of the residents scored similarly, there was very little variation in the scores.

The higher the communality score, the better the explanation of the variation. The converse is also true. For example, for C15.3 for *Council Officials*, only 54% of the variation can be accounted for. The implication here is that on the issue of Strategic Budgeting and Municipal Planning, there are as many Council Officials who scored positively as there were those who scored negatively, resulting in large variations in the scores.

A combined table of the rotated component matrix is provided below:

Table 6.3: Triangulation of Familiarity with the IDP

Factors	Residents		Councillors	Council Officials	
	1	2		1	2
C15.1	0.10	0.79	-	-0.20	0.74
C15.2	0.22	0.84	-	0.20	0.78
C15.3	0.38	0.61	-	0.17	0.71
C15.4	0.72	0.25	-	0.36	0.65
C15.5	0.87	0.15	-	0.62	0.50
C15.6	0.65	0.34	-	0.75	0.21
C15.7	0.73	0.17	-	0.87	0.05
C15.8	0.84	0.17	-	0.87	0.01

It must be noted that the variable splits into 2 factors for both residents and council officials. This means that even though the variable is measuring a common theme, there are subtle underlying themes within the variable. In this instance, the first 3 or 4 questions tend to be measuring the financial aspects of the variable, while the later questions are concerned with infrastructure-related issues.

Some of the most significant aspects of IDPs are the focus on financial aspects and infrastructure-related aspects, as these indicators tend to add value to the strategic plan and performance targets of the municipality in relation to service delivery outputs and strategic outcomes.

Role of the Council:

A combined table of communalities for similar factors is given below:

Table 6.4: Views on Role of Council in the IDP Process

	Residents	Councillors	Council Officials
D17.1	0.74	0.40	0.70
D17.2	0.86	0.41	0.81
D17.3	0.88	0.37	0.85
D17.4	0.83	0.54	0.88
D17.5	0.85	0.49	0.75

The average scores for Residents and Council Officials are 0.83 and 0.80 respectively. This indicates a high degree of explanation for the variation in the factors for the variables. However, councillors only averaged about half of this (0.44). Throughout the analysis, councillors' scores varied the most and showed the least consistency for variables. Councillors' ratings of themselves and performances varied greatly as compared to that of residents and council officials. In effect, they were not consistent in their ratings of their responses.

A combined table of the rotated component matrix is given below:

Table 6.5: Triangular Views on Role of Council Officials in the IDP Process

	Residents	Councillors	Council Officials
D17.1	0.86	0.64	0.84
D17.2	0.93	0.64	0.90
D17.3	0.94	0.61	0.92
D17.4	0.91	0.74	0.94
D17.5	0.92	0.76	0.87

The matrix loaded perfectly for each of the factors. This implied that they measured the same common theme. However, the values for the councillors were appreciably smaller than those for the other groupings. The significance here is that all respondents scored similarly in terms of what they perceived the Role of the Council to be in the IDP process. The significance of this

finding is that both residents and councillors view the council as a means of implementing an integrated approach to social development, both as a process and an outcome. Furthermore, the IDP can be seen as an integrative instrument for deepening local democracy and enhancing empowerment. This perspective is viewed as an important finding for eThekweni Municipality.

IDP process for the role of Councillors:

A combined table of communalities for similar factors is given below:

Table 6.6: IDP Process for role of Councillors

	Residents	Councillors	Council Officials
D18.1	0.87	0.69	0.87
D18.2	0.87	0.67	0.85
D18.3	0.83	0.92	0.65

The average scores for the variables here were much closer, with the range only 0.13. This means that the variables measured similarly for the different factors.

A combined table of the rotated component matrix is given below:

Table 6.7: Triangulation of views for role of Councillors

	Residents	Councillors	Council Officials
D18.1	0.94	-0.22	0.93
D18.2	0.93	0.25	0.92
D18.3	0.91	0.96	0.81

Factors loaded perfectly again, but there was a dominant negative value for the councillors for the question about the role of councillors providing a mechanism for communicating with the community. This value indicates that there is a strong inverse relationship for the factor of the variable. The perception revealed here is that local residents want more co-operation, commitment and involvement of councillors in the IDP process. This is however, a fundamental challenge, on how to truly make the IDP a local expression of a councillor-wide plan with clearly defined accountabilities and responsibilities. This strategic aspect needs to be factored into the councillor-council interface, and has significance for the municipality in general.

IDP process for the role of Council Officials:

A combined table of communalities for similar factors is given below:

Table 6.8: IDP process for role of Council Officials

	Residents	Councillors	Council Officials
D19.1	0.89	0.34	0.72
D19.2	0.93	0.51	0.81
D19.3	0.88	0.29	0.88

Once again, scores are high for Residents and Council Officials, but much lower for Councillors. The average scores for the three variables above are 0.90; 0.38 and 0.80.

A combined table of the rotated component matrix is given below:

Table 6.9: Triangulation of views of Council Officials in the IDP Process

	Residents	Councillors	Council Officials
D19.1	0.94	0.58	0.85
D19.2	0.96	0.71	0.90
D19.3	0.94	0.54	0.94

All factors loaded perfectly against the variables in all three instances, implying that the respondents scored similarly for this variable.

IDP process for community participation:

A combined table of communalities for similar factors is given below:

Table 6.10: IDP Process for community participation

	Residents	Councillors	Council Officials
D20.1	0.85	0.77	0.70
D20.2	0.89	0.74	0.69
D20.3	0.90	0.62	0.82
D20.4	0.88	0.53	0.75

The average scores for the variables are 0.88; 0.67 and 0.74. The lower councillor scores resulted in the factors being split as a result of the greater degree of variation.

A combined table of the rotated component matrix is given below:

Table 6.11: Triangulation view for Community Participation in IDP Process

	Residents	Councillors		Council Officials
D20.1	0.92	0.88	-0.05	0.84
D20.2	0.94	-0.04	0.86	0.83
D20.3	0.95	0.74	0.27	0.91
D20.4	0.94	0.22	0.69	0.87

Factors for residents and council officials loaded perfectly along one factor. However, the responses of councillors split the factor in an alternating pattern, indicating that there are at least two variation themes being measured for the variable. Questions 20.1 and 20.3 measure communication channels whilst questions 20.2 and 20.4 measure performances. The significance of these two variables ie. communication and performance links up with the key objectives of this study in ensuring a shared vision and common implementation approach to the IDP and the long-term strategy.

Rating of current participatory mechanisms in the IDP process of the Municipality:

A combined table of communalities for similar factors is given below:

Table 6.12: Rating participatory mechanisms of Municipality

	Residents	Councillors	Council Officials
E24.1	0.78	0.84	0.69
E24.2	0.80	0.36	0.72
E24.3	0.79	0.67	0.74
E24.4	0.83	0.68	0.84
E24.5	0.81	0.52	0.93
E24.6	0.80	0.65	0.91

Since the view of low income households in rating the municipality are poor, as opposed to being effective in financial management, then there is a perception that these residents do not have much confidence in the way the municipality manages its finances or they are perhaps uninformed of what goes on in the financial affairs of the municipality. The large percentage of

households that are unsure indicates that there is a need for the municipality to provide more information for public consumption on its municipal budgeting process, annual reports and its transparent, accountable, and responsive-oriented budgeting: there is room for greater public participation here. This discussion links up with the first key objective of this study regarding as presented in Chapter One and emphasized in the introductory section of this chapter.

The average scores for residents and council officials are 0.80, while that for councillors is 0.62. A combined table of the rotated component matrix is given below:

Table 6.13: Triangulation of views – Participatory Mechanisms

	Residents	Councillors			Council Officials
E24.1	0.88	0.04	0.00	0.91	0.83
E24.2	0.90	0.60	-0.02	-0.01	0.85
E24.3	0.89	0.13	0.75	-0.31	0.86
E24.4	0.91	-0.08	0.75	0.35	0.92
E24.5	0.90	0.71	0.14	-0.04	0.96
E24.6	0.90	0.80	-0.05	0.06	0.95

Again, factors for residents and council Officials loaded perfectly along one factor. However, the same measurements for councillors resulted in the variable being split into three components. This means that there were 3 finer themes being measured for the variable.

The councillors divided the variable into the components of analysis, implementation and monitoring of the process. As a result of non-commonalities, the variable has been measured along the three themes above. The significance of this discussion links up with the third key objective of this study.

Rating of mechanisms for facilitating IDP amongst communities and other stakeholders:

A combined table of communalities for similar factors is given below:

Table 6.14: Mechanisms of facilitating the IDP

	Residents	Councillors	Council Officials
E25.1	0.71	0.47	0.65
E25.2	0.77	0.72	0.54
E25.3	0.78	0.56	0.80
E25.4	0.75	0.68	0.68
E25.5	0.75	0.51	0.69
E25.6	0.74	0.47	0.70
E25.7	0.76	0.63	0.71
E25.8	0.79	0.63	0.66

The councillors have the lowest communality score, whilst residents have the highest. The implication here is that the residents, and to an extent the council officials, are scoring along the same lines. They have the same opinions as to what the rating of mechanisms for facilitating IDP amongst communities and other stakeholders should be. The councillors on the other hand, scored somewhat differently, thereby resulting in greater variation.

A combined table of the rotated component matrix is given below:

Table 6.15: Triangulation of views for facilitating the IDP

	Residents	Councillors			Council Officials
E25.1	0.84	-0.06	0.69	-0.02	0.81
E25.2	0.88	0.18	0.82	0.13	0.74
E25.3	0.89	-0.15	0.32	0.66	0.90
E25.4	0.87	0.20	-0.20	0.78	0.82
E25.5	0.87	0.30	-0.50	0.41	0.83
E25.6	0.86	0.62	0.07	0.29	0.84
E25.7	0.87	0.77	-0.08	-0.09	0.84
E25.8	0.89	0.80	0.01	0.03	0.81

The factors for residents and council officials loaded perfectly along one factor. However, the same measurements for councillors resulted in the variable being split into three components. This means that there were 3 finer themes being measured for the variable (ie reform strategies for community upliftment, civic education for rural communities regarding the IDP and integrating rural development planning – all three themes are focus areas to be addressed in the key objectives of this research), and emphasize the practicalities of development planning.

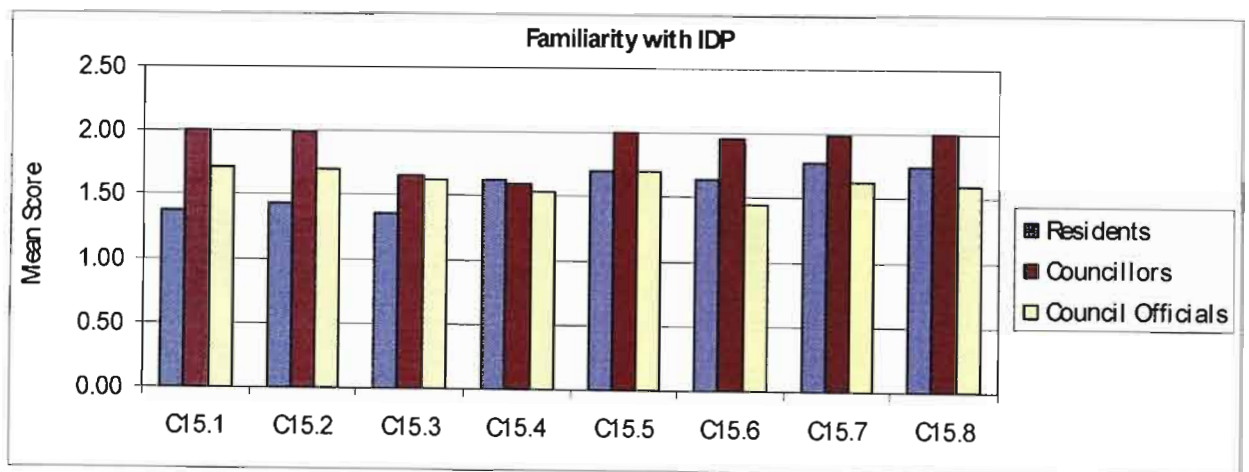
However, unlike the previous matrix, there is an associated grouping of immediate factors. For example, questions 25.1 and 25.2 form a sub-grouping, as do the other six questions, which are evenly divided into two groupings.

6.5 GRAPHICAL REPRESENTATIONS OF THE VARIABLES

A common trend that appears in this section of the analysis is that the councillors tend to score in the opposite manner to that of (especially) the residents. The implication is that even though the councillors purport to serve the interests of the communities, the expectations of the residents do not match the service delivery of the councillors.

Figure 6.20: Familiarity with IDP

Some common trends are as follows:

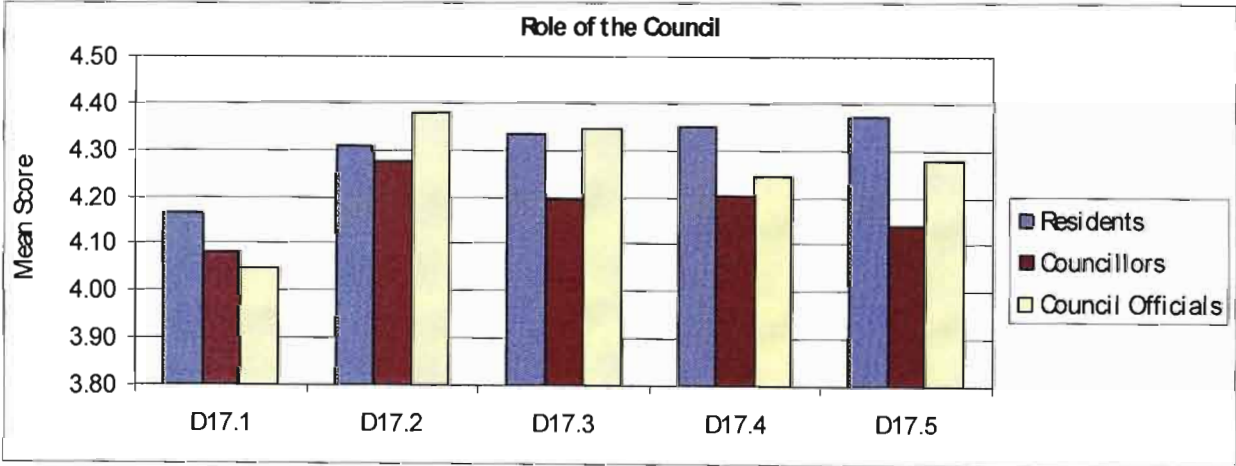


It is significant to note that some residents scored lowly in this category. This implies that the

sectors of local communities across the spectrum were not completely aware of the processes involved with the IDP.

The result reveals that in the IDP, local economic development projects and programmes, provision of basic services and community health centres including mobile clinics, feature as priorities that improve the quality of life of local residents. The residents obviously feel that these aspects, which should be the main thrust of the IDP, must be given adequate attention. Although the study is not based on the living standard measurement (LSM), a key factor that could emerge from this analysis as a determinant of participation is income and living standards, accessibility to the municipality, level of satisfaction with municipal service delivery and/or lack of knowledge of the local participatory processes within the IDP. Evidently, the municipality must do more to familiarise the communities with the IDP process – this point links up with the third key objective of this study. This has significance for the municipality to note in general.

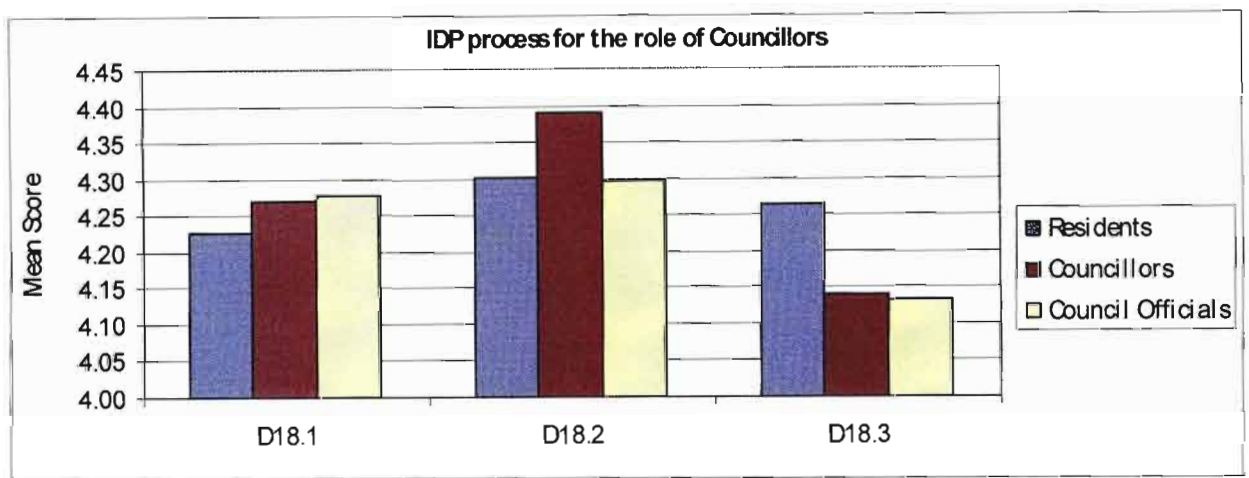
Figure 6.21: Role of Council



There is some level of agreement between the residents and council officials as their range scores are small. Apart from question 17.1, in all other instances councillors tended to score in the opposite direction. It seems that the emphasis of the councillors differ from those of the residents. It also seems that the councillors perceive that they are performing at levels higher than that at which the communities rate them.

Three emerging themes arose out of the measured variables: analysis, implementation and monitoring of the process of IDPs were considered significant for the municipality. The study also revealed that political differences amongst political parties affect collective and informed political decision-making both within the Council and in politicians' interactions with communities. This factor can create conflict between political and administrative leadership and impact negatively on service delivery.

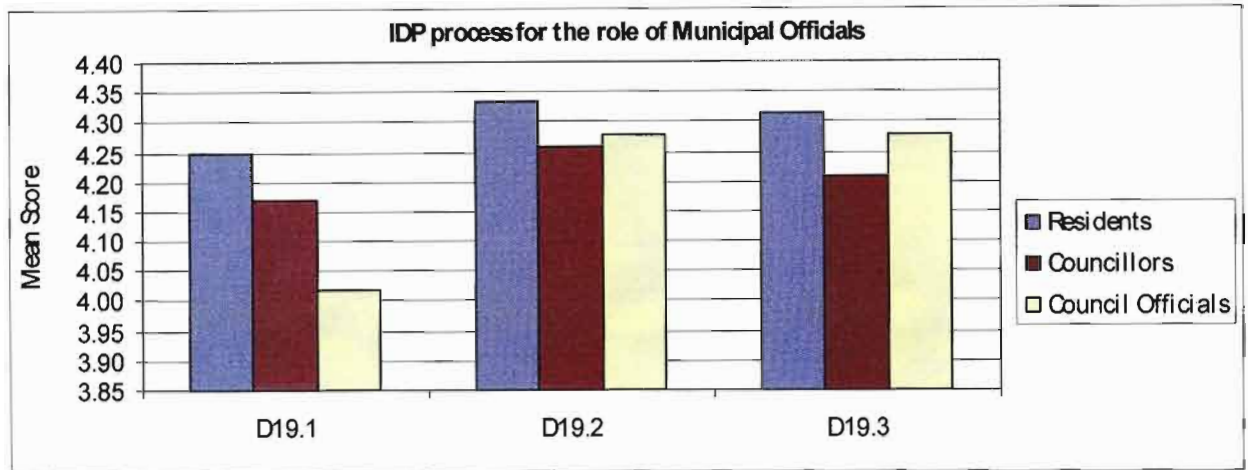
Figure 6.22: IDP process for the role of Councillors



Even though there are differences in the scores, the mean scores for all questions for all groupings are above 4.00. This means that the respondents are in agreement with the variable statements. There is a perceived lack of communication between council officials and councillors. Councillors also perceive issues differently from residents and the municipality. Many issues are due to the manner of interpretation of their roles within the IDP structures, and actual performance within these structures.

However, the gap analysis below offers a clearer picture as to where the differences lie. Gap analysis reveals that there is a need for greater involvement of all parties in the IDP process. A decentralised system of participatory governance is fundamental to successful recognition of the role of all key role-players. This view is in keeping with the third key objective of this research study.

Figure 6.23: IDP Process for the role of Municipal Officials

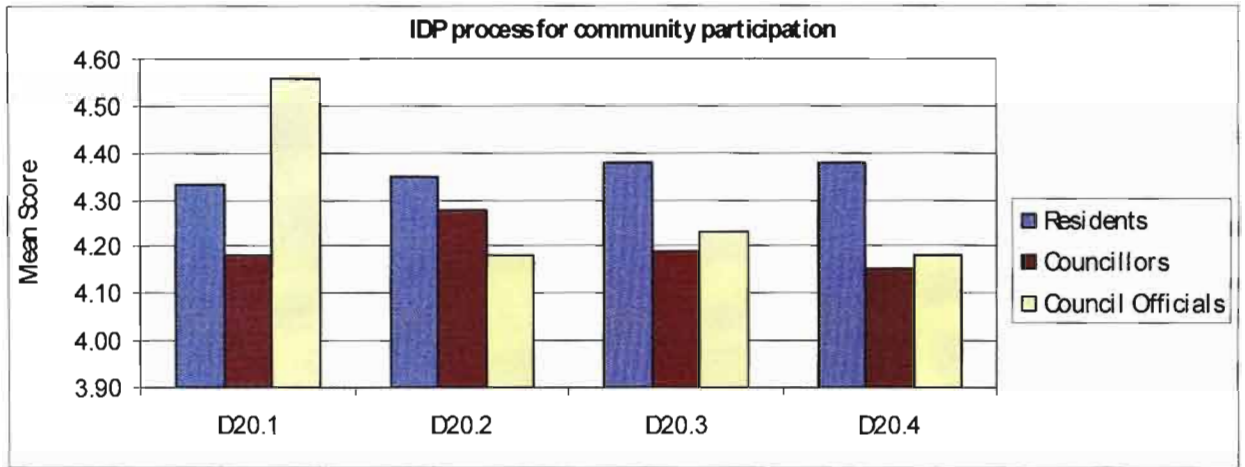


The statements are all in agreement, even though question 19.1 scores the lowest amongst all role-players. There is a perceived lack of communication between council officials and councillors.

In the analyses of the last few questions, there is an indication that the councillors perceive issues differently from residents and council officials. This may be due to the residents' manner of interpretation of their roles within the IDP structures, and their actual performance within these structures.

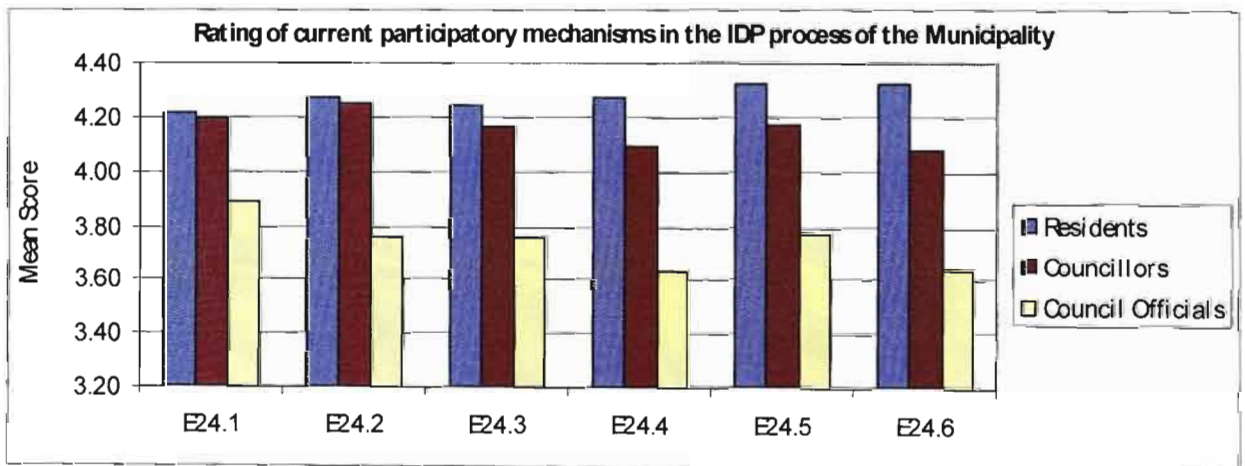
Some sort of intervention may be necessary to understand the way councillors perceive their roles, measure performance and implement strategies, to narrow the gap between themselves and residents and council officials.

Figure 6.24: IDP process for community participation



The mean responses for the first two questions are higher than the last two. The first two responses concerned residents’ input on issues of concern. The last two questions were concerned with communication mechanisms. Respondents believed that their actual/real needs in relation to service delivery were more important than just the mere mode of communication – this translates to outcomes-based governance in local government.

Figure 6.25: Participatory mechanisms of IDP in the Municipality



Residents and councillors scored along similar lines for this variable. Council officials’ scores were markedly lower than the other two groupings.

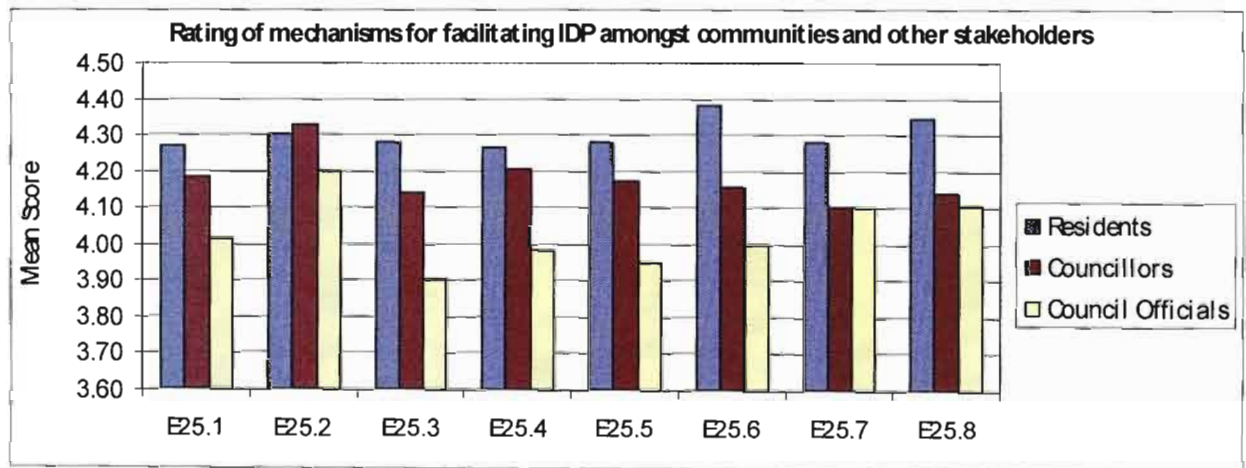
Pearson correlation scores (reflected in the table below) indicate that residents had inversely related opinions regarding the rating of current participatory mechanisms in the IDP process of the Municipality, compared to councillors and council officials.

Table 6.16: Pearson r-value – Participatory Mechanisms

Variables	Pearson r-value
Residents vs Councillors	-0.379
Residents vs Council Officials	-0.565
Councillors vs Council Officials	0.727

Councillors and council officials, however, showed a strong positive correlation, indicating that their thinking (scoring) was along the same lines.

Figure 6.26: Facilitating IDP among communities and other stakeholders



Even though all respondents agree that the IDP process is vital and necessary, the expectations of residents exceed those of the councillor and municipal officials.

The expectation of residents is that they expect the municipality to provide the mechanisms listed in this variable. The importance of this is clearly depicted in the graph above. Residents believe that more can be done to involve/include them in the IDP process. They are of the opinion that the process is not sufficiently consultative and representative of their views. This is of

significant notification for the municipality in general and local government overall.

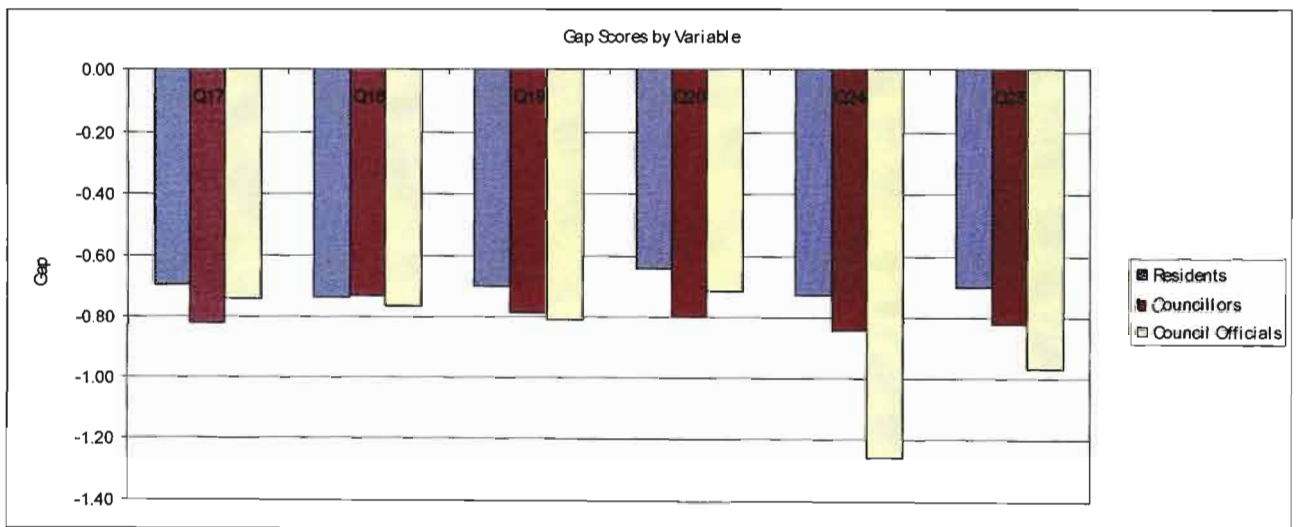
According to Hague, Harrop and Breslin in SAAPAM (1999: 171), interest groups and stakeholders form an important link between society and government. Therefore, the role of stakeholders should not underestimate in the equation relating to integrated planning and involvement of civil society.

The study revealed that low income households are more aware of the stakeholders involved in the IDP because of their level of interaction with interest groups and ratepayer associations, for instance, who assist on a needs basis. The necessity for reinforcing greater stakeholder interaction in view of huge disparities in lower income households is demonstrated in the study.

6.6 GAP ANALYSIS

The graph below is an average gap score per variable for each of the three types of respondents.

Figure 6.27: Triangulation of views regarding shortcomings in the IDP process



Most of the gaps are less than 1, except for the council officials' response question 24. This graph provides a template for identifying shortcomings in the process. A more detailed and specific graph will provide a more detailed breakdown, per variable and per factor. The category

with the largest gap scores is Familiarity with IDP aspects. The table below summarises the average score.

Residents	Councillors	Council Officials
-3.42	-3.10	-3.38

It is noted that even though the gaps are large, the gap for councillors is smaller than the gap for the other two groups of respondents. As analysed earlier, there is a tendency for councillors to score differently and oppositely, especially in relation to the resident's scores. The implication is that there is a need for greater involvement of all parties in the IDP process. The intention is to ensure a collective commitment, shared vision and common implementation strategy of the cumulative impact of integrated planning versus social development.

6.7 SUMMARY OF OTHER FACTORS

Below is a summary of opinions and comments made by the respondents in response to specific questions.

How would you rate the first Five-Year Plan regarding community participation of the Municipality's Long-Term Development Framework to become Africa's most caring and liveable City?

Table 6.17: Rating of first Five-Year Plan

	Residents	Councillors	Council Officials
Positive outcome	42.95	51.00	49.18
Negative outcome	2.95		8.20
Neither positive nor negative outcome	15.74	9.00	27.87
Unsure	38.36	40.00	14.75
Total	100.00	100.00	100.00

Almost half of the respondents were positive about community participation. This figure was determined as an overall average. It was noted that respondents from the historically Black areas

(Umlazi and Inanda) were more aware of factors than respondents from the historically Indian suburb of Chatsworth, or the more affluent community of Mount Edgecombe. The significant common denominator is that development needs are linked to a combination of social, economic, spatial, environmental and political factors.

Five Year review – Comments

Table 6.18: Comments of First Five-Year Review

	Residents	Councillors	Council Officials
Municipality has started to create supporting infrastructure such as malls	39.62	93.75	90.91
Municipality does not have the concerns of the community at heart	3.77		
Structures are in place but the unemployment rate is still high	56.60	6.25	9.09
Total	100.00	100.00	100.00

It is striking to note that the views of council employees (councillors and council officials) are markedly different from those of residents. Even though there is an acknowledgement that the council is attempting to generate infrastructure, almost 60% of the residents are concerned with the high unemployment rate. Most of these contributions were made from residents in the lower income areas. Many of the respondents have a poor educational background, as illustrated in the Biographical Section.

The residents from impoverished sectors of the community were more vocal about community participation as it relates to the impact of the IDP on their living standards.

Are you aware of any international trends impacting on local government, and in particular, on the eThekweni Municipality's development plan?

Table 6.19: International Trends impacting on local government

	Residents	Councillors	Council Officials
Yes	18.03	15.15	-
No	38.69	31.31	-
Not sure	43.28	53.54	-
Total	100.00	100.00	-

The most important international impact was identified as Tourism. This related to tourism in general, but more specifically to the 2010 World Cup, although some residents expressed concerns of how this international event would translate to improving their living standards, and whether the benefits of such an event would cascade to the grassroots of communities. There was also some evidence of equating IDP in South Africa to the notion of Local Agenda 21. At least 43% of residents and councillors were unsure what international trends are currently impacting on local government.

Other General Comments

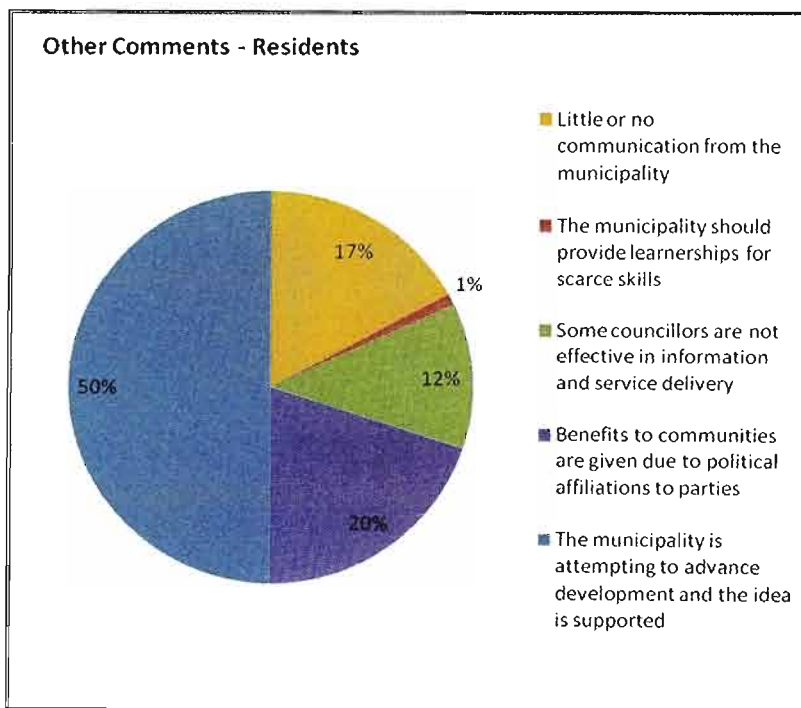
Table 6.20: International Impact: Tourism

	Residents	Councillors	Council Officials
Little or no communication from the municipality	17.11	-	-
Some councillors are not effective in information and service delivery	11.84	-	-
The municipality is attempting to advance development and the idea is supported	50.00	-	-
Benefits to communities are given due to political affiliations to parties	19.74	-	-
The municipality should provide learnerships for scarce skills	1.32	-	-
Total	100.00	-	-

Only 17% of the Resident respondents believed that there was no communication from the municipality regarding the IDP process. The majority of the positive comments are from the African communities of Umlazi and Inanda. Amongst these are the advances in development (such as infrastructure). The study revealed that at least 20% of residents believed that benefits were allocated to communities along party political lines and political affiliations of sectors of communities. They believed that politicking and operating within the political milieu had far reaching impacts on the kind of developments they would receive in their respective areas. It can be said that political will and political rhetoric relating to participatory governance is a force to be reckoned with. This view is highlighted upheld by the following, according to the City Press (29 July 2007: 23), that the ANC is of the opinion that widespread protests are politically motivated, but the poor say that they have been betrayed by politicians and the demonstrations are motivated by the slow pace of service delivery (<http://www.news24.com/citypress/home>).

Almost 12% indicated that some councillors were not efficient. A larger proportion scored similarly for question 18. The analyses of the results indicate that there are certain areas in which improvements can be made.

Figure 6.28: Other Comments by Residents



6.8 CROSS TABULATIONS

The information below is a summary of the cross tabulations for residents and various factors. Only significant r values have been highlighted. The rest imply that it is not significant.

Table 6.21: Rating of Citizens' Participation in the IDP Processes

If you participated in the IDP processes in the e-Thekwini Municipality, how would you rate the processes for your participation? * Area Rating Crosstabulation

		Area Rating			Total	
		Low Income	Middle Income	High Income		
If you participated in the IDP processes in the e-Thekwini Municipality, how would you rate the processes for your participation?	Strongly not successful	Count	5	1	0	6
		% of Total	2.0%	.4%	.0%	2.4%
	Not successful	Count	9	3	8	20
		% of Total	3.7%	1.2%	3.3%	8.1%
	Unsure	Count	67	27	47	141
		% of Total	27.2%	11.0%	19.1%	57.3%
	Successful	Count	51	24	3	78
		% of Total	20.7%	9.8%	1.2%	31.7%
	Strongly successful	Count	1	0	0	1
		% of Total	.4%	.0%	.0%	.4%
Total	Count	133	55	58	246	
	% of Total	54.1%	22.4%	23.6%	100.0%	

It is noted that 5.7% (combined for not successful) of the respondents have a definite view regarding this question. Whilst 21.3% (combined for successful) believed that the process had some success. Most of the contributions were from lower and middle income residents. Although income levels of communities are marginal in this research, it can be viewed as a determinant of citizen participation. The poverty gap in local communities can be cited as one of the major factors for non-participation of citizens in local government structures. The attempt is to focus on pro-poor strategies in addressing the development needs of communities in the long-term strategic plan of the municipality. This view links up with the long-term plan of the municipality through the three pillar strategy and strategic focus areas, as depicted and discussed in Chapter Two of the research.

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	-.174	.058	-2.760	.006 ^c
Ordinal by Ordinal	Spearman Correlation	-.202	.058	-3.226	.001 ^c
N of Valid Cases		246			

- a. Not assuming the null hypothesis.
- b. Using the asymptotic standard error assuming the null hypothesis.
- c. Based on normal approximation.

The Pearson correlation value ($r = -0.174$) is low and close to zero. That means that there is little or no relationship between the variables, that is, the process rating was independent of area type.

Aspects of the IDP you are familiar with: Vision and Mission of the IDP * Area Rating

Crosstab

			Area Rating			Total
			Low Income	Middle Income	High Income	
Aspects of the IDP are you familiar with: Vision and Mission of the IDP	Not aware	Count	62	30	51	143
		% of Total	27.8%	13.5%	22.9%	64.1%
	Aware	Count	44	28	8	80
		% of Total	19.7%	12.6%	3.6%	35.9%
Total		Count	106	58	59	223
		% of Total	47.5%	26.0%	26.5%	100.0%

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	-.215	.059	-3.266	.001 ^c
Ordinal by Ordinal	Spearman Correlation	-.198	.062	-2.999	.003 ^c
N of Valid Cases		223			

- a. Not assuming the null hypothesis.
- b. Using the asymptotic standard error assuming the null hypothesis.
- c. Based on normal approximation.

Sixty four percent are unaware of the vision and mission of the IDP, which could reflect that public participation is not as effective as it ought to be. Residents need to familiarise themselves

with the deliverables of the IDP to enable them to question key developmental outcomes. On the one hand, the IDP can be translated into meaningful delivery if residents are aware of the objectives, goals and strategic intention of the municipality. On the other hand, 36% of residents were aware of the broad mission, vision and goals of the IDP. The significance of this analysis reveals a need to bridge the communication divide regarding the basics of integrated planning and social development initiatives. This view holds significance for the municipality in its efforts to extend and expand its information roll-out to all sectors of the community.

Aspects of the IDP you are familiar with: Local Economic Development projects and programmes * Area Rating

Crosstab

			Area Rating			Total
			Low Income	Middle Income	High Income	
Aspects of the IDP are you familiar with: Local Economic Development projects and programmes	Not aware	Count	60	31	43	134
		% of Total	26.5%	13.7%	19.0%	59.3%
	Aware	Count	52	27	13	92
		% of Total	23.0%	11.9%	5.8%	40.7%
Total	Count	112	58	56	226	
	% of Total	49.6%	25.7%	24.8%	100.0%	

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	-.177	.062	-2.687	.008 ^c
Ordinal by Ordinal	Spearman Correlation	-.166	.064	-2.512	.013 ^c
N of Valid Cases		226			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

Approximately 59% of residents are unaware of local economic development projects and programmes, while 41% are aware of, and can identify with some of the projects in their local areas that reflect in the IDP. This is indicative of the fact that residents are either not aware of how the local projects add value to the IDP or there needs to be greater synthesis of the information for public consumption, and awareness of what the IDP is all about.

Aspects of the IDP you are familiar with: Strategic Budgeting and Municipal Planning *

Area Rating

Crosstab

			Area Rating			Total
			Low Income	Middle Income	High Income	
Aspects of the IDP are you familiar with: Strategic Budgeting and Municipal Planning	Not aware	Count	56	37	51	144
		% of Total	25.6%	16.9%	23.3%	65.8%
	Aware	Count	49	20	6	75
		% of Total	22.4%	9.1%	2.7%	34.2%
Total		Count	105	57	57	219
		% of Total	47.9%	26.0%	26.0%	100.0%

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	-.307	.057	-4.757	.000 ^c
Ordinal by Ordinal	Spearman Correlation	-.301	.059	-4.647	.000 ^c
N of Valid Cases		219			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

There is a weak negative significance in the relationship between Budgeting and Planning, and the area rating. That means that residents from the different areas do have some ideas about these variables. The low income residents have a greater awareness of the financial aspects of the IDP because of the net effect of effective financial management of the IDPs (translated into sustainable livelihood programmes and projects).

However, Schiersmidt (in Rabie and Uys 2008: 87) is of the view that the current reality in South African local government is that municipalities face increased pressure and reduced resources, which means that they have to deliver more and better services with less funds to their disposal.

Aspects of the IDP you are familiar with: Mega infrastructural projects such as hotels, conference facilities, sporting, cultural and religious facilities, transport and tourism *

Area Rating

Crosstab

			Area Rating			Total
			Low Income	Middle Income	High Income	
Aspects of the IDP are you familiar with: Mega infrastructural projects such as hotels, conference facilities, sporting, cultural and religious facilities, transport & tourism	Not aware	Count	48	18	34	100
		% of Total	19.9%	7.5%	14.1%	41.5%
	Aware	Count	73	40	28	141
		% of Total	30.3%	16.6%	11.6%	58.5%
Total		Count	121	58	62	241
		% of Total	50.2%	24.1%	25.7%	100.0%

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	-.106	.065	-1.641	.102 ^c
Ordinal by Ordinal	Spearman Correlation	-.092	.065	-1.421	.157 ^c
N of Valid Cases		241			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

A high percentage (30%) of residents is aware of the mega infrastructural projects as these impacts on the quality of their lives in their local areas. The IDPs strategic focus on such projects will invariably have a positive effect on the lives of lower income households. Most of the respondents who scored positively were from the African community.

Aspects of the IDP you are familiar with: Provision of infrastructure, ie electricity, water, sewerage and development of roads * Area Rating

Crosstab

		Area Rating			Total	
		Low Income	Middle Income	High Income		
Aspects of the IDP are you familiar with: Provision of infrastructure, ie electricity, water, sewerage and development of roads	Not aware	Count	30	10	33	73
		% of Total	12.4%	4.1%	13.7%	30.3%
	Aware	Count	94	47	27	168
		% of Total	39.0%	19.5%	11.2%	69.7%
Total		Count	124	57	60	241
		% of Total	51.5%	23.7%	24.9%	100.0%

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	-.243	.067	-3.870	.000 ^c
Ordinal by Ordinal	Spearman Correlation	-.220	.067	-3.493	.001 ^c
N of Valid Cases		241			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

The fact that 39% of residents are aware of the basic infrastructure highlights the dependency of lower income households on these critical aspects in the IDP. High income households show little dependency on the basic infrastructure and less reliance on the socio-economic aspects of the IDP.

Aspects of the IDP are you familiar with: Working with Women on sustainable projects *

Area Rating

Crosstab

			Area Rating			Total
			Low Income	Middle Income	High Income	
Aspects of the IDP are you familiar with: Working with Women on sustainable projects	Not aware	Count	25	19	41	85
		% of Total	10.7%	8.2%	17.6%	36.5%
	Aware	Count	92	41	15	148
		% of Total	39.5%	17.6%	6.4%	63.5%
Total		Count	117	60	56	233
		% of Total	50.2%	25.8%	24.0%	100.0%

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	-.415	.060	-6.942	.000 ^c
Ordinal by Ordinal	Spearman Correlation	-.398	.061	-6.600	.000 ^c
N of Valid Cases		233			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

There is a fairly strong negative relation between area and women working on sustainable projects. This can be seen in terms of the percentage respondents from the middle and high income groups who are aware of such programmes (when one would generally not associate these groupings with women in sustainable programmes). The trend in the municipality is to engender a more equitable representation of women at the local level of government.

According to Todes et al (2007: 17-19), gender has had a limited impact on visibility and influence on municipal operations. The gender issues in the IDP were championed by the Speaker at eThekweni Municipality, who was responsible for raising the profile of gender within municipal structures. In eThekweni, gender structures were previously far removed from IDP processes and decision-making structures, and generally operate on the margins of municipal policy and practice. To this end, several community-based organizations (CBOs) assist in addressing women's needs within communities.

Aspects of the IDP you are familiar with: Low cost housing and other property developments * Area Rating

Crosstab

			Area Rating			Total
			Low Income	Middle Income	High Income	
Aspects of the IDP are you familiar with: Low cost housing and other property developments	Not aware	Count	15	12	18	45
		% of Total	6.0%	4.8%	7.3%	18.1%
	Aware	Count	119	47	37	203
		% of Total	48.0%	19.0%	14.9%	81.9%
Total		Count	134	59	55	248
		% of Total	54.0%	23.8%	22.2%	100.0%

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	-.223	.066	-3.590	.000 ^c
Ordinal by Ordinal	Spearman Correlation	-.219	.064	-3.523	.001 ^c
N of Valid Cases		248			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

Aspects of the IDP you are familiar with: Community health centres and mobile clinics *

Area Rating

Crosstab

			Area Rating			Total
			Low Income	Middle Income	High Income	
Aspects of the IDP are you familiar with: Community health centres and mobile clinics	Not aware	Count	20	9	31	60
		% of Total	7.9%	3.6%	12.3%	23.7%
	Aware	Count	113	50	30	193
		% of Total	44.7%	19.8%	11.9%	76.3%
Total		Count	133	59	61	253
		% of Total	52.6%	23.3%	24.1%	100.0%

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	-.315	.065	-5.259	.000 ^c
Ordinal by Ordinal	Spearman Correlation	-.294	.065	-4.867	.000 ^c
N of Valid Cases		253			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

Pearson's correlation shows a negative relationship between the variables. The higher income group is less aware regarding health and mobile clinics than the lower income groups. The reason is that higher income levels show less dependency on community health issues and the reliance on such structures is virtually minimum.

Stakeholders involved in the IDP

Are you aware of the various stakeholders involved in the IDP? * Area Rating Crosstabulation

			Area Rating			Total
			Low Income	Middle Income	High Income	
Are you aware of the various stakeholders involved in the IDP?	Yes	Count	61	36	5	102
		% of Total	23.7%	14.0%	1.9%	39.7%
	No	Count	56	14	33	103
		% of Total	21.8%	5.4%	12.8%	40.1%
	Not sure	Count	18	10	24	52
		% of Total	7.0%	3.9%	9.3%	20.2%
Total	Count	135	60	62	257	
	% of Total	52.5%	23.3%	24.1%	100.0%	

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	.300	.055	5.017	.000 ^c
Ordinal by Ordinal	Spearman Correlation	.268	.058	4.449	.000 ^c
N of Valid Cases		257			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

Again the study reveals that lower income households are more aware of the various stakeholders because of their interaction with the councillors, interest groups and other ratepayer associations who may provide assistance on a needs basis.

Are you aware of any support / role played by National and Provincial Sector Departments in the Municipality's IDP? * Area Rating Crosstabulation

			Area Rating			Total
			Low Income	Middle Income	High Income	
Are you aware of any support / role played by National and Provincial Sector Departments in the Municipality's IDP?	Yes	Count	20	34	0	54
		% of Total	7.7%	13.0%	.0%	20.7%
	No	Count	66	13	28	107
		% of Total	25.3%	5.0%	10.7%	41.0%
	Not sure	Count	50	13	37	100
		% of Total	19.2%	5.0%	14.2%	38.3%
Total	Count	136	60	65	261	
	% of Total	52.1%	23.0%	24.9%	100.0%	

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	.120	.053	1.943	.053 ^c
Ordinal by Ordinal	Spearman Correlation	.082	.059	1.324	.187 ^c
N of Valid Cases		261			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

A very small percentage (average of 7.7%) of residents is aware of the role and support played by national and provincial departments. The high percentage of respondents, who are unaware or unsure, reflects that many of the respondents do not understand the co-ordinating role of these departments in ensuring that municipal IDPs are aligned to strategic initiatives of the province and country.

Stakeholder: Private Sector * Area Rating Crosstabulation

			Area Rating			Total
			Low Income	Middle Income	High Income	
Stakeholder: Private Sector	Yes	Count	22	31	2	55
		% of Total	8.4%	11.9%	.8%	21.1%
	No	Count	29	5	23	57
		% of Total	11.1%	1.9%	8.8%	21.8%
	Not sure	Count	85	24	40	149
		% of Total	32.6%	9.2%	15.3%	57.1%
Total	Count	136	60	65	261	
	% of Total	52.1%	23.0%	24.9%	100.0%	

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	.003	.052	.052	.958 ^c
Ordinal by Ordinal	Spearman Correlation	-.043	.058	-.686	.493 ^c
N of Valid Cases		261			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

The high levels of respondent (32.6%) who are unsure what the role of the private sector is in IDPs, reflects that households often equate the developmental focus of IDPs to the municipal or public sector. However, because of municipal service partnerships, the private sector plays a pivotal role in investing in its corporate social responsibility (through the concept of Corporate Governance) and to contribute to enhanced service delivery. The accountability however, still rests on the municipality ultimately, for the quality of the services delivered. This view is therefore a major concern for the municipality in managing partnerships around municipal delivery, thus ensuring value-for-money.

What are your views on the Municipality linking the IDP to its performance budgeting system? * Area Rating Crosstabulation

			Area Rating			Total
			Low Income	Middle Income	High Income	
What are your views on the Municipality linking the IDP to its performance budgeting system?	Strongly not very effective financial management	Count	3	1	1	5
		% of Total	1.2%	.4%	.4%	1.9%
	Not effective financial management	Count	14	2	10	26
		% of Total	5.4%	.8%	3.9%	10.0%
	Unsure	Count	105	41	51	197
		% of Total	40.5%	15.8%	19.7%	76.1%
Effective financial management	Count	8	13	3	24	
	% of Total	3.1%	5.0%	1.2%	9.3%	
Strongly very effective financial management	Count	5	2	0	7	
	% of Total	1.9%	.8%	.0%	2.7%	
Total		Count	135	59	65	259
		% of Total	52.1%	22.8%	25.1%	100.0%

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	-.048	.057	-.778	.437 ^c
Ordinal by Ordinal	Spearman Correlation	-.015	.061	-.243	.808 ^c
N of Valid Cases		259			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

The financial management rating within the municipality (as being effective) was as follows: Low Income – 13%, Middle income – 15% and High Income – 3%. Overall, only 12% of the respondents believed that the rating was effective. If low income groups' views are poor, then these residents do not have much confidence in the municipality managing its finances effectively and efficiently. However, rich households are not so dependent for free basic services, and may have differing viewpoints.

A large percentage of households who are unsure reflect that there is a need for greater awareness of public information on the municipal budgeting process and annual reports. It is important to note that 76% of the respondents were unsure. The aim of the council should be to convince a large proportion of these respondents as to the effectiveness, by actually ensuring tasks are performed as promised. In other words, there is a need for more vigorous public participation in order to ensure enhanced accountability of the municipality.

Five-Year review - Comments * Area Rating

Crosstab

			Area Rating	
			Low Income	Total
Five Year review - Comments	Municipality has started to create supporting infrastructure such as malls	Count % of Total	14 41.2%	14 41.2%
	Municipality does not have the concerns of the community at heart	Count % of Total	1 2.9%	1 2.9%
	Structures are in place but the unemployment rate is still high	Count % of Total	19 55.9%	19 55.9%
Total	Count % of Total	34 100.0%	34 100.0%	

Symmetric Measures

	Value
Interval by Interval Pearson's R	. ^a
N of Valid Cases	34

a. No statistics are computed because Area Rating is a constant.

There seems to be consensus among the respondents that the municipality has started to add more investment and development into the local areas through the IDP. The majority of the respondents who praised council initiatives were African respondents. There was an overall consensus that such initiatives were needed across all race groups.

Are you aware of any international trends impacting on local government, and in particular, on the eThekweni Municipality's development plan? * Area Rating

Crosstab

			Area Rating			Total
			Low Income	Middle Income	High Income	
Are you aware of any international trends impacting on local government, and in particular, on the e-Thekwini Municipality's development plan?	Yes	Count	13	35	2	50
		% of Total	5.0%	13.6%	.8%	19.4%
	No	Count	70	10	19	99
		% of Total	27.1%	3.9%	7.4%	38.4%
	Not sure	Count	52	14	43	109
		% of Total	20.2%	5.4%	16.7%	42.2%
Total	Count	135	59	64	258	
	% of Total	52.3%	22.9%	24.8%	100.0%	

Symmetric Measures

		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	.113	.054	1.817	.070 ^c
Ordinal by Ordinal	Spearman Correlation	.087	.062	1.400	.163 ^c
N of Valid Cases		258			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

Impact of other international trends - Comments * Area Rating

Crosstab

			Area Rating	
			Low Income	Total
Impact of other international trends - Comments	Tourism	Count	5	5
		% of Total	100.0%	100.0%
Total		Count	5	5
		% of Total	100.0%	100.0%

Symmetric Measures

	Value
Interval by Interval Pearson's R	. ^a
N of Valid Cases	5

a. No statistics are computed because Impact of other international trends - Comments and Area Rating are constants.

Other General Comments * Area Rating

Crosstab

			Area Rating		Total
			Low Income	Middle Income	
Other General Comments	Little or no communication from the municipality	Count	8	2	10
		% of Total	13.8%	3.4%	17.2%
	Some councillors are not effective in information and service delivery	Count	4	2	6
		% of Total	6.9%	3.4%	10.3%
	The municipality is attempting to advance development and the idea is supported	Count	31	0	31
		% of Total	53.4%	.0%	53.4%
	Benefits to communities are given due to political affiliations to parties	Count	11	0	11
		% of Total	19.0%	.0%	19.0%
Total		Count	54	4	58
		% of Total	93.1%	6.9%	100.0%

Symmetric Measures

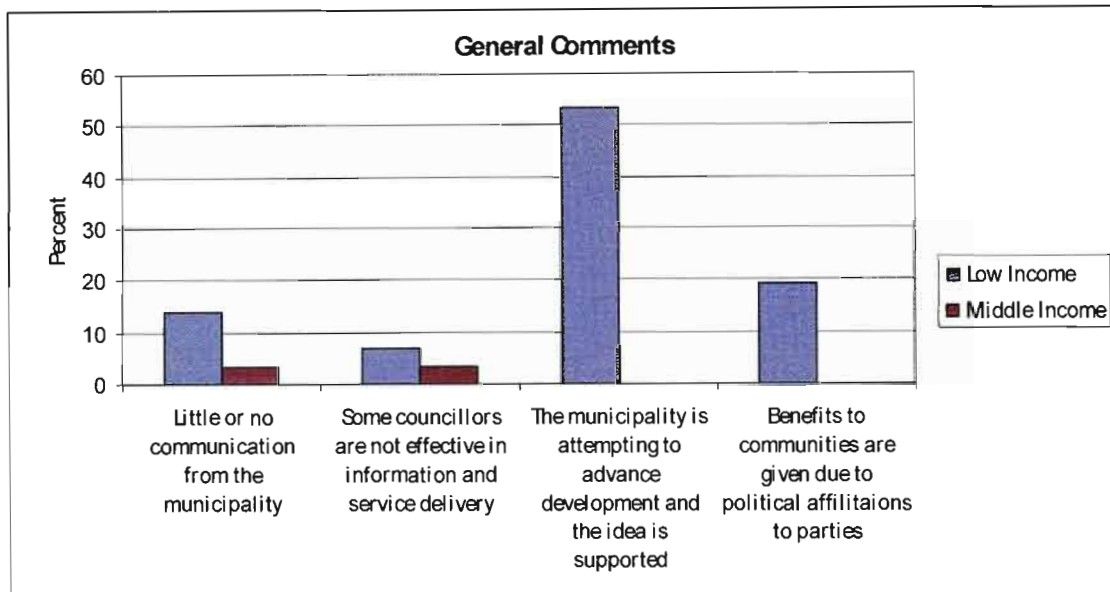
		Value	Asymp. Std. Error ^a	Approx. T ^b	Approx. Sig.
Interval by Interval	Pearson's R	-.353	.106	-2.824	.007 ^c
Ordinal by Ordinal	Spearman Correlation	-.356	.091	-2.850	.006 ^c
N of Valid Cases		58			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

c. Based on normal approximation.

Figure 6.29: General Comments



Some 53.4% of the statistically significant results for the low income group provided feedback that the municipality is attempting to advance development through its current IDP. This view is in congruence with the New Public Management influence that was noted at the October 1997 Commonwealth Association for Public Administration and Management (CAPAM) which conceded that there was a common pattern pertaining to a new public administration which emphasizes the role of public managers in providing high quality service valued by citizens as purported by Rabie et al (2008: 86). However, 19% of respondents believed that benefits are given to communities due to political affiliations.

6.9 CHI-SQUARE TEST

One of the most popular ways to test for statistical significance in the social sciences is by using the chi square test of independence, which measures variables at the nominal and ordinal level, or categorical data. The chi square compares the frequency of expected values, "if chance alone were operating," with the observed. It does not indicate how strong a relationship is or in what direction it is, but it helps researchers screen out those contingency tables that are significantly weak. This study gives the findings of one section of the survey results, which was cross tabulated and tested for significance. The hypothesis tested whether there was a significant relationship between the number of respondents per variable between residents, councillors and council officials.

6.10 HYPOTHESIS TESTS

Hypothesis testing was conducted, focusing on the key hypotheses as mentioned in Chapter One, which includes: residents from selected areas in the Durban Metropolitan Area, a sample of 100 councillors from various political parties and a random selection of municipal officials from eThekweni Municipality, including officials from the co-ordinating committee of the IDP and the Urban Strategic Unit.

Table 6.22: p-Values for t-Tests on Independent Samples

	Residents vs Councillors	Residents vs Council Officials	Councillors vs Council Officials
Familiarity with IDP aspects	0.002	0.593	0.002
Role of the Council	0.031	0.521	0.265
IDP process for the role of councillors	0.978	0.643	0.744
IDP process for the role of municipal officials	0.077	0.358	0.831
IDP process for community participation	0.005	0.481	0.408
Rating of current participatory mechanisms in the IDP process of the Municipality	0.005	0.000	0.000
Rating of mechanisms for facilitating IDP amongst communities and other stakeholders	0.001	0.000	0.004

The null hypothesis tests whether the means of two sets of data are equal. The highlighted p-values indicate that there is no difference between the mean values as the p-values are all greater than 0.05 (the level of significance). For example, it is observed that the first 5 p-values for Residents versus Council Officials are all greater than 0.05. This means that the mean values for residents and council officials were similar. The implication is that the opinions of residents and council officials are the same for the stated issues. It is noted that the respondents are all in agreement for the following 2 variables: IDP process for the role of councillors, and IDP process for the role of municipal officials.

In all other instances, there is a difference in the way the respondents scored by grouping, as the p-values are all less than 0.05, for example for “Rating of mechanisms for facilitating IDP amongst communities and other stakeholders,” Residents and council officials have differing opinions. The direction of the opinions were indicated earlier (Figure 6.26) through graphical representation of the mean values. The variation in responses, as evident in this survey, highlights the need for a more coherent approach to the local processes in public participation through co-operation, commitment and involvement. In summary, the information arising out of the literature review and empirical study validated the hypotheses set out in Chapter One of the research.

6.11 CONCLUSION

This chapter focused on the presentation and analysis of results. The summary of findings centred on a discussion of the key objectives of the research study. The objectives included, amongst others, an understanding of the link between the IDP, vision, mission and LTDF of eThekweni Municipality, and an examination of its plan; to identify the key stakeholders and explore the extent of their participation; and establish ways of improving participation in local government processes.

Through the findings of the research analysis chapter, the empirical survey revealed that there exist a symbiotic relationship between the IDP and the strategic focus of the long-term framework of the municipality. Furthermore, the plan is geared towards the social development agenda and an integrated approach to development.

With regard to the subsequent objective, the study reveals the critical role played by three key role-players, *amongst others*, namely: council officials, communities and local councillors who are engaged in the participatory mechanisms for enhancing municipal delivery. The study revealed that there were differing viewpoints on public participation in the IDP. However, the study leans on cumulative impacts of a common understanding of public participation by the three role-players.

The last objective is to extend the level of social mobilization of communities, and to build the municipality-civic relationship through IDPs. A potential is to view the IDP as an instrument to deepen local democracy and enhance community empowerment. This view is supported by the introduction of IDP Forums, summits and ward committees as a means of strengthening institutional participation. This strategy can be highlighted in the communication strategy of public information rollout of the IDP.

Finally, the empirical work sought to verify the relationship between IDP and implementation, and to examine the effectiveness of its outcomes through a focused analysis of certain variables, as evidenced in the research study.

The next chapter will focus on the conclusion and recommendations based on the findings of the questionnaire and the extensive literature review, which support the theoretical and practical underpinnings of IDP in local municipalities.

CHAPTER SEVEN

CONCLUSION AND RECOMMENDATIONS

7.1 INTRODUCTION

In the preceding chapters, the discussion on developmental local government against the background of restructuring and transformation was reviewed. This was followed by a critical discussion of integrated development planning and the significance of public participation as a key ingredient of good governance. In the previous chapter, the empirical investigation was analyzed. Finally, this chapter draws conclusions and offer key recommendations arising from the empirical study.

The multi-dimensional and complex nature of integrated development planning cannot be overemphasized. The subject of integrated development planning deserves a thorough review in its entirety in order to ensure that public participation is given its rightful platform in local delivery.

It is important to understand the conceptual framework brought to bear on some issues of institutional-organisational nature concerning planning and public intervention in eThekweni Municipality, and to focus on the civic spheres to ensure an integrated social science approach to development planning

Development planning is part of social praxis and has to begin by taking the reality as it is ie. real practical concerns for desired change in the lives of local communities. Public participation is rarely a simple or harmonious process. Community involvement also raises dilemmas about the manner in which IDPs are organised and managed. Active involvement and mobilization are likely to be enhanced where communities clearly identify with and are committed to the area concerned. Encouraging socio-economic integration and cross-subsidization of development between poor and wealthier places, also favours larger districts in the implementation of their IDPs (Turok 2004: 410).

7.2 SUMMARY OF CHAPTERS

In order to meet the objectives of this study, a literature review was undertaken. Salient themes regarding integrated development planning were located in existing public administration and management texts, in theories and other social sciences research studies. Therefore, this study sought to build on the conceptual framework regarding IDP as the municipal strategic plan of municipalities, in particular, eThekweni Municipality, as a case study. It is evident from the study undertaken that IDP is a multi-dimensional and multi-faceted process that requires a common understanding and collective effort of all role-players concerned. All attempts to improve public participation in integrated development planning must be pursued by systematic enquiry. The minimum requirements for the development and implementation of an IDP as a strategic plan of a municipality cannot be overemphasized. The IDP serves as a management, implementation and monitoring tool, aligning the plan, budget, service delivery targets and performance of a municipality. The idea of public participation stands out as the primary characteristic that must be ever present throughout the IDP cycle. Furthermore, Chamber (2005: 107) proffers there are many domains for public participation, but one of the most significant is to seek congruence through internalizing participation on a personal and institutional level. It must be noted that to accept public participation as an enduring opportunity to form good relationships with society to confront and transform over-centralized power.

The following discussion delineates the focus of the various chapters presented in this research study, and presents a brief synopsis of the essence of each discussion.

Information was obtained with regard to the objectives as mentioned in Chapter One, along with the definition of key concepts. This gave effect to the context in which integrated development planning was discussed, and alerts one to the urgency of public participation in planning and development initiatives of local municipalities and developmental local government respectively. The chapter also emphasizes that integrated development takes on a holistic approach, responding to local needs and delivering a range of services to enhance the quality of life of all citizens. Furthermore, the chapter explores the background and places the spectrum of public participation, integrated development planning and local government within the current dispensation in perspective.

Chapter Two provided insight into restructuring and transformation in local government, with particular reference to eThekweni Municipality. Evidently from the literature review of eThekweni Municipality's path of restructuring and transformation, there was a shift from arguing for *political positions* to *arguing for the needs* of citizens. The institutional processes within the municipality reflect new urban spatial configurations and a focus on the public's interest, amongst other things. It would seem that urban governance has brought public decision-making closer to the local populace. Based on the application and rationale of the systems thinking model, the results-based thinking methodology was the driving ideology behind eThekweni's transformation process. Basically the move was to create a new approach to the role of local government within the municipality. Like so many large conurbations in several municipalities country-wide, eThekweni's focus is on a comprehensive metropolitan-level strategic planning framework which reflects a combination of historical, political and institutional factors to take the city forward in this new decade.

In Chapter Three, the concept of public administration as it relates to developmental local government and integrated development planning is contextualized. Municipal strategic management is viewed within the context of the public administration dichotomy. The crafting of a new vision and new set of strategic interventions for local government within the current dispensation is viewed within the public administration interface. This chapter also presents a critical discussion of the paradigm of public administration, moving beyond the traditional approach to a post-modernist approach, popularly known as the "New Public Management" approach. The contextualization of this trajectory is appreciated within the *locus* and *focus* of developmental local government.

In Chapter Four, the theoretical framework for integrated development planning and public participation is highlighted. A critical review of the experience of planning and its theoretical underpinnings is also presented. The need for public participation in urban development and integrated development planning is widely accepted. However, implementation of this objective is more problematic in practice. This chapter also presents a critical discussion on the barriers to integrated development which arise from inflexibility in approaches and regulations, limited capacity at local municipalities to manage and implement IDPs, and competition between line

functions and municipalities at political levels. The notion of the pursuit of shared goals by both local municipalities and its community is the cornerstone of the discussion on integration development planning *vis-à-vis* public participation. The shift of local government towards a governance role regarding public participation is also the focal point of this chapter. A brief discussion of the relationship between decentralization, local democracy and governance and municipal service delivery is presented from selected countries in Sub-Saharan Africa that reflect commonality and relevance of discussion in this literature review chapter.

Chapter Five highlights the research methodology, research design, experimental and/or data collection procedures and the empirical layout of the field of study. In describing the ages, educational levels and professions of the three categories of respondents, the researcher used frequency tables. The extensiveness of the research approach and design depended largely on the nature of the research project. In this chapter, the researcher describes the subjects who were part of the survey, and from where the experimentally accessible population was drawn. The statistical procedures by means of which the data obtained were analyzed and if appropriate, the significance level adopted, are also presented in this chapter.

In Chapter Six, data were presented and measured utilizing structured questionnaires and various statistical tools and analyses. To visualize the analysed data, tables and graphs were used as concise summaries of the results of the empirical study. Furthermore, tests of statistical significance and triangulation of results were performed. The calculated values of the test statistics and the levels of significance are presented in the chapter.

Chapter Seven draws conclusions from the literature review, and provides relevant recommendations. In this chapter, the statistical results presented in the preceding chapter are interpreted as recommendations to the research problems presented at the commencement of this research study. The discussion and focal point of this chapter is to make conclusions that are justified by this study. Furthermore, the findings of this research study raise new questions and problems for future research and tracer studies into the extent of public participation in IDPs within national and international perspectives. The results of the research show that there is a weak, non-significant, negative linear relationship between public participation and IDPs in local

government in some parts of the empirical study. Therefore, given the findings in this research, there is a need for further research to be undertaken regarding the interface between public participation and local government through IDPs. The research sought to analyse the impact of IDP and the extent of public participation in eThekweni Municipality's IDP. From the research undertaken and the analyses of the data collected, several recommendations can be made.

7.3 KEY LESSONS

In the course of elaborating the underlying themes of this research, some key lessons to be learnt from this study include:

- Municipalities should play a leading role in supervising and monitoring development projects to improve and ensure the quality of their IDPs;
- The multiplicity of causal factors and bureaucratic processes that slow down or impede service delivery should be modified wherever possible;
- Municipal-community partnerships should be forged with epistemic communities to ensure systemic change in metropolitan governance and development;
- Municipal officials have to be developmentally focused and committed, and guard against symbolic investment of citizen participation in municipal delivery. Many municipalities are now establishing IDP Representative Forums to enable discussions on the various stages of the plans with communities;
- Through multi-dimensional interventions to address local needs, the coalescing of political power must be advocated for the interests and facilitation of access to basic services for the poor;
- There must be a fit between the transformation agenda and institutional capacity of local municipalities to deliver on its developmental mandate. To this end, the concomitant capacity building of various sector departments better utilise the structures for the benefit of the broader community;
- Socio-economic mobilization of local communities and empowerment of households through the strategic intent of IDPs is essential. Evidently, several local communities are for the first time making a collective, structured and cohesive impact on municipal policies, priorities, projects and programmes;

- Information and on-going public dialogue is necessary to ensure that the needs of the poor are addressed;
- Cross sectoral and integrated development frameworks and plans must involve and strengthen community management; and
- Increased focus on leadership and development, with emphasis on gender mainstreaming including women, is vital.

It is advocated that future research may replicate the present work with other populations in various environments to contribute to a greater possibility of generalizing further findings. Hopefully, some of the key recommendations will serve as benchmarks for replication in analogous situations regarding the role of public participation in integrated development planning within the context of municipal strategic management.

7.4 RECOMMENDATIONS

According to Fox, Schwella and Wissink (1991: 296), research ensures that decisions are taken based on objective, reliable and valid knowledge. Therefore, a typology of the key recommendations arising from the empirical research of this study includes the following:

- **Regular feedback on performance budgeting and reporting over public resource allocations and service delivery**

The empirical study revealed that financial aspects and infrastructure-related aspects add value to the strategic plan and performance targets of the municipality in relation to service delivery outputs. The municipality's IDP and budget are *not driven* by the people, but by municipal officials. There needs to be *ongoing feedback* regarding the performance budgeting system at the Municipality, as this was considered a critical aspect of strategic planning within the Municipality.

- **Increase political leverage of communities' interests through more visible role and interaction with councillors**

Councillors must play a more visible role in representing/interfacing with the community

interests, rather than merely engaging in political rhetoric. The study revealed that councillors tended to score in the opposite manner to that of residents. Councillors purport to serve the interests of local communities; however, the expectations of the residents do not match the level of service delivery expected from some councillors. The relationship between the political and management interface needs to be managed with circumspection. At least 12% of residents indicated that councillors were not efficient in managing their portfolios.

According to Hague, Harrop & Breslin (1998: 171), councillors, as elected representatives, are central to the way in which interests and preferences are placed on the political agenda. The connections between society and government run both ways. Political parties and elected representatives do not only reflect the public mood; they also help set the political agenda for the debates that take place. There is a need for local councillors to become agents and champions for change in their local areas, and to communicate as effective representatives to their constituencies. It must be emphasized that councillors play a significant role in the political-management interface with communities and municipalities.

- **Necessity for ongoing dialogue between local communities and Council**

Areas of significance to be addressed included communication channels and performance measurement of the municipality, as two key themes that emerged from the study. It is imperative that ongoing dialogue exists between civil society and municipalities, which in turn contributes to mutually rewarding relationships and good governance. This will in turn serve as an instrument, to improve advocacy planning, where the needs of local citizens will be established.

Through the survey, it was revealed that if 64% of residents were unaware of the vision and mission of the IDP. Public participation is clearly not as effective as it ought to be. Residents must become familiar with the objectives, goals and strategic intent of the municipality and its developmental outcomes. The desire is to deepen democracy and public participation in decision-making around IDPs. Furthermore, the lack of understanding of institutional processes and mechanisms around the IDP, and the manner in which local government operates, affects the ability of local communities to participate in key local government activities.

- **Need for increased focus on LED projects and programmes in the IDP**

Local economic development projects and programmes, and the provision of basic services and health centres were high on the recommended list of priorities to improve the quality of life for citizens, and should be the thrust of the IDP. Through the cross tabulations, the study revealed that approximately 59% of residents are unaware of local economic development projects and programmes, and only 41% could identify with some of the projects. Hence, there needs to be a greater awareness/synthesis of information amongst residents of the added value of LED projects and programmes in their local areas.

- **Need for increased representation of communities through Ward Committees as a municipal-wide plan**

The study revealed that citizens feel that the municipality must do more to familiarize the communities with the IDP process. One of the effective ways of deepening democracy and promoting public participation is through the use of ward committees. Municipalities need to consult more regularly with key stakeholders during the IDP process. Section 153 of the Constitution gives municipalities a mandate to structure and manage their administration, budgeting and planning processes to prioritize to the basic needs of the community, and to promote the social and economic development of the community. This is a statutory requirement and a moral obligation of all municipalities. According to Eckardt (2008: 13), the specific and multi-faceted relationship between the level of participation via ward committees needs a more nuanced analysis.

- **Creation of an Interventionist Strategy and community-level spatial planning**

An interventionist strategy is necessary to understand the interface between councillors, residents and council officials. This three-fold strategy would enhance the quality of baseline information, and provide essential bottom-line information on the IDP. The gap analysis revealed that communities felt their actual/real needs relating to service delivery are more significant than the mode of communication of the IDP. They felt that greater emphasis should be placed on translating to service delivery on the ground or at grassroots level. Service delivery and socio-economic development should therefore go hand-in-hand to raise the standard of living and

enhance the quality of life for all citizens. This strategic approach can serve as a means of converting the dependency of citizens into independence, and empowering citizens in the process, to ensure a collective and contributory effort towards improving local delivery. Hence the concept of participative democracy is presented. Eyben (in Pretorius 2008: 154) elaborates further that citizens are viewed as beneficiaries of development planning and processes and are involved to a limited degree in planning and assessing predetermined development projects in order to increase the effectiveness of projects. However, the progressive end of the spectrum reflects a rights-based approach which recognizes participation as a right in itself and as an entry point to realizing all other rights.

Through community-level spatial planning, a radical turnaround strategy to invoke citizen participation and local activism would be encouraged. Another gain would be a better understanding and development of a localized vision of what communities' needs are and how they ought to be reflected in IDPs. Community spatial planning also serves to heighten democratic participation in municipal decision-making, which is a definitional aspect of development planning. This view is supported by Kabra (1997: 1), who asserts that these issues form part of the current development policy debate and have both theoretical and operational relevance for municipalities, councillors and the local citizenry.

- **Increased consultation and representation of epistemic communities as strategic networks**

The above point is premised on the notion that epistemic communities are the “reservoirs” of knowledge-generating collectives, and that a more vigorous interaction can result in shared commitment to finding practical solutions to local problems. Local residents are of the opinion that the processes at hand are not sufficiently consultative and representative of their views. They believe that more can be done to involve and include them in the IDP process. The machinery in local government in eThekweni must be designed to facilitate people's participation in development and IDPs in a more vigorous manner, and in so doing, to focus on a more redistributive, inclusive and integrated city development strategy.

- **Raising the profile of women in municipal structures**

There needs to be a more visible presence of gender mainstreaming to raise the profile of women and gender within the municipal structures. The idea is to increase leadership development amongst women in local government structures, and to ensure a locally structured campaign to advance the role and function of women in management and governance. According to critics such as Guijt et al in Mngxali (2006: 13), it is argued that women are the most likely to lose out and finding themselves and their interests marginalized or overlooked in participatory processes.

Contemporary literature on urban development reveals ample evidence that women and men contribute to and gain from urban development initiatives. eThekweni Municipality is focusing on a gender integrated approach to urban development to increase women's participation and to foster gender awareness and gender competence among women in the political arena and in planning and municipal management practices. This view is supported by Beall (in Robinson et al 2004: 312). It is also a widely accepted view that the development planning discourse was previously concentrated on men, but the concept and practice of empowerment strategies for women are becoming more effective, nuanced and grounded, as advocated by Desai and Potter (2002: 341).

- **Alignment of municipal IDPs to strategic initiatives of Provinces and country-wide initiatives**

The study revealed that a very small percentage of households are aware of the co-ordinating role played by national and provincial departments. More information ought to be rolled out on how municipalities' IDPs are aligned to the strategic initiatives of provinces and the country. Upward communication of local needs to the municipality and higher levels of government is necessary.

The advent of the proposed Public Management Bill (draft legislation for a single Public Service) poses enormous challenges for a proposed single Public Service. Local government officials and councillors have been "up-in-arms" regarding the implications and impact of this new Bill, which has far-reaching effects on all three spheres of government in the country.

- **Promoting capacity building, community engagement and management as a multi-disciplinary approach to public participation**

Proactive steps should be taken to build capacity which will optimize service delivery. Building a level of education and intellectual sophistication in the council, councillors, ward committees, local communities and other relevant stakeholders to better understand the demands and actions is necessary and in fact enshrined in the Constitution. In other words, there is a need for responsible and responsive rule.

This view is upheld by Desai et al (2002: 50-51) who concede that participatory development is a different mode of understanding the realities to be addressed, empowering the voiceless and proposing new alternatives. Furthermore, the view is that whilst participatory development treats communities as socially homogenous, their empowerment might be an improvement on unresponsive bureaucracies but sometimes that support has meant that resources are channeled only to the elites.

It is therefore necessary to enforce accountability in municipal officials and internalise the level of effectiveness of the accountability. Ultimately, the intention is to be consultative and sensitive to the needs of the public with operational strategies that result in maximizing service rendering to the local citizenry. This is a good strategy for the municipality's capacity to gauge people's needs and strengthen the link between the municipality and civil society.

7.5 CONCLUSION

This research has attempted to understand both theoretically and empirically, how citizen participation can impact on IDPs. Emphasis has been placed on understanding how the IDP as a strategic plan can affect the developmental focus of municipalities. The general hypothesis tested in this research is that the IDP must adequately cater for citizen participation, and that a significant relationship exists between key variables, for example, the municipality, councillors, citizens and more briefly, ward committees. One should be guarded against interpreting the results of the empirical study as causality in a strict sense, although they still provide an interesting pattern that should be addressed in further empirical research.

It can be argued that the benefits of public participation far outweigh the costs involved to set the processes in motion. The need for an overall strategy for public participation that works with the IDP cycle, and a high level of commitment from officials and hands-on project management in a municipal milieu, is necessary, to ultimately elevate the level of service delivery and promote the quality of life of the citizenry.

There is a political utility in public participation and this underpins local development. One cannot deny the utilitarian value of strong participation and that participation in the IDP can enrich development planning overall. Recognizing local governance and participatory governance as vital instruments in fostering efficiency in municipal delivery, is an achievement beyond measure. Successful implementation of the new system of local governance through the current legislative context will depend on the commitment of all stakeholders. To conclude, a holistic and responsive understanding of public participation is a step towards achieving a synergy of various operationally relevant variables and moving along developmental lines to expand service delivery to politically contested and resource-poor environments, and in so doing, to contribute to the economic expansion of impoverished communities. Since the target population was drawn mainly from middle to lower income households for the survey, they felt that the IDP has the net effect of improving the quality of their lives in some tangible way. There is a need to build mutual trust as an optimizing factor. A mindset shift is necessary to invoke public confidence in the Municipality.

In the final analysis, the challenge to maximize public participation in local government should be pursued in further research, as it is an ongoing operational necessity and contributory factor for good governance. The interaction of local municipalities, electoral regime, and a well-informed and politically active community would be able to participate both directly and indirectly in exacting accountability through planning and development. In conclusion, it can be argued that the IDP is an ideal construct for addressing societal concerns, but should not be viewed as a panacea for all the challenges experienced by municipalities country-wide.

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RESEARCH OFFICE (GOVAN MBEKI CENTRE)
WESTVILLE CAMPUS
TELEPHONE NO.: 031 – 2603587
EMAIL : ximbap@ukzn.ac.za

30 MARCH 2009

MRS. M SUBBAN (8830586)
PUBLIC ADMINISTRATION

Dear Mrs. Subban

ETHICAL CLEARANCE APPROVAL NUMBER: HSS/0790/07D

I wish to confirm that ethical clearance has been granted for the following project:

“Evaluation of the Long-Term Development Framework (LTDF): A case study of eThekweni Municipality’s Integrated Development Plan”

PLEASE NOTE: Research data should be securely stored in the school/department for a period of 5 years

Yours faithfully

Phumbelele

MS. PHUMELELE XIMBA

cc. Supervisor (Prof. PS Reddy)
cc. Mrs. C Haddon

TO WHOM IT MAY CONCERN

25 November 2008

Re: M SUBBAN (DOCTORAL THESIS)

This thesis, entitled *Evaluation of the Long-Term Development Framework (LTDF): A case study of eThekweni Municipality's Integrated Development Plan*, has been edited to ensure technically accurate and contextually appropriate use of language.

In the editing process, attention was given to the following in particular:

- Diction, to ensure correct and effective word choice;
- Grammar (concord and punctuation, to ensure consistency);
- Formatting (numbering, referencing and spacing), and
- Sentence construction (refinement, structure and flow), to avoid redundancy and repetition and in order to sustain a scholarly academic style and argument, for this level of advanced research.

This thesis, which displays in-depth research and analysis, displays a high level of professionalism and competence, and will no doubt contribute to the field of municipal governance and public administration.

Yours sincerely

A handwritten signature in blue ink, appearing to read 'CM Israel', with a long horizontal flourish extending from the bottom of the signature.

Dr CM ISRAEL
BA Hons (UDW) MA (UND) MA (US) PhD (UNH)
Language Editor



**SCHOOL OF PUBLIC ADMINISTRATION
WESTVILLE CAMPUS
FACULTY OF MANAGEMENT STUDIES
UNIVERSITY OF KWAZULU-NATAL
PRIVATE BAG X54001
DURBAN
4001**

20 November 2007

Dear Respondent,

**QUESTIONNAIRE - EVALUATION OF THE LONG-TERM DEVELOPMENT
FRAMEWORK (LTDF): A CASE STUDY OF ETHEKWINI
MUNICIPALITY'S INTEGRATED DEVELOPMENT PLAN
ETHICAL CLEARANCE APPROVAL NUMBER:
HSS/0790/07D**

I am a doctoral student in the School of Public Administration at the University of KwaZulu-Natal. The main aim of this study is to evaluate the Integrated Development Plan and strategic initiatives of the eThekweni Municipality towards effective local governance. You are invited to participate in this research project to evaluate the Integrated Development Plan (IDP) of eThekweni Municipality.

Your participation is considered to be crucial in understanding the correlation between the IDP and service delivery. The results of the survey are intended to contribute to improving stakeholder participation and promoting enhanced service delivery.

Your participation in this project is voluntary. You may therefore, refuse to participate or withdraw from the project at any time. Confidentiality and anonymity of records of your participation will be maintained by the researcher in the School of Public Administration at the University of KwaZulu-Natal.

The completion of the questionnaire should take you about 20 minutes. You may request to be assisted by a trained research assistant by mutual arrangement.

The study has been approved by the University Ethics Clearance Committee. If you have any questions or queries about completing the questionnaire or about being in this study, you may contact me or my supervisor.

You are kindly requested to sign and date the statement below. You are assured that confidentiality and anonymity of your participation in this research study will be maintained.

Sincerely,



Researcher and Student

M Subban

Ph: (031) 260 7763

Cell: 082 373 4303

subbanm@ukzn.ac.za



Supervisor

Professor PS Reddy

CONSENT

I have read and understand the above information. I understand that participation is voluntary and that I may withdraw at any stage of the interview process.

Participant's signature _____ **Date** _____

ETHEKWINI MUNICIPALITY
Office of the City Manager
Geographic Information and Policy
Corporate Policy Unit

3rd Floor
Shell House
221 Smith St Durban

PO Box 5856
Durban 4000

Tel: 031-311 3422
Fax: 031-311 3446



13 November 2007

The Dean
Faculty of Management Studies
UKZN – Westville Campus

Dear Sir,

Re: Doctorate in Public Administration: Mrs M Subban
Student No.: 8830586
Evaluation of the Long Term Development Framework (LTDF):
A Case Study of e-Thekwini Municipality's Integrated Development Plan

This letter serves to confirm that Mrs M Subban, a registered student at UKZN, Westville Campus, is currently conducting research in the field of Local Government with a focus on the Integrated Development Planning (IDP) and strategic planning initiatives of e-Thekwini Municipality. This research is a requirement to complete the Doctorate in Public Administration.

It is hereby confirmed that Mrs Subban has been granted permission to access Council information related to her research that have been deemed in the public domain, in terms of the relevant legislation governing such matters. In addition, Mrs Subban has also been granted permission to interview relevant officials and utilize, where necessary reasonable Council resources.

Please be guided accordingly.

Your s sincerely


HEAD: GIPO

ANNEXURE E

**RESEARCH QUESTIONNAIRE
EVALUATION OF THE LONG TERM DEVELOPMENT FRAMEWORK
(LTDF): A CASE STUDY OF ETHEKWINI MUNICIPALITY'S INTEGRATED
DEVELOPMENT PLAN**

QUESTIONNAIRE: COMMUNITY FOCUS

Interview Location:	_____
Date:	_____
Time:	_____

Please indicate your answer by marking a tick (✓) in the appropriate box.

SECTION A: BIOGRAPHICAL INFORMATION OF RESPONDENTS

1. Gender

Please state your gender.

Male	
Female	

2. Race Group

Please indicate your race group for research purposes.

African	
Indian	
Coloured	
White	

3. Age

Please state your age.

21 – 25 yrs	
26 - 30 yrs	
31 – 35 yrs	
36 – 40 yrs	
41 – 45 yrs	
46 – 50 yrs	
51 – 55 yrs	
56 – 60 yrs	

4. Occupation

Please state your occupation.

Manager/Supervisor	
Professional	
Technical Operator	
Clerk	
Sales & Marketing	
Labourer	
Unemployed	
Other (Please specify)	

5. Associations

Please state any associations that you belong to.

Civic and ratepayer associations	
Social welfare organizations	
Neighbourhood Watch	
Religious Organizations	
Sports Associations	
Youth Organizations	
Women's Groups	
Small, Medium, Micro Enterprises (SMMEs)	
HIV/AIDS Counseling Groups	
Senior Citizens Associations	
Other (Please specify)	

6. Educational Qualifications

Please state your qualifications for research purposes.

Matric	
Undergraduate	
Postgraduate	
Other	

SECTION B: PARTICIPATION IN LOCAL GOVERNMENT STRUCTURES AT eTHEKWINI MUNICIPALITY

7. Are you aware of any structures in eThekwini Municipality where you are able to participate in local government affairs affecting you?

Yes	
No	
Not sure	
Please comment:	

8. How do you participate in the eThekwini Programmes?
Please tick your responses.

Community meetings	
Roadshows	
Imbizos	
Volunteering	
Other (Please specify)	

9. If you participated in the IDP processes in the eThekweni Municipality, how would you rate the processes for your participation?

Strongly not successful	
Not successful	
Unsure or neutral	
Successful	
Strongly successful	
Please comment:	

SECTION C: KNOWLEDGE OF THE IDP

10. Do you think that the municipality engages in regular consultation with the public in developing the IDP?

Yes	
No	
Not sure	
Please Specify	

11. Are you aware that the IDP is reviewed?

Yes	
No	
Not sure	

12. How often is the IDP reviewed?

Daily	
Weekly	
Monthly	
Quarterly	
Bi-annually	
Annually	

13. Are you aware of the Unit/Department within the municipality that facilitates the IDP process?

Yes	
No	
Not sure	

14. Do you feel that the municipality encourages participation of community stakeholders in the IDP?

Yes	
No	
Not sure	

15. What aspects of the IDP are you familiar with?

		Not aware	Aware
15.1	Vision and Mission of the IDP		
15.2	Local Economic Development projects and programmes		
15.3	Strategic Budgeting and Municipal Planning		
15.4	Mega infrastructural projects such as hotels, conference facilities, sporting, cultural and religious facilities, transport & tourism		
15.5	Provision of infrastructure, ie electricity, water, sewerage and development of roads		
15.6	Working with Women on sustainable projects		
15.7	Low cost housing and other property developments		
15.8	Community health centres and mobile clinics		

SECTION D: STAKEHOLDERS IN THE IDP

16. Are you aware of the various stakeholders involved in the IDP?

Yes	
No	
Not sure	
Please Specify	

17. Stakeholder: Municipal Council

Please rank in order of priority, **your views of the role of Council** regarding the IDP as emphasized in the statutory framework on local government.

Views of the Council		Very Unimportant	Unimportant	Neither important nor unimportant	Important	Very Important
17.1	Obtain access to development resources and outside investment					
17.2	Provide clear and accountable leadership and development direction					
17.3	Develop a co-operative relationship with its stakeholders and communities					
17.4	Monitor the performance of officials					
17.5	Strengthen democracy and institutional transformation					

18. Stakeholder: Councilors

Please rank in order of priority, **your views of the IDP process for the role of Councilors** as emphasized in the statutory framework on local government.

Role of Councilors		Very Unimportant	Unimportant	Neither important nor unimportant	Important	Very Important
18.1	Provides a mechanism of communicating with their constituencies					
18.2	Enables councilors to represent their constituencies effectively by making informed decisions					
18.3	Enables councilors to measure their own performance					

19. Stakeholder: Municipal Officials

Please rank in order of priority, **your views of the IDP process for the role of Municipal Officials** as emphasized in the statutory framework on local government.

Role of Municipal Officials		Very Unimportant	Unimportant	Neither important nor unimportant	Important	Very Important
19.1	Provides officials with a mechanism to communicate with the councilors					
19.2	Enables the officials to contribute to the vision of the municipality					
19.3	Enables officials to be part of the decision-making process					

20. Stakeholder: Communities

Please rank in order of priority, **your views of the IDP process for community participation** as emphasized in the statutory framework on local government.

Views of the IDP	Very Unimportant	Unimportant	Neither important nor unimportant	Important	Very Important
Gives communities an opportunity to inform the Council what their developmental needs are					
Gives communities an opportunity to determine the municipality's direction					
Have a mechanism through which communities can communicate with their councilors and the governing body					
Have a mechanism through which communities can measure the performance of the councilors, the officials and the overall municipality					

21. Stakeholder: National and Provincial Sector Departments

Through the IDP, a significant amount of financial resources are required for the implementation of projects. The availability of the IDP provides a guidance to the sector departments as to where their services are required, and hence where to locate their resources.

Are you aware of any support / role played by National and Provincial Sector Departments in the municipality's IDP?

Yes	
No	
Not sure	
Please Specify	

22. Stakeholder: Private Sector

The IDP serves as a guide to the private sector in making decisions with regard to areas and sectors for investments.

Yes	
No	
Not sure	
Please Specify	

SECTION E: FUNDING THE IDP -INTEGRATION BETWEEN POLICIES, INTEGRATED DEVELOPMENT PLAN AND THE BUDGET

The **IDP** and the **City’s strategic document** sets out the **vision** of the Municipality. The clustering of the City’s resources is designed to provide an **integrated approach** to achieving its specific outcomes. The City’s budget has been framed on the based cluster approach which is more responsive to the stated outcomes. There is a clear **linkage** between the **budget and targets** or objectives which can be tracked via the IDP on an annual basis through the performance management system for all programmes and projects.

23. What are your views on the Municipality linking the IDP to its performance budgeting system?

Strongly not very effective financial management	
Not effective financial management	
Unsure	
Effective financial management	
Strongly very effective financial management	
Please Specify	

SECTION F: MECHANISMS FOR IMPROVING / FACILITATING THE IDP

24. How would you rate the current participatory mechanisms in the IDP process of the Municipality?

Participatory Mechanisms in Integrated Development Planning		Strongly negative impact	Negative impact	Neither positive nor negative impact	Positive Impact	Strongly Positive Impact
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24.3	Projects Representation of stakeholders on project sub-committees.					
24.4	Integration IDP representative forum.					
24.5	Approval Public discussion and consultation with communities and stakeholders.					
24.6	Monitoring and Implementation IDP representative forum.					

25. How would you rate the following mechanisms for facilitating Integrated Development Planning amongst communities and other stakeholders.

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25.7	Developing guidelines for identifying and securing rural development funding and resources.					
25.8	Integrating rural development planning processes with local and district planning.					

SECTION G: THE FIRST FIVE-YEAR PLAN (IDP) UNDER REVIEW

eThekwini Municipality launched its 2020 vision known as the Long Term Development Framework (LTDF) in 2000. The first five year plan has already been realized.

26. How would you rate the first Five Year Plan regarding community participation of the Municipality’s Long Term Development Framework to become Africa’s most caring and livable City?

Positive outcome	
Negative outcome	
Neither positive nor negative outcome	
Unsure	
Comments (Please Specify):	

SECTION H: INTERNATIONAL TRENDS IN PLANNING, MANAGING AND IMPLEMENTING DEVELOPMENT AT A LOCAL LEVEL

The popular adage: *“Thinking globally and acting Locally”* has translated into a growing tendency to decentralize planning and development in local municipalities in South Africa.

27. Are you aware of any international trends impacting on local government, and in particular, on the e-Thekwini Municipality’s development plan?

Yes	
No	
Not sure	
Please Specify	

ANY OTHER INFORMATION YOU MAY WISH TO FURNISH?

Thank you for your time and effort in participating in this research study.

**RESEARCH QUESTIONNAIRE
EVALUATION OF THE LONG TERM DEVELOPMENT FRAMEWORK
(LTDF): A CASE STUDY OF ETHEKWINI MUNICIPALITY'S INTEGRATED
DEVELOPMENT PLAN**

QUESTIONNAIRE: COUNCILOR FOCUS

Interview Location: _____

Date: _____

Time: _____

Please indicate your answer by marking a tick (√) in the appropriate box.

SECTION A: BIOGRAPHICAL INFORMATION OF RESPONDENTS

1. Gender

Please state your gender.

Male	
Female	

2. Race Group

Please indicate your race group for research purposes.

African	
Indian	
Coloured	
White	

3. Age

Please state your age.

21 – 25 yrs	
26 - 30 yrs	
31 – 35 yrs	
36 – 40 yrs	
41 – 45 yrs	
46 – 50 yrs	
51 – 55 yrs	
56 – 60 yrs	

4. Occupation

Please state your occupation.

Manager/Supervisor	
Professional	
Technical Operator	
Clerk	
Sales & Marketing	
Labourer	
Unemployed	
Other (Please specify)	

5. Associations

Please state any associations that you belong to.

Civic and ratepayer associations	
Social welfare organizations	
Neighbourhood Watch	
Religious Organisations	
Sports Associations	
Youth Organisations	
Womens Groups	
Small, Medium, Micro Enterprises (SMMEs)	
HIV/AIDS Counselling Groups	
Senior Citizens Associations	
Other (Please specify)	

6. Educational Qualifications

Please state your qualifications for research purposes.

Matric	
Undergraduate	
Postgraduate	
Other	

**SECTION B: PARTICIPATION IN LOCAL GOVERNMENT
STRUCTURES AT ETHEKWINI MUNICIPALITY**

7. As a Councilor, are you aware of the structures in the local municipality where you are able to participate in local government affairs affecting your constituency?

Yes	
No	
Not sure	
Please comment:	

**8. As a Councilor, how do you participate in the eThekwini Programmes?
Please tick your responses.**

Council meetings	
Roadshows	
Imbizos	
Volunteering	
Other (Please specify)	

9. If you participated in the IDP processes in the eThekweni Municipality, how would you rate the processes for participation?

Strongly not successful	
Not Successful	
Unsure or neutral	
Successful	
Strongly successful	
Please comment:	

SECTION C: KNOWLEDGE OF THE IDP

10. Do you think that the municipality engages in regular consultation with the public in developing its IDP?

Yes	
No	
Not sure	
Please Specify	

11. Are you aware that the IDP is reviewed?

Yes	
No	
Not sure	

12. How often is the IDP reviewed?

Daily	
Weekly	
Monthly	
Quarterly	
Bi-annually	
Annually	

13. Are you aware of the Unit/Department within the municipality that facilitates the IDP process?

Yes	
No	
Not sure	

14. Do you feel that the municipality encourages participation of community stakeholders in the IDP?

Yes	
No	
Not sure	

15. As a Councillor, what aspects of the IDP are you familiar with?

		Not aware	Aware
15.1	Vision and Mission of the IDP		
15.2	Local Economic Development projects and programmes		
15.3	Strategic Budgeting and Municipal Planning		
15.4	Mega infrastructural projects such as hotels, conference facilities, sporting, cultural and religious facilities, transport & tourism		
15.5	Provision of infrastructure, ie electricity, water, sewerage and development of roads		
15.6	Working with Women on sustainable projects		
15.7	Low cost housing and other property developments		
15.8	Community health centres and mobile clinics		

SECTION D: STAKEHOLDERS IN THE IDP

16. Are you aware of the various stakeholders involved in the IDP?

Yes	
No	
Not sure	
Please Specify	

17. Stakeholder: Municipal Council

Please rank in order of priority, **your views of the role of Council** regarding the IDP as emphasized in the statutory framework on local government.

Views of the Council		Very Unimportant	Unimportant	Neither important nor unimportant	Important	Very Important
17.1	Obtain access to development resources and outside investment					
17.2	Provide clear and accountable leadership and development direction					
17.3	Develop a co-operative relationship with its stakeholders and communities					
17.4	Monitor the performance of officials					
17.5	Strengthen democracy and institutional transformation					

18. Stakeholder: Councilors

Please rank in order of priority, **your views of the IDP process for the role of Councilors** as emphasized in the statutory framework on local government.

Role of Councilors		Very Unimportant	Unimportant	Neither important nor unimportant	Important	Very Important
18.1	Provides a mechanism of communicating with their constituencies					
18.2	Enables Councilors to represent their constituencies effectively by making informed decisions					
18.3	Enables Councilors to measure their own performance					

19. Stakeholder: Municipal Officials

Please rank in order of priority, **your views of the IDP process for the role of Municipal Officials** as emphasized in the statutory framework on local government.

Role of Municipal Officials		Very Unimportant	Unimportant	Neither important nor unimportant	Important	Very Important
19.1	Provides officials with a mechanism to communicate with the Councilors					
19.2	Enables the officials to contribute to the vision of the municipality					
19.3	Enables officials to be part of the decision-making process					

20. Stakeholder: Communities

Please rank in order of priority, **your views of the IDP process for Community Participation** as emphasized in the statutory framework on local government.

Views of the IDP	Very Unimportant	Unimportant	Neither important nor unimportant	Important	Very Important
Gives communities an opportunity to inform the Council what their developmental needs are					
Gives communities an opportunity to determine the municipality's direction					
Have a mechanism through which communities can communicate with their Councilors and the governing body					
Have a mechanism through which communities can measure the performance of the councilors, the officials and the overall municipality					

21. Stakeholder: National and Provincial Sector Departments

Through the IDP, a significant amount of financial resources are required for the implementation of projects. The availability of the IDP provides a guidance to the sector departments as to where their services are required, and hence where to locate their resources.

Are you aware of any support / role played by National and Provincial Sector Departments in the municipality's IDP?

Yes	
No	
Not sure	
Please Specify	

22. Stakeholder: Private Sector

The IDP serves as a guide to the private sector in making decisions with regard to areas and sectors for investments.

Yes	
No	
Not sure	
Please Specify	

SECTION E: FUNDING THE IDP: INTEGRATION BETWEEN POLICIES, INTEGRATED DEVELOPMENT PLANNING AND THE BUDGET

The **IDP** and the **City’s strategic document** sets out the **vision** of the municipality. The clustering of the City’s resources is designed to provide an **integrated approach** to achieving its specific outcomes. The City’s budget has been framed on the based cluster approach which is more responsive to the stated outcomes. There is a clear **linkage** between the **budget and targets** or objectives which can be tracked via the IDP on an annual basis through the performance management system for all programmes and projects.

23. What are your views on the municipality linking the IDP to its performance budgeting system?

Strongly not very effective financial management	
Not effective financial management	
Unsure	
Effective financial management	
Strongly very effective financial management	
Please Specify	

SECTION F: MECHANISMS FOR IMPROVING / FACILITATING THE IDP

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26. How would you rate the first Five Year Plan regarding community participation of the municipality’s Long Term Development Framework to become Africa’s most caring and livable City?

Positive outcome	
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Unsure	
Comments (Please Specify):	

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27. Are you aware of any international trends impacting on local government, and in particular, on the eThekwini Municipality’s development plan?

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Please Specify	

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Negative outcome	
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Unsure	
Comments (Please Specify):	

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27. Are you aware of any international trends impacting on local government, and in particular, on the eThekwini Municipality’s Development Plan?

Yes	
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Please Specify	

ANY OTHER INFORMATION YOU MAY WISH TO FURNISH?

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**Department of
Local Government and Traditional Affairs**
— KwaZulu-Natal Provincial Government —

All 61 KZN MUNICIPAL DRAFT IDPS RANKED 07-11 April 08

		Service Delivery & Infrastructure	Institutional Development	Spatial & Enviro	LED	Financial Viability	Good Governanc e	AVG	%
DC29	Ilembe	5	4	3	4	3	5	4.00	88.89
DC28	uThungulu	4	5	3	4	3	4	3.83	85.19
DC25	Amajuba	4	4	4	4	3	3	3.67	81.48
	eThekweni	5	4	2	3	4	4	3.67	81.48
kz 216	Hibiscus Coast	4	4	3	3	3	4	3.50	77.78
kz 292	KwaDukuza	5	2	3	5	2	4	3.50	77.78
kz 254	Emadlangeni	4	3	2	4	4	3	3.33	74.07
kz 221	Msunduzi	3	3	3	4	3	4	3.33	74.07
kz 291	Mandeni	5	2	2	3	3	5	3.33	74.07
DC23	Uthukela	4	4	2	4	3	3	3.33	74.07
kz 213	uMzumbe	3	3	2	2	5	4	3.17	70.37
kz 227	Richmond	3	3	3	3	3	4	3.17	70.37
DC22	uMgungundlo	3	3	3	3	2	5	3.17	70.37
kz 284	Umlalazi	4	2	4	3	4	2	3.17	70.37
kz 212	Umdoni	2	4	3	4	1	4	3.00	66.67
DC21	Ugu	3	2	4	3	4	2	3.00	66.67
kz 222	uMngeni	3	1	4	2	3	5	3.00	66.67
DC24	Umzinyathi	3	3	3	3	3	3	3.00	66.67
kz 252	Newcastle	3	4	3	3	1	4	3.00	66.67
kz 5a3	Umzimkulu	4	3	2	4	2	3	3.00	66.67
kz 281	Mbonambi	3	2	3	3	4	2	2.83	62.96
kz 286	Nkandla	2	2	3	3	2	5	2.83	62.96
kz 221	uMshwathi	2	3	3	2	2	4	2.67	59.26
kz 241	Endumeni	3	3	4	2	2	2	2.67	59.26
kz 262	uPhongolo	2	3	3	2	4	2	2.67	59.26
DC26	Zululand	4	3	3	3	1	2	2.67	59.26
DC27	Umkhanyakud	2	3	3	3	2	3	2.67	59.26
kz 282	uMhlathuze	2	3	4	3	2	2	2.67	59.26
kz 293	Ndwedwe	3	2	3	3	2	3	2.67	59.26
DC43	Sisonke	4	2	2	4	1	3	2.67	59.26
kz 254	Dannhauser	2	3	2	3	3	2	2.50	55.56
kz 211	Vulamehlo	3	2	2	4	1	3	2.50	55.56
kz 236	Imbabazane	2	3	2	3	1	4	2.50	55.56
kz 272	Jozini	4	2	2	2	2	3	2.50	55.56
kz 232	Emnambithi	1	3	2	3	3	3	2.50	55.56
kz 234	Umtshezi	1	2	2	3	3	3	2.33	51.85
kz 263	Abaqulusi	2	2	2	2	2	4	2.33	51.85
kz 273	Big 5 F. Bay	4	2	3	1	2	2	2.33	51.85
kz 5a4	G. Kokstad	1	2	2	2	4	3	2.33	51.85

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kz 235	Okhahlamba	2	3	2	3	1	2	2.17	48.15
kz 294	Maphumulo	3	1	3	3	1	2	2.17	48.15
kz 5a1	Ingwe	4	2	2	1	2	2	2.17	48.15
kz 5a2	Kwa Sani	2	3	2	2	2	2	2.17	48.15
kz 275	Mtubatuba	2	2	4	2	1	2	2.17	48.15
kz 223	Mpofana	1	2	2	2	2	3	2.00	44.44
kz 233	Indaka	1	2	2	1	4	2	2.00	44.44
kz 245	Umvoti	2	1	2	2	2	3	2.00	44.44
kz 266	Ulundi	1	1	2	3	3	2	2.00	44.44
kz 274	Hlabisa	2	2	1	3	2	2	2.00	44.44
kz 283	Ntambanana	3	1	1	1	3	2	1.83	40.74
kz 285	Mthonjaneni	1	2	2	3	1	2	1.83	40.74
kz 224	Impendle	3	1	2	1	1	3	1.83	40.74
kz 5a5	Ubuhlebezwe	1	1	2	2	2	3	1.83	40.74
kz 271	Umhlabuyaling	2	3	1	1	2	2	1.83	40.74
kz 242	Nquthu	2	2	2	1	1	2	1.67	37.04
kz 265	Nongoma	3	1	2	1	1	2	1.67	37.04
kz 215	Izingoleni	1	1	2	2	1	2	1.50	33.33
kz 226	Mkhambathini	1	1	2	1	3	1	1.50	33.33
kz 244	Umsinga	2	1	2	1	2	1	1.50	33.33
kz 214	uMuziwabantu	1	1	1	1	3	1	1.33	29.63
kz 261	eDumbe	0	0	0	0	0	0	0.00	0.00